



KWAZULU-NATAL PROVINCE

**OFFICE OF THE PREMIER
REPUBLIC OF SOUTH AFRICA**

2021

QUICK GUIDE TO PLANNING IN KZN OFFICE OF THE PREMIER



DR NI NDLOVU

DDG: Strategic Management Branch

3/31/2021

Table of Contents

STAGE ONE: THE PLAN FOR PLANNING	3
Development of a Departmental Strategic Planning Calendar	3
STAGE TWO: PLANNING BY UNITS	4
What should happen at Unit / Chief Directorate & Branch level planning	5
STEP ONE: IDENTIFY & CONFIRM MANDATE	5
STEP 2: STAKEHOLDER ANALYSIS	7
STEP 3: CONDUCT AN ENVIRONMENTAL ANALYSIS	8
STEP 4: PLANNING FOR KEY INTERVENTIONS FOR THE YEAR AHEAD.....	10
STAGE THREE: INPUTS FROM BRANCHES – APP & OPS PLANS.....	12
STAGE FOUR: DRAFTING OF UNITS OPS PLANS	13
STAGE FIVE: ASSESSMENT OF APP INPUTS BY PLANNING	16
STRATEGIC FOCUS.....	16
MEASURING PERFORMANCE	17
UPDATED KEY RISKS	17
TECHNICAL INDICATOR DESCRIPTIONS.....	17
STAGE SIX: DEPARTMENTAL STRATEGIC PLANNING SESSION	19
STAGE SEVEN: PREPARATION OF A DRAFT APP	20
STAGE NINE: TOWARDS FINALISATION OF OPS PLANS	21
STAGE TEN: FINALISATION OF APP	22
STAGE ELEVEN: FINALISATION OF OPS PLAN.....	23
STAGE TWELVE: DEVELOPMENT OF PERFORMANCE AGREEMENTS & WORKPLANS.....	24

PLANNING IN OTP

This guide seeks to provide a simple process for the manner in which planning is undertaken in the Office of the Premier. The aim is to ensure that any OTP member of staff, should be able to access this document and by reading it and following the process as outlined in the pages which follow, they will be able to undertake planning either for themselves, their unit, their Chief Directorate or their Branch.

The Revised Planning Framework for Strategic Plans and Annual Performance Plans (2019), accompanied by the Guidelines for Implementation of the Revised Framework for Strategic and Annual Performance Plans (2019) developed by the Department of Planning, Monitoring & Evaluation (DPME) provides a very comprehensive outline for planning in South Africa. The documents outline the legislation which governs planning, how it should be undertaken, the tools that can be used in the planning process and definitions of the various planning tools.

This guide does not seek to replace these foundational documents but rather to supplement them for the KZN OTP context. These two documents remain the basis for which all planning, at the various levels, is to be undertaken.

In the following pages we hope to we answer the question:

“How does planning happen in the OTP?”

STAGE ONE: THE PLAN FOR PLANNING

Development of a Departmental Strategic Planning Calendar

This calendar is produced by the Strategic Planning unit after confirmation of dates from DPME & Treasury with regard to certain compliance issues. This normally takes place around May -June as per the process plan outlined in the OTP Planning Policy. Once drafted and approved, the calendar is shared with MANCO members.

Example of a planning calendar:

OTP STRATEGIC PLANNING CALENDAR 2021 (PLANNING FOR 2022/23)

DATE	ACTIVITY	RESPONSIBILITY
JUNE 2021		
1 st – 30 th June	Development of OTP Strategic Planning Calendar. Finalise the reviewed OTP Planning Policy & Manual. Commencement of workshops of SMS members on Revised Planning Framework including Operational Planning	Strategic Planning Unit
JULY 2021		
1 – 31 July	Continue with workshops of SMS members on Revised Planning Framework (required) Pre- Strategic Planning Sessions by Branches: Sessions held with/ by: <ul style="list-style-type: none"> - Units, - Directorates - Branches Undertaking the following analysis: <ul style="list-style-type: none"> - Mandate – possible shifts - Stakeholder analysis - External and Internal environmental analysis etc. as outlined in the Planning Manual. 	All Business Unit Heads Chief Directors Deputy Director-Generals
AUGUST 2021		
1 -31 August 2021	Utilising information from the sessions and from experience of implementation of APP and OPS plans, each Directorate, Chief Directorate and Branch to develop inputs for: <ul style="list-style-type: none"> - APP (new and revised APP indicators, targets and TIDS). - OPS Plans (OPS plans to be developed for each Unit (Director unit level), Chief Directorate unit & Branch Each Branch to submit consolidated Draft APP and 1st Draft Operational Plans inputs by 31 August to Planning.	All Business Unit Heads Chief Directors Deputy Director-Generals

STAGE TWO: PLANNING BY UNITS

1. Managers should commence Planning in July. Unit Planning: Managers should plan with all their staff.
2. Unit planning: At a unit level, Managers to have planning sessions with **ALL** their staff. The inclusion of all staff cannot be stressed enough. In order to obtain buy in and support from staff for the work that needs to be undertaken, all staff must be aware of *what* they need to do and *why* they need to do it. They also must be aware of their role in the plan of the unit. The question then may be - what is it that managers should be planning at the unit level.
3. Planning at the unit level is very similar to what will happen at a Chief Directorate or Branch level. The difference will be the level at which issues will be discussed and inputs provided. All steps of the process outlined below should be followed during these engagements.
4. Chief Directorate Planning: This level of planning should involve all staff in the Chief Directorate. However, if the manager feels that it will be too large, then at least managers (level 9 and above) should be part of the planning session. The units (Directors) should present their discussions at their strategic planning sessions and their inputs for the chief directorate. All steps of the process outlined below should be followed during these engagements.
5. Branch Planning: A similar process, except the managers of the Branch must be in attendance (depending on the Branch Head), the invite could be escalated to all levels of staff within the Branch. At a Branch level, it will not be necessary to go through steps 1 - 3 at an in-depth level but rather address it strategically. It would be best to concentrate on steps 4 – 5 for the Branch session.
6. Departmental Planning: This is a departmental session held with all managers, and led by the DG and the Premier. Branch Heads present their Branches inputs into plans for the forthcoming financial year.

What should happen at Unit / Chief Directorate & Branch level planning

STEP ONE: IDENTIFY & CONFIRM MANDATE

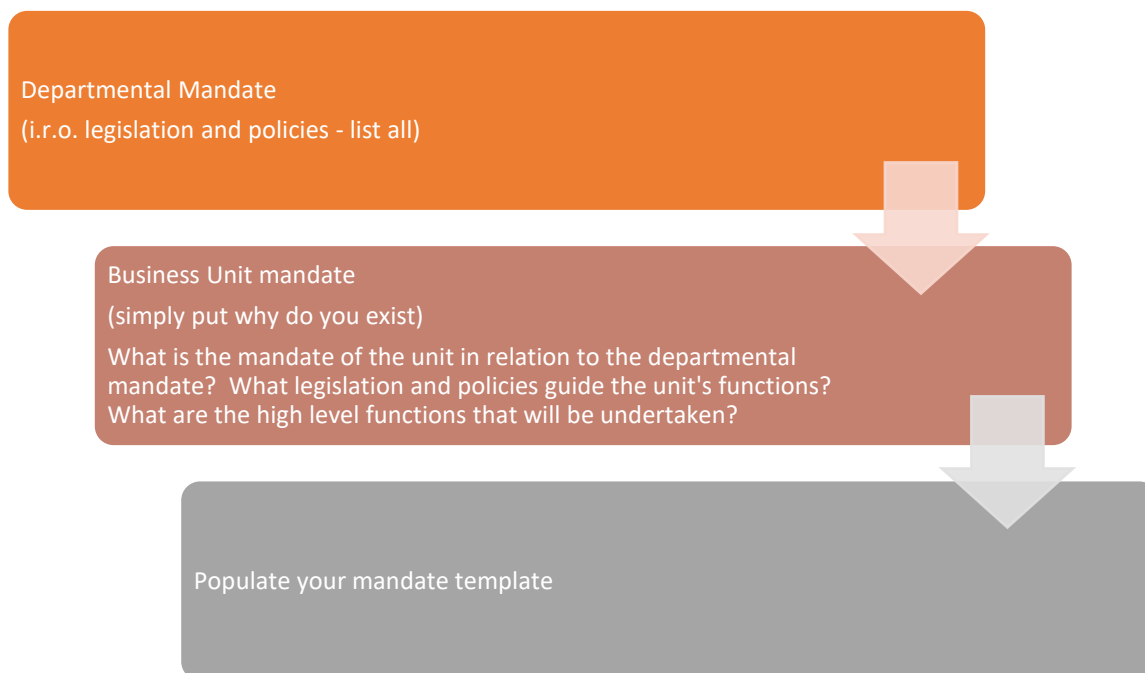
Ask and answer:

What is the department's mandate?

What is your business unit's role in terms of that mandate (this can be expanded to Chief Directorate, Branch, etc.)?.

What is important here, is to understand your role as a business unit within the mandate of your department (your mandate). What legislation and policies guide the unit's functions in terms of that mandate?

A mandate template (which follows) has been developed to assist with this. It may happen that the unit's mandate has not changed from one year to another (and this is perfectly fine).



Mandate Template - Organisational: Example of OTP

MANDATES OF OTP : GENERAL PROVISIONS	
Constitution	
125. Executive authority of provinces	<ol style="list-style-type: none"> 1. The executive authority of a province is vested in the Premier of that province. 2. The Premier exercises the executive authority, together with the other members of the Executive Council, by <ol style="list-style-type: none"> a. implementing provincial legislation in the province; b. implementing all national legislation within the functional areas listed in Schedule 4 or 5 except where the Constitution or an Act of Parliament provides otherwise; c. administering in the province, national legislation outside the functional areas listed in Schedules 4 and 5, the administration of which has been assigned to the provincial executive in terms of an Act of Parliament; d. developing and implementing provincial policy

Mandate template: unit level: example Auxiliary Services under ICT Chief Directorate

PROVINCIAL INFORMATION TECHNOLOGY			
Admin and Auxiliary Services			
<i>Purpose</i>	<i>Legislation/Policy Mandate</i>	<i>Description</i>	<i>High Level Functions (Internal & External to be identified if role demands)</i>
Manage Departmental Property-Immovable Assets	1. Government Immovable Asset Management Act, 2007 (GIAMA)	<p>The Act prescribes the planning for immovable asset management. The following paragraphs are noteworthy:</p> <p>12. (1) (a) A user must annually revise its user immovable asset management plan after its budget allocations have been finalised by the relevant treasury.</p> <p>14. (1) The accounting officer of a user must...—</p> <p style="margin-left: 20px;">(a) compile, in accordance with section 8, a user immovable asset management plan that will form part of the strategic plan of that user;</p> <p style="margin-left: 20px;">(c) submit its user immovable asset management plan to the relevant treasury in accordance with section 9;</p> <p style="margin-left: 20px;">(d) submit a copy of the user immovable asset management plan to the relevant custodian in accordance with section 9;</p>	<p>INTERNAL FOCUS:</p> <p>EXTERNAL FOCUS:</p>

Once mandate has been understood, units need to conduct a stakeholder analysis.

STEP 2: STAKEHOLDER ANALYSIS

In terms of a unit's mandate and high level functions that a unit is expected to undertake, who are your stakeholders?

Guiding questions that can be asked are:

WHO? Who are the stakeholders you interact with? It is always useful to categorise them under internal and external

WHY? Why do you need to interact with these stakeholders? Outline your reasons next to each stakeholder.

WHAT? What is the form of interaction you have with each stakeholder? For example it can be "Provision of technical support in a specific area".

HOW? What are your means of interaction with this stakeholder? Is it a meeting, telephonic queries, etc? List these and include frequency of interactions with the stakeholder i.e. do you only interact with the stakeholders quarterly during meetings? Or perhaps more frequently in terms of support.

PRODUCT? What is the product or the result from the engagement with the stakeholder? Will you be producing minutes, a report, etc.?

The following template provides a means to conduct stakeholder analysis:

STAKEHOLDER ANALYSIS TEMPLATE

EXTERNAL STAKEHOLDERS						
NAME OF STAKEHOLDER	REASON FOR INTERACTION	FORM OF INTERACTION	FREQUENCY PER YEAR	PRODUCT	LINK TO APP / OPS PLAN	OTP BUSINESS UNIT
Provincial Departments	To provide technical support	Provincial Strategic Planning Forum	Quarterly	Meeting minutes	OPS plan indicator	Strategic Planning
	To ensure compliance to the framework & alignment to government priorities	Assessment of SPs & APPs for compliance	Bi-annually	Assessment reports	APP indicator	Strategic Planning
INTERNAL STAKEHOLDERS						

STEP 3: CONDUCT AN ENVIRONMENTAL ANALYSIS

Once one understands issues of mandate, and stakeholders, there is a need to understand the environment in which you function. In order to do this, you need to analyse documents at your disposal that will assist you e.g. STATS SA most recent reports related to your area of expertise (if available), 5 year review report, annual report, internal reports relevant to your unit, etc.

*It must be noted that an accredited institution must be utilised when analysing statistics as a data source in your relevant area as they comply with the international norms & standards for information management e.g. STATS SA, HRSC, CSIR, NRF, etc.

The most common methods used for this exercise is SWOT, PESTEL, FISHBONE, PROBLEM TREE, etc. Each have their merit but for the purposes of planning in the OTP, please use a combination of SWOT AND PESTEL as follows:

Just a recap: **SWOT** stands for **STRENGTHS, WEAKNESS, OPPORTUNITIES & THREATS**.

PESTEL stands for **POLITICAL, ECONOMIC, SOCIAL, TECHNOLOGICAL, ENVIRONMENT & LEGAL**.

Also be reminded that strengths and weaknesses refer to internal environment and opportunities and threats the external environment.

When undertaking this exercise, please consider your resources (budget, human resources, etc.).

There is also an urgent need to **mainstream vulnerability – gender issues, women, children, youth, people with disabilities, the elderly, Military Veterans, etc.** therefore please include these in your analysis, vulnerable groups, interventions required and improvement plans/plans talking to mainstreaming.

	P	E	S	T	E	L
S (I)	<ul style="list-style-type: none"> Provide guidance and leadership for planning in the Province 	<ul style="list-style-type: none"> Don't require large budget – office bound 	<ul style="list-style-type: none"> Expertise Good co-ordinators of planning function Good team spirit 	<ul style="list-style-type: none"> Development of electronic planning system 	<ul style="list-style-type: none"> Location – ease of access to some departments 	<ul style="list-style-type: none"> Revised framework Conduct own assessments Support: PGDP, IDP, SDIP, etc.
W (I)	<ul style="list-style-type: none"> Change of leadership mid-term or during term 	<ul style="list-style-type: none"> Budgets cuts – Non filling of posts Current staffed by 1x D, 2xDD, 1xAO 	<ul style="list-style-type: none"> Poor health of staff Absenteeism 	<ul style="list-style-type: none"> Lack of knowledge of technology. Currently no website for SP (dept or provincially). 	<ul style="list-style-type: none"> Office accommodation Safety and security 	<ul style="list-style-type: none"> Revised framework – understanding & implementation Planning Bill – lack of feedback on current status, etc. from DPME.
O (E)	•	•	•	•	•	•
T (E)	•	•	•	•	•	•

The template has been populated with examples for ease of reference.

Out of this analysis, a summary analysis per SWOT can be done e.g.:

STRENGTHS: This unit leads Planning in the Province and will continue to do so and carry out functions attached as per mandate. We will also continue to forge ahead with 4IR initiatives.

Internal focus areas:

Strengthening of OTP Planning through 4IR – development of electronic system.

WEAKNESSES: Due to vacancies and poor structure, workload increases are substantial for team members, leading to ill health and time off work. Lack of computer literacy may hamper 4IR efforts. Implementation of revised framework without relevant training & experience may result in poor quality of strategic documents and the assessment of these. The safety and security of the building requires urgent attention by the leadership of the department.

Internal focus areas for unit:

Filling of vacancies? Structure assessment for Directorate?

Capacity Building on Revised Framework and/or electronic planning system.

STEP 4: PLANNING FOR KEY INTERVENTIONS FOR THE YEAR AHEAD

Once the combined SWOT & PESTLE exercise has been completed, the summaries need to be unpacked and from these key challenges and interventions identified. The mainstreaming of the vulnerable groups must also be included in the development of interventions. This must include:

1. Interventions to include gender, youth & people with disabilities.
2. Interventions to also include empowerment of women, youth and people with disabilities - internally in OTP and externally in terms of our transversal function of co-ordination.
3. Kindly consider the indicators that may accompany these interventions in terms of disaggregation i.e. location, gender, age and people with disability.
4. Also consider budgeting to show women empowerment in OTP and empowerment through our procurement process.

An example of how this could be done follows:

SWOT AREA	Summary of SWOT	Key Challenge identified	Intervention to address challenge area	Is Intervention part of your current plans (APP and OPS plans)	How (will identified Key Intervention be actioned)	Alignment to MTSF 19-24 / SOPA / Cab Lek / Other
STRENGTHS	Leads planning in the Province	Poor quality of provincial depts plans / non-alignment of depts plans to provincial priorities	Provide support on planning provincially through: <ul style="list-style-type: none"> - Forum meetings - Assessments of plans for compliance and alignment. - Facilitation of strategic planning sessions. 	Yes – APP and OPS plan indicators.	Assessments of SPs and APPs for technical and alignment compliance.	Outcome: Functional and integrated government
	4IR initiatives	Lack of automated systems for planning in the OTP	Expansion of OPS plan system being designed as part of Nerve Centre to include APP and SP	No (was part of SP but will have discussions with IT around this issue).	Design a system with IT	CL Resol. 3.17
WEAKNESS	Lack of capacity	Vacant posts	Fill vacant posts	No	Budget prioritisation and	Outcome: Honest and capable

	(warm bodies)				submission to HR	state with professional and meritocratic public servants CL Resol 4.15
			Re-configure the unit/s in terms of the chief directorate	No		Outcome: Honest and capable state with professional and meritocratic public servants CL Resol 4.15
			Re-consider some of the unit's outputs i.e. reduced targets, etc.	No		Outcome: Honest and capable state with professional and meritocratic public servants CL Resol 4.15
	Implementation of Revised Planning Framework	Lack of understanding of the revised framework and the manner in which planning should be conducted (in compliance to framework)	Capacity building provincially	Yes part of OPS plans	Engage with the Academy, DPME and NSG	P 6: Outcome: Honest and capable state with professional and meritocratic public servants
OPPORTUNITIES						
THREATS						

Once this exercise is completed, this can then be discussed at a Chief Directorate / Branch level and prioritised even further to prepare for a departmental strategic planning session, i.e. is there anything new that has come out of the discussions that need to be incorporated into the APP or unit OPS plan.

The template that can be used at a Branch Level.

STAGE THREE: INPUTS FROM BRANCHES – APP & OPS PLANS

Each Branch provides their inputs in terms of:

- Changes to current APP (are any of the current indicators and targets not applicable or perhaps achieved and need to be replaced? Are there any targets that may require reduction or increase dependent on factors surrounding the activity?)
- New proposals for indicators and targets for the forthcoming year.
- Completed Technical Indicator Descriptors (TIDs) for each indicator (current APP indicator TIDs to be reviewed and amended as required). New proposed indicators to be accompanied by a completed TID.
- To be noted that the responsibility for the development of a TID is that of the Manager who is responsible for implementation thereof. The Planning Unit will provide support in terms of technical compliance of the TIDs to the Framework (which can be consulted by the units whenever necessary).
- Branch inputs on APP to be included in the template below.
- Branches to also submit consolidated draft Branch OPS plans (template to be used as per current OPS plan template) with inputs for the APP.

Example: POSSIBLE TEMPLATE FOR APP INPUTS

CURRENT APP INDICATORS		Still relevant Y/N	If N, what is the amended indicator and/or target	Reason for change	TID reviewed / completed Y/N and attach a copy
Indicator	Target				

This template is completed per Branch and will form the basis for inputs into the forthcoming year's APP.

In addition to this, each Branch to draft an OPS plan per unit for the respective units in the Branch.

STAGE FOUR: DRAFTING OF UNITS OPS PLANS

As the units commence planning of their Operational Plans they will utilize the information that they have on hand (from the planning sessions that they have held) for the drafting of their OPS plans.

Units can use their current OPS plans and follow a similar process as outlined above in terms of drafting of APP inputs:

1. Review their current OPS plan and check the relevance of each activity (i.e. which will be repeated, and which may be completed and not required for the following year.
2. Utilise the OPS Plan template provided by the Planning Unit, to populate with their proposed OPS Plan activities.

Managers are to ensure that:

- The OPS plans commence with the planning for the APP indicators followed by the other operational activities that the unit undertakes.
- Activities related to Cabinet Lekgotla resolutions (all those not completed as yet) are included in the OPS Plan.
- Any outstanding activities from One on One engagements held with the Premier must be included in the unit's OPS plan.
- KZN MTSF (POA) indicators that the unit contributes to / is responsible for must be included in the OPS plan.
- Activities related to SOPA must also be included if not completed as yet.
- Compulsory Admin indicators are to be included and planned for as well.
- Vulnerable groups are considered at all times i.e. Women, Youth, Elderly and Military Veterans, etc. when defining activities, outputs and budget allocation.

The development of the OPS plan starts at the same time as that of the APP.

There will then be two workflows from this process. The first will concentrate on the APP inputs and process for finalisation of the APP and the second is the development of the OPS plan and the finalisation of that plan.

Once each unit has drafted their draft OPS plan, a process of self-assessment is to be undertaken utilizing the checklist / guideline below.

After each self-assessment the Branch will discuss the self-assessed OPS plans at their Branch MANCOs in preparation for the Branch representative to present the Branch OPS Plan to the Strategic Management Committee.

The self-assessment timeframes within each Branch can be set by the Branch itself with a focus on the dates where the Strategic Management Committee representative will be presenting the self-assessed OPS Plans (as per the Planning Calendar).

The following guideline / checklist to be used for the self-assessment:

GUIDELINE DOCUMENT FOR OPS PLAN DEVELOPMENT

A. QUESTIONS	Y/N If N take corrective action
1. Has the OPS Plan reflected the correct programme name and business unit?	
2. Is the APP and OPS Plan aligned (Indicators and quarterly targets)	
3. Have the following sub-headings / aspects of the template been reflected in the OPS plan of the unit?	
-Dependencies	
- Responsibility	
- Budget per output	
- Comprehensive milestone activities	
4. Have the following issues relevant to the unit been included in the OPS plan:	
• KZN MTSF Interventions and indicators	
• SOPA	
• Cabinet Lekgotla Resolutions	
• Premier’s Engagement/instructions to unit	

A. QUESTIONS	Y/N If N take corrective action
<ul style="list-style-type: none"> • Provincial Priorities: <ul style="list-style-type: none"> - Women & Gender issues - Youth issues - People with Disabilities issues - Military Veterans issues - Children issues - Senior Citizens issues - Farm workers and farm dwellers issues - Gender based violence - Operational Vula / RASET 	
<ul style="list-style-type: none"> • Sectoral Recovery Plans (Social, Justice, Governance & Economic) 	
5. Is the quarterly and monthly OPs plans aligned?	
6. Have the APP output indicators been included and planned for?	
7. Have all outputs been supported by output indicators?	
8. Are outputs and output indicators clearly defined? (Sometimes outputs are duplicated as output indicators)	
9. Is the reporting period reflected correctly?	
10. Are the targets correct in terms of:	
<ul style="list-style-type: none"> - breakdown (monthly or quarterly) 	
<ul style="list-style-type: none"> - rolling up to the annual target (does your monthly / quarterly target adding up to annual target) 	
<ul style="list-style-type: none"> - does the target relate to the indicator (e.g. if indicator says number, then target must be a number, not an item or %) 	
<ul style="list-style-type: none"> - disaggregation of targets (women, youth, people with disabilities and/or military veterans) 	
11. Have the high level activities per output been captured and broken down into a monthly level?	
12. Has the output been planned for adequately and timeously? (if you have a target that is only due in a specific quarter – it does not mean that activities for that target only commences on that specific quarter or month. Planning of activities must include before and after activities that need to take place)	
13. Have the monthly activities been assigned responsibility clearly in the monthly activity narrative?	
14. Has each activity been assigned person/s responsible?	

STAGE FIVE: ASSESSMENT OF APP INPUTS BY PLANNING

APP inputs received from each Branch are assessed by the Planning Unit to be discussed at the Strategic Management Committee utilizing the following criteria; for onward transmission to EXCO:

STRATEGIC FOCUS

Situational Analysis

- Has the Branch provided information for the situational analysis?
- Has the Branch reflected on its strategic focus over the five-year planning period?
- Has the Branch used recent statistics relevant to the Branch and sector in context and to substantiate identified external and internal environment factors?
- (Household Survey, Unemployment survey, Community Survey? Consider: Economic Stats – updated – Treasury slideshow)
- Has the Branch reflected on the medium and long-term policy environment? (MTSF, COVID-19 – impact – lockdown - department’s response; RASET? OPERATION VULA).
- Has the Branch provided an evidence-based analysis of priorities relating to women, youth and people with disabilities (where appropriate)?
- Vulnerable groups (Women, Disabled, Youth, Military Veterans) - Gender responsiveness of depts; GBV.
- Has the Branch used demographic data (where appropriate) relevant to the Branch and sector in context and to substantiate identified external and internal environment factors?
- Has the Branch used information about the demand for services (where appropriate) relevant to the Branch and sector in context and to substantiate identified external and internal environment factors? (Related to mandate – why do they exist – to provide what service? Will depend dept and the services they provide to understand the demand).
- Has the Branch used spatial information (where appropriate) relevant to the Branch and sector in context and to substantiate identified external and internal environment factors? (Specifics of where services will be provided – geographic areas).
- Has the Branch reflected on the challenges experienced in carrying out its planned work, and the mechanisms to address these over the planning period? (SWOT / PESTLE – interventions)
- Has the Branch reflected on the emerging priorities and opportunities which will be implemented during the planning period? (SWOT / PESTLE – interventions)
- Has the Branch reflected on the information about the Branch’s capacity to deliver on its mandate? (Internal environment, organogram, vacant posts, technical expertise, etc.)

- Has the Branch reflected on the relevant stakeholders which contribute to the Branch's ability to achieve its planned outcomes? (Stakeholder analysis).

MEASURING PERFORMANCE

- Are the outputs reflected in the APP aligned to the achievement of the outcomes in the SP? Are the activities reflected in the APP – going towards the achievement of an outcome?
- Has the Branch provided a measurable output indicator/s for each output?
- Has the Branch provided audited performance and estimated performance for each output indicator (where possible)
- Has the Branch provided a SMART MTEF target/s related to the output indicator?
- Have the annual targets been broken down into quarterly targets (where possible)?
- Are output indicators in the Branches of a strategic nature and address the service delivery mandate of the Programmes they represent?
- Has the Branch planned for the relevant standardised performance indicators reflected in the relevant programme plans? (Customised indicators)
- Are the province specific indicators reflected in the relevant programme plans (for provincial Branches)?
- Explanation of Planned Performance over the Medium-Term Period. End of each programme or at end of APP but not in Situational Analysis
- Has the Branch explained how the outputs contribute towards the achievement of the outcomes in the SP? Is there a clear, logical flow of results?
- Are the Branch outputs, indicators and targets addressing the challenges and opportunities that have been identified in the updated situational analysis?

