

QUARTERLY PERFORMANCE REPORTS: 2016/17 - First Quarter
 PROVINCE: KWAZULU-NATAL
 Sector: Provincial Treasury

Programme / Sub programme / Performance Measures	Target for 2016/17 as per Annual Performance Plan (APP)	1st Quarter Planned output as per APP	1st Quarter Preliminary output	1st Quarter Actual output - validated	2nd Quarter Planned output as per APP	2nd Quarter Preliminary output	2nd Quarter Actual output - validated	3rd Quarter Planned output as per APP	3rd Quarter Preliminary output	3rd Quarter Actual output - validated	4th Quarter Planned output as per APP	4th Quarter Preliminary output
QUARTERLY OUTPUTS												
Programme 1: Administration												
1.1 Chief Financial Office												
Compile Budget submission and Strategic planning documents (EPRE; APP*4; AR, PP; ADJ EST; CF & MTEF)	10	10	2		3			2			3	
Provide legislative financial reports (IYM X 12, QPR*4; AFS*1)	20	17	5		4			4			4	
Supply Chain Management compliance reports	12	12	3		3			3			3	
Updated asset register - Asset count	2	2	1		N/A			1			N/A	
Overall annual MPAT rating on KPA4: Financial Management	New	Overall annual MPAT rating of 3	Finalised moderated rating of 3		N/A			N/A			N/A	Finalised moderated rating of 3
1.2 Human Resource Management and Development												
Overall annual MPAT rating on Human Resource Management	Overall rating of 3.86 obtained	Overall annual MPAT rating of 3	Finalised moderated rating of 3		N/A			N/A			N/A	Finalised moderated rating of 3
No. of HR seminars	10 sessions	8 seminars	2 seminars		2 seminars			2 seminars			2 seminars	
No. of EWP seminars	7 information seminars	4 information seminars	1 information seminar		1 information seminar			1 information seminar			1 information seminar	
No. of policies developed/ reviewed and seminars conducted	10 policies and 10 seminars	8 policies and 8 seminars	2 policies and 2 policy related seminars		2 policies and 2 policy related seminars			2 policies and 2 policy related seminars			2 policies and 2 policy related seminars	
Annual Human Resource (HR) Plan developed	MTEF HR Plan & Annual HRPIR	1X Annual HR Plan	Annual HR Plan		N/A			N/A			N/A	
Quarterly monitoring reports to ensure implementation of HRP	4 x Qrly monitoring reports	4 quarterly HRP implementation monitoring reports	1 quarterly HRP implementation monitoring report		1 quarterly HRP implementation monitoring report			1 quarterly HRP implementation monitoring report			1 quarterly HRP implementation monitoring report	
Annual Work Place Skills Plan developed	1 x annual WSP	1X Annual WSP	Annual WSP		N/A			N/A			N/A	
Quarterly monitoring reports to ensure implementation of WSP	4 X quarterly implementation reports	4 quarterly WSP implementation monitoring reports	1 quarterly WSP implementation monitoring report		1 quarterly WSP implementation monitoring report			1 quarterly WSP implementation monitoring report			1 quarterly WSP implementation monitoring report	
1.3 Information Technology Management												
No. of initiatives implemented	2	2	N/A		1			N/A			1	
No. of policy reviews completed	5	4	1		1			1			1	
No. of compliance reports completed	12	12	3		3			3			3	
No. of information sessions conducted	5	4	1		1			1			1	
Mean time to resolve (MTTR)-Treasury	44 min	4hr MTTR	4 hr MTTR		4 hr MTTR			4 hr MTTR			4 hr MTTR	
Percentage network uptime	1	1	1		1			1			1	
Programme 2: Fiscal Resource Management												
2.1. Economic Analysis												
To provide an economic analysis for the province	Produced 4 provincial department economic reports	Produce 4 provincial department economic reports	1		1			1			1	
	Produced 1 Socio-Economic Review and Outlook report (SERO)	Produce 1 SERO	N/A		N/A			N/A			1	

