



Province of the
EASTERN CAPE
SOCIAL DEVELOPMENT

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STANDARD OPERATING PROCEDURE: PERFORMANCE PLANNING

Approval Date	30 July 2021
Commencement Date	30 July 2021
Review Date	30 July 2022
Periodical Review	Annual
Resources	Human and Financial resources, ICT equipment
Intent of SOP	To document the Standard Operating Procedure (SOP) to be taken for the development, approval and submission of Departmental Statutory Performance Plans (MEC Budget & Policy Speech, Annual Performance Plan, Annual Operational Plan & Service Delivery Improvement Plan).
Process Objective(s)	Effective, efficient and developmental administration for good governance.
Scope	This SOP applies to all departmental officials (Service office, Area office, District office, to Provincial office) funded organizations, NPIs, NGOs rendering services for the Department.
Acronyms	<ul style="list-style-type: none">• AD – Assistant Director• AOP – Annual Operational Plan• APP – Annual Performance Plan• CD – Chief Director

	<ul style="list-style-type: none"> • DD – Deputy Director • DDG – Deputy Director General • DPME – Department of Planning Monitoring and Evaluation • FMPP - Framework for Managing Programme Performance Information • HOD – Head of Department • M&E – Monitoring & Evaluation • MEC – Member of Executive Council • MTEF – Medium Term Expenditure Framework • MTSF- Medium Term Strategic Framework • NDP - National Development Plan • PDP- Provincial Development Plan • PFMA – Public Finance Management Act • PIMP - Performance Management Information Policy • SDIP – Service Delivery Improvement Plan • SDG - Sustainable Development Goals • SMART – Specific, Measurable, Achievable, Relevant & Time-bound • SP - Strategic Plan
Desired Performance	<ul style="list-style-type: none"> • Development of authentic and credible statutory performance plans that are aligned across all spheres of governance within the Department (from organizations, service offices, area offices, district offices and provincial office) in line with Revised DPME Framework for Strategic Plans and Annual Performance Plans (2019).
Key Performance Indicator	<ul style="list-style-type: none"> • Number of organizational performance information statutory document produced.
Principles & values	<ul style="list-style-type: none"> • The process aligns the performance of all Social Development officials with the Department's overarching mission, vision and strategic priorities. • The principle of continued development and quality improvement forms the basis of performance process. • A process of quality assurance and management has been instituted to evaluate implementation and delivery of services continuously.

	<ul style="list-style-type: none"> Managing the ownership of the performance management process to remain the responsibility of the official concerned, his or her direct supervisor. The performance management process endorses the principles of justice and fairness. The principles of this process are applied consistently throughout the entire department
Compliance Measures	<p>Performance Information management shall be guided by DPME Framework for Strategic Plans and Annual Performance Plans (2019) which was introduced to improved government planning systems and to institutionalise development planning towards outcome-based planning.</p> <p>Member of Executive Council (MEC)</p> <ul style="list-style-type: none"> Participate jointly with the management in the development of statutory planning documents. Approve and endorse the Department's statutory planning documents for implementation purposes. Oversee the Department's performance regarding the development and implementation of its statutory plans. <p>Accounting Officer</p> <ul style="list-style-type: none"> The Accounting Officer shall guide the development, verify and sign off all Departmental Plans before submission to the MEC, Provincial Treasury, NDSD & OTP. <p>Integrated Strategic Planning Directorate</p> <ul style="list-style-type: none"> Initiate and facilitate the process of development of the ECDDSD strategic plan, APP and operational plan. Develop and disseminate planning templates to all budget programme and sub-programme managers. Consolidate programmes' plans in accordance with the approved reporting template. <p>Programmes/sub-programmes managers</p> <ul style="list-style-type: none"> Directors (sub-programme managers) must consolidate, verify, sign-off quarterly programme performance plans and submit it to Chief Directors. Chief Directors (programme managers) must consolidate, verify, and sign off programme plans in line with the approved Departmental Planning processes and in the approved templates. <p>DDG</p> <ul style="list-style-type: none"> Must ensure that there is alignment between Provincial and District information through engagement sessions between the Core Business Programmes and ISS <p>ISS</p> <ul style="list-style-type: none"> Shall ensure that the Districts comply with all requirements as outlined in the SOP