UPDATED KEY RISKS

- Are there updates in the key strategic risks: Has the Branch outlined the updates to the key strategic risks that could result in the non-achievement of the outcomes?
- Have the updates to the risk mitigation factors been provided to address the potential risks?

TECHNICAL INDICATOR DESCRIPTIONS

- Has the Branch defined all the output indicators in the Technical Indicator Description table?
- Is the TID table comprehensively completed?

- Does the definition of the indicator outline comprehensively what the indicator means?
- Is the means of verification in line with the definition of the indicator, reporting cycle, source of data and responsibility? Further is the means of verification clear in outlining what the portfolio of evidence will be, that will be submitted by the respective manager, as proof of achievement for the purposes of QPR?
- Are the assumptions clear and linked to the indicator?
- Has the manager considered the disaggregation of beneficiaries of the target where applicable e.g. if the indicator speaks is “Number of jobs created” – of those jobs created, how many / what percentage will be targeting women, youth, military veterans, (and any other of the identified vulnerable groups). Or who will be the beneficiaries of this specific action?
- Has the manager considered the Spatial Transformation related to this indicator? The contribution to spatial transformation priorities (any targeted districts, municipal areas, etc.) and / or is there a description of the spatial impact of this activity?

Indicator title	<ul style="list-style-type: none"> • Title of the indicator verbatim as given in the Programme Plan
Definition	<ul style="list-style-type: none"> • Meaning of the indicator • Explanation of technical terms used in the indicator
Source of data	<ul style="list-style-type: none"> • Where the information is collected from
Method of calculation or assessment	<ul style="list-style-type: none"> • How the performance is calculated (quantitative) • How the performance is assessed (qualitative)
Means of verification	<ul style="list-style-type: none"> • The portfolio of evidence required to verify the validity of the data
Assumptions	<ul style="list-style-type: none"> • Factors accepted as true and certain to happen without proof
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> • Target for women • Target for youth • Target for people with disabilities
Spatial transformation (where applicable)	<ul style="list-style-type: none"> • Contribution to spatial transformation priorities • Description of spatial impact
Calculation type	<ul style="list-style-type: none"> • Cumulative (year-end), cumulative (year-to-date) or non-cumulative
Reporting cycle	<ul style="list-style-type: none"> • Quarterly, bi-annual or annual
Desired performance	<ul style="list-style-type: none"> • Information about whether actual performance that is higher or lower than targeted performance is desirable
Indicator responsibility	<ul style="list-style-type: none"> • Who is responsible for managing or reporting on the indicator

Once the APP inputs are presented by the Branch Strategic Committee representatives, and are assessed by the Committee, the recommendations will then be made to EXCO for confirmation. These inputs will be discussed at the strategic planning session.

STAGE SIX: DEPARTMENTAL STRATEGIC PLANNING SESSION

This is a departmental session held with all managers and led by the DG and the Premier. Branch Heads present their Branches inputs into plans for the forthcoming year. Comments are made with regard to these inputs.

The format of the Branch inputs at the strategic session are fluid and therefore a template has not been developed. There are examples available within the Branch of presentations that have been made at strategic planning sessions.

Branches will sometimes review their inputs based on the engagement held.

STAGE SEVEN: PREPARATION OF A DRAFT APP

The Planning Unit, utilizing all inputs as received from Branches, consolidates and drafts the APP. This draft is sent to the DDG: Strategic Management for comments / amendments.

The DDG circulates the draft document to all Branch Heads to confirm that the inputs as contained in the draft document are correct.

The draft APP is submitted to the DG for her inputs / recommendations.

The draft APP is then submitted for assessment by the 15 October (as per the Revised Planning Framework) for an internal review and then by the 30 October to the DPME for assessment.

STAGE NINE: TOWARDS FINALISATION OF OPS PLANS

The first draft of the self-assessed Branch OPS plans are presented by the Branch representative to the Strategic Management Committee. Inputs provided at the meeting are taken back to the Branch by the representative for consolidation of inputs.

Units then refine and submit their 2nd draft OPS plans within their Branch.

These second draft OPS Plans are self-assessed again (with respect to the comments made during first draft) and discussed within the Branch for the next presentation to the Strategic Management Committee.

The second draft of the self-assessed Branch OPS plans are presented by the Branch representative to the Strategic Management Committee. Inputs provided at the meeting are taken back to the Branch by the representative for consolidation of inputs.

Units then refine and submit their FINAL DRAFT OPS plans to the Planning Unit for final written assessment. The assessment tool used will be the same as the one used for self-assessment.

The unit then has the opportunity to review their plan and make amendments where required.

STAGE TEN: FINALISATION OF APP

Comments on the draft APP submitted to DPME are received by the end of January / beginning of February. These comments are circulated by the Planning Unit to all Branch Heads to check and amend where necessary.

The Branch Heads ensure the review of their APP and submit final Branch inputs to the Planning Unit for consolidation and final drafting.

The Planning Unit consolidates all FINAL inputs as received from Branches and draft the final version of the APP.

A memo to the Premier, DG, & DDGs is prepared for signatures to be appended on the APP. By signing off on the APP, each Branch Head is confirming their inputs and their commitment to the actions contained in the APP for the forthcoming year.

STAGE ELEVEN: FINALISATION OF OPS PLAN

Once units have received their written assessments from Planning Unit and have made the relevant amendments, (after Stage 9), and have considered incorporation of the Cabinet Lekgotla resolutions, relevant SONA and SOPA issues and any other provincial priority in their OPS plans; each Branch then submits their FINAL OPS plans to the Planning Unit.

The Branch OPS plans are accompanied by the sign off sheet from each Branch, which includes sign off from each Manager in the Branch. This sign off confirms that the Managers of the Branch have developed their OPS plans and are committed to the achievement of these during the forthcoming financial year. The DDG of each Branch signs off the Branch plan as approval as head of that Branch.








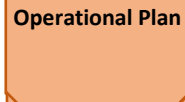

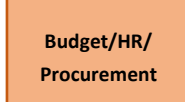



The inputs received from each Branch are consolidated into an AOP for the organisation.

The plan is then submitted to the DDG: Strategic Management. For onward transmission and approval of the DG.

This process finalises the operational plan for the department and should be completed by 31 March.

STAGE TWELVE: DEVELOPMENT OF PERFORMANCE AGREEMENTS & WORKPLANS

Once units have completed the process of development of their OPS plans, it is important for each staff member to understand their role in terms of implementation of the plan. As each individual crafts their performance agreement and their supporting workplan, it is imperative that the workplan is aligned to the OPS plan of the unit. It is the responsibility of the Unit Manager to ensure this alignment.

<p>Impact <i>What we aim to change</i> The developmental results of achieving specific outcomes</p>	 MTSF 2019-2024	<ul style="list-style-type: none"> • 7 Priority Areas • 5 year targets of outcomes to be achieved towards NDP • Interventions linked to Outcomes 	 PGDS	<ul style="list-style-type: none"> • 20 Year Vision and incorporates NDP, SDG and AU 2063 • Impact changes through 7 Priority Areas (direct mapping of MTSF 2019-24) • Interventions prioritised to Outcomes within a 5 year outlook
<p>Outcome <i>What we wish to achieve</i> The medium-term results for specific beneficiaries that are the results of specific outputs</p>	 5 year Strategic Plans	<ul style="list-style-type: none"> • Corporate Strategy) with Impact Statement, • Achieved through Outcomes (based on a Theory of Change) 	 5 year Strategic Plan	<ul style="list-style-type: none"> • OTP Departmental Strategy with Impact Statement • Achieved through Outcomes • Based on Theory of Change logic model • Alignment to PGDS
<p>Output <i>What we produce or deliver</i> The final products, or goods and services for delivery</p>	 Annual Performance Plan	<ul style="list-style-type: none"> • Annual Performance Plan • Output Programme Performance Measures 	 KZN MTSF Implementation Plan  Annual Performance Plan	<ul style="list-style-type: none"> • OTP Implementation Plan for MTSF • includes alignment to SOPA, Cabinet Lekgotla resolutions and any other pertinent priorities • APP operationalises Strategic Plan through the achievement of outputs.
<p>Activities <i>What we do</i> The processes or actions that use to deliver goods/services</p>	 Operational Plan	<ul style="list-style-type: none"> • Projects • Programme activities • Normal Operations • Support functions 	 Operational Plan	<ul style="list-style-type: none"> • Breakdown to sub-activity level for all APP indicators as well as other outputs that are not part of the APP. • Resources outlined. • Dependencies advised. • Responsibilities
<p>Inputs <i>What we need to do the work</i> Resources</p>	 Budget/HR/ Procurement	<ul style="list-style-type: none"> • Resources and enabling environment 	 Budget/HR/ Procurement	<ul style="list-style-type: none"> • Human Resources available to carry out activities. • Budget availability • Both to be used when planning targets.
<p>Individual Work plans <i>What is the individual contribution in alignment to the plans</i></p>	 Workplan	<ul style="list-style-type: none"> • Developed utilising all available plans and information as highlighted above 	 Workplan (linked to Performance Agreement) and in alignment to APP/ OPS plans	

Performance agreements are developed based on the organisational annual performance plan, noting that this is also supported by the cascading affect from the NDP and KZN MTSF Implementation Plan through to the operational plan, as illustrated in the following diagrams:

