

STRATEGIC PLANNING POLICY

DEPARTMENT OF PUBLIC WORKS AND INFRASTRUCTURE

2020/2021-2024/2025



**public works &
infrastructure**

Department of
Public Works & Infrastructure
FREE STATE PROVINCE

TABLE CONTENTS	PAGE NUMBERS
1. Definition of Key Performance Concepts	3
2. Introduction	4
3. Statement of Purpose	4
4. Objectives of the Policy	4
5. Policy Statement	4
6. Scope of Application	5
7. Legislative and Policy Frameworks	5
7.1. Legislative Frameworks	5
7.2. Policy Frameworks	6
8. Roles and Responsibilities	7
8.1 Executive Authority	7
8.2 Accounting Officer	7
8.3 Senior Managers	7
8.4 Strategic Planning, Research, Monitoring and Evaluation	8
8.5 All other Employees	8
9. Breach of Policy	8
10. Planning Timeframes: Submission Dates	9
11. Communication and Monitoring of Policy	10
12. Review of Policy	10
13. Sign-offs and approval	11

1. DEFINITION OF KEY PERFORMANCE CONCEPTS

Key Performance Concepts	Description
Strategic Planning	A systematic process of establishing a vision and mechanisms to achieve the strategic objectives. It enables the Department to identify priorities and determines operational principles. It is a management tool that assists the Department to improve its performance and respond to both the internal and external environment most effectively.
Strategic Plan	The five-year Strategic Plan is aligned to the planning cycle, outlines the departments impact statement, outcomes, related outcome indicators and five year targets for outcomes. The Strategic Plan informs the institution's Annual Performance Plan. The department's strategic focus is aligned to the allocated budget based on its mandate.
Annual Performance Plan	The Annual Performance Plan details the budget programmes' performance indicators the specific performance targets that the Department aims to achieve in the budget year and the next two years of the Medium Term Expenditure Framework in pursuit of strategic outcomes oriented goals and strategic objectives towards progressively achieving the full implementation of the Five-year Strategic Plan.
Annual Report	The end of year non-financial and financial performance report which include the Auditor-General of South Africa's opinion on an institution's performance
Baseline	The current level of performance that the institution aims to improve.
Vision	It outlines what the department would like to ultimately achieve and gives purpose to the existence of the department. It serves as a foundation for all policy development and planning.
Mission	Sets out the reason for an institution's existence based on its legislative mandate, functions and responsibilities. It identifies what the institution does, why and for whom.
Output	Outputs are the products, goods or services produced for delivery. They may be defined as "What we produce or deliver". They are also the building blocks towards the desired outcomes
Assumption	An assumption is a factor that is accepted as true and certain to happen without proof.
Demand-driven indicator	A demand-driven indicator is a measure of the efficiency of a service provided by an institution in relation to the demand from service beneficiaries.
Activity	An activity is a process or action that uses a range of inputs to produce the desired outputs and ultimately outcomes. They are "What we do".
Input	An input is a resource that contributes to the production and delivery of outputs. Inputs are "What we use to do our work". They include finance, personnel, equipment and buildings.
Outcomes	Outcomes are "what we wish to achieve", institutional and behavioural changes in development conditions that occur between completion of outputs and achievement of affect changes in the performance of institutions.
Impact	Impacts seeks to answer the question of "what do we aim to change", like planning to reduce poverty and creating jobs.
Performance Indicator	A performance indicator is a type of performance measurement used by the Department to evaluate the success of a particular activity in which it is engaged. A quantitative or qualitative measure of programme performance that is used to demonstrate change and details the extent to which programme results are being achieved.
Programme Performance Information	Programme performance information is a generic term used for non-financial information and focuses on information that is collected by the Department in the course of fulfilling its mandates and implementing government policies. This information is vital in enhancing transparency, accountability and oversight.
Performance Targets	Relates to the milestones/ annual targets based on the actual annual budget in respect of the performance indicators contained in their Annual Performance Plan. The annual targets for the budget year are further broken into quarterly targets in the Annual Performance Plan.

2. INTRODUCTION

- 2.1 This Strategic Planning Policy allows the Department to be proactive in shaping its future and exercise control over its outcomes. In developing a Strategic Plan, the Department articulates the expected outcomes and outputs that will enable it to achieve its mandate. These outputs represent the products that results from the employment of inputs such as human resources, budget, time and equipment as well as the processes that convert these inputs into results.
- 2.2 This policy facilitates the understanding of performance information to senior managers in relation to the Departmental strategic planning process, monitoring and reporting on the implementation of the Institutional Performance Information, Impact Statement and measuring outcomes against the available resources. It outlines key concepts that should guide the Department when developing Strategic and Annual Performance Plans and provides timeframes for submission, tabling and reporting on the Five Year Strategic Plan and the Three Year Annual Performance Plan (in line with the Medium Term Expenditure Framework).

3. STATEMENT OF PURPOSE

- 3.1 The main purpose of the policy is to assist the Department to prioritise and plan the progressive and pro-active implementation of the Institutional Performance Information, Impact Statement and measuring outcomes for medium and longer terms against available resources inter alia financial, equipment and human capital.

4. OBJECTIVES OF THE POLICY

- 4.1 The objectives of this policy are to:
- 4.1.1 Hold management accountable for the implementation and achievement of the planned annual targets against the budget.
 - 4.1.2 Facilitate an understanding of management of performance information to managers' roles and responsibilities.
 - 4.1.3 Create clear and well defined performance indicators.
 - 4.1.4 Develop realistic and costed annual performance targets.
 - 4.1.5 Improve programme and service delivery implementation.

5. POLICY STATEMENT

- 5.1. The policy sets out a basis to align strategic and annual performance planning with emphasis on the National Development Plan Vision 2030, Medium Term Strategic Framework Outcomes and priorities as well as all other relevant legislative and policy prescripts relevant to the Department's mandate. With this policy, the Department intends to regulate, guide and outline the responsibilities of various role players in the Department, set out the time frames and processes for the crafting and revision of the strategic and annual plans.

6. SCOPE OF APPLICATION

6.1. The policy is applicable to all senior managers, deputy and assistant directors, any other employees heading business units and/or any other employees this policy shall be related and be relevant to the employees' duties.

7. LEGISLATIVE AND POLICY FRAMEWORKS

7.1. Legislative frameworks governing performance information are described below:

Legislation	Relevance
Constitution of the Republic of South Africa (Act No 108 of 1996)	<p>Section 92 of the Constitution states that members of the cabinet are accountable collectively and individually to parliament to the exercise for their powers and the performance of their functions, and that they must provide parliament with full and regular reports concerning matters under their control.</p> <p>Section 133 provides for the accountability of Members of the Executive Council of a province to the provincial legislature.</p>
Constitution of 1996 (Sections 92, 114, 125)	<p>Section 92 (3) and (4) states that members of Cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions and must provide Parliament with full and regular reports concerning matters under their control.</p> <p>Section 114 (2) states that a provincial legislature must provide for mechanisms to ensure that all provincial executive organs in the province are accountable to it and to maintain oversight of the exercise of provincial executive authority in the province including the implementation of legislation.</p> <p>Section 125 (3) indicates that a province has the Executive Authority only to the extent that the province has the administrative capacity to assume effective responsibility. The national government assist provinces to develop the administrative capacity required for the effective exercise of their powers and performance of their functions.</p>
Public Service Regulations, 2016	<p>Chapter 3 of the Public Service Regulations provide requirements for the preparation of Strategic Plans, Annual Reports and the Service Delivery Improvement Plan. Regulation 25 outlines the requirements for the development of strategic plans and related reporting systems. Regulation 31 makes provision for the development, tabling and submission of Annual Reports. Regulation 38 provides the requirements for the development of Service Delivery Improvement Plans which must be informed by the Strategic Plans.</p> <p>The Public Service Regulations outlines the requirements for the development, tabling and submission of Strategic Plans and reporting against these plans.</p>
Public Finance Management Act (Act No. 29 of 1999 as amended)	<p>Section 27(4) provides that " ...when an annual budget is introduced in the national assembly, the Accounting Officer for each government must submit to Parliament measurable objectives for each main division within the government department's vote."</p> <p>Section 40(3)(a) provides that the Annual Report and audited financial statements must fairly represent the state of affairs of the government department, its business, its financial results and its performance against predetermined objectives and its financial position as at the end of the financial year concerned.</p>

Legislation	Relevance
Treasury Regulations, 2007	Chapter 5 of the Treasury Regulations (issued in terms of the Public Finance Management Act, 1999), paragraph.5.1.1 states that each year, the Accounting Officer of a Department must prepare a strategic plan that is consistent with the period covered by the Medium Term Expenditure Framework for approval by the relevant Executive Authority.
Treasury Regulations, 2005	Outlines and regulates the requirements for the development and submission of Strategic Plans and the reporting thereof.
Public Audit Act (Act No 25 of 2004)	Section 20(2)(c) of the Public Audit Act requires the Auditor General's audit reports to reflect an opinion or conclusion on the reported information relating to performance against predetermined objectives of the auditee
Spatial Planning and Land Use Management (SPLUMA) Act of 2013	This Act was adopted shortly after the introduction of the NDP. It sets the broad spatial agenda of the country, promoting the development principles of spatial justice, spatial sustainability, efficiency, spatial resilience and good administration. It introduces a new approach to spatial planning that can be refined and linked with overall long-term planning. Embedding spatial planning within the overall system of planning is critical.
Statistics Act 6 of 1999	The Statistics Act advances the planning, production, analysis, documentation, storage, dissemination and use of official and other statistics. The purpose of official statistics is to assist organs of state, businesses, other organisations or the public in planning, decision making, and monitoring or assessment of policies. The use of official statistics strengthens the quality of government and institutional short and medium term plans

7.2. Policy frameworks governing performance information are described below:

Policies	Relevance
National Development Plan (NDP) Five-Year Implementation Plan	Forms the basis for developing five-year institutional plans that will guide the realisation of the NDP priorities. The purpose of the NDP Five Year implementation plan is to advance and guide medium and short term planning that is responsive to the attainment of the NDP priorities.
Medium Term Strategic Framework	This is the government's monitoring framework for the NDP Five Year Implementation Plan during the electoral cycle.
Framework for Managing Performance Information – issued by National Treasury (2007)	Clarifies the importance of performance information management in planning, budgeting, implementation, monitoring and reporting.
Framework for Managing Programme Performance Information (FMPPi) (2007)	Define, collect, report and uses performance information, focus the attention of the public and oversight bodies on whether public institutions are delivering value for money. It also alerts managers to areas where corrective measures are required.
Revised Framework for Strategic Plans and Annual Performance Plans	The framework outlines the minimum requirements for planning, institutions may provide additional information that is necessary for planning
Policy Framework for the Government-Wide Monitoring and Evaluation System (2005)	Identifies programme performance information as one of the data terrains underpinning GWME, focussing on information that is collected by government institutions in the course of fulfilling their mandates and implementing the policies of government.
Spatial Development Frameworks	Decisively and radically change the rationale and rules by which planning, budgeting and infrastructure investment and development spending in the country is done.

Policies	Relevance
United Nations Sustainable Development Goals (SDGs)	Strive to end poverty and hunger in the world, combat inequalities within countries; to build peaceful, just and inclusive societies; to protect human rights and promote gender equality and the empowerment of women and girls; and to ensure the lasting protection of the planet and its natural resources.
African Union Agenda 2063	A strategic framework for the socio-economic transformation of Africa over the next 50 years in terms of good governance, democracy, respect for human rights, justice and the rule of law; a peaceful and secure Africa; an Africa with a strong cultural identity, common heritage, shared values and ethics; an Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children; and

8. ROLES AND RESPONSIBILITIES

This section outlines the roles and responsibilities of various role players within the Department as clearly stated herein:

8.1 Executive Authority:

- 8.1.1 The Executive Authority is accountable to the Provincial Legislature, and should provide the legislature with full and regular reports concerning matters under his/her control.
- 8.1.2 He/she should in turn ensure that the Department under his/her control set up appropriate performance management information systems so that they are able to fulfil their accountability reporting responsibilities.
- 8.1.3 She/he should also oversee such systems to ensure that they are functioning optimally and comply with this policy and other related standards and guidelines.