	<p>District Directors</p> <ul style="list-style-type: none"> • The District Directors together with District Office Management shall compile, quality check, further verification and analysis of District Plans • The District Directors sign-off the District Office Plans and submit to Programme managers on the dates provided in the reporting schedule of the Department and as per prescribed templates and standardised data collection tools. <p>Area Managers</p> <ul style="list-style-type: none"> • The Area Managers shall have the responsibility of ensuring collecting, consolidating and analyzing plans from various Service Offices • The Area Manager signs-off the Area Office plans for submission to the District Director on the dates provided in the process schedule <p>Service Office Managers</p> <ul style="list-style-type: none"> • The service Manager consolidates and submits data from officials at the Service Office • The Service Office Manager will together with the Supervisors will then verify plans and sign it off before submission to the Area Office. • The Service Office Manager will further communicate the feedback and findings to the officials timeously to emphasize continuous monitoring. • The Service Office Manager shall sign-off the Service Office plans for submission to the area Office on the dates provided in the planning schedule of the Department and as per prescribed templates and standardised data collection tools <p>DPME, OTP, NDS and Provincial Treasury</p> <ul style="list-style-type: none"> • Provide technical assessment of the APP to ensure compliance with relevant formats and frameworks, and that it is appropriately aligned before it is presented to Legislature. • Ensure that programmes' alignment of budget allocation with quarterly targets. <p>Non-Profit Organisations/ Community Based Organisations</p> <ul style="list-style-type: none"> • Develop and implement plans using standardized planning templates
Performance Measures	<ul style="list-style-type: none"> • Credible and authentic Departmental Performance Plans
Process Input Data	<ul style="list-style-type: none"> • Revised DPME Framework for Strategic Plans & APP • Approved Process Plan

	<ul style="list-style-type: none"> • Catalogue of Sector Indicators • Service Office Guidelines • Performance Planning Templates
Process Output Data	<ul style="list-style-type: none"> • Departmental Statutory Performance plans (MEC Budget & Policy Speech, Annual Performance Plan, Annual Operational Plan & Service Delivery Improvement Plan).

STEP BY STEP GUIDE					
PERFORMANCE PLANNING					
No.	Task Name	Task Procedure	Responsibility	Supporting Documentation	Service Standard
1.	Develop planning tools & template	<ul style="list-style-type: none"> Review Planning Templates for development of Service, Area, District & Provincial Office Plans Disseminate and communicate performance planning templates and planning tools for the next planning cycle. 	Strategic Planning	Reviewed Templates Memo and Emails	30 days
2	Conduct Pre-Planning	<ul style="list-style-type: none"> Conduct situational analysis per service office and baseline assessment of previous performance assessment Consolidate Zero Draft Service Office APP & AOP for submission to Area Office Provide feedback to organisations on the draft service office plans Consolidate, assess and analyze data from service offices to inform area office planning. Conduct situational analysis for the local area and baseline assessment of previous performance assessment Consolidate Zero Draft Area Office APP & AOP for submission to District Office Provide feedback to service offices on the draft service office plans. 	Service Office Managers/ Area Office Managers	Zero Draft Service Office APP & AOP Feedback Reports Zero Draft Area Office APP & AOP	30 days 30 days
		<ul style="list-style-type: none"> Consolidate, assess and analyze data from areas to inform district office planning. Conduct situational analysis for the district and baseline assessment of previous performance assessment Consolidate Zero Draft District Office APP & AOP for submission to Provincial Responsibility Managers Provide feedback to Areas on the draft area plans 	District Directors	Feedback Reports Zero Draft District APP & AOP	30 days

	<ul style="list-style-type: none"> Consolidate, assess and analyze data from districts to inform departmental planning. Conduct situational analysis for the Province and baseline assessment of previous performance assessment Provide feedback to districts on the draft district plans Consolidate Zero Departmental APP & AOP for submission to MEC & HOD 	Provincial Directors/ Programme Managers	Feedback Reports Zero Draft Programme APP & AOP	30 days	
3.	Communicate political directives	<ul style="list-style-type: none"> Give political Directives for next planning cycle to Extended Top Management for institutionalization. 	MEC	Draft Departmental APP & AOP	30 Days
		<ul style="list-style-type: none"> Outline implementation of political Directives 	MEC Budget & Policy Speech Task Team Strategic Planning	Signed Political Directives	30 Days
		<ul style="list-style-type: none"> Provincial Programme Managers to engage respective programmes on the institutionalization of Political Directives and Administrative Priorities. 	Provincial Programme Managers	MEC Budget & Policy Speech Task Team Report	
4.	Conduct engagement for service, area, district & provincial office for development of draft APP and AOP	<ul style="list-style-type: none"> Conduct Planning Engagement Sessions for development of departmental first draft Performance Plans Review/Crafting of programme performance indicators and key activities 	Service Office Managers, Area Managers, District Programme Managers and Provincial Programme Managers	Signed Programme Commitments	
		<ul style="list-style-type: none"> Attendance Register & Engagement Reports 		Attendance Register & Engagement Reports	30 Days

