

QUARTERLY PERFORMANCE REPORTS: 2016/17 - 4th Quarter
 PROVINCE: KWAZULU-NATAL
 Sector: Provincial Treasury

Programme 7 Sub-programme 7 Performance Measures

QUARTERLY OUTPUTS

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
10	10	2	2	3	3	3	2	2	2	3	3
20	17	5	5	4	5	5	5	5	5	4	5
12	12	3	3	3	3	3	3	3	3	3	3
2	2	1	1	N/A	N/A	N/A	1	1	1	N/A	N/A
New	Overall annual MPAT rating of 3	Finalised moderated rating of 3	Only applicable in C	N/A	N/A	N/A	N/A	N/A	N/A	Finalised moderated rating of 3	N/A
Overall rating of 3.88 obtained	Overall annual MPAT rating of 3	Finalised moderated rating of 3	Only applicable in C	N/A	N/A	N/A	N/A	N/A	N/A	Finalised moderated rating of 3	N/A
10 seminars	8 seminars	1 information seminar	2 seminars	2 seminars	2 seminars	2 seminars	2 seminars	2 seminars	2 seminars	2 seminars	2 seminars
7 information seminars	4 information seminars	1 information seminar	2 seminars	1 information seminar	1 information seminar	1 information seminar	1 information seminar	1 information seminar	1 information seminar	1 information seminar	1 information seminar
10 policies developed	8 policies and 8 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars	2 policies and 2 seminars
Annual Human Resource Plan developed	1x Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan	Annual HR Plan
Quarterly monitoring reports to ensure implementation of HRP	4 x Quarterly HRP monitoring reports	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report	1 quarterly HRP monitoring report
Annual Work Place Skills Plan developed	1 x Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP	Annual WSP
Quarterly monitoring reports to ensure implementation of WSP	4 x 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 quarterly WSP implementation monitoring report	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 quarterly WSP implementation monitoring report
Information Technology Management	2	N/A	N/A	1	1	1	N/A	N/A	N/A	N/A	N/A
No. of initiatives implemented	4	1	1	1	1	1	1	1	1	1	1
No. of policy reviews completed	12	3	3	3	3	3	3	3	3	3	3
No. of compliance reports completed	5	1	1	1	1	1	1	1	1	1	1
No. of information sessions conducted	44 min	4 hr MTTR	48 min	4 hr MTTR	44 min	44 min	4 hr MTTR	48 min	48 min	4 hr MTTR	52 min
Percentage network uptime	89%	89%	90%	90%	90%	90%	90%	90%	90%	90%	90%
Produce 4 provincial department economic reports	Produce 4 provincial department economic reports	1	1	1	1	1	1	1	1	1	1
Produce 1 Socio-Economic Review and Outlook report (SERO)	Produce 1 Socio-Economic Review and Outlook report (SERO)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Produce 1 Provincial Economic Review and Outlook (PERO)	Produce 1 Provincial Economic Review and Outlook (PERO)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Produce 9 (final) Socio-economic Reports	Produce 9 (final) Socio-economic Reports	3	3	3	3	3	3	3	3	3	3
Input to OPRE submitted on time for tabling	Input to OPRE submitted on time for tabling	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Produce 7 economic research projects	Produce 7 economic research projects	1	1	2	1	1	2	2	2	2	2
Compiled a consolidated assessment report on the User Asset Management Plan (UAMP)	Compiled a consolidated assessment report on the User Asset Management Plan (UAMP)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Produce 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	1	1	1	1	1	1
Submitted 4 reports on the infrastructure expansion in the province	Submitted 4 reports on the infrastructure expansion in the province	1	1	1	1	1	1	1	1	1	1
Submitted 4 reports on the infrastructure site visits conducted	Submitted 4 reports on the infrastructure site visits conducted	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Input into OPRE submitted on time for tabling	Input into OPRE submitted on time for tabling	1	1	1	1	1	1	1	1	1	1