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	Produced 1 Provincial Economic Review and Outlook (PERO)	Produce 1 PERO	N/A		1			N/A			N/A	
To provide input to the Overview of Provincial Revenue and Expenditure (OPRE)	Produced 9 district Socio-economic Reports	Produce 9 districts socio-economic reports	3		3			3			N/A	
	Input to OPRE submitted on time for tabling	OPRE submitted on time for tabling	N/A		N/A			N/A				1
To provide quality research for regional policy analysis	Produced 7 economic research projects	Produce 5 economic research projects	1		2			2			N/A	
2.1. Infrastructure Management Assessment report on the User Asset Management Plans (U-AMPs)	Compiled a consolidated assessment report on the User Asset Management Plans(U-AMPs)	Compile a consolidated assessment report on U-AMPs	N/A		1			N/A			N/A	
Reports on the implementation of the IDMS in KZN	Produced 4 reports on the implementation of IDMS in the province	Produce 4 reports on the implementation of IDMS in the province	1		1			1				1
Progress reports on infrastructure budgets and delivery plans using IRM data	Submitted 4 reports on the infrastructure expenditure in the province	Submit 4 reports on the infrastructure expenditure in the province	1		1			1				1
Reports on the infrastructure site visits conducted	Submitted 4 reports on the infrastructure site visits conducted	Submit 4 reports on the infrastructure site visits conducted	1		1			1				1
Estimates of Provincial Revenue and Expenditure (EPRE)	Input into OPRE submitted on time for tabling	Input into OPRE on time for tabling	N/A		N/A			N/A				1
Reports on support to develop the Provincial Infrastructure Plan(IMP) KZN	Produced 4 Reports on the support to develop Provincial IMP	Produce 4 reports on the support to develop Prov IMP	1		1			1				1
Reports on infrastructure funding mechanisms and opportunities to support the provincial fiscal framework	Produced 4 reports on the infrastructure mechanisms in the province	Produce 4 reports on the infrastructure mechanisms in the province	1		1			1				1
2.2. Public Finance : Provincial Budget Management No. of chapters in MTEC reports	15	15 chapters completed 1 working day before MTEC as per budget process timetable	N/A		15			N/A			N/A	

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Estimates of Provincial Revenue & Expenditure	1	EPRE on time for tabling	N/A		N/A			N/A			1	
Adjusted Estimates of Provincial Revenue and Expenditure (AEPRE)	1	AEPRE on time for tabling	N/A		N/A			1			N/A	
Section 32 report (Monthly provincial IYM report)	12	12 IYM reports p/a (submitted to NT by 22nd monthly)	3		3			3			3	
Quarterly performance reports for provincial department	4	3 quarterly performance reports	1		1			1			N/A	
2.2. Public Finance : Provincial Own Revenue Conduct and co-ordinate quarterly Provincial Revenue Forums	4 forums conducted per year	1 Forum per year	N/A		N/A			1			N/A	
Monitoring of departmental revenue collection	3 Revenue Quarterly Performance Reports	3 Revenue Quarterly Performance Reports	1		1			1			N/A	
Revenue input into Overview of Provincial Revenue (OPRE) and Estimates of Provincial Revenue and Expenditure (EPRE)	Revenue input into OPRE and EPRE submitted on time for tabling	Revenue input into OPRE and EPRE on time for tabling	N/A		N/A			N/A			1	
2.2. Public Finance : Special Advisory Support services Input into the revision and maintenance of DORA	PT input into 2016 DoRA was submitted to NT by due date	Input to be submitted by due date as set by NT	Input to be submitted by due date as set by NT		Input to be submitted by due date as set by NT			Input to be submitted by due date as set by NT			Input to be submitted by due date as set by NT	
Institutionalise framework for the monitoring of provincial public entities	Reported for all listed public entities	Report bi-annually for all listed public entities	N/A		1			1			N/A	
2.3 Municipal Finance Section 71(6) report (Monthly municipal IYM report) within the prescribed time frame ¹	12 Section 71 (6) reports, 22 working days after end of each month	12 Section 71(6) reports	3 reports		3 reports			3 reports			3 reports	
Section 71(7) quarterly budget performance reports ¹	4 Section 71 (7) Quarterly budget performance reports, 45 days after end of quarter	4 Section 71(7) Quarterly budget performance reports	1 report		1 report			1 report			1 report	
No. of municipalities supported by the Municipal Support Programme (MSP)	40 municipalities supported through the MSP	10 municipalities to be supported through the MSP	2 municipalities		2 municipalities			3 municipalities			3 municipalities	
Programme 3: Financial Management 3.1 Cash Management and Liabilities Conduct Tax Information Seminar annually	2 sessions	1 session	NIL		1 session			NIL			NIL	
Risk analysis per dept to ensure compliance to tax legislation	60 reports	56 reports	14 Risk Analysis reports		14 Risk Analysis reports			14 Risk Analysis reports			14 Risk Analysis reports	

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Provide quarterly assessment reports to depts on the status of bank related suspense accounts	60 Compliance Assessment reports	56 assessment reports	14 assessment reports		14 assessment reports			14 assessment reports			14 assessment reports	
Review monthly bank reconciliations per department	180 Reconciled bank reconciliation	168 reconciled bank reconciliation	42 reconciled bank reconciliation		42 reconciled bank reconciliation			42 reconciled bank reconciliation			42 reconciled bank reconciliation	
Produce quarterly report on withdrawals from municipal bank accounts	4 reports on withdrawals from municipal bank accounts	4 reports on withdrawals from municipal bank accounts	1 report		1 report			1 report			1 report	
3.2 Public Private Partnership (PPP)												
Number of seminars/workshops conducted for Provincial departments, Public entities, Municipalities,	2	2	N/A		1			N/A			1	
No. of reports for Provincial Treasury management and NT PPP unit	12	12	3		3			3			3	
Contract management reports on closed deals	12	12	3		3			3			3	
3.3 Supply Chain Management												
No. of SCM training sessions and information sessions conducted	Conducted 37 SCM training, information sessions and workshops for state institutions	Conduct 8 SCM training, information sessions, workshops and forums for state institutions	2		2			2			2	
No. of assessments	Conducted 95 SCM compliance assessments and investigate complaints in depts, munic. and public entities	Conduct 60 SCM assessments in depts, munic. and public entities & investigate complaints	15		15			15			15	
No. of policies reviewed and issued	Reviewed and updated 6 policies	Review and update policies (4)	1		1			1			1	
No. of contract management analysis conducted	New	Conduct 8 contract management reviews for state institutions	2		2			2			2	
3.4 Financial Reporting												
Consolidated of AFS for Provincial Departments and Revenue Fund	Consolidated Departments AFS for FY 14/15 tabled in legislature	Audited Consolidated AFS for FY 2015/16 by 30 November 2016	N/A		N/A			Audited Consolidated AFS for FY 2015/16 by 30 November 2016			N/A	
Consolidated of AFS for Public Entities tabled in Legislature	Consolidated Public Entities AFS for FY 14/15 tabled in legislature	Audited Consolidated AFS for FY 2015/16 by 30 November 2016	N/A		N/A			Audited Consolidated AFS for FY 2015/16 by 30 November 2016			N/A	
Annual Financial Statements for the Revenue Fund tabled in Legislature	Revenue Fund AFS 2014/15 submitted	Audited Revenue Fund for FY 2015/16 by 30 November 2016	N/A		N/A			Audited Revenue Fund for FY 2015/16 by 30 November 2016			N/A	

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Provincial Audit Outcome Analysis for Municipalities, Departments and Public Entities	Summary of Audit Outcomes Analysis for Provincial Departments and Public Entities for 2014/15 submitted to National Treasury.	Summary of Audit Outcome Analysis on AG's audit Report for Provincial departments and public entities by 30 Sept 2016	N/A	Summary of Audit Outcome Analysis on AG's audit Report for municipalities by 28 Feb 2017	N/A	N/A	N/A	N/A	N/A	N/A	Summary of Audit Outcome Analysis on AG's audit Report for municipalities by 28 Feb 2017	N/A
AFS Support and Training to Provincial Departments	2 AFS Training Workshop conducted	1 AFS training workshop by 30 April 2016	1 AFS training workshop by 30 April 2016		N/A			N/A			N/A	N/A
	Pre-audit review in 16 departments	Pre-audit review in 15 Departments by 31 May 2016	Pre-audit review in 15 Departments by 31 May 2016		N/A			N/A			N/A	N/A
	New	Progress reports on intensive on-site financial management support to 4 Departments within 10 days of every quarter end	Progress reports on intensive on-site financial management support to 4 Departments within 10 days of every quarter end	Progress reports on intensive on-site financial management support to 4 Departments within 10 days of every quarter end				Progress reports on intensive on-site financial management support to 2 Departments within 10 days of every quarter end			Progress reports on intensive on-site financial management support to 4 Departments within 10 days of every quarter end	
Financial Management Monitoring Support to Public Entities	Not Achieved	Pre-audit review in 2 public entities by 31 May 2016	Pre-audit review in 2 public entities by 31 May 2016		N/A			N/A			N/A	N/A
	Not Achieved	1 AFS training workshop for public entities by 30 April 2016	1 AFS training workshop for public entities by 30 April 2016		N/A			N/A			N/A	N/A
Financial Management Monitoring Support to Municipalities	1 AFS training workshop conducted for municipalities	1 AFS training workshop for municipalities by 30 June 2016	1 AFS training workshop for municipalities by 30 June 2016		N/A			N/A			N/A	N/A
	Pre-audit Progress	Pre-audit Progress	N/A municipalities by 30 August 2016	Pre-audit Progress				N/A Progress			N/A Progress reports	

