OFFICE OF THE PREMIER

PERFORMANCE INFORMATION POLICY

2021

1. INTRODUCTION

The management of performance Information is an essential component for sound governance and general oversight of an institution. Availability of credible and accurate information supports decision making for effective delivery of programmes and services, thus enabling the Office of the Premier to efficiently implement its coordinating and oversight role.

Monitoring and Evaluation (M&E) processes are designed to assist the Department to manage its performance and identify factors which contribute to its service delivery outcomes. These M&E processes are uniquely oriented towards providing its users with the ability to draw connections between the choices of policy priorities; resourcing of those policy objectives; programmes designed to implement them, services actually delivered and their ultimate impact on communities. Monitoring and Evaluation helps to provide an evidence base for resource allocation decisions and helps identify how challenges should be addressed and successes replicated.

The Monitoring and Evaluation Chief Directorate is responsible for coordinating and coordinating performance information within the Office of the Premier to produce different sets of reports as required by legislation. The policy outlines the approach, definitions, principles, roles and responsibilities involved in the OTP performance management system. The principles captured in the policy will inform the collection, verification, reporting dissemination and publication of information in the Office of the Premier. This policy must be read in conjunction with procedure manuals for respective performance reporting frameworks (Annual Report, QPR and Operational Plan).

2. PURPOSE

The policy is intended to achieve effective and efficient performance information to support programme and service delivery; foster informed decision making; facilitate accountability, transparency and collaboration between units in the Department. The policy is further intended to describe proper processes for the coordination and submission of performance information that culminates in various plans and reports.

3.   DEFINITIONS

For the purposes of this policy, unless the context indicates otherwise, the following definitions are set out for the terms indicated:

Executing Authority: refers to a member of the Executive Council of the province of KwaZulu-Natal responsible for the Office of the Premier and the provincial administration.

Accounting Officer: refers to a Director-General in the Office of the Premier appointed in terms of Section 36 of the Public Finance Management Act (PFMA), 1999.

"**Oversight Bodies**" are structures established by the National and provincial administration to carry out oversight functions over National and Provincial departments and are an extension of the legislature. Such oversight bodies include the Standing Committee on Public Accounts (SCOPA), Finance Portfolio Committee, Premier Portfolio Committee and the Audit Committee (CARC).

"**Department**" means the Office of the Premier in KwaZulu-Natal.

"**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.

"**Evaluation**" - is a time bound periodic exercise that provides probable and useful information 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**" is a generic term for non-financial information about the programmes of government. It is a reflection of how well the institution is meeting its objectives.

"**Activities**"- are processes or actions that use a range of inputs to produce the desired output and ultimately outcome, that is, a series of steps which result in an output.

"Impact" refers to results of achieving specific outcomes, such as reducing poverty and creating jobs.

"Inputs" -means all resources contributing to the production and delivery of outputs, including finances, personnel, equipment and buildings, i.e. what we use to do the work.

"Outcomes" - are medium term results for specific beneficiaries that are the consequence of achieving specific outputs. Outcomes must relate clearly to the institution's strategic goals and objectives set out in its plans, i.e. what Department wants to achieve.

"Outputs" – are final products, or goods and services produced for delivery, i.e. what Department produce.

"Indicator"- a specific numerical measurement that tracks progress towards achieving a goal.

"Target" - a specific level of performance an institution, programme or project aims to achieve within a given period.

"Baseline"- refers to the current performance level that an institution aims to improve when setting performance targets.

4. OBJECTIVES

The objectives of the Policy on the Management of Performance Information for the Department are to:

4.1.1 Enable improved monitoring and evaluation of performance in the Department and its entities.

4.1.2 Guide the collection and analysis of information to be used as evidence to inform management decisions and improve performance results.

4.1.3 Guide capacity building initiatives for M&E and foster a culture of governance and decision making which uses M&E information.

4.1.4 Contribute to sustained improvement in programme planning, budgeting and implementation, management through enhanced evidence based learning.

4.1.5 Enable evidence based accountability to relevant stakeholders.

4.1.6 Improve reporting at all levels.

5. SCOPE AND APPLICATION

This policy is applicable to performance information in the OTP as relevant to respective performance reporting frameworks (Annual Report, QPR and Operational Plan). All employees are responsible for applying principles, standards and practices as prescribed in legislation, departmental policies, directives and guidelines in the performance of their duties and for documenting their activities and decisions.