No.	Task Name	Task Procedure	Responsibility	Supporting Documentation	Service Standard
5.	Develop final plans	<ul style="list-style-type: none"> Working session for consolidation of inputs from Districts into final Departmental APP, Operational Plans APP and Operational Plans, aligning plans to the allocated budget Confirmation of budget in the APP & AOP (across the Department) 	Provincial Programme Managers Districts Area Offices Service Offices	Review session report	30 Days
		<ul style="list-style-type: none"> Manage logistics and procurement processes (Prepare and send invites and agenda, arrange venue and facilities, prepare packages) District Directors and Programme Managers to present their Plans to Extended Top Management for integration and endorsement. Prepare Consolidation Session Report Incorporate Consolidation Session inputs into final Plans 		<ul style="list-style-type: none"> Costed APP aligned to approves allocation Consolidated Programme report with POE 	30 Days
6.	Conduct consolidation session	<ul style="list-style-type: none"> Submit to Internal auditors, external auditors Correct auditors' findings and submit to HOD Endorse and approve the audit report 	Integrated Strategic Planning Internal Audit AGSA HOD	<ul style="list-style-type: none"> Invites Procurement order Packaged information Session Report Draft Plans 	30 Days
7.	Perform Preliminary auditing of performance plans	<ul style="list-style-type: none"> Submission of signed final plans by Programmes to Strategic Planning Submission of signed final plans by Strategic Planning to HOD Submission of signed final plans by HOD to MEC Submission of signed final plans by MEC to Oversight Bodies 	Strategic Planning District Directors Programme Managers	<ul style="list-style-type: none"> Approved report with corrected auditors' findings 	30 Days
8.	Submit final plans for sign-off by HOD, MEC & oversight bodied	<ul style="list-style-type: none"> Tableting of final APP & Operational Plan to Legislature 	MEC	<ul style="list-style-type: none"> Submission Memos from Programmes, Strategic Planning, HOD & MEC 	14 Days
9.	Table approved performance plans	<ul style="list-style-type: none"> Uploading of tabled plans in the Departmental Website Readiness to implement Performance Plans 	MEC, HOD Strategic Planning Communications	<ul style="list-style-type: none"> Proof of Tabling from the Legislature 	10 Days
10.	Disseminate tabled performance plans			<ul style="list-style-type: none"> Tabled Plans Available on Departmental Website 	10 Days

LEGISLATION, POLICIES, PROCEDURES & OTHER DOCUMENTATION (i.e. SOPs)

DOCUMENT NAME	DOCUMENT DESCRIPTION	Effective Date (if applicable)
<p>Constitution of the Republic of South Africa, 1996 (Sections 92, 114, 125 and 153)</p>	<p>The South African Constitution of 1996, stipulates that, the public service "must be governed by the democratic values and principles enshrined in the Constitution. These principles are intended to guide the transformation of the public service, from being a rules-bound bureaucracy, concerned with the administration of rules and regulations, to a dynamic, results-driven organisation, committed to delivering appropriate services to all the people of South Africa.</p>	<p>1996</p>
<p>Revised Framework for Strategic Plans and Annual Performance Plans (Department of Monitoring & Evaluation, 2019)</p>	<p>The Revised Framework is introduced to further improve government planning systems and processes and to institutionalise development planning in government. It gives the requirements for strategic and annual performance planning, operational planning, implementation programme planning, infrastructure planning, and monitoring, reporting and evaluations.</p>	<p>2019</p>
<p>Public Finance Management Act (PFMA), 1999</p>	<p>Section 40(d). Public Finance Management Act of No 1, 1999 (PFMA) and Public Regulations 2016 as amended compels Accounting Officer to provide information on departmental plans, reports and finance documents. This framework aims at addressing performance, information and the reporting thereof. Performance information indicates how well an institution is meeting its aims and objectives, and which policies and processes are working. Making the best use of available data and knowledge is crucial for improving the execution of government's mandate. Performance information is key to effective management, including planning, budgeting, and implementation, monitoring and reporting. Performance information also facilitates effective accountability, enabling legislators, members of the public and other interested parties to track progress, identify the scope for improvement and better understand the issues involved.</p>	<p>1999</p>
<p>Promotion of Access to Information Act, 2 of 2000</p>	<p>Manual for the Department of Public Service and Administration in terms of section 14 of the Promotion of Access to Information (Act No.2 of 2000). The Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) (hereinafter referred to as "PAA") is the national legislation which was enacted to give effect to the constitutional right of access to information. PAA gives all South Africans the right to have access to records held by the state, government institutions and private bodies.</p>	<p>2000</p>






