Annexure A – format for comments from the accounting officer

1. Corrective measures instituted / envisaged by the accounting officer to address areas of improvement as identified by the AGSA during the performance audit of the Kha Ri Gude Mass Literacy Campaign at the Department of Basic Education:

Report paragraph	Report finding	Recommendation	Root cause	Corrective measure[1]	Responsibility / role-players[2]	Timeframe[3]	
						Implementation	Completion
1.1 (page14)	Overall achievement of the Kha Ri Gude objective	The department should: recalculate a realistic number of KRG learners that completed the campaign to date, taking all the identified weaknesses into account review the target numbers for the remaining period of the campaign and adjust accordingly take appropriate steps to act on achieving the new target draft an implementation plan with realistic, clearly defined targets after the necessary adjustments have been made. Objectives should be linked to specific time frames and	National Treasury reduced the KRG budget for 2014-15 to 2016-17. This resulted in less learners enrolled over the remaining period based on the MTEF allocations and targets.	Set realistic targets for learner enrollments for the MTEF period in order to reach 4.7m learners. Provincial targets adjusted according to 2011 survey.	KRG – Jenny Wakefield	September 2014	March 2015

[1] Corrective measures instituted or envisaged by the department to address the report findings and root causes
[2] The person/directorate responsible to implement and monitor the corrective measure and/or any other departments or role-players who will play a part in the successful implementation of the measure
[3] Indicates the date of implementation and the date of completion of the corrective measure

		responsibilities. The implementation plan should take the prioritisation of provinces with high levels of illiteracy into account. The department should secure funding for the remaining period of the campaign in conjunction with National Treasury and should implement measures to ensure that the 2015 target will be achieved at the required level of quality.					
2.1 (page17)	Recruitment of volunteers not in accordance with policies	The department should craft and implement a policy containing clear recruitment criteria for volunteers to govern, regulate and monitor their recruitment. The department should establish a process whereby all documents submitted by applicants are reviewed, evaluated and reconciled to the set requirements before the appointment of volunteers.	Policies not finalized and implemented regarding recruitment.	Develop policies developed for recruitment. The Dept will develop and implement proper processes to review, evaluate and reconcile documents that govern, regulate and monitor their recruitment. The Department to create a file of each monitors structure.	KRG – Sandy Malapile	September 2014	September 2014
2.3 (page 18)	Appointment of VEs without the required qualifications, skills and experience	The department should craft and implement a policy containing clear qualification criteria for VEs to govern, regulate and monitor their recruitment.	Policies and guidelines not implemented and monitored.	Policies developed to establish and verify the qualifications, skills and experience to govern, regulate and monitor the VEs recruitment.	KRG – Sandy Malapile	September 2014	October 2014

		The department should investigate instances where previous KRG learners became VEs. The department should also determine the impact of using these VEs on the campaign's objectives. The department should assess all applicants prior to their appointment as VEs to ensure that they possess the required skills and knowledge to teach KRG learners. VEs that lack certain skills should be developed to ensure that they provide quality teaching.		Review and finalise the existing guidelines on qualification criteria of VE's. The Dept to create systems to investigate and assess any query about the qualifications of the existing VEs. The Department to review the current training programme of the KRG and determine if it needs improvement to improve their skills and knowledge of VEs			
2.5 (page 19)	No reconciliation and verification of attendance information	The department should institute a process to reconcile and verify information contained in the attendance registers to the information captured on the database. Identified discrepancies should be forwarded to the monitors and coordinators for follow-up and report back. The verification and authorisation of registered learners should be performed within the first two months of registration.	Lack of monitoring in structure.	Implement monitoring activities and reporting. Regular spot checks. Copies of ID must accompany registration forms. IDs to be sent to Home Affairs for verification. New learners that enter the system during the programme or migrate to another class to be checked.	KRG – Zarene Govender	September 2014	March 2015

				DBE to have access to the database and monitor regularly. Attendance registered to be sent to DBE on a monthly basis and checked on the database. Regular checking of database. Follow up on incidents reported.			
2.7 (page 22)	VEs recorded and submitted invalid information for payment	The department should enforce the verification, supervision and monitoring responsibilities required from supervisors, coordinators and monitors during site visits and submission of documents for payment. Supervisors and monitors should also perform independent counts of the learners and sign off on attendance on the day of the site visit as part of their verification processes. Site visits should be, as far as possible, unannounced or unscheduled so that supervisors, coordinators and monitors can observe the true reflection of attendance and learning at the	Lack of monitoring in structure. Guidelines not implemented and reporting not formalized.	Review and finalise guidelines on qualification criteria of VE's. Certificates to be submitted to DBE and sent to the examinations section for verification. Implement monitoring activities and reporting. Regular spot checks. Copies of ID must accompany registration forms. IDs will be verified by Home Affairs.	KRG – Zarene Govender and Jenny Wakefield	September 2014	March 2015

		KRG learning sites. The learners on the suspense database should be communicated to the relevant monitors, coordinators, supervisors and VEs so that those learners can be investigated and, if necessary, removed from the programme and replaced with valid learners. The department should consider including in their stipend criteria that payment would only be considered for verified and authorised learners.		Regular checking of database. Follow up on incidents reported. Learner Validation from 2014 implement with mandatory fields on learner registration form. Validations on capturing of KRG ID and national ID implemented in new campaign. No KRG ID or national ID number duplication allowed across the learners as well as the teaching structure. Check if ID been previously registered as learner. Without proper tutor registration, the learner will not be captured into the system. Learner numbers will be verified against the registers prior to payment (must be within minimum stipulation)			

				New reporting templates will be developed for monitors and coordinators. Reports will be approved prior to payments being approved. Monies will be deducted from all levels should monitoring reveal any form of fraud. Information regarding payments and reasons for non-payment will be communicated via a monthly newsletter.			
2.9 (page 24)	Children attending Kha Ri Gude	The department should establish proper communication and coordination channels between the department and role players such as Department of Correctional Facilities and Department of Social Development, whose mandate is to care for vulnerable children and to ensure the health, safety and education of these children, to implement learner support services to facilitate formal schooling for vulnerable children.	Inadequate monitoring of learner database / attendance register by KRG	The Department to identify and create a list of vulnerable children in KRG Review and finalise guidelines on qualification criteria for learners. The Department will liaise with the Departments of Social Development and Correctional Services to inform them about the vulnerable children	KRG – Sandy Malapile	October 2014	March 2015

		The department should analyse the learner database and identify the children that should be enrolled in mainstream schools. These children should be located and reasons for non-attendance of mainstream schools should be investigated.		The Department to liaise with the PEDs and School Districts for the absorption of vulnerable children into mainstream schools			
2.11 (page 25)	Dropout rates of learners from the programme	The department should monitor dropout rates against the 19% set norm. The department should also investigate dropout rates in excess of the norm to understand why learners drop out and take the required corrective action.	As an adult program, KRG campaign is affected by the following factors e.g. migration, death, poverty, transport etc.	Conduct a survey in collaboration Strategic Planning, Research And Coordination Directorate to establish reasons why there is drop out of learners The Department to compile a list of diseased learners on monthly basis The Department to submit the list of diseased learners to the Department of Home Affairs for verification. The Department monitors the dropout rate	KRG – Sandy Malapile	January 2015	March 2015
2.13 (page26)	Learners' progression to next levels of literacy	The department should collaborate with the Department of Higher Education and Training (DHET) on integrating successful KRG learners into the envisaged community colleges and planning for the progression from KRG to AET. Complete and accurate	Inadequate ABET classes to accommodate KRG graduates.	VE's to provide guidance and advocacy on "post" KRG. Complete list of graduates compiled and submitted to DHET and MECs and HODs of each province.	KRG – Zarene Govender	January 2015	March 2015

		statistics should be recorded and maintained to facilitate proper communication and coordination between the department and the DHET.		Educator manual updated with career guidance information regarding next levels. At graduation ceremonies – ETDP SETA bursary information provided. Educators encouraged to include career guidance and skills development as part of literacy training.			
3.1 (page 28)	Inaccurate need assessments of learner teacher support material (LTSM)	The department should perform accurate needs assessments before any additional books are printed as the campaign is expected to end within the next two years. The department should plan on how to use the remaining English books after the end of the campaign.	Inadequate monitoring of LTSM requirements and stock	Finalise the complete list of what LTSM is currently available in warehouse. Use stock for the remainder of campaign. Materials currently just used for English and Deaf learners. Advocacy to Indian learners in KZN to utilize stock. Donate the balance at the end of campaign to ABET learning centers and Libraries. Use materials during Advocacy campaigns.	KRG – Jenny Wakefield	September 2014	March 2015

3.3 (page 29)	Discrepancies during the appointment processes of the service provider for warehousing, picking and packing, distribution and collection of materials	The department should start the procurement process in good time to ensure that service providers are appointed when their services are required. The department should review the terms of reference in detail to ensure accuracy, before tender processes begin and tenders are awarded. The department should also consider the additional requirements that gave rise to the extra costs to limit deviations after contracting. Where possible, service providers' contract periods should be aligned to the campaign period. Clear, specific and measurable deliverables, as well as roles and responsibilities, should be relevant to the period in which the services are provided. The impact on the teaching hours as a result of the delay in starting KRG on time should be investigated and the department should take all necessary steps to ensure that the 2014 campaign begins on time	Delayed procurement process in the Department.	ToR of all 3 tenders revised. Start with 2015 Campaign process earlier. Memo from Branch C to Branch A on tender process delays and procurement processes. Contingency plans in order to save campaign and start classes on time as planned. Teaching hours increased in order to complete 240 hours of teaching by end of February for 2014 campaign.	KRG – Jenny Wakefield	September 2014	March 2015

4.1 (page 32)	Inaccurate, incomplete and unreliable management information	The department should review all information prior to submitting it for audit to eliminate the duplication of audit work. The department should ensure that actual performance reported for the campaign is based on valid, accurate and complete information. The department should keep a formal record of the numbers reported due to the nature of the reporting cycles and the database being live. The department should establish and implement validation tests and perform sufficient reviews to ensure accuracy when information is captured on the database. Coordinators, supervisors and VEs should obtain copies of learner identification numbers. This information should be captured onto the system as accurately as possible and filed to support the captured information. Data integrity tests on the identification numbers of learners should be conducted regularly to identify irregularities and	Inadequate monitoring and supervision of service provider.	To have access of the database from the Service Provider. Plan to take over most of the information management responsibilities Compile all information of Campaign Proper filing of relevant documentation Get final copy of every year database for reference purposes Bimonthly review of the formal documents.	KRG – Sandy Malapile	September 2014	March 2015

		exceptions. Irregular identification numbers and other exceptions should be regularly followed-up and the database should be updated accordingly to ensure the validity, accuracy and completeness of information on the KRG database. Identification numbers should be verified to eliminate possible irregularities. Exceptions should be followed-up and cleared, and the database updated accordingly.					
4.3 (page 35)	Monitors, supervisors and coordinators did not provide sufficient monitoring and support	The department should reconcile and review monthly reports, registers for meetings and site visits to ensure that management information is complete and accurate for the effective monitoring of the campaign. The department should put specific monitoring actions in place. Complete reliance was placed on the service provider (project management company) to address problems although the company was not tasked with a monitoring responsibility. Formalised monitoring processes should prompt appropriate action	Inadequate monitoring	Monitoring plan implemented. Reports evaluated before payment approval. Keeping track of cases reported and followed up. Service Provider will be monitored and reports analyses. Process will be put in place to ensure DBE has access to all documents and databases which will be monitored and quality assured.	KRG – Zarene Govender	September 2014	March 2015

		from the responsible people to ensure that corrective action is taken for identified problems. The department should: Monthly reconcile a sample of site visit attendance registers to the required six visits per month to identify visits that did not take place. The department should enquire from the monitor why he/she did not attend the required six KRG learning centres per month and track whether the monitor does additional site visits during the following month. Review a sample of site visit attendance registers to ensure that relevant and accurate information was captured and that the attendance register was signed-off by the VE to confirm the validity of the visit. Incomplete and incorrect attendance registers should be sent back to the monitors for completion/correction before stipend payments are made. Corrections should be tracked going forward.		Templates to be drafted for each level of educators. Monitoring plan to be drafted for all DBE officials. Provincial officials have been encouraged to monitor sites. Visits will be unannounced. Monitors and coordinators will be requested to report on a minimum of six site visits per month. Payments will not be approved if this is not adhered to. Reports and incorrect registers will be monitored and returned. Payments will not be approved until DBE is satisfied with all adherence to all reports.			
4.5 (page38)	Monitoring by the department was not effective to	The department should take ultimate responsibility for the delivery of the KRG campaign by monitoring its delivery. Formally	Inadequate capacity within the KRG Unit	Monitoring plan implemented. Regular reporting and react	KRG – Zarene Govender	September 2014	March 2015

	ensure delivery of the campaign	documented monitoring roles and responsibilities of the KRG unit should be established to assist the unit in defining and executing their monitoring responsibilities. Monitoring responsibilities could include: Monthly reconciliation and review of monitors' monthly reports to follow up on outstanding reports and record problems identified by the monitors. Ensuring that the established monitoring process is effectively executed. Keeping a register to track problems from their identification to their resolution. The register should be updated monthly by logging each problem together with the recommendation and implementation measures, to provide sufficient detail on how the problem was resolved. Clearly delegating the responsibility that follow-up work should be conducted and reported on in the following month's monitor report to the monitor. The department should follow up to determine what steps		on problems identified. The KRG unit has employed two new Directors who are responsible for specific provinces. DBE Senior Management and KRG officials will monitor sites during unannounced monitoring visits to provinces. Provincial monitors will be appointed in all nine provinces and will be managed by the PEDs who will also have oversight management role.			

		were taken to resolve the problems if the monitor does not report on the follow-up work in the next month's monitor report.					
4.7 (page 40)	Lost savings with the extension of the contract with the project management company	The department should monitor contract periods to identify and initiate competitive procurement processes in good time to ensure that service providers are appointed when contracts end.	Delayed procurement processes	Contracts monitored and procurement processes refined in order to appoint Service provider on time. Exit Plan to transfer skills, expertise and knowledge.	KRG – Jenny Wakefield	March 2015	March 2016

2. Confirmation that political role-players (Minister / MEC) have been informed of the findings: Yes / No

The minister / MEC have been informed of the findings in the report and their comments have been incorporated in the comments from the accounting officer. If not, please indicate the reason:
YES

3. Further interaction required with the performance audit team: Yes / No
e.g. attendance at Audit Committee meeting

YES

4. Feedback on the impact of the performance audit report and suggestions for improvement:

The Department has taken note of the recommendations in the report and developed corrective measures for all audit findings into an improvement plan which will be implemented with immediate effect. The progress reports will be done on a monthly basis.