

BUSINESS PLAN
SUB-PROGRAMME : ADMINISTRATION
YEAR : 2003/4

OBJECTIVES

The Administration Department is responsible for the general office administration of the Gauteng Provincial Legislature. This includes the design, introduction and maintenance of procedures and policies for the canteen, fleet management, registry, document services, artworks, switchboard, cleaning services and interior décor.

DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Fleet management /Transport management
- ? The managing of the following contracts catering, cleaning, hygiene etc
- ? Management of the assets that reside in the City Hall Building and the NCOP office in Cape Town as well as stock control of all stationery.
- ? Monitoring and controlling of telephones
- ? Document services
- ? Managing of the Legislature's art collection
- ? Décor management
- ? Procuring, repairing and allocating of all furniture in the building.

OPTIMAL DELIVERY IN THE FOLLOWING AREAS:

- ? Co-ordinate all transport bookings
- ? Manage the fleet vehicles in the Legislature
- ? Update of petrol cards
- ? Monitoring of assets
- ? Procuring of assets
- ? Disposal of assets
- ? Stock control
- ? Telephones usage and system
- ? Offer optimal switchboard service
- ? Hygiene services
- ? Managing of various contracts
- ? Implementing and managing of inventory systems
- ? Relay messages to relevant people
- ? Collection of mail
- ? Delivery of mail
- ? Maintain registry system
- ? Purchase and issuing of stationary to staff
- ? Printing of official documents such as the letter heads, official purchase orders, cheques
- ? Maintaining the Legislatures art collection.

- ? Managing the interior décor in the City Hall Building
- ? Prepare reports for submission to various stakeholders
- ? Development of policies and procedures
- ? Complete insurance claims
- ? Communication with external clients
- ? Assist other departments as per requests

COMPLIANCE WITH STATUTORY REQUIREMENTS

The Administration Department must comply with the following statutory requirements:

- ? Public Finance Management Act
- ? Treasury Regulations
- ? Transport Regulations
- ? Legislature Services Board
- ? Labor Relations
- ? Policies and procedure of the Gauteng Provincial Legislature

PROJECTS

- ? Develop reception area's for the key office's in the City Hall Building such as the Office of the Speaker, Deputy Speaker, Provincial Secretary, Deputy Secretary and the Directors
- ? The procuring of a new vehicle for the transporting of Members of the Provincial Legislature and the staff
- ? The disposal of all the obsolete assets in the City Hall Building.
- ? The rejuvenation of committee rooms which would include the replacing of chairs, tables, serving stations and carpets to enhance the ambiance of the committee rooms/ meeting rooms.

STRATEGIC OBJECTIVES 2003/2004

STRATEGIC OBJECTIVE 1 : REJUVENATION OF COMMITTEE ROOMS

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Develop floor plan	? Rejuvenated Committee rooms	? Consultant ? Computer ? Budget		*			Ann Byng Consultants
2	? Develop Colour Board	? Colour Board developed	? Consultant		*			Ann Byng Consultants
3	? Procure furniture, carpeting etc	? Furniture, carpeting, etc procured	? Suppliers ? Budget			*		Ann Byng Veli Ndlovu Procurement Suppliers
4	? Installation of	? Furniture, carpets	? Suppliers				*	Suppliers

	furniture, carpets, etc.	etc installed	? Furniture					Ann Byng
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STRATEGIC OBJECTIVE 3 : DISPOSAL OF OBSOLETE ASSETS

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Distribute draft policy to Extended Secretariat	? Draft policy rectified by Extended Secretariat ?	? Specialised services ? Policy on asset disposal		*			Ann Byng CFO
2	? Submit final draft to Secretariat for approval	? Final policy approved by Secretariat	? Policy on asset disposal ? Secretariat		*			Ann Byng CFO
3	? Implement policy	? Policy implementation	? Policy			*		Ann Byng CFO
4	? Establish Asset Disposal Committee	? Asset Disposal Committee established	? Committee			*		Ann Byng CFO
5	? Appoint auctioneers	? Assets disposed in line with PFMA and Treasury regulations	? Warehouse for obsolete assets ? Auctioneers ? Assets				*	Ann Byng CFO Procurement Gideon Wes
6	? Submit revenue to Finance Department	? Revenue submitted to Finance Department	? Funds received				*	Ann Byng CFO Auctioneers

ADMINISTRATION UNIT PROJECTED STRATEGIC OBJECTIVES (MTEF)

2002/2003	2003/2004	2004/2005	2005/2006
YEAR 0	YEAR 1	YEAR 2	YEAR 3
	Rejuvenation of Committee rooms	Re-imaging of new key offices	
	New Vehicle - for Members and staff transport	Acquisition of artworks, furniture	

		and interior décor for the City Hall building	
	Disposal of obsolete assets	Debit card for facility for canteen	

SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

FINANCE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Management of contracts	Management of contracts and renewals	Time	Expiry date	Expiry date	Expiry date	Conditions and tender documents	Contracts
Updated fixed asset register	Recording of assets	No of assets Recorded	90%	95%	98%	PFMA	Asset Management system
Approved business and financial plan	Budget compilation and submission to Finance department	Date	30 th July of each year or as determined by Finance	30 th July of each year or as determined by Finance	30 th July of each year or as determined by Finance	Treasury rules and regulations	CFO Guidelines and Rules & regulations
Recommendations implemented	Implementation of and adherence to external Audit recommendations	Months	Implement the recommendations with-in 4 months	Implement the recommendations with-in 4 months	Implement the recommendations with-in 4 months	Audit requirements	Management letter
Complied to procurement regulations	Comply with Procurement regulations	%	89%	90%	91%	Procurement Regulations Delegations	Rules and Regulations Finance manual

						of authority	
Service Excellence	Transport	Reliability	90%	91%	92%	Transport policy	Policy Questionnaires
Adherence to internal policies	Internal policies	Compliance	89%	92%	95%	Policies	Compliance Management Letter
Effective Financial Management	Financial management and administration in line with PFMA and Treasury Regulations	Compliance	85%	89%	92%	PFMA	PFMA Treasury
Management of Staff	Compliance to Labor Relations Basic conditions of employment	Compliance	85%	90%	90%	Labor relations Basic conditions of employment	

GENERAL ASSUMPTIONS

- ? Submissions do not change
- ? Complement of Members of the Legislature not to exceed 73 and support staff does not exceed 229
- ? Legislature to use same premises in the next financial year
- ? Inflation rate is 8% and is not exceeded
- ? SAP is fully operational
- ? Telephone cost is centralized in Administration

- ? Stationery costs is centralized in Administration
- ? IT services is centralized in IT & Technology Unit
- ? Personnel budget is located in the Management budget of ISS
- ? Staff training budget is located in Human Resources budget
- ? Administration staff need training
- ? Consultants to assist on projects
- ? Telecommuting is not fully underway
- ? No fundamental changes to amended PFMA
- ? Economic stability and stable currency
- ? No changes in Program and Sub-Program structure
- ? No changes in political structure

Specific assumptions

- ? Staff complement of unit does not exceed 9 staff in the financial year.
- ? Petrol price remains the same.
- ? The transport costs do not increase.
- ? All departments have budgeted according to the departments exact requirements.
- ? Contracts are renewed on the same price structure.
- ? No extra furniture is requested.
- ? No extra venues are requested.
- ? City Hall is not renovated and completed.
- ? Cleaning services, hygiene services, pest control and other contracts are not extended to the City Hall.
- ? No extra art works are procured for the art collection.
- ? The committee rooms are changed.

ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Implementation and maintenance of Internal Controls	1		
? Implement Registry System		2	
? Implement PFMA requirements and fulfill PFMA responsibilities	1		
? Attend various meetings	1		
? Develop policies	1		
? Organize workshops		2	
? Travel by road		2	
? Travel by air		2	
? Book hotel accommodation		2	
? Organize/ Attend meetings	1		
? Canteen subsidy	1		
? Cleaning of premises	1		
? Use of professional consultants	1		
? Plan staffing requirements	1		
? Reimburse S & T claims	1		
? Attend forums & workshops		2	
? Hygiene services	1		
? Furniture	1		
? Transport service	1		
? Communication service / Telephones	1		
? Managing of assets	1		
? Plant service		2	
? Maintaining of art works	1		
? Mail / courier service	1		

ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- | | |
|-------------------------|---------------------------|
| ? Personnel Expenditure | ? Entertainment |
| ? Basic salary | ? Travel & Subsistence |
| ? Motor Allowance | ? Workshops and Functions |
| ? Cell phone allowance | ? Subscriptions |
| ? Medical Aid | ? Consultants |
| ? Provident fund | ? Cleaning |
| ? PPMS awards | ? Workshops and functions |
| ? UIF | ? Postage |
| ? Accommodation - local | ? Stationary |
| ? Air travel - domestic | ? Transport |

- ? Subsistence and Travel
- ? Catering contract
- ? Hygiene service
- ? Plant service
- ? Furniture
- ? Interior décor
- ? Printing official

CENTRALISED COSTS

- ? Attachment training
- ? Computer Consumables
- ? Computer Software
- ? General Stationery
- ? Insurance
- ? Interior Décor
- ? IT Outsourcing
- ? IT Services
- ? Photocopier consumables
- ? Plant Services
- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Technical services
- ? Telephone - usage
- ? Telephone - system
- ? Transport Motor
- ? Office Equipment
- ? Technical Equipment
- ? Computer Hardware
- ? Furniture

STAFF BUDGET

Specific assumptions:

- No retrenchments
- No structural change

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Administration Manager	P8	0	0	1
Aux. Services Co-ordinator	P10	0	0	1
Switchboard operators	P14	0	0	2
Drivers	P14	0	0	2
Document clerk	P14	0	0	3
TOTAL		0	0	9

BUSINESS PLAN
SUB-PROGRAMME : FINANCE
YEAR : 2003/4

KEY LEGISLATURE OBJECTIVES

- ? To support the function of the Legislature through a professional, effective and efficient financial management system,
- ? Execute financial management and administration according to PFMA, policies, regulations, treasury regulations and all applicable legislation.
- ? Apply effective budgetary control to strengthen the accountability of managers for expenditure, overlooking the economical, efficient and effective use of resources
- ? To provide informative and timeous financial reports to all stake-holders in line with PFMA and Treasury Regulation timeframes
- ? To continuously achieve an unqualified audit report.
- ? To implement all requirements in terms of PFMA

DECISION UNITS / KEY AREAS OF LEVERAGE

(AREAS OF ACTIVITY IN LINE WITH STRATEGIC OBJECTIVES AND STRATEGIC PLANS)

- ? Budgetary formulation, compilation, control and management
- ? Financial Management & Administration
- ? Financial Accounting & Reporting
- ? Bank and Cash Management
- ? Implementation of PFMA responsibilities
- ? Implementation and maintenance of Internal Controls and Finance Manual
- ? Implementation of Fraud Prevention Plan
- ? Salary administration and control - Staff
- ? Salary administration and control - Members
- ? Maintenance of Accounting Records
- ? Internal Audit
- ? External Audit
- ? Fraud Prevention
- ? Risk Assessment and Internal Controls

OPTIMAL DELIVERY IN THE FOLLOWING AREAS:

- ? Financial management of resources within the Legislature
- ? Payroll administration for Members and staff
- ? Audit free of negative incidents
- ? Security of financial and payroll information
- ? Implementation of Internal Audit Function
- ? Implementation of Fraud Prevention Plan
- ? Staff training on financial policies and procedures
- ? Compliance with Statutory requirements
- ? Public Finance Management Act
- ? Treasury Regulations
- ? Income Tax Act
- ? Provident funds and Pension funds Act
- ? UIF Act
- ? Medical Aids Act
- ? Financial reporting to
 - ? Treasury
 - ? Office of the Auditor-General
 - ? Department of Finance & Economic Affairs
 - ? Legislature Services Board
 - ? Public Accounts Committee
 - ? Ad-hoc Committee
 - ? Audit Committee
 - ? Management of the Legislature
- ? Submission of statutory returns
 - ? PAYE returns
 - ? IRP5 certificates and reconciliation
 - ? Pensions fund
 - ? Provident fund
 - ? Medical Aid
 - ? UIF

PROJECTS

- ? Unqualified audit
- ? Measures for ensuring fiscal discipline
- ? Work-flow (SAP)
- ? Risk Management Strategy

STRATEGIC OBJECTIVES

STRATEGIC OBJECTIVE 1 : UNQUALIFIED AUDIT

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	Review of Auditor General recommendations of prior years	Applied and implemented recommendations of the Auditor General	External Audit Management letter Audit Committee	*				Ismail Rawat Tebogo Letseleha Motsilisi Tau
2	Review of Finance Manual in line with Auditor - General Recommendations of prior years	Revised Finance Manual	Audit Management letter	*				
3	Workshop of staff on financial policy & procedure manual	Finance Policy workshop	Training Financial policy & procedure manual Equipment Consultants Workshop	*				Ismail Rawat Gideon Wessie
4	Training of programme &	Staff workshopped on Financial Policy &	Consultants Workshops	*				Ismail Rawat Rendani Makato

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NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
	sub-programme managers on Financial Management	procedure manual						
5	Review of Delegation of Authority	Revised Delegation of Authority	Accounting Officer/Secretariat	*				Gengezi Mgidlana Ismail Rawat
6	Review, maintenance and implementation of PFMA requirements	Adhered PFMA requirements	PFMA CFO Forum	*	*	*	*	Ismail Rawat
7	Internal audit plan & execution	Internal controls within GPL	Internal Audit Function	*	*	*	*	Ismail Rawat Gideon Wessie Audit Committee
8	Computer controls & management of profiles / user accounts	Profiles / user accounts monitored as prescribed	SAP Basis support Delegation of authority policy	*	*	*	*	Veli Ndlovu
9	Monthly reconciliation of Control Accounts	Reconciled control accounts	Accountants SAP Stationery Computer Hardware	*	*	*	*	Ismail Rawat Tebogo Letsela
10	Monthly and Annual cut-off procedures	Proper Monthly and Annual cut-off procedures		*	*	*	*	Ismail Rawat Tebogo Letsela
11	Monthly and Quarterly submission of Financial Reports in	Submitted Financial reports in terms of PFMA	Computer Hardware Treasury Regulations	*	*	*	*	Ismail Rawat Tebogo Letsela

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NO	ACTION STEPS	OUTPUT STANDARD S	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
	terms of PFMA							
12	Verification and Management of month payroll	Reconciled 5 IRP certificates Reconciled payroll to general ledger	Statutory guidelines Attendance at Workshops	*	*	*	*	Ismail Rawat Tebogo Letselaha
13	Segregation of duties	Finance Manual Delegation of Authority	Adequate staff	*	*	*	*	Ismail Rawat
14	Close liaison with Auditor Generals office & Treasury	Approved Delegation of Authority	DOA Policy Secretariat	*	*	*	*	Ismail Rawat Tebogo Letselaha
15	Maintenance of proper accounting records	Accurate General ledger Reconciled monthly trial balance	Accountants Software Hardware	*	*	*	*	Ismail Rawat Tebogo Letseleha
16	Management of assets	Updated fixed asset register	Fixed Asset system Fixed Asset policy SAP	*			*	Ismail Rawat Ann Byng Lucky Dzanibe Motsilisi Tau
17	Revenue Management	Received Funds		*	*	*	*	Ismail Rawat Motsilisi Tau
18	Preparation of Annual Financial Statements within 2 months after year end	Completed and submitted AFS					*	Ismail Rawat
19	Annual Audit	External Auditors	Auditor General Audit Committee				*	Ismail Rawat
20	Final Audit report	External Auditors	Auditors				*	Ismail Rawat

STRATEGIC OBJECTIVE 2 : ACHIEVING FISCAL DISCIPLINE

NO	ACTION STEPS	OUTPUT STANDARD S	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIE
1	Training of programme & sub-programme managers on Financial Management	Staff work-shopped on financial policy & procedure manual	Training SAP Financial policy & procedure manual Equipment Consultants	*				Gengezi Mgidlana Ismail Rawat Gideon Wes:
2	Internal audit plan & execution	Implement Internal controls within GPL	Internal Audit Function		*			Ismail Rawat Gideon Wes: Audit Commi
3	Computer controls & management of profiles / user accounts	Profiles / user accounts monitored as prescribed	SAP Basis support Delegation of authority policy		*			Veli Ndlovu Ismail Rawat
4	Segregation of duties	Duties segregated as approved	Process flows/Finance Manual Delegations of Authority	*				
5	Maintaining good financial system (SAP)	Accurate Financial records		*	*	*	*	Ismail Rawat Tebogo Letseleha
6	Compliance to PFMA, Treasury regulations & Audit recommendations	Adherence to statutory requirements	Auditors CFO Forum Treasury	*	*	*	*	Ismail Rawat
7	Refining procurement processes to ensure value for money	Refined procurement system	Shared Services Consultants	*				Gideon Wes: Lukey Nkgap
8	Re-evaluation of adjudication processes & delegations to ensure economic, efficient & effective purchases	Revamped adjudication and procurement processes	Internal Audit Shared services Auditor-General Consultants		*			Gideon Wes: Lukey Nkgap
9	Review delegations of Authority	Approved Delegation of Authority	DOA Policy Secretariat	*				Gengezi Mgidlana Ismail Rawat

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NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
10	Develop cost tracking system for projects as an evaluation tool	Tracking system in place	Software Hardware Consultants				*	Veli Ndlovu Ismail Rawat Giles Mulhollan

STRATEGIC OBJECTIVE 3 : WORK FLOW

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	Specifications	Specs approved	Consultants Facilities Equipment Blue print	*				Gideon Wessie Ismail Rawat
2	Present business case	Business case presented	Consultants Suppliers	*				Gideon Wessie Ismail Rawat
3	Obtain approval – Secretariat	Work flow approved by Secretariat	Secretariat	*				Gideon Wessie
4	Advertise tender	Tender advertised	Suppliers		*			Lukey Nkgapele
5	Evaluate proposals	Proposal evaluated	Procurement Staff		*			Lukey Nkgapele Gideon Wessie
6	Adjudicate tender	Tender adjudicated	Tender Adjudication Committee		*			Tender Adjudication Committee
7	Approval by Secretariat	Funding approved	Secretariat		*			Secretariat
8	Map process flows	Process flows mapped	Staff Policies			*		Sub-programme managers
9	Determine blue print	Blue print determined	Consultants Suppliers			*		Sub-programme manager Gideon Wessie Giles Mulhollan
10	Draw up contract	Contract drawn up	Suppliers Contract			*		Sigidi Petse Gideon Wessie Lukey Nkgapele

STRATEGIC OBJECTIVE 4 : RISK MANAGEMENT

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NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	Risk assessment exercise	Risk assessment exercise completed	Internal Audit Consultants Finance procedure & manual Facilities Equipment Process flows Audit Committee	*				Ismail Rawat Gideon Wessie
2	Identify areas of risk	Risk areas identified	Staff Managers Internal Audit	*	*	*	*	Ismail Rawat Extended Secretariat
3	Map appropriate controls	Controls mapped accordingly	Staff Managers Committee		*	*	*	Ismail Rawat Gideon Wessie
4	Implement internal controls	Revised Procedures Finance Manual	Internal Audit External Audit Secretariat	*	*	*	*	

FINANCE UNIT PROJECTED STRATEGIC OBJECTIVES (MTEF)

	2002/2003	2003/2004	2004/2005	2005/2006
	YEAR 0	YEAR 1	YEAR 2	YEAR 3
1.	Unqualified audit	Unqualified audit	Unqualified audit	Unqualified audit
2.	Measures for ensuring fiscal discipline	Measures for ensuring fiscal discipline	Measures for ensuring fiscal discipline	Measures for ensuring fiscal discipline
3.	Risk Management Strategy	Work-flow (SAP)	Implementation of business warehouse and strategic enterprise management	
4.	EFT Electronic payments on SAP	Risk Management Strategy	Risk Management Strategy	Risk Management Strategy
5.	Alignment of strategies to the budget process		Payroll Enhancements	
6.				

SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

FINANCE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Remunerated Members and staff	Payroll execution for Members and Staff	Time Accuracy	15 th and 25 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	POB Remuneration Act/ Finance Manual
Cordial relations with Suppliers/ Honored Liabilities	Management of Creditors and maintaining payment accuracy	Time %	21 days from invoice	15 days from invoice	7 days from invoice	30 days	Finance Manual

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			100 %	100 %	100 %		
Adherence to PFMA	Monthly Financial reporting to Treasury	Time	Within 15 days after month-end	PFMA / Treasury regulations			
Adherence to PFMA	Quarterly Financial reporting to Treasury	Time	Within 15 days after each quarter	PFMA / Treasury regulations			
Adherence to PFMA	Submission of Annual Financial Statements to the Office of the Auditor-General and Treasury	Time	60 days after year-end	PFMA / Treasury regulations			
Effective Financial Management	Implementation of and adherence to external Audit recommendations	%	100 %	100%	100%	100%	Finance Manual
Effective Internal Controls	Implementation of and adherence Internal Audit recommendations	%	100 %	100%	100%	100%	Audit Committee
Adherence to PFMA	Budget compilation and submission to Treasury	Date	31 st July or as determined by Treasury	31 st July or as determined by Treasury	31 st July or as determined by Treasury	31 st July or as determined by Treasury	Treasury Correspondence
Accurate Financial Reporting	Maintenance of accurate accounting records	% of Accuracy	100 %	100 %	100 %	100 %	Finance Manual

Adherence to PFMA	Financial management and administration in line with PFMA and Treasury Regulations	% Compliance	100 %	100%	100%	100%	Finance Manual
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SPECIFIC / GENERAL ASSUMPTIONS

- ? Staff complement of unit does not exceed 7
- ? Position of CFO and Finance Manager to be segregated
- ? Complement of Members of the Legislature not to exceed 73 and support staff does not exceed 230
- ? Legislature to use same premises in the next financial year
- ? Inflation rate is 8%
- ? SAP is fully operational
- ? Telephone cost is centralized in Administration
- ? Stationery costs is centralized in Administration
- ? IT services is centralized in IT & Technology Unit
- ? Personnel budget is located in the Management budget of ISS
- ? Staff training budget is located in Human Resources budget
- ? All Finance staff need training
- ? Consultants to assist on projects
- ? Telecommuting is not fully underway
- ? No fundamental changes to amended PFMA
- ? Economic stability and stable currency
- ? No changes in Programme and Sub-Programme structure
- ? No changes in political structure

- ? Application of Modified cash basis of accounting
- ? Application of GRAP

ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Execute payroll	1		
? Effect salary transfers	1		
? Prepare and disburse salary slips	1		
? Salary reconciliation and IRP 5 submissions	1		
? Process creditors	1		
? Reconcile creditors	1		
? Prepare cheque payments / electronic transfers	1		
? Authorize cheques / electronic transfers	1		
? Maintain cheque/EFT delivery register	1		
? Statutory payments	1		
? Implementation and maintenance of Internal Controls	1		
? Convene FPP Operational Committee meetings	1		
? Implement Fraud Prevention Policy	1		
? Co-ordinate strategic planning process	1		
? Co-ordinate risk management process	1		
? Attend Audit Committee meetings	1		
? Implement PFMA requirements and fulfill PFMA responsibilities	1		
? Preparation of Annual Financial Statements	1		
? Financial & Budget reports – external	1		
? Financial & Budget reports - internal	1		
? Facilitate Budget Process	1		
? Complete and submit budget to Treasury	1		
? Cash Management and Bank reconciliation	1		
? Petty cash management		2	
? Maintain accurate Accounting records	1		
? Facilitate Statutory External Audit	1		
? Facilitate Internal Audit	1		
? Develop policies		2	
? Organize workshops		2	
? Travel by air and road		2	
? Hotel accommodation			3

?	Organize/ Attend meetings		2	
?	Subscribe to journals and professional bodies		2	
?	Use of professional consultants	1		
?	Plan staffing requirements	1		
?	Reimburse S & T claims		2	
?	Do banking	1		
?	Attend forums & workshops		2	
?	Organize travelers cheques	1		
?	Process S&T claims	1		

ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? Personnel Expenditure
 - ? Basic salary
 - ? Motor Allowance
 - ? Cell phone
 - ? Accommodation - local
 - ? Air travel - domestic
 - ? Banking charges
 - ? Entertainment
 - ? Travel & Subsistence
 - ? Workshops and Functions
 - ? Subscriptions
 - ? External Audit fees
 - ? Consultants
 - ? Internal Audit fees
- ? Medical Aid
- ? Provident fund
- ? PPMS awards
- ? UIF

CENTRALISED COSTS

- ? Attachment training
- ? Computer Consumables
- ? Computer Software
- ? General Stationery
- ? Insurance
- ? Interior Décor
- ? IT Outsourcing
- ? IT Services
- ? Photocopier consumables
- ? Plant Services
- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Technical services
- ? Telephone - usage
- ? Telephone - system
- ? Transport Motor
- ? Office Equipment

- ? Technical Equipment
- ? Computer Hardware
- ? Furniture

STAFF BUDGET

Specific assumptions:

- job evaluation for new / re-structured posts only
- No retrenchment
- Broad - banding fully implemented
- Finance Unit re-structuring subject to approval by Secretariat & LSB

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Chief Financial Officer	Subject to job evaluation	0	0	1
Finance Manager	P7	0	1	1
Accountant	P8	0	0	1
Accounting Controller	P8	0	0	1
Senior Accounts Clerk	P10	0	0	1
Creditors Clerk	P11	0	0	1
Secretary	P12	0	0	1
TOTAL		0	1	7

BUSINESS PLAN
SUB-PROGRAMME : HUMAN RESOURCES
YEAR : 2003/4

OBJECTIVES

To support the function of the Legislature through a professional, effective and efficient human resources management system, effective budgetary control is the key cornerstone, to strengthen the accountability of managers for expenditure, overlooking the economical use of resources and informative and timeous reporting to all stake-holders whilst striving for the development of staff and members to be competent and productivity.

Human Resources department is responsible for the interests of all staff and members of the Legislature in areas of development and training, remuneration and employee benefits, administration of the personnel records, industrial relations matters, employee assistance programs and well as compliance with legislation regulating the relationship between employer and employee.

DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Recruitment and Selection
- ? Training and Development
- ? Labour Relations
- ? Human Resources Policy Development
- ? Human Resources Organisational Development (OD)
- ? Leave Administration and Maintenance
- ? Benefits Administration
- ? Employee Assistance Program (Workplace Wellness)
- ? Personnel Performance Management Systems
- ? Project Management (Harnessing Intellectual Human Capital)
- ? Maintenance of Personnel Records
- ? Compensation Management (Effective Remuneration System)
- ? SAP Employee Self Service
- ? Career and Succession Planning

- ? Leadership Development and Bursary Assistance Program

OPTIMAL DELIVERY IN THE FOLLOWING AREAS:

- ? Management of Human Resources within the Legislature
- ? Payroll administration for Members and staff
- ? Audit free of negative incidents
- ? Maintenance of HR systems and payroll information
- ? Staff training on human resources policies and procedures
 - ? Compliance with Statutory requirements
 - ? Public Finance Management Act
 - ? Treasury Regulations
 - ? Income Tax Act
 - ? Provident funds and Pension funds Act
 - ? Medical Aids Act
 - ? Labour relations Act
 - ? Basic conditions Employment Act
 - ? Employment Equity Act
 - ? Skill Development Act
- ? Human Relations reporting to
 - ? Treasury
 - ? Office of the Auditor-General
 - ? Department of Labour
 - ? Legislature Services Board
 - ? Human Resources Committee
 - ? Management of the Legislature(Secretariat)
- ? Submission of statutory return
 - ? Employment Equity Report
 - ? Skill Development Plan

PROJECTS

- ? Policy development
- ? Renewal of Employee benefits
- ? Enhancement of Learner ship/ Internship programme

- ? Career & succession planning
- ? Employee Self Service (SAP)
- ? Harnessing Human Capital

HUMAN RESOURCES UNIT STRATEGIC OBJECTIVES 2003/2004

**STRATEGIC OBJECTIVE 1 :
POLICY DEVELOPMENT AND REVIEWS**

- ? REVIEWS OF LEADERSHIP DEVELOPMENT POLICY
- ? REVIEWS BURSARY POLICY

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Review of policy document	? Policy document reviewed	? Researcher	*		*		Rendani Makato
2	? Submit proposal to Secretariat	? Proposal approved by Secretariat	? Staff / HR		*			Gideon Wessie
3	? Consultation with staff & union	? Consultation sessions concluded	? Staff / HR	*				Rendani Makato / Duke Mgaga
4	?	?	?					
5	? Consideration by HRD Committee	? Policies approved by LSB	? Staff / HR		*			Rendani Makato
6	? Consideration by LSB	? Policy approved by LSB	? Staff / HR	*				Gengezi Mgidlana
7	? Implementation policy	? Policy implemented	? Staff			*		Rendani Makato & Line Managers

NOTE:

* Represents when the action will take place (action period)

STRATEGIC OBJECTIVE 2: REVIEW OF EMPLOYMENT BENEFITS

? RESTRUCTURING OF REMUNERATION FOR TAX EFFICIENCY PURPOSES(U.I.F)

? MEDICAL AID AND ALLOWANCES

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCE S	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Conduct staff survey	? Staff survey completed	? HR Manager	*				Rendani Makato
2	? Research existing benefits particularly medical aid, allowances and provident fund	? Research report submitted	? Staff	*				Rendani Makato & Consultant
3	? Brief Secretariat on results and proposals	? Proposals approved by Secretariat	? Staff		*			Gideon Wessie & Consultant
4	? Consultation with Extended Secretariat	? Extended Secretariat consulted	? Staff	*				Rendani Makato & Gideon Wessie
5	? Consultation with Staff and Union	? Consultations with staff / union concluded	? HR	*				Rendani Makato
6	? Consideration by HRD Committee	? Proposals considered by HRD	? HR	*				Rendani Makato
7	? Consideration by the LSB	? Proposal approved by LSB	?			*		Gengezi Mgidlana
8	? Implementation of policy	? New policy implemented	? HR			*		Rendani Makato & Line Managers

STRATEGIC OBJECTIVE 3: ENHANCEMENT OF HUMAN CAPITAL

- ? LEADERSHIP DEVELOPMENT (REDEFINING LEADERSHIP DEVELOPMENT)
- ? ORGANISATIONAL TEAMBUILDING
- ? PROGRAMME EVALUATION BUDGET ANALYSIS
- ? TRAINING AND DEVELOPMENT

LEADERSHIP PROGRAMME / BURSARIES/TRAINING AND DEVELOPMENT/TEAMBUILDING

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Reviewal of policy document	? Policy reviewed	? HR	*		*		Rendani Makato
2	? Benchmark policy and practice	? Policy benchmarked	? Researcher	*				Rendani Makato
3	? Submit proposal to Secretariat	? Proposal approved by Secretariat	? Secretariat	*				Rendani Makato & Gideon Wessie
4	? Consultation with staff and union	? Staff and union consulted	? HR ? Union	*				Rendani Makato
5	? Consideration by the HRD Committee	? Revised policy considered by HRD Committee	? HRD Committee		*			Rendani Makato
6	? Consideration by the LSB	? Policy approved by LSB	? HR ? LSB		*			Gengezi Mgidlana
7	? Implementation of policy	? Policy implemented	? HR			*		Rendani Makato & Line Managers

STRATEGIC OBJECTIVE 4:

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Research policy and practice	? Policy and practice researched	? HR ? Consultant		*	*		Rendani Makato / Duke Mgaga

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2	? Develop terms of reference	? Terms of Reference developed	? HR	*				Rendani Maka
3	? Submit proposal to Secretariat	? Proposal approved by Secretariat	? Secretariat	*				Rendani Maka & Gideon Wessie
4	? Consultation with staff and union	? Staff and union consulted	? HR ? Union	*				Rendani Maka & Gideon Wessie
5	? Consideration by the HRD Committee	? Proposals considered by HRD Committee	? HR		*			Rendani Maka
6	? Consideration by the LSB	? Proposal approved by LSB	? HR ? LSB		*			Gengezi Mgidlana
7	? Implementation of policy	? Policy implemented	? HR			*		Rendani Maka & Line Managers

STRATEGIC OBJECTIVE 5: EMPLOYEE SELF-SERVICE (SAP)

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Review of Remuneration policy and practice	? Policy and practice reviewed	? Human Resources	*				Rendani Maka
2	? Mapping of work flow processes	? Workflow processes mapped	? Staff	*				Gideon Wessie
3	? Development of blue print	? Blue print developed	? Staff		*			Gideon Wessie & Rendani Makato
4	? Access to development and production server	? Access to development and production server available	? Technology		*			Veli Ndlovu
5	? Implementation and configuration of work flow	? Work flow configured and implemented	? Staff & Technology			*		Gideon Wessie & Rendani Makato

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NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
6	? Testing phase of work flow	? Testing phase completed	? Staff & Technology			*		Rendani Makoane & Gideon Wessie
7	? Signing-off process	? Process signed off	? Secretariat					Rendani Makoane & Gideon Wessie
8	? Transport of transactions to production server	? Transactions transported to server	? Technology					Veli Ndlovu
9	? Using the modules	? Modules utilised by end-users	? Staff ? Sub-programme managers					All Programme and Support Programme Managers

HUMAN RESOURCES UNIT PROJECTED STRATEGIC OBJECTIVES (MTEF)

	2002/3	2003/2004	2004/2005	2005/2006
	YEAR 0	YEAR 1	YEAR 2	YEAR 3
1.	Redefining the leadership programme/ Bursary	Policy development	Harnessing intellectual capital Training & orientation of new Members	Harnessing intellectual capital Training & orientation of new Members
2.	Policy development ? Enhancement of Leadership development programme	Renewal of Employee benefits	Policy development	Policy development
3.	Renewal of Employee benefits	Enhancement of Learnership/ Internship programme	Employee Self Service (SAP)	
4.	Work-flow (SAP)	Career & succession		

		planning		
5.	Restructuring of remuneration For tax efficiency purposes	Employee Self Service (SAP		

SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

FINANCE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Remunerated Members & staff	Payroll Administration for Members and Staff	Time Accuracy	10 th and 20 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	15 th and 25 th of the month respectively 100%	Remuneration Policy & POB Remuneration Act
Updated Database	Management of and maintaining Data Base	Time & %	100 %	100 %	100 %	100 %	SAP
Adherence to PFMA	Monthly Human Resources reporting to Treasury	Time	Within 10 days after month-end	PFMA & Treasury Regulations			
Informed Stakeholders	Quarterly Human Resources reporting to Human Resources Committee	Time	Within 15 days after each quarter	PFMA & Treasury Regulations			
Adherence to SDL Act	Submission of Annual Human Resources Skills Development Plan to the Department of Labour (P SETA)	Time	Annual	Annual	Annual	Annual	Relevant SETA
Adherence to EE Act	Implementation of EE Report and adherence to Department of Labour	Time	100 %	Annual	Annual	Annual	EE Act & Plan

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Positive audit opinion	Implementation of adherence Internal Audit recommendations	Accuracy	100 %	100%	100%	100%	Finance Manual
Business & Financial plan	Budget compilation and submission to Finance Unit	Date	25 July of each year or as determined by Institutional Support Services Directorate	25 July of each year or as determined by Institutional Support Services Directorate	25 July of each year or as determined by Institutional Support Services Directorate	25 July of each year or as determined by Institutional Support Services Directorate	CFO Guidelines
Adherence to statutory requirements	Human Resources Management and administration in line with LRA, SDA , EEAand PFMA .	% Compliance	100 %	100%	100%	100%	LRA, SDA , EEAand PFMA
Adherence to PPPMS Policy	Co-ordination of PPMS Policy and documentation	Time	Quarterly reviews	Quarterly reviews	Quarterly reviews	Quarterly reviews	PPMS Policy
Adherence to Training and Development Policy	Management of Training Plan and Maintaining of Training records	Time Accuracy Compliance	85%	85%	85%	85%	Training Policy SDA

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Adherence to Recruitment Policy	Management of Recruitment Process	Time	85%	85%	85%	85%	Recruitment Policy BCE Act LRA
Personnel Administration	Accessible and User-friendly information	Accuracy Time	85%	89%	90%	95%	Survey data No complaints

GENERAL ASSUMPTIONS

- ? Complement of Members of the Legislature not to exceed 73 and support staff does not exceed 230
- ? Legislature to use same premises in the next financial year
- ? Inflation rate is 8%
- ? SAP is fully operational
- ? Telephone cost is centralized in Administration
- ? Stationery costs is centralized in Administration
- ? IT services is centralized in IT & Technology Unit
- ? Personnel budget is located in the Management budget of ISS
- ? Staff training budget is located in Human Resources budget
- ? All Human Resources staff need training
- ? Consultants to assist on projects
- ? Telecommuting is not fully underway
- ? No fundamental changes to amended PFMA
- ? Economic stability and stable currency
- ? No changes in Programme and Sub-Programme structure
- ? No changes in political structure

Specific Assumptions

- ? Staff complement of unit does not exceed 7
- ? Maximum of 8 resignations for whole organisation
- ? Salary Wage Negotiation does not exceed 10% increase
- ? Salary increase is not less than 8%
- ? Sub -programme Managers do not exceed the limit of 3 courses per employee
- ? Staff bursaries do not exceed 20

- ? Not more than 3 Managers to attend the MDP programme
- ? Managers not to exceed the budget for training needs
- ? Not more than five Managers and Staff members to attend two Conferences
- ? Broad – banding implemented for the financial year
- ? Not more than 63 Members will attend 3 courses per year
- ? PPMS rewards do not exceed 80 recipient for the financial year
- ? Service providers do not change (e.g EAP)
- ? Not more than 5 employees will be referred for Professional Counseling
- ? Not more than 10 employees to go on Maternity leave .
- ? Not more than 220 staff members will take Annual Leave
- ? No more than 10 group life claims
- ? Not more than 2 CCMA claims/ Industrial court awards
- ? Consultants to assist on projects (Human capital)
- ? Not more than 60 people to be trained on SAP
- ? Not more than 10 employees will on Acting Allowances Positions
- ? Not more than 10 positions will be evaluated

ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Administer payroll	1		
? Administer salary transfers	1		
? Organize Training	1		
? Staff Remuneration	1		
? Insure Staff	1		
? Keep HR records	1		
? Maintain HR records	1		
? Authorize Leave / electronic payment	1		
? Plan staff requirement	1		
? Statutory payments	1		
? Organize Training / Worships	1		
? Interview Candidates	1		
? Implement Induction Program	1		
? Attend Human Resources Committee meetings	1		
? Implement LRA,SDA,EEA,BCEA, PFMA requirements and fulfill Legislation responsibilities	1		
? Develop HR Policies	1		
? Advertise Vacancies		2	
? Co-ordinate IR issues		2	
? Facilitate Recruitment Process		2	
? Complete and submit HR Headcount to Treasury	1		
? Organize EAP		2	
? Organize Staff Counseling		2	
? Relocate Staff		2	
? Organize / Attend meetings		2	
? Use Professional advise		2	
? Develop policies		2	
? Organize workshops		2	
? Travel by road		2	
? Travel by air		2	
? Book hotel accommodation			3
? Organize/ Attend meetings		2	
? Subscribe to journals and professional bodies		2	
? Use of professional consultants	1		
? Plan staffing requirements	1		
? Reimburse S & T claims		2	
? Reimburse food expenses			3
? Attend forums & workshops		2	
? Organize medical examination		2	
?			

ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? Personnel Expenditure
- ? Accommodation - local
- ? Air travel - domestic
- ? Banking charges
- ? Entertainment
- ? Travel & Subsistence
- ? Workshops and Functions
- ? Subscriptions
- ? Skills Levies Fees
- ? Consultants
- ? HR Commiittee fees

CENTRALISED COSTS

- ? Attachment training
- ? Computer Consumables
- ? Computer Software
- ? General Stationery
- ? Insurance
- ? Interior Décor
- ? IT Outsourcing
- ? IT Services
- ? Photocopier consumables
- ? Plant Services
- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Technical services
- ? Telephone - usage
- ? Telephone - system
- ? Transport Motor
- ? Office Equipment
- ? Technical Equipment
- ? Computer Hardware
- ? Furniture

STAFF BUDGET

Specific assumptions:

- Two job evaluation
- No retrenchment
- Secretary post subject to approval by Secretariat

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Human Resources Manager	P7	0	0	1
Senior Human Resources Officer	P8	0	0	1
Human Resources Officer	P9	0	0	1
Training and Development Officer	P9	0	0	1
Administrator	P11	0	0	1
Training and Development Assistant	P10	0	1	1
Secretary	P12	0	0	1
TOTAL		0	0	6

BUSINESS PLAN
SUB-PROGRAMME : PROCUREMENT
YEAR : 2003/4

OBJECTIVES

To support the functioning of the Legislature through effective and efficient procurement service at the most economical manner, and ensuring that Previously Disadvantage Individuals are empowered accordingly, allowing fair and equal treatment to our suppliers, with the limited resources available to deliver the goods and services required to our internal customers within a specific time frame.

DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Procurement Management
- ? Travelling Management
- ? Goods Receiving
- ? Contract Management /Administration
- ? Procurement Reporting
- ? Vendor Management

OPTIMAL DELIVERY IN THE FOLLOWING AREAS:

- ? Procurement of goods and services
 - ? Receiving of goods and services for internal customer
 - ? Confindeciality of prices and quotations
 - ? Compliance with Statutory requirement
 - ? Public Finance Management Act (PFMA)
 - ? Preferential Procurement Policy Framework Act
- ? Procurement reporting to
 - ? Acquisition Council
 - ? Management of the Legislature

PROJECTS

- ? e-Procurement

KSF TABLE (AS PRESENTED AT STRATEGIC PLANNING IN KOPANONG)

PROCUREMENT UNIT STRATEGIC OBJECTIVES 2003/2004

STRATEGIC OBJECTIVE 1: PROCUREMENT REFORMS

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Obtain shared service centre guidelines	? Shared service centre guidelines obtained	? No direct cost ?	*				Ismail F / Lukey Ngkape
2	? Develop proposal for an accredited procurement unit	? Proposal developed	? GSSC Consultants ?		*			Gideon Wessiey Nkga
3	? Submission of proposal to Secretariat	? Proposal approved by Secretariat	? Secretariat		*			Gideon Wessie
4	? Submission of proposal to EXCO	? Proposal approved by EXCO	? EXCO			*		Gideon Wessie
5	? Submission of proposal to LSB	? Proposal approved by LSB	? LSB			*		Gideon Wessie
6	? Implement procurement reforms	? Procurement reforms implemented	? Consultants ? Managers				*	Gideon Wessiey Nkga

STRATEGIC OBJECTIVE 2 : E- PROCUREMENT

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Investigate e-procurement platforms	? Investigation completed	? No direct cost	*				Gideon Wes Lukey Ngkapele Ismail Rawa
2	? SAP configuration implications	? Analyse system software	? Consultant		*			Veli Ndlovu
3	? Submission & approval to Secretariat	? Proposal approved by Secretariat	? No direct cost		*			
4	? Validated suppliers	? Suppliers validated	? No direct cost		*			Lukey Nkgapele/ Muneer Bar
5	? IT Involvement	? IT involved	? Praxis ?		*			Veli Ndlovu
6	? Obtain relevant software	? Relevant software purchased	? Service Provider/supplier			*		Lukey Nkgapele
7	? Authorised users (delegation of authority)	? Authorised users appointed	? No direct cost			*		Veli Ndlovu
8	? Internal controls	? Internal controls in place	? No direct cost			*		Lukey Nkgapele/ Gideon Wes
9	? Barring of improper software	? Improper software barred	? Consultant ? IT			*		Veli Ndlovu
10	? Audit trail	? Audit trail	? No direct					Veli Ndlovu

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NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
	reports	reports compiled	cost				*	Gideon Wes
11	? Implementation & use of e-procurement	? E-procurement system implemented	? Service providers ? Equipment ? Internet				*	Lukey Nkgapele/ Veli Ndlovu/ Gideon Wes

STRATEGIC OBJECTIVE 3 : PROCUREMENT CODE OF CONDUCT

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONSIBLE
1	? Prepare a draft	? Draft completed	? No direct cost ?	*				Lukey Ngk
2	? Draft circulated for inputs from management	? Amendments as per input	? Senior managers ? staff members	*				Lukey Ngk
3	? Final adjustments made to a draft	? Adjustments completed	? Consultants ? Senior manager		*			Lukey Ngk
4	? Submission of proposal to Secretariat	? Proposal approved by Secretariat	? Secretariat		*			Gideon We
5	? Submission of proposal to EXCO	? Proposal approved by EXCO	? EXCO			*		Gideon We

GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2	Q3	Q4	RESPONS
6	? Submission of proposal to LSB	? Proposal approved by LSB	? LSB			*		Gideon We
7	? Implement Procurement Code of conduct	? Procurement Code of conduct implemented	? Consultants ? Managers				*	Gideon Wessie/Lul Nkgapele
8	? Workshop conducted	? Conscious Staff	? Consultants ? Venue ? Catering				*	Lukey Nkg
		?						

PROCUREMENT UNIT PROJECTED STRATEGIC OBJECTIVES (MTEF)

002/2003		2003/2004	2004/2005	2005/2006
YEAR 0		YEAR 1	YEAR 2	YEAR 3
1.	Procurement policy review	Procurement reforms		
2	Integration of Staff and Members voyager numbers to the Corporate voyager programme	E-procurement		
2.				

SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

PROCUREMENT UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	So
			2003/04	2004/05	2005/06		
Receipt of goods & services	Procurement of goods and services	Percentage Of Efficient	95%	98%	100%	95%	P/ P Proc
Air ticket issued	Air Travelling bookings	Percentage Of Efficient	95%	98	100%	95%	rec /Tr f
Adherence to Senior management requirements	Monthly Procurement reporting to Senior management	Time	Within 10 days after month-end	Within 10 days after month-end	Within 10 days after month-end	Within 10 days after month-end	S ma rec
Cordial relations with Suppliers	Management of vendors and monitoring performances on deliveries	Time	2 weeks from order date	1 weeks from order date	Just in time (JIT) from order	3 weeks	; Pre en
Process payments against contracts	Administration of contracts & maintaining of contracts on SAP	Time	Orders released on the 25 th of every-month	Orders released 5 days before the 25 th of every-month	Orders released 10 days before the 25 th of every-month	As from the 25 th of every month	SA ur F

Optimal usage of Procurement SAP system	SAP Training for staff	Percentage Of Efficient	60%	70%	80%	50%	Tr r
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GENERAL ASSUMPTIONS

- ? Staff complement of unit does not exceed eight (8) including two new positions
- ? Complement of Members of the Legislature not to exceed 73 and support staff does not exceed 170
- ? Legislature to use same premises in the next financial year
- ? Inflation rate is 8%
- ? SAP is fully operational
- ? Telephone cost is centralized in Administration
- ? Stationery costs is centralized in Administration
- ? IT services is centralized in IT & Technology Unit
- ? Personnel budget is located in the Management budget of ISS
- ? Staff training budget is located in Human Resources budget
- ? All Procurement staff need training
- ? Consultants to assist on projects
- ? Telecommuting is not fully underway
- ? No fundamental changes to amended PFMA
- ? Economic stability and stable currency
- ? No changes in Programme and Sub-Programme structure
- ? No changes in political structure

SPECIFIC ASSUMPTIONS

- ? Dissolution of the Tender Board
- ? Procurement reforms

- ? Fluctuations on the exchange rate
- ? Changes of internal structure
- ? Stable prices on air travel domestic
- ? Unstable prices on international travel and accommodation
- ? Unstable petrol price affects final product price

ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK
? Check the correctness of Purchase requisitions	1		
? Allocate Purchase requisitions	1		
? Create RFQ & Issue RFQ	1		
? Maintain Quotations	1		
? Evaluate Quotations	1		
? Process Purchase orders	1		
? Release & Authorize Purchase Orders	1		
? Air Travel-International & Domestic	1		
? Arrange accommodation and venues for conferences	1		
? Process S&T for the unit	1		
? Expedite Purchase Orders	1		
? Receiving of goods and services	1		
? Receiving of invoices & monthly contract invoices	1		
? Negotiate Contracts	1		
? Loading Contracts on SAP	1		
? Releasing P/orders against contract	1		
? Advertise Tenders in newspapers	1		
? Conduct site meetings	1		
? Facilitate Public opening of Tenders	1		
? Evaluate Tenders	1		
? Recommend the successful Tender	1		
? Present the tender to the internal Tender Committee	1		
? Maintain constant contact with the Tender Board	1		
? Serve as the link between the Tender Board & GPL	1		
? Offer in-house training on SAP-MM	1		
? Serve as a link between the supplier and Finance dept	1		
? Develop policies & procedures		2	
? Organize workshops		2	
? Travel by road		2	
? Organize/ Attend meetings		2	
? Plan staffing requirements	1		

? Use of professional consultants		2	
? Attend forums, workshops & conferences		2	

ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? Personnel Expenditure
- ? Basic salary
- ? Motor Allowance
- ? Cell phone allowance
- ? Medical Aid
- ? Provident fund
- ? PPMS awards
- ? UIF
- ? Accommodation - local
- ? Air travel - domestic
- ? Banking charges
- ? Entertainment
- ? Travel & Subsistence
- ? Workshops and Functions
- ? Subscriptions
- ? Audit fees
- ? Consultants
- ? Internal Audit fees
- ? Fraud Prevention Planing

Centralised costs

- ? Attachment training
- ? Computer Consumables
- ? Computer Software
- ? General Stationery
- ? Insurance
- ? Interior Décor
- ? IT Outsourcing
- ? IT Services
- ? Photocopier consumables

- ? Plant Services
- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Technical services
- ? Telephone - usage
- ? Telephone - system
- ? Transport Motor
- ? Office Equipment
- ? Technical Equipment
- ? Computer Hardware
- ? Furniture

STAFF BUDGET

Specific assumptions:

- Two Job evaluation Procurement
- No retrenchment
- Appointment of new staff member

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Procurement Manager	P8	0	0	1
Provision Co-ordinator	P10	0	0	1
Senior Technical Buyer	Subject to evaluation		1	1
Technical Buyer (contract)	Subject to evaluation		1	1
Procurement Officer	P11	0		1
Procurement Officers	P13	0	0	2
Receiving Clerk	P14	0	0	1
TOTAL		0	2	8

BUSINESS PLAN
SUB-PROGRAMME : INFORMATION & LIASISON
MANAGEMENT
YEAR : 2003/4

6. OBJECTIVES

Management and Co-ordination of service delivery to the Legislature by units under direct management control. Responsible for the smooth flow of information between the different legislative structures and the general public. This will include overseeing the running of the Information Centre, Research Services and Public Relations and Media.

DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Strategic planning
- ? Budgetary, compilation, control and management
- ? Financial Management & Administration
- ? Policy development, implementation and monitoring
- ? Implementation of PFMA responsibilities
- ? Implementation of administrative procedures

Optimal delivery in the following areas:

- ? Strategic direction and planning
- ? Financial management of the resources allocated to the various directorates under direct control
- ? Staff training
- ? Compliance with Statutory requirements
- ? Systems enhancement
- ? Service delivery in all units in the directorate

7. PROJECTS

- ? Enhancement of oversight function via the Performance evaluation and budget analysis model
- ? Further development of service delivery in the information centre
- ? Development of media strategy for the Legislature
- ? Compilation of annual report

? SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

DEPUTY SECRETARY - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Sc of
			2003/04	2004/05	2005/06		
Directorates Strategic plan	Completed Strategic plans	Time Quality	Fourth quarter Enhanced service delivery	Fourth quarter Enhanced service delivery	Fourth quarter Enhanced service delivery	Fourth quarter	PF Tre reg
Unit plans and delivery of service	Detailed activity plans	Quality	Improvement of service delivery	Ins req			
Budget compilation	Completed budgets	Time	As per treasury schedule	PF Tre reg			
Compilation of annual report	Annual report	Time	Within 5 months of the end of the financial year	Within 5 months of the end of the financial year	Within 5 months of the end of the financial year	Within 5 months of the end of the financial year	PF Tre reg
Development of relevant policies	Policies	Quality	As required	As required	As required	As required	Adi ε m.
Effective Financial Management	Implementation of and adherence to external Audit recommendations	%	100 %	100%	100%	100%	Fir M.

8. GENERAL ASSUMPTIONS

- 35. Legislature to use same premises in the next financial year
- 36. Inflation rate is 8%
- 37. SAP is fully operational
- 38. Telephone cost is centralized in Administration
- 39. Stationery costs is centralized in Administration
- 40. IT services is centralized in IT & Technology Unit
- 41. Personnel budget is located in the Management budget of ISS
- 42. Staff training budget is located in Human Resources budget
- 43. No fundamental changes to amended PFMA
- 44. No changes in Programme and Sub-Programme structure
- 45. No changes in political structure

9. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK
? Strategic planning	1		
? Implement PFMA requirements and fulfill PFMA responsibilities	1		
? Compilation of annual report	1		
? Development and compilation of directorates budgets	1		
? Develop policies	1		
? Organize workshops	1		
? Travel by road	1		
? Travel by air	1		
? Book hotel accommodation	1		
? Organize/ Attend meetings	1		
? Subscribe to journals and professional bodies	1		
? Use of professional consultants		2	
? Plan staffing requirements	1		
? Attend seminars and workshops	1		
?	1		
?	1		

10. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? Personnel Expenditure
 - ? Basic salary
 - ? Motor Allowance
 - ? Cell phone allowance
 - ? Medical Aid
 - ? Provident fund
 - ? PPMS awards
 - ? UIF
- ? Accommodation - local
- ? Air travel - domestic
- ? Entertainment
- ? Travel & Subsistence
- ? Workshops and Functions
- ? Strategic planning

Centralised costs

- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Telephone
- ? Stationery
- ? Photocopy consumables
- ? IT services

5. STAFF BUDGET

Specific assumptions:

- No job evaluation
- No retrenchment

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Deputy Secretary	P4	0	0	1
Senior Secretary	P12	0	0	1
TOTAL		0	0	2

BUSINESS PLAN
SUB-PROGRAMME:

RESEARCH SERVICES DEPARTMENT,

YEAR: 2003/4

11. OBJECTIVES

The Research Services Department undertakes, either in response to a request or proactively, or commissions, research for the Committees, Senior Office Bearers and the Institution of the Legislature into all aspects of provincial public, financial and economic policy; the institutional concerns of provincial government as a whole; or any other matters as may be required by its stakeholders.

2. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Research for Standing Committees.
- ? Proactive research at the initiative of the Researchers.
- ? Oversight and management of research commissioned out.
- ? Co-ordination of information flows to stakeholders.
- ? Research to assist the Institution of the Legislature.
- ? Oversight model
- ? Publications

Optimal delivery in the following areas:

- ? Data processing to monitor and oversee Provincial Departments and Provincial Executive.
- ? Public policy research.
- ? Provision of policy research and advice on all the Legislature's constitutional functions.

3. KEY STRATEGIC PROJECTS

- ? Programme evaluation and budget analysis (PEBA)
- ? Policy Briefs
- ? Create a conducive environment for conducting research
- ? Produce and develop procedural manuals
- ? Build sufficient capacity in the Research Unit

4. KSF Table

Strategic goal: 1 Programme evaluation and budget analysis – 2003/2004

No	Action Steps	Output standards	Resources
1	? Pilot PEBA model ? Implement PEBA model ? Review Model ? Evaluate PEBA model	Improved investigative and oversight capacity of committees	? Internal Resources ? Internal Training

Strategic goal: 2 Produce and develop research material on topical issues that are of interest and relevance to committees- Policy Briefs – 2003/2004

No	Action Steps	Output standards	Resources
1	? Brief researchers on the need for research on topical issues ? Discuss possible topics with Researchers on a regular basis ? Prioritise topics identified	High quality research material on topical and relevant issues	? Internal Resources

Strategic goal: 3 Create a conducive environment for conducting research – 2003/2004

No	Action Steps	Output standards	Resources
1	? Conduct a benchmarking exercise ? Implement the findings of our benchmarking exercise	Environment conducive for the production of high quality Research material	Internal Resources

Strategic goal: 4 Produce and develop procedural manuals – 2003/2004

No	Action Steps	Output standards	Resources
1	? Produce procedural manuals on each of the Research services ?	? Manuals for all categories of research	? Internal resources ? Workshop

		? Facilitation
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Strategic goal: 5 To build sufficient capacity in the Research Unit – 2003/2004

No	Action Steps	Output standards	Resources
1	<ul style="list-style-type: none"> ? Recruit researchers who are sufficiently experienced ? Encourage the existing group of Researchers to continuously improve their qualifications ? Specialisation 	Experienced researchers capable of handling complex research tasks	

STRATEGIC GOALS – 2004/2005

- ? Lack of Infrastructural Resources
- ? Lack of Receptiveness from Chairpersons
- ? Quality Control
- ? Identifying and attending course on the latest research methods

STRATEGIC GOALS- 2005/2006

- ? Publishable material produced by Researchers
- ? High Quality internal publications
- ? Sufficient networking

5. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

FINANCE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Sc of
			2003/04	2004/05	2005/06		
Well-informed Committees	Committee Research.	Number of research papers/reports	70	70	70	Relevant and Well-written reports	F Co Re: re
An enhanced understanding of subject areas by Researchers and Publications	Proactive Research	Number of research papers/published papers.	6	8	10	Reports of Publishable quality	Pre prc pæ
Informed and capacitated Committees	Research for Office Bearers	Number of research papers/reports/speeches.	12	12	12	A well-written report that addresses the mandate	F C Be re
Informed decision-making by Committees	Research Commissioned-out	Number of commissioned projects.	4	5	6	Standard as set out in the Terms of Reference	pre Le S
Informed members and staff	Hosting a Seminar/Lecture Series	Number and attendance at seminars.	3	3	3	A good and well attended Lecture	Pre Le si
Accessible Research materials/publications	Research Unit Publications	Number of publications produced and circulation of publications.	4	5	7	Lecture series booklet	Pre l Put
An enhanced understanding of various dimensions of current issues	Policy Briefs	Number produced.	4	4	4	A well-written report addressing the all	F p b

						aspects of the topic
	Strategic Priorities	Number and importance.	1	1	1	

4. SPECIFIC AND GENERAL ASSUMPTIONS

- 46. Staff complement of Department is 8 (excluding one intern from a University);
- 47. There is a willingness to increase staff compliment where necessary;
- 48. An effective information centre is in place;
- 49. The constitutional functions of the Legislature are not changed;
- 50. The members and office bearers exercise their constitutional functions fully;
- 51. The necessary I.T. and office resources are available.
- 52. Additional staff complement
- 53. Complement of Members of the Legislature not to exceed 73
- 54. Inflation rate is 8%.
- 55. SAP is fully operational
- 56. Telephone cost is centralized in Administration
- 57. Stationery costs is centralized in Administration
- 58. Furniture cost is centralized in Administration
- 59. Office equipment is centralised
- 60. IT services are centralized in IT & Technology Unit
- 61. Personnel budget is located in the Management budget of ISS
- 62. Staff training budget is located in Human Resources budget
- 63. Additional furniture and equipment is needed for new and expanded service delivery
- 64. Space is available for expansion of staff and services.
- 65. Economic stability and stable currency
- 21. No changes in Programme and Sub-Programme structure

22. No changes in political structure

6. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK
? Prepare research mandates	1		
? Conduct literature reviews	1		
? Conduct interviews	1		
? Attend oversight visits	1		
? Analyse and process information	1		
? Propose recommendations/policy options	1		
? Identify issues for further research	1		
? Publish research papers		2	
? Prepare research terms of reference	1		
? Identify external research service providers	1		
? Commission work to external research service providers	1		
? Identify Lecture topics		2	
? Identify speakers for Lecture series		2	
? Organise Lecture series		2	
? Prepare lectures for publication		2	
? Collect and edit papers for Occasional Paper Series		2	
? Send papers to reference group		2	
? Publish Occasional Paper Series		2	
? Collect data pertinent to portfolio committees	1		
? Process and analyse data	1		
? Prepare policy briefs on data for each policy area	1		
? Identify appropriate workshops and conferences to attend		2	
? Attend workshops and conferences		2	
? Network with scholars and research community		2	
? Identify appropriate specialised training		2	
? Attend appropriate specialised training courses		2	
? Liaise with tertiary institutions		2	
? Identify research interns		2	
? Host, mentor and administer research interns		2	

5. ORGANIZE ACTIVITIES INTO COST CODES

- ? Personnel Expenditure
- ? Basic salary
- ? Motor Allowance

- ? Cell phone allowance
- ? Medical Aid
- ? Provident fund
- ? PPMS awards
- ? UIF
- ? Accommodation - local
- ? Accommodation- International
- ? Air travel – domestic
- ? Air travel- International
- ? Travel & Subsistence
- ? Workshops and Functions
- ? Consultants
- ? Conferences

Centralised costs

- ? Postage
- ? Refreshments
- ? Staff Bursaries
- ? Staff Training
- ? Staff Recruitment
- ? Telephone
- ? Stationery
- ? Photocopy consumables
- ? IT services
- ? Printing
- ? Office Equipment
- ? Furniture

6. STAFF BUDGET

Specific assumptions:

- No job evaluation
- No retrenchment

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Research Manager	P7			1
Senior Researcher	P8		3	1

GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

Researcher	P9		2	5
Junior Researcher	P9			1
Intern	stipend			
TOTAL				8

BUSINESS PLAN

SUB-PROGRAMME: PUBLIC RELATIONS YEAR: 2003/2004

12. OBJECTIVES

The objective of the Public Relations Unit is to provide communication, media liaison and protocol functions to the Legislature and external stakeholders in professional, effective, and efficient means. The Unit continues to promote the core business of the Legislature, uphold its image in a creative and efficient way, and in line with the strategies and goals adopted by the Directorate of Information and Liaison and the Gauteng Legislature.

13. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Execution of events management functions
- ? Media liaison, media relations and media services
- ? Management of protocol and liaison functions
- ? Management of information dissemination (including the Intranet and Internet)
- ? Marketing of the Legislature's new corporate identity.

Optimal delivery in the following areas:

- ? Ensuring positive image of the legislature
- ? Improving information dissemination
- ? Improving production of publications/printed material
- ? Maintain and establish links with relevant GPG departments, the public, NGOs, and business.
- ? Maintain Intranet and Internet sites
- ? Optimal special event management

14. PROJECTS

- ? Implementation of a comprehensive media strategy
- ? Development and implementation of a marketing strategy
- ? Development of a service standards manual
- ? Development of multi-skilled and dedicated staff

4. PUBLIC RELATIONS AND MEDIA LIAISON : STRATEGIC GOALS

Strategic Goal 1: Marketing strategy for new GPL brand

No	Action Steps	Output standards	Resources	Q1	Q2	Q3	Q4	Responsible
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GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

1	<ul style="list-style-type: none"> ✍ Development of marketing plan ✍ Formulation of brand management manual – policy document ✍ Appointment of marketing firm – assist only with capacity in critical areas. ✍ Roll out of an intensified marketing campaign. ✍ Evaluation of campaign 	Clear distinction and positioning of GPL from GPG, LG and other organs of states.	Time : 6 months Marketing budget		*			G. Shole M. Mocumi N. Thomas Marketing Firm
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Strategic Goal 2: Development of Standard Manual

No	Action Steps	Output standards	Resources	Q1	Q2	Q3	Q4	Responsible
1	<ul style="list-style-type: none"> ✍ Development of Terms of Reference ✍ Development of content ✍ Finalization of editing, layout, setting and printing. ✍ Workshop for PR, Procurement, Finance, Administration, and ECC on the content of book and its significance. 	Clear and unambiguous guidelines and standards for internal and external service providers.	Time : 3 months Printing budget			*		G. Shole P. Mthala M. Mocumi L. Nkgapele I. Rawat A. Byng

Strategic Goal 3 : Multiskilled and Dedicated Staff

No	Action Steps	Output standards	Resources	Q1	Q2	Q3	Q4	Responsible
1	Define role competencies	Competencies per role exists	Time PR Manager	*	*	*	*	G. Shole
2	Develop competency profile for unit	Unit competency profile exists	PR Manager	*	*	*	*	G. Shole

GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

3	Conduct competency audit per individual staff member	A skills audit per staff member has been conducted	PR Manager and Staff	*	*	*	*	G. Shole R. Makato
4	Develop training and development plan per staff member	A skills and development plan per staff member exists	HR PR	*	*	*	*	J. Beesnaar G. Shole
5.	Implementation of the training plan.	Broad skilled staff	HR PR				*	J. Beesnaar
6.	Recruitment of staff – especially in media liaison services	Fully capacitated and dedicated Unit.	1 new staff member for media liaison services	*				R. Makato G. Shole

5. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

PUBLIC RELATIONS AND MEDIA LIAISON

Outcome	Description of Outputs	Unit of Measure	TARGET				Source of Data
			2003/04	2004/05	2005/06	Standard	
GPL' profile is enhanced through publicity and promotion	Management of all Legislature events Including public awareness	Time Accuracy	3 Months in advance 100%	Events Management Manual			

GAUTENG LEGISLATURE BUSINESS PLAN 2003/4

Long-term and cordial relations with media established	Execution, co-ordination and management of all media liaison and media relations functions Drafting and submission of articles, advertisements, and press releases	Coverage of GPL	40 % coverage and publicity	50 % coverage and publicity	60% coverage and publicity	70% coverage and publicity	Media Strategy
Informed, developed and strengthening of Legislative processes	Management of all protocol functions including international workshops and conferences	Time & %	6 Months in advance 100 %	5 Months in advance 100%	4 Months in Advance 100 %	4 Months in Advance 100 %	Protocol Management Manual
Established relations with other work legislatures – nationally and internationally	Management of Speaker's and Legislature visits – in terms of Protocol and Liaison	Time Accuracy	Within 14 days before visit 100%	Within 7 days before visit 90%	Within 7 days before visit 100%	Within 7 days before visit 100%	Protocol Management Manual
An up to date, modern and interactive system of information technology in communication	Management of content, placements of information and quality the intranet and public website	Time	Within 24 hours before being published	Within 24 hours before it being published	Within 24 hours before it being published	Within 24 hours before it being published	Documents Placement Procedures and Standard Manual
Adherence to PFMA and the Labour Relations Act	Financial management and human resources administration in line with PFMA and Legislature Policies	% Compliance	100 %	100%	100%	100%	PFMA

6. SPECIFIC / GENERAL ASSUMPTIONS

66. Additional staff complement

67. Complement of Members of the Legislature not to exceed 73

68. Inflation rate is 8%.

69. Stability in exchange rates.

- 70. SAP is fully operational
- 71. Telephone cost is centralized in Administration
- 72. Stationery costs is centralized in Administration
- 73. Furniture cost is centralized in Administration
- 74. Office equipment is centralised
- 75. IT services are centralized in IT & Technology Unit
- 76. Personnel budget is located in the Management budget of ISS
- 77. Staff training budget is located in Human Resources budget
- 78. All Public Relations staff needs continuos upgrading in IT training and skill development to cope with rapid technological advancements.
- 79. Nature and content of databases is changing and improving.
- 80. Rapid Information Technology developments for information delivery.
- 81. Additional furniture and equipment is needed for new and expanded service delivery
- 82. Space is available for expansion of staff and services.
- 83. Economic stability and stable currency
- 84. No changes in Programme and Sub-Programme structure
- 85. No changes in political structure

7. ACTIVITIES /TASKS

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASK	RANK 1	RANK 2	RANK 3
? Management of all Protocol and Liaison functions	1		
? Organize a school tour programme with PPP		2	

? Visits/tours by private individuals/groups		2	3
? Facilitation of all functions by external publics.		2	
? Provision of input on greater exposure of the Legislature to Other internal departments.	1		
? Planning production of Gauteng Legislature publications.	1		
? The operational functions of an internal newsletter.	1		
? Submission of articles on the Legislature to the GPG Publications, and media	1		
? Drafting press releases, press statements and media alerts.	1		
? Compiling advertisements for Legislature functions.	1		
? Embark on quarterly massive media campaign.	1		
? Official Opening and Official Closing.	1		
? Open Day, Youth Parliament, Women's Month and other special events.	1		
? Ensure the production of business cards		2	
? Monitoring of media coverage of sittings and the legislative process.	1		
? Ensuring daily clipping service for MPL's.	1		
? Maintenance of photo-library of MPL's.		2	
? Maintenance of up to date biography of MPL's		2	
? Subscribe to journals.			3

? Use of professional advise in terms of protocol functions and the internet	1		

8. ORGANIZE TASKS INTO ASSOCIATED COST CENTRES

- ? Communications
- ? Accommodation – Local
- ? Air travel - domestic
- ? Advertising
- ? Consultants
- ? Storage Consumables
- ? Workshops and Functions
- ? Printing -general
- ? Refreshments
- ? Staff Training
- ? Official Gifts and Flowers
- ? Official Photographs

- ? Special Events – Closing
- ? Special Events – Opening
- ? Conferences

9. STAFF BUDGET

Specific assumptions:

- Job evaluation for new / restructured posts
- No retrenchment

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
PR Manager	P8	0	0	1
Media Liaison Officer	P9	0	0	1
PR Assistant	P11	0	0	1
PR Officer	P13	0	0	1
PR/Media Secretary	P12	0	0	1
Internet/Intranet Officer	P10	0	0	1
Media Writer and Monitor	Subject to job evaluation	0	1	1
TOTAL		0	1	7

BUSINESS PLAN
SUB-PROGRAMME: INFORMATION CENTRE
YEAR: 2003/4

7. KEY LEGISLATURE OBJECTIVES

The information Centre service supports Legislature programmes by providing timeous relevant information and information products that address information needs and requirements of Members and staff so that they can fulfil their constitutional obligations.

8. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Information Provision
- ? User Education for full and effective exploitation of information services and products
- ? Information materials development and maintenance.
- ? Cooperative resource sharing.
- ? Management and maintenance of electronic products, services and delivery systems.
- ? Control and circulation of material (own stock or inter-library loans).
- ? Management of information organisation and retrieval systems for effective information exchange.
- ? Information delivery infrastructure
- ? Web-based information retrieval system
- ? Multi-skilling

Optimal delivery in the following areas:

- ? Alert service and information provided to support PEBA requirements.
- ? Corporate membership and formal exchange programmes for access to extended information services
- ? User Education programme appropriately aligned to skills levels
- ? Acquisition of books, journals and electronic databases focused on core business
- ? Physical maintenance of information materials for preservation and future use.
- ? Cost effective operations and accurate processing of acquired material for effective and exhaustive retrieval of information - exploiting new and existing bibliographic utilities and systems.
- ? State-of- art IT (hardware and software) for web based timeous information delivery.
- ? Staff training on information organisation, searching, retrieval and dissemination strategies/skills

9. PROJECTS

- ? Quality management of electronic databases and electronic journals for effective /efficient retrieval and rendering of proactive Alert and Current information Awareness Services.
- ? On-line Public Access Catalogue on intranet

10. Information Centre strategic priorities for 2003/04

STRATEGIC GOAL1: Information Support Service to enhance PEBA

Notes: C Completed O Ongoing N.C. Not Completed

No	Action Steps	Output resources	Resources	Q1	Q2
1.	Participate in internal information sharing forums : Research Unit Committee Support Unit, RECOG and PEIT	Quality information is provided and is incorporated in matrices.	Existing Staff	*	*
2.	Identify and obtain information resources	Relevant materials are available and accessible	Electronic Databases, Government publications, Journals	*	*
3.	Additional staff	Increased capacity	2 new staff members (Domestic cluster; Social cluster) Furniture and equipment for new staff	*	
4.	Training of staff	Competent and professional staff	Excel for 4 staff, Internal training material	*	
5.	Implement alert service based on PEBA requirements	Client empowerment	Existing Staff	*	*

STRATEGIC GOAL 2: User guidance and instruction for optimal retrieval of information

No	Action Steps	Output resources	Resources	Q1	Q2
1	Conduct user need survey	Questionnaire circulated to relevant stakeholders	Stationery	*	

2	Develop a training programme	Training programme appropriately aligned to skills levels	Existing staff Attend external workshops for capacity building		*
3	Produce manuals	Back-up print material for self instruction	Manuals and pamphlets (printing and stationery)		*
4.	Conduct pilot project	Pilot project implemented	Existing staff		
5.	Full implementation	User education programme exists	Existing staff		

STRATEGIC GOAL 3 :Expansion and maintenance of Information Resources

No	Action Steps	Output resources	Resources	Q1	Q2
1	Develop and expand information collection through: <ul style="list-style-type: none"> - Obtaining information resources through exchanges - Expand electronic databases - Acquire new books 	<ul style="list-style-type: none"> formal exchange programmes exists - Full text electronic journals, electronic current awareness service, statistical databases - Expanded collection coverage of focused subject areas (poverty alleviation, socio-economic development, gender and youth issues, human rights, 	<ul style="list-style-type: none"> Corporate membership and inter-lending fees SABINET, EBSCO e-journals, e-secondary reference sources Average cost R600 per book Subject guide to Books In Print 		<ul style="list-style-type: none"> * *

		democracy, legislation, change management).			
	Bind and process journals and Gazettes	Complete issue runs are bound with indexes for efficient retrieval	Binding material 2 Interns for processing of materials		*

STRATEGIC GOAL 4 : Improvement of response rate to clients

No	Action Steps	Output resources	Resources	Q1	Q2	
1	Conduct an analysis to simplify access and retrieval and delivery systems	A simplified access and retrieval system exist	Existing staff		*	
2	Conduct hardware and software needs analysis	A needs analysis report exists	Existing staff		*	
3	Integrate access and retrieval systems into network environment	OPAC on intranet Unlimited license agreement	Web-publisher software Laser printers, Pentium 4 PC,s			
4	Obtain training on the utilisation of new software	Training has been attended by all staff	External INMAGIC software training			
5	Conduct training on "new access and retrieval system"	Clientele can retrieve information from OPAC	On-line internal instruction plus back-up pamphlets			

STRATEGIC GOAL 5 : Increase capacity through a multiskilled professional Staff

No	Action Steps	Output resources	Resources	Q1	Q2	
1	Define role competencies	Competencies per role exists	Existing staff	*	*	
2	Develop competency profile for unit	Unit competency profile exists	Existing staff	*	*	
3	Conduct competency audit per individual (Staff member)	A skills audit per staff member has been conducted	Existing staff	*	*	
4	Develop training and development plan per staff member	A skills and development plan per staff member exists	Existing staff		*	

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

INFORMATION CENTRE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
User information needs satisfied	Provision of information on request and demand	Time Accuracy	Continuous 100%	Continuous 100%	Continuous 100%	Continuous 100%	User feedback information
Effective Current Awareness service	SDI to targeted user groups according to information needs profiles plus PEBA requirements	Time	Within 5 days of receipt of new publication	Within 3 days of receipt of new publication	Within 2 days of receipt of new publication	Within 2 days of receipt of new publication	Information packs/files
Effective access to extended external services and facilities	Subscription to corporate membership	Date	November – March	November – March	November – March	November – March	SAP
Effective access to information materials not in the Centre	Interlibrary loans and Electronic Document Delivery Service	Time	Within 2 weeks of request	Within 2 weeks of request	Within 2 weeks of request	Within 1 week of request	SABINET
Multi-skilled professional staff	Conferences, workshops, visits etc. for staff development and training	Time	June and September (conferences) First quarter for external training Third and 4 th quarter internal	Depending on availability and latest development	Depending on availability and latest development	Depending on availability and latest development	SAP, Reports

Effective exploitation of Centre's information services and products by the primary clientele	User instruction and guidance on information retrieval strategies and back-up material	Time	Within 3 days of request	Within 2 days of request	Within 1 day of request	Depending on need and skill levels	Statistics, Reports
Information materials supporting the core business	Current and expanded book stock	Date	Monthly till end of fourth quarter	SAP, INMAGIC system			
Information support and enhancement of PEBA	Up-to-date and relevant subscriptions and electronic databases to support Programme Evaluation and Budget analysis (PEBA)	Date	November – March	November – March	November – March	November – March	SAP, INMAGIC system
Effective preservation of information materials for continuous and future use	Physically maintained information materials	Date	Second quarter and Fourth quarter	SAP			
Unlimited, improved and convenient access to information materials and services	OPAC on intranet and Web-based INMAGIC system	Date	Third quarter	Dictated by latest development	Dictated by latest development	Dictated by latest development	IT unit, SAP
Effective and efficient operations management	Infrastructure for new staff	Date	First quarter	First quarter	Dictated by latest development	Dictated by latest development	IT unit

11. SPECIFIC / GENERAL ASSUMPTIONS

5.1 General

86. Complement of Members of the Legislature not to exceed 73
87. No changes in political structure
88. Inflation rate is 8%.
89. No changes in Programme and Sub-Programme structure
90. SAP is fully operational
91. Telephone cost is centralized in Administration
92. Stationery costs is centralized in Administration
93. Furniture cost is centralized in Administration
94. Office equipment is centralised
95. Transport motor is centralised
96. Maintenance service is centralised
97. IT services are centralized in IT & Technology Unit
98. Personnel budget is located in the Management budget of ISS
99. Staff training budget is located in Human Resources budget

12. Specific

13. Additional staff complement for increased capacity
100. All Information Centre staff need continuous upgrading in information search and retrieval skills to cope with technological advancements.
101. Nature and content of databases is changing and improving.
102. Rapid Information Technology developments for information delivery.
103. Additional furniture and equipment is needed for new expanded resources and delivery services
104. Increased use of the Centre with increased relevance and appropriateness of services
105. Space is available for expansion of staff and services.
106. Economic stability and stable currency

107. International markets determine inflation rate of book, journal and electronic databases' prices.

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Provide proactive alert online services for relevant current information plus reference and enquiry service for requested information	1		
? Subscribe to journals newspapers and electronic databases	1		
? Network with relevant organisations/institutions and negotiate Corporate membership for access to services and facilities.	1		
? Obtain Government and Departments' publications plus relevant research materials from NGO's	1		
? Review Unit resource requirement	1		
? Educate Users for optimal usage of Centre's information retrieval systems and databases subscribed to.	1		
? Build on existing strength of book collection and develop new areas to meet extended new needs.	1		
? Bind loose issues of journals and gazettes for preservation	1		
? Physically and intellectually process acquired material and maintain accurate record of their location	1		
? OPAC on intranet / Install Web based information retrieval Library system (INMAGIC)	1		
? Organise electronic databases and electronic journals for effective retrieval whenever needed using international bibliographic systems.	1		
? Organise and attend workshops, conferences and seminars.		2	
? Organise staff training for broad- skilling and technical skills.	1		
? Implement PFMA requirements and fulfill PFMA responsibilities	1		
? Organise new staff induction into the unit	1		

activities			
? Benchmark best practices and operations		2	
? Travel by road		2	
? Travel by air		2	
? Book hotel accommodation		2	
? Administration	1		
? Maintain security of information materials in the Centre.		2	

18. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? Personnel Expenditure
 - ? Basic salary
 - ? Motor Allowance
 - ? Housing
 - ? Cell phone allowance
 - ? Medical Aid
 - ? Provident fund
 - ? PPMS awards
 - ? UIF
- ? Conferences
- ? Accommodation - Local
- ? Air travel – domestic
- ? Travel & Subsistence – Local
- ? Subscriptions
- ? Library Reference Books
- ? Printing General (binding of journals)
- ? Stationery (Library specific)
- ? Courier (Inter-library book loans)
- Centralised costs**
 - ? Postage
 - ? Refreshments
 - ? Staff Bursaries
 - ? Staff Training

- ? Staff Recruitment
- ? Telephone
- ? Stationery
- ? Furniture
- ? Office Equipment
- ? Maintenance service
- ? Photocopy consumables
- ? IT services
- ? Transport motor

BUDGET STAFF

Specific assumptions:

- No retrenchment
- 1 contract Snr. Information Officer (Subject Librarian) post subject to approval by Secretariat

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Information Centre Manager	P8	0	0	1
Snr. Information Officer	P9	0	0	1
Snr. Information Officer	P9	0	0	1
Snr. Information Officer	P9	0	0	1
Senior Information Officer (Domestic Cluster)	P9	0	1 (contract)	1
Information Officer	P10	0	0	1
Information Assistant	P11	0	0	1
Interns	N/A	0	N/A	2
TOTAL		0	2	7+2interns

BUSINESS PLAN
SUB-PROGRAMME : OS Management
YEAR : 2003/4

14. OBJECTIVES

To manage & co-ordinate the work of the directorate.

15. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Information technology
- ? Technical systems
- ? Security
- ? Safety
- ? Building management
- ? Print Room
- ? Legislative Registry
- ? Refreshments
- ? Services
- ? Secretariat

16. Optimal delivery in the following areas

- ? Service delivery by directorate
- ? Preparation of the projects required relating to the elections wrt office space, services, etc.

17. PROJECTS

- ? As per the directorate units

? Co-ordination of the "Elections project" which will be budgetted for under each unit.

5. STRATEGIC OBJECTIVE 3 : Elections Operational Project

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2
1	? Determine detailed "Assumption"	? Detailed Assumptions drafted and approved	? Secretariat opinions		
2	? Identify office and space implications	? Office and space implications identified	? Workshops with affected managers		
3	? Identify IT implications	? IT implications identified	? IT / Technical contractor		
4	? Identify technical implications	? Technical implications identified	? Technical contractor		
5	? Identify services implications	? Services implications identified	? Technical contractor / Building Manager		
6	? Prepare budgets on basis of findings / recommendations of steps 1,2,3,4 and 5 above	? Budgets prepared and approved	? Time		
7	? Go on tender and award contracts	? Contracts signed with appointed service providers	? Procurement Unit		

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

OS Management - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Good directorate management	That the units within the directorate achieve their outputs	%	80%	90%	100%	That each unit achieves each of its objectives as per the Budget Business Plan	Annual Report
Good Legislature management	Attendance at Secretariat meetings	%	80%	90%	100%	Attendance at every meeting	Minutes of Secretariat

7. GENERAL ASSUMPTIONS

7.1. POLITICAL PROCESS ASSUMPTIONS

- 7.1.1. That the elections will take place in early June 2004, so that the Legislature will close at the end of March 2004, and re-open in mid-June 2004.
- 7.1.2. That the 2004/2005 Appropriation Bill will be passed by the end of March 2004
- 7.1.3. That there will be 30 sittings of the House in the period April 2003 to December 2003
- 7.1.4. That there will be 15 sittings of the House in the period January 2004 to March 2004
- 7.1.5. That there will be 250 committee meetings in the period April 2003 to December 2003
- 7.1.6. That there will be 100 committee meetings in the period January 2004 to March 2004
- 7.1.7. That 15 bills will be introduced in the Legislature.
- 7.1.8. That the Legislature will be "closed" for the period 1 April 2004 to 31 May 2004, during which there will be no restrictions on noise and disruption (in terms of building work)

- 7.1.9. That there will be no change in the electoral process (i.e. no constituency-based members), so there is no need for the Legislature to establish, furnish, equip and support Legislature-funded constituency offices.
- 7.1.10. That the NCOP will continue to operate in its current form.
- 7.1.11. That the basis of supplying party support staff will remain as is – i.e. one person per 4 members or part thereof, and one additional for Leader of Official Opposition and one for Chief Whip.
- 7.1.12. That the number of members will increase to 78, and there membership will be as follows:
- ? Party A – 52 members – 14 support staff – 53 offices – 1 caucus room
 - ? Party B – 8 members – 3 support staff – 11 offices – 1 caucus room
 - ? Party C – 5 members – 2 support staff – 7 offices – 1 caucus room
 - ? Party D – 4 members – 1 support staff – 5 offices – 1 caucus room
 - ? Party E – 3 members – 1 support staff – 4 offices – 1 caucus room
 - ? Party F – 2 members – 1 support staff – 3 offices – 1 caucus room
 - ? Party G – 1 member – 1 support staff – 2 offices – 1 caucus room
 - ? Party H – 1 member – 1 support staff – 2 offices – 1 caucus room
 - ? Party I – 1 member – 1 support staff – 2 offices – 1 caucus room
 - ? Party J – 1 member – 1 support staff – 2 offices – 1 caucus room
- In addition, there will be 6 NCOP delegates, 4 from Party A, and one each for Parties B & C.
(effect = increase from 89 to 111 offices)
- 7.1.13. That every member and every “official” support staff member will be provided with 5 moving boxes in Mid March in preparation for the elections. If more are required, they must be paid for at cost.
- 7.1.14. That the Gym will be closed for the period from mid-March until mid July for the storage of members effects.

7.2. ORGANISATIONAL ASSUMPTIONS

- 7.2.1. That the Operational Support Directorate consists of 4 units, namely:
- ? Technology
 - ? Documents & Services
 - ? Safety & Security
 - ? Building Management
- 7.2.2. That the staff complements (as after 2004 elections) will be as follows:
- ? Office of Speaker – 7
 - ? Office of Secretary – 3 + 2
 - ? Parliamentary Operations
 - Management – 2
 - Proceedings – 8 interns – 0
 - Committees – 30 interns – 4
 - NCOP & Legal – 4 interns – 0
 - PPP – 8 interns – 3
 - Hansard & languages – 10
 - ? Information & Liaison
 - Management – 2
 - Research – 8 interns – 2
 - Information Centre – 9 interns – 2
 - PR & Media Liaison – 9 interns – 2
 - ? Institutional Support

- Management – 2
- Finance – 7
- Human Resources – 6
- Procurement – 8
- Administration – 10
- ? Operational Support
 - Management – 3
 - Technology – 3 interns – 0
 - Documents & Services – 13
 - Safety & Security – 2
 - Building Management – 2

7.2.3. That the other personnel who need to be accommodated within the Legislature will be as follows:

- ? Leader of the House – one office
- ? Premier – three offices
- ? Women's Empowerment Unit – one office
- ? Integrity Commissioner – one office
- ? Internal Audit – one office
- ? Consultants – one office (including external Audit)
- ? IT contractor – one office and one store room
- ? Technical contractor – one office, one workshop and several store rooms
- ? Receptionist contractor – one large office, two change rooms
- ? Precinct contractor – one office, two change rooms
- ? SAPS contingent – one office, one other room, two change rooms
- ? Cleaning contractor – two change rooms, one store room
- ? Catering contractor – one office
- ? Air-conditioning contractor – one office

7.2.4. That the other personnel who need to be accommodated within the City Hall complex will be as follows:

- ? City Hall existing staff – 16
- ? City Hall other contractors – 0

7.3. FINANCIAL ASSUMPTIONS

- 7.3.1. That the VAT rate remains at 14%.
- 7.3.2. That no additional import duties or levies are imposed.
- 7.3.3. That the “general” inflation rate will be 8%.
- 7.3.4. That the “technical” inflation rate (which allows for exchange rate variations) will be 20%.
- 7.3.5. That the EUPSP will not be functional – and will not be replaced by a comparable program.
- 7.3.6. That procurement will take place within planned timeframes, invoices will be submitted timeously, and paid promptly.
- 7.3.7. That (as in 1998/1999) the Legislature will cap the party usage of photocopiers at a level based on the previous year's usage by each party – to ensure they are not abused for party election purposes.
- 7.3.8. That the current out-sourcing contracts will continue at the same basic rates – even if they are re-tendered.

- 7.3.9. That where insurance claims are made, the money received be transferred to the relevant budget which suffered the loss.

7.4. ADMINISTRATIVE ASSUMPTIONS

- 7.4.1. That all telephone costs (other than those relating to data line rentals) are centralized in Administration.
- 7.4.2. That all stationery costs are centralized in Administration.
- 7.4.3. That all photocopying / binding costs are centralized in Documents & Services.
- 7.4.4. That all IT infrastructure, hardware, software and services are centralized in the Technology Unit.
- 7.4.5. That the personnel budget is located in the Management budget of the directorate.
- 7.4.6. That all staff training is located in Human Resources budget.
- 7.4.7. That all costs relating to cleaning, hygiene and interior décor are placed in Administration, not Building Management.
- 7.4.8. That all insurance costs are centralized in the Institutional Support directorate.
- 7.4.9. That all the 47x xxx costs are centralized in the OS Management unit of the directorate, as are the consultants.
- 7.4.10. That the Legislature is directly responsible for all capital and operating costs of the City Hall project (i.e. on-budget).

7.5. STRATEGIC ASSUMPTIONS

- 7.5.1. That the out-sourcing of the IT function will continue (but will be re-evaluated, which may require the costs relating to this may need to be transferred from "Services" to "Personnel" costs at a later date).
- 7.5.2. That the IT security issue will have been addressed, plans defined and preliminary implementation completed in 2002/2003. Only high cost components will be postponed to this year due to budget availability.
- 7.5.3. That the Technical function will remain outsourced.
- 7.5.4. That the new Selbourne Hall audio system will not have been installed in the 2002/2003 financial year, and so will be installed in the 2003/2004 summer recess.
- 7.5.5. That the receptionist, precinct patrol & Legislature parking functions will remain out-sourced on the same basis as now.
- 7.5.6. That there will be an SAPS contingent housed on site to provide security.
- 7.5.7. That the new security system will have been installed in the 2002/2003 financial year but will not be fully operational before the start of the financial year.
- 7.5.8. That the following are the Operational Support directorate's key projects for year:
? City Hall complex

- ? Legislature Information Management System (system design phase)
- ? Implementation of new security system
- ? Selbourne Hall audio & video system
- ? IT security upgrade (phase 2)

7.5.9. That the following are the Legislature's key projects for year (which need direct support from the Operational Support directorate):

- ? Legislature Information Management System (user design phase)
- ? Phase 2 of GPL website
- ? GLIC improvement of response rate to clients
- ? GLIC expansion of electronic products
- ? Hansard digital recording systems
- ? SAP Workflow

These have not yet been budgetted for – they will be added in during the consolidation phase of the budget process.

7.5.10. That EVERY recommendation made to a decision making body will be approved without delay.

7.5.11. That the current decision making process and time-frames continue for the next five years.

8. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Manage the directorate	1		
? Secretariat work	1		

9. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? **405201** – Consumables (elections)
- ? **460190** – Consultants
- ? **470000** – Entertainment
- ? **474100** – Air travel – international
- ? **474101** – Air travel – domestic
- ? **474210** – Accommodation – international
- ? **474220** – Accommodation – local
- ? **474240** – Shuttle services
- ? **474320** – Subsistence & travel – local
- ? **474340** – Subsistence & travel – international
- ? **476300** – Strategic Planning
- ? **477001** – Conferences
- ? **477003** – Workshops & Functions

Centralised costs

- ? General stationery
- ? Staff training
- ? Telephone usage

10. STAFF BUDGET

Specific assumptions:

- Secretaries limited to one for Security Manager, and two for director– shared with the Technology and Documents & Services units

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Director	P5	0	0	1
Senior Secretary	P11	0	0	1
Centralised Help Desk co-ordinator	P12	0	0	0
TOTAL		0	0	2

BUSINESS PLAN
SUB-PROGRAMME: TECHNOLOGY UNIT
YEAR: 2003/4

18. KEY LEGISLATURE OBJECTIVES

- ? To be the primary source of all information about the Legislature and its work, and such information should be easily accessible to all users;
- ? Provide the platform and infrastructure for all business systems and processes required by the Legislature to meet its overall goals and vision
- ? To contribute effectively towards the objective of sustaining Gauteng as a Smart Province through the :
 - ? Provision of and encouraging maximum utilisation of computer facilities
 - ? Provision of Secured and robust network system
 - ? Provision of remote access
 - ? Help in implementation of new business solutions
 - ? Provision of video broadcast facilities
 - ? Provision of audio visual presentation facilities

19. DECISION UNITS / KEY AREAS OF LEVERAGE

The direct outputs of the unit are based entirely on institutional business requirements, and so goal setting is rarely practical – other than for estimating resources required to meet their needs.

Optimal delivery in the following areas:

- ✍ Maintenance of Local Area Network WAN.
- ✍ Providing remote access to the Legislature's network.
- ✍ Implementing a Portal deployment environment.
- ✍ Working towards a sustainable Disaster Recovery Plan.
- ✍ Working towards a sustainable Business Continuity Plan.
- ✍ Developing and implementing Information Management System (LIMS).
- ✍ Installation of NAS Network Accessible Storage
- ✍ Keeping up to date with technological challenges
- ✍ Capacity building to enhance directorate business Process and Development of Human Capital
- ✍ Regular reporting to IT Committee

3. PROJECTS

- ? LIMS
- ? Portal Development
- ? Intranet and Further Internet Development
- ? Network Backbone and Infrastructure

5. STRATEGIC OBJECTIVES

S.O. 1.1 CAPACITY BUILDING TO ENHANCE DIRECTORATE BUSINESS

No.	Action	Output Standards	Resources	Q2	Q3
3	<p><i>Spend more time on receiving knowledge transfer from consultants</i></p> <p>Develop standards & procedures manuals</p> <ul style="list-style-type: none"> ? Study visits to other Legislatures to see their processes and operations ? System specific training (i.e. Basis, IT security, IT outsourced management, etc) ? Appoint consultant to undertake evaluation of benefit cost analysis of outsourcing IT ? Work closely with Technical outsourcing contractor on all projects ? Study visits to other commercial / other organisations relating to management of SAP, RAS, etc 	<p>To be able to manage all aspects of current Technology Unit, including SAP and Technical functions</p>	<p>Competency profiles</p> <p>Existing contractors</p> <p>Consultants</p> <p>Workshops</p> <p>Other Legislature's/or ganisations procedures & manuals</p>	Y	Y

S.O. 1.2 ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (LIMS) (total

No.	Action Steps	Output Standards	Resources	Q2	Q3
	? Carry out technical work	Software	Contractor Advisors		
	? Test ? Implement ? Sign off contract	Certificate	Contractor Advisors users		
2b	<u>Technical processes of a phase</u> ? Detailed user specification ? Detailed technical design ? Development of system ? Presentation to the IT Committee ? Approval by the Secretariat ? Testing of system ? Loading of documents ? Go Live	Spec. Design Software Test OK Docs in Working	Consultant Contractor Advisors Users	Y	
2c	<u>Possible phases</u> ? High level project implementation plan ? Proof of concept ? Establishment of platform ? Develop new document templates & implement for new documents ? Convert old documents & load ? Develop first phase (data in) workflow ? Develop second phase (data out) workflow ? Develop automatic generation of selected documents		R 89 000 R 250 000 R 2 000 000 R 250 000 R 1 000 000 R 500 000 R 500 000 R 500 000	Y	Y

S.O. 1.3 NETWORK BACKBONE AND INFRASTRUCTURE

No.	Action Steps	Output Standards	Resources	Q2	Q3
1	Business Continuity Plan and Disaster Recover Procedures	Clear and well documented procedures	2003/2004	Y	
2	Enhanced Network Security	0 hacking and less security holes	2003/2004	Y	
3	Manage the outsourcing process	Sound Networking Support and Less turnaround time	SLA	Y	
4	Maintain a balanced budget				
5	Work towards systems integration with the GPG	Integration - GSSC	Sound system Integration		
7	Maximise business software utilisation	Less helpdesk calls	Training		

S.O. 1.4 INTERNET AND FURTHER INTERNET DEVELOPMENT

No.	Action Steps	Output Standards	Resources	Q2	Q3
1	Development of Intranet/Extranet	Detailed Project Plans with milestones	Design Technician Web Site Task Team Budget		
2	Modification of Intranet/Extranet	No of hits			

S.O. 1.5 LEGISLATURE STRAT PLAN

No.	Action Steps	Output Standards	Resources	Q2	Q3
1	Phase 2 of GPL website		2002/2003		
2	GLIC improvement of response rate to clients		2003/2004	Y	Y
3	GLIC expansion of electronic products		2005/2006		
4	Hansard digital recording systems		2005/2006		Y
5	SAP Workflow		2003/2004		

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

TECHNOLOGY UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	
			2003/04	2004/05	2005/06		
Maximum System Availability	Uptime of Servers	%	99.75	99.75	99.75	Uptime of Servers	U A
Centralised DB System	Converting Institutional databases updated into SQL database	%	90%	100%	100%	Easy of use	C F
Easy Access & user friendly to network environment	Moving towards a Centralised Web /Portal access	%	90%	100%	100%	Easy of use And digital dashboard	C F
Network Security	Put together an SLA with identified Network Security Company	%	90%	99%	100%	0 hacking, less Security holes and proper security Policy in place	F a tl s

LIMS	Assist in development of LIMS	%	20%	50%	97%	Testing and phase write offs	A s
Audio Visual Facilities	Providing Audio Visual Facilities	%	50%	100%	100%	Up to date and working facilities	A tl S
Upgrade LAN Backbone	Fast and robust network Access	%	20%	50 %	100%	Seamless access at a reasonable speed	A tl S

19. SPECIFIC / GENERAL ASSUMPTIONS

Personnel & management

20. That the Legislature will continue with its existing IT strategy (last updated in February 2001).
21. That – for budgetary purposes – the existing contractor will continue to work on the same basis. He be required as LIMS development occurs (after the 2003/4 financial year).
22. That international exposure of the manager is an essential ingredient if the Legislature wishes to re technology.

Services

- 7.2.1. That the Legislature will retain its current Internet Service Provider, and that the link will con line.
- 7.2.2. That the Legislature will retain its 64KB Diginet link to the Cape Town office.
- 7.2.3. That remote access to the Legislature's network will be severely restricted, and will not exceec
- 7.2.4. That the Legislature will continue to pay for one dial-up ISP link for the Speaker, and 5 roaming

7.2.5. That there will be no video-conferencing used, even with the NCOP.

7.2.6. That the Legislature will not link into the GPG network.

Infrastructure

7.3.1. That the backbone must be upgraded to full fibre optic, with at least one switch per floor riser c

7.3.2. That the Legislature will retain just 2 domains on the network, one for SAP, one for the remain require its own domain for security purposes, this will not be created during the 2003-2004 fina

7.3.3. That services will have to be provided to the new office area.

7.3.4. That the Disaster Recovery Plan will require additional redundant (excess) equipment to be will be purchased as an emergency purchase – in which case total system replacement could l

7.3.5. That the Business Continuity Plan will not have a material effect on the existing IT system and is acceptable.

7.3.6. That the second server room will become available during the year, which will require some of

7.3.7. That during the course of the year, the IT contractor will be allocated a new office in the build be installed, as well as additional cabling.

Hardware

7.4.1. That computer hardware and software are not separable in budgetary terms, since a variety c wither hardware OR software (or a mix).

7.4.2. That future server disk storage will be based on the processor-driven external disk concept.

7.4.3. That PC's will be the primary work-tool for all users, and laptops will be limited to less than 10 will also be limited to less than 10.

7.4.4. That no wireless technology will be used in the City Hall complex.

7.4.5. That, where practical, Compaq technology will be retained for all servers and PC's, and H routers and 3-com switches will also be retained.

7.4.6. That printers will be assigned to secretaries only, with the exception of Committees and Hans will be provided specialist printers where essential.

7.4.7. That the planned replacement age of:
? Servers is to be 4 years

- ? PCs is to be 5 years
- ? Laptops is to be 4 years
- ? Printers is to be 4-7 years (depending on the type of printer)
- ? Scanners is to be 4 years

- 7.4.8. That one file server will be required to replace 5 4-year old servers.
- 7.4.9. That 6 new printers will be required to replace 26 4-7-year old printers.
- 7.4.10. That 50 new PC's will be required to replace 70 5-year old PC's.
- 7.4.11. That 1 laptop will be required to replace 4 4-year old laptops.
- 7.4.12. That 0 scanners will be required to replace 4 5-year old scanners.
- 7.4.13. That no PDA's will be purchased.
- 7.4.14. That additional consultancy required for the Selbourne Hall upgrade and the City Hall project projects.
- 7.4.15. That the Legislature will continue with its existing firewalls technology, and not increase the number of firewalls.
- 7.4.16. That the Legislature will maintain maintenance contracts on its servers, PC's and printers that

Software

- 7.5.1. That the Legislature will retain SAP as its sole ERP system, which will not be upgraded for additional software modules be purchased. The existing hardware remains adequate, and no new users will be added.
- 7.5.2. That the Legislature will begin the development of its Information Management System (LIMS) at an early development stage, and will not require additional hardware or software to be purchased. The development will be undertaken on the developer's platform.
- 7.5.3. That no upgrade from "new" Windows XP on desktops and Windows 2000 on the servers is planned.
- 7.5.4. That the Legislature will continue to use SQL server as its primary database platform.
- 7.5.5. That web security will be based on the use of VPN technology, and that firewall monitoring will be implemented.
- 7.5.6. That no other new software packages to be purchased.
- 7.5.7. That Altiris will be utilized to remote support.

-
- 7.5.8. That the following software packages will be upgraded (apart from contractual annual upgrades)
- ? Xpert system
 - ? MPL attendance register
 - ? Firewall monitoring
 - ? Internal security package
 - ? Altiris
 - ? ACDSsee

Help Desk & support

- 7.6.1. That a software package will be required to run the help desk for the unit as a whole.
- 7.6.2. That no support is provided to members or staff who use their own computers (desktop, laptop) and connect them to the network.
- 7.6.3. The internal Basis support person will resolve 80% of basis issues. The remainder must be handled by external support.
- 7.6.4. That IT security consultants will be required to handle new issues as they develop.

Selbourne Hall

- 7.7.1. That the majority of the work will be covered under the "Selbourne Hall project" – see below.
- 7.7.2. That two more video cameras need to be replaced (5 years old) with comparable models.

Auditorium

- 7.8.1. That no upgrades are planned for the Auditorium, other than to extend the front table with 2 chairs.

Committee Rooms

- 7.9.1. That no upgrades are planned for Committee Rooms A and B.
- 7.9.2. That Committee Room C will be upgraded as per the EUPSP-funded upgrade of Committee Rooms.
- 7.9.3. That the "commission" concept of committee meetings will not be implemented before the Auditorium.

Other Audio-video

- 7.10.1. That an audio system will be installed in Speaker's Boardroom.

-
- 7.10.2. That all technical systems for City Hall will form part of the City Hall project.
 - 7.10.3. That the existing two external PA systems will still be adequate for all the Legislature's needs.
 - 7.10.4. That no additional video projectors – nor any replacements – will be required.
 - 7.10.5. That any new audio systems will be based on an expansion of the Selbourne Hall digital Media
 - 7.10.6. That the Business Continuity Plan will rely on using a venue which already has the necessary
 - 7.10.7. That additional consultancy required for the Selbourne Hall upgrade and the City Hall project projects.

PABX

- 7.11.1. That no upgrade is required to the PABX hardware or software, other than to service the new c
- 7.11.2. That the MAC Manager software will need to be upgraded.
- 7.11.3. That the PABX will be under a full maintenance contract.
- 7.11.4. That there will be an increase in the replacement of handsets as they reach 8 years of age.

Selbourne Hall Project

- 7.12.1. That the first phase of this project will involve the replacement of the existing analogue audio that will also permit electronic voting. This will require a period of at least 6 weeks to complete November – January recess.
- 7.12.2. That the second phase will involve the erection of video screens and may involve the change replacing the furniture – especially the Table. If this is to be undertaken, the only opportunity from 1 April 2004 until mid June 2004 (which does not occur during a builder's holiday)
- 7.12.3. That due to the need to import the equipment from overseas, it will not be practical to co 2002/2003 summer recess.
- 7.12.4. That the first phase will be temporarily put on hold and re-activated in May 2003.
- 7.12.5. That the planning for the second phase will begin in January 2003, as there is much preliminar before the go-ahead can be given.
- 7.12.6. That the Legislature's technical contractor will need to dedicate 80 hours per month to the proje

7. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

	ACTIVITY / TASKS	RANK 1	RANK 2
?	Manage IT and Technical contract	1	
?	Manage introduction of new technologies	1	
?	Manage disaster recovery plan	1	
?	Provide services required by users	1	
?	Providing technical advice to new proposed business processes	1	
?	Provide a suitable platform	1	
?	Work on Implementation of Sound Business Continuity Plan	1	

9. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? 405201 – Consumables
- ? 405300 – Subscriptions
- ? 410103 – Selbourne Hall project (capex)
- ? 410104 – Equipment (capex)
- ? 410700 – LIMS project

? 460120 – Services

Centralised costs

- ? General Stationery
- ? Staff Training
- ? Telephone usage
- ? Furniture

HUMAN RESOURCES

Specific assumptions:

- ? Basis Support Technician...(currently vacant)
- ? Unit Secretary
- ? 1 Interns
- ? Help Desk Personnel

STAFF BUDGET

Specific assumptions:

- The Institution Continues with Outsourcing of IT Services
- The Institution Continues with Outsourcing of Technology Services
- No retrenchment
- Secretary post subject to approval by Secretariat
- Basis Support is in source

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Technology Manager	P7	0	0	1

Technology Assistant	P11	0	0	1
SAP Basis Support	P8	0	0	1
Help Desk Personnel		0	1	1
Intern		0	0	0
TOTAL		0	1	4

BUSINESS PLAN

SUB-PROGRAMME: DOCUMENT & SERVICES: 2003/4

20. KEY OBJECTIVES

- ? To support the function of the Legislature through a professional, effective and efficient su account on expenditure using reliable equipment/resources and information timeously to th

2. DECISION UNITS / KEY AREAS OF LEVERAGE

(AREAS OF ACTIVITY IN LINE WITH STRATEGIC OBJECTIVES AND STATEGIC PLANS)

- ? To provide document flow and management through registry and archiving services
- ? To provide photocopying and binding service
- ? To provide adhoc admin/messenger services by the Service officers.
- ? To provide tea and refreshments services
- ? Develop standards & procedures manual
- ? Capacity Building to enhance Directorate Business processes
- ? Electronic Document Management System (LIMS)

3. Optimal delivery in the following areas:

- ? Print room
 - ? Photocopying
 - ? Binding
 - ? Printing of Bills and Acts
 - ? Printing of hard cover quarterly reports
 - ? Replacements of toner cartridges
 - ? Attendance to jammed paper on printers and fax machines

- ? Service officers
 - ? Distributions of Committee and House documents
 - ? Photocopying of documentation
 - ? Messenger services
 - ? Adhoc admin duties
 - ? House keeping of committee rooms and the House

- ? Tea & Refreshments Service
 - ? Serving tea and refreshments in meetings, Sitting of the House and GPL offices and internal business meetings
 - ? 8 hour supply of chill water and hot water
 - ? Dish washing and tea supply to The Secretary's office, manager's and Director's offices
- ? Registry & Archiving
 - ? registry
 - ? recording
 - ? filing
 - ? indexing of documents
 - ? scanning
 - ? archiving / storage
- ? **Compliance with Statutory requirements of:**
 - ? National Archive Act
 - ? Legal Deposit Act

4. PROJECTS

- ? Electronic Document Management System (LIMS)
- ? Development of Standards and Procedure Manual
- ? Capacity Building to enhance Directorate Business processes

5. KSF TABLE (AS PRESENTED AT STRATEGIC PLANNING MEETING IN KOPANONG)

K.S.F. 5.1 DEVELOPMENT OF DOCUMENT MANAGEMENT SYSTEM

No.	Action	Output Standards	Resources	Q2	C
ALL OF THESE ACTIONS WILL PROBABLY BE STARTED IN THE 2002/2003 FY, SOME WILL CONTINUE INTO THE 2003/2004 FY.					
1	Develop Document Management System			Y	Y

	<ul style="list-style-type: none"> ? Work closely with LIMS project managers, developers, etc Capacity Building to enhance Directorate Business processes ? Study visits to other Legislatures to see their document management processes ? Specific training on “document management” management 	BRS Report Project Implementat ion Plan	Competency profiles Existing contractors Consultants Workshops Other		
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K.S.F. 5. 2 DEVELOPMENT OF STANDARDS AND PROCEDURE MANA

No.	Action Steps	Output Standards	Resources	Q2
2.	<u>Possible phases</u> <ul style="list-style-type: none"> ? Development of project implementation plan ? Unit discussions ? Development of standards 	Vision Statement and Core values	Users Workshops Other Legislature's/ organisations procedures & manuals	Y

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

FINANCE UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Refreshment Services	Provide refreshments for every meeting appearing on Order Paper	Time	75%	85%	95%	Standards and Procedure Manual	Refreshment Logbook
Print Room Services	Every document for printing is done on time and accordingly.	Time	75%	80%	95%	Standards and Procedure Manual	Print Room Logbook
Registry Services	Every request for document is met	Time Accuracy	75%	80%	95%	Standards and Procedure Manual	Registry Logbook
Service officers Supported meetings	There is one Service officer attending each meeting on Order Paper and 4 officers at each Sitting of the House.	Time	75%	80%	95%	Standards and Procedure Manual	Service Officer's Logbook
Develop standards & procedures manuals	Adherence to Vision statement and core values	Time Accuracy	Completed	Revised Annually	Revised Annually	Manual	
Capacity Building to enhance Directorate Business processes	Implementation Plan	Number of study training	75%	85%	95%	Reports	Project undertaken

Adherence to National Archive Act	Complete and updated indexes on official records	Time	Annually	Annually	Annually	National Archive regulations	Annual report
Adherence to Legal Deposit Act	A list of deposited records	Time	Quarterly	Quarterly	Quarterly	Legal Deposit Act regulations	Quarterly report
Electronic Document Management System (LIMS)	Project Implementation Plan	Development of detailed spec and proof of concept	Completed	0	0	Business Requirement Specification	Document Management Solution

7. GENERAL ASSUMPTIONS

- 7.1.1. Inflation rate is 8%
- 7.1.2. Telephone cost is centralized in Administration
- 7.1.3. Stationery costs is centralized in Administration
- 7.1.4. IT services is centralized in IT & Technology Unit
- 7.1.5. Personnel budget is located in the Management budget of ISS
- 7.1.6. Staff training budget is located in Human Resources budget
- 7.1.7. All Finance staff need training
- 7.1.8. Consultants to assist on projects
- 7.1.9. No changes in Programme and Sub-Programme structure

Print Room

- 7.2.1. That the planned replacement age of:
 - ? Photocopiers is to be 5 years
 - ? Fax machines is to be 5 years
 - ? Binding equipment is to be 5 years
- 7.2.2. That fax-mail will be the primary method of faxing, and stand-alone fax machines will be only supplied to the mail room, The Secretary, Speaker, Deputy Speaker and each of the political parties.
- 7.2.3. That the Legislature will continue to purchase copiers, not rent them.
- 7.2.4. That the volume of colour printing will not increase.
- 7.2.5. That the capacity of the existing two copiers will suffice in the Print Room.
- 7.2.6. That there will remain just 2 photocopiers provided for each floor, with one additional one to be purchased for the fifth floor (which currently does not have one) and for the new office area.

Legislature Information Management system

- 7.3.1. That the Legislature will begin the development of its Information Management System, and that the design of the project will be managed by the Documents & Services unit (collating input from the users), before transfer to Technology unit for implementation of the approved design into a working system.
- 7.3.2. The design phase will require the usage of external contractors on an extensive basis, initially for the design, and then the development of the system.

Legislative Registry

- 7.4.1. That the registry unit will continue to operate in its existing manner.

Refreshment Service

- 7.5.1. That apart from official meetings (on the Order Paper), there will be 165 other meetings requiring refreshments
- 7.5.2. That the same service offered currently will continue – with assorted biscuits being provided at the majority of committee meetings, and occasionally scones or other food.
- 7.5.3. That tea/coffee will be available to staff in their floor kitchens as and when required.
- 7.5.4. That no service will be provided to the political parties, nor will tea/coffee or biscuits be supplied.
- 7.5.5. That the operation of the new ground floor coffee bar facility will not be the responsibility of this unit.

Service Officers

- 7.6.1. That the unit will require six service officers.

23. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

	ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
?	Provision of support services in the following services: Catering & Refreshments Service officers Registry & archiving and Print room,	1		
?	Development of Standards and Procedure Manual	1		
?	Capacity Building to enhance Directorate Business processes	1		
?	Adherence to National Archive Act	1		
?	Adherence to Legal Deposit Act	1		
?	Electronic Document Management System (LIMS)	1		

24. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? 405202 – Consumables
- ? 410200 – Print room purchases
- ? 460070 – Equipment (Capex)
- ? 470100 – Refreshments

Centralised costs

- ? General Stationery
- ? Official Gifts
- ? Postage
- ? Staff training
- ? Telephone usage

10. STAFF BUDGET

Specific assumptions:

- That the Service Officer is acquired subject to approval by Secretariat
- That the Catering Assistant is acquired subject to approval by Secretariat
- That there will be a job evaluation/grading of the service officer's position subject to approval by Secretariat
- That there will be a job evaluation/grading of the manager's position subject to approval by Secretariat

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Document & Services Manager	P8	0	0	1
Registry clerk supervisor	P12	0	0	1
Registry clerk	P14	0	0	1
Photocopy operator	P14	0	0	2
Service officer	P15	0	1	6
Catering assistant	P16	0	1	3
TOTAL		0	2	14

BUSINESS PLAN
SUB-PROGRAMME : Building Management
YEAR : 2003/4

21. KEY LEGISLATIVE OBJECTIVES

To provide the Legislature, its members and staff with the physical infrastructure required to perform their operations, and to maintain the infrastructure effectively. Providing a well maintained welcoming atmosphere in the building for members, staff and visitors

These Services Also to manage, develop and operate the City Hall complex.

22. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Management of building rental / lease / ownership
- ? Management of building services.
- ? Satisfy the client's needs within their budget
- ? Maintenance of building fabric and surfaces
- ? Maintenance of building fixtures and fittings and insist on efficiency & quality of workmanship
- ? Upgrade / refurbishment of offices / venues
- ? Management of the Precinct

3. OPTIMAL DELIVERY IN THE FOLLOWING AREAS:

- ✍ Maintenance of parking areas and general maintenance of buildings.
- ✍ Maintenance planning--i.e., the analysis of interior space needs and allocation.
- ✍ Keep up to date documentation on site planning and the architectural graphics (signs), as well as the interior details.
- ✍ Making sure there's proper waste management (emission control) are in place.
- ✍ Work towards the development and rehabilitation of City Hall complex
- ✍ Refurbishment of existing facilities.
- ✍ Preparations for the office moves required as a result of the elections in 2004

4. PROJECTS

- ✍ Rehabilitation of the west wing of the City Hall complex.
- ✍ Preparations for the office moves required as a result of the elections in 2004.

OPERATIONS SUPPORT UNIT STRATEGIC OBJECTIVES 2003
S.O.1: REHABILITATION OF THE WEST WING OF THE CITY HALL COM

No.	Action	Output Standards	Resources	Q2	C
1.1	Submit detailed rehabilitation plan for approval	Comprehensive specifications, drawings, and legal documents in sufficient detail to seek competitive tender prices.	Consultants		50%
1.2.	Appoint architect and professional team	Terms of Reference and Tender Process	Approval by Secretariat and Procurement Process	50%	50%
1.3	Secure builders / service through procurement process	Tender Adjudication Process and appointment of Consultant	Signing on the Contract		
1.4	Roll-out the rehabilitation project as planned	Rehabilitation project rolled out as planned Quarterly progress report submitted	2004/2005		

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

BUILDING MANAGEMENT UNIT - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source of Data
			2003/04	2004/05	2005/06		
Building runs smoothly	Routine maintenance performed Service contracts exist Repairs effected timeously	Response times					
East wing of building meets legal and safety codes	Additions and changes to structures, facilities, signage, etc	% complete	95%	100%	100%	Meets all building regs, except where exempted due to nature of building (SAHRA)	Certificates
East wing of building meets legal and safety codes	Additions and changes to structures, facilities, signage, etc	% complete	5%	100% (construction phase)	100% (construction phase)	Meets all building regs, except where exempted due to nature of building (SAHRA)	Certificates
City Hall becomes the "Centre of the City"							

7. GENERAL ASSUMPTIONS

Management

- 7.1.1. That a manager is required to run the City Hall complex, the precincts and additional office building.
- 7.1.2. That – for budgetary purposes – the staff comprises:
- ? one manager
 - ? one maintenance supervisor
 - ? two painters
 - ? one electrician / plumber
 - ? two general assistants, at least one of whom must be able to carpet.
- 7.1.3. That for the period of the City Hall project (assumed to be 2003 to 2006) a project manager to run the day to day aspects of the City Hall rehabilitation, Selbourne Hall project & new office extension will be required.

Office moves

- 7.1.4. That a significant office re-allocation process will take place during the election period in April 2004, caused by the expected change in membership of the Legislature.
- 7.1.5. That the largest party will use the old Educare centre (4th floor) for their caucus room. All other parties will use a single or double office.
- 7.1.6. That the political parties will remain on the upper floors of the Legislature (fifth, fourth and third). Key Office Bearers will remain on the first floor.
- 7.1.7. That additional offices will be required outside the City Hall building to permit the various building work required during the financial year (prior to the elections), and which will also be required in the long-term. This will be covered under the New Offices project.
- 7.1.8. That the Rissik Street Post Office will be developed by the Central Johannesburg Partnership (CJP) into office space, which will only be available for commercial rent before 2005.
- 7.1.9. That the selected office space will be immediately adjacent to the Legislature on Market Street. At this stage it is not necessary to identify the unit(s), but up to 20 people may be required to have moved to these offices by October 2003.

- 7.1.10. That an architect will be required to set up the new offices, which will require a considerable amount of services to be installed

Maintenance programs

- 7.2.1. That the Legislature wing of the complex will comply with all building and safety laws and regulations.
- 7.2.2. That the City Hall wing of the complex will work towards compliance with the most important building and safety laws and regulations, but that no major expenditure will occur until the rehabilitation project is undertaken.
- 7.2.3. That all major plant be maintained under contract.
- 7.2.4. That the concept of “continuous” office, venue & corridor painting will be used – even though this concept has not yet been proven as totally viable. The intention will be to carry this out when the incumbent is on leave. It appears that a 7- year cycle is required.
- 7.2.5. That the concept of “continuous” – but recess-restricted – office carpeting will be used – even though no office carpets have yet been replaced. It appears that a 10-year cycle is required.
- 7.2.6. That repainting and recarpetting of corridors and other public space will be undertaken every 5 to 7 years, during recesses.
- 7.2.7. That the existing usage of consumables will continue as in the past, but with a higher utilization of paint (due to the employment of 2 painters.

Building work

- 7.3.1. That the City Hall complex is structurally predictable (optimistic !)
- 7.3.2. That the Business Continuity Plan will not require up-front expenditure (other than planning costs).

Signage

- 7.4.1. That no signage in Braille will be provided (other than in the revamp of the lifts).
- 7.4.2. That, where international signage does not exist, all signage will be in English.

Services

- 7.5.1. That the rates, refuse removal, sewerage, electricity, water and gas accounts are in line with expectations (no accurate data available from the landlord).

New offices

- 7.6.1. That the Rissik Street Post Office will be developed by the Central Johannesburg Partnership (CJP) into office space, which will only be available for commercial rent before 2005. This is the preferred long-term location for offices.
- 7.6.2. That an alternative to Rissik Street might be the construction of additional offices above Committee Room A and the kitchens / canteen. However, the structural viability of this is in doubt, and can only be considered when the overall architectural design is completed.

- 7.6.3. That an alternative temporary set of offices needs to be identified.
- 7.6.4. That the selected office space will be immediately adjacent to the Legislature on Market Street. At this stage it is not necessary to identify the unit(s), but up to 20 people may be required to have moved to these offices by October 2003.
- 7.6.5. That an architect will be required to set up the new offices, which will require a considerable amount of building work (portioning, etc) to be completed.
- 7.6.6. That the services to be installed will include:
- ? normal power
 - ? UPS power
 - ? secure network connectivity
 - ? MATV distribution
 - ? Bells / evacuation
 - ? Smoke detection linked to the BMS
 - ? Security
 - ? Photocopier
 - ? Fax facilities
 - ? Telephones
 - ? Cleaning (Admin)
 - ? Hygiene (Admin)
 - ? Plants (Admin)
 - ? Additional furniture (Admin)

Building Management– West Wing & Precincts

- 7.6.7. That the bookings & venue management (currently carried out by existing City Hall staff) will be contracted out to Propcom.
- 7.6.8. That the building maintenance for the Legislature, City Hall, Harry Hofmeyer & Library basement will be handled by existing Building Management unit, utilizing a single outsourced contractor appointed on a time & materials basis on an annual contract.
- 7.6.9. That the parking management for upper level of Harry Hofmeyer will continue under the existing contract with EasiPark (no change).
- 7.6.10. That the parking management for lower level of Harry Hofmeyer will continue under the control of the Legislature on the same basis as with the existing contractor (no change in scope).
- 7.6.11. That the security management for City Hall will continue under the control of the Legislature on the same basis as with the existing contractor, although an increase in the contract will be required.
- 7.6.12. That the security management for the precinct will continue under the control of the Legislature on the same basis as with the existing contractor, although a significant increase in the contract will be required.
- 7.6.13. That the precinct garden services will be contracted out, under the management of the Building Services unit.

7.6.14. That the management of the public toilets will be by the Administration unit, although the precinct security will provide the personnel used to monitor and keep the area clean.

7.6.15. That the contract management for the whole complex (rates, electricity, maintenance contracts for lifts, air-conditioning, etc) will be handled by the Building Management unit.

City Hall – Preparatory Project

7.6.1. That all the expenditure relating to the preparatory project will be budgetted for in the Legislature's budget.

7.6.2. That the only work required is:

- ? The installation of a fire alarm system
- ? The installation of a smoke detection system linked to the Legislature's existing Building Management System
- ? The installation of some basic security system / monitoring equipment
- ? The rectification of some dangerous electrical systems.

7.6.3. That the preparatory project process will be as follows:

- ? 1 Jul 2002 - Preliminary report
- ? 1 Oct 2002 – Detailed reports
- ? 1 Jan 2002 – Recommendations implemented

City Hall – Ancillary Projects

7.7.1. That all the expenditure relating to the purchase and rehabilitation of the building must be budgetted for in the Legislature's budget.

7.7.2. That the identified projects are:

- ? Rehabilitate the offices in the NW wing of City Hall
- ? Rehabilitate the Educare centre
- ? Upgrade the lifts
- ? Upgrade the courtyards
- ? Rehabilitate the external public toilets
- ? Rehabilitate the drainage & plant in Harry Hofmeyer
- ? Upgrade the precincts.

7.7.2. That the rehabilitation of the NW wing of City Hall will comprise the creation of about 8 offices on the 4th floor, while the area below it on the 3rd floor will probably be used as storage space for the City Hall component.

7.7.3. That the NW wing project will be run as part of the main rehabilitation project, so the offices will not be available in time for the additional members starting after the elections. The project will be initiated in Jan 2004, so will not incur significant expense in the 2003/2004 financial year, and will only be ready in January 2005 (one year after design starts).

7.7.4. That the Educare centre will be converted into a proper caucus room for the ANC, while their existing caucus room will be converted into 5 offices.

7.7.5. That, in order to be completed by 1 June 2004, the project must be initiated no later than 1 Aug 2003.

- 7.7.6. That the upgrade of the lifts (which was originally planned for two years ago, but not carried out due to lack of funds) will involve the relining of the shaft, replacement of the motor and control gear, and the refurbishment of the lift interior.
- 7.7.7. That the upgrade of the lifts will be initiated in January 2003, and will result in one lift being out of action at a time, starting in Jul 2003, and continuing until March 2004.
- 7.7.8. That the upgrade of the courtyards will comprise the placing of a (Perspex) roof over the whole area (to keep pigeons, etc out), and then repairing the inner plaster work of the walls, repainting them with murals, and providing proper interior flooring. In the case of the SE courtyard, an entrance will also be created.
- 7.7.9. That the courtyard project will be run as part of the main rehabilitation of the City Hall, into which it will integrate in the repair / replacement of the roof of the building. Hence it will start in Jan 2004, and be completed in May 2005. It will not incur any significant expenses in the 2003-2004 financial year.
- 7.7.10. That the rehabilitation of the external public toilets is an urgent an important project to provide the centre of the city with decent public toilets that are open 24 hours per da
- 7.7.11. That the external public toilets will start as soon as practical after certain key management decisions as to the running of the whole project have been taken. It is expected this will be in January 2003, with work being completed in October 2003.
- 7.7.12. That the rehabilitation of Harry Hofmeyer is an urgent project as the drainage situation is severely compromising the book store on the third level, and one plant room which runs two of the extractor fans and all the library's emergency power is in a very run down situation.
- 7.7.13. That work on this will also start in January 2003, with completion in October 2003 (depending on the nature of the work required).
- 7.7.14. That the upgrade of the precincts will not be carried out by the Legislature, but will rather be carried out by the GPG as part of their government precinct project.

City Hall – Rehabilitation Project

- 7.8.1. That all the expenditure relating to the purchase and rehabilitation of the building will be budgetted for in the Legislature's budget.
- 7.8.2. That the Legislature is require to pay R5.0 million fir the second tranche of the purchase price.
- 7.8.3. That the City Hall rehabilitation process will be as follows:
 - ? 1 Jul 2002 – purchase of complex
 - ? 1 Sep 2002 – transfer of the complex to the Legislature
 - ? 1 Dec 2002 – decision as to process for rehabilitation of building
 - ? 1 Mar 2003 – appointment of Architect & Professional Team
 - ? 1 Jul 2003 – first draft of rehabilitation plan produced
 - ? 1 Feb 2004 – approval of final rehabilitation plan
 - ? 1 Mar 2004 – issue of building tenders
 - ? 1 Jul 2004 – closure of City Hall
 - ? 1 Jul 2004 – start of rehabilitation project
 - ? 1 Jul 2005 – earliest possible completion date (interior)

- ? 1 Jul 2006 – anticipated completion date (interior)
- ? 1 Jul 2006 – anticipated completion date (exterior)

7.8.4. That the development of the precinct will be carried out as part of the GPG Government Precinct project, and will not be budgetted for by the Legislature.

8. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

ACTIVITY / TASKS	RANK 1	RANK 2	RANK 3
? Manage building lease / ownership	1		
? Manage air-conditioning contractor	1		
? Manage lifts contractor	1		
? Manage power systems and distribution	1		
? Manage water systems and distribution	1		
? Manage sewerage systems and distribution	1		
? Manage building fabric	1		
? Manage building surfaces & finishes	1		
? Manage building fixtures and fittings	1		
? Manage responses to requests		2	
? Manage stores & stock	1		
? Maintain, repair and rehabilitate furniture		2	
? Move furniture and other office equipment		2	
? Other jobs on an ad-hoc basis			3

9. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? **405200** – Consumables
- ? **410106** – City Hall rehabilitation
- ? **410300** – City Hall operations
- ? **460010** – Services
- ? **474250** – Property expenses

Centralised costs

- ? General Stationery
- ? Insurance
- ? Staff training
- ? Telephone usage
- ? Furniture

6. STAFF BUDGET

Specific assumptions:

- The management of the west wing of the City Hall is outsourced, and run by the Building Manager. This management to include all bookings, financial management, venue arrangements, maintenance, repairs, cleaning, etc of west wing and all Harry Hofmeyer operations.
- That the two wings are run as independent functions, with minimal synergy
- Unit secretarial function provided by the “secretary pool” in the management unit

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Building Manager	P9	0	1	1
Maintenance Supervisor	P11	0	0	1
Maintenance Assistant	P15	1	0	0
Senior Maintenance Assistant	P14	0	1	1
Contract Maintenance Assistants	P15	0	0	4
TOTAL		1	2	7

BUSINESS PLAN
SUB-PROGRAMME : Security
YEAR : 2003/4

23. OBJECTIVES

To minimize the risks facing the Legislature in terms of physical, personal and information security, as well as to ensure that the Legislature is a safe and healthy place to work.

24. DECISION UNITS / KEY AREAS OF LEVERAGE

- ? Risk Management
- ? Management of physical security (including vandalism, terrorism, criminal activities, etc)
- ? Management of information security
- ? Management of safety
- ? Management of health
- ? Co-ordination of security with external entities

25. Optimal delivery in the following areas:

- ? Minimizing theft
- ? Minimizing fraud
- ? Minimizing personal injury
- ? Maximizing employee health

26. PROJECTS

- ? Maintaining security is not a static process– but requires regular and detailed updating and upgrading. However, no specific project is anticipated– other than the completion of the security access control project, which is assumed to have been started by mid 2002

5. STRATEGIC OBJECTIVE 2 : Security Operational project

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2
1	? Draft the Security Operational plan	? Security Operational plan in place	? To be completed in 2002/3		
2	? Submit Security Operational plan to all relevant structures for approval	? Security Operational plan approved by all structures	? To be completed in 2002/3		
3	? Appoint Security manager / operational team	? Security Manager & operational team appointed	? To be completed in 2002/3		
4	? Develop Security Unit: - Strategic Goals and plans - Detailed operational plans - Terms of Reference for tendering purposes	? Approved Strategic goals / plans ? Approved operational plans ? Approved Terms of Reference	? To be completed in 2002/3		
5	? Secure service providers through	? Contracts signed with appointed service providers	? To be completed in 2002/3		

NO	ACTION STEPS	OUTPUT STANDARDS	RESOURCES	Q1	Q2
	procurement process				
6	? Roll out approved plans as stated in Step 4 above.	? Approved plans implemented	? To be completed in 2002/3		
7	? Manage, monitor and evaluate the implementation process	? Evaluation reports drafted and submitted on quarterly basis	?	Ongoing	Ongoing

6. SUB-PROGRAMME DESCRIPTION AND KEY OUTPUTS

SECURITY					
Outcome	Description of Outputs	Unit of Measure	TARGET		
			2003/04	2004/05	2005/06
No thefts	Effective access control is maintained into the building	Number of major thefts	0	0	0
	The Precinct is patrolled 24-hours per day	Number of minor thefts	12	9	6
No assaults	Effective access control is maintained into the building	Number of assaults	0	0	0
	The Precinct is patrolled 24-hours per day				
No safety incidents		Number of reportable injuries	0	0	0

OS Management - KEY OUTPUTS AND SERVICE DELIVERY TRENDS							
Outcome	Description of Outputs	Unit of Measure	TARGET			Standard	Source Data
			2003/04	2004/05	2005/06		
No thefts	Effective access control is maintained into the building	Number of major thefts	0	0	0	No incidents reported to the SAPS	Incident documents
	The Precinct is patrolled 24-hours per day	Number of minor thefts	12	9	6		
No assaults	Effective access control is maintained into the building	Number of assaults	0	0	0	No incidents reported to the SAPS	Incident documents
	The Precinct is patrolled 24-hours per day						
No safety incidents	Safety programs	Number of reportable injuries	0	0	0	No incidents reported to Inspectorate	Incident documents

7. GENERAL ASSUMPTIONS

Security – general

- 7.1.1. That the Legislature will continue to plan on the basis of it having a low security risk profile – even though the NIA perceives that the risk is high.
- 7.1.2. That the security environment does not change significantly in terms of terrorism or criminal activity.
- 7.1.3. That there will be no major security disaster.
- 7.1.4. That there will be no major security incidents.
- 7.1.5. That there will be no new Speaker who requires additional security to be installed at their private residence.
- 7.1.6. That the policy relating to security at private residences will not be extended to anyone other than the Speaker.

Security – new system

- 7.2.1. That the new security system will be operational with effect from xxx
- 7.2.2. That a full maintenance contract is required on all equipment and systems.
- 7.2.3. That no enhancements / modifications are required to the newly installed system, although operational procedures will need to be developed and refined.

Security – Internal & access control

- 7.3.1. That the “new” security personnel contractor will start with effect from xxx, at the revised personnel complement.
- 7.3.2. That the staffing levels of the internal contractor will be in line with those used in Parliament – at a level to ensure an effective service.
- 7.3.3. That the internal security will be provided with their own change rooms inside the east wing.
- 7.3.4. That the internal security contractor will be provided with one large office (with monitoring equipment).
- 7.3.5. That the internal security contractor will be provided with a PC at the entrance, exit and tunnel access points, as well as one in the office.
- 7.3.6. That the internal security contractor will be provided with a telephone at the entrance, exit and tunnel access points, as well as two in the office.

Security – SAPS

- 7.4.1. That there will be an SAPS contingent located on site – of no more than 10 people at one time
- 7.4.2. That only SAPS personnel will be armed.
- 7.4.3. That the SAPS will be accommodated in the previous Citizen's Advice Bureau offices, which will be independent of the Legislature offices.
- 7.4.4. That the SAPS will be provided with one PC connected to the Legislature's network.
- 7.4.5. That the SAPS will be provided with two telephones.
- 7.4.6. That the Legislature will not be liable for any personnel or related costs from the SAPS.
- 7.4.7. That the SAPS will be allowed to use the toilet facilities on the upper level of Harry Hofmeyer – in addition to the public toilets.

Security – City Hall

- 7.5.1. That during the working day, City Hall will have two outsourced receptionists.
- 7.5.2. That after hours, the Legislature's existing patrols will cover City Hall – without additional manpower.
- 7.5.3. That additional security will be required for all functions or events held at City Hall – to be funded from the booking fees (i.e. off-budget).

Security – Precinct

- 7.6.1. That precinct security will remain at the current level of service – to be expanded with the take-over of the precinct. It is expected to be:
 - EXISTING
 - ? one at the entrance to Harry Hofmeyer, who must also allow visitors down to the lower level of parking
 - ? one at the exit to Harry Hofmeyer
 - ? two in the lower level of Harry Hofmeyer to patrol, direct visitors where to park and escort visitors out from the lower level to the upper level
 - ? four to patrol the block around the Legislature – basically one on each corner.
 - ? two to clean the streets and pavements around the Legislature
 - ? one supervisor, who also acts as reliever
 - NEW
 - ? two cleaners to clean both the Cenotaph and Beyers Naude parks
 - ? four patrollers, one pair to patrol the Cenotaph and one pair to patrol the Beyers Naude park
 - ? two attendants to operate the public toilets (see below)
 - ? one additional reliever
- 7.6.2. That the cleaners will be on duty from 07:00 until 16:00 weekdays, and 07:00 until 12:00 on Saturdays.

- 7.6.3. That the security will be on duty from 06:00 until 22:00 every day.
- 7.6.4. That the precinct security will be provided with one PC connected to the Legislature's network, at the entrance to Harry Hofmeyer.
- 7.6.5. That the precinct security will be provided with two telephones, one at the entrance and one at the exit to Harry Hofmeyer.
- 7.6.6. That the precinct security will be provided with a proper guardhouse at the entrance and exit to Harry Hofmeyer, which is secure.
- 7.6.7. That the precinct security will be provided with two change rooms in the lower level of the Harry Hofmeyer garage.
- 7.6.8. That the precinct security will be provided with toilets in the upper level of the Harry Hofmeyer garage – in addition to the public toilets.
- 7.6.9. That the precinct security should be encouraged to become trained up to a level that they are “junior” police officers able to ticket traffic or other minor offences. If there are costs to this, these won't have been budgetted for.

Security – Public Toilets

- 7.7.1. That the public toilets will be provided with two full-time (24 hours per day, 7 days per week) attendants. They will work as a team with the precinct security (as part of the same contract).
- 7.7.2. That these two attendants will also be responsible for keeping the toilets clean, avoiding vandalism or theft of consumables.
- 7.7.3. That the toilets will be thoroughly cleaned and hygiene serviced daily by a separate contractor (under the Admin budget).
- 7.7.4. That the handling of the homeless will be carried out in a practical yet realistic manner, than does not incur costs to the Legislature.

Security – Gym

- 7.8.1. That the Gym trainer will be paid directly by the Legislature.
- 7.8.2. That the Gym fees will cover 50% of the trainer's fees.
- 7.8.3. That all security personnel (internal, Precinct & SAPS) will be permitted to use the gym –when not on duty – at nominal charge (R10) at most.
- 7.8.4. That 10% of the equipment will need to be replaced this year (3 years old).
- 7.8.5. That in the 2003-4 financial year, 50% of the equipment will need to be replaced (4 years old).

Security – First Aid Centre

- 7.9.1. That the current equipment that has been ordered will be sufficient, and will not need replacing during the course of the year.

