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REPUBLIC OF SOUTH AFRICA



REVISED FRAMEWORK

for Strategic Plans and Annual Performance Plans



Issued by the Department
of Planning, Monitoring and
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by the national and provincial
spheres of government

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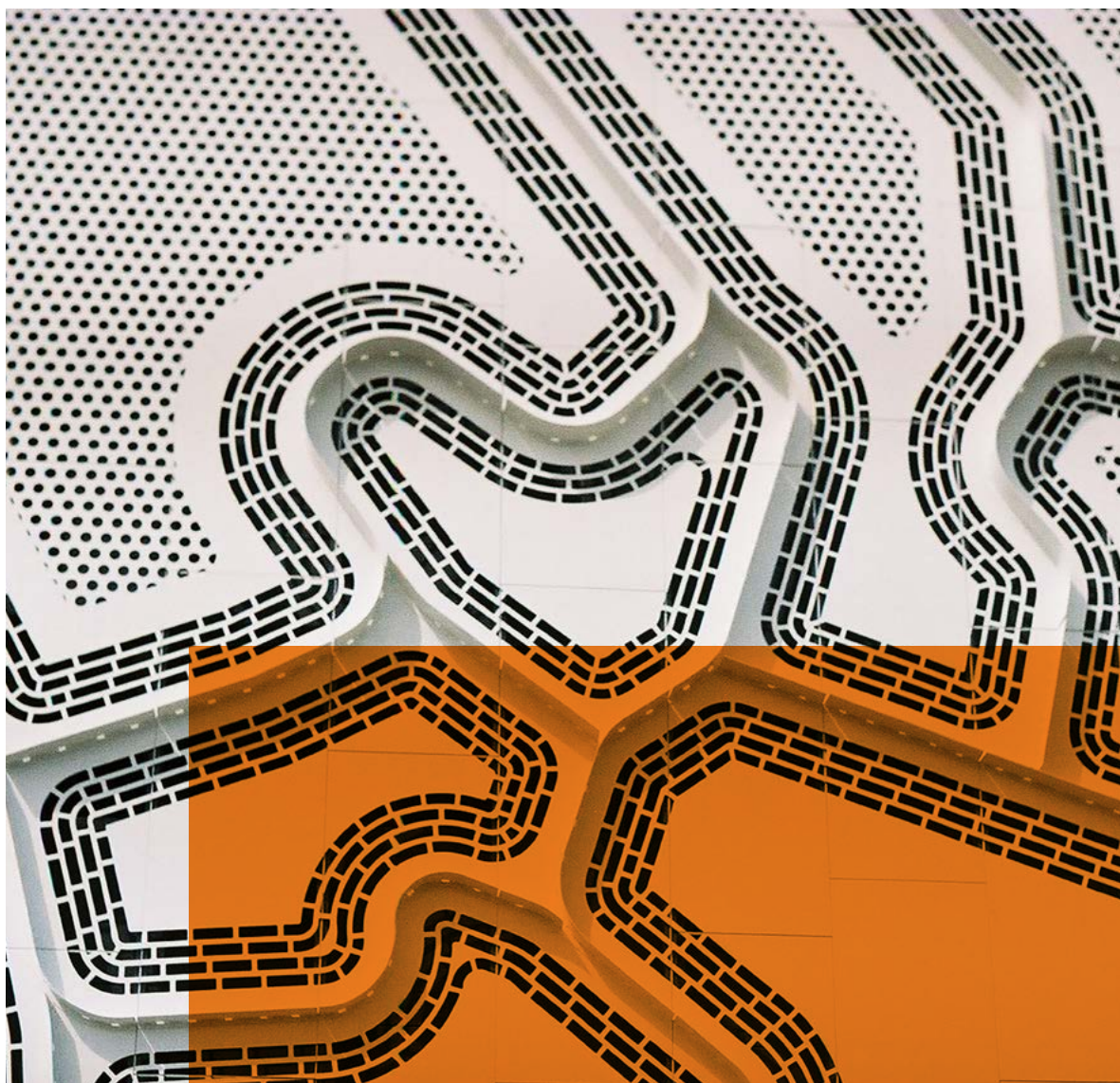
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ABBREVIATIONS

AOP	Annual Operational Plan
APP	Annual Performance Plan
AR	Annual Report
BPF	Budget Prioritisation Framework
CFO	Chief Financial Officer
DORA	Division of Revenue Act
DPME	Department of Planning, Monitoring and Evaluation
ECE	Estimates of Capital Expenditure
ENE	Estimates of National Expenditure
EPRE	Estimates of Provincial Revenue and Expenditure
FMPPi	Framework for Managing Programme Performance Information
GIAMA	Government Immovable Asset Management Act
GWMES	Government-wide Monitoring and Evaluation System
IAMP	Infrastructure Asset Management Plan
ICT	Information and communications technology
IDMS	Infrastructure Delivery Management System
IDP	Integrated Development Plan
IDZ	Industrial Development Zone
IIMM	International Infrastructure Management Manual
IPIP	Infrastructure Programme Implementation Plan
IPMP	Infrastructure Programme Management Plan
IRM	Infrastructure Reporting Model
M&E	Monitoring and evaluation
MEC	Member of the Executive Council
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
NEPF	National Evaluation Policy Framework
NPC	National Planning Commission
NSDF	National Spatial Development Framework
NT	National Treasury
OTP	Office of the Premier
PEPUDA	Promotion of Equality and Prevention of Unfair Discrimination Act
PESTEL	Political, Economic, Social, Technological, Environmental and Legal
PFMA	Public Finance Management Act
PPP	Public-Private Partnership
PSA	Public Service Act
QPR	Quarterly Performance Report

RB	Results-Based
SASQAF	South African Statistical Quality Assessment Framework
SDF	Spatial Development Framework
SDG	Sustainable Development Goal
SDIP	Service Delivery Improvement Plan
SDP	Spatial Development Plan
SEZ	Special Economic Zone
SIPDM	Standard for Infrastructure Procurement and Delivery Management
SOE	State-owned enterprise
SP	Strategic Plan
SPLUMA	Spatial Planning and Land Use Management
SWOT	Strengths, Weaknesses, Opportunities and Threats
TID	Technical indicator description





FOREWORD

The developmental approach adopted by the South African government conceptualises development planning as a means of achieving national development priorities. Development planning, in this context, involves the South African government deciding on national priorities and creating a road map to achieve them.

In 2012, South Africa adopted the National Development Plan (NDP) 2030. This sets out the vision for the country and provides a long-term plan for achieving the vision through changes in the socio-economic structure and in the culture of society which are the result of the country's history of oppression, exploitation and dispossession. Achieving the NDP goals requires cooperation between national, provincial and local government and with the private sector and civil society. The three spheres of government must work collaboratively to align their powers and functions and their planning and budget allocation processes.

Through the development and implementation of legislation, policies and services, government planning is critical to the implementation of the NDP. Challenges in government planning processes that have been identified over the years include misalignment between political and strategic planning processes and between budgeting and institutional implementation processes. Developmental growth requires improved impact, delivery and implementation of government's transformation and development priorities. The diffuse nature of planning has resulted in a plethora of plans, legislation and structures. Planning outcomes have been sub-optimal, and the impact of the resources allocated to implementing policies and programmes has been felt unevenly across the country.



In 2009, to improve government-wide planning and to align planning with other government processes, the National Planning Commission (NPC) and the Department of Performance Monitoring and Evaluation were established. The NPC facilitates country-level long-term development planning, outlines key policy trade-offs and sets out the sequence of decisions required to achieve the objectives.

To indicate the importance of effective government planning, the name of the Department of Performance Monitoring and Evaluation was changed in 2014 to the Department of Planning, Monitoring and Evaluation (DPME), responsible for producing the Medium Term Strategic Framework (MTSF). The purpose of the MTSF is to set out the priorities for the medium-term period to realise the long-term strategic vision of the NDP. All government institutions are required to align their Strategic Plans (SPs), Annual Performance Plans (APPs) and Annual Operational Plans (AOPs) with the MTSF.

The Framework for Strategic Plans and Annual Performance Plans (2010) was issued by National Treasury (NT) to guide institutions' short and medium term planning. The Framework provided a standardised approach to strategic and annual performance planning; and promoted accountability for performance and service delivery, and alignment between the planning, budgeting and reporting processes. The Framework was implemented by the national and provincial departments, Schedule 3A and 3C public entities and constitutional institutions from 2010, with its implementation followed by significant improvements in short and medium term planning.

The Revised Framework is being 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.





CONTEXT OF THE REVISED FRAMEWORK



Amidst a dynamic and complex policy and legislative context, the South African national planning framework has evolved considerably since its introduction in 2001. Government introduced the Government-wide Monitoring and Evaluation System (GWMES) in 2007, with a results-based approach confirmed in the National Outcomes Approach (2010) and the NDP. These policy changes reflected a systemic shift towards planning and managing government performance to achieve results.

With the introduction of these changes, new concepts and a guiding logic with implications for government planning were introduced. The Framework for Strategic Plans and Annual Performance Plans (2010) was part of this legislative and policy evolution to consolidate the various planning components into an overall planning, monitoring and evaluation system. The aim was to achieve improved results through better planning and performance; obtain more reliable performance information; support learning and improvement in the public service; improve the quality of strategic and annual performance planning; and strengthen accountability in the public service, with better strategic planning and management arrangements leading to improved policy delivery.

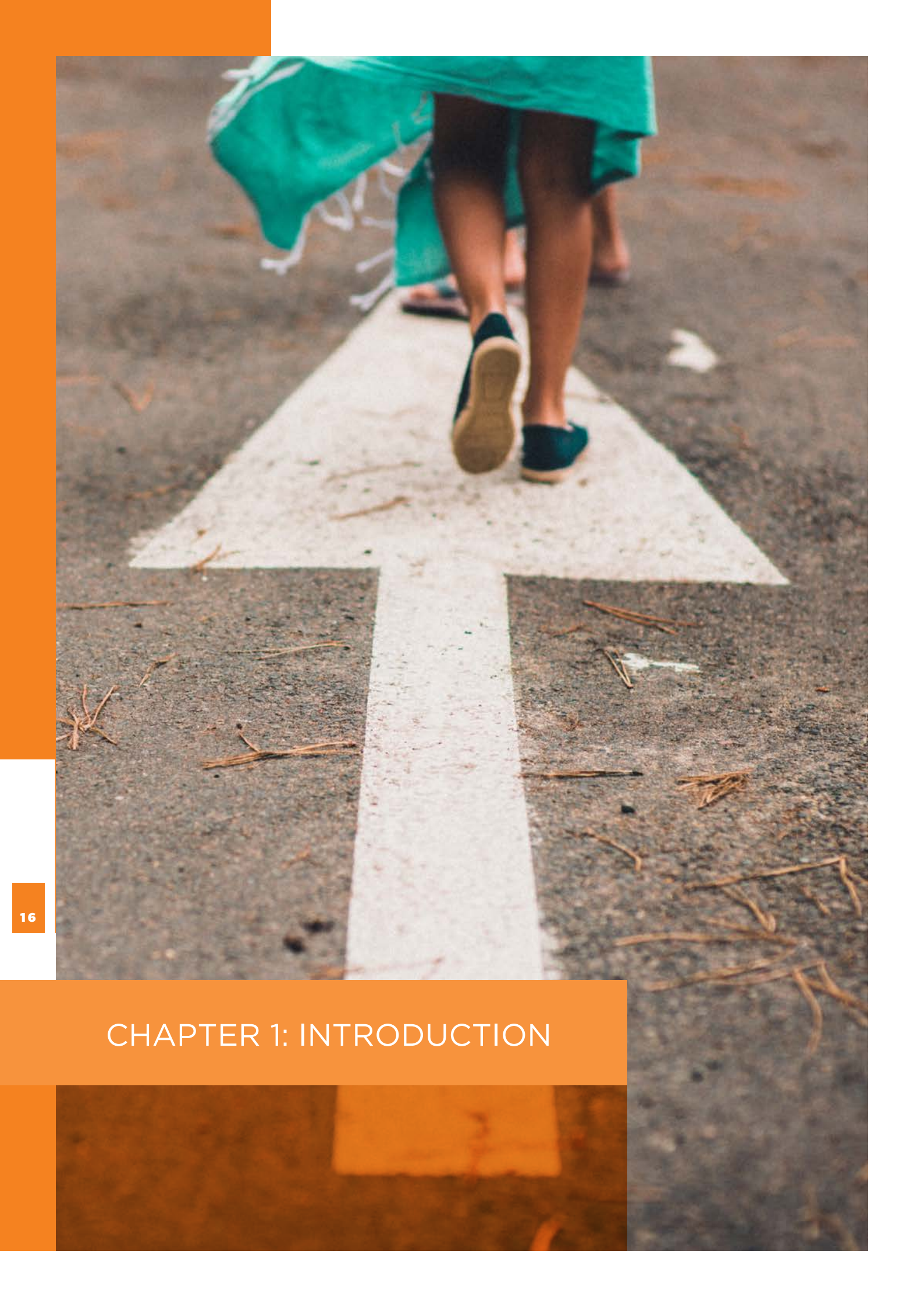
The purpose of the Revised Framework is to build on the foundation of the 2010 Framework for Strategic Plans and Annual Performance Plans, reaffirm the planning logic and institutionalise planning to enable better service delivery. The planning principles to be implemented through the Revised Framework aim to focus the planning approach towards achieving results; standardise the concepts used in short and medium term planning instruments; streamline the planning, monitoring and evaluation processes; and increase learning and innovation through improved use of evidence and the findings from monitoring and evaluation.



The Revised Framework has a particular focus on planning for women, youth and people with disabilities.

As well as giving the core principles for short and medium term planning, the legislative and policy prescripts that must be adhered to and the rationale for the results-based approach to planning, monitoring and evaluation, the Revised Framework describes the processes for developing and approving plans and for putting in place effective oversight and feedback arrangements. In addition, it sets out the planning principles that inform the logic and content of SPs, APPs, AOPs and Implementation Programme Plans (IPPs), and the linkages between other short and medium term plans in government. It also provides the logic for monitoring and evaluating plans and for the use of related reporting instruments, and their results, at the different stages of the planning cycle.

The Revised Framework must be implemented in conjunction with the Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Planning which provides the formats for institutional short and medium term plans as an easy to use reference during planning processes. The Guidelines also provide examples of how to apply the planning principles outlined in the Revised Framework.



CHAPTER 1: INTRODUCTION

1.1 Introduction

The Revised Framework for Strategic Plans and Annual Performance Plans provides direction to national and provincial government institutions about short and medium term planning. This chapter describes the purpose of the Revised Framework and identifies the legislation, regulations and other prescripts that govern the development of short and medium term plans. It also describes the medium and long term government policy direction which, together with an institution's mandate, determines how it carries out its planning. An important component of the chapter is the description of the Results-Based Approach which provides the planning logic to be institutionalised through implementation of the Revised Framework.

1.2 Purpose of the Revised Framework for Strategic Plans and Annual Performance Plans

The purpose of the Revised Framework is to provide the principles for short and medium term planning for government institutions; and to describe how institutional plans are to align with high level government medium and long term plans, and the institutional processes for the different types of plans. The Revised Framework also aims to:

- Institutionalise government's national development planning agenda through institutional plans.
- Institutionalise planning for women, youth and people with disabilities in line with the relevant frameworks.
- Provide information about the legislation which informs government planning.
- Institutionalise the Results-Based Approach.
- Provide planning tools which can be used for the different types of plans.
- Describe the alignment between the planning, budgeting, reporting, monitoring and evaluation processes.
- Give the definitions of the various planning, reporting, monitoring and evaluation concepts.
- Outline the roles and responsibilities of the stakeholders and institutions that participate in the planning processes.

- Encourage evidence-based policy making, planning and implementation.

1.3 Applicability of the Revised Framework

The Revised Framework applies to all national departments, provincial departments and government components listed respectively in Schedule 1, Schedule 2 and Schedule 3 of the Public Service Act (1994), as amended by Act 30 of 2007; and to constitutional institutions listed in Schedule 1 and public entities listed in Parts A and C of Schedule 3 of the Public Finance Management Act (PFMA) Act No 1 of 1999.

