



# LIMPOPO

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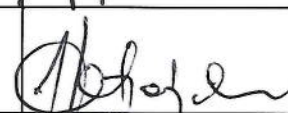
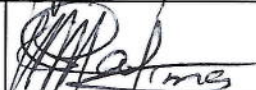
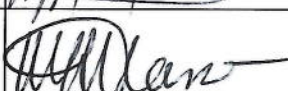
**PROVINCIAL GOVERNMENT**  
REPUBLIC OF SOUTH AFRICA

**OFFICE OF THE PREMIER**

**PERFORMANCE INFORMATION  
MANAGEMENT POLICY**

Document Approval Page

PERFORMANCE INFORMATION MANAGEMENT POLICY

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## **1. ACROMYNS AND ABBREVIATIONS**

AG	Auditor – General
APP	Annual Performance Plan
EXCO	Executive Council
G & A	Government and Administration
GM	General Managers
IA	Internal Audit
KPA	Key Performance Area
LDP	Limpopo Development Plan
LEGDP	Limpopo Economic Growth and Development Plan
MEC	Member of Executive Council
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NA	National Assembly
NDP	National Development Plan
NSDP	National Spatial Development Perspective
OTP	Office of the Premier
PFMA	Public Finance Management Act
PMDS	Performance Management and Development System
PT	Provincial Treasury
SGM	Senior General Managers
SM	Senior Manager

## **2 INTRODUCTION AND BACKGROUND**

Provincial departments are charged with the responsibility to develop a 5 year Strategic plan aligned with the electoral cycle and a rolling and Annual Performance Plans (APP) in line with the National Development Plan, the Medium Term Strategic Framework (MTSF) and the Medium Term Expenditure Framework (MTEF) and the Limpopo Development Plan documents. The management of this process has evolved over years heralding a necessity to have a policy that would guide, regulate and clarify roles in the development, monitoring and evaluation of the implementation of these plans.

### **Linking up with the electoral cycle: what does this mean?**

Every five years the citizens of South Africa vote in national and provincial elections in order to choose the political party they want to govern the country or the province for the next five years. In essence the voters give the winning political party a mandate to implement over the next five years the policies and plans it spelt out in its election manifesto.

Following such elections the majority members in the National Assembly (NA) elects a President, who then selects a new Cabinet. The President and the Cabinet have the responsibility (mandate) of implementing the majority party's election manifesto nationally. While at the provincial sphere, the majority members of the Legislature elect a Premier, who subsequently selects a new Executive

Committee (EXCO). The Premier and the Executive Committee have the responsibility (mandate) of implementing the majority party's election manifesto within the province.

To facilitate the translation of the governing party's election manifesto into national/provincial Government policy and plans it is desirable that the strategic planning process within government be synchronised with the electoral cycle. Such a link would enable the incoming President and Cabinet (or Premier and Executive Committee) to ensure that the strategic direction and actions of government over the next five years are aimed at implementing the policies and plans necessary to give effect to the electoral mandate.

This document outlines a set of developments aimed at improving the quality of strategic plans and annual performance plans, while at the same time simplifying the process further. The most significant innovation is the proposed linking of the strategic planning process to the electoral cycle – which has a number of implications for the structure and content of strategic and performance plans.

Furthermore the Treasury Regulations 5.3.1, states that the Accounting Officer of an institution *must establish procedures for quarterly reporting to the Executive Authority to facilitate effective performance monitoring, evaluation and corrective actions.*

Section 2.4 of the National Treasury Guide for the Implementation of Provincial Quarterly Performance Reports 2009 provides that *systems for collecting and validating performance data are likely to be more robust when departments:*

- Define the quality of the data in advance.
- Establish clear performance measure definitions.
- Designate who is accountable for performance data.
- Managers are active in obtaining good quality performance data.
- Develop and implement effective controls over the collection of data.
- Establish and implement clear guidelines for the validation of performance data.

It is in this context that this policy is developed, the secondary aim of this policy will also be to guide, coordinate, align and strengthen efforts to ensure that decision making is based on sound evidence.

### **3 PURPOSE AND OBJECTIVE OF THE POLICY**

The Premier's Office is among the key secondary users of performance against predetermined objectives information. As such, this information collected, collated and reported within provincial administration should be used to provide an overall picture of provincial performance.

The purpose of this policy is therefore to:-

- 3.1 Guide the development of performance and operational plans within the office
- 3.2 Outline processes in collection and collation of quarterly performance reports data
- 3.3 Monitor and evaluate the collation of quarterly performance and ultimately the Annual Reports.
- 3.4 Outline standards and methods in the management of performance information

### **4 AUTHORITY OF THE POLICY**

4.1 This policy is issued under the authority of the Premier as the Executive Authority and the Director General as the Accounting Officer for the Office of the Premier – Limpopo Province.

### **5 SCOPE OF APPLICATION**

5.1 This policy, except where otherwise indicated, is applicable to all employees and structures related to the Office of the Premier, Limpopo Province, as an office.



5.2 The guidelines outlined in this document relate only to the development and management of departmental performance plans that are applicable to the Office of the Premier achieving its mandates.

## **6 LEGAL FRAMEWORK**

This policy is guided by the following legal frameworks and policy documents:

- **The Constitution of RSA, Act 108 of 1996**
- **Public Services Act 46 of 1997**
- **Promotion of Access to Information Act 2 of 2000**
- **Public Finance Management (Act 1 of 1999 as amended by Act 29 of 1999) and its regulations**
- **State Information and Technology Act 88 of 1998**
- **Public Access to Information Act 2 of 2000**
- **Public Administrative and Justice Act 3 of 2000**
- **National Archives and Records Service Act 43 of 1996**
- **Promotion of Administrative Justice Act 3 of 2000**
- **Framework for managing Programme Performance Information**
- **Policy Framework for Government Wide Monitoring and Evaluation System**
- **Guide for the implementation of Provincial Quarterly Performance Reports**
- **Improving Government Performance – Our approach**
- **Revised Green Paper on the National Planning Commission**
- **Guide to Outcomes Approach**
- **Guidelines for the role of Premier's Offices in Government wide monitoring and Evaluation, July 2008,**

## **7 DEFINITIONS**

**Activities:** the processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes. In essence, activities describe "what we do".

**Analysis report:** A report that provides details of an analysis conducted, with findings on trends, challenges and recommendations on corrective action.

**Attendance registers:** an official written record of attendance at an event (meeting, workshop, etc). Templates for various attendance registers are attached at appendix 1.

**Baseline:** A description of the status quo, usually statistically stated, that provides a point of comparison for future performance. It is the current level of performance which the institution aims to improve when setting performance targets for a policy, programme or other intervention.



**Case studies:** A data collection method that documents and analyses a sequence of events over time related to a person, location, household, project or organization in order to gain insight into the programme or project's impact.

**Cost-benefit analysis:** A method of evaluating decisions around policies, programmes and projects in terms of their anticipated costs and benefits, with the aim of prioritizing those with the greatest net benefits (i.e. total benefits less costs) since these yield the highest social returns.

**Data collection tools:** Methodologies used to identify information sources and collect information during evaluation. Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, literature search, documentation review, desktop study and stakeholder analysis.

**Documentation review/desktop study:** The analysis of documentation (in written, electronic, photographic or video form) in order to understand the history and past and present performance of a programme, project or an institution as a whole. This could highlight baseline data as well as highlight cause and effect relationships which may explain whether change is occurring or not and why is the case.

**Effectiveness:** The extent to which an organization, policy, program, activity or initiative is meeting its expected results. Related term: Cost Effectiveness – the extent to which an organization, program, policy or initiative is using the most appropriate and efficient means in achieving its expected results relative to alternative design and delivery approaches.

**Efficiency:** The extent to which an organization, policy, program or initiative produces outputs in relation to resources used.

**Evaluation:** a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers. Evaluations may assess relevance, efficiency, effectiveness, impact and sustainability.

**Focus groups:** A focus group is a method of collecting qualitative data in the form of group interview where the aim is to understand the social dynamic and interaction between the participants through the collection of verbal and observational data. It is also used to elicit general information, clarify details or gather opinions from a small group of people selected for their different viewpoints. They are useful for generating qualitative information such as opinion on impact of changes, quality of services, areas of improvement, etc.

**Goal:** The higher level objective that the project is meant to contribute to in the long run. It must represent sufficient justification for the intervention and which explains the project - sometimes referred to as the development objective.

**Impacts:** the results of achieving specific outcomes, such as reducing poverty and creating jobs.

**Indicator:** Indicators can be seen as signs or markers that tell us how we are progressing to meet our objectives. An indicator is what you examine to see whether you are on track.



**Information Oversight Agencies** refers to Officials designated to ensure that information reported on, is accurate and supported by evidence. They are accountable for any reported information within their scope of operation.

**Inputs:** all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". They include finances, personnel, equipment and buildings.

**Means of verification**

The location of the source or evidence used as indicators for the project achievement

**Minutes:** Minutes are official records of proceedings of a meeting.

**Monitoring:** Regular, ongoing, systematic collection and analysis of information to track progress of project implementation and outcomes. Monitoring allows for timely action and correction of any deficiencies.

**Monitoring report:** A report compiled during the monitoring of a project, program, etc. that indicates the background to the monitoring, trends observed in the monitoring, challenges and recommendations for corrective action.

**Monitoring tool 1:** An MS-Excel based reporting tool that indicates progress made against planned targets as per the Annual Performance Plan, the gaps in the performance and reasons for deviation.

**Monitoring tool 2:** An MS Excel-based reporting tool that indicates corrective measures on performance gaps, by identifying a future plan, responsible person and deadline for the corrective action to achieve the identified performance gaps.

**Office:** Refers to Office of the Premier

**Outputs:** the final products, or goods and services produced for delivery. Outputs may be defined as "what we produce or deliver".

**Outcomes:** the medium-term results for specific beneficiaries that are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution's strategic goals and objectives set out in its plans. Outcomes are "what we wish to achieve".

**Performance indicator:** A pre-determined signal that a specific point in a process has been reached or result achieved. The nature of the signal will depend on what is being tracked and needs to be very carefully chosen. In management terms, an indicator is a variable that is used to assess the achievement of results in relation to the stated goals/objectives.

**Performance monitoring:** An ongoing process based on information collected to measure and evaluate outcomes, outputs, and activities in terms of (1) actual performance against plans ( i.e. predetermined goals, targets, budgets, standards, etc.) (2) Current performance against past performance (i.e. trend analysis), and (3) performance against internal and/or external benchmarks.

**Policy:** A policy is a written statement that communicates management's intent, objectives, requirements, responsibilities, and/or standards. It is also a deliberate plan of action to guide decisions and achieve rational outcome(s).



**Policies, strategies, programmes and projects:** **Policies** are statements of what government seeks to achieve through its work and why. **Strategies** are the sequentially structured descriptions of how these policies will be enacted. **Programmes** (outside the budgeting context) are high-level, big-picture plans showing how strategies will be implemented. **Projects** are specific conceptually-linked sets of activities intended to achieve particular results that will lead to the achievement of programme goals.

**Procedure:** A procedure is a fixed, step-by-step sequence of activities or course of action (with definite start and end points) that must be followed in the same order to correctly perform a task.

**Research report:** A report compiled from a detailed study conducted on a specific topic/ area indicating findings, recommendations and conclusions.

**Results Based Management:** This approach to management is based on four pillars: (1) definition of strategic goals which provide a focus for action; (2) specification of expected results which contribute to the achievement of these goals; and the alignment of programmes, processes and resources in support of these expected results; (3) on-going monitoring and assessment of performance, integrating lessons learnt into future planning; and (4) improved accountability for results (whether programmes made a difference in the lives of ordinary South Africans).

**Results Chain:** The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback.

**Stakeholder analysis:** A technique used to identify and assess the importance of key people, groups of people, or institutions that may significantly influence or be affected by the success of a policy or project. It is a process of systematically gathering and analyzing qualitative information to determine whose interests should be taken into account when developing and/or implementing a policy or program. This information is used to assess how the interests of those stakeholders should be addressed in a project plan, policy, program, or other action

**Statistics:** Numerical data or figures giving information about any subject.

**Structured interviews:** A means of collecting data through an interview where a respondent is visited by an interviewer that reads the questions from a questionnaire to him/her and writes down his/her responses. The interviewer is usually instructed to ask the questions exactly as it is formulated. This is how the researcher takes maximum control (structures) over the respondent's frame of reference when responding to questions.

**Survey:** A method of collecting quantitative information about items in a population.

**Target:** A measurable performance or success level that an organization, program or initiative plans to achieve within a specified time period. Targets can be either quantitative or qualitative.

**Unstructured interview:** A means of collecting data through an interview where the interviewer, except for a broader topic announcement, asks no specific questions. The respondent has the freedom to talk about anything within the broad topic.



