



dhpsps&l

Department:
Human Settlements, Public Safety & Liaison

North West Provincial Government
REPUBLIC OF SOUTH AFRICA

**POLICY ON MANAGEMENT OF PROGRAMME PERFORMANCE
INFORMATION**

Compiled by: Management Services & Planning

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1. Introduction

According to the Treasury Regulation, paragraph 5.1.3, the Accounting Officer must establish a framework for managing performance Information in order to facilitate performance monitoring, evaluation and corrective measures of reporting to the executive authority. The Auditor General and the Provincial Audit raised a finding during the 2010/11 audit cycle, that there are no procedures and processes to manage performance information in the department and recommended the development of a policy, hence the development of this policy.

Performance information is important for effective management, including planning, budgeting, implementation, reporting, monitoring and evaluation. On the other hand, National and Provincial Treasuries make use of programme performance information for assessing the value-for-money of government activities. The two treasuries are also accountable of ensuring that institutions have programme performance information plans for gathering performance data that can inform management decisions. This is emphasised in the Framework for Managing Programme Performance Information as well as the Presidency's determination to drive delivery from the centre and hold responsible people accountable.

2. Scope and Purpose

This policy aims to:-

- clarify definitions and standards for performance information in support of regular audit
- Improve integrated structures, systems and processes required to manage performance information
- Define roles and responsibilities for managing performance information and
- Promote accountability and transparency by providing all stakeholders with timely, accessible and accurate performance information.

The scope of this policy is to continuously monitor the implementation of departmental policy priorities that are presented in the form of the strategic and annual performance plan and other important policy documents as well as mechanisms that will be undertaken by all programmes in monitoring and assessing progress of our departmental strategic goals and objectives. Most importantly, to guide the accounting officer and managers of the department to use performance information appropriately in line with the shift of government to outcomes orientated monitoring and evaluation approach, where the focus will be centred on the results based management.

The policy also aims to redirect management approach to a Results based management approach, which integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability. The focus is on achieving outcomes, implementing performance measurement, learning from experiences and adapting, and reporting on performance and further clarifies the roles and responsibility of relevant personnel in order to achieve efficient and effective planning, execution and reporting of performance information.

3. Legislative and regulatory Frameworks

The legislative framework describes the legal and policy requirements that must be complied with to ensure improved public sector financial and performance information that underpin this policy.

- **The Constitution of the RSA, 1996.**

Section 92 of the constitution stipulates that members of the cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions: and that they must “provide Parliament with full and regular reports concerning matters under their control”.

- **The Public Finance Management Act and related legislation PFMA**

The Public Finance Management Act (PFMA) (1999) and the Public Service Act (1994 as amended) amongst others have enhanced control over public expenditure and empowered public sector managers. The challenge for the public sector is to use resources more efficiently.

Monitoring and Evaluation is also regulated for all organs of state by the:

- White Paper on Transforming the Public Service, (1997).
- Public Finance Management Act, 1999
- Policy Framework for a Government-wide Monitoring and Evaluation System.
- Framework for Strategic Plans and Annual Performance Plans, 2010
- Development indicators (Presidency)
- National Treasury Framework for Managing Programme Performance Information, 2007.
- PSC – Towards a Common Understanding of Monitoring and Evaluation.

4. Applicability of the Policy

This policy is applicable to all programmes within the North West Provincial Department of Public Safety.

5. Definition of Concepts

Monitoring

Monitoring involves collection, analysis and reporting data on inputs, activities, outputs, outcomes and impact as well as external factors for effective management. Monitoring reports on actual performance against what was planned and provides managers, decision

makers and other stakeholders with regular feedback on progress in implementation and serves as an early indicator of difficulties that need to be corrected.

Monitoring involves reporting on actual performance against what was planned or expected to happen according to predetermined standards. It generally involves collecting data on implementation process, strategies and results as well as recommending corrective measures.

Evaluation

Evaluation is a time bound periodic exercise that provides probable and useful information underlying theories and assumptions were valid and to also see what worked, what did not and why.

Evaluation usually seeks to answer specific questions to guide decision makers or programme managers. Evaluation should advise whether underlying theories and assumptions were valid, what worked, what did not work and why. It commonly aims to determine relevance efficiency, effectiveness, impact and sustainability.

Performance information

It is a generic term for non financial information about the services of the government.

Strategic Plans

It refers to institutions policy priorities, programmes and project plans for a 5 year period as approved by its executive authority. The strategic plan should take into consideration the Medium Term Strategic Framework (MTSF), the Provincial Growth and Development Strategies (PGDS), IDPs of municipalities, Performance Agreements between the President and Ministers and service delivery agreements entered into in terms of broad strategic outcomes.

It is an instrument used to determine where an organisation will be going over the next year or more, how it is going to get there and how it will determine that it has arrived at the required destination or not

6. Concepts for Performance information

Performance information needs to be structured to demonstrate clearly how the department uses available resources to deliver on its mandate.

The following concepts are used for purpose of measuring performance.

Inputs : All the resources that contribute to the production of service delivery outputs, they include finances, personnel, equipment and buildings.

Activities: The process or actions that use a range of inputs to produce the desired outputs

Outputs: The final products, goods and services produced for delivery or defined as we produce or deliver

Outcomes: Outcomes are what we wish to achieve

Impacts: Results of achieving specific outcomes

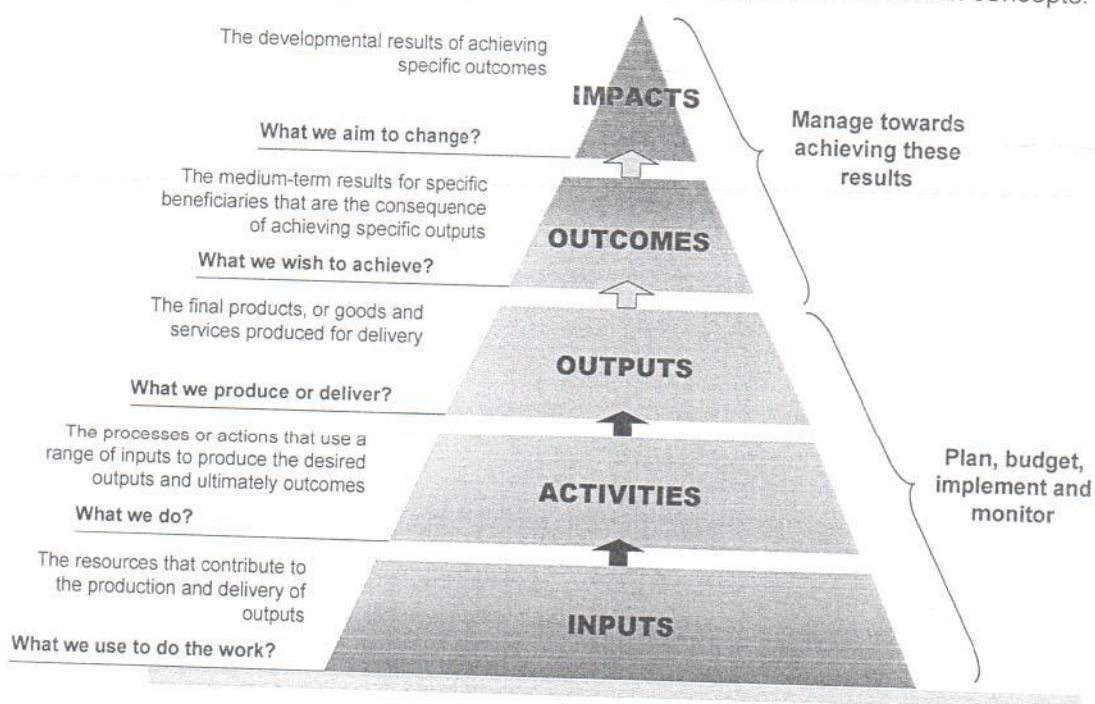
Objective: Description of the aim or purpose of activity

Indicator: Specific numerical measurement that track progress towards achieving a goal.

Target: A specific level of performance an institution, programme or an individual aims to achieve within a given period

Baseline: The current performance level that an institution aims to improve when setting performance targets

The diagram depicts relationship between these core performance information concepts.



7. Roles and Responsibilities

As prescribed in Chapter 5 of the Framework for Managing Programme Performance Information, effective management of performance information requires a clear understanding of different responsibilities, structures and systems involved in managing

performance. This implies that planning, reporting and monitoring of performance information is a management function.

Executive Authority

The Executive Authority is accountable to the Provincial Legislature and is expected to provide regular reports concerning matters under his/her control. It is therefore upon him/her to ensure that the Department sets up appropriate performance information systems to be able to fulfil reporting responsibility expected. It is his/her responsibility to oversee such systems to ensure optimal functionality and compliance with the Performance Information Management Framework and other related standards and guidelines including this policy.

Accounting Officer

He/she is accountable for establishing and maintaining systems to manage performance information. The performance agreements of the chief directors should therefore reflect these responsibilities. He/she is also responsible for directing the department towards achieving its mandate by providing strategic leadership.

He/she has to ensure that all departmental reports are of high quality by edit and correct all final copies before signing off and submission to all relevant stakeholders.

Audit Planning Committee:

Review and advise the department on issues relating to the AG/PIA findings and develop an action plan to assist the department in addressing the findings and ensures the implementation and monitoring thereof.

Department Management Committee (DMC)

The departmental management committee are responsible for giving strategic direction to the department and adhere to the provisions of this policy. They are accountable for establishing and maintaining the performance information processes and systems within their area of responsibility. Their performance agreements should also reflect these responsibilities to assist them to make informed decisions.

They must quality check all their reports before submission and sign the commitment letter to commit to the report produced.

Extended Departmental Management Committee

The committee consists of managers from deputy director up-wards. It is responsible for interacting with all programme reports in a quarterly review session chaired by the Accounting Officer. The aim is to depict achievements, areas of non performance and non compliance as well as challenges and recommendations.

Pro active approach where department can identify all grey areas (gaps in performance information) address them as well as to adhere to all legislative requirement in preparation for clean audit.

Monitoring and Evaluation (M&E) Unit:

This unit is responsible for analysis and consolidation of all departmental reports into one department report for submission to the Accounting Officer and to all stakeholders. Furthermore the unit has to validate/verify all reported outputs against the actual reported and Planned, as well as ensuring that all source documents are available for performance audit.

The Monitoring and Evaluation unit is responsible for monitoring and evaluation of the Policy on Performance Information. Disciplinary measures will be implemented by the Accounting Officer in the case of non-compliance

Other officials

Officials are responsible for capturing, collating and verifying performance data related to their activities. The integrity of the Department's overall performance depends on how conscientiously these responsibilities are fulfilled. Consequently, their performance agreements and assessments should deal explicitly with the quality aspect of their work.

8. Planning and Reporting Cycle

The departmental planning and reporting is guided by the Integrated Planning and Delivery Cycle Framework.

8.1. Planning

Performance information needs to inform the development of the Departmental Strategic and Annual Performance plans as well as how reporting and monitoring the implementation will be conducted. At the end of the Medium Term Strategic Framework (5 years and above) the department needs to assess the impact and appropriateness/relevancy or responsiveness of the strategies/interventions to determine gaps and challenges.

The planning process is informed and aligned to the MTEF, government's annual Programme of Action (PoA), and the Growth and Development Strategies. All plans will be aligned to the Treasury Framework for Strategic Plans and Annual Performance Plans

8.2. Systems description for formulating Strategic Plans and Annual Performance Plans

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
Planning Lekgotla	The department will hold a departmental Lekgotla coordinated by the planning unit.	August/February	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
				Budget Circular.
Collection of information	The planning unit design and circulate planning template for completion by all programme managers	May -June	Electronically using the email	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The planning unit draw a workshop schedule and confirm dates with all programme managers to capacitate them on the planning template	May	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	All programme prepare inputs and submit to programme manager for quality assurance collation and ratification	June, September and January	Electronically using the email	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	All programme managers submit their inputs to the planning unit accompanied by a letter of commitment signed by the programme manager.	June, September and January	Electronically using the email and manually for hard copies.	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The planning unit analyse and advice where gaps are identified and consolidate into a departmental Strategic Plan and Annual Performance Plan (APP)	June, September and January	Use of planning and analytic skills, etc.	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
Recording of information	Inputs from all programme managers are recorded and all official submitting programme inputs sign the register upon submission of their hard copies to the planning unit.	June, September and January	Manually: submission of hard copies	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
Processing of and reporting Information	The final plan is presented at the departmental planning Lekgotla for discussions with all senior managers	August / February	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The final version is approved and signed by	February	Electronic and	In line with the PFMA, Treasury

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
	the HOD and the MEC and submitted to all stakeholders		hard copies	Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The planning and M&E Units will be the secretariat of the Planning Makgotlas deliberations.	August/February	At at venue to be communicated	Departmental Policy on Performance Information
	The MISS unit will provide the tape of the planning Makgotlas recordings to the secretariat in order to perfect the minutes.	August/February	Electronically	Departmental Policy on Performance Information

8.3. Reporting

The standard format for all reports will be determined in terms of the Treasury requirements, and should be followed without any alterations in the preparations and submission of the reports in question.

The department review its performance on quarterly basis to assess its performance against the plan and to also identify areas of non performance and challenges encountered in order to attend timeously. The latter is by far in accordance with the PMFA and the Public Audit Act (PAA) whereby each government institution is required to conduct a performance review and the departmental Annual Report is a build up of this process.

The dates for submission of inputs by programme managers will be based on the dates set by the National and Provincial Treasuries. The Planning unit will propose such dates which will be published in the departmental calendar of events.

8.4. Systems description for reporting on performance information

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
Collection of information	The Monitoring and Evaluation unit design and circulate reporting template for completion by all programme managers	Quarterly and annually	Electronically using the email	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The Monitoring and Evaluation unit draw a workshop schedule and	At the beginning of each financial year depending on Treasury changes in	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
	confirm dates with all programme managers to capacitate them on the reporting template	reporting templates		on Performance Information and the Budget Circular.
	All programmes prepare inputs and submit to programme manager for quality assurance collation and ratification	Quarterly and Annually	Electronically using the email	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	All programme managers submit their inputs to the M&E unit accompanied by a letter of commitment signed by the programme manager.	Quarterly and Annually	Electronically using the email and manually for hard copies.	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The M&E unit analyse and advice where gaps are identified and consolidate into a departmental Quarterly / Annual Report	Quarterly and Annually	Use of planning and analytic skills, etc.	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	Inputs from all programme managers are recorded and all official submitting programme inputs sign the register upon submission of their hard copies to the M&E unit.	Quarterly and Annually	Manually: submission of hard copies	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The final report is presented at the departmental quarterly review session for discussions with all senior managers	Quarterly and Annually	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The final version is approved and signed by the HOD and the MEC(Annual Report) and submitted to all stakeholders	Quarterly and Annually	Electronic and hard copies	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
Recording of	Inputs from all programme	Quarterly and	Manually: submission of hard	In line with the PFMA, Treasury

Activity	Description of process and procedures	Timeframes	Systems used	Policies and Legal Prescripts
information	managers are recorded and all official submitting programme inputs sign the register upon submission of their hard copies to the M&E unit.	Annually	copies	Regulation, Departmental Policy on Performance Information and the Budget Circular.
Processing and reporting Information	The final QPR/AR is presented at the departmental quarterly review session for discussions with all EDMC members	Quarterly and Annually	At a venue to be communicated	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The final version is approved and signed by the HOD and the MEC(Annual Report) and submitted to all stakeholders	Quarterly and Annually	Electronic and hard copies	In line with the PFMA, Treasury Regulation, Departmental Policy on Performance Information and the Budget Circular.
	The planning and M&E Units will be the secretariats of the presiding of the EDMC deliberations	Quarterly and Annually	Electronically and manually	Departmental Policy on Performance Information
	The MISS unit will provide the tape of the EDMC recordings to the secretariat in order to perfect the minutes.	Quarterly	Electronically	Departmental Policy on Performance Information

9. Portfolio of Evidence (Source Documentation)

The officials from the Planning and M&E shall visit each directorate, sub directorate, district and Traffic Stations to validate/ verify information reported against the departmental plans. Due to the shortage of space, the source documents will be kept at each service point for audit purposes. This is according to the Framework for Managing Performance Information as prescribed by the National Treasury.

All programme and sub-programme managers will be given a three (3) months grace period, as prescribed by National Treasury to validate the reported information with the agreed upon means of verification as per Indicator Definition Template.

10. Policy Review

This policy will be reviewed on an annual basis.

11. Conclusion

The development of this policy is prompted by the AG Findings for the 2010/11 financial year. It is expected that all departments should have a policy that will manage and regulate performance information. Adherence to this policy is mandatory and any contravention will be viewed as misconduct

12. Approval and Effective Date

This policy will become effective from the date of approval thereof by the Accounting/Acting Officer

APPROVED BY THE HEAD OF DEPARTMENT/ACTING HEAD OF DEPARTMENT


MR B.T. MAHLAKOLENG

DATE

11/11/2012

ANNEXURES – PLANNING AND REPORTING TEMPLATES

Planning Templates

Strategic Objective Annual Targets

Sub Programme	Strategic objective	Indicator	5 Year Targets	Audited Actual Performance	Estimate	Medium-term targets

Quarterly Targets for Strategic Objectives

SUB-PROGRAMME	STRATEGIC OBJECTIVES	INDICATORS	ANNUAL TARGET 2012/13	Q1	Q2	Q3	Q4

Reporting Templates

National and Provincial Treasuries Report Templates

Narrative Reporting Template

PROGRAMME	SUB PROGRAMME	CHALLENGE	RESPONSE

QPR Template

Target for 2008/09 as per Annual Performance Plan (APP)	1st Quarter Planned output as per APP	1st Quarter Preliminary output	1st Quarter Actual output - validated	2nd Quarter Planned output as per APP	2nd Quarter Preliminary output	2nd Quarter Actual output - validated	3rd Quarter Planned output as per APP	3rd Quarter Preliminary output	3rd Quarter Actual output - validated	4th Quarter Planned output as per APP	4th Quarter Preliminary output	4th Quarter Actual output - validated	Preliminary output for 2008/09	Actual output for 2008/09	Actual output for 2008/09 as per Annual Report
	QUARTERLY OUTPUTS														

Departmental Quarterly Performance Reporting Template

Performance Indicator	Quarter Output as per APP	Achievements/Under achievement	Reasons for deviations	Corrective Measures

Outcomes Based Report to the Office of the Premier

National Outcome 3 : ALL PEOPLE IN SOUTH AFRICA ARE AND FEEL SAFE

PROVINCIAL SERVICE DELIVERY PLAN

INSTITUTION COMPLETING TEMPLATE:

PROVINCIAL SERVICE DELIVERY PLAN

INSTITUTION COMPLETING TEMPLATE

INSTITUTION OUTPUTS AND MEASURES

OUTPUTS & MEASURES 2010/14

Output	Measures		Support Department(s)
	Baselines	Targets	

ACHIEVEMENTS

CHALLENGES

Due dates for submission of Plans and Reports

Document	April	May	July	August	October	January	February
Strategic Plan			1 st Draft Strategic Plan		2 nd Draft SP		Tabling in Parliament
Annual Performance Plan			1 st Annual Performance Plan		2 nd Draft APP	Performance Indicators and targets for APPs	Tabling in Parliament
Quarterly Reports	4 th QPR (previous financial year)		1 st Quarter QPR		2 nd QPR	3 rd QPR	
Annual Report		Performance Information sent to Auditors		Tabling of Annual Reports			

Departmental Reporting Timeframes

Quarters	Departmental Programmes Reporting Deadlines	Provincial departments to provincial treasury
April to June 2012 (1st Quarter)	July 2012 (first week)	July 2012 (second week)
July to September 2012 (2nd Quarter)	October 2012 (first week)	October 2012 (second week)
October to December 2012 (3rd Quarter)	January 2012 (first week)	Jan 2012 (second week)
January to March 2013 (4th Quarter)	April 2013 (first week)	April 2013 (second week)