The Revised Framework describes the minimum requirements for short and medium term planning. Institutions may provide additional information that is necessary for planning.

1.4 Applicable legislation

The legislation listed below sets the basis for government planning and for monitoring the performance of, reporting on and evaluating the results of the plans.

1.4.1 Constitution of the Republic of South Africa, 1996

The Constitution of the Republic of South Africa is the supreme law of the country and makes provision for other legislation regarding planning and performance monitoring across the three spheres of government.

Sections 92 (3) and (4) state that members of Cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions. Members of Cabinet must act in accordance with the Constitution and must provide Parliament with full and regular reports concerning matters under their control.

Section 114 (2) states that a provincial legislature must have mechanisms in place to ensure that all provincial executive organs are accountable to it and to maintain oversight of the exercise of provincial executive authority, including implementation of legislation, and any provincial organ of the state.

Section 125 (3) states that a province has executive authority only to the extent that it has the administrative capacity to assume effective responsibility. By legislative and other means, national government must assist provinces to develop the administrative capacity that they need to exercise their powers and to carry out their functions effectively.

Section 153 states that municipalities must structure and manage administrative, budgeting and planning processes to give priority to the basic needs, and social and economic development, of the community; and participate in national and provincial programmes.

1.4.2 Public Service Act of 1994 (as amended by the Public Service Amendment Act 30 of 2007)

The Public Service Act (PSA) forms the basis of national and provincial planning and reporting and promotes integrated planning. Chapter II (3) (1) of the PSA states that the Minister of Public Service and Administration is responsible for establishing the norms and standards relating to transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the public service and its service delivery to the public.

1.4.3 Public Service Regulations, 2016

Chapter 3 of the Public Service Regulations gives the requirements for preparing SPs, Annual Reports (ARs) and Service Delivery Improvement Plans (SDIPs). Regulation 25 describes the requirements for developing SPs and related reporting systems. Regulation 31 provides the basis for the development, tabling and submission of ARs. Regulations 36, 37 and 38 give the requirements for developing SDIPs, which must be informed by SPs.

1.4.4 Service Delivery Improvement Plan Directive, 2019

The Service Delivery Improvement Plan Directive issued in 2019 by the Department of Public Service and Administration (DPSA) requires that, every five years, departments must submit their approved SDIPs to the DPSA by 31 March. SDIPs are thus to be aligned with departments' five-year SPs.

1.4.5 Public Finance Management Act, No. 1 of 1999

Section 27 (4) of the PFMA provides the basis for the development of measurable objectives which must be included in national and provincial institutions' annual budgets. Sections 40 (3) and 55 (2) provide the basis for reporting performance against predetermined objectives in institutions' ARs.

The PFMA also provides the basis for reporting against predetermined measurable objectives contained in short and medium terms plans. Section 38 (d) of the Act states that the Accounting Officer is responsible for managing, safe-guarding and maintaining a department's or entity's assets and for managing its liabilities. Sections 38 (a) (iv) and (c) (iii) provide the basis for systems that properly evaluate all major capital projects before a final decision on the project is made and that manage available working capital efficiently and economically.

1.4.6 Treasury Regulations for Departments, Trading Entities, Constitutional Institutions and Public Entities, 2005

The Treasury Regulations give the requirements for, and regulate the development and submission of, SPs and related quarterly performance reporting.

1.4.7 Statistics Act, 1999

The Statistics Act provides the basis for the planning, production, analysis, documentation, storage, dissemination and use of official and other statistics. The purpose of these statistics is to help organs of state, businesses, other organisations and the public with planning, decision-making and monitoring or assessing policies. The use of official statistics strengthens the quality of government and institutional short and medium term plans.

1.4.8 Spatial Planning and Land Use Management Act, 2013

The Spatial Planning and Land Use Management Act (SPLUMA) was adopted shortly after the introduction of the NDP and is intended to help ensure that South Africa achieves its goals of spatial justice, spatial sustainability, efficiency, spatial resilience and good administration.

The Act establishes mechanisms for negotiating spatial conflicts, issuing guidelines and monitoring compliance. Although it does not deal directly with fragmentation of the spatial planning function, it introduces a new approach to spatial planning that can be refined and linked to overall long-term planning. Embedding spatial planning within the overall planning system is critical.

1.4.9 Local Government: Municipal Systems Act, 2000

The Local Government: Municipal Systems Act makes it a requirement for each council, within a prescribed period after the start of its elected term, to adopt a single, inclusive Integrated Development Plan (IDP) for the development of the municipality. Section 24 of the Act makes provision for municipalities to undertake planning that aligns with and complements the development plans of other municipalities and organs of state and to participate in national and provincial development in line with the principles of cooperative governance. Section 31 of the Act allows for provincial Members of the Executive Council (MECs) for Local Government to assist municipalities with planning, drafting, adopting and reviewing their IDPs.

1.4.10 Promotion of Equality and Prevention of Unfair Discrimination Act, 2000

The purpose of the Promotion of Equality and Prevention of Unfair Discrimination Act (PEPUDA) is to give effect to the letter and the spirit of the Constitution and, in particular, to promote equality, non-racialism and non-sexism; prevent unfair discrimination; and protect human dignity as contemplated in Sections 9 and 10 of the Constitution.

1.4.11 Government Immovable Asset Management Act, 2007

The aim of the Government Immovable Asset Management Act (GIAMA) is to provide a uniform framework for managing immovable assets held or used by national or provincial departments and to ensure that the use of immovable assets is coordinated with these departments' service delivery objectives.

1.4.12 Construction Regulations, 2014

Sub-Regulation 11 (2) requires a structure's owner to ensure that a competent person (typically a built environment professional) inspects it at least once every six months for the first two years after its construction and thereafter yearly. The aim is to ensure that the structure is and remains safe for continued use. Thus at least annual condition assessments must be carried out and maintenance and renewal programmes must be implemented.

1.5 Applicable policies

The policies listed below provide for government planning, performance monitoring, reporting and evaluation. They must be read in conjunction with the relevant legislation above and with the principles of this Revised Framework when developing short and medium term plans.

1.5.1 Policy Framework for the Government-wide Monitoring and Evaluation System, 2005

This Framework states that programme performance information is one of the data terrains underpinning the Government-wide Monitoring and Evaluation System (GWMES), and in particular information collected by government institutions while carrying out their mandated work and implementing the government's policies.

1.5.2 Framework for Managing Programme Performance Information, 2007

The Framework for Managing Programme Performance Information (FMPPi) describes how to design and implement management systems for defining, collecting, reporting on and using performance information in the public sector. It emphasises that performance information enables the public and oversight bodies, by comparing performance against budgets and service delivery plans, to determine whether public institutions are providing value for money and to alert managers to where corrective measures are needed.

1.5.3 National Development Plan 2030: Our Future - Make it Work, 2012

The NDP is a long-term vision for the country which provides a broad strategic framework to guide key government choices and actions, and focuses on the critical capabilities needed to transform the economy and society. The plan highlights that accelerated development in South Africa requires the active support of all citizens; leadership in all sectors that puts the country's collective interests ahead of narrow, short-term goals; and radically improved government performance.

1.5.4 Medium Term Strategic Framework

The MTSF outlines the country priorities of the electoral mandate and provides a medium-term roadmap for developing five-year institutional plans to enable the NDP's goals to be achieved. Intergovernmental and interdepartmental planning is crucial to achieving government's priorities and vision for South Africa. The MTSF promotes coordination and alignment of priorities across all spheres of government and with non-government stakeholders and assists with integrating all components of national development into mainstream planning processes.

1.5.5 Budget Prioritisation Framework

Government plans are implemented at different levels across the three spheres of government (national, provincial and local) and across a large number of public entities and state-owned enterprises (SOEs). The purpose of the Budget Prioritisation Framework (BPF) is to guide allocation of budgets towards achieving government priorities. It provides the strategic framework for decision-making on budget priorities that will enable achievement of the goals of the NDP using limited resources.

1.5.6 National Evaluation Policy Framework, 2011

The National Evaluation Policy Framework (NEPF) provides both the basis for a minimum system of evaluation across government and a common language for evaluation in the public service. Its purpose is to ensure good-quality evaluations that give information about what is

working and what is not and, in this way, help to improve the effectiveness and impact of government's work. To improve performance, the framework underlines the need to use credible and objective evaluation-derived evidence in planning, budgeting, organisational improvement and policy review, and in programme and project management.

1.5.7 Spatial Development Frameworks

Spatial transformation and inclusive economic growth remain elusive despite an enabling legislative and policy environment. Spatial planning, infrastructure investment and social development expenditure by the post-apartheid state and the private sector have reproduced, entrenched and in some cases reinforced these historic spatial patterns. The purpose of Spatial Development Frameworks (SDFs) is to radically change the rationale for and rules by which planning, budgeting and infrastructure investment and development spending in the country take place.

1.5.8 United Nations Sustainable Development Goals

The aim of the Sustainable Development Goals (SDGs) is to end poverty and hunger globally; combat inequalities within and among countries; build peaceful, just and inclusive societies; protect human rights; promote gender equality and the empowerment of women and girls; and ensure the lasting protection of the planet and its natural resources. Countries committed to the SDGs aim to create the conditions for sustainable, inclusive and sustained economic growth, shared prosperity and decent work for all, taking into account different levels of national development and capacities. The SDGs are integrated and indivisible and balance the three dimensions of sustainable development: the economic, the social and the environmental. There are 17 SDGs, demonstrating the scale and ambition of this global agenda.

1.5.9 Agenda 2063

Agenda 2063, published by the African Union Commission in 2015, is a strategic framework for the socio-economic transformation of Africa over the next 50 years.

It builds on, and aims to accelerate implementation of, past and existing continental initiatives for growth and sustainable development.

Agenda 2063 has the following aspirations: an integrated continent, politically united and based on the ideals of Pan-Africanism and the vision of Africa's Renaissance; an Africa 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 an Africa that is a strong, united and influential global player and partner. These aspirations have priority areas aligned to the SDGs.

1.5.10 South African Statistical Quality Assessment Framework, 2010

The South African Statistical Quality Assessment Framework (SASQAF) provides the framework and criteria for evaluating and certifying statistics produced by government and non-government institutions. The framework enables assessment of the quality of statistics and the distinction between official and unofficial statistics. Official statistics are certified by the Statistician General in line with Section 14 (7) (a) of the Statistics Act and are used by government institutions to inform their planning processes and the development of plans.

1.5.11 Standard for Infrastructure Procurement and Delivery Management, 2015

The Standard for Infrastructure Procurement and Delivery Management (SIPDM) describes the minimum requirements for infrastructure procurement and delivery management in all spheres of government. It also provides a control framework for procurement and infrastructure delivery management, particularly for projects.

1.5.12 International Infrastructure Management Manual

The International Infrastructure Management Manual (IIMM) provides relevant practitioners

with necessary tools, resources and case studies needed for good asset management as defined by the ISO Standards. The IIMM shows infrastructure managers how to achieve the appropriate balance between cost, risk and asset performance to achieve the best service outcomes for all stakeholders.

1.5.13 National Immovable Asset Maintenance Management Standard, 2017

The Standard establishes the principles, or practice specifications, for managing and caring for immovable assets after they have been built or acquired. It gives information about establishing asset care objectives, strategies and plans; implementing, monitoring and reviewing preventative and corrective maintenance; and the roles and responsibilities for effective maintenance of infrastructure assets.

1.5.14 National Treasury Asset Management Framework v3.3, 2003

The Framework introduces the concept of asset management; highlights the principles of, and need for, asset management; and gives broad guidelines about it.

1.5.15 Standard for an Infrastructure Delivery Management System, 2012

The Infrastructure Delivery Management System (IDMS) standard was developed to enable planning, implementation, monitoring and control of infrastructure in government. It describes the legislative and regulatory requirements for asset management, planning, budgeting and infrastructure procurement. These include the SIPDM. Infrastructure delivery management is made up of portfolio, programme, operations, maintenance and project management processes, with the management processes continually interacting with a performance and risk management system.

1.6 Planning methodologies

Planning methodologies provide institutions with planning approaches, practices and processes for developing short and medium term plans in the South African government context.

1.6.1 Results-Based Approach

The Results-Based (RB) Approach, adopted by government since 1994, is an approach where all stakeholders, contributing directly or indirectly to achieving a set of results, ensure that the processes, products and services contribute to the achievement of desired results (outputs, outcomes and impact). The stakeholders use data and evidence relating to actual results to inform decision-making about the design, resourcing and delivery of programmes and about accountability and reporting.

1.6.1.1 Key principles of the Results-Based Approach

Accountability for planning. Government institutions are accountable to the citizens, through Parliament, for delivering on national development priorities.

Ownership of relevant national priorities, programmes and projects reflected in the NDP must be assumed by each government institution to ensure that intended results are achieved.

Inclusiveness requires that stakeholders such as government institutions at national, provincial and local levels, and civil society organisations and communities, are engaged with when planning to achieve outcomes and to improve performance.

This Revised Framework endorses the RB concepts used by government and which must inform government institutions' planning processes. Figure 1.1 below shows the connections between the RB concepts.

1.7 Planning tools

Planning tools enable institutions to conceptualise, decide on the strategic focus, plan for results and identify enablers for achieving these results.

The following planning tools, among others, may be used at the different stages of the planning process:

1.7.1 Planning tools for situational or diagnostic analysis

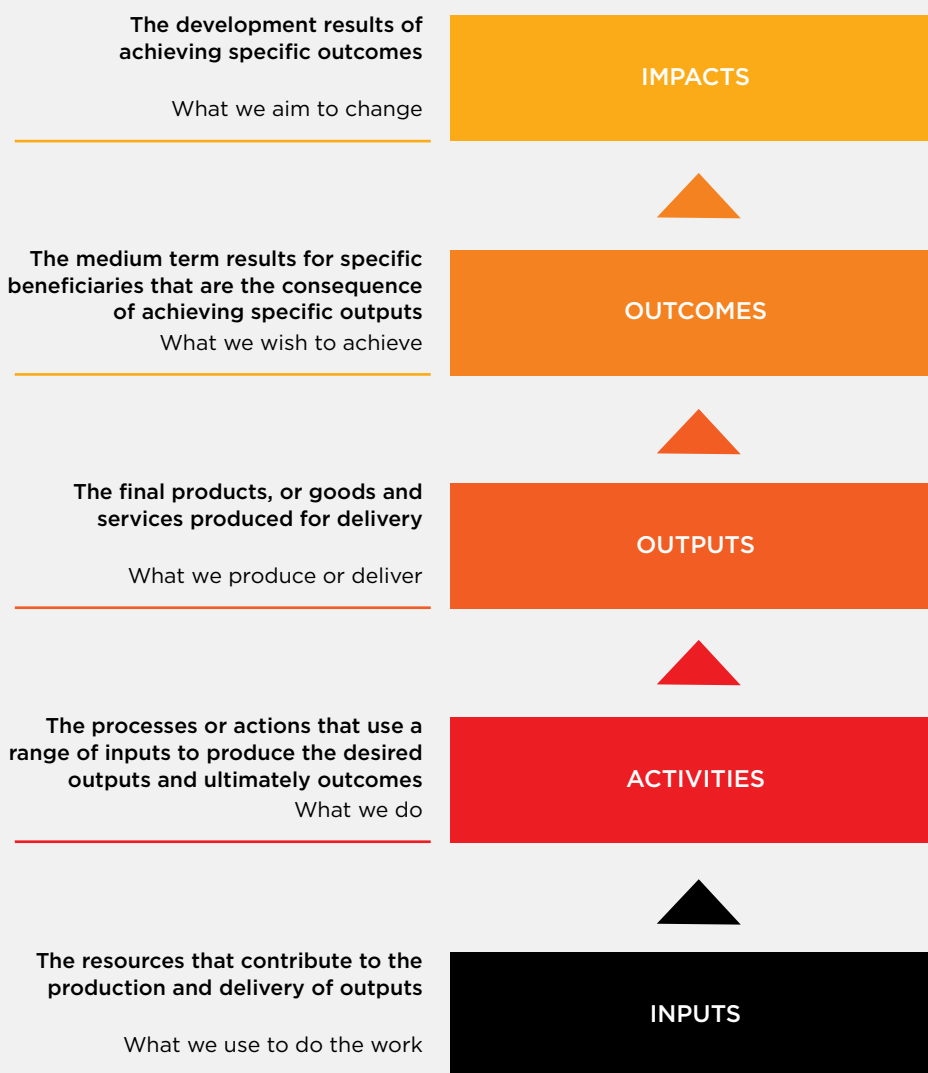
- a) Scenario Planning
- b) Problem and Solution Tree analysis
- c) Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis and Political, Economic, Social, Technological, Environmental and Legal (PESTEL) analysis
- d) Fishbone analysis

1.7.2 Planning tools for developing SPs, APPs and AOPs

- a) Theory of Change
- b) Logframe
- c) Balanced Scorecard
- d) Activity-based costing
- e) Project management

The Guidelines provided with this Revised Framework give detailed information about each of these tools.

Figure 1.1: Results-Based concepts



Source: Framework for Managing Programme Performance Information (2007), page 6

The RB approach can be used with other planning tools to ensure that all factors contributing to the achievement of the intended results are taken into consideration.



CHAPTER 2: PLANNING PROCESSES

2.1 Introduction

Intergovernmental and interdepartmental planning is crucial to the realisation of government priorities and ultimately the NDP. It is therefore essential that the NDP priorities are clearly articulated in the short and medium term plans of institutions in all spheres of government. Institutional planning processes are a critical part of planning and inform the development of the content of short and medium term plans. Through strategic planning processes, each institution must establish planning processes which are focussed on results.

This chapter provides information about the following planning processes for institutionalised results-based planning across government.

- Alignment of national, provincial and local government planning.
- Alignment of the policy, planning, budgeting and reporting processes.
- Alignment of the SDIP with the SP and the APP.
- Alignment of the NDP, the MTSF and provincial strategies with the budget.
- The roles and responsibilities of the various stakeholders in the planning processes.
- Planning timeframes.

2.2 Alignment of national, provincial and local government planning

It is important for institutions to align their priorities, expressed in their short and medium term plans, with government's broad strategies and policies. Institutions must focus on programmes and policies which contribute to the achievement of the NDP priorities. The figure below shows the alignment of national, provincial and local government planning.

2.2.1 The National Development Plan and the Medium Term Strategic Framework

All national, provincial and local government institutions must ensure that the NDP priorities are reflected in their institutional SPs and APPs, as described in the MTSF for the relevant planning cycle. The MTSF ensures a coherent vision and plan that address the priorities

including those relating to women, youth and people with disabilities. It is a roadmap for developing five-year institutional plans.

Government's contribution to the MTSF is measured through a monitoring framework with related indicators and targets. National institutions must incorporate the MTSF deliverables that are their direct responsibility into the performance information sections of their plans.

National sector departments are responsible for developing sector plans aligned with the MTSF. National departments with concurrent functions must consult with the respective provincial and local government institutions to agree on the priorities for the sector; these should be included in the sector plans and in institutions' SPs and APPs.

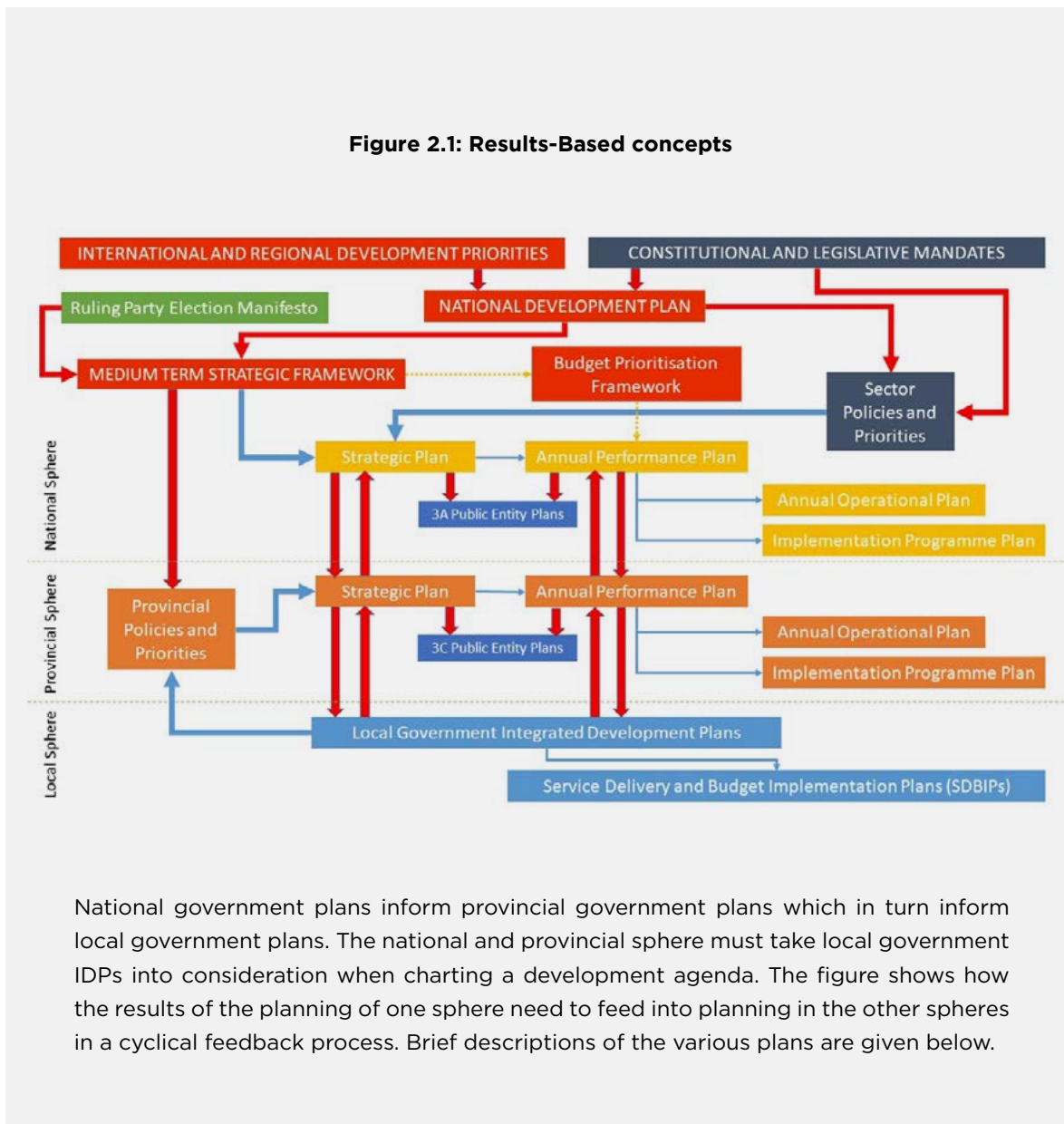
Provincial institutions must incorporate the MTSF deliverables that are their direct responsibility into the performance information section of their institutional plans. Standardising output indicators for a sector is one way of ensuring that the relevant MTSF indicators are included in provinces' short and medium term plans.

Provincial departments of Local Government must provide guidance to municipalities to ensure that the MTSF deliverables that are their direct responsibility are included in the performance information section of municipal institutional plans.

2.2.2 Implementation Delivery Model

Institutional plans must reflect relevant priorities as reflected in the MTSF, with institutional outcomes, outcome indicators and targets aligned with the priorities. The Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans, which accompanies this document, shows the required format of the table outlining priorities and relevant outcomes.

Figure 2.1: Results-Based concepts



2.2.3 Spatial Development Framework

In all spheres of government, the purpose of SDFs is to direct public and private development and to provide guidelines for general land use and infrastructure investment. The national SDF gives spatial expression to the NDP and provincial SDFs to provincial development plans; local government SDFs provide direction to IDPs.

All government institutions preparing short and medium term plans must indicate the spatial impact that the plans will have. This facilitates and promotes intergovernmental cooperation

in relation to spatial development planning and transformation.

2.2.4 Budget Prioritisation Framework

The purpose of the annual BPF is to guide government during the budget allocation process for the coming financial year. It also assists government to ensure that budgets are aligned with implementation of the MTSF priorities and assists the Medium Term Expenditure Committee with making recommendations to the Ministers' Committee on the Budget and to Cabinet.

2.2.5 Provincial priorities

Provincial priorities must contribute towards achievement of the MTSF. Offices of the Premier (OTPs) must ensure that deliverables in the MTSF are aligned with the provincial priorities, and that local government priorities are taken into consideration when provincial priorities are developed.

OTPs and provincial departments of Local Government must ensure that local priorities support the achievement of national and provincial priorities. To ensure alignment of government priorities, sector departments must participate in the process of developing the IDPs.

2.3 Alignment of the policy, planning, budgeting and reporting processes

Integrating policy, planning, budgeting and reporting processes is essential for achieving the country’s planned medium and long term developmental results. In particular, planning and budgeting processes must be aligned so that development priorities are budgeted for during the planning cycle; and implementation of plans to achieve the developmental results, using the allocated budgets, must be tracked.

Figure 2.2: National policy direction



Drawing on the Constitution, international and regional obligations and political directives, the NDP provides overarching goals for the country to be realised by 2030 and the mechanisms and levers to bring about these goals. The realisation of national development priorities requires, among other conditions, that all sectors develop and implement sector plans that are aligned to the MTSF, guided by a common planning approach.

Figure 2.3: Planning and budgeting

Financial Years	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30
Planning & Budgeting	MEDIUM TERM STRATEGIC FRAMEWORK					MEDIUM TERM STRATEGIC FRAMEWORK					
Medium Term Planning and Budgeting	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework	Budget Prioritisation Framework
	Medium Term Expenditure Framework			Medium Term Expenditure Framework			Medium Term Expenditure Framework			Medium Term Expenditure Framework ending 2031*	
Strategic Plans		Five Year Strategic Plan				Five Year Strategic Plan					
Annual Performance plans	APP	APP	APP	APP	APP	APP	APP	APP	APP	APP	APP
Annual Operational Plans	AOP	AOP	AOP	AOP	AOP	AOP	AOP	AOP	AOP	AOP	AOP
Annual Allocated Budgets with MTEF projections	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget	Allocated Budget

*The 2028/29 MTEF ends in the 2030/31 financial year.

In the first quarter of each financial year, the DPME issues the BPF, outlining medium term priorities that must inform the budget allocation process for the next financial year. Through the planning process, oversight institutions ensure that medium term priorities are reflected in institutional SPs and APPs. Through the annual budget guidelines, NT indicates the process in terms of which departments must budget for identified priorities communicated by the DPME. Institutions must ensure that the medium term priorities are reflected in their plans, budgeted for, measured, and reported on a quarterly and annual basis through the established reporting processes.

In consultation with NT, all institutions must develop budget programme and sub-programme structures aligned with their main mandated areas of service delivery. Institutions' outputs must be developed in terms of the nationally approved budget programme structure and reflected in their APPs. NT's Guideline for Budget Programmes describes the processes that national and provincial institutions are to follow in developing and revising these structures.

Figure 2.4: Reporting

Financial Years	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	
In-year Reporting	12 Monthly Expenditure Reports											
	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	12 MERs	
	4 Quarterly Performance Reports											
	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	4 QPRs	
Medium Term Reporting	Annual Reports											
	AR	AR	AR	AR	AR	AR	AR	AR	AR	AR	AR	
				MTR					MTR			
							ETR					

With the development agenda institutionalised through short and medium term plans, reporting processes against SPs and APPs are intended to ensure a clear focus on the utilisation of reported performance information.

2.4 Aligning the SDIP with the SP and the APP

SDIPs are mechanisms for continuous, incremental service delivery improvement that promote efficiency and effectiveness. SDIPs must be credible, effective and realistic, and intended to improve service delivery based on beneficiaries' priorities.

SDIPs enable institutions to focus on critical services identified during the planning process. There is a continuum between SPs, APPs and SDIPs, with SPs and APPs focusing on institutional impact, outcomes and outputs and SDIPs on improving the quality of services provided to citizens.

2.5 Integrated planning between national and provincial departments

The Intergovernmental Relations Framework Act (2005) states that "the three spheres of government are distinctive, interdependent and interrelated". However, they must plan together the utilisation of scarce resources and the achievement of government priorities.

Standardised indicators for sectors with concurrent functions ensure uniformity in planning and reporting, and must be developed for the following instances:

- National departments and concurrent provincial departments.
- National public entities and concurrent provincial public entities.

2.5.1 Integrated delivery model

Intergovernmental planning is critical for ensuring integrated planning between the spheres of government for improved service delivery. Coordination, participation and joint planning by all spheres of government are needed to achieve the results envisioned in the NDP and the MTSF.

2.5.2 Development of standardised indicators

for sectors with concurrent functions

The deliverables described in the MTSF and in the sector plans must inform the development of standardised indicators for the sectors and must be developed in consultation with the relevant stakeholders. Accounting Officers responsible for implementing the sector indicators must approve them before they are included in APPs. The Guidelines for Standardisation of Indicators for Sectors with Concurrent Functions give further details.

2.6 Roles and responsibilities for planning

The roles and responsibilities of the institutions that contribute to and are responsible for institutional short and medium term planning are given below.

2.6.1 Department of Planning, Monitoring and Evaluation

The DPME is the custodian of short, medium and long term planning in government. Its roles include but are not limited to:

1. Developing medium and long term government plans.
2. Institutionalising planning within government.
3. Developing the frameworks and guidelines for short and medium term planning.
4. Providing guidance on government priorities which should be considered for funding.
5. Developing formats for performance reporting.
6. Assessing national and provincial institutions' plans and reports.
7. Coordinating the development of the standardised indicators for sectors.
8. Providing guidance on monitoring and evaluation systems and processes.
9. Providing support to OTPs and national institutions.

2.6.2 Offices of the Premier

OTPs are responsible for:

1. Developing provincial priorities aligned with national priorities.
2. Ensuring that national and provincial priorities are planned for, implemented and monitored by provincial institutions.
3. Providing support to provincial institutions on planning, monitoring and evaluation practices.
4. Monitoring the use of national and provincial frameworks by all institutions in their provinces.
5. Assessing provincial departments' draft SPs and APPs.
6. Providing input into the process of developing standardised indicators for sectors, where applicable.

2.6.3 National Treasury and Provincial Treasuries

These are responsible for:

1. Prescribing the formats of budgets and for developing measures to ensure transparency and control of expenditure in all spheres of government.
2. Ensuring that budgets are aligned with institutional plans and government priorities through the BPF.
3. Ensuring that draft SPs and APPs are aligned with budgets
4. Overseeing the development of budget programme structures.

2.6.4 Department of Public Service and Administration

The department is responsible for guiding the development and monitoring of service delivery improvement plans. This role includes but is not limited to:

1. Developing directives on SDIPs.
2. Institutionalising SDIPs within government.
3. Developing the frameworks and guidelines for SDIPs.
4. Providing guidance on sector-specific indicators and services to be considered for inclusion in the SDIP for funding.
5. Assessing SDIPs and annual progress reports

of national and provincial departments.

2.6.5 National Department of Cooperative Governance

The department is responsible for:

1. Monitoring local governments' performance of their constitutional functions.
2. Developing and implementing an integrated planning, monitoring, reporting and evaluation system for local government.
3. Ensuring that local government plans are aligned with government's priorities.
4. Coordinating the development of standardised indicators for local government.

2.6.6 Provincial departments of Cooperative Governance

The departments are responsible for:

1. Supporting municipalities in developing and reviewing their IDPs.
2. Ensuring alignment between local, provincial and national government priorities.

2.6.7 National departments

National departments must:

1. Ensure that government priorities are incorporated into their short and medium term plans.
2. Lead sector processes to develop sector plans.
3. Submit draft SPs and APPs to the DPME.
4. Establish processes that take consolidated recommendations on the assessment reports, based on the draft SPs and APPs from the DPME, into consideration to improve the quality of the plans.

2.6.8 Provincial departments

Provincial departments must:

1. Ensure that national and provincial priorities are incorporated into their short and medium term plans.
2. Through their respective OTPs, submit draft SPs (if applicable) and APPs to the DPME by a date determined by the DPME.
3. Establish processes to take consolidated recommendations on the assessment reports, based on the draft SPs and APPs

from OTPs, into consideration to improve the quality of their plans.

2.6.9 Public entities

Public entities must:

1. Ensure that government priorities are incorporated into their short and medium term plans.
2. Submit draft SPs and APPs to their oversight departments.
3. Establish processes that take consolidated recommendations from oversight departments into consideration to improve the quality of the plans.

2.6.10 National departments responsible for concurrent functions

These departments are responsible for:

1. Coordinating the development and review of sector-specific plans.
2. Coordinating the standardisation of indicators for the sector.
3. Coordinating the development and review of uniform provincial budget programme

structures in line with NT's Guideline for Budget Programmes.

4. Assessing the SPs and APPs of their provincial concurrent function departments.
5. Coordinating the development of systems and structures to collect performance information on concurrent functions.

2.6.11 Institutions with oversight responsibilities for public entities

These institutions must:

1. Provide policy direction on sectors' priorities which must be reflected in public entities' SPs and APPs.
2. Support planning, monitoring and evaluation practices.
3. Assess public entities' plans to ensure alignment between government priorities and entities' mandates, deliverables and budgets.
4. Establish processes for engaging with public entities to ensure that plans and related timelines are synchronised with national and provincial planning timeframes.

2.7 Planning timeframes

Table 2.1: Planning and budgeting timeframes for national and provincial institutions

Process	April	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	March
Planning	Strategic Plans							31 October (draft SPs)*		31 January final SPs for Public Entities**		Tabled In Parliament
	Annual Performance Plans							31 October (draft APPs)*		31 January final APPs for Public Entities**		Tabled In Parliament
	Annual Operational Plans											Approved by Accounting Officers
Budgeting	Annual Budget and MTEF			NT issues MTEF Guidelines	Departments submit first draft budgets and new expenditure estimates			NT issues Guidelines for ENE	NT issues allocation letters		Departments submit final ENE chapters	Tabled in Parliament
	Adjusted Budget and MTEF											
Budget Programme Structure	Change requests to Budget and Programme Structure				Departments propose changes to budget and programme structure		NT approves changes to budget and programme structure					
Standardised Indicators	Standardised Indicators for sectors						Submission of final set of standardised indicators for sectors					

* National departments submit draft plans to the DPME and NT. * Provincial departments submit draft plans to OTPs by 15 October annually. * OTPs submit provincial plans to the DPME and Provincial Treasuries. * Public entities submit draft plans to their relevant oversight institutions. ** Public entities submit final plans to relevant oversight institutions by 31 January.

Parliament and provincial legislatures provide guidance on the submission of APPs in election years.



CHAPTER 3: STRATEGIC PLANNING

3.1 Introduction

SPs reflect the intended institutional outcomes that will help to achieve government's priorities and realise the institution's mandate. SPs institutionalise the priorities set out in the NDP; the MTSF; Spatial Development Plans (SDPs); provincial, sector and local government priorities; and any other government medium and long term plans.

The five-year SP, which is aligned with the planning cycle, gives the institution's impact statement, intended outcomes, related outcome indicators and five-year targets for the outcomes. The SP informs the APP of the institution, whose strategic focus must be linked to the allocated budget based on its mandate.

This chapter gives government institutions information about planning using the Results-Based Approach by formulating the intended impact and outcomes in their SPs. The chapter also gives information about the processes related to developing, approving, revising and tabling SPs for national and provincial institutions, and about the content of SPs. The Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans, which accompanies this document, describes the planning tools that institutions should use during the strategic planning process.

3.2 Content of the Strategic Plan

Institutions must ensure that the following core content is included in their SPs:

Part A: Our Mandate

3.2.1 Constitutional mandate

State the relevant section(s) of the Constitution and how the institution is directly responsible for ensuring compliance with these section(s).

3.2.2 Legislative and policy mandates

Give the legislative and policy mandates of the institution. Focus on the legislative and other mandates that the department is directly responsible for implementing, managing or overseeing and not the entire list of legislation

that the institution is subject to in the course of its operations. Institutions should indicate legislative and policy mandates for cross-cutting priorities such as women, youth and people with disabilities.

3.2.3 Institutional policies and strategies related to the five-year planning period

Indicate, in point form, the most important policies and strategies that the institution plans to continue or initiate in the five-year planning period. SPs must take into consideration the NDP; the MTSF; SDPs; provincial, sector and local government priorities; and any other relevant government medium and long term plans.

3.2.4 Relevant court rulings

Complete this section if there are any court rulings that have a significant, ongoing impact on operations or service delivery obligations.

Part B: Our Strategic Focus

3.2.5 Vision

State the institution's vision. A vision is an inspiring picture of a preferred future. It is not time-bound and serves as a foundation for all policy development and planning, including strategic planning. It should be specific to the institution but linked to the overall vision of a particular sector or cluster.

3.2.6 Mission

State the institution's mission. A mission statement describes why the institution exists, based on its legislative mandate, functions and responsibilities; and succinctly indicates what it does, why and for whom.

3.2.7 Values

List the institution's values. Values identify the principles for the conduct of the institution in carrying out its mission. They are aligned with the institution's mission and should make clear a citizen-oriented approach to producing and delivering government services in line with the Batho Pele principles.

3.2.8 Situational analysis

Using detailed information gathered during the strategic planning process, and aligned with the institution's strategic focus, the situational analysis gives broad information about the institution's internal and external environment and must provide the context for implementation of the planned initiatives during the five-year planning period.

Relevant information, which must be referenced, includes analyses of emerging trends; the status of women, youth and people with disabilities (where applicable); evaluation reports; and performance information gathered during the previous financial years. The situational analysis should also be informed by the use of planning tools such as SWOT analysis, PESTEL analysis, Fishbone analysis, Problem and Solution Tree analysis and stakeholder analysis.

The following core aspects of the institution's environment must be included in the situational analysis:

1. The institution's strategic focus over the five-year planning period.
2. Recent statistics relevant to the institution and sector.
3. Reference to the medium and long term policy environment.
4. Evidence-based analysis of priorities relating to women, youth and people with disabilities, where appropriate.
5. Demographic data, where appropriate.
6. Information about the demand for services, where appropriate. This includes trend analysis of citizen satisfaction surveys, complaints reports and front line service delivery reports.
7. Spatial information, where appropriate.
8. Challenges that the institution has faced in carrying out its planned work, and mechanisms to address these over the planning period.
9. Emerging priorities and opportunities which will be implemented during the planning period.
10. Information about the institution's capacity to deliver on its mandate.

11. Relevant stakeholders which contribute to the institution's ability to achieve its planned outcomes.

The situational analysis should be divided into the external environment analysis and the internal environment analysis.

3.2.8.1 External environment analysis

Summarise key issues in the environment in which the institution carries out its work. This section should include:

1. Background information on factors contributing to the performance of policy and regulatory institutions.
2. Where available, information about the demand for services and about other factors that inform the development of the SP.
3. Challenges to be addressed and how this will be done.
4. Demographic or other data that will be used to inform planning for the five-year period.
5. Trend analysis, based on Annual Reports and end-of-term reports, that will inform the strategy going forward.
6. Findings from internal or external research that will be used to inform the institution's strategy.
7. Findings from internal or external evaluations that will be used to inform the institution's strategy.
8. Information from the political environment that may affect implementation of the SP.
9. Analysis of environmental factors, data, trends, challenges, research findings and evaluations relating to women, youth and people with disabilities.

3.2.8.2 Internal environment analysis

Summarise how the institution's structure and configuration, and other internal institutional factors, influence its ability to deliver on its mandate. Core elements should include:

1. The institution's capacity to deliver on its mandate, including information about its human resources, information and communications technology (ICT), financial resources and other factors.

2. The status of the institution's compliance with the Broad-Based Black Economic Empowerment Act 53 of 2003, as amended.
3. The status of the institution in responding to interventions relating to women, youth and people with disabilities.

Part C: Measuring Our Performance

3.2.9 Institutional performance information

Information in the performance information section of the SP should be supported by relevant planning methodology and tools and by a comprehensive diagnostic assessment.

3.2.9.1 Impact

Provide an impact statement of the institution's intended impact, as informed by its legislative or policy mandate. The description of the impact must be informed by the theory of change or any other tools used to develop a results-based plan.

3.2.9.2 Outcomes

State the institution's intended outcomes. For each outcome, give at least one outcome indicator that will be used to measure its attainment. The institution must indicate how the identified outcomes will contribute to the MTSF priorities.

3.2.9.3 Outcome indicators

These are intended to measure the extent to which the outcomes have been achieved by the end of the five-year period, and should be clear, specific and measurable. Outcome indicators can be qualitative or quantitative and, where applicable, must be able to provide disaggregated data relating to women, youth and people with disabilities.

3.2.9.4 Outcome indicator baseline

This states the level of performance in relation to each outcome indicator at the start of the five-year planning period.

3.2.9.5 Five-year target

This is the desired level of performance that

is expected to be achieved, as shown by the outcome indicators, by the end of the five-year period.

3.2.9.6 Explanation of planned performance over the five-year planning period

For each outcome, this section must give information about how it contributes to achieving the NDP priorities; the MTSF; priorities relating to women, youth and people with disabilities; provincial priorities, where applicable; and the institution's mandate. The narrative should also indicate how the identified outcomes will contribute to achievement of the impact.

3.2.9.7 Key risks

The SP must include a summary of key risks which may affect achievement of the identified outcomes and must describe measures which will be taken to mitigate these risks.

3.2.9.8 Public entities

Where applicable, the SP must include a table showing the public entities, and their relevant intended outcomes, that the institution oversees.

3.2.9.9 District Development Model

A summary of projects related to the services to be delivered at a district level during the strategic planning period must be given. For each project, the information must include the allocated budget; its location within the district; and the roles and responsibilities of the stakeholders involved with it.

Part D: Technical indicator descriptions

Technical indicator descriptions (TIDs) must be given for each outcome indicator in the format stipulated in the Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans.

3.3 Processes for the development, approval and revision of Strategic Plans by national and provincial institutions

3.3.1 Processes for the development of the Strategic Plan

a) Institutions should engage all internal and external stakeholders. Stakeholders refer to those responsible for implementing the plan; who will be affected by it; who will monitor its implementation; and who are responsible for planning within the institution (usually the Strategic Planners). Where applicable, the principle of prioritising women, youth and people with disabilities should be adhered to during the stakeholder consultation process.

b) Stakeholders can be involved through workshops (such as per programme, sub-programme, priority or cross-cutting functional area) or consultation meetings with specific groups (such as per programme, sub-programme, outcome or cross-cutting functional area).

d) Through a well-defined process of collaboration, partnership and communication, the Head of Planning and the Accounting Officer must identify and agree on the planning tools to be used. This process must be accompanied by a rigorous diagnostic analysis of how the identified outcomes will contribute to achievement of the NDP, the MTSF and provincial priorities, where applicable.

e) The Head of Planning and the Chief Financial Officer (CFO) must ensure that the budget is prioritised to support achievement of the intended outcomes.

f) The institution's planner consolidates the plan that has been developed using relevant planning tools.

g) Using internal sign-off mechanisms, programme managers must sign off on the content of the SP.

h) The Accounting Officer, CFO and Head of Planning must sign off on the SP before it is submitted to the Executive Authority for approval.

i) The Accounting Officer must submit the SP to the institution's Executive Authority for approval.

j) The institution's Accounting Officer must ensure that the strategic planning processes are aligned with the timeframes determined by the Leader of Government Business; the provincial legislature, where applicable; and the DPME or the OTP, as applicable.

k) The SP must be shared with stakeholders including the provincial legislature, the DPME, the relevant OTP and NT and must be published on the institution's website.

3.3.2 Processes for tabling Strategic Plans: national institutions

a) New SPs developed at the beginning of a five-year planning cycle:

i. National institutions' plans approved by the Executive Authority must be tabled in Parliament.

ii. Tabling of approved plans must follow the process and dates for tabling given by Parliament.

b) SPs revised and approved during the five-year planning cycle:

i. SPs revised and approved by the Executive Authority during a financial year, after the original SP was tabled, must be re-tabled in Parliament.

c) Proof of tabling of new SPs or re-tabling of revised SPs must be submitted to the DPME within a month after their tabling or re-tabling in Parliament.

d) New SPs and revised SPs must be shared with the DPME, NT and other relevant stakeholders and must be published on the institutions' websites.

3.3.3 Processes for tabling Strategic Plans: provincial institutions

a) New SPs developed at the beginning of a five-year planning cycle:

i. Provincial institutions' plans approved by the Executive Authority must be tabled in the legislature.

ii. Tabling of approved plans must follow the process and the dates for tabling given by the legislature.

b) SPs revised and approved during the five-year planning cycle:

i. SPs which are revised and approved by the Executive Authority during a financial year, after the original SP was tabled, must be re-tabled in the legislature.

c) Proof of tabling of new SPs or re-tabling of revised SPs:

i. This must be submitted to the relevant OTP within a month after the tabling or re-tabling of the SP. The OTP must submit tabled plans to the DPME within two weeks after receiving them.

d) New SPs or revised SPs must be shared with the relevant OTP and Provincial Treasury and with other relevant stakeholders and must be published on the institutions' websites.

3.3.4 Processes for revising Strategic Plans

Ideally, a SP should not be revised during the five-year planning period but may be revised during this period if there are significant changes to policy, in the service delivery environment or in the planning methodology.

