

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
Input into the revision and maintenance of DORA	PT input into 2016 DPRA 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	N/A	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 submitted		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	N/A	1	1	1	1	1		N/A	
2.3 Municipal Finance Section 71(6) report (Monthly municipal IYM report) within the prescribed time frame1	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	3 reports	3 reports	3 Reports		3 reports	
Section 71(7) quarterly budget performance reports1	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	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		3 municipalities	
Programme 3: Financial Management 3.1 Cash Management and Liabilities Conduct Tax Information Seminar annually Risk analysis per dept to ensure compliance to tax legislation	2 sessions 60 reports	1 session 56 reports	NIL	NIL	1 session 14 Risk Analysis reports	1 session 14 Risk Analysis reports	1 session 14 Risk Analysis reports	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	
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 bank reconciliations	42 bank reconciliations	42 reconciled bank reconciliation	42 reconciled bank reconciliations		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	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, No. of reports for Provincial Treasury management and NT PPP unit Contract management reports enclosed details	2 12 12	2 12 12	N/A 3 3	N/A 3 3	1 3 3	1 3 3	1 3 3	N/A 3 3	N/A 3 3		N/A 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 forums and state institutions	Conduct 8 SCM training, information sessions and workshops for state forums and state institutions	2	6	2	4	4	2	4		2	
No. of assessments	Conducted 95 SCM compliance assessments in depts, munic. and investigate complaints in depts, munic. and public entities	Conduct 60 SCM assessments in depts, munic. and public entities	15	23	15	29	29	15	14		15	
No. of policies reviewed and issued	Reviewed and updated 6 policies	Review and update policies (4)	1	1	1	1	1	1	1		1	
No. of contract management analysis conducted	New	Conduct 8 contract management reviews for state institutions	2	2	2	2	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	N/A	N/A	N/A	N/A	N/A		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	N/A	N/A	N/A	N/A	N/A		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	N/A	N/A	N/A	N/A	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 for 2014/15 submitted to legislature	Summary of Audit Outcome Analysis on AG's audit Report for Provincial Departments and Public Entities for 2014/15 submitted to legislature	N/A	N/A	N/A	Summary of Audit Outcome Analysis on AG's audit Report for Provincial Departments and Public Entities for 2014/15 submitted to legislature	Summary of Audit Outcome Analysis on AG's audit Report for Provincial Departments and Public Entities for 2014/15 submitted to legislature	N/A	N/A		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	Not achieved.	N/A	N/A	N/A	N/A	N/A		N/A	
Financial Management Monitoring Support to Public Entities	Not Achieved	Pre-audit review in 16 departments by 31 May 2016	Pre-audit review in 15 departments by 31 May 2016	Not achieved.	N/A	N/A	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 public entities by 30 April 2016	1 AFS training workshop for public entities by 30 April 2016	1 Assets GRAP standards for AFS/Audit	N/A	N/A	N/A	N/A	N/A		N/A	

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<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 (transversal 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 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 developed and reviewed</p> <p>1 Municipal circular developed 31 instruction notes and 73 policies reviewed, 9 policy developed and 8 standard operating procedures developed</p> <p>All departments assessed and monitored</p> <p>2hr 18 min</p> <p>Amendments still in progress at Legislature stage</p> <p>Analysed and reported on quarterly reports received from the Board</p> <p>New</p> <p>Board fully operational</p>	N/A	N/A	30 August 2016	Progress reports on 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 reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	Progress reports on intensive on-site financial management support to 4 municipalities within 10 days of every quarter end	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 internal and/ independent external quality assurance reviews conducted</p> <p>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 DPSS 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 committee practices of municipalities and municipal entities. Auditors Risk and governance-related conferences/forums held for provincial departments, municipalities, and public entities. Best risk management/governance guidelines/transversal 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</p> <p>4.3 Advisory Service (Forensic Services) No. of Forensic Audits performed and investigations as per clients requests and referrals from the Assurance team Updated 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>22</p> <p>2</p> <p>173</p> <p>27</p> <p>93</p> <p>13</p> <p>61</p> <p>27</p> <p>15</p> <p>17</p> <p>36</p> <p>10</p> <p>10</p> <p>4</p> <p>3</p> <p>17</p> <p>36</p> <p>31</p> <p>35</p> <p>4</p> <p>69</p> <p>1</p> <p>145</p> <p>13</p>	N/A	N/A	30 August 2016	Progress reports on 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 reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	Progress reports on intensive on-site financial management support to 4 municipalities within 10 days of every quarter end	N/A
<p>Programme 4: Internal Audit</p> <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 internal and/ independent external quality assurance reviews conducted</p> <p>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 DPSS 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 committee practices of municipalities and municipal entities. Auditors Risk and governance-related conferences/forums held for provincial departments, municipalities, and public entities. Best risk management/governance guidelines/transversal 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</p> <p>4.3 Advisory Service (Forensic Services) No. of Forensic Audits performed and investigations as per clients requests and referrals from the Assurance team Updated 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>22</p> <p>1</p> <p>176</p> <p>22</p> <p>60</p> <p>12</p> <p>100</p> <p>50</p> <p>40</p> <p>10</p> <p>40</p> <p>5</p> <p>1</p> <p>5</p> <p>70</p> <p>40</p> <p>40</p> <p>4</p> <p>120</p> <p>1</p> <p>15</p> <p>5</p>	N/A	N/A	30 August 2016	Progress reports on 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 reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	Progress reports on intensive on-site financial management support to 4 municipalities within 10 days of every quarter end	N/A
<p>Programme 5: Growth and Development</p> <p>5.1 Other Developmental Activities Number of clients coordinated successfully (Budget Communication).</p>	<p>13</p>	N/A	N/A	30 August 2016	Progress reports on 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 reports on intensive on-site financial management support to 10 municipalities within 10 days of every quarter end	N/A	N/A	Progress reports on intensive on-site financial management support to 4 municipalities within 10 days of every quarter end	N/A

1. Information provided by: Ms S Mngqali Head Office Provincial Treasury Tel No: 033-8974007

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Date: 20/02/2017

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Date: 21/2/2017

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Date: