



**POLICY ON MANAGING PROGRAMME PERFORMANCE INFORMATION 2018-2019**

<b>File Name</b>	<b>Policy on Managing Programme Performance Information 2018-2019</b>
<b>Original Author</b>	<b>Department of Culture, Sports and Recreation</b>
<b>Review Date</b>	<b>1 April 2019</b>

## TABLE OF CONTENTS

	<b>Page</b>
1. Policy Background	4
2. Definitions of Concepts	4
3. Problem Definition	5
4. The importance of Performance Information Management	5
5. Policy Objectives	6
6. M & E Principles	6
7. Legislative Framework	8
8. Roles and Responsibilities	9
9. Procedure for Reporting	11
10. The quality of Performance Information	11
11. Portfolio of Evidence	13
12. Time Frame for Submission of Reports	13
13. Annual Report	13
14. Policy Review	13
15. Policy Approval	13

## Acronyms

<b>AO</b>	Accounting Officer
<b>APP</b>	Annual Performance Plan
<b>AR</b>	Annual Report
<b>DCSR</b>	Department of Culture, Sport and Recreation
<b>DORA</b>	Division of Revenue Act
<b>GWM&amp;EF</b>	Government Wide Monitoring and Evaluation Framework
<b>GWM&amp;ES</b>	Government Wide Monitoring and Evaluation System
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MEC</b>	Member of Executive Council
<b>MTSF</b>	Medium Term Strategic Framework
<b>NT</b>	National Treasury
<b>PGDS</b>	Provincial Growth Development Strategy
<b>PFMA</b>	Public Finance Management Act
<b>POA</b>	Programme of Action
<b>SMART</b>	Specific, Measurable, Achievable, Realistic and Time bound
<b>TR</b>	Treasury Regulation

## 1. POLICY BACKGROUND

Prior the development of the policy the Department has been using National prescripts/ guidelines to manage performance information.

## 2. DEFINITIONS OF CONCEPTS

The definitions in this policy pertain to terms used in the policy and to other terms in order to facilitate the understanding of its requirements:

- **Performance Information:** it denotes quantitative and qualitative information collected systematically and used as evidence for making judgments and achievement in relation to objectives, plans or intentions. It is information about performance that is suitable for use as evidence in decision making.
- **Information Management:** is a discipline that directs and supports effective and efficient management of information in an organization from planning and systems development to disposal and/ or long-term preservation.
- **Management of Information:** is an element of every job function in the Department of Culture, Sport and Recreation that has to do with treating the information used or produced in the course of performing job duties as a strategic business resource and in line with legal and policy requirements.
- **Performance Audit:** performance audits offer management invaluable insights into their organization's operations by assessing how successfully objectives are being met. These observations in turn enable management to refine systems and further improve performance. A performance audit is an independent evaluation of the measures implemented by management to ensure the efficient, effective and economic use of resources. A performance audit differs from the other audit functions that public sector organizations must already perform each year:
  - The internal audit which is control and risk-focused
  - The external or statutory audit performed in accordance with relevant auditing and accounting standards
  - The audit of performance information which is a statutory obligation of the Auditor-General, looking at performance against predetermined objectives
- **Audit of Performance Information:** Focused on a specific government policy or management process. The criterion for executing this audit is based on the traits, namely: economy, efficiency and effectiveness which is done by subject matter experts.

### **3. PROBLEM DEFINITION**

This document outlines key concepts in the design and implementation of management systems to define, collect, report and use performance information in the Department of Culture, Sport and Recreation.

Information is an essential component of effective management across departments and in informing all stakeholders. The availability of high quality, authoritative information to decision makers supports the delivery of department's programme and services, thus enabling departments to be more responsive and accountable to stakeholders.

### **4. THE IMPORTANCE OF PERFORMANCE INFORMATION MANAGEMENT**

Performance information indicates how well an institution is meeting its goals and objectives which policies and process are working. Making the best use of available information and knowledge is crucial for improving the execution of department's mandate. Performance information is key to effective management, including planning, budgeting, implementation, monitoring and reporting. It also facilitates effective accountability, enables provincial legislator, members of the public and other interested parties to track progress, identify the scope for improvement and better understanding the issues involved.

To ensure that the departmental obligation to the citizens is as effective and economical as possible, the department is required to formulate strategic plans, allocate resources to the implementation of those plans, and monitor and report the results. Common repository need to be set up to provide a centralized control of all programme/projects, so that performance information can be accessed by officials for feedback, reuse, facilitate learning and development to build core strategic management and project management competencies.