DOCUMENT NAME	DOCUMENT DESCRIPTION	Effective Date (if applicable)
Policy Framework for a Government-Wide Monitoring and Evaluation System (GMM&E), 2005	To provide the Public Service with prescriptions to facilitate the rollout of the monitoring and evaluation of the Public service regulations and other DPSA's legislative and other regulatory mandates. To provide the system to document, provide feedback and disseminate results and lessons learned. To provide the mechanisms to support the implementation of an effective monitoring and evaluation system and guidance in respect of the activities to be carried out in relation to the implementation of the DPSA M&E system for the public service; and To provide clear roles and responsibilities of the different stakeholders in the context of monitoring and evaluation.	2005
Framework for Managing Programme Performance Information (National Treasury, 2007)	Clarify definitions and standards for performance information in support of regular audits of such information where appropriate • Improve integrated structures, systems and processes required to manage performance information • Define roles and responsibilities for managing performance information • Promote accountability and transparency by providing Parliament, provincial legislatures, municipal councils and the public with timely, accessible and accurate performance information.	2007
South African Statistics Quality Assessment Framework	The main purpose of SASQAF is to provide a flexible structure for the assessment of statistical products. SASQAF can be used for: self-assessment by producers of statistics; • reviews performed by a DQAT in the context of the NSS work; assessment by data users (e.g. financial market participants) based on the producing agency's quality declaration; and assessment by international agencies (e.g. the International Monetary Fund) based on the quality declaration.	2008
Public Audit Act, 25 of 2004	The Public Audit Act 25 of 2004 intends: to give effect to the provisions of the Constitution establishing and assigning functions to an Auditor-General; to provide for the auditing of institutions in the public sector; to provide for accountability arrangements of the Auditor-General; to repeal certain obsolete legislation; and to provide for matters connected therewith	2004
Division of Revenue Act	The object of this act is to: provide for the equitable division of revenue raised nationally among three spheres of government. Promote predictability and certainty in respect of all the allocations to provinces and municipalities may plan their budgets over a multi-year period and thereby promote better coordination between policy, planning and budgeting; and promote transparency and accountability in the resource allocation process, by ensuring that all allocations are reflected on the budgets of provinces and municipalities	2013

DOCUMENT NAME	DOCUMENT DESCRIPTION	Effective Date (if applicable)
<p>National Development Plan (NDP) Vision 2030, 2011</p>	<p>and by ensuring that the expenditure of the conditional allocations is reported on by the receiving provincial departments and municipalities.</p> <p>The NDP aims to achieve the following objectives by 2030: Uniting South Africans of all races and classes around a common programme to eliminate poverty and reduce inequality. Encourage citizens to be active in their own development, in strengthening democracy and in holding their government accountable. Raising economic growth, promoting exports and making the economy more labour absorbing. Focusing on key capabilities of both people and the country. Capabilities include skills, infrastructure, social security, strong institutions and partnerships both within the country and with key international partners. Building a capable and developmental state. Strong leadership throughout society that work together to solve our problems</p>	2011
<p>National Treasury Performance Information Management</p>	<p>In 2007 the National Treasury issued the Framework for Managing Programme Performance Information (FMPPi). The aims of the FMPPi are to: define roles and responsibilities for PI, promote accountability to Parliament, provincial legislatures and municipal councils and the public through timely, accessible and accurate publication of performance information, clarify standards for PI, supporting regular audits of non-financial information where appropriate, improve the structures, systems and processes required to manage PI.</p>	2007
<p>National Evaluation Framework</p>	<p>The revised National Evaluation Policy Framework provides minimum standards for evaluations across government. Its main purpose is to promote quality evaluations, which can be used for learning to improve the effectiveness, efficiency, relevance, coherence and impact of government interventions. This is achieved by reflecting on what is working or not working, and then revising interventions accordingly. It seeks to ensure that credible and objective disaggregated evidence from evaluations is used in planning, budgeting, organisational improvement, policy review, as well as ongoing programme and project management to improve performance. It provides for the use of various evaluation approaches in addressing complex issues and sets out a common language for the undertaking of evaluations in the public service</p>	2011

PROCESS RISKS

Risk Name	Risk Description	Probability (H/M/L)	Impact (H/M/L)	Control Description	System / Manual
Information quality & integrity	Lack of good quality information will result to unreliable information which negatively affects further planning	H	H	Strategic planning and engagement sessions are conducted quarterly to educate officials on planning and reporting.	Manual
Planning without baseline information	Planning that is not informed by research and baseline data will result into poor targeting and performance	H	H	Submission of research and demographic profiling data by Management Information Services Directorate to Strategic Planning	Manual
Non-adherence submission deadlines	Non-adherence to submission deadlines results in lack of proper and processing of information which compromises the quality of Departmental Performance Plans	H	H	Continuous reminders sent to all staff for submission of inputs when necessary	Manual

AUTHORISATIONS

Authorization:	Name:	Comments	Signature:	Date:
Quality Checked By	N.A. Mazizi			28/04/2021
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Director: Integrated Strategic Planning	N. Mabusele-Morrison,			30/04/21
Deputy Director General: Developmental Social Services	DR N.Z.G. Yokwana			07/05/2021
Acting Head of the Department	M. Machenba			
Distribution and Use of SOP	All Staff Members (Service Office, Area Offices, District Offices and Provincial Office) and funded organisations			30/07/2021