The following process must be followed when revising a SP:

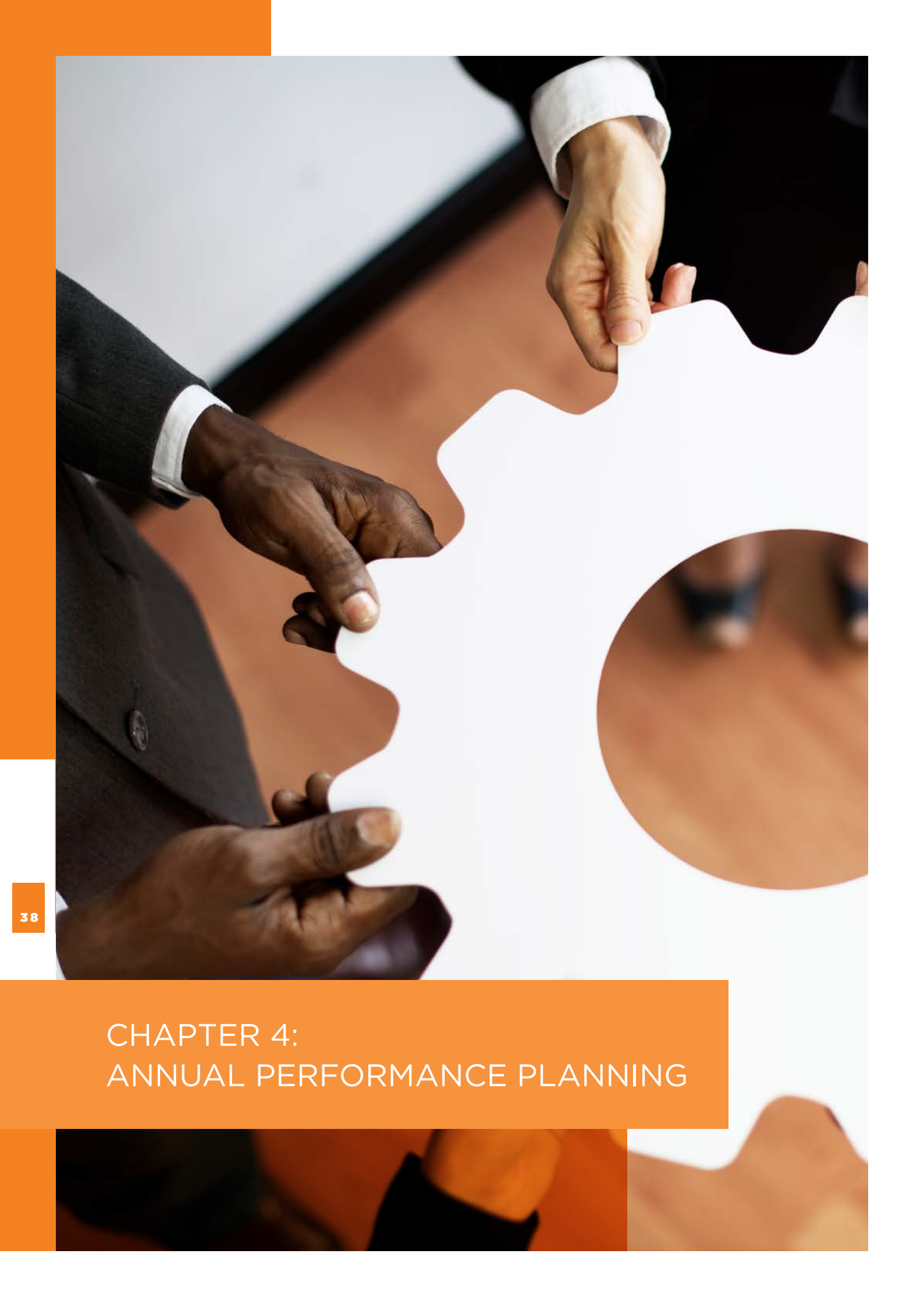
a) Institutions must reflect the revisions to the SP through the re-tabling of the whole SP or the tabling of an Annexure to the APP.

i. If the changes in policy, service delivery environment and planning methodology result in the revision of the vision, mission, values and impact statement, outcomes, outcome indicators or targets, institutions must comprehensively revise the SP which must be re-tabled in the relevant legislature.

ii. If the changes are minimal, such as changes to the outcomes, outcome indicators and targets, institutions must reflect such revisions to the SP as an Annexure to the APP which must be tabled in the relevant legislature.

b) The re-tabled SP must be shared with the stakeholders including the legislature, the DPME, the OTP and relevant Treasuries. The retabled SP must also be published on the institution's website.





CHAPTER 4: ANNUAL PERFORMANCE PLANNING

4.1 Introduction

The APP must describe the institution's intended outputs that will enable it to achieve the outcomes and impact statements in the SP. The outputs must inform the budget and must include the audited performance of the past three planning years, the estimated performance for the current year and forward projections for the medium term period. The annual performance planning process is informed by the strategic planning process.

This chapter describes how the SP and the APP align by ensuring that the APP's outputs focus on achieving the outcomes and intended impacts of the SP; by developing the APP using relevant planning tools from the SP process; and by including narratives about planned performance in relation to the selected outputs.

4.2 Content of the Annual Performance Plan

Part A: Our Mandate

4.2.1 Updates on the relevant legislative and policy mandates

Where applicable, provide an update on the relevant legislative and policy mandate of the institution in the SP.

4.2.2 Updates on institutional policies and strategies

Where applicable, provide an update on the institutional policies and strategies in the SP.

4.2.3 Relevant court rulings

Complete this section if there are any court rulings that have a significant, ongoing impact on operations or service delivery obligations.

Part B: Our Strategic Focus

4.2.4 Updated situational analysis

The situational analysis provides the context for implementing the planned initiatives over the medium-term period and must be reviewed regularly. During the first year of the five-year planning cycle, the situational analysis in the APP must be the same as that in the SP. From the second year of the planning cycle, the information in the SP at the beginning of the planning cycle must be updated annually in the

APP, with changes in the institution's internal and external environment guiding the development of the APP. Reviewing the situational analysis must take account of evaluation reports and performance information from the previous financial year; relevant research into emerging trends and the status of women, youth and people with disabilities (where applicable); and decisions taken through the use of planning tools such as Scenario Planning, SWOT analysis, PESTEL analysis, Fishbone analysis and Problem and Solution Tree analysis.

The following core elements of the institution's environment must be included:

- a) The institution's strategic focus for the financial year.
- b) Recent statistics relevant to the institution and sector.
- c) Information about the medium and long term policy environment.
- d) Evidence-based analysis of priorities relating to women, youth and people with disabilities, where appropriate.
- e) Spatial information, where appropriate.
- f) Challenges that the department has experienced in the performance environment and how it will address these over the medium-term period.
- g) Emerging priorities and opportunities which will be acted on during the medium-term period.
- h) Information about the institution's capacity to deliver on its mandate.
- i) Information about stakeholders which contributes to the institution's achievement of its planned outcomes.

The situational analysis should be divided into the external environment analysis and the internal environment analysis.

4.2.4.1 External environment analysis

This section gives information about key issues in the institution's working environment and should include:

- a) Information about factors affecting the institution's performance relating to the policy and regulatory environment.

b) Where applicable, information about the demand for services and other factors influencing the development of the APP. This information includes trend analyses based on citizen satisfaction surveys and complaints reports.

c) Challenges that the institution experiences in carrying out its work and how it will address these over the medium-term period.

d) Demographic or relevant data that will be used to inform planning for the medium-term period.

e) Trend analysis based on Annual Reports or other reports that will inform the strategy.

f) Findings from internal or external research that will be used to inform the institution's strategy.

g) Findings from internal or external evaluations that will be used to inform the institution's strategy.

h) Information about the political environment which may affect implementation of the APP.

i) Analysis of environmental factors, data, trends, challenges, research findings or evaluations relating to women, youth and people with disabilities that will inform the institution's strategy.

4.2.4.2 Internal environment analysis

Describe the structure of the institution and how this, and any other internal institutional factors, affects its ability to achieve its outcomes. This section should include:

a) Information about the institution's capacity to deliver on its mandate, including human resources, financial resources, ICT capacity and other factors.

b) The status of the institution's compliance with the Broad-Based Black Economic Empowerment Act 53 of 2003, as amended.

c) The status of the institution's interventions related to women, youth and people with disabilities.

Part C: Measuring our Performance

4.2.5 Institutional programme performance information

The information in this section of the APP

should be supported by a relevant planning methodology and tools and by a comprehensive diagnostic assessment. The following information about the institution's programme performance must be included.

4.2.5.1 Programme name

Each programme and sub-programme must have a distinct name that succinctly describes its core functions. Programme names must be consistent with the Budget Programme Structure approved by NT.

4.2.5.2 Programme purpose

Each programme and sub-programme must have a statement of its purpose which describes the results that it intends to achieve with the funds appropriated to it by the legislature. The statement of the programme's purpose must be the same as that given in the Appropriation Bill.

4.2.5.3 Programme outputs

This section must give each programme/sub-programme's outputs and related deliverables including, where applicable, those relating to women, youth and people with disabilities. It must be indicated which outcome each programme/sub-programme's output contributes to. The APP's outcomes must be the same as those in the SP.

Outputs that are the direct responsibility of an institution must be described in the list of programmes/sub-programmes. Any outputs from implementing agencies should be reflected in an annexure to the APP. Information about outputs of IPPs must be included in the relevant programme/sub-programmes.

Public entities must develop outputs in collaboration with their respective oversight departments so that the entities' plans reflect their core mandates and their contribution to achieving government priorities.

4.2.5.4 Output indicators

Each output must have at least one output indicator with related annual targets over the medium term. Output indicators can be qualitative or quantitative and must, where applicable, provide disaggregated data about women, youth and people with disabilities. Output indicators identified from IPPs may be reflected in the relevant programme/sub-programme in the APP.

Output indicators for the Administration programme must provide data about the strategic support that it provides to other programmes to enable them to achieve their outputs.

4.2.5.5 Targets

Targets are informed by baselines which reflect the current level of performance. Annual targets over the medium term and quarterly targets for the planning year must be provided for output indicators. For both quantitative and qualitative output indicators, there must be a logical connection between indicators and targets.

4.2.5.6 Explanation of planned performance over the medium-term period

This section must provide a narrative for each programme, indicating how each of its outputs will contribute to the institution's achieving its intended outcomes and impact, including priorities relating to women, youth and people with disabilities. A clear link must be shown between the descriptions of planned performance in terms of outputs and budget programmes.

4.2.5.7 Programme resource considerations

For each programme, the institution must describe the available and the required resources which will contribute to achievement of its outputs. It must show the budget and human resource allocation for each programme and sub-programme and indicate how these allocations will contribute to achieving the planned outputs. It must also provide a narrative about any changes or trends in budget allocations and their impact on projected outputs, and about the human resources which

contribute to achievement of the programme/sub-programme's outputs.

4.2.5.8 Updated key risks

Information about key risks, identified in the SP, that may affect achievement of the planned outcomes and outputs, and about related risk mitigation factors, should include:

- a) Key risks which may affect successful achievement of the programme's outputs.
- b) Unintended consequences of the programme's outputs.
- c) Assumptions underlying the achievement of the outputs.
- d) Credible measures to mitigate identified risks.

4.2.6 Public entities

Where applicable, Part B of the APP must include a table showing the public entities, and their relevant outputs, overseen by a department. The table must be formatted as indicated in the Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Planning which accompanies this document.

4.2.7 Infrastructure projects

Where applicable, Part B of the APP must include a table showing the infrastructure projects, and the outcomes to which they will contribute, which will be implemented during the medium-term period. The table must be formatted as indicated in the Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans which accompanies this document.

4.2.8 Public-Private Partnerships

Where applicable, Part B of the APP must include a table showing the Public-Private Partnerships (PPPs) that the institution has entered into to deliver on its mandated outcomes. The table must be formatted as indicated in the Guidelines for Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans which accompanies this document.

4.2.9 District Development Model

An annexure to the APP (where applicable) must give a table showing the projects to be delivered at a district level. The table must include the allocated budgets; the projects' location within their districts; and the roles and responsibilities of the stakeholders involved with each project.

PART D: Technical indicator descriptions

TIDs must be given for each output indicator in the format stipulated in the Guidelines for the Implementation of the Revised Framework for Strategic Plans and Annual Performance Plans.

4.3 Annexures to the APP

Where applicable, the following annexures must be included in an institution's APP:

- a) Details of, and reasons for, any revisions to the tabled SP.
- b) Conditional grants managed by the institution, with related indicators and targets.
- c) Consolidated indicators.

4.4 Processes for developing, approving and revising national and provincial institutions' APPs

4.4.1 Processes for developing the APP

a) Institutions should engage all internal and external stakeholders. Stakeholders refers to those who are responsible for planning within an institution (usually the Strategic Planners) and for implementing the plan; who will be affected by it; and who will monitor its implementation. Where applicable, the principle of prioritising women, youth and people with disabilities must be adhered to during the stakeholder consultation process.

b) Stakeholders can be involved through workshops or through consultation meetings with specific groups (for example: per programme, sub-programme, objective or cross-cutting functional area).

c) Stakeholders must use planning tools agreed through a well-defined process of collaboration, partnership and communication including during development of the SP.

d) Stakeholders must ensure that the APP's outputs are aligned with the SP's outcomes.

e) The institution's Strategic Planner consolidates the plan which has been developed using relevant planning tools. This is embedded in the APP.

f) Programme managers must sign off on the content of the APP, using internal sign-off mechanisms.

g) The Accounting Officer, CFO and Head of Planning must sign off on the plan before it is approved by the Executive Authority.

h) The Accounting Officer must submit the APP to the institution's Executive Authority for approval.

i) The Accounting Officer must ensure that the institution's planning processes are aligned with the timeframes determined by the Leader of Government Business, the applicable provincial legislature, the DPME or the OTP, as applicable.

j) The APP must be shared with all stakeholders including the legislature, the DPME and the relevant OTP and Treasury and must be published on the institution's website.

4.4.2 Processes for tabling APPs: national institutions

a) APPs developed before the beginning of a new planning year:

i. The APP approved by the institution's Executive Authority must be tabled in Parliament.

ii. Tabling of approved APPs must follow processes and dates outlined by Parliament.

b) Revised, approved APPs:

i. APPs which are revised and approved by the Executive Authority during a financial year, and after the original APP was tabled, must be re-tabled in Parliament.

c) Proof of tabling APPs or of re-tabling revised APPs must be submitted to the DPME within a month after the tabling or re-tabling.

d) New APPs and revised APPs must be shared with the DPME, NT and other relevant stakeholders and must be published on the institutions' websites.

4.4.3 Processes for tabling APPs: provincial institutions

a) APPs developed before the beginning of a new planning year:

i. The APP approved by the institution's Executive Authority must be tabled in the relevant legislature.

ii. Tabling of approved APPs must follow processes and dates outlined by the relevant legislature.

b) Revised, approved APPs:

i. An APP that is revised and approved by the Executive Authority during a financial year, and after the original APP is tabled, must be tabled in the relevant legislature.

c) Proof of tabling of a revised APP must be submitted to the relevant OTP within a month after tabling or re-tabling. OTPs must submit tabled or re-tabled APPs to the DPME within two weeks after receiving them.

d) New APPs or revised APPs must be shared with the relevant OTP and Provincial Treasury and with other relevant stakeholders and must be published on the institutions' websites

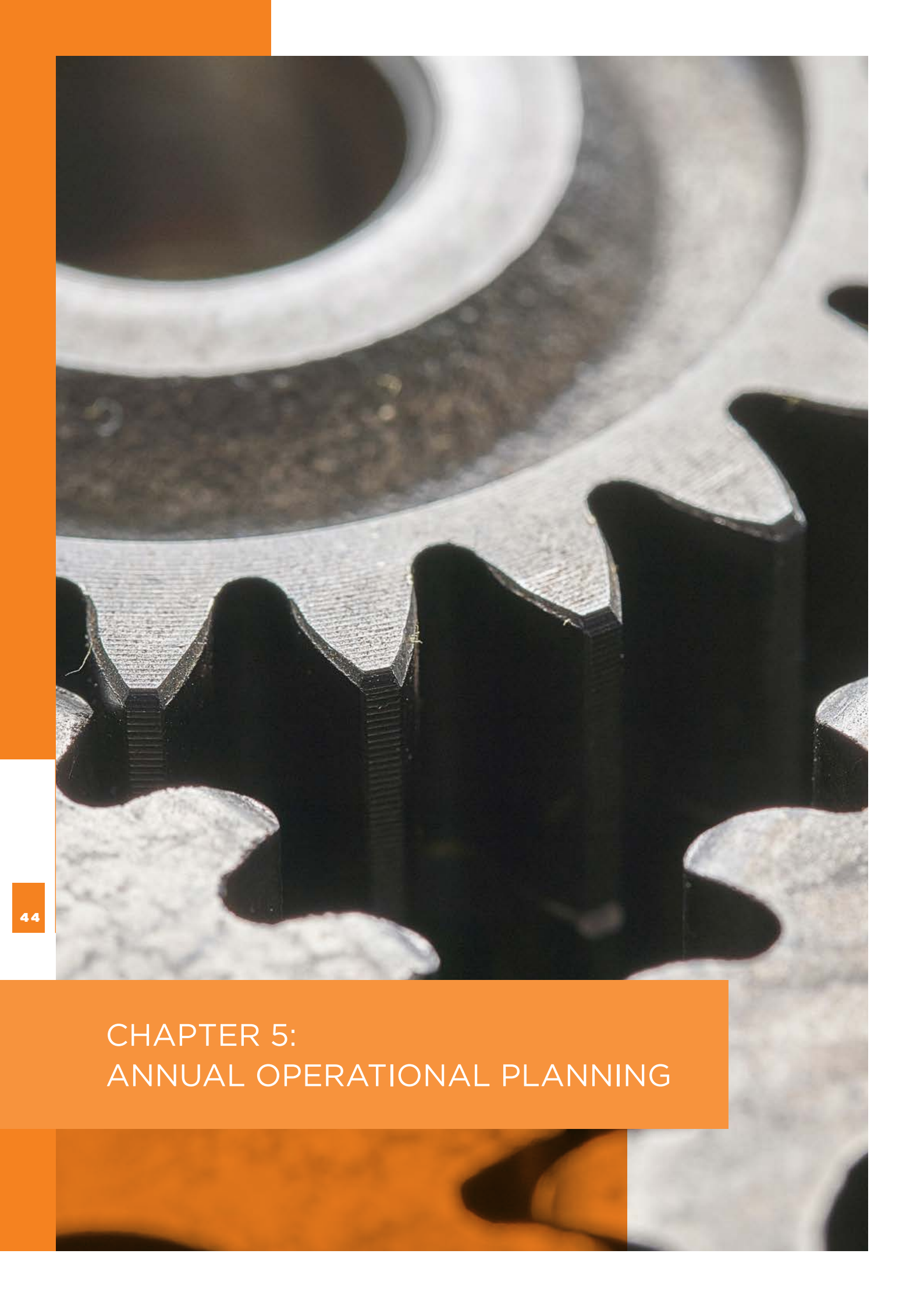
4.4.4 Processes for revising APPs

Ideally, an APP should not be revised during a financial year. It may, however, be revised during a financial year under the following conditions:

a) Revisions to the SP, as described in Section 3.3.4, will require revision of the outcomes and related outputs of the APP.

b) Targets changed as a result of the in-year budget adjustment process may be reflected in a re-tabled APP and Adjusted Estimates of National Expenditure (ENE) or Adjusted Estimates of Provincial Revenue and Expenditure (EPRE).





CHAPTER 5: ANNUAL OPERATIONAL PLANNING

5.1 Introduction

Annual operational planning is the mechanism by which institutions plan how they are going to carry out the activities in, and achieve the outputs of, the APP and is a crucial part in the institutional planning process. An Annual Operational Plan (AOP) describes the activities and budgets for each of the outputs and output indicators in the APP. It also includes operational outputs not contained in the APP. AOPs are developed at institutional level and may be used as a management tool to inform performance agreements.

The content of the AOP must be informed by the SP and APP planning processes and should use relevant planning tools.

This chapter provides information about the content of the AOP.

5.2 Content of an Annual Operational Plan

5.2.1 Programme name

Each programme and sub-programme must have a distinct name that succinctly describes its core functions and that is consistent with the Budget Programme Structure approved by NT.

5.2.2 Programme outputs

All APP outputs and other outputs not included in the APP must be included in the AOP per sub-programme and must have annual and quarterly targets.

5.2.3 Activities

The activities contributing to sub-programmes' outputs must be indicated, including those related to operational outputs that are not in the APP.

5.2.3.1 Activity timeframes

The start and end dates for each activity must be given.

5.2.3.2 Activity budget allocations

The institution must cost each activity based on the sub-programme's allocated budget.

5.2.3.3 Activity dependencies

A dependency is a logical, constraint-based or preferential relationship between two activities such that completion or initiation of one is reliant on completion or initiation of the other. AOPs should include all activities' dependencies.

5.2.3.4 Activity responsibilities

The institution must identify the official responsible for each activity.

5.3 Processes for developing the Annual Operational Plan

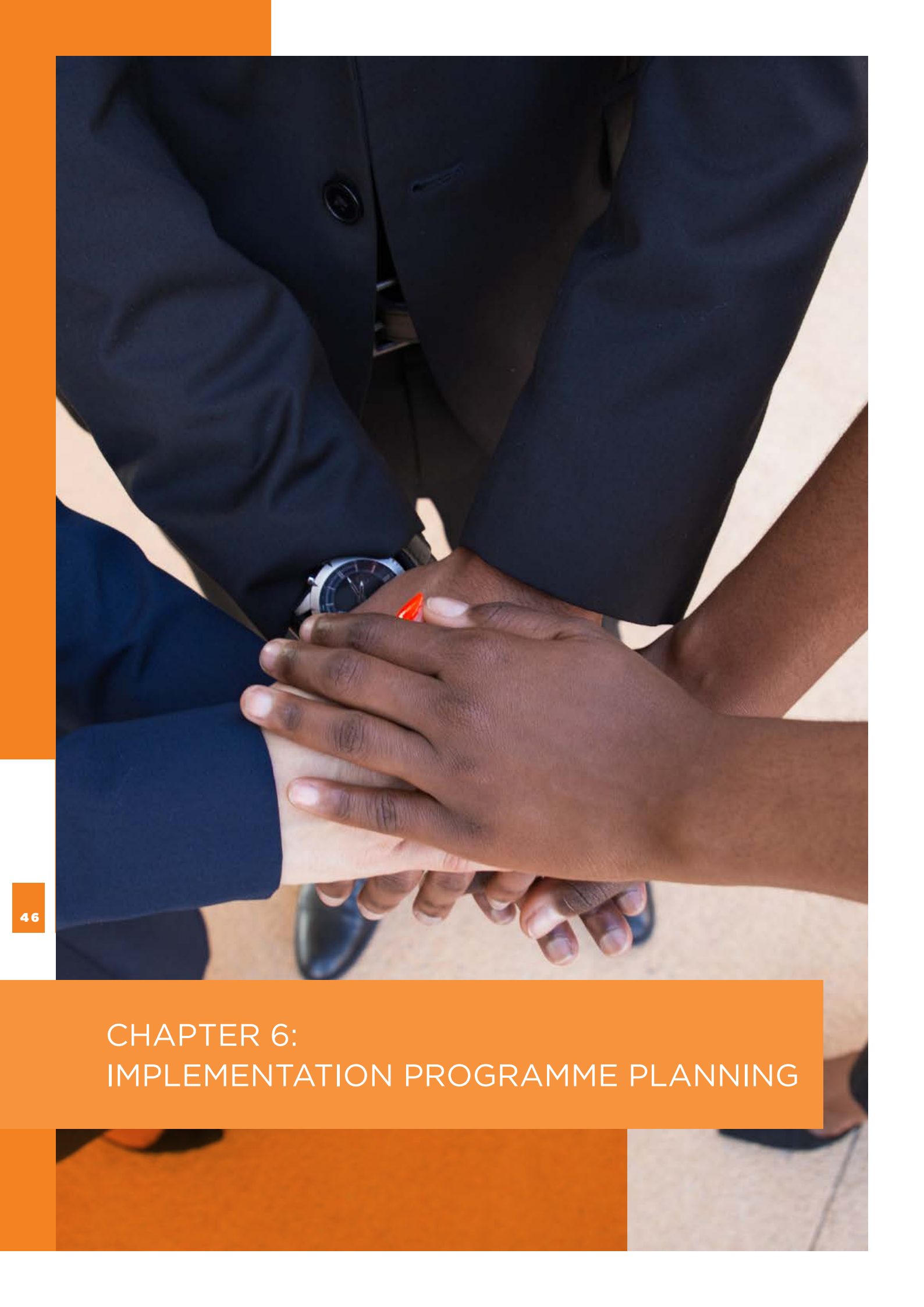
- a) Involve stakeholders at sub-programme level.
- b) At sub-programme level, list the outputs. This refers to the outputs that are in the APP and those that are not, including those relating to women, youth and people with disabilities (where applicable).
- c) Develop a set of activities for each output.
- d) For each activity, indicate the timeframe within which it will be completed.
- e) Cost each activity.
- f) Determine and indicate the dependencies for each activity.
- g) Assign responsibility for each activity
- h) The institution's Planner consolidates the AOP, which must be approved by the Accounting Officer by the end of March.

The institution's Performance Information Management Policy or Planning, Monitoring and Evaluation Framework must describe the procedures for developing, approving and reporting on the AOP.

5.3.1 Processes for revising the Annual Operational Plan

- a) Establish internal processes for revising AOPs.
- b) Revise the AOP in line with the outputs in the tabled APP.

The institution's Performance Information Management Policy or Planning, Monitoring and Evaluation Framework must describe the procedures for revising, approving and reporting on a revised AOP.



CHAPTER 6: IMPLEMENTATION PROGRAMME PLANNING

6.1 Introduction

Planning for Implementation Programmes is essential to accelerate service delivery. The purpose of this chapter is to ensure alignment of planning for Implementation Programmes with Strategic and Annual Performance planning. The chapter describes the steps to be taken when planning and developing Implementation Programmes.

6.2 Steps in planning for Implementation Programmes

The table below shows the steps to be followed in developing new Implementation Programmes. Institutions can also use the steps when they are reviewing and improving Implementation Programmes.

Table 6.1: Steps to be followed in developing new Implementation Programmes

Steps		Explanation
1.	Diagnostic analysis	<ul style="list-style-type: none"> Analysis of the status quo, referring to the results of relevant research, evaluations or other evidence. Use of the status quo information to indicate the problem or opportunity and its underlying causes. Consultation with the programme's clients.
2.	Analysis of options	<ul style="list-style-type: none"> Analysis of options for addressing the problem. Determination of the costs and benefits of the various options. Motivation of the programme chosen as the preferred option.
3.	Programme description	<ul style="list-style-type: none"> Description of how the programme contributes to institutional and government outcomes. Outline of the relationship between the intended outputs of the programme and those of existing programmes within an institution or sector.
4.	Target group	<ul style="list-style-type: none"> Qualitative and/or quantitative definition of the intended target group.
5.	Theory of Change	<ul style="list-style-type: none"> Application of a Theory of Change to the analysis of the problem or opportunity. Explanation of how the planned activities and outputs will result in the anticipated outcomes; impact statement and assumptions involved.
6.	Logframe	<ul style="list-style-type: none"> Use of a Logframe to show the indicators at different levels of the results chain as well as baselines and targets. Indication of the key assumptions and risks related to the results chain. Indication of the key outputs and related activities required to achieve the desired outcomes. Summary of the inputs (human and financial resources) needed to achieve the outcomes and impacts.
7.	Stakeholders' roles and responsibilities	<ul style="list-style-type: none"> Indication of the roles and responsibilities of internal and external stakeholders. Assessment of whether the roles and responsibilities contradict or duplicate any existing institutional arrangements and an explanation of how this will be addressed. Assessment of whether the roles and responsibilities result in any government body being requested to carry out functions which it does not have capacity to perform; an explanation of how these capacity problems will be addressed.
8.	Risk Management Plan	<ul style="list-style-type: none"> Compilation of a Risk Management Plan that indicates the key risks to the success of the programme; potential unintended consequences of the outputs and their probability and impact; and measures to mitigate identified risks.
9.	Cost estimates	<ul style="list-style-type: none"> Cost estimates of the inputs needed to achieve the outputs in the Logframe.
10.	Life-cycle evaluation plan	<ul style="list-style-type: none"> A life-cycle evaluation plan for the programme. Depending on the size of the programme, this may include a baseline evaluation, implementation evaluation and impact evaluation.

6.3 Alignment of Implementation Programme planning with Annual Performance planning

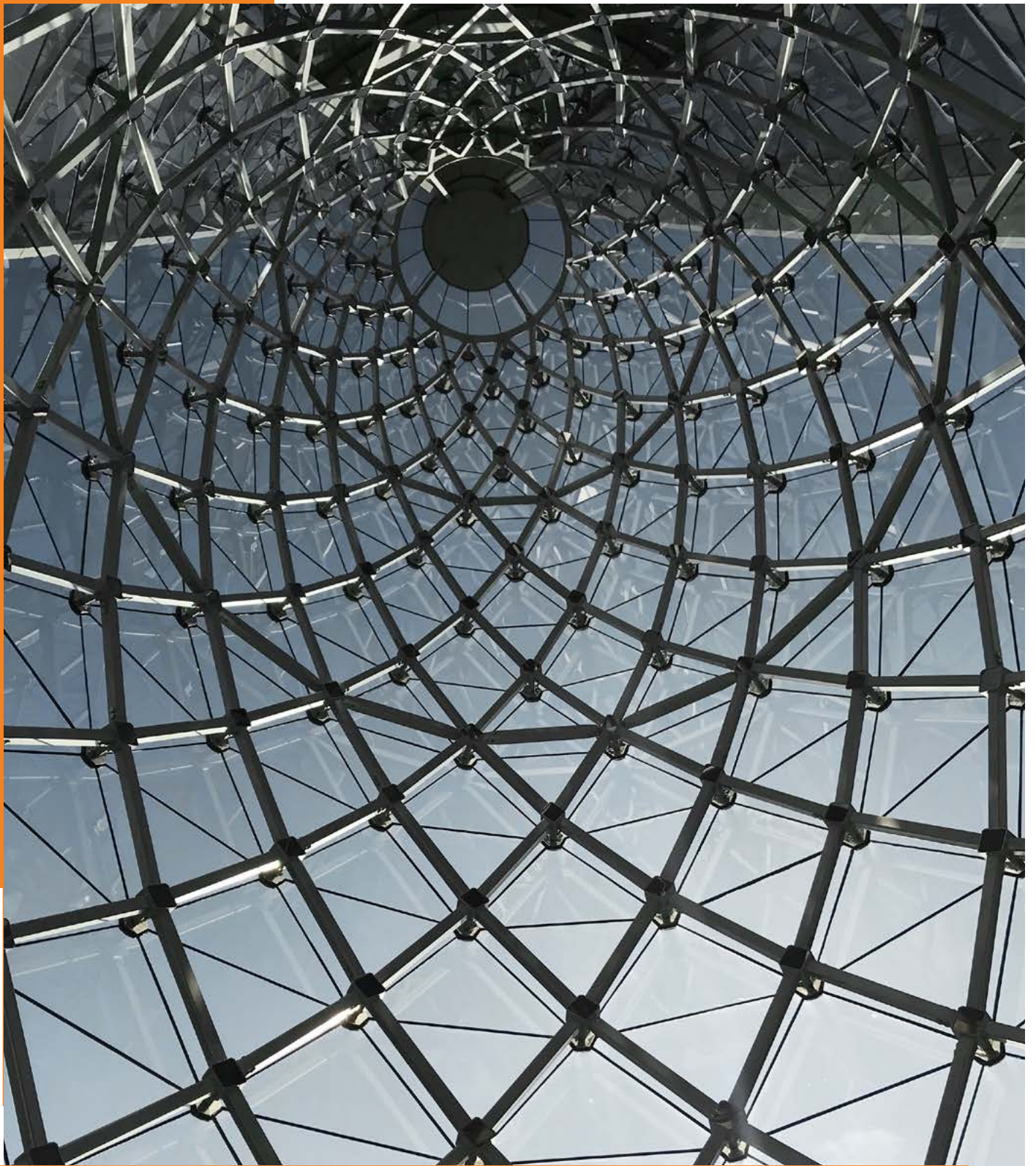
The purpose of an Implementation Programme is to address a specific challenge, to act as a strategic intervention within an institution or sector and/or to improve implementation of existing or new programmes. Information about an Implementation Programme's output must be reflected in the APP and its activities in the AOP.

6.4 Processes for developing an Implementation Programme plan

- a) Identification of the Implementation Programme stakeholders. These may be located in various budget programmes, institutions or spheres of government or may be non-government stakeholders.
- b) Involvement of the stakeholders through workshops and/or consultation meetings with specific groups.
- c) Coordination and consolidation of the Implementation Programme plan by the lead institution.
- d) Approval by the contributing institutions' Accounting Officers of commitments made to the Implementation Programme plan. These must be reflected in the institutions' short and medium term plans.
- e) Monitoring progress of the Implementation Programme plan. This must be conducted by the lead institution in line with relevant prescripts.
- f) Approval by the lead institution's Accounting Officer of the completed Implementation Programme plan.







CHAPTER 7: INFRASTRUCTURE PLANNING

7.1 Introduction

Infrastructure consists of the public and private facilities and systems, such as roads, water supply, sewers, electrical grids and telecommunications systems that serve a country, city or any area for the economy to function.