Produce 4 Reports on the support to develop Provincial IMP	Produce 4 Reports on the support to develop Provincial IMP	1	1	1	1	1	1	1	1	1	1
Produce 4 reports on the infrastructure mechanisms in the province	Produce 4 reports on the infrastructure mechanisms in the province	1	1	1	1	1	1	1	1	1	1
15	15	N/A	N/A	15	15	15	N/A	N/A	N/A	N/A	N/A
16 cheques completed	16 cheques completed	1	1	1	1	1	1	1	1	1	1
working day before MTEC as per budget process	working day before MTEC as per budget process	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
EPRE on time for tabling	EPRE on time for tabling	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AEPRE on time for tabling	AEPRE on time for tabling	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
12 IYM reports submitted to NT by 22nd month	12 IYM reports submitted to NT by 22nd month	3	3	3	3	3	3	3	3	3	3
3 quarterly performance reports	3 quarterly performance reports	1	1	1	1	1	1	1	1	1	1
4 forums conducted per year	4 forums conducted per year	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
3 Revenue Quarterly Performance Reports	3 Revenue Quarterly Performance Reports	1	1	1	1	1	1	1	1	1	1
Revenue input into OPRE and EPRE submitted on time for tabling	Revenue input into OPRE and EPRE submitted on time for tabling	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Public Finance - Provincial Own Revenue	Public Finance - Provincial Own Revenue	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Public Finance - Provincial Own Revenue	Public Finance - Provincial Own Revenue	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Monitoring of departmental revenue collection	Monitoring of departmental revenue collection	1	1	1	1	1	1	1	1	1	1
Revenue input into Overview of Provincial Revenue (OPRE) and Estimates of Provincial Revenue and Expenditure (EPRE)	Revenue input into Overview of Provincial Revenue (OPRE) and Estimates of Provincial Revenue and Expenditure (EPRE)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Public Finance - Social Advisory Support services	Public Finance - Social Advisory Support services	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Programme / Sub programme / Performance Measure	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
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 NT	Input to be submitted by NT	N/A	Input to be submitted by NT	Input to be submitted by NT	Input to be submitted by NT	Input to be submitted by NT	Input submitted	Input submitted	Input to be submitted by NT	Input submitted
Institutional framework for the monitoring of provincial public entities	Reported for all listed public entities	Report bi-annually for all listed public entities	N/A	N/A	1	1	1	1	1	1	N/A	N/A
2.2 Municipal Finance												
Section 7(6) report (Monthly municipal (YM) report) within the prescribed time frame	12 Section 7(6) reports	12 Section 7(6) reports	3 reports	3 reports	3 reports	3 reports	3 reports	3 reports	3 Reports	3 Reports	3 reports	3 reports
Section 7(7) quarterly budget performance reports	4 Section 7(7) Quarterly budget performance reports	4 Section 7(7) Quarterly budget performance reports	1 report	1 report	1 report	1 report	1 report	1 report	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	24 municipalities	2 municipalities	23 municipalities	23 municipalities	3 municipalities	25 Municipalities	25 Municipalities	3 municipalities	20 municipalities
Programme 3: Financial Management												
3.1 Cash Management and Liabilities												
Risk analysis per dept to ensure compliance to tax legislation	2 sessions	1 session	NIL	NIL	1 session	1 session	1 session	NIL	NIL	NIL	NIL	NIL
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	14 assessment reports	14 assessment reports	14 Assessment reports	14 Assessment reports	14 assessment reports	14 assessment reports