**Validity:** The extent to which something is reliable and actually measures up to or makes a correct claim. This includes data collection strategies and instruments

## **8 POLICY PRONOUNCEMENTS**

### **8.1 Strategic Planning Documents**

To synchronise the strategic planning process with the electoral cycle it is proposed by National Treasury that the current strategic and performance plans produced should be separated into two documents, as follows:

#### **1. Five-year Strategic and Performance Plans**

- *Purpose:* The purpose of the *Five-year Strategic and Performance Plans* is to set out the newly elected provincial government and Premier's strategic policy priorities and plans for the next five years. This document should serve as a blueprint for what the Office plans to do over the next five years.
- *Focus:* The focus of the document is to specify strategic goals for the office as a whole, and strategic objectives for each of its main service delivery areas that the office will strive to achieve over the next five years. The intention is that these goals and objectives lay the foundation for the development of the *Annual Performance Plans*.
- *Time frames:* As the name implies this document must cover a period of five years from the first planning cycle following an election. Only one *Five-year Strategic Plan* shall be produced per election cycle.
- *Linked to:* The document must be developed taking into consideration a wide range of other planning frameworks ranging from the President's National Development Plan and the Medium Term Strategic Framework through to the *Integrated Development Plans* of local governments. It is also important that the plans take into consideration the resource envelope specified in the current provincial MTEF. The document lays the foundation for the development of the *Annual Performance Plans*.

The office's performance against its *Five-year Strategic and Performance Plan* shall be evaluated and reported in the *End-Term Review*.

#### **2. Annual Performance Plans**

- *Purpose:* The purpose of the *Annual Performance Plans* is to set out what the Office intends doing in the upcoming financial year towards progressively achieving the full implementation of the *Five-year Strategic and Performance Plan*.
- *Focus:* The focus of the document is to specify measurable objectives and performance targets that will ensure that the Office realises its strategic goals and objectives set out in the *Five-year Strategic and Performance Plan*. A secondary focus area is to provide annual updates on any changes made to the strategic planning framework set out in the *Five-year Strategic and Performance Plan* – for instance changes resulting from new policy developments or changes in environmental circumstances.
- *Time frames:* As the name implies this document covers the upcoming financial year. It should also cover the following two years in line with the MTEF and the reviewed annually.



- *Linked to:* The *Annual Performance Plans* should inform and be informed by the *Budget* and the MTEF. Indeed these plans should show how the provincial department's future service delivery plans link to its MTEF. The in-year implementation monitoring of the *Annual Performance Plans* is done through the *Quarterly Performance Reports*, while the end-year reporting is done in the departmental performance section of the *Annual Report*.

## **8.2 Key Time Frames**

In order for the office to be aligned to all the National Treasury frameworks and timelines, the following process shall be followed:

- The Office shall submit the first draft of their *Five-Year Strategic* to the provincial treasury according to the provincial budget process schedule by no later than **31<sup>st</sup> July of the 1<sup>st</sup> year of a new electoral cycle**.
- *Annual Performance Plans* and Budget to the provincial treasury according to the provincial budget process schedule by no later than **31 July** of every year. (Unless otherwise stated by National Treasury and Department of Planning Monitoring and Evaluation).
- The Office is required to submit a second draft of the *Five-Year Strategic and Performance Plans*, the *Annual Performance Plans* and Budget to the provincial treasury according to the provincial budget process schedule by no later than **31<sup>st</sup> November**. Finally the office is required to submit final drafts in **late January**, and then publish and table these documents before Provincial Legislature at the prescribed time.
- The office is required to submit quarterly performance reports no later than the **15<sup>th</sup>**, of **each month** after a quarter. These reports are submitted to Office of the Premier – Planning Unit and Provincial Treasury.
- The Public Finance Management Act (PFMA) requires the Accounting Officer to submit an *Annual Report* **five months after the end of the financial year** to the relevant Executive Authority. Thereafter the Annual Report should be tabled in the Provincial Legislature at the prescribed time.

## **8.3 ROLES and RESPONSIBILITIES**

### **8.3.1 National Treasury**

- Under section 215 and 216 of the Constitution, the National Treasury is responsible for prescribing the formats for budgets and for measures to ensure transparency and expenditure control in each sphere of Government. Given these provisions, the National Treasury's role in relation to Performance information management is:•
  - Developing standards that may be required to facilitate the implementation of the Framework on Managing Programme Performance Information.
  - Developing formats for accountability reporting, including strategic plans, corporate plans (Operational Plans), Annual Performance Plans, Budgets, in – year reporting and Annual reports.
  - Developing the core sets of performance information in collaboration with sector Departments to ensure uniform information is produced to measure service delivery across provinces and municipalities
  - Developing guidelines on the use of performance information in different circumstances.
  - Providing training on the use of performance information



- Providing input to the processes to select and define performance indicators
- Using the information generated to monitor, evaluate and report on economy efficiency, effectiveness and equity in the use of resources to deliver services.
- The National Treasury will in addition, review the *Five-Year Strategic and Performance Plans* and *Annual Performance Plans*, and departments whose plans are not of an acceptable standard will be contacted and given detailed feedback, and will be required to make the necessary adjustments immediately.

### **8.3.2 Coordination of performance information**

- The Performance Information within the Office of the Premier – Limpopo shall be **coordinated** from the Strategic Planning and Policy Coordination unit.
- **All Senior General Managers (SGM's)** shall assume the role of Information Oversight Agencies. They shall ensure that the information reported in the signed off quarterly reports is credible and evidence of the report is available and accessible.
- **Senior General Managers (SGM)**, also referred to herein as **Programme Managers**, shall submit their signed off quarterly reports on the 10<sup>th</sup> of the first month after the end of the quarter to the Strategic Management and Policy Unit.
- **General Managers (GM)**, also referred to herein as **Responsibility Managers**, shall submit their signed off monthly reports on the **10<sup>th</sup> of each month** to their branch heads and subsequently to the Strategic Planning and Policy Coordination unit. They shall ensure that the information reported in the monthly reports is credible and evidence of the report is available and accessible. The information in the reports will be used for verification purposes of the quarterly report information.
- The aforementioned reports will be presented to Executive Management for editing and discussion before final consolidation by Strategic Management and Policy Unit and submission to Provincial Treasury, Provincial Administration Portfolio Committee, the Standing Committee on Quality of Life and any other oversight body.
- The Office shall submit a **draft Annual Report** to the **Auditor General's Office** no later than the **31st May of each year**.
- The **Accounting Officer** shall submit an **Annual Report** to the **Executive Authority** no later than the **31<sup>st</sup> August of each year**.
- The Programme Managers and Responsibility Managers (Senior General Managers and General Managers) shall submit all their various performance information in both electronic version and in a hard copy signed off versions to the Strategic Management and Policy unit.
- The Office shall have Strategic Planning sessions twice a year, in line with the planning cycle, to collectively discuss the predetermined objectives and targets of the office for the forthcoming years and to assess attainment of targets set in the present year.
- All Members of the Senior Management are expected to attend all the Strategic Planning Sessions of the Office

### **8.3.3. Monitoring of the performance of the Office**

- As stipulated in the *guidelines for the role of Premier's Offices in Government wide monitoring and Evaluation, July 2008*, the Office will on an annual basis develop M&E framework that encapsulates



the indicators as contained in the APP, the indicators should be aligned to the LEGDP and the National Outcomes. The Framework will enable the office to track, analyse and evaluate the performance of the Office and thus enable decision makers to make appropriate management decisions.

- The relevant Executive Management meeting, nearer to the end and or beginning of the quarter will be used to monitor the overall performance of the office and reports submitted.
- Quarterly Performance Review will be conducted at each branch level by the Senior General Manager to review the entire performance of the branch which amongst other things the programme must verify and confirm the accuracy of the information and review all modes of verification. These quarterly reviews will be coordinated by office of the SGM with technical support provided by Strategic Planning unit.
- Strategic Management and Policy Unit shall on a regular quarterly basis request Modes of Verifications to validate the reported information in the quarterly reports. This is to ensure accuracy of the Office's reports for audit purposes.

#### **8.3.4 Submission of approved plans and quarterly reports**

- Prior the finalisation of the Strategic and Annual Performance Plan for the forthcoming year, all the Programme managers shall submit the signed off copies of the performance information relevant to their branch and/or programme.
- Senior Managers, Responsibility managers and Programme Managers are required to sign off reports and or any information when submitting to Strategic Management and Policy unit for future evidence thereof. Where Information is send through email; from the head of the section or relevant Senior Manager, a signed hard copy is required
- All information will be verified and submitted to the Strategic Management and Policy Unit 10 days before ratification and signing by off Director – General for further submission.
- No changes on the approved plans will be allowed, unless otherwise such arrangements were approved by the Accounting Officer in writing. Such evidence should be kept for future reference. It is important to note that all plans are approved by Executive council and changes should be as a result of Executive resolutions to that effect.

## **9 DEFAULT**

Any employee and Officials of the Office of the Premier who contravenes the provisions of this policy shall be charged with misconduct and the necessary disciplinary measures, as outlined in the Public Service Grievance and Disciplinary Procedures, should be taken against the contravener.

## **10 INCEPTION DATE**

The inception date for this policy will be after approval by the Executive Authority.

## **11 TERMINATION AND REVIEW CONDITIONS**

This policy will remain in force unless withdrawn or amended by the Executive Authority and shall be reviewed by a special review committee appointed by the Executive Authority bi-annually or whenever a need arises

## **12 ENQUIRIES**

All enquiries can be directed to Strategic Planning and Policy Coordination Unit.