7.9.2. Various drugs and other consumable items will need to be replaced as they reach their expiry date.

1. ACTIVITIES / TASKS

Rank of activities

- 1 - Extremely important
- 2 - Average importance
- 3 - Not important

	ACTIVITY / TASKS	RANK 1	RANK 2	RANK
?	Manage external access control	1		
?	Manage internal access control	1		
?	Manage precinct security	1		
?	Manage the safety function	1		
?	Manage the gym		2	

2. ORGANIZE ACTIVITIES INTO ASSOCIATED COST CODES

- ? **403000** – Consumables
- ? **410100** – Equipment
- ? **460020** – Services
- ? **460090** – Repairs

Centralised costs

- ? General stationery
- ? Staff bursaries
- ? Staff training
- ? Telephone usage

6. STAFF BUDGET

Specific assumptions:

- Secretarial function provided by the “secretary pool” in the directorate

CURRENT POSITION	GRADE	POSITION REDUNDANT	NEW POSITION REQUIRED	POSITION BUDGETED
Security Manager	P8	0	0	1
Safety Officer	P10	0	0	1
TOTAL		0	0	2

GPL Strategy Review and Evaluation Report

Part D: Background Information

Part D

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REPORT ON FINANCIAL MANAGEMENT SYSTEMS

ERP SYSTEM - SAP

The new integrated financial system was implemented with effect from the 2001/2 financial year. Procedures and processes were aligned to best practice and in terms of delegated and functional authority. Summarised below is the operational framework of the SAP system around specific activities:

Expenditure Management: The expenditure cycle on the system comprises all activities involved in the acquisition of capital and non capital goods and services and the ultimate payment of goods and services. The system allows for the systematic approval of purchase requisitions, which is known as the release strategy. Through its use, purchase requisitions are required to be released only by persons with appropriate delegation of authority. As expansion of requisitions, purchase orders and cheque payments are linked to budget availability; releases will only be permitted in the event of sufficient budget. The system ensures that no procurement takes place if it is in excess of allocated budget. The Accounts payable

Accounts Payable Management: The system allows for the maintenance and management of all suppliers of goods and services to the Legislature and performs an integral role in the acquisition function of the Legislature. The objective is to ensure that all expenditure made by the Legislature is recorded validly, accurately and completely. The primary purpose of the accounts payable function is to ensure that expenditure remains within budget and that control and authorisation procedures are properly adhered to.

Bank and Cash Management: The system allows for the automatic bank reconciliation on a daily basis. This allows for immediate identification of any irregularities

Human Resources and Payroll Management: The system allows for the maintenance and management of personnel data and payment for all Members and employees of the Legislature. The objective is to ensure that all personnel functions of the Legislature are recorded validly, accurately and completely. Only persons with delegated authority may enter information on existing, new or exiting staff. To this end, segregation of duties has been implemented on the system in terms of employee maintenance and payment by human resources and finance respectively.

Commitment Register and Reporting: Programme and Sub-programme managers have better access to information, enhanced reporting capabilities, greater monitoring of and control over expenditure. The commitment register that remains one of the shortcomings in government expenditure controls in general has been fully implemented. This provides Programme and Sub programme Managers with on-line information on outstanding purchase requisitions, purchase orders and payments made to date. This also supports planning and projections.

Transitional problems have however been experienced both in terms of access and operational controls. These are continuously addressed through the Computer Audit Committee and also through weekly meetings with SAP dedicated public sector representatives, which continues to prove very effective.

In terms of the future, the system has further capabilities of both accrual and cash accounting. This is in line with the Public Finance and Management Act and provides the groundwork for easy transition from cash accounting basis to accrual accounting. SAP complements systems and processes to ensure the efficient and effective management of revenue, expenditure, assets and liabilities. As a medium term objective, the system will also be used to compile the Legislature's budget, prepare the Medium Term Expenditure Framework budget and reporting schedules.

At this juncture it is evident that the system is not optimally utilised. However, daily operational activities provide added experience. Further, intensive training programme has been scheduled for selected uses.

INTERNAL AUDIT FUNCTION

The internal audit function was not fully operational during the financial year. The uncertainty of shared services to fulfil this function also contributed to the delay. The internal Audit function will form part of the monitoring component of an internal control framework and will constitute an independent appraisal of internal control within the Legislature. It is expected that this service will make provision of specialist services such as computer audit, forensic audit and performance audit.

Internal Audit services have recently been acquired through Deloitte & Touche, who will serve the Legislature in that capacity for two years. The unit is seen as a management tool that will assist management in carrying out its responsibilities effectively by providing analyses, appraisals, recommendations and advice concerning activities under review. The unit is required to act in accordance with an approved strategic internal audit plan based on its assessment of key risk areas at the Legislature. It is also required to report quarterly to the audit committee, detailing its performance against the audit plan.

APPOINTMENT OF CHIEF FINANCIAL OFFICER (CFO)

During the financial year, the Finance Manager was appointed as Chief Financial Officer to the Legislature. This resulted in an integration of the two functions with additional responsibilities assigned to the Finance Manager. Clarity as regards to the organisational placement of the CFO still needs to be addressed. Due to the complexity and diversity of the accounting officer's responsibilities, he must rely on sound financial advice to ensure value for money in the delivery of services to the public. Almost all decisions have financial implications and it is therefore of paramount importance that sound financial decisions be taken in this regard. The CFO is also required to provide the required assistance to the accounting officer in discharging the duties under Part 2 of Chapter 5 of the PFMA.

FRAUD PREVENTION STRATEGY

In June 2001, terms of reference for the establishment of the Operational Committee were drawn up which gave effect to the establishment of the Fraud Prevention Plan and the FPP Operational Committee. The committee is chaired by the Chief Financial Officer to steer and take responsibility for the Fraud Prevention Plan and further ensure effective project management of its implementation and maintenance. The Legislature is well in line to the full implementation of the fraud prevention plan as contemplated by the PFMA and much progress realised on the implementation strategy. The establishment of the fraud prevention plan makes provision for the management of fraud through cost-effective use of the control environment, information systems and control procedures, and to promote an ethical culture within the Legislature.

MONTHLY EXPENDITURE AND PROJECTION REPORTS

The timing of monthly reports is important since it provides management with an 'early warning' of deviations from planned results and targets. Within 15 days of the end of each month, information on the following was submitted to Management as well the treasury:

- ? The actual expenditure for that month;
- ? Projections of anticipated expenditure for the remainder of the current financial year; and
- ? Any material variances and a summary of actions to ensure that the projected expenditure and revenue remain within budget.

PERFORMANCE MANAGEMENT POLICY DOCUMENT

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All enquiries should be addressed to:

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Johannesburg
2000

1. PURPOSE OF THE POLICY DOCUMENT

The purpose of the Performance Management Policy Document aims to provide guidelines, standards and uniformity on the implementation, monitoring and control of the Performance Management System within the Directorates and their Units of Gauteng Legislature.

2. MANDATORY REQUIREMENTS AND TIME FRAMES

2.1 The executing authority (accounting officer) must ensure that the implementation of the Performance Management System within a specific Unit and Directorate within Gauteng Provincial Legislature will be aligned with the applicable sections of the following Acts:

- a) Basic Conditions of the Employment Act of 1997
- b) Employment Equity Act of 1998
- c) Labour Relations Act of 1995
- d) Skills Development Act of 1999 and other parts of relevant legislation

2.2 Performance Management within Units and Directorates of Gauteng Provincial Legislature must also be aligned with the other Human Resources Systems and processes such as:

- a) Staffing Practices
- b) Training and Development
- c) Labour Relations Practices
- d) Disciplinary and Grievance Procedures
- e) Remuneration and Incentive Systems
- f) Career Pathing and Succession Planning
- g) Organisational Culture
- h) Other Gauteng Provincial Legislature Policies

2.3 Performance Management will be implemented as from 1 April 2000.

2.4 Progress Reviews will be done each year during the following months:

Progress Review 1: February
Progress Review 2: June
Progress Review 3: October

- 2.5 Progress Review Reports (annexure B) must be submitted to the Human Resources Manager for approval before the 20th day of that specific month.
- 2.6 Annual Appraisals must be done during the month of November each year and Annual Appraisal Reports must be submitted to the Human Resources Manager before 20 November of each year.
- 2.7 Annual rewards will be awarded to employees at the Long Service and Performance Award Ceremony during December each year.

3. PRINCIPLES

- 3.1 Performance Management should be implemented to encourage superior and excellent performance in service delivery.
- 3.2 Performance Management should be implemented in all Directorates and their Units with the aim to achieve the Vision and specific Strategic Plans of Gauteng Legislature.
- 3.3 Productivity should improve and employees' performances will be more focused on delivery of outputs according to standards.
- 3.4 Corrective actions, such as training, providing of resources, etc. should be undertaken with the view to make it possible to achieve objectives.
- 3.5 Performance Appraisals and Progress Feedback should be fair and based on evidence (outputs) according to agreed standards.
- 3.6 Performance Management should improve communication and relationships between superiors and subordinates.

4. ROLES AND RESPONSIBILITIES

- 4.1 Decision-Makers' Responsibilities
The Performance Management System and the Policy Document of Gauteng Provincial Services are approved by the following Stakeholders:
 - a) Legislature Services Board Secretary
 - b) All Directors
 - c) Human Resources Manager
 - d) Union Executives
 - e) Management Representatives
- 4.2 Human Resources Manager's Responsibilities
The Performance Management System will be co-ordinated and managed by the Human Resources Manager. He/she will ensure transparency and fairness:
 - a) Management of performances according to Workplans

- b) Feedback during Progress Review Meetings
 - c) Annual Appraisals Reports
 - d) Awarding of rewards as authorised by the Secretary
 - e) Handle disagreement
- 4.3 Directors will oversee that managers implement and manage the Performance Management System, within the Units of their Directorates, according to the guidelines and standards of this policy document.
- 4.4 Management Responsibilities
Managers at all levels must ensure the implementation and effective functioning of the Performance Management System according to the instructions of this policy within their Directorate and Units. They will ensure that:
- a) Each employee has a Workplan according to the given format that conforms to the criteria thereof (see Annexure B).
 - b) Each element of the Workplan must be discussed and agreed upon with the employee.
 - c) Both parties (employee and his immediate superior) must sign each page of the Workplan.
 - d) Employees' performances are continuously managed.
 - e) Employees receive resources and support to enable them to achieve their objectives.
 - f) Training and development will take place as indicated and agreed in the Skills Development Plan.
 - g) Progress Review Meetings take place according to the given processes.
 - h) Both parties analyse performance gaps and there must be mutual agreement on corrective actions.
 - i) Progress Review Reports will be sent to the Human Resources Manager for his/her signature of approval.
 - j) Annual Appraisals are fair and take place according to the given processes and both parties' assessment results have to be considered for a final rating.
 - k) The Annual Appraisal Report, with an agreed final rating must be signed by both parties and submitted to the Human Resources Manager.
 - l) Employees will receive rewards where due (point 6.3).
- 4.5 Employees' Responsibilities
Employees must support the effective functioning of the Performance Management System. They must ensure that they:
- a) Understand the Performance Management Process.
 - b) Are able to compile a Workplan according to the given format and criteria (Annexure B).
 - c) Discuss and agree on each element (see Annexure B) of the Workplan with their superior before signing it.
 - d) Manage (plan, organise, control) their own performance to achieve objectives according to agreed standards.
 - e) Attend training and become competent in the areas of development as agreed in the Skills Development Plan.
 - f) Prepare for the Progress Review Meeting and agree on appropriate corrective actions with their superiors.
 - g) Appraise own performances annually on a rating scale of 1 to 6.
 - h) Meet with their superior to mutually agree on a final rating, which will be indicated on an Annual Appraisal Report.
- 4.6 Secretary

The Secretary of Gauteng Provincial Legislature has the responsibility to:

- a) Authorise (signing off) rewards to employees as indicated on a report submitted by the Human Resources Manager.

5. THE PERFORMANCE MANAGEMENT PROCESS

The Performance Management and Development System is customised for Gauteng Legislature and consists of seven main phases, each with its own sub-phases and activities (Annexure A).

Following the processes during each phase will ensure effective and fair implementation and functioning of the system:

Phase 1:

- a) Institutional Vision and strategic plans with business objectives must be reviewed.

Phase 2:

- a) Directorate's Vision and business plans and objectives must be reviewed and aligned with phase 1.
- b) Team values and objectives must be clarified.

Phase 3:

- a) Development of Workplans that include the following elements: (see Annexure B)

A. Job Specification:

- Position
- Name of the Position Holder
- Reports to
- Directorate
- Specific Unit
- Grading
- Salary range
- Location
- Purpose of the job
- Pre-requisites applicable to perform the work in this position (physical and mental)
- Specific working conditions and hazards
- Career Pathing

B. Job Description:

- Key performance areas which indicate core duties and responsibilities.
- Objectives to be achieved within each KPA (outputs to be deliverables for a year).
- Standards (measures) to be used to assess the achievement of objectives.
- Working conditions (applicable rules, policies, acts, etc.).
- Resources required to achieve objectives (deliver outputs).
- Indicators (evidence) of achievement.
- Assign weight to each KPA and its objectives.
- Indicate a 6-point rating scale for self-appraisal purposes.

C. Competency Profiling:

- Critical knowledge (scientific, technical, task knowledge) which is necessary to achieve objectives.
- Critical skills to achieve objectives.
- Required attributes to achieve objectives.

D. Skills Development Plan:

- Indicate specific training and development interventions to ensure competency of the employee to achieve objectives:
 - ? Formal Training (In-house and Public Courses)
 - ? On-the-job Training (coaching and mentoring)

(The plan must also conform to the requirements of the Skills Development Act)

Phase 4:

- a) Both parties discuss and agree on issues within the Workplan.
- b) Both parties sign the Workplan.
- c) The Human Resources Unit is provided with a signed copy

Phase 5:

- a) Continuous management of performances:
 - Apply Situational Leadership
 - Progress Review Meetings
 - Analyse gaps
 - Give continuous feedback
 - Take remedial actions
- b) Submit Progress Review Reports to the Human Resources Manager for approval.
- c) Provide training and development support.

Phase 6:

- a) Annual Performance Appraisal - mutual agreement on ratings.
- b) Submit a signed (by both parties) Annual Performance Appraisal Report to the Human Resources Manager.
- c) Submit a Reward Recommendation Form to be able to issue reward to the Human Resources Manager.
- d) Disagreements must follow the normal grievance procedures that exist within Gauteng Provincial Legislature.
- e) The Human Resources Management handles all disagreements according to the grievance procedures between employees and superiors.
- f) Revise Workplans for the next cycle.

Phase 7:

- a) Co-ordinate training and development according to the Skills Development Plan continuously.
- b) Assess workplace competence after attendance of training.

6. DEFINITIONS AND APPLICATIONS OF COMPONENTS

The definitions and their specific application within the Performance Management process are alphabetically arranged.

6.1 Annual Appraisal

The indicators (evidence) are collected and assessed according to agreed standards (measures) to determine whether objectives are being achieved. The outcomes of these objectives are expressed on a rating scale of 1 – 6.

A summary of the objectives and agreed final ratings between the superior and the employee must be indicated on an Annual Appraisal Report. This report must be signed by both parties and submitted to the Human Resources Manager.

6.2 Competency Profile

Competency Profile indicates all the required competencies (knowledge, skills and attributes) necessary to achieve an objective according to agreed standards.

6.3 Incentives and Rewards

The Human Resources Manager must budget to enable Gauteng Legislature to reward exemplary performances. Incentives will be awarded as follows:

Silver Rewards will be managed and issued by each manager after every Progress Review Meeting for excellent performances within his/her Directorate or Unit for that specific semester.

Management will be granted a discretion of awarding 100% on an annual basis. However, of the 100% only 33 1/3% of the personnel who qualify will receive a reward for that specific semester. Managers must use a top-down approach when issuing rewards. These rewards (incentives) are non-financial in nature, but have a value of about R50,00 each. A choice between available rewards will be offered to employees. These rewards include items such as:

- GPL Memorabilia	- Time off	-
Book Vouchers	- Movie Tickets	- Gift
Vouchers	- Team rewards	

Managers must complete a Reward Recommendation Form and obtain approval from his/her Director before issuing a reward (incentive) to an employee. Managers must keep record of rewards (incentives) awarded to employees and must submit copies of these records to the Human Resources Manager.

A letter of commendation, addressed to the employee, must accompany the reward.

Golden Rewards will be issued for exemplary performances with a final calculation of more than 80% on their annual performance appraisal. These rewards will be received by 10% of the personnel. Thus, 10% of the exemplary performers with a score of 80% and higher will receive an award as approved by the specific Director, the Human Resources Manager and the Provincial Secretary. The Provincial Secretary may use his/her discretion to assign rewards to more than 10% of exemplary performers in cases such as team-work, availability of rewards, etc.

A top-down approach has to be used when issuing rewards. Employees with the highest scores (above 90%) will receive a Class A reward. Employees with a score higher than 85% will receive a Class B reward and Class C rewards will be issued to employees with a score of more than 79%.

Managers of a specific Unit must complete a Reward Recommendation Form which will then be submitted to his/her Director for approval. The Director

must submit the completed Reward Recommendation Form to the Human Resources Manager who has to obtain final approval from the Provincial Secretary. A choice between available rewards, which are equal in value, will be offered to employees.

These rewards may include incentives such as:

Golden Rewards Class A (score higher than 90%)

- c) Cash Bonuses once annually according to the incumbent's grade as follows:
- ? P3-P6 – R10 000.00
 - ? P7-P8 – R 8 000.00
 - ? P9-P16 – R 4 000.00
- or any equivalent reward within the specified amounts above as approved by the specific Director of that Unit, Human Resources Manager and the Provincial Secretary.

Golden Rewards Class B (score higher than 85%)

- ? Cash Bonuses of R2 000,00, or paid Week-ends Away or any equivalent reward as approved by the specific Director of that Unit, the Human Resources Manager and the Provincial Secretary.

Golden Rewards Class C (score higher than 79%)

- ? Cash Bonuses of R1 000,00, or any equivalent reward as approved by the specific Director and the Provincial Secretary.

Platinum Rewards will be issued to those personnel who has proof of evidence they prevented the institution from suffering a great loss, or are, effecting great savings to the institution, etc.

Any employee may recommend himself or another employee for such a reward. A Reward Recommendation Form must be completed and submitted to the Human Resources Manager who will obtain final approval from the Secretary.

The Secretary will determine the type of rewards in this category.

- 6.4 Indicators (Evidence)
Indicators are relevant evidence that objectives have been met according to the agreed standards (measures). Examples of indicators are documents, records, internal and external customers, etc.
- 6.5 Key Performance Area
A Key Performance Area is a cluster of related duties and tasks which ensure required outputs.
- 6.6 Objective
One or more objectives are set to achieve required outputs. An objective conforms to the following criteria if :
- a) It indicates an action or end-result (written as a verb and noun).
 - b) The end-result is measurable (conforms according to certain standards / measures). The standards must be controllable by the employee himself.
 - c) Conditions / circumstances under which performance must take place, such as performance within a specific act or procedures.

6.6.1 Ad-hoc Objectives:

Superiors and employees must agree on at least one or two Ad-hoc Objectives which also have to be indicated on the Workplan according to the above criteria:

- a) Routine Objectives (business-as-usual / operational)
- b) Process Improvement Objectives
- c) Project Objective
- d) Problem-Solving Objectives
- e) Innovative Objectives
- f) Personal Development Objectives
- g) Organisational Development Objectives

Each one of these objectives will be determined on their own weight and value of assessment.

Both parties must agree on the type of objectives and standards which will be used to measure it.

6.7 Performance Management System

Performance Management System is a systematic approach to manage employees' performance and resources effectively to achieve the Vision and Strategic objectives of the institution.

6.8 Progress Review Meeting and Report

Employees' progress will continuously be monitored. The employees' progress in achieving the objectives will be discussed by both parties during a meeting. Feedback and corrective actions must be agreed upon and indicated on the Progress Review Report. Both parties must sign this report.

6.9 Rating

A rating scale of 1- 6 is chosen to measure the success of each Key Performance Area (includes all specific objectives within the KPA) achievement. Each objective should be assessed, however, a final rating must be calculated for the entire KPA.

A 1 – 6 rating scale has to be used. The rating scale can be interpreted as follows:

- 1 = means poor performance, achieving a specific objective approximately 25% sufficiently according to the set standards (measures). Thus, this specific objective was only met sometimes or in some areas.
- 2 = means less than average performance, achieving a specific objective approximately 40%-50% sufficiently according to the set standards (measures). Thus, this specific objective was not completely met at all times or in all areas.
- 3 = means average to just above average performance, achieving a specific objective 50%-60% sufficiently according to the set standards (measures). Thus, this specific objective was met in most areas on average but not at all times.
- 4 = means achieving a specific objective 75% sufficiently according to the set standards (measures) most of the time.

- 5 = means good performance, achieving objectives 100% each and every time according to agreed standards. The employee is competent to perform all duties sufficiently each and every time.
- 6 = deliver exemplary performance, exceed expectations and agreed standards.
- 6.10 Standards (measures)
Standards indicate the measures that will be used to measure the output (results) of an objective. It indicates how well the objectives must be achieved. The employee must be able to manage and control these standards.
- 6.11 Weight
Weights are assigned to KPA's and objectives according to the time spent and/or priority to deliver that specific output. The final rating will be calculated according to the weight of the specific KPA.
- 6.12 Workplan
A Workplan is a mutual agreement between the employees and their direct superior to achieve objectives (outputs) according to standards (measures) which are aligned with the Directorates and Institution's Vision and Strategic Plans.

The Workplan should conform to the given format (see Annexure B).

7. PITFALLS AND FACTORS WHICH MAY INFLUENCE PERFORMANCE MANAGEMENT

- 7.1 CHANGING OF OBJECTIVES
Because of a dynamic environment, which demands changes, it is possible that objectives on the employees' Workplan may change. An employee and his/her superior may agree to change objectives.
- Both parties must agree whether both the 'old' and 'new' objectives will be taken into consideration for performance appraisals during the annual appraisal.
- 7.2 INABILITY TO ACHIEVE A SPECIFIC OBJECTIVES
It is the responsibility of the superior and the employee to analyse performance gaps and to take corrective actions in advance to enable the employee to achieve all objectives.
- The employee and superior have to provide evidence that they did try to take corrective actions in solving the problem. It is both parties' responsibility to achieve all objectives according to set standards and to overcome problems.
- 7.3 SUBJECTIVE APPRAISALS
Appraisal of objectives must only be:
- According to all of the agreed standards (measures). No additional standards may be applied during the annual appraisal.
 - Based on the indicators (evidence) as agreed in the Workplan.

- 7.4 **IMPORTANCE OF THE DIFFERENT OBJECTIVES**
Both parties must agree on the Ad-hoc objectives and their standards (measures). It must appear on the Workplan (see point 6.6.1).
- Both parties must agree on the weight and appraisal of the Ad-hoc objectives
- 7.5 **DISAGREEMENTS ON FINAL RATINGS**
If a superior and his/her employee disagree on the achievement of a specific objective and the rating of it, 360° assessment should be considered (make use of other evidence provided by customers or team members).
- Unsolved disagreement should follow the grievance procedures which exist in Gauteng Provincial Legislature. The Human Resources Manager will provide support in this regard.
- 7.6 **APPRAISAL OF NEW EMPLOYEES**
New employees will not receive an annual appraisal during their probation period at Gauteng Provincial Legislature. Continuous management and feedback on the new employee's performance is compulsory.
- Employees promoted to a new position are also included in this category. Employees transferred on the same level will not undergo a probation period and will be appraised.
- 7.7 **SUPERIORS TRANSFERRED OR LEAVING THEIR UNIT**
Superiors must ensure that all Progress Review Reports will be completed and submitted to the new superior of the Unit or to the Human Resources Manager 7 days before transferring/leaving date.
- Annual Appraisal Reports must be completed and achieved/ partly-achieved objectives must be assessed for the period for the past year.
- 7.8 **EMPLOYEES TRANSFERRED TO ANOTHER POSITION**
Superiors must ensure that all Progress Review Reports for a specific employee will be completed and submitted to the Human Resources Manager 7 days before transferring date of the employee.
- Annual Appraisal Reports must be completed and achieved/ partly achieved objectives must be assessed for the period of the past year.
- 7.9 **MPL'S EXPECTATIONS**
MPL's expectations and personal requests may influence the performance of employees. It is the responsibility of the Secretary of Gauteng Provincial Legislature to communicate the purpose, importance and process of the Performance Management System in Gauteng Provincial Legislature. MPL's role and support in this regard must be clarified.
8. **EVALUATION OF THE PERFORMANCE MANAGEMENT SYSTEM**
- The success of the entire Performance Management System will be measured when:

- a) Productivity has increased
- b) Employees are more focused to deliver outputs
- c) Less complaints are received
- d) Time frames are met
- e) Workflow is more smooth
- f) Less problems, mistakes or repetition of work are experienced
- g) The right number of rewards have been issued
- h) No or a minimum disagreements on final ratings during annual appraisals are reported.
- i) Communication and relationships between superior and subordinates has been improved.

REPORT OF THE AUDITOR – GENERAL TO THE GAUTENG PROVINCIAL LEGISLATURE ON THE FINANCIAL STATEMENTS OF THE GAUTENG PROVINCIAL LEGISLATURE

For the year ended 31 March 2002

1. AUDIT ASSIGNMENT

The financial statements as set out on pages 46 to 63 for the year ended 31 March 2002, have been audited in terms of section 188 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), read with sections 3 and 5 of the Auditor-General Act, 1995 (Act No. 12 of 1995). These financial statements, the maintenance of effective control measures and compliance with relevant laws and regulations are the responsibility of the accounting officer. My responsibility is to express an opinion on these financial statements, based on the audit.

2. NATURE AND SCOPE

The audit was conducted in accordance with Statements of South African Auditing Standards. These standards require that I plan and perform the audit to obtain reasonable assurance that the financial statements are free of material misstatement.

An audit includes:

- ?? examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements;
- ?? assessing the accounting principles used and significant estimates made by management; and
- ?? evaluating the overall financial statement presentation.

Furthermore, an audit includes an examination, on a test basis, of evidence supporting compliance in all material respects with the relevant laws and regulations, which came to my attention and are applicable to financial matters.

I believe that the audit provides a reasonable basis for my opinion.

4. AUDIT OPINION

In my opinion, the financial statements fairly present, in all material respects, the financial position of the Gauteng Provincial Legislature at 31 March 2002 and the results of its operations and cash flows for the year then ended in accordance with the prescribed accounting practice.

5. EMPHASIS OF MATTER

Without qualifying the audit opinion expressed above, attention is drawn to the following matters:

5.1 Matters not affecting the financial statements

5.1.1 Non-compliance with laws and regulations

For the year under review no internal audit functions were conducted resulting in the non-compliance with Section 51(a)(ii) of the Public Finance and Management Act, 1999 (Act No. 1 of 1999).

5.1.2 Weakness in internal control

(a) Irregular expenditure

Printers were purchased for an amount of R120 789 contrary to the internal tender policies and procedures of Gauteng Provincial Legislature. The purchase order for this item was divided up to ensure that the individual order did not exceed R100 000. Audit procedures revealed that the necessary level of authority has obtained for the approval of this transaction.

(b) Contracts

(i) The contract and the approval of the contract between the Gauteng Provincial Legislature and Enlightened Security could not be submitted for audit purposes. Sufficient and appropriate evidence with respect to payments made to Enlightened Security could not be obtained.

(ii) The contract between Gauteng Provincial Legislature and Xerox South Africa was incomplete and did not provide sufficient evidences on which audit could rely, to confirm that payments made to Xerox South Africa were in compliance with the terms of the contract.

(iv) The IT environment at the Gauteng Provincial Legislature was not adequately managed via policies, procedures, service level agreements, regular IT management meetings and disaster recovery planning.

6 APPRECIATION

The assistance rendered by the staff of the Gauteng Provincial Legislature during the audit is sincerely appreciated.