6. LEGAL FRAMEWORK

The legal 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.

6.1.1 The Constitution Of The Republic Of South Africa Act 108 Of 1996

Section 92 of the South African Constitution emphasises that *"members of the cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions"*. It furthermore states that they must *"provide Parliament with full and regular reports concerning matters under their control"*. Section 133 provides for the accountability of members of the Executive Council of the Province to the Provincial Legislature.

6.1.2 Framework For Managing Programme Performance Information (FMPPI)

This document published by the National Treasury in May 2007 is one of the pillars of the Government-Wide Monitoring and Evaluation system. In this terrain data records are captured, verified and analysed into reports. An aim of FMPPI is to support regular audits of non-financial performance information in government institutions. Through evaluations, reports are compared to plans and benchmarks such as international best practices.

6.1.3 Policy Framework For Government-Wide Monitoring And Evaluation System (GWM&ES)

The Presidency published the "Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&E) in collaboration with the National Treasury and Statistics South Africa in November 2007. Part 1 of the GWM&E stipulates that it is the overarching policy framework for monitoring and evaluation in the South African Government and is applicable to all entities in the national, provincial and local spheres of government. The GWM&E system identifies three critical data terrains as:

i)   Programme Performance Information
ii)   Social, Economic and Demographic Statistics ; and
iii)   Evaluations

6.1.4 Public Finance Management Act, 1999 (Act No. 1 of 1999) As Amended by Act 29 of 1999) and Treasury Regulations

In terms regulation 5.3 and 30.2 of the Treasury Regulations "Evaluation of Performance" which must be read in conjunction with section 27(4) and section 36(5) of the PFMA *"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 39, 40 and 41 of the PFMA deal specifically with the broad framework of the reporting responsibilities of Accounting Officers.

6.1.5 Public Audit Act, 2004 (Act No. 25 of 2004)

The annual reports of government departments need to include, inter alia, audited financial statements and statements of programme performance information. Section 20(2) (c) of the Public Audit Act, 2004 requires that the Auditor-General express an opinion or conclusion on *"reported information of the auditee"* (being Department of Public Works), "against pre-determined objectives". The term 'performance information 'is used as a generic term for the non-financial information about government services and activities.

6.1.6 DPME Guidelines for Performance Reporting

The Guideline for Provincial Quarterly Performance Reporting provides instructions on the completion of Quarterly Performance Reports (QPRs); outlining requirements as per the Revised Framework for Strategic Plans and Annual Performance Plans (2019).

7.   POLICY PRINCIPLES

7.1   The Policy is guided by the following principles:

7.1.1 Transparency: Transparency refers to all findings are publicly available unless there are compelling reasons otherwise.

7.1.2 Accountability: Accountability refers to the use of resources which is open to public scrutiny.

7.1.3 Participation: Participation refers to the voice which is provided to historically marginalized people.

7.1.4 Inclusion: Inclusion means that traditionally excluded interests are represented throughout M&E processes.

7.1.5 Service Delivery: Service Delivery refers are variables reflecting institutional performance and service delivery are analysed and reviewed, links are identified and responsive strategies are formulated.

7.1.6 Learning: Learning means knowledge and an appetite for learning are nurtured in institutions and individuals.

7.1.7 Human Resource: Human Resource refers to the skills required for deliberative M&E are available, fostered and retained while the knowledge needed for strategic HR utilization is available and used.

7.1.8 Impact Awareness: Impact Awareness means the possible impacts of M&E interventions are considered and reflected upon in plans and their actual outcomes are tracked and analysed. Processes ensure the responsible use of personal and sensitive.

7.1.9 Confidentiality: Confidentiality refers to the Promises of anonymity and non-identify ability are honoured and relied upon.

7.1.10 Respect: Dignity and self-esteem is built amongst stakeholders and affected people. There is skilful and sensitive implementation of M&E processes.

7.1.11 Representation of Competence: Representation of Competence means that those engaged in monitoring and evaluation fairly represent their competence and the limitations of their reports.

7.1.12 Fair Reporting: Fair-Reporting refers to the provision of a fair and balanced account of the findings.

ROLES AND RESPONSIBILITIES

8.1 Executing Authority:

8.1.1   Is responsible for the provision of reports concerning matters of the Department to the Provincial Legislature.

8.1.2   Shall ensure that the Department sets up appropriate performance information systems in order to fulfil his or her accountability and reporting responsibilities.

8.1.3   Shall oversee that the reporting systems comply with the Framework for Management of Programme Performance Information issued by DPME and National Treasury.

8.2 Accounting Officer:

8.2.1   Is responsible for establishing and maintaining the systems to manage performance information.

8.2.2   Shall ensure that there is adequate capacity within the Department to integrate and manage performance information with existing management systems.

8.2.3   Shall approve and sign-off all performance information, for submission to relevant oversight bodies and publication as may be required, on dates stipulated in respective performance reporting frameworks (Annual Report, QPR and Operational Plan).

8.3   Monitoring and Evaluation Unit:

8.3.1 Is responsible for ensuring the implementation of M&E strategies by providing technical expertise, review of reported information and feedback to Branches within OTP.
8.3.2   Shall consolidate performance information and compile performance reports based on respective performance reporting frameworks (Annual Report, QPR and Operational Plan).

8.3.3 Shall submit reported performance information to the Accounting Officer for approval, and onward submission to relevant oversight bodies. This information must be shared and discussed with Departmental management, provincial Treasury and other oversight bodies as may be required for all reporting frameworks.

8.3.4 Shall conduct quarterly performance reviews in the Department, to discuss progress against set objectives for all departmental programmes.

8.3.5 Shall conduct annual workshops on the management of performance information techniques and systems.

8.4   Programme Managers and other Line Managers:

8.4.1 Are responsible for establishing and maintaining performance information processes and systems within their areas of responsibility.

8.4.2   Shall ensure completion and submission of monthly OPS reports to Monitoring and Evaluation unit.

8.4.3 Shall convene Unit/Branch engagements to discuss performance, endorse their information and submit to the Monitoring and Evaluation unit according to workflows created for respective performance reporting frameworks (Annual Report, QPR and Operational Plan).

8.5   Data Capturers

8.5.1 Shall collect performance data for their respective units, on an ongoing basis and maintain evidence of same as determined in the Technical Indicator Descriptor (TID) and the Portfolio of Evidence (POE).

8.5.2 Shall submit unit information to the Programme or Line manager for approval, according to workflows created for respective performance reporting frameworks (Annual Report, QPR and Operational Plan).

8.6   Data repository

8.6.1 The M&E unit shall activate and control the electronic performance reporting system on stipulated dates, for units in the OTP to submit performance information for their areas of jurisdiction.

8.6.2 The M&E unit shall further provide technical system support and training for all end users and M&E unit annually.

8.6.3 The Microsoft TEAMS platform shall be used for data reporting and deposit of supporting documents for reported information.

8.6.4 The arrangement in (8.6.3) above will remain in place until transition to a permanent digital system in complete.

8.7 Other Departmental Employees:

8.7.1 Are responsible for capturing, collating and checking performance data related to their activities.

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8.7.2 Must explicitly provide for this aspect of their work in their performance Agreements and Assessment.

8.8 State owned Entities reporting to Department:

8.8.1 Are responsible for the submission of performance information to oversight Departments for review, in terms of statutory requirements. In turn, oversight Departments will submit Entity reports to OTP for assessment of Department performance.

9.   MONITORING AND EVALUATION

9.1.1 The responsibility for monitoring and evaluating compliance with the management of performance information as set out in section 38 of the PFMA resides with the Chief Directorate: Monitoring and Evaluation in the Office of the Premier.

9.1.2 The reporting of performance information shall be conducted on an ongoing basis, as outlined in guidelines for respective performance reporting frameworks (Annual Report, QPR and Operational Plan) for each financial year.

9.1.3 The reporting process in the Office of the Premier will be in line with the Standard Operating Procedures set in 2020/21 for internal reporting.

10.   REVIEW OF POLICY

10.1.   The policy shall be reviewed every three years by the Monitoring and Evaluation Chief Directorate, unless there are changes in legislation and regulations. The next date of review is 2024.

11.   APPROVAL OF POLICY

11.1   The Performance Information policy for the KwaZulu-Natal Office of the Premier is Approved by the Accounting Officer for implementation with effect from the date of signature.

APPROVED BY:

DR NI Ndlovu
ACTING DIRECTOR-GENERAL
Date: 12 August 2021