8.2 Accounting Officer

- 8.2.1 The Accounting Officer will ensure that:
 - 8.2.1.1 The Department is accountable for establishing and maintaining the systems to manage performance information.
 - 8.2.1.2 The performance agreements of senior managers and all other employees reflect the roles and responsibilities as reflected in the Strategic and Annual Performance Plans.
 - 8.2.1.3 There is appropriate capacity within the Department to execute the expected outcomes and outputs that will enable the Department to achieve its Institutional Performance Information, Impact Statement and measuring outcomes. All specified policy requirements are adhered to,
 - 8.2.1.4 All Senior Managers are held accountable for their responsibilities as stipulated in this policy.

8.3 Senior Managers (Departmental Executive Management)

- 8.3.1 Senior Managers are:
 - 8.3.1.1 Responsible for giving strategic direction to the Department and adhere to the provisions of this policy.
 - 8.3.1.2 Accountable for establishing and maintaining the performance information processes and systems within their area of responsibility.
 - 8.3.1.3 Responsible to ensure that data collection, collation and consolidation processes are in place and that data is collected timely in accordance with the Departmental annual strategic planning schedule.
 - 8.3.1.4 Active in obtaining good quality performance data in relation to target source and safekeeping of all source documents are available for performance audit.

- 8.3.1.5 Ensure that appropriate resources are devoted towards implementation and achievement of the planned outcomes and outputs.
- 8.3.1.6 Accountable for the overall performance information management in their respective Chief Directorates/Directorates in the Department as well as for the validation of performance information.

8.4 Strategic Planning, Research, Monitoring and Evaluation

- 8.4.1 This unit is responsible for:
 - 8.4.1.1 Facilitation of the strategic planning inputs from various Chief Directorates/Directorates and the development of the strategic and annual performance plans.
 - 8.4.1.2 Analysis and consolidation of all departmental Chief Directorates/Directorates inputs into one consolidated plans for submission to the Accounting Officer and to all other relevant stakeholders.
 - 8.4.1.3 Verification of all planned annual targets as well as ensuring that all source documents are available for performance audit.

8.5 All other Employees

- 8.5.1.1 Employees are responsible for capturing, collating and verifying data included in the Strategic and Annual Performance Plans related to their own unit activities.

9. BREACH OF POLICY

- 9.1. Any breach of this policy by any official shall require the Department to take appropriate steps permissible by law.

10. PLANNING TIMEFRAMES: SUBMISSION DATES

10.1 Planning and budgeting timeframes for provincial departments:

PROCESS	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	In
PLANNING	Strategic Plans							31 October *Draft SP's						Tabled Parliament
	Annual Performance Plans							31 October *Draft App						Tabled In
	Annual Operational Plans													Tabled Parliament
BUDGETING	Annual Budget and MTEF				NT issues Guidelines			NT issues Guidelines for ENE	NT issues allocation letters		Depts. submit final ENE Chapter	Tabled In Parliament		Approved by Accounting Officers
	Adjusted Budget and MTEF				Depts. submit first draft budget and new expenditure estimates			Adjustment Budget						
	Change Requests to Budget and Programme Structure				Depts. propose changes to budget and programme structure		NT approves changes to the budget and programme structure							
STANDARDISE PROGRAMME	Standardised Indicators for Sectors							Submission of final set of standardised indicators for Sectors						
Provincial Departments submit to Offices of the Premier by 15 October annually.														
Provincial Legislatures will provide guidance on the submission of Annual Performance Plans in the year of elections.														

11. COMMUNICATION AND MONITORING OF POLICY

- 11.1. This policy shall be communicated to all employees of the Department of Public Works and Infrastructure and its implementation will be monitored and evaluated bi-annually.

12. REVIEW OF POLICY

- 12.1. This policy shall be reviewed every five years in line with government priorities or whenever a need arises.

13. SIGN-OFFS AND APPROVAL


COMPILED BY:
I de Beer:

Signature 

Date: 10/11/2020

Director Strategic Planning and Service Delivery Improvement

RECOMMENDED BY:
S Mtolo:

Signature 

Date: 10/11/2020

Chief Director Research, Monitoring and Evaluation

APPROVED BY:
M Mohlahlo:

Signature 

Date: 17/11/2020

Head of Department: Public Works and Infrastructure