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Weakness in Computer

Information System Environment

Computer Audit

The computer audit indicated that although some controls were in place in the general control environment, a number of significant weaknesses existed in the control environment as a whole. The most significant control weaknesses were the following:

- (i) Shortcomings existed in the Security of the SAP system. For example, the sensitive access rights were inadequately restricted and various weaknesses existed in the security parameter settings.
- (ii) The password settings on the network were not found to adequately enhance the restriction of access to applications, including the SAP System.
- (iii) As a result of a shortage of skilled staff the Gauteng Provincial Legislature lacked the knowledge to maintain the SAP application system or to set up security on the system. The relationship with the vendor of the system was not regulated by a service level agreement as a consequence of which the vendor provided limited support.

DORIS L.T. DONDUR
for the Auditor-General

Johannesburg
17 July 2002

Personnel cost and establishment
Employment and vacancies by salary band, 31 March 2002

PROGRAMME	ESTABLISHMENT	NUMBER OF EMPLOYEES	VACANCY RATE	ADDITIONAL TO THE ESTABLISHMENT
GRADE A1	12	12		None
GRADE A2	30	30		None
GRADE B	2	2		None
GRADE C1	1	1		None
GRADE C2	15	15		None
GRADE D	1	1		None
GRADE E	1	1		Noe
P03	1	1		1 None
P04	1	0		None
P05	4	4		None
P06	1	1		
P07	9	8		1
P08	24	24		
P09	25	20		5
P10	35	34		1
P11	20	20		
P12	46	41		5
P13	7	7		
P14	14	14		
P15	8	8		
P16	2	2		
P17	1	1		
TOTAL OF VOTE	260	247	13	0

1.1.1.1.1.1.1.1 Personnel costs by programme, 2001/02

PROGRAMME	TOTAL EXPENDITURE (000)	PERSONNEL EXPENDITURE (000)	ADMIN EXPEND (000)	PROFESSIONAL EXPENDITURE (000)	PERSONNEL COST AS % OF TOTAL COST EXPENDITURE	NO OF EMPLOYEES	AVERAGE PERSONNEL COST PER EMPLOYEE
Political Representation	29 045	24 649	4 143	253	84,86	63	391 254
Off. of Speaker & Secretary	2 187	1 490	697		68,13	10	149 000
Parliamentary Operations	11 711	6 537	4 235	939	55,82	70	93 386
Institutional Support Services	15 334	7 483	4 845	3 006	48,80	69	108 449
Operational Support	17 521	3 783	7 212	6 526	21,59	36	105 083
Information & Liaison	5 071	3 097	1 778	196	61,07	29	106 793
TOTAL OF VOTE	80 869	47 039	22 910	10 920	58,17	277	953 965

Approved establishment by programme

PROGRAMME	APPROVED ESTABLISHMENT	MEDIUM TERM ESTABLISHMENT ESTIMATE
	01/04/2001 - 01/03/2002	01/04/2001 - 01/03/2002
Political Representation	62	62
Off. of Speaker & Secretary	10	10
Parliamentary Operations	57	63
Institutional Support Services	65	68
Operational Support	32	33
Information & Liaison	21	24
TOTAL	247	260

TRAINING AND DEVELOPMENT

An integrated HR management strategy, of which training and development forms a crucial component, has been developed in draft form. Further enhancements are likely to be geared towards linking strategic output and outcomes with performance and training of staff. In this way we will ensure that sufficient tools exist to accomplish our strategic objectives.

A wide range of educational and skills development programmes are available to interested employees. On the whole, these programmes are aimed at overcoming the educational and skills backlog in the institution.

Skills development

The tables below summarise the development of skills and the granting of performance rewards and bursaries during the period under review:

Skills development by salary level, 1 April 2001 to 31 March 2002

GRADE (SALARY BAND)	INTERNAL TRAINING		EXTERNAL TRAINING		EXPENDITURE	
	TRAINING DAY EQUIVALENTS	AVERAGE PER DAY PER EMPLOYEE	TRAINING DAY EQUIVALENTS	AVERAGE PER DAY PER EMPLOYEE	TOTAL EXPENDITURE (R000)	AVERAGE PER EMPLOYEE
Senior Management (5)	0	0,0	34	6,8	66935.35	13387.07
P6-8(27)	12	0,4	165	5,9	217917.50	7782.8
P9-12(63)	101	1,7	103	1,7	236214.15	3749.4
P13-14(14)	32	2,3	20	1,5	67923.55	4851.7
P15-16(6)	27	4,5	26	6,0	54375.88	9062.6
TOTAL	172	8,9	358	21,9	643366.43	38833.57

Skills development by race, gender and disability, 1 April 2001 to 31 March 2002

GRADE (SALARY BAND)	INTERNAL TRAINING		EXTERNAL TRAINING		EXPENDITURE	
	TRAINING DAY EQUIVALENTS	AVERAGE PER DAY PER EMPLOYEE	TRAINING DAY EQUIVALENTS	AVERAGE PER DAY PER EMPLOYEE	TOTAL EXPENDITURE (R000)	AVERAGE PER EMPLOYEE
AFRICAN Male(38) Female (49)	61 110	1,3 2,3	153 87	4,0 1,8	231 564.20 208 578.80	6 093.79 4 256.71
ASIAN Male (2) Female (7)	2 8	1,0 1,2	32 3	16,0 0,4	41 136.20 25 689.24	20 568.10 3 669.89
COLOURED Male (1) Female (8)	1 11	0,0 1,4	4 18	4 2,3	5 184.00 50 6019.76	5 184.00 6 327.47
WHITE Male (3) Female (8)	1 0	1,0 0,0	11 13	1,6 1,6	21 391.26 21 440.80	7 130.42 2 680.10
Employees with a disability (1)	-	-	10	4 10	37 762.08	37 762.08
TOTAL	194	8.2	331	95.4	1098766.34	93672.56

Performance rewards by salary level, 1 April 2001 - 31 March 2002

Grades	Beneficiary Profile			Cost	
	No of Beneficiaries	No of employees	% of total within group	Cost (R000)	Per capita cost
P7	5	7	71%	20000	4000
P8	6	23	26%	8000	1333.
P9	2	17	12%	2000	1000.
P10	6	25	24%	13000	2166
P11	5	17	29%	5000	1000
P12	8	38	21%	14000	1750
P13	4	6	66%	8000	2000
P14	8	13	61%	12000	1500
P15	-	6	0,00 %	-	-
P16	-	2	0,00 %	-	-
TOTAL	44	154		82000	14749

Performance rewards by race, gender and disability, 1 April 2001 - 31 March 2002

	Beneficiary Profile		Cost	
	No of Beneficiaries	No of employees	% of total within group	Cost (R000)
AFRICAN				
Male	18	42	33,9	18 000
Female	10	48	38,7	18 000
ASIAN				
Male	2	2	1,6	12 000
Female	2	6	4,8	3 000
COLOURED				
Male	-	1	0,8	-
Female	5	7	5,6	9 000
WHITE				
Male	1	3	2,4	4 000
Female	7	8	6,5	15 000
SENIOR MANAGEMENT				
Male (1x coloured & 2x black & 1x white)	4	5	4,0	40 000
Female (1x coloured)	1	1	0,8	10 000
Employees with a disability	-	1	0,8	-
TOTAL	50	124	100,0	129 000

Bursaries granted by salary level, 1 April 2001 to 31 March 2002

SALARY LEVEL	BENEFICIARY PROFILE			COST	
	No. Of beneficiaries	No of employees in the salary band	% of total	Cost (R000)	Per capita cost
P 1-2					
P 3-5					
P 6-8	-	21	-	-1	-
P 9-12	6	62	9.7%	31 735	511.85
P 13-14	4	14	28.6%	5 800	414.29
P 15-16					
Senior Management					
TOTAL	10	97	8.3%	37 535	926.44

PFMA Implementation Responsibilities
as at 15th October 2002
Gauteng Provincial Legislature

No.	Responsibility	Action/s taken	Start Date	Completion Date	Person Responsible
1	The PFMA and Treasury Regulations provide the broad principles of financial management. Departments are expected to develop internal prescripts to suit their business needs. Has your department developed these prescripts? If 'no' what are the reasons? If 'yes' attach copy.	YES, New Finance Manual developed and aligned to PFMA, Treasury regulations, best business practices and new SAP system to suit Legislature needs. (Manual not available on softcopy, will deliver hardcopy)	Ongoing	Ongoing	CFO
2	Training plans for the above-mentioned prescripts	The prescripts were work shopped during September 2002	Ongoing	Ongoing	CFO
3	Elimination of audit queries	<ul style="list-style-type: none"> ? Review of management letter ? Address audit findings ? Identify weaknesses and transgressions ? Implement audit recommendations As the Legislature attained an unqualified audit, it is understood that tremendous strides have been made in this regard	Ongoing	Ongoing	CFO
4	Implementation of Risk Management Strategy (Fraud Prevention plan, etc)	In conjunction with the appointed internal audit service provider, Deloitte & Touche, an update risk assessment was conducted during the months of August and September 2002. The outcome of the risk assessment will provide the following: <ul style="list-style-type: none"> ? Three Year Internal audit coverage plan ? Detailed Coverage plan for Year one The internal audit unit is required to act in accordance with the approved strategic internal audit plan based on its assessment of key risk areas at the Legislature. It is also required to report quarterly to the audit committee, detailing its performance against the audit plan.	Ongoing	Ongoing	CFO

		<p>The Legislature's sourced internal audit function and the external auditors will independently appraise the adequacy and effectiveness of the internal controls. The Audit Committee, with extensive input by the internal and external auditors, will play a major role in assisting management to satisfy themselves regarding the adequacy and effectiveness of the accounting systems, records and internal controls.</p> <p>In June 2001, terms of reference for the establishment of the Operational Committee were drawn up which gave effect to the establishment of the Fraud Prevention Plan (FPP) and the FPP Operational Committee. The committee is chaired by the Chief Financial Officer to steer and take responsibility for the Fraud Prevention Plan and further ensure effective project-management of its implementation and maintenance. The Legislature is well in line to the full implementation of the fraud prevention plan as contemplated by the PFMA and much progress realised on the implementation strategy. The establishment of the fraud prevention plan makes provision for the management of fraud through cost-effective use of the control environment, information systems and control procedures, and to promote an ethical culture within the Legislature.</p>			
5	Processes to review systems to achieve PFMA principles	<p>Upon implementation of SAP in April 2001, Deloitte & Touche were engaged to ensure the business blueprint is aligned to PFMA and best business practices. The new Finance Manual was also developed in September 2001 and aligned to PFMA, Treasury regulations, best business practices and the new SAP system to suit Legislature needs. (Hardcopy to be delivered)</p>	Ongoing	Ongoing	CFO
6	Training plans on systems	<p>The Human Resources unit has developed a training plan for SAP users. A full training schedule on SAP was scheduled</p>	Nov 2002	Mar 2003	Training & Development Officer

		for Aug/Sep 2002 for super-users and operational users. Due to in-house priorities, these dates needed to be extended. The SAP Committee is currently looking at alternate dates to accommodate these training plans.			
7	Efforts towards building financial management capacity in department	The CFO has been tasked to send all Programme and sub-programme Managers to Financial Management courses as recommended and or accredited by Treasury. This training has been deferred to time constraints faced by Programme Managers. It is now intended to arrange courses during the recess period which is most convenient period. A list of the accredited courses by the National Validation Board will be obtained from treasury.	Nov/Dec 2002	Jan/Feb 2003	CEO/training & Development Officer
8	Processes to appoint support staff for the CFO – Director: Finance position. Has this position been filled? If not, what are your plans? If yes, at which salary level?	In view of the size of the Legislature and current structure, there appears no need for this position. However, as the Legislature grows, the filling of this position may need to be considered.			CEO
9	Processes to oversee the Public Entities and compliance to PFMA within these Entities	Not applicable to the Legislature			
10	Submission of Strategic Plan for 2003/04	Complete, currently under review by KPMG. (will be delivered before end of October 2002)	July 2002	October 2002	Deputy Provincial Secretary
11	Plans to ensure improved expenditure management and transfers in terms of the Division of revenue	As per 7 above	Nov/Dec 2002	Jan/Feb 2003	CEO CFO
12	Measures to manage expenditure forecasting and banking accounts more effectively, e.g. the installation of CATS or any other alternative system	As the Legislature utilizes SAP, CATS is installed and linked to SAP. At this juncture, only salaries are paid through SAP. It is part of Finance's project to convert fully to EFT payments	Oct 2002	End Dec 2002	CFO Accountant
		? Actual and projection		By the 15 th	CFO

13	Submission of S40(4) & S16 of DORA reports – e.g. quarterly expenditure forecasting reports	reports submitted on a monthly basis to Treasury ? Programme and sub-programme managers to submit monthly projections and provide action plans for budget/performance deviations		of each month	Programme & Sub-programme Managers
14	Submission of progress reports on departmental outputs, together with the quarterly forecasting reports mentioned above	Quarterly reports submitted 15 days after every quarter	15 days after every quarter	15 days after every quarter	CFO and Programme Managers

February 2001 review

INFORMATION & TECHNICAL SYSTEMS
AND MANAGEMENT STRATEGY
1999-2004

STRATEGIC PLAN

<u>Page</u>	<u>Section</u>	<u>Title</u>
2	1	Introduction
2	2	Perceived trends
5	3	Vision
5	4	Objectives
7	5	Key Success factors / Imperatives
13	6	Conclusion

STRATEGIC PLAN

INTRODUCTION

The use of Information Systems (IS) and Information Technology (IT) is clearly going to play an increasingly important role in the Legislature of Gauteng - the "Smart Province".

This IS strategy needs to encompass not just the traditional IT issues (hardware, software networks) but also the technical issues (audio and video infrastructure, PABX, security and building management systems) as well as the Print Room issues (photocopier and fax systems).

The challenge facing the Legislature is not how to purchase and install the latest and best hardware and software, but rather to:

provide the most appropriate business solutions to achieve specific results;
ensure that all the potential users make effective use of the systems provided; and
achieve the above in a cost-effective manner consistent with the overall objectives of the Legislature.

Clearly creating a fixed and rigid long-term strategy in an era where technology changes so rapidly is inappropriate. However, the first IS strategy adopted in September 1994 only had to be amended in 1997 to include the creation of an Intranet - a technology that did not exist in 1994. A further update was completed in late 1998, and again is being subject to a review now, two years later.

Hence, this strategy is framed to provide the guiding principles required for the Legislature to complete and maintain appropriate and effective information systems until the 2004 elections.

PERCEIVED TRENDS

Although technology is changing extremely fast, it is possible to attempt to discern various trends, which can be expected to have a major influence over the next few years. Clearly there is one primary trend (towards internet technology), which leads to further implications which will have a direct impact on the Legislature and its operations.

INTERNET TECHNOLOGY

Although the internet is becoming the core focus of the IT industry, there are several potential problems associated with it:

The ability of Telkom to provide the necessary bandwidth to permit South African users to benefit fully is still open to question.

The ability of the internet infrastructure (both South African and internationally) to continue to grow at its current rate, given the lack of a central co-ordinating entity.

The very diversity of the internet means that it allows change to occur faster and faster - and system standards harder to maintain.

The need for secure identification of users required by e-commerce contradicts the anarchistic and anonymous situation at present, which may lead to a split of the Internet into one or more "versions". However, the Legislature need only stay with the secure one.

The implications of this are elaborated upon in the remaining identified trends which are all - to a greater or lesser extent - dependent on the nature of the Internet.

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INTRANET

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In following the internet technology route, the primary data accessing tool becomes the internet browser. An Intranet site then becomes the simplest way in which to organise the Legislature's internal data, so that all staff (and members and their support staff) can find whatever information they require from a single source. As this technology takes hold, more and more people will want to contribute information to the Intranet.

Allowing everyone to put information onto the intranet is a long-term goal, and would require a high level of sophistication from all users. However, as time goes by, it is expected that each directorate (then each unit) will develop one person with the necessary skills. This will allow each directorate/unit to control what information is placed, how, where and when. The "webmaster" then plays a crucial role in maintaining the overall site, and ensuring that links, etc are kept up to date.

CENTRALISATION OF RESOURCES

The IT sector of the '60s and '70s was highly centralised, based on mainframe technology. Here all the processing was done on the mainframe, with the user simply having a screen and a keyboard.

During the '80s the move was to the individualism of the desktop PC. This meant that all the processing was performed on the PC, where each user could do what he/she wanted. As program complexity grew, so the power and resources (memory, disk space, etc) of each PC needed to increase dramatically.

During the '90s, PC's became more and more networked, allowing for greater integration, but no reduction in the continuing growth of the power and resources needed by the desktop PC.

The internet allows a new concept - that of "thin-client" or "internet PC" to become dominant. This type of computer has minimal disk space and virtually no software loaded onto it - but retains its processing power and memory. This design will allow users to download information from the Internet, and to then manipulate the data. Virtually no software will be needed on the computer, since the relevant software will be downloaded with the data to allow the user to view it.

Hence the trend created through the creation of the PC to increase the power on the desktop has probably reached its maximum, and as the internet and networking in general become ubiquitous, so the need for such power decreases. With the introduction of palm-tops and WAP-enable cell-phones, this may start another trend whereby the user's "desktop" device does no processing at all as time goes by.

The result of this is that the storage and management of data is again being centralised on servers at the core of a network, and every network is then connected to the World Wide Web. Hence, more resources will need to be directed to the servers - the source of the information, as well as the communications infrastructure, rather than to the end-user devices.

DEVELOPMENT OF END-USER DEVICES

Computers (in the widest possible sense) are getting smaller and more powerful, but even today there is still a clear distinction between 4 different technologies, which are envisaged as becoming integrated into a single device. The current devices are:

- (a) a PC or laptop which has a processor and hard disk allowing data entry by keyboard - running Windows
- (b) a hand-held PC which has a processor with no hard disk allowing data entry by keyboard - running Windows CE

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- (c) a palm-top which has a processor with no hard disk but allowing stylus rather than keyboard data entry – running proprietary software
- (d) a cell phone which has no processor.

To date there is no commercial system that combines a cell-phone with the processor and hard disk – and that allows a keyboard and screen to be connected.

The device is imagined to be modular, with a central unit housing the processor and disk, which forms the core of the system. Attachable to this will be a cell phone – which will be able to download (or upload) the phone numbers from the central address book as required. A fold-up keyboard (already available) will be carried separately, as will a flat-screen (like those on laptops – however a fold-up screen still seems to be some way off). If you don't want to use the keyboard and screen, then the cell-phone keyboard and display will be available. All interconnections will be wireless using a protocol such as Bluetooth.

When in the office, the user would use the device, keyboard and screen, and plug them into the LAN and telephone jack, so that they can work "normally". However, should they wish to carry out some serious processing – i.e. a large or multiple spreadsheet(s), then they would need to log into the "Citrix" server, which would carry out the computations instead of the smaller, less powerful device. At home, the user would probably use the device, keyboard and screen, but not connect to their home phone unless access to the internet was required, or the cell phone for intranet access (see section 2.5 below). The same facilities as would be available at home would be available while travelling.

The net effect of this, is that the desktop PC as we know it would be replaced with this new device which would be used by a person whether they are at work or home. The implications of this is that the PC on the desktop will no longer just be a corporate tool, and access to a laptop a corporate status symbol, but both will be replaced by a personal device, which "belongs" to the user. Exactly when this will occur is unknown, but the impact on the Legislature's desktop infrastructure must be taken into account.

REMOTE ACCESS

If the Legislature is able to put all its information onto its web site (with appropriate access controls), then members (and staff) would not need to visit the Legislature other than to attend meetings - and internet-based video conferencing could reduce this need still further.

The convenience of being able to access all the relevant information from a constituency office or from home will be considerable. Although the cost of the Telkom links is still high, it is quite possible that ultra-wide bandwidth facilities may become available (in Gauteng at least) within the next few years, making downloading large documents, audio and video recordings of meetings, as well as video conferencing perfectly feasible.

However the issue of security will remain very important. Allowing any form of remote access opens routes for hackers to access the network. The management of this is important, and careful consideration needs to be given to minimising the risk without too much inconvenience.

What is also important to consider is the business risk – for instance –

- (a) ensuring that applications such as SAP cannot be accessed remotely – the opportunity for fraud increases dramatically;

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(b) ensuring that documents cannot be added to T: drive, because the document may not have been properly checked by others;
etc

Given the rapid development of the cell-phone network and the new facility to recharge cell-phone access cards from a bank's ATM, the use of cell-phones to access secure sites (such as an intranet) might become essential. The Intranet would then check for the SIM card number electronically, before permitting a user access. Normal Internet access could continue through normal phones, but a more secure access is offered by connecting through a cell-phone. The cost impact of this might be considerable.

Hence, rather than providing dedicated modems, all users will access the Internet and Intranet through their ISP.

FINANCIAL CHARGES

With this centralisation, the financial aspects of IT usage will also change. As e-commerce takes off, and a suitable e-currency is developed, then many sites will start charging for their content – for example, a research company might charge R5 to download a report. This need not be difficult to handle since MPL's could use their credit card, and if the information was being purchased for the Legislature, the request would go through procurement, who would have a credit card / cell phone with SIM card for such downloads (in the latter instances, the cost of the purchase would be debited from the users cell-phone account – the most likely source of e-currency).

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LIFE-CYCLES OF HARDWARE AND SOFTWARE

The life-span of computer hardware is still dropping. It used to be considered 10 years, but now any computer over 3 years old is considered "obsolete". In the cell-phone and palmtop markets, life-spans are down to as little as 18 months.

This shortening of the life is partly due to the incredible rate of development of these new technologies, but also because the items are considered fashionable. In the near future, it can be expected that businesses and individuals will no longer accept such short life-cycles, and it will lengthen again. However, while manufacturers are keeping such cycles short, they force people to upgrade as spares and support are not provided to anything older.

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In software, Microsoft is leading the move away from selling "shrink-wrap" software to users, but rather licensing the software. This will require users to pay annually if they wish to use the software, and this also forces users to keep to the latest version since Microsoft can simply stop allowing users to licence older products. This is all part of their .NET strategy.

MULTIMEDIA & VIDEO CONFERENCING

More and more software makes use of multimedia capabilities. While these are fine for home PC's, they impact very negatively on networks since multimedia involves a lot of data, which clogs up the network.

While it is easy to say that the Legislature does not require multimedia facilities, the ability to replay audio (or even video) recordings of meetings could be seen as very useful to many members. As video conferencing technology becomes

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more efficient in terms of band-width, this could also become an essential tool to the Legislature.

This will require that the Legislature's backbone and cabling systems are able to handle the resultant volumes of data.

MOVE FROM ANALOGUE/OPTICAL TO DIGITAL TECHNOLOGY

The trend in both audio and video technology is to move from the analogue to the digital medium. As this occurs, the skills required in the Technical unit will converge with those required in the IT unit.

The first steps will be in the telephonic arena, where the digital switchboard is expected to become just another server on the network. Also, voicemail and fax-mail will provide – together with normal telephones/cell phones and e-mail, a comprehensive unified messaging system, allowing information to be passed (relatively) seamlessly between these different media. All but the two large photocopiers in the Print Room are digital.

However, given the Legislature's investment in analogue systems, the complete move from analogue to digital systems will probably take up to 10 years. An earlier move could be expected in the physical audio recording media, since recording equipment needs regular replacement due to the high wear and tear of operation.

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VISION

The Legislature's IS system should:

- (a) be the primary source of all information about the Legislature and its work, and such information should be easily accessible to all users;
- (b) be the primary work tool of all staff and members in order to empower them; and
- (c) provide the platform and infrastructure for all business systems and processes required by the Legislature to meet its overall goals and vision.

OBJECTIVES

PROVIDE A SERVICE TO ALL THE USERS

The Legislature needs to recognise the following groups of users:

all the Gauteng Legislature's members
all the Gauteng Permanent Delegates to the NCOP;
all the Gauteng Legislature's staff;
the Gauteng Provincial Government;
all other South African legislature's members;
all other South African legislature's staff;
all special interest groups, including NGO's, business and unions;
all potential voters in Gauteng; and
all other interested people throughout South Africa, Africa and the world.

While the above list is somewhat inclusive, each group will have different interests, priorities and needs - and each group will require different services.

MEET THE NEEDS OF THE INTERNAL USERS

The IT infrastructure should allow the Legislature's staff to meet their normal operational requirements - and be sufficiently flexible and adaptable to meet their additional occasional demands. It must also meet the needs of the Legislature's

members and Permanent Delegates to the NCOP to the level required by the Legislature Services Board.

Users should be able to access all the information and services of the network through as few simple interfaces as is practical. Optimally, users such as members will only be required to know how to use their internet browser, and their e-mail / calendar system. In this way, the training required by users is minimised, while they are still empowered in being functionally computer literate.

PROVIDE A SUITABLE PLATFORM FOR IDENTIFIED BUSINESS SYSTEMS

The IT infrastructure should allow the Legislature's director's/managers to select the most suitable business system for their needs, and to allow the system to be installed and integrated (as required) with the Legislature's other systems.

ENSURE COMPATIBILITY WITH PARLIAMENT'S NCOP SYSTEMS

It is essential that the Legislature's systems are compatible (i.e. using the same interface) as national Parliament is using for its storage of all NCOP committee and plenary information.

ENSURE COMPATIBILITY WITH THE GPG SYSTEMS

It is essential that the Legislature's systems are compatible (i.e. using the same interface) as national and provincial government Financial and procurement systems, and other sectors as required.

PROVIDE AN EFFECTIVE COMMUNICATIONS INFRASTRUCTURE

All internal users should be able to communicate with each other and any external users in an appropriate manner, whether it be text, graphics, audio, video or any other form of information. The communication systems should be able to be integrated with members' constituency office and home communications infrastructure.

CONTROL OF ABUSE OF RESOURCES

This should not just cover the access of illegal or obscene material, but also the wasting of IT resources including server disk , bandwidth (from e-mailing unnecessarily large documents) or loading games and other non-core programs onto the Legislature's infrastructure. In order to do this, securing the user's desktop environment will greatly enhance the control the Legislature can keep on such abuse

STORE ALL THE LEGISLATURE'S DATA IN AN ACCESSIBLE DATABANK

The information databank should make all the Legislature's documents, audio and video recordings accessible to the users. Where appropriate, access to certain specified information or groups of information should be able to be restricted.

ENCOURAGE THE INFORMATION DISTRIBUTION PARADIGM SHIFT

Currently, the Legislature has to "push" large volumes of paper at users, whereas it would be preferable to allow them to "pull" only the information they require. Currently, every official document is distributed to every member because they must all receive a copy - a system that is easy to operate but very wasteful of resources with upwards of 90% of all paper not being properly read -

of this half will be thrown away immediately, and the other half filed for future reference (if the relevant document can be found again). The aim will be to provide all members with a one-page list of every document "published" each day - and they can then decide which they wish to print and read (by the click of the mouse). All documents will be retained in the databank for easy future reference.

This is - by the very nature of a paradigm shift - the most difficult objective to achieve, yet the one with the greatest rewards to all if it can be achieved. Although it can be "imposed" on staff, members working practices may preclude it from being feasible for all members. Nevertheless, even a partial usage for members will still reduce costs and improve the information flow.

STABILITY, RELIABILITY & PERFORMANCE

The IT infrastructure must provide a stable and reliable system - available to all users whenever required, and which responds without excessive delays. Significant upheavals should be pre-determined.

INTEGRATION

The software and hardware systems purchased should allow for a high level of integration, permitting information from one system to be used by another without complex re-formatting or conversion processes. Further, where-ever certain key data is stored in one location, this data should not be duplicated unnecessarily.

This issue should be taken further to ensure that the same system that is used for capturing information is also used for generating reports and to access the information. This will ensure that the people responsible for generating the data will play an active role in the production of the reports. Otherwise, someone else may introduce a system that requires the same information to be captured separately so that suitable management reports can then be created. If a single system is used, the data is more likely to be consistent, and there is no duplication.

FLEXIBILITY & SCALABILITY

The systems should, wherever practical, ensure flexibility and scalability through the use of non-proprietary systems on standard platforms. This will allow changes or upgrades to various components (including software) to be made with minimal disruption to the users and without loss of the required integration.

SECURITY & INTEGRITY

The data (text, graphical, audio & video) – both online and archived - should remain secure and uncorrupted.

KEY SUCCESS FACTORS / IMPERATIVES

OUTSOURCE THE CORE IT FUNCTIONS TO ONE CONTRACTOR

The Legislature is an integral part of the State but is constitutionally independent and obliged to carry out oversight of the Government. Hence it is unwilling to draw upon the resources of the Government to support its IT functions. It is also independent of the State Information Technology Agency (SITA).

In order to achieve the objectives set out above, a wide range of expertise - at a high level - would be required. This cannot be provided by just two or three people, but requires a large number of people with different expertise (network

management, "office" software management, internet development, database management, communications engineering, etc).

Even if staff with all the required expertise could be found, little career development would be possible, and extensive training would be required to keep their skills up-to-date. Further, the IT functions are required on a continuous basis, and so additional staff would have to be employed as a backup should a staff member go on leave - or even be off sick for a single day.

Rather than employ its own staff, with the concomitant high staff turn-over, the Legislature will continue with its outsourcing of the IT support function not for purely financial reasons (although after all ancillary costs are accounted for, it will be cheaper) but to:

establish a long-term partnership with the contractor to achieve continuity;
permit the contractor to understand the Legislature's working style and overall objectives;
provide the required number of reliable, experienced support staff on every working day;
provide additional experienced support staff or services when required (including at very short notice - i.e. within an hour) - even after hours and in shifts if essential;
ensure that the contract staff's knowledge is fully up-to-date and hence to support new systems with staff who are already experienced on the system;
provide expert support in any IT field required; and
operate in an environment that is the contractor's core competency, but one that the Legislature does not wish to take on.

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To achieve the above, a 5-year contract is required (industry norms are 8 to 10 years). If possible, the following timing proposal should be considered. Given that elections occurred in May 1999, and will again be due between May and July 2004, the new Legislature Services Board could approve the tender specifications during August 2004, giving time to award the tender and the contractor to take over during March 2005, as the old contract expires. This process then being repeated after every election.

OUTSOURCE THE SUPPORT OF BUSINESS SYSTEMS TO SPECIALISTS

The primary IT contractor will manage the hardware, network infrastructure, communications systems and core applications (office suite, e-mail system, database systems, etc). However, the Legislature will be using many business systems (Finance, HR, Library, etc). In many instances it will be preferable to have a company specialising in a specific system to support the business application, rather than relying on a generalist contractor (such as the primary) to support the software.

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MANAGE THE OUTSOURCING PROCESS

Since the Legislature will rely very heavily on these outsourcing contractors, it is essential that it actively manages the environment in which the systems are developed, so as to ensure that it is possible for another contractor to take over the work should it be required. Unless this is done, the Legislature may effectively lose ownership of its own IT systems.

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MAINTAIN A MINIMAL STAFF COMPLEMENT

Since the Legislature will rely very heavily on these outsourcing contractors, it does not need a large staff contingent. Further, since the contractor will be able to provide the core continuity, there is no need for back-up staff in the roles. Hence the complement can be maintained at a Manager and Assistant.

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MAINTAIN A BALANCED BUDGET

Modern IS systems are not cheap. However costs can be contained through using appropriate technology and not always having the latest gadgets.

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Further, a sensible split between different types of costs is required. Based on previous experience and the expected trends, the following split is likely to be required (on an annual basis over a three year cycle) for the IT, Technical and Print Room functions:

% costs of function per unit				Function	Description
Total	IT	Technical	Print Room		
30%	35%	30%	15%	Core business systems support	Primary contractors and/or staff costs
6%	10%	0%	0%	Specialised business system support	Specialised support relating to the business systems (non-operational related).
27%	14%	65%	5%	System infrastructure (system hardware)	IT servers, disk arrays, jukeboxes, routers, switches, network & telephone cabling, audio & video equipment, binding equipment, etc.
13%	17%	1%	22%	Desktop & departmental hardware	Purchase and/or rental of PC's, printers, manual fax machines, photocopiers, telephone handsets.
9%	15%	1%	0%	Licences (software)	IS software licences, TV licences
3%	5%	0%	0%	Services	Telkom data charges, ISP fees
6%	2%	3%	22%	Maintenance & repairs	Switchboard maintenance, technical maintenance contracts, photocopier usage charges
7%	2%	0%	36%	Consumables	Paper, ink cartridges, copier usage charges, binding consumables

NOTE: The above excludes replacing the PBX (not expected during the next 5 years). It also excludes the purchase and enhancements of business systems, as these are beyond the scope of this strategy.

Rand costs of function per unit				Function
Total	IT	Technical	Print Room	
R 2 725 000	R 1 750 000	R 750 000	R 225 000	System & user support
R 500 000	R 500 000	R 0	R 0	Business system support
R 2 400 000	R 700 000	R 1 625 000	R 75 000	System infrastructure
R 1 205 000	R 850 000	R 25 000	R 330 000	Desktop & departmental hardware
R 775 000	R 750 000	R 25 000	R 0	Licences
R 250 000	R 250 000	R 0	R 0	Services
R 505 000	R 100 000	R 75 000	R 330 000	Maintenance
R 640 000	R 100 000	R 0	R 540 000	Consumables
R 9 000 000	R 5 000 000	R 2 500 000	R 1 500 000	TOTALS

Although approximately half the above costs are related to imported items (and hence seriously affected by exchange rate and import duty fluctuations), it should be possible to keep the annual budget relatively constant over the plan period to a level of around R9 million (2000 prices). However, purchases of substantive business systems which require a high level of on-going support can be expected to change this.

NON-RELIANCE ON EXTERNAL FUNDING & ASSISTANCE

Although external funding and assistance will be actively sought, no essential systems will be allowed to rely on such funding or assistance for their successful implementation. This will be achieved by budgeting for the basic system internally, and using external funding for the “nice-to-haves”.

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WORK TOWARDS SYSTEMS INTEGRATION WITH OTHER LEGISLATURES

Given the existence of NiPS and the NCOP, the Legislature is now required to maintain a close relationship with national Parliament and the other legislatures. Since each of the other Legislatures has the same relationship, it means that all Legislatures must establish compatible systems with Parliament - and hence each other.

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The IS Managers Forum has been established within SALSA, and is already functioning to co-ordinate the IT systems between the Legislatures. The Gauteng Legislature must remain fully involved in this forum, and co-operate fully with all the other legislatures to maintain suitable compatibility.

Development of the ISM Forum into a legal entity (through SALSA) should be considered to allow for the purchase of bulk group software licences, etc - optimising IT expenditure.

WORK TOWARDS SYSTEMS INTEGRATION WITH THE GPG

Given the financial integration that national and provincial government is working towards, the Legislature must attempt to join in. However, there is a fundamental problem due to the fact we are not allowed to connect our network to the government LAN or WAN. Nevertheless, some form of communication can be established to facilitate the sharing of information.

CENTRALISE CAPITAL PURCHASES UNDER TECHNOLOGY UNIT

Given the close integration in the technical field, the purchase of all capital equipment (analogue and digital copiers, fax machines, all telephone equipment, security equipment, etc) must be centralised under one manager. This will allow the optimal equipment / software to be purchased. Nowadays it makes no sense to separate the purchase of fax-mail from fax machines. However, the responsibility for operation of the equipment will remain with the relevant line department.

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This will mean that the Technology Manager must liaise with:

- (1) The Admin Manager on the number & specification of all handsets and switchboard equipment and software. The Technology Manager will be responsible for the purchase and maintenance of the equipment and the budget thereof.
- (2) The Documents & Services Manager on the number and specification of photocopiers given the integration between copiers with printers and scanners. The Technology Manager will be responsible for the purchase of the equipment and the budget thereof, but not for the maintenance, which will be of a fully comprehensive nature, so need not involve the Technology Unit.
- (3) The Documents & Services Manager on the number and specification of fax machines given the integration between fax machines and the fax-mail system. The Technology Manager will be responsible for the purchase and maintenance of the equipment and the budget thereof. The Technical contractor may be in a position to offer first-line support for the fax machines.

- (4) The Security Manager on the specification of the access control system and its components. The Technology Manager will be responsible for the purchase and maintenance of the equipment and the budget thereof. The Technical contractor may be in a position to offer first-line support for the access control system.
- (5) The Security Manager on the specification of the fire detection and ancillary systems and its components. The Technology Manager will be responsible for the purchase and maintenance of the equipment and the budget thereof. The Technical contractor may be in a position to offer first-line support for the fire detection and ancillary systems.
- (6) The Security Manager on the specification of the X-ray machines, metal detectors and booths and their components. The Technology Manager will be responsible for the purchase and maintenance of the equipment and the budget thereof. The Technical contractor may be in a position to offer first-line support for the X-ray machines, metal detectors and booths.

CENTRALISE THE MANAGEMENT OF IS PROJECTS

In order to keep the development of the Legislature's IS and Technical systems within this strategy, it is essential that all projects involving IT should be managed through the Technology Manager. This requirement must include everything from upgrading a version of software to changing parameters on an existing system, such as SAP.

If this is not done, and the Technology Manager is not aware of changes undertaken, then it becomes impossible for him/her to ensure that the system works properly, or to quickly remedy problems that may occur in other systems that share information or resources (such as a server) with that application.

ESTABLISH MONITORING PROCEDURES FOR INTERNAL BILLING

An effective monitoring system will be introduced so that expenditure can be effectively controlled, and costs allocated to the departments and/or political parties - even if actual billings are not made. This will be restricted, at this stage, to the use of photocopiers & printers.

This will permit the directorate to identify where further cost savings and/or efficiencies can be achieved.

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DEVELOP COMMON USER INTERFACE

Apart from the (relatively) few staff members who create data, the remaining users (especially the external users) will generally only access the legislature's data. The modern trend is to use internet technology - i.e. web browsers. This means that whether a person is working from the Gauteng Legislature, national Parliament, or anywhere in the world, the program that they will use is the same.

The only difference is:

people inside the legislature will use the Intranet; and
the general public will use the Internet web site.

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The Legislature's internal users will also use the e-mail / fax-mail / calendaring system directly, as this is much quicker - but it will also be able to be accessed from outside the Legislature - but through the web browser.

Only "expert" users will learn the more specialised software, such as word-processors, spreadsheets, etc.

PROVIDE SUITABLE TRAINING

One of the key factors to the IT facilities being used effectively is to ensure all the users are properly trained and hence empowered for the digital era. To achieve this, it is essential that suitable training be available to all internal users whenever required. The training will not just be as to how to use the software, but how to access the relevant information - an ongoing process, closely related to the functions of the Library.

In order to achieve this, it is intended that an in-house trainer be retained. However, it must be noted that it is the role of HR to handle the training aspects – the Operational Support directorate can only identify areas where training may be required.

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ENSURE COMMITMENT FROM ALL MEMBERS / PARTIES

Given the commitment to providing extensive training to all users, a corresponding commitment from the members and political parties is also required.

The Legislature will make the most effective use of its IS infrastructure if every member and political party support staff member uses the facilities provided. In order to achieve this, the LSB (or other appropriate body) should consider how to ensure that members and staff gain the appropriate skills - with all the training being provided internally free-of-charge.

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ENSURE EACH BUSINESS SYSTEM HAS ITS SPONSOR / CHAMPION

New systems cannot be imposed, especially when (as IT solutions invariably require) new working methods are needed. Consequently, it is critical for one of the people who will use the system to be that system's advocate. They will then be prepared to help others to make effective use of it. Without such a sponsor, no system can work - however much management desires it.

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MINIMISE PURCHASES OF SPECIALIST BUSINESS SOLUTIONS

The majority of users will only require to use two software packages:

- (a) a web browser; and
- (b) a communications program, integrating e-mail, fax-mail, voice-mail & calendar.

The more advanced users will require an "office" suite including word-processor, spreadsheet and presentation programs.

Specialised systems will only be used by a few staff members, and will require specialised training and (often ignored) extra support from the IT contractor.

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MAXIMISE SOFTWARE UTILISATION

Upgrades to software packages are released regularly. However, the vast majority of the features of these upgrades are not required by users, so there is little real reason to purchase them. Consequently, the Legislature will not keep upgrading software packages unnecessarily, but rather develop users skills to make full use of all the features of the software installed.

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DETERMINE DATABASE SYSTEMS AND DEVELOPMENT METHODOLOGIES

Given the Legislature's current size, the two databases that should be used for all applications are MS Access and MS SQL server. The development of all

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applications for such systems must be co-ordinated through the primary contractor, so that should the person developing leave, support for the system can be continued.

PLAN SOFTWARE UPGRADES / SYSTEM MAINTENANCE CAREFULLY

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Section 5.16 above does not mean that upgrades are never needed. The most usual reason to upgrade is that many companies (including Microsoft) will not support packages more than two or three years old. If nothing ever changed on the system this would not be critical, but the server software has to be updated regularly fixing bugs and other problems. Obviously the supporting company will only bother to create fixes on its latest version, so the server operating system needs to be continually upgraded. However, the latest versions of this software may not support the "old" software used on PC's. Consequently, desktop software will need approximately 3-yearly upgrades simply to keep reasonably up-to-date.

Other major maintenance is also required, including the occasional rebuilding of servers to improve efficiency and free up disk and other space. Because these disrupt services, the following schedule is planned:

- major system upgrades to take place during the winter recess when there is plenty of time for training;
- major system maintenance to take place during the summer recess when server shutdowns will have minimal impact; and
- IT management changes restricted to the first summer recess after an election (see section 5.1 above).

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The current plan for the major system upgrades is as follows:

Date	Server operating system	PC operating system	Office suite
1994	Novell	Windows 3.1	Perfect Office 5.1
July 1997	Windows NT 4	Windows 95	Office 97 (v.7)
July 2001	Windows 2000 (pt 1)	Windows 2000	
Dec 2001	Windows 2000 (pt 2)		
July 2002			Office/Outlook
July 2004	(1)		

(1) May not be a Microsoft product at all, conceivably a product such as Linux.

MAXIMISE SERVER-BASED CONFIGURATIONS

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In order to allow people to work from any PC (including those in Regis House), greater use of concepts such as roving profiles should be used, whereby all a person's desktop configuration information is stored on the server, so is accessible from whatever PC he/she logs on from.

ENSURE DATA INTEGRITY & SECURITY

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Procedures need to be designed and implemented to ensure that electronically archived data remains secure and unaltered. Once effective procedures are in place, rules and/or legislation to formalise such procedures must be considered.

ENSURE DISASTER RECOVERY / BACKUP PROCEDURES EFFECTIVE

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The configuration of individual servers and the server inter-connectivity must be such that should any one server fail, another can take over its tasks with minimal interruption. Consideration should also be given to systems to handle the loss of

the existing server room, or severe damage (fire) to one of the risers. This will only be achievable with the necessary investment in a second server room.

PURCHASE RATHER THAN RENT EQUIPMENT

The Legislature does not pay tax, so cannot benefit from offsetting rental charges against income – which makes rental attractive to the corporate sector. Consequently, all equipment should be purchased wherever practical, and suitable maintenance agreements entered into where the guarantees are insufficient.

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PURCHASE TOP QUALITY SERVER INFRASTRUCTURE

Given the objectives and trends, the Legislature will rely heavily on its server infrastructure. On this basis, the newest top quality servers (of the appropriate capacity) should be purchased.

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As a rule, replacing approximately 25% of the servers should be undertaken, subject to an assessment of the current and anticipated needs over the coming years. However, the life-cycle of between 3 and 4 years for servers must be recognised, so it that if purchases are decreased in one year, they are likely to increase in the following year. In general the new servers will be "top-end" servers (i.e. the most powerful) since this will allow the previous year's "top-end" server(s) to be allocated to the next most important system. This annual cascading of technology will utilise the Legislature's server resources optimally - and also provide the opportunity to rebuild each server annually, so minimising routine maintenance problems. This work would generally take place over the Christmas recess (see section 5.18 above).

MOVE TO RACK MOUNTED SERVER CONFIGURATION

Given the relatively limited space available in the server room(s), and the need for more than one contractor to work on the systems, it is necessary to start moving to rack mounted systems. In time, the additional costs incurred will be recovered by the more efficient operation of the contractors.

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PURCHASE QUALITY DESKTOP HARDWARE

Desktop hardware is defined as PC's, printers, scanners and also laptops (and perhaps in the future, palmtops) – i.e. equipment used by users. Since the majority of the staff of the Legislature will rely on their PC as their primary work tool, reliability is again important. Although it is not necessary to buy the highest quality PC's and printers, they should be from one of the quality manufacturers, and not the cheapest clone available.

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Again, cascading of PC's is desirable, with approximately 25% of the total stock being purchased annually if an assessment shows that it is required. Again, decreases in one year are likely to impact on the next year's budget. The newest PC's going to the units such as Finance, Human Resources, Procurement, Hansard, Research, Proceedings and Committees, followed by the political party support staff, thereafter the remainder of the staff, with the oldest of the equipment being supplied to members.

This order reflects the amount of data each group of users "creates" which requires greater power (i.e. a newer PC), while the members will generally only be accessing data – which requires the least power. Four-year-old equipment may require additional memory, but will otherwise have the capacity to access

information from the Internet. To some extent, this distribution naturally reflects the 'thin-client PC' concept referred to in section 2.3 above.

MINIMISE MULTIMEDIA CAPABILITIES ON DESKTOPS

Although there is a trend in the IT industry to provide more and more multimedia capabilities in PC's, these are generally aimed at the home user. However, there is an application within the Legislature that will be introduced that would require multimedia capabilities. When audio recordings are available on-line, many members may want to listen to the original recordings of House, committee or public hearings.

This is most likely in the case of the Premier's opening address, the budget speech, special addresses to the House, and presentations to committees. However, in all cases transcripts of these are prepared, so access to such audio recordings will primarily be of interest to the public (via the internet) and media.

Since sound cards are now being installed in PC's as standard, the multimedia capabilities being covered here are high quality sound cards, CD-ROM and DVD ROM drives, and large format screens.

A few multimedia PC's should be provided for access to all in the Library and party shared-resource centres.

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MAINTAIN EFFICIENT CABLING SYSTEMS

Given the possibility of both extensive multimedia usage and remote access, cabling design and capacity will become important - since the former requires extensive expenditure on internal cabling, while the latter requires the opposite. In either case, the overall cabling of the legislature must be tackled in a holistic manner given the large number of separate systems including IT, audio, MATV, bells, security, telephone and power.

The upgrading of the Legislature's backbone to fibre-optic is becoming overdue with the implementation of voicemail and other resource-hungry applications.

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CONCLUSION

This strategy is expected to provide a direction for the management and usage of Information Systems within the directorate, it will affect each and every person (members and staff) of the Legislature. As such, all must contribute towards its success, and be prepared to suggest amendments as and when necessary.

GAUTENG PROVINCIAL LEGISLATURE

INTERNAL AUDIT CHARTER

1.1.1.1.1.1.1.2 SEPTEMBER 2002

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1. INTRODUCTION

The purpose of this charter is to set out the nature, role, responsibility and authority of the Internal Audit function within Gauteng Legislature and to outline the scope of the internal audit work. The Internal Audit function will be established in terms of the Public Finance Management Act, 1 of 1999 (Section 38(i)(a)(ii)).

2. SCOPE

The Internal Audit function is an independent, appraisal service established by the Gauteng Legislature. Its purpose is to independently examine and evaluate the ongoing control process of the Gauteng Legislature and to provide counsel and recommendations for improvement whenever they are identified.

There are no restrictions placed upon the scope of internal audit's work. Members of the internal audit function engaged in internal audit work are entitled to receive whatever information or explanations they consider necessary to fulfil their responsibilities to senior management. In this regard, internal audit may have access to any records, personnel or physical property of the Legislature.

The scope of the Internal Audit function includes, but is not restricted to the review of:

- ? The reliability and integrity of financial and operating information and the means used to identify, measure, classify and report such information.
- ? The systems established to ensure compliance with those policies, plans, procedures, laws and regulations that could have a significant impact on operations and reports.
- ? The means of safeguarding assets and, where appropriate, verification of the existence of such assets.
- ? The economic and efficient management of the company's financial, human and other resources, and the effective conduct of its operations.
- ? Operations or programmes to ascertain whether or not results are consistent with established objectives and goals and whether or not the operations are being carried out as planned.

The Internal Audit function objectives, defined in terms of audit focus, are:

- ? Financial auditing: which aims to ensure that reliable information is produced for both management purposes and external publication and that adequate controls exist to safeguard assets.
- ? Operational auditing: which focuses on the effectiveness and efficiency of the substructure's operations.
- ? Compliance auditing: which addresses compliance with relevant national laws and regulations, best practice and the Gauteng Legislature's established policies and procedures.

Compliance auditing is performed after the internal controls have been evaluated and is defined as test of controls. The overall objective of this is to express an opinion on the achievement of the control objectives of each significant system

Although external audit should express an opinion on financial statements, internal audit should also perform limited regularity audits to ensure that the following aspects are receiving immediate attention.

- ? Auditing of financial systems and transactions which includes the evaluation of compliance with applicable laws, regulations, policies and instructions;
 - ? Audit of the policy and administrative decisions taken within the Legislature; and
 - ? Reporting of any other matter arising from or relating to the audit that the auditor considers should be disclosable.
- ? IT Auditing: which reviews the controls over information technology and whether IT supports the Gauteng Legislature's objectives.

A high level review of the Information Technology (IT) controls to obtain an understanding of the control environment to support the audit risk assessment and to ensure that proper IT controls are in place in such a way as to ensure the IT support the business objectives of the Legislature.

Apart from the high level review referred above it can also be expected to review specific computer and applications controls, controls over changes in the computer systems, the methodology of systems development, internal controls and procedures, back up and recovery procedures, disaster recovery plan and the physical control of the computer facilities.

Control risks performed by the system itself and reliance placed on new controls should

be evaluated. Segregation of duties other than those enforced by manual procedures, like programmed procedures and passwords should also be audited. Risk rating of all systems and functional areas as seen by management should be reviewed, and the management of these risk should be reported on.

- ? Performance auditing: The promotion of economy, efficiency and effectiveness depends on adequate overall management arrangements for planning, budgeting, authorisation, control and evaluation of the use of resources. Whereas accounting officers are responsible for the implementation of proper functioning of such overall management arrangements, the responsibility of performance audit is to confirm independently that these measures do exist and are effective and to report to the management and the audit committee on these issues.

In the course of an investigation into overall management processes at the Legislature, the following will receive attention:

- ? System planning, budgeting, authorization, control and evaluation in respect of revenue, expenditure and the allocation of resources;
- ? The effect of decisions beyond the control of the Legislature which have had an adverse influence on the Legislature;
- ? Measures ensuring the proper management of all resources of the Legislature;
- ? Measures developed to derive benefit from economics of scale of expertise, especially in the provision of goods and services;
- ? Specific steps aimed at improving economy, efficiency and effectiveness of the activities of the Legislature;
- ? Proper assignment of responsibilities, powers and accountability and measures to monitor results against predetermined objectives, performance norms and standards to ensure that above-average performance is encouraged and unacceptable performance is corrected timeously;
- ? Whether policy objectives were set and policy decisions taken with the necessary authority;
- ? The extent to which policy objectives were set and decisions taken on the basis of adequate, appropriate and reliable financial and other information and whether the critical underlying assumptions have been disclosed;
- ? If satisfactory arrangements for the considerations of alternative possibilities were made;
- ? Whether established policy goals and objectives as well as decisions on the implementation of policy are clearly defined and in line with the priorities of the government, and whether they were taken with proper authority at the appropriate level;

- ? Whether conflict or possible conflict exists between the various policy goals or objectives, or between the methods chosen to implement them.
- ? Fraud limitation: is the identification and prevention of fraud clearly a management responsibility. Internal audit is well qualified to assist management to identify the main fraud risks facing the Legislature and could assist management in designing appropriate controls that could minimise the effects of the risks.

3. AUTHORITY

Internal Audit reports directly to the Provincial Secretary and has unrestricted access to the Chairperson of the Audit Committee. This reporting relationship ensures independence of the Internal Audit function.

Internal Audit will remain independent of all line and functional management. Independence of Internal Audit will be ensured by:

- ? Establishing a clear policy that gives full access to Internal Audit of all records, property, resources and personnel at all times.
- ? Allowing Internal Audit unrestricted access to the Provincial Secretary and the Chairperson of the Audit Committee.
- ? Not assigning any line management functions to Internal Audit.
- ? Vesting responsibility for the appointment and removal of Internal Audit will be that of the Provincial Secretary.

Internal Audit has the authority to issue reports to the PROVINCIAL SECRETARY of the Gauteng Legislature and the Chairman of the Audit Committee. Approval of the Audit Committee should be obtained prior to distribution of reports to external parties.

Audit work performed should be in accordance with the overall audit plan approved by the Audit Committee. Internal Audit will submit to the Audit Committee for approval an annual internal audit plan, setting out the recommended scope of their work for the period.

The plan will also identify the costs of resources necessary to fulfill the plan. If necessary the Audit Committee may request up to a three-year audit plan.

The annual plan will be developed with reference to a longer term strategic perspective for internal audit work, prepared in conjunction with management and approved by them, and should have regard to the business plans, risk management strategy and strategic perspective of the organisation as a whole.

Internal Audit will carry out the work as agreed, report the outcome and findings, and will make recommendations on the action to be taken as a result, by means of reports to management and the Audit Committee.

Internal Audit reports will normally be in writing. The details, unless otherwise requested by management, will be copied to relevant line management, who will already have been made fully aware of the detail and whose co-operation in preparing the report will have been sought. Supporting detail will be available on request.

Requests for special investigations or reviews that are not part of the audit plan should be approved by the Provincial Secretary.

4. RESPONSIBILITIES

Internal Audit is responsible for:

- ? Assessment of critical business risk.
- ? Evaluating the adequacy and effectiveness of the organisation's system of internal control.
- ? Accomplishing the work defined on the scope statement through approved audit plans.
- ? Reporting the results of the work to senior management, the Audit Committee and the Provincial Secretary.
- ? Ensuring that audit recommendations are acted upon promptly and where the recommendations have not been implemented, reporting this to the Audit Committee.

Internal Audit will discharge its responsibilities by conducting work in accordance with the Standards for the Professional Practice of Internal Auditing established by the Institute of Internal Auditors, the provisions of the Public Finance Management Act, Number 1 of 1999, and regulations as published in the Government Gazette from time to time.

Internal audit is not responsible for any of the activities, 'which they audit'. Members of the internal audit function will not assume responsibility for the operation or control of any procedures.

Management of the Gauteng Legislature is responsible for the following:

- ? Establishing and maintaining an adequate system of internal control.
- ? The prevention and detection of fraud and irregularities.
- ? Reviewing Internal Audit reports within a period not exceeding two weeks and implementation of recommendations as considered appropriate. Internal Audit may