Review monthly bank reconciliations per department	180 Reconciled bank reconciliation	188 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 reconciled bank reconciliation	42 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	1 report	1 report	1 report	1 report	1 report	1 report
3.2 Public Private Partnerships (PPP)												
Number of seminars/workshops conducted for Provincial departments, Public entities, Municipalities, Contract management reports endorsed	2	2	N/A	N/A	1	1	1	N/A	1	1	1	1
3.3 Supply Chain Management												
No. of SCM training sessions and information sessions conducted	37 Conducted 37 SCM training, information sessions, workshops for state institutions	Conduct 8 SCM training, information sessions, workshops for state institutions	2	6	2	4	4	2	4	4	2	2
No. of assessments	95 Conducted 95 SCM compliance assessments and investigate complaints in depts, public entities	Conduct 90 SCM compliance assessments in depts, public and investigate complaints in depts, public entities	15	23	15	20	29	15	14	14	15	21
No. of policies reviewed and issued	6 Reviewed and updated 6 policies	Review and update 6 policies	1	1	1	1	1	1	1	1	1	1
No. of contract management analysis conducted	1 New contract management reviews for state institutions	Conduct 8 contract management reviews for state institutions	2	2	2	2	2	2	13	13	2	2
3.4 Financial Reporting												
Consolidated of AFS for Provincial Departments and Revenue Fund	Consolidated Departments AFS for FY 2015/16 in legislation	Audited Consolidated AFS for FY 2015/16 by 30 November 2016	N/A	N/A	N/A	N/A	N/A	N/A	Audited Consolidated AFS for FY 2015/16 by 31 December 2016	Audited Consolidated AFS for FY 2015/16 by 31 December 2016	N/A	N/A
Consolidated of AFS for Public Entities tabled in Legislature	Consolidated Public Entities AFS for FY 2015/16 in legislation	Audited Consolidated AFS for FY 2015/16 by 30 November 2016	N/A	N/A	N/A	N/A	N/A	N/A	Audited Consolidated AFS for FY 2015/16 by 31 December 2016	Audited Consolidated AFS for FY 2015/16 by 31 December 2016	N/A	N/A
Annual Financial Statements for the Revenue Fund tabled in Legislature	Revenue Fund submitted	Audited Revenue Fund for FY 2015/16 by 30 November 2016	N/A	N/A	N/A	N/A	N/A	N/A	Audited Revenue Fund for FY 2015/16 by 31 December 2016	Audited Revenue Fund for FY 2015/16 by 31 December 2016	N/A	N/A
Provincial Audit Outcome Analysis for Municipalities, Departments and Public Entities	Summary of Audit Outcomes Analysis for Provincial Departments and Public Entities	Summary of Audit Outcome Analysis for AG's audit Report for Provincial Departments and Public Entities for 2014/15 submitted to National Treasury	N/A	N/A	N/A	N/A	N/A	N/A	Summary of Audit Outcome Analysis for AG's audit Report for Provincial Departments and Public Entities for 2014/15 by 30 Sept 2016	Summary of Audit Outcome Analysis for AG's audit Report for Provincial Departments and Public Entities for 2014/15 by 30 Sept 2016	N/A	N/A
AFS Support and Training to Provincial Departments	2 AFS Training Workshop conducted	1 AFS training workshop by 30 April 2016	Not achieved.	Not achieved.	N/A	N/A	N/A	N/A	1 AFS training workshop by 30 April 2016	1 AFS training workshop by 30 April 2016	N/A	N/A
Financial Management Monitoring Support to Public Entities	Not Achieved	Pre-audit review in 2 public entities by 31 May 2016	1 Pre Audit review completed	1 Pre Audit review completed	N/A	N/A	N/A	N/A	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
Financial Management Monitoring Support to Municipalities	1 AFS training workshop conducted for municipalities	1 AFS training workshop for public entities by 30 April 2016	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	1 AFS training workshop for municipalities by 30 June 2016	1 AFS training workshop for municipalities by 30 June 2016	N/A	N/A

Programme / Sub programme / Performance Measures	Target for 2016/17 as per Annual Performance Plan (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
<p>3.5 Norms & Standards No. of instruction notes/policies developed and reviewed for departments, municipalities and their respective entities.</p> <p>3.6 Supporting and Interlinked Financial Systems Mean time to resolve (transverse systems)</p> <p>3.7 Gaming and Betting Implementation of KZN Gaming and Betting legislation</p> <p>Number of Quarterly Regulatory reports on Board Activities</p> <p>4 Reconciled Tax Returns</p> <p>Functionality of the KZN Gaming and Betting Board</p>	<p>Pre-audit assessment performed at 10 municipalities by 30 August 2016</p> <p>Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end</p> <p>48 instruction notes and 6 policies reviewed</p> <p>1 Municipal circular developed</p> <p>31 instruction notes and 73 policies reviewed, 6 policy developed and 8 standard operating procedures developed.</p> <p>All departments assessed and monitored</p> <p>2x18 min Amendments still in progress at Legislature stage</p> <p>4 quarterly reports received from the Board</p> <p>New Board fully operational</p>	N/A	N/A	30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	Pre-audit assessment report in 14 municipalities by 30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	N/A	N/A
<p>4.1 Assurance Services No. of IA Annual operational plans and a rolling three year strategic plan developed and approved Annual Audit & Risk Committee report on clients' areas of risk management, governance and internal control submitted to MEC: Finance No. of risk based audit reports including follow up audit reports and reports on financial, IT, performance and governance audits. No. of audit reports on predetermined objectives. No. of meetings held between clients, the Cluster Audit & Risk Committee (CARC) and Provincial Audit and Risk Committee (PARC) No. of training and development programmes attended No. of internal and independent external quality assurance reviews conducted 4.2 Advisory Services (Risk Management) Risk Registers updated, biannually, for provincial departments, municipalities and public entities Review risk management maturity of departments, public entities and municipalities, and assist with development of risk policies and procedures Review and/or assist with development of Occupational Health and Safety programmes for provincial departments, municipalities, and public entities Review and/or assistance with development of Governance Frameworks for departments and public entities Review and assist with development of DPSA compliant IT Governance Framework, including BCP for departments, municipalities, and public entities Assist with the provision of complex internal audit services/reviews provided to municipalities and municipal entities Review of internal audit and audit committees practices of municipalities and municipal entities Risk and governance-related conferences/forums held for provincial departments, municipalities, and public entities Best risk management/governance guidelines/strategies/risk policies produced by the unit - i.e. review and update of provincial and municipal risk frameworks Risk Management Information System developed and rolled-out to provincial departments, municipalities, and public entities Review and/or assist with development of fraud prevention plans for provincial departments, municipalities, and public entities Risk/Governance-related training/awareness provided to risk officials of departments, public entities and municipalities 4.3 Advisory Services (Forensic Services) No. of Forensic Audits performed and investigations as per clients requests and referrals from the Assurance team Undertook register of forensic investigations - MEC Report Number of follow ups on completed investigations per institution Development and roll-out of Fraud Case Management System Update the Fraud Case Management System with forensic investigations per provincial department</p>	<p>Pre-audit assessment report in 10 municipalities by 30 August 2016</p> <p>Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end</p> <p>48 instruction notes and 6 policies reviewed</p> <p>All departments assessed and monitored</p> <p>2x18 min Amendments still in progress at Legislature stage</p> <p>4 quarterly reports received from the Board</p> <p>New Board fully operational</p>	N/A	N/A	30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	Pre-audit assessment report in 14 municipalities by 30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	N/A	N/A
<p>Programme 4: Internal Audit 4.1 Assurance Services No. of IA Annual operational plans and a rolling three year strategic plan developed and approved Annual Audit & Risk Committee report on clients' areas of risk management, governance and internal control submitted to MEC: Finance No. of risk based audit reports including follow up audit reports and reports on financial, IT, performance and governance audits. No. of audit reports on predetermined objectives. No. of meetings held between clients, the Cluster Audit & Risk Committee (CARC) and Provincial Audit and Risk Committee (PARC) No. of training and development programmes attended No. of internal and independent external quality assurance reviews conducted 4.2 Advisory Services (Risk Management) Risk Registers updated, biannually, for provincial departments, municipalities and public entities Review risk management maturity of departments, public entities and municipalities, and assist with development of risk policies and procedures Review and/or assist with development of Occupational Health and Safety programmes for provincial departments, municipalities, and public entities Review and/or assistance with development of Governance Frameworks for departments and public entities Review and assist with development of DPSA compliant IT Governance Framework, including BCP for departments, municipalities, and public entities Assist with the provision of complex internal audit services/reviews provided to municipalities and municipal entities Review of internal audit and audit committees practices of municipalities and municipal entities Risk and governance-related conferences/forums held for provincial departments, municipalities, and public entities Best risk management/governance guidelines/strategies/risk policies produced by the unit - i.e. review and update of provincial and municipal risk frameworks Risk Management Information System developed and rolled-out to provincial departments, municipalities, and public entities Review and/or assist with development of fraud prevention plans for provincial departments, municipalities, and public entities Risk/Governance-related training/awareness provided to risk officials of departments, public entities and municipalities 4.3 Advisory Services (Forensic Services) No. of Forensic Audits performed and investigations as per clients requests and referrals from the Assurance team Undertook register of forensic investigations - MEC Report Number of follow ups on completed investigations per institution Development and roll-out of Fraud Case Management System Update the Fraud Case Management System with forensic investigations per provincial department</p>	<p>Pre-audit assessment report in 10 municipalities by 30 August 2016</p> <p>Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end</p> <p>48 instruction notes and 6 policies reviewed</p> <p>All departments assessed and monitored</p> <p>2x18 min Amendments still in progress at Legislature stage</p> <p>4 quarterly reports received from the Board</p> <p>New Board fully operational</p>	N/A	N/A	30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	Pre-audit assessment report in 14 municipalities by 30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	N/A	N/A
<p>Programme 5: Growth and Development 5.1 Other Developmental Activities Number of grants coordinated successfully (Budget Communication).</p>	<p>Pre-audit assessment report in 10 municipalities by 30 August 2016</p> <p>Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end</p> <p>48 instruction notes and 6 policies reviewed</p> <p>All departments assessed and monitored</p> <p>2x18 min Amendments still in progress at Legislature stage</p> <p>4 quarterly reports received from the Board</p> <p>New Board fully operational</p>	N/A	N/A	30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	Pre-audit assessment report in 14 municipalities by 30 August 2016	Progress reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	N/A	N/A

1. Information provided by: Mr. S. Mwanza Head: Cluster Forensic Audit Tel No: 033-957-6077

Head: Provincial Treasury
Date: 12/12/2017