3.5 Norms & Standards

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No. of instruction notes/ policies developed and reviewed for departments, municipalities and their respective entities	1 Municipal circular developed 31 instruction notes and 73 policies reviewed, 9 policy developed and 8 standard operating procedures developed. (121)	48 instruction notes and policies developed and reviewed	6 instruction notes and 6 policies reviewed	6 instruction notes and 6 policies reviewed				6 instruction notes and 6 policies reviewed			6 instruction notes and 6 policies reviewed	
No. of departments assessed and monitored	All	All	All	Departments assessed and monitored				All			All departments	
3.6 Supporting and Interlinked Financial Systems												
Mean time to resolve (transversal systems)	2hr18 min	8-16 hr MTTR	8-16 hr MTTR		8-16 hr MTTR			8-16 hr MTTR			8-16 hr MTTR	
3.7 Gammimg and Betting												
Implementation of KZN Gaming and Betting legislation	Amendments still in progress at Legislature stage	Implementation of the 2016 Act and Number of draft Regulations	1	1	1			1			1	
Number of Quarterly Regulatory reports on Board Activities	Analysed and reported on quarterly reports received from the Board	4 quarterly reports	1	1	1			1			1	
4 Reconciled Tax Returns	New	4 Reconciled Tax Returns	1	1	1			1			1	
Functionality of the KZN Gaming and Betting Board	Board fully operational	4 Minutes of Board meetings	1	1	1			1			1	
Programme 4: Internal Audit												
4.1 Assurance Services												
No. of IA Annual operational plans and a rolling three year strategic plan developed and approved	22	22	22		N/A			N/A			N/A	
Annual Audit & Risk Committee report on clients' areas of risk management, governance and internal control submitted to MEC: Finance	2	1	N/A		1			N/A			N/A	
No. of risk based audit reports including follow up audit reports and reports on financial, IT, performance and governance audits.	173	176	30		50			40			56	
No. of audit reports on predetermined objectives.	27	22	N/A		N/A			11			11	
No. of meetings held between clients, the Cluster Audit & Risk Committee (CARC) and Provincial Audit and Risk Committee (PARC)	93	60	15		15			15			15	
No. of training and development programmes attended	13	12	3		3			3			3	
No. of internal and/ independent external quality assurance reviews conducted	-	1	N/A		N/A			N/A			1	
4.2 Advisory Services (Risk Management)												
Risk Registers updated, biannually, for provincial departments, municipalities and public entities	61	100	10		20			40			30	
Review risk management maturity of departments, public entities and municipalities, and assist with development of risk policies and procedures	27	50	N/A		20			20			10	
Review and/or assist with development of Occupational Health and Safety programmes for provincial departments, municipalities, and public entities	15	40	N/A		20			10			10	
Review and/or assistance with development of Governance Frameworks for departments and public entities	17	10	2		5			3			N/A	
Review and assist with development of DPSA compliant IT Governance Framework, including BCP for departments, municipalities, and public entities	36	40	10		30			N/A			N/A	
Assist with the provision of complex internal audit services/reviews provided to municipalities and municipal entities	10	15	5		5			5			N/A	
Review of internal audit and audit committee practices Of municipalities and municipal entities.	10	40	30		10			N/A			N/A	
Auditors												
Risk and governance-related conferences/forums held for provincial departments, municipalities, and public entities.	4	5	1		2			1				

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Best risk management/governance guidelines/transversal risk policies produced by the unit – i.e. review and update of provincial and municipal risk frameworks	3	1	N/A		1			N/A			N/A	
Risk Management Information System developed and rolled-out to provincial departments, municipalities, and public entities	17	5	N/A		5			N/A			N/A	
Review and/or assist with development of fraud prevention plans for provincial departments, municipalities, and public entities	36	70	N/A		N/A			35			35	
Risk/Governance-related training/awareness provided to risk officials of departments, public entities and municipalities	31	40	10		10			10			10	
4.3 Advisory Service (Forensic Services)												
No. of Forensic Audits performed and investigations as per clients requests and referrals from the Assurance team	35	40	10		10			10			10	
Updated register of forensic investigations – MEC Report	4	4	1		1			1			1	
Number of follow ups on completed investigations per institution	69	120	30		30			30			30	
Development and roll-out of Fraud Case Management System	1	1	1		N/A			N/A			N/A	
Update the Fraud Case Management System with forensic investigations per provincial department	145	15	N/A		5			5			5	
Programme 5: Growth and Development												
5.1 Other Developmental Activities												
Number of events coordinated successfully (Budget Communication).	13	5	2		1			1			1	

1. Information submitted by: Mr S Magagula Head Official: Provincial Treasury Tel No: 033-8974307

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Date:

Director-General OTP
Date: 12/08/2016