Infrastructure planning is a process for ensuring that an area's infrastructure needs keep pace with its development, and forms part of the short and medium term planning processes intended to achieve government's priorities. It must take account of all relevant NT guidelines and regulations as well as legislation and policies governing infrastructure planning. Procuring new infrastructure, and rehabilitating, refurbishing and maintaining existing infrastructure, requires detailed assessments and planning that take into consideration assets' full life cycle costs.

This chapter gives information about how institutions should approach infrastructure planning and how infrastructure-planning processes should be aligned with their overall short and medium term planning processes.

7.2 Relationship between infrastructure planning and spatial planning

SPLUMA legislates for the development of the National Spatial Development Framework (NSDF) to meet the spatial development objectives of the NDP. The purpose of the NSDF, as envisioned by the NDP, is to optimise, integrate and coordinate strategic interventions in national spaces to achieve spatial development and transformation.

South Africa's spatial planning is intended to create a blueprint for future sustainable land use and development and is driven by the principles embedded in SPLUMA. These include:

- **Spatial justice:** past spatial and other development imbalances must be redressed through improved access to and use of land by disadvantaged communities and individuals.
- **Spatial sustainability:** spatial planning and land use management systems must promote the principles of socio-economic

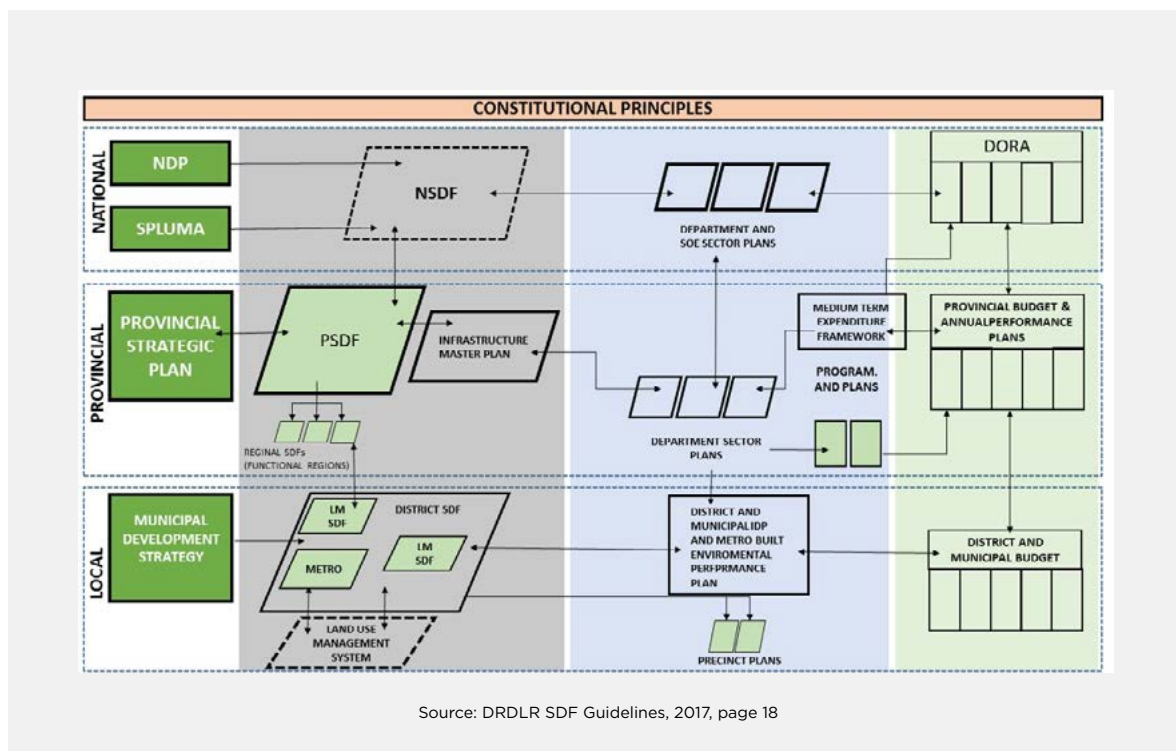
and environmental sustainability by encouraging the protection of prime and unique agricultural land; promoting land development in locations that is sustainable and that limits urban sprawl; and considering all current and future costs to all parties involved in the provision of infrastructure and social services so as to ensure the creation of viable communities.

- **Efficiency:** land development must optimise the use of existing resources and related infrastructure. To promote socio-economic growth and employment, development application procedures and timeframes must be efficient and streamlined.
- **Spatial resilience:** suitable and flexible spatial plans, policies and land use management systems must protect communities and livelihoods from potential negative effects of spatial change.
- **Good administration:** all spheres of government must take an integrated approach to land use and land development. Departments must provide their sector inputs and comply with all prescribed requirements.

7.3 Spatial Development Frameworks

SDFs guide national, provincial and local government institutions in prioritising, mobilising and sequencing public and private infrastructure investment. SDFs must be taken into account when compiling SPs, APPs and sector plans.

The figure below shows the relationship between SDFs and short and medium term plans at all levels of government.



Source: DRDLR SDF Guidelines, 2017, page 18

7.3.1 Key focus areas in aligning Strategic Plans and Annual Performance Plans with Spatial Development Frameworks

SDFs have three spatial themes that have to be considered when developing SPs and APPs. These are the biophysical, the socio-economic and the built environment. They provide a means of conceptualising desired spatial development patterns; directives for all forms of infrastructure investment; and strategic spatial areas for investment.

The biophysical theme gives direction in relation to biodiversity corridors; protected areas; land suitable for agriculture; landscape; disaster-prone areas; water quality; and climate change.

The socio-economic theme gives planning guidance on the spatial economy; demographic trends; migration patterns; rural development; urban development; and Industrial Development

Zones (IDZs), Special Economic Zones (SEZs) and other economic centres falling within the SDF.

The built environment theme indicates the desired sustainable settlement pattern including movement routes, housing, industrial and commercial land use.

7.3.2 Planning processes to enhance alignment of Strategic Plans and Annual Performance Plans with Spatial Development Frameworks

National institutions

- a) The NSDF informs the development of the MTSF in relation to spatial priorities.
- b) National institutions must align their SPs and APPs with the spatial priorities of the MTSF.
- c) Spatial priorities must be made clear in institutions' situational analyses and TIDs (see Chapters 3 and 4).

Provincial institutions

- a) The NSDF informs the development of the MTSF in relation to spatial priorities.
- b) Provincial SDFs inform the development of provincial development plans in relation to spatial priorities.
- c) Provincial institutions must align their SPs and APPs with the spatial priorities in the MTSF and with provincial development plans.
- d) Spatial priorities must be made clear in institutions’ situational analyses and TIDs (see Chapters 3 and 4).
- e) Provinces must take into account local government SDFs when developing provincial development plans, SPs and APPs.

7.4 Mechanisms for government infrastructure planning

Planning mechanisms available to government institutions when developing and implementing infrastructure projects, and quantifying the funding needed, are listed below.

- 1. Infrastructure Delivery Management System (IDMS).

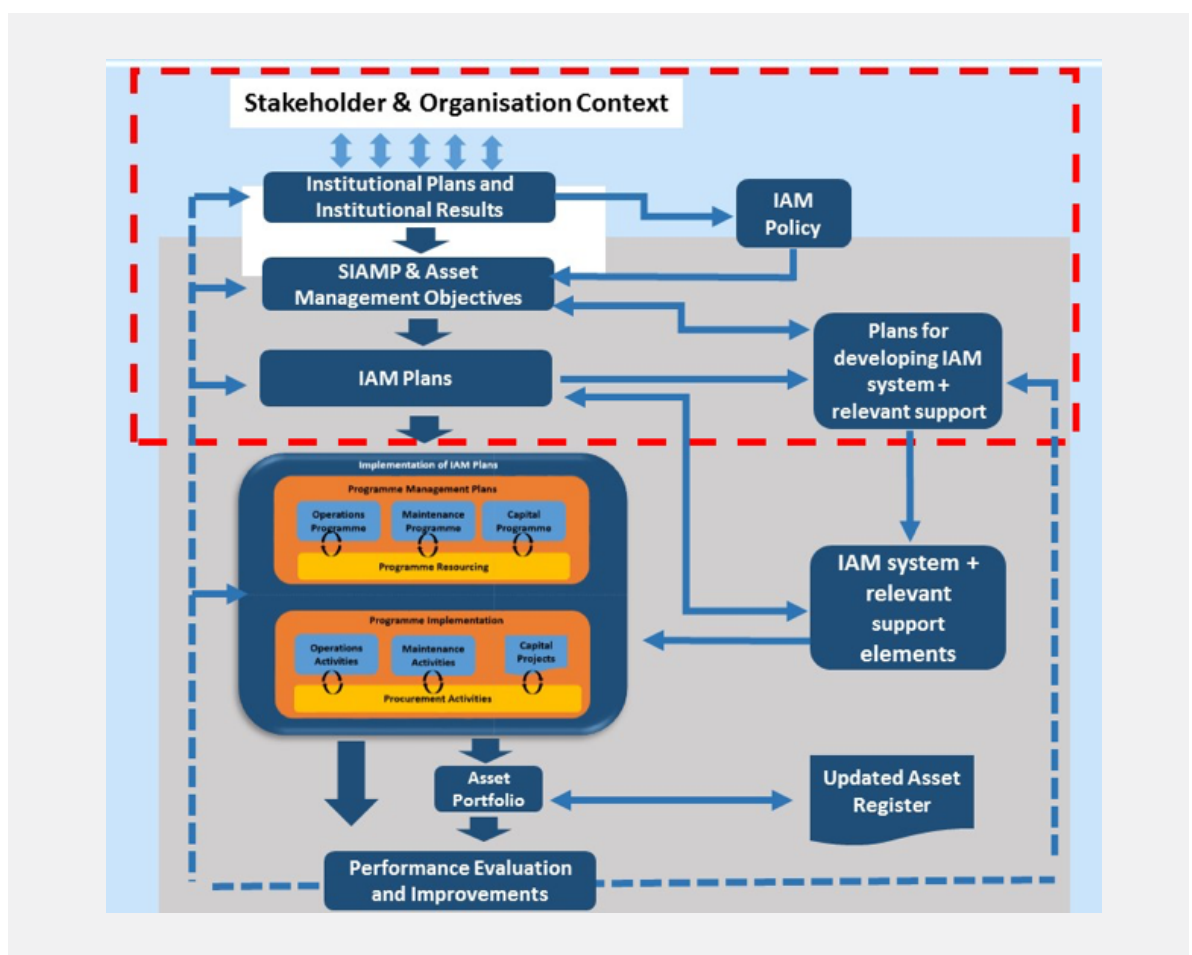
- 2. Budget Facility for Infrastructure Guidelines.
- 3. Capital Planning Guidelines.
- 4. Public-Private Partnerships (PPPs).

7.5 Process for aligning Infrastructure Plans with short and medium term plans

The process to be followed when planning for infrastructure development is given in NT’s Standard for Infrastructure Procurement and Delivery Management.

The SP takes a strategic overview of the vision, mission, values and intended impact and outcomes of the sector, department or institution and of what it aims to achieve over a five-year period. Infrastructure planning must contribute to achieving the SP’s priorities.

Government’s IDMS methods provide institutions with guidance on infrastructure planning. The figure below shows the relationships between the key elements of an asset management system and the SP and APP.



Every province has an IDMS protocol that describes the roles and responsibilities of the provincial department responsible for infrastructure. The portfolio management process as reflected in the IDMS requires the development of an Infrastructure Asset Management Plan (IAMP), governed by the Government Immovable Asset Management Act (2007) which describes a uniform framework for managing the immovable assets used by national or provincial departments. The IAMP deals with a period of five to ten years, with its outcomes matching those of the institution's SP, aligning the use of immovable assets with the institution's service development vision and delivery results and with prudent and efficient technical and financial decision-making.

The plan is reviewed annually to take account of national and provincial priorities decided by the Executive Authority.

The infrastructure planning and budgeting process begins with identification of needs. These arise from multiple sources including strategic requirements, the infrastructure life cycle, community needs, backlogs, political needs, health and safety matters and asset management.

The identified needs are contained in the IAMP and must inform national, provincial and sector plans. Without adequate infrastructure planning processes, infrastructure delivery will tend to be reactive and to have a 'rear-view mirror' approach. It will not act as an agent of change. These processes are therefore an absolute precondition for effective integrated infrastructure planning that articulates strategic priorities, particularly in a context of limited funding.

The Infrastructure Programme Management Plan (IPMP) states what projects and programmes the institution will carry out during the three-year Medium Term Expenditure Framework (MTEF) period, indicating the IAMP priorities that need to be funded over the period. The projects listed in the IPMP must be tabled as part of the EPRE

and the Estimates of Capital Expenditure (ECE) and are listed in the APP.

Where an institution is not implementing its own programmes and/or projects, the IPMP must be submitted to an implementer who develops an Infrastructure Programme Implementation Plan (IPIP) indicating the implementer's understanding of what needs to be done, how and by whom. The purpose of this is to promote cooperative governance and collaborative programme and project management.

The Infrastructure Reporting Model (IRM) is a monitoring and reporting tool used by provincial departments to report on their infrastructure projects and programmes as required by the Division of Revenue Act (DORA) and the PFMA. Departments use the IRM to capture their MTEF lists of projects and/or programmes tabled as part of the EPRE and are required to report progress on the projects and/or programmes and their budgets and expenditure on a monthly basis.



A magnifying glass with a black frame is positioned over a white grid background. A blue line graph is visible through the lens, showing a fluctuating upward trend. The graph starts at a low point, rises to a peak, dips, rises again to a higher peak, dips, and then rises to a final peak. The magnifying glass is angled from the bottom left towards the top right.

CHAPTER 8: MONITORING, REPORTING AND EVALUATIONS

8.1 Introduction

Implementation of plans must be monitored to measure progress towards the achievement of planned targets so that monitoring findings can be used to improve performance, future planning and budgeting.

Monitoring must be planned and conducted continuously by collecting data on specified indicators, verifying, storing the data, analysing and reporting the findings. These findings must be used to provide management, oversight institutions and the public with information about the extent to which implementation of the plan has progressed.

Reporting is a vital component of the monitoring process and is used to inform management and oversight decision-making. Reporting tracks progress against a plan, improves accountability for delivering on government priorities and provides information about the use of allocated budgets. It also gives institutions the opportunity to describe measures that they will be taking to ensure that implementation of plans remains on track.

The purpose of evaluations is to systematically and objectively assess policies, programmes and/or systems; to make judgements about the achievement of intended results; and to assess the causal links between implementation and observed results.

An institution's Performance Information Management policy or Planning, Monitoring and Evaluation framework should describe the processes for managing and using credible monitoring and evaluation (M&E) findings and recommendations.

8.2 Monitoring and reporting

In terms of the Revised Framework, monitoring and reporting must be done against SPs, APPs and AOPs. Integral to monitoring are regular and ad hoc assessments. Regular assessments that must be undertaken against the SP include Mid-term Assessments and End-term Assessments. The reports are synchronised with

the reporting requirements of the institution's various plans and their findings must be used to inform the development or revision of the SP.

8.3 Reporting on the Strategic Plan

8.3.1 Mid-term Assessment Report

Purpose

Mid-term Assessment Reports provide information about progress on implementing the institution's SP after the first two and a half financial years of implementation, with particular reference to delivery of outcomes in relation to the priorities of government.

Focus

A Mid-term Assessment Report must include recommendations about performance, budgeting and planning improvement for the SP's remaining financial years, with its findings contributing to sector performance assessments. Institutions must report on progress against outcomes in the SP.

Timeframe

Mid-term Assessment Reports must be finalised by the end of November in the third year of implementation of the SP within a particular planning period and must reflect performance during the first two and a half years of the planning cycle. Reported information must be valid at the time of reporting.

Reporting process

- a) Institutions' Mid-term Assessment Reports must be approved by the relevant Executive Authority and submitted in the relevant legislature.
- b) Approved Mid-term Assessment Reports must be submitted to the DPME and the relevant OTPs within two weeks after approval.
- c) Approved Mid-term Assessment Reports must be published on the relevant institutions' websites.

Feedback process

a) Oversight institutions must use Mid-term Assessment Reports during assessment of draft APPs for the next financial period.

b) Institutions must establish processes to use Mid-term Assessment Reports to inform the development of the APP in the next financial year and the SP in the following planning cycle.

Responsible institutions

All national and provincial institutions.

8.3.2 End-term Assessment Report

Purpose

End-term Assessment Reports indicate the extent of progress and achievement in implementing the SP, with particular reference to monitoring delivery of outcomes and impact after the five-year period.

Focus

The End-term Assessment Report should include recommendations about performance, budgeting and planning improvements for the next planning cycle, and its findings should contribute to sector performance assessments. Institutions must report on progress against outcomes and impact, where the impact can be assessed after a five-year period.

Timeframes

End-Term Assessment Reports must be completed by the end of July in the first financial year of the new planning cycle and give the audited performance during the first four years of the five-year planning cycle and the pre-audited performance for the fifth year of the cycle. Reported information must be valid at the time of reporting.

Reporting process

a) Institutions' End-term Assessment Reports must be approved by the relevant Executive Authority and submitted in the relevant legislature.

b) Approved End-term Assessment Reports must be submitted to the DPME and the relevant OTP within two weeks after approval.

c) Approved End-term Assessment Reports must be published on the relevant institutions' websites.

Feedback process

a) Oversight institutions must use the End-term Assessment Reports during assessment of draft APPs for the next financial year and SPs for the following planning cycle.

b) Institutions must establish processes to use End-term Assessment Reports to inform the development of the APP for the next financial year and the SP for the next planning cycle.

Responsible institutions

All national and provincial institutions.

8.4 Reporting on the Annual Performance Plan

8.4.1 Quarterly Performance Reports

Purpose

Quarterly Performance Reports (QPRs) give information about progress on implementing an institution's APP on a quarterly basis, with particular reference to performance against outputs.

Focus

QPRs require institutions to review their performance over a three-month period; substantiate and communicate achievements; and indicate the actions that will be taken to ensure that implementation of the APP remains on track.

Timeframes

QPRs must be submitted within 30 days after the end of each quarter. Reported information must be valid at the time of reporting.

Reporting process

a) QPRs must be compiled according to the Quarterly Performance Reports Guidelines issued by the DPME.

b) QPRs must provide information about progress against the targets in the APP and must be approved by the Accounting Officer and submitted to the Executive Authority and oversight institutions.

Feedback process

- a) Oversight institutions must establish processes to provide feedback to institutions on performance reported in QPRs.
- b) Institutions must establish processes to implement recommendations from the feedback to ensure that monitoring findings are acted on to improve implementation of the APP. Lessons learned from the feedback should inform the development of plans in the following financial year.

Responsible institutions

All national and provincial institutions.

8.4.2 Annual Reports**Purpose**

The Annual Report provides information about the institution's performance in the preceding financial year, enabling performance review, learning and oversight. Annual Reports are developed based on APPs.

Focus

The Annual Report provides audited performance information about implementation of an institution's APP; its use of its allocated budget to achieve the planned results; and the state of its management systems.

Timeframes

As stated in Section 40 of the PFMA, Annual Reports must be completed within five months after the end of a financial year. Reported information must be valid at the time of reporting.

Reporting process

- a) Annual Reports must be compiled according to the Annual Report Guidelines issued by NT.
- b) Tabled Annual Reports must be published on the relevant institutions' websites and submitted to the relevant oversight institutions within 30 days after tabling.

Feedback process

- a) Oversight institutions must use the Annual

Reports during assessment of draft APPs for the next planning period.

- b) Institutions must establish processes for using Annual Reports to inform the development of the APP for the following financial year.

Responsible institutions

All national and provincial institutions.

8.5 Reporting on the Annual Operational Plan**Purpose**

Reporting on the AOP provides information about progress on implementation of the plan in a particular financial year.

Focus

Reporting on progress on the implementation of the AOP with particular reference to monitoring of outputs and activities.

Processes

Institutions must ensure that their M&E systems provide for continuous monitoring of the implementation of the AOP. This should include identifying the processes for collecting data on outputs and activities; validation and storage of data; and analysis of and reporting on the institution's operations. Reporting responsibilities and timelines must be formalised, including the institutional structures in which these reports will be tabled and discussed to inform operational improvements.

Responsible institutions

All national and provincial institutions.

8.6 Roles and responsibilities for reporting

Table 8.1: Roles and responsibilities for reporting: DPME

Roles	Responsibilities
Custodian of M&E systems	<ul style="list-style-type: none"> Establish systems for monitoring implementation and results of government priorities and programmes
Guidance on reporting processes	<ul style="list-style-type: none"> Issue guidelines on the preparation of reports against QPRs, Mid-term Assessment Reports and End-term Assessment Reports Provide inputs into the Guideline on the preparation of Annual Reports Develop reporting tools to enable the reporting processes
Oversight of reported information	<ul style="list-style-type: none"> Analyse institutional QPRs and provide feedback Establish structures for the oversight of institutions' performance information
Support for oversight institutions and functions on reporting practices	<ul style="list-style-type: none"> Support OTPs to provide oversight of provincial institutions' reporting systems Support national departments responsible for concurrent functions to provide oversight of provincial counterparts' performance information Support national and provincial departments to provide oversight of public entities' performance information
Support for the utilisation of monitoring findings	<ul style="list-style-type: none"> Support oversight institutions and bodies in using monitoring findings to improve implementation, planning and budgeting

Table 8.2: Roles and responsibilities for reporting: Offices of the Premier

Roles	Responsibilities
Custodian of provincial M&E systems	<ul style="list-style-type: none"> Establish systems for monitoring implementation and results of provincial priorities and programmes Ensure provinces' adherence to the monitoring and evaluation of national priorities Issue provincial guidelines on the process of developing QPRs, Mid-term Assessment Reports and End-term Assessment Reports
Oversight of reported information	<ul style="list-style-type: none"> Analyse QPRs and provide feedback Establish structures for the oversight of provincial institutions' performance information
Support for provincial institutions on reporting practices	<ul style="list-style-type: none"> Provide technical support on the implementation of reporting practices Support provincial departments with public entities to provide oversight of the public entities' performance
Support for the utilisation of monitoring findings	<ul style="list-style-type: none"> Support oversight institutions and bodies in the use of monitoring findings to improve implementation, planning and budgeting Publish provincial performance information

Table 8.3: Roles and responsibilities for reporting: National Treasury

Roles	Responsibilities
Custodian of the financial performance reporting system	<ul style="list-style-type: none"> Establish systems for monitoring implementation of government budget allocations
Guidance on annual reporting	<ul style="list-style-type: none"> Issue guidelines on preparing Annual Reports
Oversight of reported information	<ul style="list-style-type: none"> Analyse government expenditure reports and provide feedback Participate in structures to provide oversight of government performance information
Support for the utilisation of monitoring findings	<ul style="list-style-type: none"> Support government institutions to use monitoring findings during the budget process

Table 8.4: Roles and responsibilities for reporting: Department of Public Service and Administration

Roles	Responsibilities
Monitoring and reporting of implementation of SDIPs	<ul style="list-style-type: none"> Ensure that monitoring and reporting are done in an integrated manner and aligned with strategic planning and annual performance planning
SDIP assessment and validation	<ul style="list-style-type: none"> Ensure that SDIP assessment and validation are done in accordance with the SDIP Directive (2019) and with strategic planning and annual performance planning assessments

Table 8.5: Roles and responsibilities for reporting: Department of Women, Youth and Persons with Disabilities

Roles	Responsibilities
a) Custodian of gender-responsive planning, monitoring and evaluation systems	<ul style="list-style-type: none"> Coordination of gender-responsive budgeting, planning, monitoring and evaluation systems Oversight of monitoring of women's empowerment and promotion of gender equality Provision of gender-related input on reports provided at all levels
b) Facilitate gender-responsive reporting	<ul style="list-style-type: none"> Provide guidance on gender-responsive reporting Undertake gender analysis of QPRs and Annual Reports
c) Support oversight	<ul style="list-style-type: none"> Support public institutions to enhance their gender-responsiveness in planning, budgeting, monitoring and evaluation
d) Support the use of gender-related monitoring findings	<ul style="list-style-type: none"> Support relevant public institutions in the use of monitoring findings to improve implementation and future planning and budgeting towards gender equality and women's empowerment

Table 8.6: Roles and responsibilities for reporting: Provincial Treasuries

Roles	Responsibilities
Custodian of the provincial financial performance reporting system	<ul style="list-style-type: none"> Establish systems for monitoring the implementation of provincial government budget allocations
Oversight of reported information	<ul style="list-style-type: none"> Analyse provincial institutions' expenditure reports and provide feedback Participate in structures to provide oversight of provincial institutions' performance information
Support for the use of monitoring findings	<ul style="list-style-type: none"> Support provincial institutions to use monitoring findings during the budget process

Table 8.7: Roles and responsibilities for reporting: National departments responsible for concurrent functions

Roles	Responsibilities
Custodian of sector-specific monitoring systems	<ul style="list-style-type: none"> Establish systems for monitoring the implementation of national priorities specific to a sector
Oversight of reported information	<ul style="list-style-type: none"> Analyse provincial institutions' reports and provide feedback Establish structures to provide oversight of sector-specific performance information
Support for the use of monitoring findings	<ul style="list-style-type: none"> Support provincial institutions in using monitoring findings to improve implementation, planning and budgeting

Table 8.8: Roles and responsibilities for reporting: Departments with public entities

Roles	Responsibilities
Oversight of reported information	<ul style="list-style-type: none"> Analyse relevant public entity reports and provide feedback Establish structures to provide oversight of public entity performance information
Support for the use of monitoring findings	<ul style="list-style-type: none"> Support public entities in using monitoring findings to improve implementation, planning and budgeting

Table 8.9: Roles and responsibilities for reporting: Institutions as per Section 1.3 of the Revised Framework for Strategic Plans and Annual Performance Plans

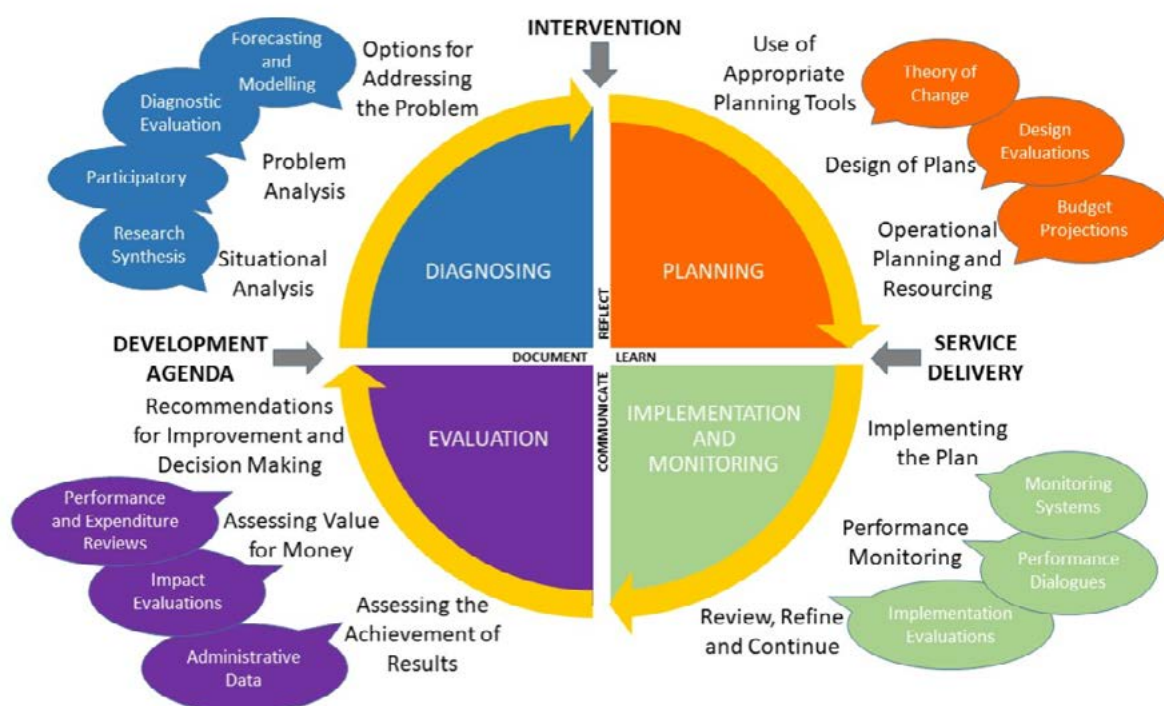
Roles	Responsibilities
Implement institutional monitoring systems	<ul style="list-style-type: none"> Institutions must establish monitoring systems to collect, verify and store performance information, and analyse and report on performance against plans. Institutions must adhere to the focus and timeframes of reports as provided in the relevant guidelines for preparation of reports.
Use monitoring findings	<ul style="list-style-type: none"> Establish institutional processes and structures to use monitoring findings to improve implementation, planning and budgeting.

8.7 Context of the evaluations in the planning cycle

Evaluations seek to provide an objective view, through rigorous research methods, to inform conclusions about performance, reasons for performance and non-performance; and to suggest recommendations for improvement.

The diagram below shows a generic planning and implementation cycle for policies and programmes and indicates stages in which the use of evidence adds value to diagnosis, planning design, implementation, monitoring and evaluation and can thus improve the developmental results associated with government’s policy delivery.

Figure 8.1: Using evidence in the policy/programme cycle



Source: Revised National Evaluation Policy Framework, DPME, 2019, page 18

The revised National Evaluation Policy Framework aims to inculcate the culture of using evidence in decision-making processes such as planning and budgeting, and outlines minimum types of evaluations to be carried out by government institutions. Different types of evaluations must be conducted to ascertain the extent to which set outcomes are being achieved and whether they are having the intended impact. Government institutions must carry out at least two evaluations in the five-year planning cycle.

8.7.1 Mid-term evaluations

A mid-term evaluation of an ongoing programme or project has two purposes: it takes stock of lessons learned and of decision-making. A mid-term evaluation aims to assess the continued relevance of an intervention and progress made towards achieving its intended results, and provides an opportunity to make changes to ensure that the results are achieved within the lifetime of the programme or project. A mid-term evaluation also provides the opportunity to decide if the intervention is still aligned with the SP's intended outcomes; is relevant and useful to its key stakeholders; and is being carried out efficiently according to standards in the programme's or project's documentation.

Purpose

Mid-term evaluations serve as early warning systems for end-term evaluations as they provide information about progress in implementing programmes aimed at achieving the institution's outcomes and government priorities for the planning cycle.

Focus

Mid-term evaluations should be carried out after the first two and a half financial years of programme implementation. They deal particularly with monitoring delivery towards the achievement of specific outcomes.

Timeframes

Mid-term evaluations must be completed by the end of November in the third year of a planning

cycle and must describe performance in relation to key programmes and/or interventions during the first two and a half years of the cycle.

8.7.2 End-term evaluations

End-term evaluations focus on programme or project results and how and why they were, or were not, achieved. They thus inform decisions such as whether to continue the intervention; how to improve it; and whether to scale it up or replicate it elsewhere. An end-term evaluation focuses on assessing whether the set outcomes have been met.

Purpose

End-term evaluations give an overview of how far an institution's programmes have achieved their intended outcomes and government priorities for the planning cycle,

Focus

An end-term evaluation is a comprehensive evaluation that assesses whether an implementation programme has successfully delivered on its intended outcomes and impacts as reflected in the programme's plans.

Timeframes

End-term evaluations must be completed by the end of July in the first financial year of the new planning cycle. These evaluations must give information about the extent to which an implementation programme has achieved its intended outcomes and impacts.

8.7.3 Use of evaluation findings and recommendations

Evaluations are tools for inculcating a culture of evidence-based decision-making in processes such as planning and budgeting. Their findings and recommendations must be used during planning to improve government programmes and projects. Improvement plans resulting from evaluations must inform the development of the APP to ensure that key evaluation findings and recommendations are implemented.





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