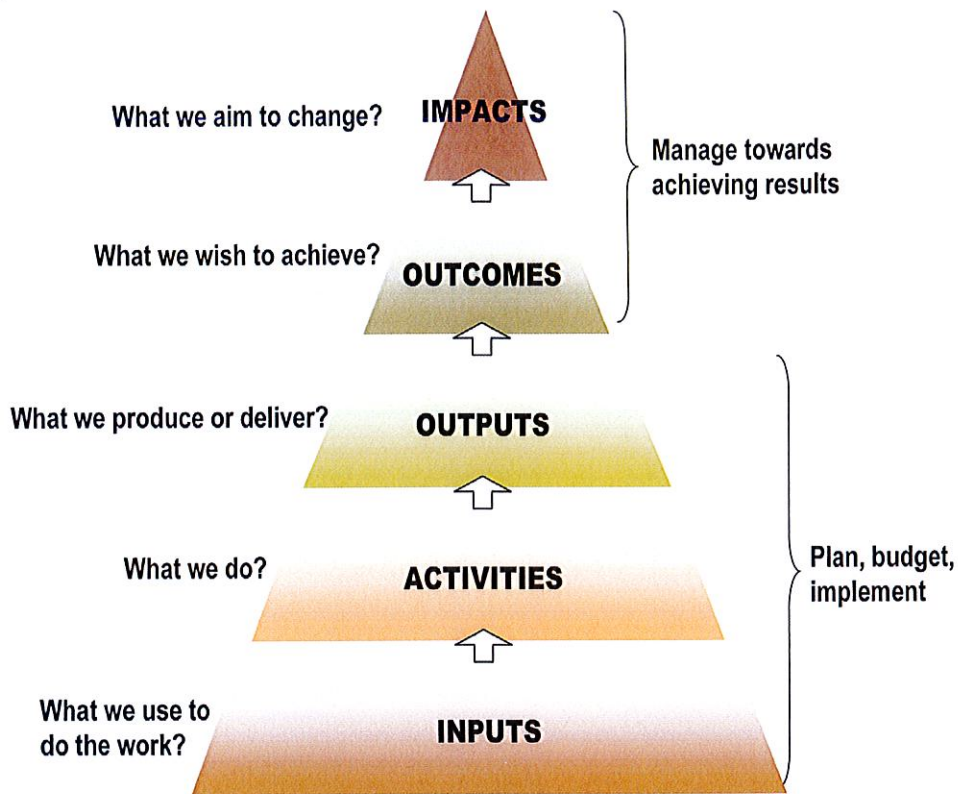
Performance information also plays a mounting role in budget allocations and will increasingly be used to monitor service delivery, which implies that the information must be accurate, appropriate and timeous. The most valuable reason for measuring department's strategic and performance plans is that what get measured gets done. If the department knows that its performance is being monitored, it is more likely to perform the required tasks and perform them well.

## 5. POLICY OBJECTIVES

- To plan, coordinate, monitor and report on the implementation of all Departmental programmes and projects.
- To clarify standards for performance information in support of regular audits of such information where appropriate;
- To improve integrated structures, systems and processes required to manage performance information;
- To facilitate communication for improved common processes, methodologies, systems and best practices consistently to the needs of the department in supporting the Provincial Government on its obligatory mandates to the citizens;
- To match organizational goals with all relevant mandates, policies, strategies and plans;
- To facilitate evidence based decision making and promote accountability and transparency by providing Parliament, Provincial Legislature and citizens with timely, accessible and accurate performance information;
- To act as an early warning indicator to the MEC, AO and Senior Management by diagnosing challenges, instigate necessary intervention strategies in a timely manner, bench marking, and reduce operational risks.

## 6. M & E PRINCIPLES

Performance information needs to be structured to demonstrate clearly how the Department uses its resources to deliver on its mandate. When monitoring and assessing outcomes and impacts, it needs to be kept in mind that department interventions can also have unintended consequences. These need to be identified and monitored so that risks can be managed and corrective action can be taken. In managing results, budgets are developed in relation to inputs, activities and outputs, while the aim is to manage towards achieving the outcomes and impacts. The figure below illustrates the relationship between the core performance information concepts of the M&E principles:



### Government outcome approach

- Past experience shows we improved access to services and expenditure (inputs) but have not been converted into positive outcomes.
- Still experiencing challenges of skills (human capital), poverty, spatial segregation, inequality of income & wealth and service delivery backlogs.

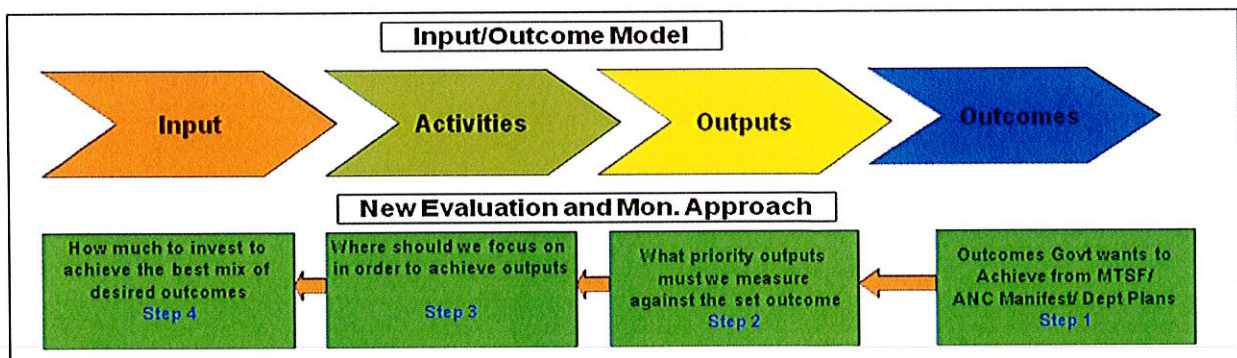
Government approach on M&E

**Step 1:** Outcomes Government wants to achieve from MTSF, Manifesto, MDG, PDGS, Departmental plans, etc.

**Step 2:** What priority outputs must we measure against the set outcome

**Step 3:** Where should we focus on in order to achieve outputs

**Step 4:** How much to invest to achieve the best mix of desired outcomes



### **The power of measuring results:**

- If you do not measure results, you cannot tell success from failure
- If you cannot see success, you cannot reward it
- If you cannot reward success, you are probably rewarding failure
- If you cannot see success, you cannot learn from it
- If you cannot recognize failure, you cannot correct it
- If you can demonstrate results, you can win public support.

## **7. LEGISLATIVE FRAMEWORK**

Reporting requirements is done from a legal and accounting point of view to promote general accountability. The Department of Culture, Sport and Recreation is regulated by a variety of South African statutory and regulatory legislation. The most relevant legislations to this policy are as follows:

- The Constitution of the Republic of SA Act 108 of 1999
- Public Finance Management Act (PFMA), 1 of 1999 as amended
- Policy Framework for Government Wide Monitoring and Evaluation System (GWM&ES)
- The Government Wide Monitoring and Evaluation Framework (GWM&EF)
- Promotion of Access to Information Act (Act 2 of 2000) (PAIA)
- Public Audit Act (25 of 2004)
- National Archives and Record Service Act (1996).

## **8. ROLES AND RESPONSIBILITIES**

### ***8.1. Managers and Senior Managers***

An important issue for managers is that of reporting performance against predetermined objectives. Each manager is responsible for compiling a report regarding the outputs generated within that sub-programme. The Senior Managers should ensure that the reported information is of high quality and supported by authentic and credible supporting documents. The recorded supporting documents should be kept in files in a systematic and safe manner. Both reports and files should be submitted to relevant General Manager for review and sign-off.

### ***8.2. General Managers***

The offices of the General Managers will be responsible for coordinating performance reports from the responsibility managers within their Programmes. These offices will serve as a point of entry for Strategic Planning, Research and Project Coordination Directorate during the gathering of performance information. In essence, the management of performance information for individual Programmes will be done at these offices.



The responsibilities of these offices are:

- To ensure that their sub-programmes adhere to the submission deadlines.
- To ensure validation of information and that it reflects the true events that happened during the reported period.
- To ensure that all submitted reports by Programmes are signed-off by the relevant Programme Managers.
- To ensure that each sub sub-programme is having a dedicated Portfolio of Evidence file. In each file the appropriate indicators should be cleared marked or numbered in a standard format as it is reflected on Annual Performance Plan.

### **8.3. Chief Finance Officer**

The Finance section will be responsible for the overall verification of budget and expenditure per programme or sub programme on the quarterly, mid-tem, nine months and annual reports. All the financial related information on reports shall be signed off by the Chief Finance Officer for inclusion in the performance information reports.

### **8.4. Planning and programme management**

The Unit will be responsible for the overall consolidation of departmental reports and monitoring of the strategic outputs as well as monitoring progress towards departmental service delivery outcomes.

### **8.5. Role of Accounting Officer**

Performance reporting can be viewed as an enabling mechanism that allows the Accounting Officer (HOD) to track progress against what has been planned and what is actually achieved in the form of service delivery outputs. The AO is required to submit quarterly departmental performance reports to the MEC and also to provide necessary interventions for the identified barriers that may comprise achievements of set objectives

### **8.6. Role of Provincial Treasury**

Provincial Treasuries need to fulfil a monitoring role from an accountability perspective within the performance reporting paradigm. The implementation of strategic plans/objectives needs to be tracked. Officers in Provincial Treasury tasked with this responsibility need the following documents to execute the task at hand: Five Year Strategic Plan, Annual Performance Plan, Quarterly Performance Reports and the ultimate non-financial reporting document, the Annual Report.

### **8.7. Role of National Treasury**

Once National Treasury receives inputs from Provincial Treasury, an evaluation of the inputs is conducted to determine the quality of the inputs. If it adheres to reasonable standards it will be forwarded to both Department of Arts and Culture and Department of Sport and Recreation otherwise it will be sent back to Provincial Treasury to take up the highlighted issues with the Department of Culture, Sport and Recreation to note or verify the information for correctness where applicable.

National Treasury will use the information to draft the following reports: a sectoral quarterly performance report, a government wide quarterly performance report, a press release and a report to MinMec once final written signed off letters and final datasets are received from Department Culture, Sport and Recreation stating that they have noted or verified the correctness of the information.

## **9. PROCEDURES FOR REPORTING**

The Department is expected to meet its service delivery commitments, targets, objectives and outputs, which are aligned to National and Provincial Government priorities.

At the end of each quarter, each Senior Manager is required to:

- Compile a report according to and as described in an Annual Performance/ Implementation Plan of the Programme on an approved format
- Complete a self-assessment report on the performance and submit the consolidated programme report to the Directorate: Planning and Programme Management for consolidating Departmental report and performance analysis
- Ensure that the sub-programme managers assess their performance objectively on the 4 point scale and to promote transparency and accountability in the reporting processes
- Ensure that documentary proof/ portfolio of evidence is kept and provided to Branch Managers and Directorate in order to support their performance information
- The Directorate will conduct verification to ensure accuracy and technically adequate information about programme features and defendable results
- Provide documentary proof/portfolio of evidence to auditors, both internal and external, to comply with performance audit legislative framework
- The Directorate after completing the programme performance analysis will convene a review session and provide Senior Managers with comments, observations and recommendations for improvements to be effected on the report where necessary and in future quarterly reports.

- The Directorate will thereafter compile Departmental quarterly reports to the Executive Authority/ MEC, Provincial Treasury and DCSR through the AO, on the performance of the Department
- The Directorate will act as the overall advocate and custodian for performance information within the Department.

## 10. THE QUALITY OF PERFORMANCE INFORMATION

Performance Information must be accurate, valid, relevant, reliable and complete. Systems for collecting and validating performance information are likely to be more robust when the Department:

- **Define the quality of the information in advance:** Performance information can be costly to produce. The Department must therefore consider how information will be used and the cost of collection, and to strike an appropriate balance between cost and the comprehensiveness and reliability of information.
- **Establish clear performance measure definitions:** Documentation of definitions, the source of the information and the arrangements for their collections and analysis have been shown to facilitate a common understanding between those designing information systems and reporting performance and those collecting the information. These definition will be found on the Annual Performance Plan annexure called “technical indicator description” of each financial under review.
- **Designate who is accountable for performance information:** Experience shows that information is more likely to reliable when managers are assigned responsibility for information collection and reporting.
- **Managers are active in obtaining good quality performance information:** Managers need to ensure that appropriate resources are devoted to information collection and validation. Where managers actively monitor performance information, they are able to identify variations in performance which call for examination. Managers must conduct reviews to assure themselves that the department's performance information systems are a reliable basis for capturing and reporting performance information.
- **Develop and implement effective controls over the collection of information:** Performance information may be collected from the department's information systems, surveys

and external sources. It is important to establish controls which will ensure the reliability of information; the controls will vary depending on the source of the information. Predetermined checks needs to be undertaken with regard to the collection, review and verification of performance information.

- **Establish and implement clear guidelines for the validation of performance information:**  
The guidelines for performance information management should be made available to all responsibility managers at the beginning of each financial year.

## 12. PORTFOLIO OF EVIDENCE

- Programme Managers to keep records and furnish documentary proof/ portfolio of evidence to Directorate of Planning and Programme Management in order to support the reported performance information (Evidence Based Reporting).

## 13. TIME FRAMES FOR SUBMITTING REPORTS

- Senior Managers are required to submit quarterly reports to the Directorate within five (5) working days for non financial performance information following the end of a quarter.
- Submission by the AO to Provincial Treasury and Premier's Office is by the 12<sup>th</sup> and 15<sup>th</sup> respectively at the end of the quarter.

## 14. ANNUAL REPORTING

- The requirements for monitoring and evaluating programme performance in a given year are completed with the publication of an Annual Report. The quarterly reports that have been prepared in a particular financial year will form the basis for compilation of the Annual Report. The same procedures described for quarterly reporting will be followed in compiling the Annual Report.

## 15. POLICY REVIEW

- This policy takes effect from the day of approval. This policy will be subjected to review annually from the date of its approval through consultation with all stakeholders and amendment will be done when needs arises.

## 16. POLICY APPROVAL



**MR GS NTOMBELA**  
**HEAD: CULTURE, SPORT AND RECREATION**  
DATE 01/04/2012