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CONCEPT DOCUMENT

**EASTERN CAPE DEPARTMENT OF COOPERATIVE GOVERNANCE AND
TRADITIONAL AFFAIRS**

**“TOWARDS THE DEVELOPMENT OF NEW 5-YEAR STRATEGIC PLANS,
ANNUAL PERFORMANCE PLANS AND
OPERATIONAL PLANS”**

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Concept and Rationale

This Concept Document has been prepared by the Strategic Planning Directorate. This Concept document must be read with the approved **National Revised Framework for Strategic Plans and Annual Performance Plans**, the **National Guidelines for the Implementation of the Revised Framework for Strategic and Annual Performance Plans, 2019** and approved Departmental Guidelines on Strategic Planning Documents for Development Results.

The quest to prepare this Concept Document is to concise the **National Revised Framework for Strategic Plans and Annual Performance Plans 2019**, the **National Guidelines for the Implementation of the Revised Framework for Strategic and Annual Performance Plans 2019**, the **New Provincial Planning Cycle by the Presidency**, the **Departmental Strategic Planning Process** emanating from the coming to end of the 5th Term of Administration of Government, the ushering in of the new 6th Term of Administration and the need for the development of new 5-year Term Strategic Plan 2020/25, Annual Performance Plan and Operational Plan of the Department of Cooperative Governance and Traditional Affairs (DCOGTA).

This Concept Document is only applicable on approval by the Head of Department or the Honourable MEC.

ACRONYMS

APP	: Annual Performance Plan
CD	: Chief Directorate
DCoGTA	: Department of Cooperative Governance and Traditional Affairs
DDGs	: Deputy Directors General
DDM	: District Development Model
DSC	: District Support Centre
EC	: Eastern Cape
Framework	: Revised Framework for Strategic Plans and Annual Performance Plans
FSP & APP	: Framework for Strategic Plans and Annual Performance Plans
IDP	: Integrated Development Plan
M&E	: Monitoring and Evaluation
MFMA	: Municipal Finance Management Act
MTEF	: Medium-term expenditure framework
MTSF	: Medium-term strategic framework
NDP	: National Development Plan
NSS	: National Statistics System
OHoD	: Office of the HoD
OMEC	: Office of the Member of the Executive Council
OP	: Operational Plan
OTP	: Office of the Premier
PFMA	: Public Finance Management Act
PCC	: Presidential Coordinating Council
PDP	: Provincial Development Plan
PSA	: Public Service Act
SP	: Strategic Plan
SPD	: Strategic Planning Directorate
SASQAF	: South African Statistics Quality Framework
SMART	: Specific, measurable, achievable, relevant and time-bound
SONA	: State of the Nation Address
SOPA	: State of the Province Address
TID	: Technical indicators description

1. Introduction

The Department of Cooperative Governance and Traditional Affairs (DCoGTA) is mandated by the Constitution of the Republic of South Africa (1996), Section 139 interventions in local government and Section 154, to **support and strengthen the capacity of municipalities** to be able to:

- Manage their own affairs
- Exercise their powers and
- Perform their functions.

□ Sections 211 and 212 on **Traditional Leadership Institutions**:

- Recognition
- Role of traditional leaders

The Local Government sector unlike any other sector is highly legislated and highly regulated:

- ❖ Constitution of the RSA outlines the functions of the municipalities in Schedule 4b and 5b
- ❖ Local Government Municipal Structures Act (117 of 1998)
 - ✓ Focuses on the structures of the municipalities (Plenary and the executive) which determines how it functions
- ❖ Local Government Municipal Systems Act
 - ✓ Outlines all the systems to be followed to manage effective and efficient local municipalities

In relation to Section 154: Municipalities are **cooperative governance**:

“The national and provincial governments, **By Legislative and Other Measures**, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and perform their function”

- What does support mean?
- How do we provide support?
- When does it get to be necessary to intervene?
 - ✓ e.g section 106 of the municipal systems act
 - ✓ Section 139 (1) a
 - ✓ Section 139 (1) b
 - ✓ Section 139(1) c

Objectives of Local Government

- To provide democratic and accountable government for local communities;
- To ensure the provision of services to communities in a sustainable manner;
- To promote social and economic development;
- To promote a safe healthy environment;
- To encourage the involvement of communities and community organizations in matters of local governance;
- Municipalities must strive, within its financial and administrative capacity to achieve these objects.

The White Paper on Traditional Leadership and Governance of 2003, elaborates on the roles of Traditional Leadership in Governance and Development; roles, functions and structures within the Spheres of Government. The Traditional Leadership and Governance Framework Act, 2003, provides for the roles and functions of Traditional Leadership Institutions.

The Eastern Cape Traditional Leadership and Governance Act, 2005, (Act No. 4 of 2005), provides for the recognition of traditional communities; traditional councils and traditional leaders; withdrawal and removals. The House of Traditional Leaders Act, 1995, (Act No. 1 of 1995), provides for the establishment of the House of Traditional Leaders. The Traditional Leadership and Khoi-San Leadership Act, 2019, (Act 3 of 2019), provides for the recognition of traditional and Khoi-San communities, leadership positions and for the withdrawal of such recognition. The Local Government: Municipal Structures Act, 1998 provides for the procedure for the participation of Traditional Leaders in the Municipal Councils and the Local Government: Municipal Systems Act, 2000, regulates the conduct of traditional leaders when participating in Municipal Council.

Furthermore, the following legislative Bill were passed by the National Assembly and are awaiting to be assented to by the President:

- Traditional Court Bill;

DCoGTA aims at fulfilling this mandate through a range of interlinked Plans and Programmes like the NDP 2030, PDP Vision 2030, MTSF, Outcome 9 and Back to Basic Programme. Flowing from the statement above, the intention is to have the conceptualised processes with a set of practical and easy-to-use guidelines and concepts on different aspects of the strategic planning of local government and traditional affairs that could be utilised during the period and preparations of the Strategic Plan (SP), Annual Performance Plan (APP) and Operational Plan (AoP). These working guidelines have been prepared primarily for senior policy/decision-makers, for the staff of DCoGTA, municipalities

and traditional leadership institutions involved in technical aspects of planning and for staff supporting national and provincial policy and planning.

2. The Strategic Planning Guideline Legal Framework

The development of this concept document/ guideline is aligned to various Acts, Regulations and Policies, inter alia:

- Constitution of the Republic of South Africa, 1996 as amended (Sections 92, 114, 125 and 153)
- White Paper on Transformation of the Public Service, Government Gazette 18340 of October, 1997
- Public Service Act of 1994 as amended in 2007
- Public Service Regulations, 2016
- Public Administration Management Act, 2014
- Public Finance Management Act No.1 of 1999
- Treasury Regulations, 2005
- Relevant Treasury Reporting Guidelines
- Statistics Act 6 of 1999
- Spatial Planning and Land Use Management (SPLUMA) Act of 2013
- Local Government: Municipal Systems Act of 2000
- Promotion of Equality and Prevention of Unfair Discrimination Act (PEPUDA), 2000
- Government-wide Immovable Asset Management Act, 2007 (GIAMA)
- Construction Regulations, 2014
- Policy Framework for the Government-Wide Monitoring and Evaluation System (2005)
- Framework for Managing Programme Performance Information (FMPPi) (2007)
- National Development Plan (NDP) (2011)
- National Development Plan (NDP) Five-Year Implementation Plan
- Budget Prioritisation Framework
- Medium Term Strategic Framework
- National Evaluation Policy Framework (2011)
- Spatial Development Frameworks
- United Nations Sustainable Development Goals (SDGs)
- African Union Agenda 2063
- South African Statistical Quality Assurance Framework (SASQAF) (2008)

- National Treasury Standard for Procurement and Delivery Management System (SIPDM), 2015
- International Infrastructure Management Manual (IIMM); 2006, 2011, 2015
- Construction Industry Development Board: National Immovable Asset Maintenance Management Standard, 2017
- National Treasury Asset Management Framework v3.3, 2003
- Infrastructure Delivery Management System (IDMS)
- Revised Framework for Strategic Plans and Annual Performance Plans
- Guidelines on the implementation of the Revised Framework for Strategic Plans and Annual Performance Plans
- Provincial Development Plan
- Provincial MTSF
- Revised Framework for Strategic Plans and Annual Performance Plans

The developmental approach adopted by the South African government conceptualises development planning as a means of achieving national development priorities. Development planning, in this context, involves the South African government making decisions about selecting priorities of national interest and charting a road map towards achieving these priorities.

In 2012, South Africa adopted the National Development Plan (NDP) 2030, which sets out a long term vision for the country. The rationale for the development of such a long-term plan is the recognition of the need for a coherent vision for the future, in order to realise changes in the socio-economic structure and the culture of society; which are a result of a history of oppression, exploitation and dispossession. The achievement of the NDP priorities demands a **cooperative relationship** across national, provincial and local governments; private sector; and civil society. The three spheres of government need to work collaboratively to ensure alignment between their powers and functions, the planning processes and budget allocation processes.

Government planning is regarded as a critical process which enables the implementation of the NDP 2030 priorities through the development and implementation of legislation, policies and services. Challenges have been identified over the years in government planning processes which include the misalignment between the political planning and the strategic planning process, budgeting process and institutional implementation processes. To quickly respond to the demand for developmental growth, there is a need to improve the impact, delivery and implementation of government's

transformation and development interventions. This will be achieved through a **more effective coordination and integration** of the planning powers and functions that the Constitution assigns to all three spheres of Government. The disparate and diffused nature of planning has resulted in a complex plethora of plans, legislation and structures. This fragmented planning landscape has led to sub-optimal outcomes and asymmetrical impacts of government policies and programmes and sub optimal returns on the resources allocated to them.

As an effort to improve the government-wide planning system and alignment of planning to other government process, the National Planning Commission and the Department of Performance Monitoring and Evaluation were established in 2009. The National Planning Commission was established to facilitate high level national strategic planning, in particular long term national plans; outlining the path by which government would achieve its identified objectives, setting measurable targets for specific timeframes, outlining key policy trade-offs and setting out the sequence of decisions required in achieving such objectives.

To further strengthen planning and to elevate its importance, the Department of Performance Monitoring and Evaluation was changed to the Department of Planning, Monitoring and Evaluation in 2014. This led to the establishment of a planning branch within the department. The Department of Planning, Monitoring and Evaluation (now the Presidency) is responsible for the NDP Five Year Implementation Plan which is a five-year medium term plan to realise the long term strategic vision of the NDP. All government institutions are expected to align their strategic and annual performance plans, as well as operational plans to the NDP Five Year Implementation Plan, to reflect the interventions which will be implemented to contribute to the achievement of the development priorities in the NDP 2030.

The first Framework for Strategic Plans and Annual Performance Plans was issued by the National Treasury in 2010 to guide institutional short and medium term planning. The Framework for Strategic Plans and Annual Performance Plans (2010) provided a standardised approach to strategic and annual performance planning; it promoted accountability for performance and service delivery, and promoted alignment between the planning, budgeting and reporting processes. The Framework for Strategic Plans and Annual Performance Plans (2010) was implemented by the national and provincial departments, schedule 3A and 3C public entities and constitutional institutions from 2010 till the adoption of the Revised Framework for Strategic Plans and Annual Performance Plans (2019).

Significant improvements in short and medium term planning have been noted since the implementation of the Framework for Strategic Plans and Annual Performance Plans, (2010).

A Revised Framework for Strategic Plans and Annual Performance Plans (2019) is being introduced for further improvement of government planning systems and processes, and to institutionalise development planning in government. The revised framework outlines requirements for strategic and annual performance planning, operational planning, implementation programme planning, infrastructure planning, monitoring, reporting, and evaluations.

3. Context of the Revised Framework

The South African national planning framework has evolved considerably since its introduction in 2001 amidst a dynamic and complex policy and legislative context. Government's move towards a Government-wide Monitoring and Evaluation System (GWMES) was formalised in 2007 (The Presidency, 2007) and later a results-based approach was confirmed in the National Outcomes Approach (Presidency, 2010) and the National Development Plan (NPC, 2011). These policy reforms were indicative of a systemic shift towards planning and managing government performance to achieve results.

With the introduction of these policy reforms, new concepts and a guiding logic with implications for government planning were introduced. The Framework for Strategic Plans and Annual Performance Plans (2010) was implemented during this legislative and policy evolution to help consolidate the planning components within the overall planning, monitoring and evaluation system. It aimed to direct government in its approach to improving performance towards achieving results, obtain more reliable performance information, and support learning and improvement within the public service. It intended to improve the quality of strategic and annual performance planning and strengthen the accountability of relevant public institutions to contribute to a more unified, coherent and accountable public service, with better strategic planning and management arrangements to improve policy delivery.

The emphasis of this revised framework is to build on the foundation of the Framework for Strategic Plans and Annual Performance Plans (2010), reaffirm the planning logic and institutionalise planning to better enable the policy delivery. The planning principles implemented through this framework aims to focus the planning approach towards achieving results, standardise concepts used across short and medium term planning instruments, streamline planning, monitoring and evaluation processes, and improve the use of evidence, and monitoring and evaluation findings to better inform

improvement, learning and innovation. This revised framework will also focus on planning for women, children, youth and people with disabilities. This revised framework must be used for the compilation of institutional short and medium term plans.

The revised framework outlines the core principles for short and medium term planning and confirms the legislative and policy prescripts which must be adhered to in the development of institutional short and medium term plans, and the rationale for the results based approach to planning, monitoring and evaluation. It then details the processes for the development and approval of plans as well as processes for effective oversight and feedback by relevant institutions. In addition, it sets out the planning principles that inform the logic and content of the strategic plan, annual performance plan, annual operational plan and implementation programme plans, and the linkages between other short and medium term plans in government. It further provides the logic for the monitoring and evaluation of plans, as well as the utilisation of related reporting instruments and the results thereof at the different stages of the planning cycle.

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

4. Purpose of the Revised Framework

The purpose of the Revised Framework for Strategic Plans and Annual Performance Plans, 2019 is to provide the principles for short and medium term planning for government institutions, outline the alignment of various institutional plans to high level government long and medium term plans, as well as institutional processes for the different types of plans. The Revised Framework also aims to:

- Institutionalise government's national development planning agenda through institutional plans
- Institutionalise planning for women, children, youth and people with disabilities in line with the relevant frameworks
- Provide information on the relevant legislation which informs planning in government
- Institutionalise the Results Based Methodology
- Provide planning tools which can be used for the different types of plans
- Outline the alignment between planning, budgeting, reporting, monitoring and evaluation processes

- Provide the definitions for the various planning, reporting, monitoring and evaluation concepts
- Outline the roles and responsibilities of various stakeholders and institutions who participate in the planning processes
- Encourage evidence based policy making, planning and implementation

5. Planning Methodologies

Planning methodologies provide the institutions with the planning approaches, practices and processes which are used to develop short and medium term plans in the South African government context. The Revised Planning Framework gives guidance on the planning methodology and gives a detail of how planning should be rolled out in the Public Service.

Results Based Methodology

The Revised Planning Framework gives effect and strength to the Results Based (RB) methodology has been adopted by government post 1994. Results Based is a methodology by which all stakeholders, contributing directly or indirectly to achieving a set of results, ensure that the processes, products and services contribute to the achievement of desired results (outputs, outcomes and impact). The stakeholders also use data and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes as well as for accountability and reporting. Previously, before 2018, planning method was deemed inadequate to address the social ills on the ground as a result it was revised into the Revised Planning Framework. The impact was deemed in achievable with the framework which was implemented prior 2018.

Key elements of the Results Based methodology include *accountability, ownership and inclusiveness*

Figure 1: Results Based Concepts

The developmental results of achieving specific outcomes.

What we aim to change as the ECCOGTA?

The medium-term results for specific beneficiaries that are the consequence of achieving specific outputs.

What we wish to achieve as the ECCOGTA?

The final products, or goods and services produced for delivery.

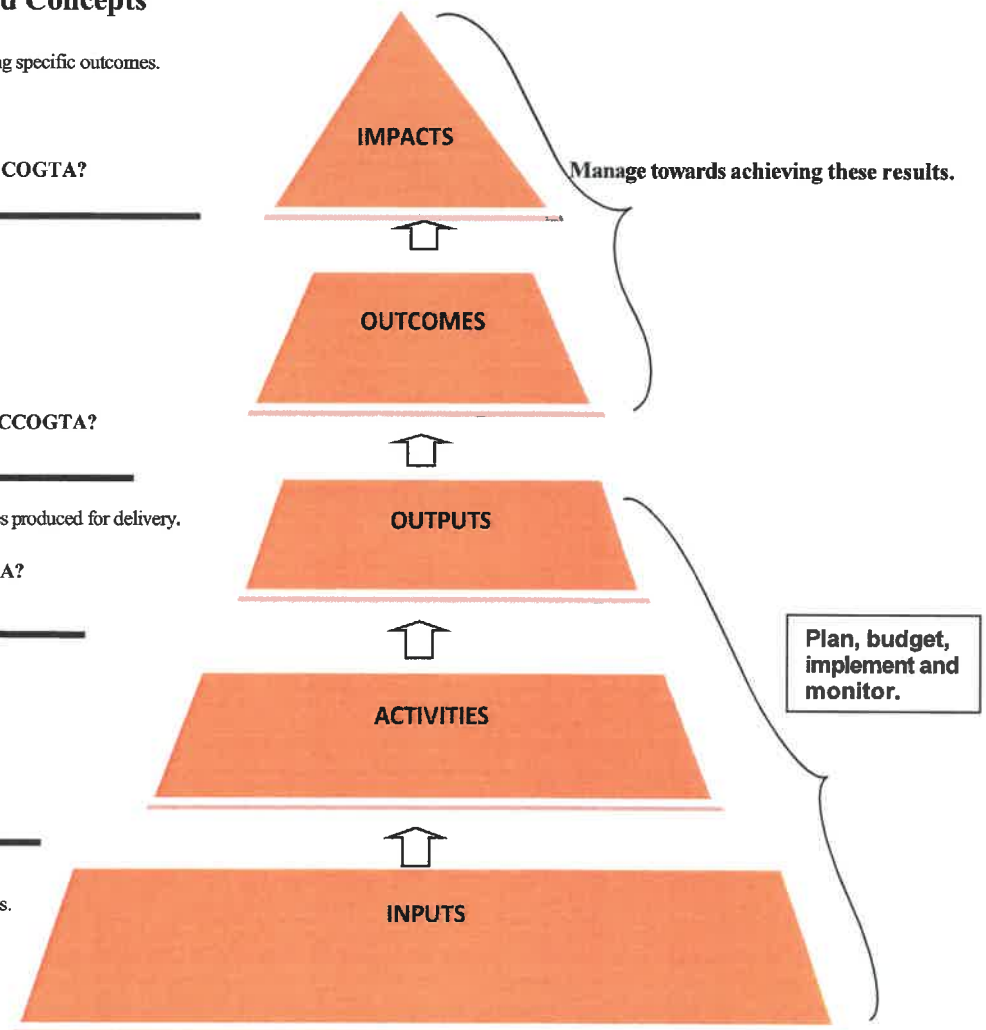
What we deliver as the ECCOGTA?

The processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes.

What we do as ECCOGTA?

The resources that contribute to the production and delivery of outputs.

What we use to do the work of the ECCOGTA?



6. Revised Framework for Strategic Plans and Annual Performance Plans

The Revised Framework for Strategic Plans and Annual Performance Plans gives guidance on the principles of short, medium and long term planning for government institutions. This Framework also gives guidance on how an institution plans to align short, medium and long term planning. The Framework also aims to:

- Institutionalise government's national development planning agenda through institutional plans
- Institutionalise planning for youth, women and people with disabilities in line with relevant frameworks
- Provides information about legislation which informs government planning
- Institutionalised the above mentioned Results Based Approach
- Provide planning tools which can be used for different types of plans

- Describe the alignment between planning, budgeting, reporting and monitoring and evaluation processes
- Give definition of various planning reporting, monitoring and evaluation concepts.
- Outlines roles and responsibilities of stakeholders and institutions that participate in the planning processes.

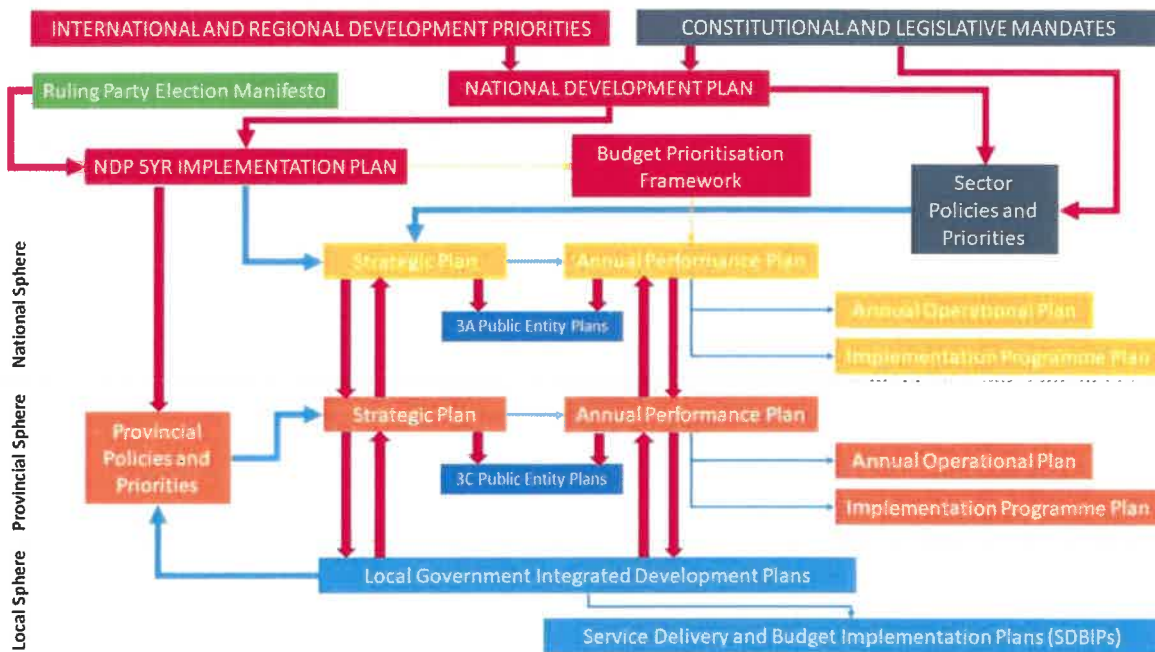
7. Planning Processes

Intergovernmental and interdepartmental planning is crucial to the realisation of government priorities and ultimately the NDP. Therefore, it is important to ensure that the NDP and all the priorities outlined therein are clearly articulated in the medium and short term plans of institutions at all spheres of government. Institutional planning processes are a critical element of planning and inform the development of the contents of short and medium term plans. Each institution must establish planning processes which are focussed on results through strategic planning processes.

The purpose is to provide information on the different planning processes which will institutionalise the Revised Based Planning Framework across government. Information for the following planning processes is provided:

- Alignment of national, provincial and local government planning
- Alignment of the NDP and NDP Five Year Implementation Plan
- The Medium Term Strategic Framework (MTSF)
- Spatial Development Framework
- Budget Prioritisation Framework
- Provincial Priorities
- Alignment of the policy, planning, budgeting and reporting processes
- Roles and responsibilities of the various stakeholders in the planning processes
- Planning timeframes

Figure 2: National, provincial and local government planning alignment



7.1 The Strategic Planning Methodology

According to the Revised Framework for Strategic Plans and Annual Performance Plans, planning methodology have however been developed which gives guidance and effect to the planning processes which is the results based planning approach. This methodology/ approach ensures that all stakeholders, contributing directly/indirectly to achieving set results, ensure that processes/products and services contribute to achievement of set results. The key principles of this approach are Accountability, Ownership and Inclusiveness.

Accountability

This means that government institutions are accountable to the citizens through Parliament, for delivering on national and development of priorities. The department is accountable to the citizens and oversight bodies for services delivery which is responsible for.

Ownership

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

Inclusiveness

This means that all stakeholders requires that stakeholders such as government institutions at national, provincial and local levels, and civil society organisations and communities are included and part of the strategic planning process, particularly through the strategic planning sessions to be held by the department.

7.2 Purpose and Importance of the Strategic Plan

Strategic plans should focus on issues that are strategically important, linked to and following from various plans and policies, and aim to ensure that institution or sectors fulfil their mandates. Each institution's goals and strategic objectives must thus be founded in the legislative mandate that the institution is directly responsible for implementing, managing and overseeing. Strategic plans should also reflect broad strategic outcomes of government.

In addition, the Revised *Framework for Strategic Plans and Annual Performance Plans* (2019) states that strategic plans should aim to identify strategically important goals and objectives against which public institutions medium-term results can be measured and evaluated by Parliament, provincial legislatures and the public. The intention of these goals and strategic objectives are therefore to lay the foundation for the development of the annual performance plan.

Why it is important for institutions to embark on a process of strategic planning:

- First of all, strategic planning is important for institution to remain responsible to the needs of its communities and stakeholders and to ensure that they contribute towards socio-economic sustainability and growth.
- Secondly, detail included in the strategic planning of an institution enables it to look into the future in an orderly and systematic way.
- Thirdly, if measurement is done correctly it sets a clear parameter on the health, well-being of the institution.
- Fourthly, within a rapidly changing external environment, strategic planning is important to ensure the allocation of resources to achieve critical needs. Information included in strategic plans must therefore link with the national outcomes.
- Finally, longer-range planning that occurs in strategic planning will ensure institutional and environmental sustainability in terms of focusing on the achievement of programmes leading to expansive growth and development.

7.3 Stakeholder Engagement

Inadequate stakeholder involvement is one of the most common reasons programmes and projects fail. Therefore, every effort should be made to encourage broad and active stakeholder engagement in the planning, monitoring and evaluation processes. Therefore, the planning process should aim to ensure that as many stakeholders as possible are involved and that opportunities are created for the various parties to participate in the Strategy development and planning processes.

One or Two provincial level strategic planning session(s) (stakeholder engagement session(s)) is/ are normally held during the months of July/August/ September/ February/ March and is proposed to be hosted over a minimum of 2-3 days to 4 days' maximum depending on resource availability and on approval. This session gives an opportunity for the Internal and External Stakeholders to sit and discuss planning issues of which the intention is to give guidance and inputs into a Consolidated First Draft and Final Strategic Planning Documents of the Department.

Internal and external stakeholders

- Staff
- Management
- Head of Department
- Member of the Executive Council
- Legislature/ Portfolio Committee/ SALGA
- DCoGTA
- Municipalities
- Other Government Departments and entities (IGR)
- OTP
- Traditional Leaders
- Provincial and National Treasury
- Auditor General's Office
- Unions and their respective Representatives

Customers

- Local Government (Municipalities)
- Traditional Leadership Institutions
- The people of the Eastern Cape

7.4 Institutional Role Players

Section 2.5 of the Revised Framework for Strategic Plans and Annual Performance Plans, (2019) states that institution should compile strategic plans to give effect to specified statutory responsibilities. Similarly, Draft Treasury Regulations (2012) state that the accounting officer or accounting authority of an institution must ensure that an institution has a strategic plan with a planning horizon of at least five years through which the institution executes its mandate and promote effective, efficient, economical and equitable service delivery. This requires that certain role players within an institution become involved in the development of strategic plans. A categorisation of these role players may include the following groups:

7.4.1 Table 1: Role Players Involved in the Strategic Planning Process

CATEGORY	ROLES
Leadership	<p>These comprises of politicians and top management that are responsible for overseeing the strategic planning process and are responsible for providing inputs according to the mandate given to them.</p> <p>It is their responsibility to ensure that the strategic plan is linked to the national outcomes, development plans and delivery agreements.</p> <p>Further to the above, it is the responsibility of leadership to analyse the situation of the institution to determine what is strategically important to act on, based not only on national outcomes, but also related to constitutional and legal mandate and detail included in the National Development Plan – Vision 2030</p>
Strategic / Core Management Team	<p>It is the responsibility of the strategic or core management team to oversee the administrative process of compiling strategic plans. It is required of this core team to oversee and coordinate the strategic planning process aimed at developing a sound strategic plan.</p> <p>This strategic or core management team should ensure that an integrated process plan be developed that caters for the alignment between the identification of strategies and budgetary requirements. It is imperatives that the strategic or core management team lead the strategic planning process to ensure shared responsibility.</p> <p>This may involve:</p> <ul style="list-style-type: none"> • Providing guidance to assist divisions with pre-strategic sessions.

CATEGORY	ROLES
	<ul style="list-style-type: none"> • Leading the actual strategic planning session to enable senior management the opportunity to challenge, evaluate and refine strategic goals, objectives and targets with a view to determine the strategic direction of the institution. • Review and evaluate the draft strategic plan. • Submit the draft strategic plan to the Presidency, OTP and relevant Treasury. • Enter into performance agreements with relevant employees through coordination with the Human Resources division. • Alignment and cascading of responsibilities are vital to ensure implementation and responsibility.
Analytical Team	<p>The analytical team is responsible for the actual compilation of strategic plans and the analysis of the status quo. They are also responsible for developing scenarios to determine if the strategic plan is in line with the mandate given to the institution. The analytical team must further take responsibility for ensuring that a hierarchy of indicators are developed that link strategic plan to annual performance planning and eventually operational plans.</p> <p>Functions of this team relates to the:</p> <ul style="list-style-type: none"> • Facilitation and coordination of pre-strategic and strategic planning sessions of institutions. • Coordination and implementation of the planning cycle and the assessment and consolidation of strategic plans. • Ensuring alignment between various inter-governmental strategic plans that link closely to that of the specific institution. • Incorporate comments from Presidency and the relevant Treasury on draft strategic plans.
District Support Centre (DSC) Management (DSC Senior Manager together with all the decentralised officials)	<ul style="list-style-type: none"> • DSCs being the entry point to the strategy planning process is responsible for facilitating upward strategic planning process. • The DSC Manager as the head of the district to hold District Strategic Planning Sessions to discuss progress on Service Delivery inviting Municipalities, Service Delivery departments as key stakeholders and others with an interest in service delivery process to participate in that process.

CATEGORY	ROLES
	<ul style="list-style-type: none"> • Through this process the Department will develop a situational analysis data to be responded to by Programmes in the Departmental Planning Sessions through downward approach to planning. • The DSCs to also participate in the development of the Performance Indicators, Activities and target setting at a district level. To ensure alignment of the plans with the Province. To organise a venue and catering for the session, if applicable.
Risk Management	<ul style="list-style-type: none"> • Alignment of risk identification with strategic business objectives. • Conducting risk awareness as aligned with the strategic planning process and in the sessions demonstrate and guarding linkages between the two processes. • Updating the risk register and ensuring that the risks as identified have been addressed/incorporated in the strategic planning process or Operational Plan development. • Identification of risks in the strategic planning sessions for consolidation into the Annual Performance Plan.

Source: Institute for Performance Management, (2011)

7.5 Roles and responsibilities of Department's officials in the planning processes

a) Role of the Hon. MEC

Role of the Hon. MEC – Provide political direction aligned to the mandate of the running electoral cycle. As the Executing Authority, MEC is accountable to the Provincial Legislature and should provide the Legislature full and regular reports concerning matters under his/her control. The MEC has to ensure that the department has an appropriate performance information system so that he/she can fulfil his/her accountability reporting responsibilities.

b) Role of the Accounting Officer

- The Accounting Officer or Head of Department is accountable for establishing and maintaining the systems to manage performance information. His/her performance agreement should reflect these responsibilities.
- Interpret the mandate of the Department and craft a Strategic Plan with members of Top Management, managers, supervisors, workers, social partners, and stakeholders.
- Ensure that Strategic Plan has allocated resources.

c) Role of the Programme Managers - Deputy-Directors General

- As the member of the Executive Management, he/she must support and advice the Accounting Officer or Head of Department on matters concerning planning, implementation and monitoring & evaluation of the Strategic Plan.
- To analyze national sector strategies for example rural development and agrarian reform to ensure that they are factored in CoGTA's planning processes.
- They interpret National directives like NDP 2030, Outcomes, Programme of Action, etc as well as the relevant Delivery Agreements to ensure that the outputs, sub-outputs, performance indicators and targets are understood and form part of the strategic plan, annual performance plan, and the operational plan of the Department.
- To endorse plans of their Branches, and ensure that they are linked and aligned to cluster priorities and the MEC's priorities.
- To ensure that the Branches plans are captured in the District Support Centres, (DSCs).

d) Role of Chief Financial Officer

- The Chief Financial Officer is the financial adviser of the Accounting Officer and for the Department.
- She/He has to bring about synergy in financial planning and to ensure that Budget Planning and Management are aligned with the Department's Strategic Plan, Annual Performance Plan and the Operational Plan.

e) Role of Sub-Programme Managers - General Managers in Planning and Implementation

- Development of the targets for performance or service delivery to be achieved both annually and for the Medium Term Expenditure Framework period for the particular programme.
- Responsibility for the performance and delivery of services in conjunction with the District Support Centres.
- Ensure that the Strategic Objectives/ Outputs are contributing and aligned to the Policy Direction, Vision, Provincial Growth Strategy, National Sector Strategy, Provincial Development Plan and Program of Action.
- The relevant Sub-Programme Managers must meet with the District (DSC) Senior Managers and relevant Line Managers from the Districts with a view to agree on the Key Performance Indicators and targets for that particular financial year.
- Allocate targets in consultation with each District (DSC) and the Programme Manager at Head Office and should keep records of aggregated targets.
- Keep the targets for each District (DSC), targets per quarter which are to be used to measure performance of each District against the planned targets.
- Implementation of risk management action plans.

- Proactive identification of new and emerging risks.
- Development of crisp risk mitigation plans responding to the risks identified in the risk management process.

f) Role of Line Senior Manager in Planning and Implementation

- Line Senior Managers are accountable for establishing and maintaining the performance information processes and systems within their areas of responsibility. Their performance agreements must reflect these responsibilities.
- They play a critical role in providing expert as well as technical knowledge required in his/her area of specialty.
- Ensure that the Directorate Operational Plan is aligned to the Strategic Plan, Annual Performance Plan, DSCs APP and Operational Plan and the department's Service Delivery Improvement Plan (SDIP).
- Ensure that all staff members in the Directorate and DSCs have the same understanding of the policy direction of the Department, and priorities.
- Provide technical advice to the District Senior Managers on the suitability and application of the planned projects and interventions.
 - Ensure that the APP is informed by the Cluster priorities.
 - Ensure that there is a consolidated APP & Operational Plan for his/her respective directorate and DSCs.
 - Keep records of plans and reports received from the Districts and other source documents.
 - Implementation of risk management action plans.
 - Proactive identification of new and emerging risks.
 - Development of crisp risk mitigation plans responding to the risks identified in the risk management process.

g) Role of DSC Senior Manager in Planning and Implementation

- Ensure that the DSC strategic planning sessions are held with relevant internal and external stakeholders to ensure bottom-up integrated planning, monitoring and evaluation, (Pull and Push Strategy).
- Develops, consolidates and submits a District situational analysis for Planning purposes.
- Ensure that the DSC has its own 1st Draft Annual Performance Plan (APP) and Annual Operational Plan (AOP) aligned with the IDPs by the month of May/June.
- Ensure that the DSC has a final Annual Performance Plan (APP) and Annual Operational Plan (AOP) by the month of February aligned with the Departmental Annual Performance Plan and Annual Operational Plan.

- A DSC APP and AOP must reflect allocation of projects or targets per local municipality. This will ensure that the manager of the local municipality is in a position to know his/her service delivery targets for the purpose of Performance Management and Development System (PMDS).
 - Ensure that each Sub-Directorate has a copy of these plans.
 - Keep records of source documents for verification, Portfolio of Evidence (PoE).
 - Consolidate plans from the DSC Office and or Units, develop and endorse the DSC Annual Performance Plan and Annual Operational Plan and submit timeously to the Departmental Strategic Planning Directorate.
 - Implementation of risk management action plans.
 - Proactive identification of new and emerging risks.
 - Development of crisp risk mitigation plans responding to the risks identified in the risk management process.

h) Role of the CD: Strategic Management, Communications Information Services

- The Chief Directorate Strategic Management, Communications Information Services (SMCIS) will provide the timelines for planning, reporting and evaluation to the Department.
- The Strategic Planning Directorate (SPD) will ensure facilitation, coordination and integrated strategic planning services in the Department, (Pull and Push Strategy).
- The SPD will provide technical strategic planning support to components.
- The SPD will manage and communicate the adaption of different planning formats for strategies, impact, outcomes, and outputs for the Provincial and DSCs strategic planning documents.
- SPD must integrate and develop a Departmental Strategic Plan, Annual Performance Plan and Annual Operational Plan from the DSCs APP & AOP (bottom-up) as well as from the National and Provincial strategies, programmes, plans and actions, (top-down) by the months of October and March.
 - The Corporate Communications Directorate ensures the printing and communication of the Departmental Strategic Plan, Annual Performance Plan and Annual Operational Plan.
 - The Office of the MEC (PLO) ensures the tabling of the various Strategic Planning Documents in the Provincial Legislature.
 - The Monitoring and Evaluation Directorate ensures the monitoring and reporting of the implementation of the strategic planning documents.

i) Role of the Budget Office in Planning

- The preparation of the budget statement is one of the key deliverables of this Office.
- The Budget Planning Unit in the Department must work with the SPD, in crafting the budget, analyzing the Strategic Plan, the Annual Performance Plan (APP) and the Annual Operational

Plan (AOP), special emphasis on the inclusiveness of performance measures and targets derived from the APP and transferred to the budget statement.

- This office has the responsibility to ensure that it plays a crucial role in the costing of the Strategic Plan and the Annual Performance Plan. Also, to provide information on budget and policy analysis.
- Alignment between the plan and the budget ensures the achievement of outcomes and outputs and therefore the achievement of the impact.

8. Strategic Planning Process Steps

The Institute for Performance Management (2011) states that for any strategic planning to be effective, the designers need to pay attention to the structure of the planning process, which refers to preferred activities, their sequencing and the associated tools.

8.1 Table 2: Main Strategic Planning Process Steps

#	STEPS	DESCRIPTION
1	Policy Priority Setting	<ul style="list-style-type: none"> • Ministers, Deputy Ministers, Director General, EXCO and MEC determine key policy priorities as basis of strategic plan
2	Develop and Agree on Strategic Planning Process	<ul style="list-style-type: none"> • Core management team to approve • Aim to agree upon the process to be followed • Planning calendar and guidelines are developed and forwarded to the department • A detailed project plan is also developed to give guidance on the achievement of objectives.
3	Pre-Strategic Session	<ul style="list-style-type: none"> • Management, divisions and analytical teams conduct pre-strategic planning sessions to draft strategic outcomes, outputs, performance measures/indicators and targets among internal teams
4	DSC Planning Sessions	<ul style="list-style-type: none"> • Pre-Planning session is hosted jointly with DSC Heads and Heads of Programmes • Engagement sessions to be held with the district head to develop a project plan or approach for district planning, communicate Templates and share available planning information • A detailed project plan is developed which lays out the approach for districts. • This is actually the first phase of stakeholder consultations. • A district situational analysis is conducted to pull information using Situational Analysis tools as per the Revised Framework.

#	STEPS	DESCRIPTION
		<ul style="list-style-type: none"> • Risk Management to conduct an awareness of risk management in alignment with the planning function • Participate in the operational plan development process to ensure that risks as per the risk register have been addressed in the planning process.
5	Programmes Planning Session	<ul style="list-style-type: none"> • Engagement sessions with programmes • A detailed project plan developed for programmes • Stakeholder sessions held at programme level • A situational analysis developed at programme level • Indicators and targets updated and quality checked • Alignment of the budget and plan for the programmes • Risk Management to conduct an awareness of risk management in alignment with the planning function • Advise during the operational plan development process to ensure that risks as per the risk register have been addressed in the planning process.
6	Situational Analysis	<ul style="list-style-type: none"> • Status quo problem analysis, PESTEL, Theory of Change prior to first strategic planning workshop • During workshop review vision, mission, values, identify strategies, programmes for five-year time period. • Used Balanced Scorecard principles or any other approach if necessary, (not limited) • SWOT; PESTEL, Fishbone; Problem Tree • Align departmental research with Strategic Planning to ensure that research done by the Department is incorporated into the plan especially the situational analysis. • Consolidation of desktop situational analysis sourced from different documents eg STATSSA, Economic Development and Presentations from programmes.
7	First Strategic Planning Workshop	<ul style="list-style-type: none"> • Invite key stakeholders and role players to attend the workshop • Resolutions are crafted and a draft plan is developed in this session.
8	Draft Strategic Plan	<ul style="list-style-type: none"> • Core and analytical teams to draft preliminary strategic documents.
9	Compare and Align with MTEF	<ul style="list-style-type: none"> • Compare proposed programmes related to strategies to budget to ensure alignment of budget with five year targets related to strategic objectives

#	STEPS	DESCRIPTION
10	Second Strategic Planning Workshop	<ul style="list-style-type: none"> Review preliminary strategic plan and APP using the strategic planning tools in place.
11	Finalise Plan	<ul style="list-style-type: none"> Core management and analytical team to finalise plan
12	Submit	<ul style="list-style-type: none"> Submit to the Presidency (former Department of Performance Monitoring and Evaluation), OTP, Provincial Treasury and National Treasury for comments
13	Incorporate Comments	<ul style="list-style-type: none"> Incorporate comments of the Presidency (former Department of Performance Monitoring and Evaluation), OTP, Provincial Treasury and National Treasury into strategic planning
14	Get Signoff	<ul style="list-style-type: none"> Submit to Executive Authority for sign off
15	Table in Parliament/ Provincial Legislature	<ul style="list-style-type: none"> Executive Authority to table strategic plan to relevant Parliament/ Legislature/ Portfolio Committee

Source: Institute for Performance Management, (2011)

The above can be customised to fit CoGTA's arrangement.

9. Timeframes

Section 9.3.2 of the *Draft Treasury Regulations (2012)* states that institutions must align their strategic planning process in accordance with the electoral cycle. This implies that the strategic plan must be prepared during the course of the first budget cycle following a national general election. Section 9.3.4 state that institution must, by a date as determined by the relevant Treasury, The Presidency (Department of Performance Monitoring and Evaluation or to the Department of the Premier – whichever is applicable – for assessment and comments. Such plan should only be submitted **ONCE** during the five-year period – unless a new or revised strategic plan is tabled.

9.1 New Planning Timeframes by the Presidency

9.1.1 Table 3: Planning and budgeting timeframes for National and Provincial institutions

Process	April	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Planning	Strategic Plans						15 October *Draft SP					Tabled In Parl.
	Annual Performance Plans						15 October *Draft APP					Tabled In Parliam ent

Process	April	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Annual Operational Plans							15 October *Draft AOP					Approved by Accounting Officers
Budgeting	Annual Budget and MTEF		NT issues MTEF Guidelines	Depts. submit first draft budget and new expenditure estimates			NT issues Guidelines for ENE	NT issues allocation letters		Depts. submit final ENE Chapter	Tabled in Parliament	
	Adjusted Budget and MTEF											
Programme Budget Structure	Change Requests to Budget and Programme Structure			Depts. propose changes to budget and programme structure		NT approves changes to the budget and programme structure						
Standardised Indicators	Standardised Indicators for Sectors						Submission of final set of standardised indicators for Sectors					

Source: Revised Framework for Strategic Plans and Annual Performance Plans, 2019

It should be noted that National departments submit to Department of Planning, Monitoring and Evaluation or called The Presidency.

Provincial Departments must submit to Offices of the Premier by the **15 October**, annually.

Offices of the Premier submit will then submit Provincial plans to the Department of Planning, Monitoring and Evaluation, (The Presidency).

All Public entities will submit to their relevant oversight institutions.

Parliament and Provincial Legislatures will provide guidance on the submission of Annual Performance Plans in the year of elections.

9.2 Table 4: Provincial Planning Process Schedule from The Presidency

APRIL

- 30 April – Head of Departments submit fourth quarter Preliminary non-financial performance information to DPME

MAY

- Issue the Quarterly Performance Reporting Guidelines
- Offices of the Premier publish the provincial third quarter Validated and fourth quarter Preliminary non-financial information on their websites
- Head of Departments submit fourth quarter Validated and Pre-audited nonfinancial performance information to DPME

JUNE

- Publishing of the reporting template (APP) on the eQPRS for the financial year

JULY

- Head of Departments submit first quarter Preliminary non-financial performance information to DPME

AUGUST

- Offices of the Premier publish the first quarter Preliminary non-financial information on their websites

OCTOBER

- Offices of the Premier: Planning Forum
- National Steering Committee Meeting
- **Provincial Departments submit provincial Draft Strategic Plans and Annual Performance Plans to Offices of the Premier**
- **31 October – Offices of the Premier submit provincial Draft Strategic Plans and Annual Performance Plans to DPME**
- 31 October – Head of Departments submit first quarter Validated and 2nd quarter Preliminary 2nd quarter Preliminary nonfinancial performance information to DPME
- 31 October – **Submission of the final revised standardised performance indicators by the National Departments with concurrent functions to DPME**

NOVEMBER

- Offices of the Premier publish the provincial first quarter Validated and second quarter Preliminary non-financial information on their websites
- Assessment of the Draft Strategic Plans and Annual Performance Plans by DPME

JANUARY

- Provide feedback on the assessment of the Draft Strategic Plans and Annual Performance Plans to Offices of the Premier
- Provincial visits to provide feedback on the assessment of the Draft Strategic Plans and Annual Performance Plans to provincial departments
- Head of Departments submit second quarter Validated and third quarter Preliminary non-financial performance information to DPME

FEBRUARY

- Offices of the Premier publish the provincial second quarter Validated and third quarter Preliminary non-financial information on their websites

MARCH

- National Steering Committee meeting
- Offices of the Premier: Planning forum

Source: 2019/20 EC Provincial Planning Process Schedule

9.3 Table 5: Eastern Cape: OTP Planning Process

Confirmation/ Refinement of strategic interventions using the Theory of Change using the reference groups	July
Training on the Revised Framework for Strategic Plans and Annual Performance Plans as well as refinement of the programmes/ interventions using the planning tools	July/ August
Confirmation of indicators, baselines and targets	July/ August
Process PDP Five Year Implementation Plan for approval, followed by the budget planning process led by Provincial Treasury	August/ September
Institutionalisation of the PDP and the PDP Five Year Implementation Plan	August onwards
Strategic Planning Sessions of Departments and Public Entities	August/ September
Integrated Development Plan Review Session	October
Provincial Departments submit Draft Strategic Plans and Annual Performance Plans to the Office of the Premier	15 October
Provide feedback on assessment of Draft Strat Plans & APPs	December / January
Tabling of Policy Speeches & submission of final Strat Plans & APPs	March

The 1st (First) Draft Budget Submission (July) to Eastern Cape Provincial Treasury will consist of:

- Each Department submit an (Accounting Officer's letter) explanatory narrative determinant of the credibility of its budget.
- Databases departments and public entities and
- Budget working papers

9.4 Table 6: Eastern Cape: Provincial Treasury Budget Process

Provincial Guidelines Workshop	July
1st Budget submission	July
Budget Achievability	August
MTEC sessions	September – October
Minister tabling of MTBPS	October
NT issue preliminary allocations	October
2nd budget submissions	November
Tabling of adjusted estimates	November
Final grant frameworks	November
Benchmark exercise	1 st week December
NT issue final allocations	January/February
Minister – tabling MTEF Budget	February
MEC – tabling MTEF Budget	March
Cashflow submission	March
MTEF Appropriation Bill	April

The following documents should be submitted to Provincial Treasury on the 15 August:

- Estimates of Provincial Revenue and Expenditure (EPRE)
- Inputs of the OPRE
- Infrastructure B5
- HR Plan and Annual Recruitment Plan
- Gazette information

- Procurement Plans and
- Conditional grant business plans
- Public entities should submit their databases to departments by 22 July.

Provincial Treasury to consolidate narrative reports and submit to the National Treasury on the implications for the scenarios.

As can be seen above, the tables 5 and 6 (OTP and PT) for the planning and budget processes are not aligned. The Department need to navigate the 1st budget submission to Treasury through the outer-year planning of the APP.

9.5 District Development Model (DDM)

The Government successfully launched the District Development Model (DDM) through the National Ministry of Cooperative Governance and Traditional Affairs. The Model is an integrated planning model for which seeks to be an integrated, district-based, service delivery approach aimed at fast-tracking service delivery and ensure that municipalities are adequately supported and resourced to carry out their mandate. The DDM also has elements of rural spatial development and elements of urban spatial development (Urban-Rural linkages).

The District Development Model has been approved by government structures, the President's Coordinating Council (PCC) of the sixth Administration including Cabinet to integrate service delivery that will be more practical, achievable, implementable, measurable and clearly aligned to the key priorities of the government. The model seeks to change the face of rural and urban landscapes by ensuring complementarity between urban and rural development, with a deliberate emphasis on local economic development.

Across the 44 districts and 8 Metros in the country, all developmental initiatives will be viewed through a district-level lens. Development will be pursued through single, integrated plans per district – ONE DISTRICT, ONE PLAN – that will outline the role of each sphere of government as well as the role of communities and civil society sectors in each district.

This coordination will require – with effect from the 2020/21 Budget cycle – that national budgets and programmes are spatially referenced across the 44 districts and 8 Metros.

Similarly, provincial government budgets and programmes will be spatially referenced to districts and metros in the respective provinces, while municipalities will express the needs and aspirations of communities in integrated development plans for the 44 districts and 8 Metros. This shift in planning

is expected to narrow the distance between citizens and engender active participation by citizens in development, and enable long-term planning as well as responses to immediate “burning” issues.

This new dispensation seeks to change the face of rural and urban landscapes by ensuring complementarity between urban and rural development, with a deliberate emphasis on local economic development an approach to development that would be more practical, achievable, implementable, measurable and clearly aligned to the key priorities of government.

The district-driven model is directed at turning plans into action, and ensuring proper project management and tracking.

10. Strategic Plan

Processes for the development, approval and revision of strategic plans by national and provincial institutions

- a) The Department should engage all internal and external stakeholders. Stakeholders refer to those who are implementing the plan, those who will be affected by the plan, those who will monitor its implementation and those who are responsible for the planning of the institution (usually referred to as the Strategic Planners). Principles for prioritising women, children, youth and people with disabilities should be adhered to in the stakeholder consultation process (where applicable).
- b) Stakeholders can be involved through a number of workshops (e.g. per programme, sub programme, outcome, cross cutting functional areas), or a series of consultation meetings with specific groups (e.g. per programme, sub programme, outcome, cross cutting functional areas).
- c) The head of planning and the Accounting Officer must identify and agree on the planning tools which will be used through a well-defined process of collaboration, partnership and communication. This process must be accompanied by a rigorous diagnostic with a particular focus on achieving the identified outcomes and contribution to the NDP, NDP Five-Year Implementation Plan, the MTSF and provincial priorities.
- d) The head of planning together with the Chief Financial Officer must ensure that the budget is prioritised to support the achievement of identified outcomes.
- e) The planner for the department consolidates the plan for the institution that has been developed using the relevant planning tools. This is embedded in a Results Based Strategic Plan.
- f) Programme managers must sign off on the contents of the Strategic Plan. This can Programme managers must sign off on the contents of the Strategic Plan. This can be done through internal sign off mechanisms.

- g) The Accounting Officer, Chief Financial Officer and Head of Planning must sign off on the Strategic Plan before it is approved by the Executive Authority.
- h) The Accounting Officer of an institution must submit the Strategic Plan to the Executive Authority of the institution for approval.
- i) The Accounting Officer of an institution must ensure that the strategic planning processes of the institution are aligned to the timeframes determined by the Leader of Government Business, the applicable provincial legislature, the Department of Planning, Monitoring and Evaluation, or Offices of the Premier, as may be applicable.
- j) The Strategic Plan must be shared with all the stakeholders, including the legislature, DPME, Offices of the Premier, and relevant Treasuries. The Strategic Plan must also be published on the Department's website.

11. Annual Performance Planning

Processes for the development and approval of annual performance plans by national and provincial institutions

According to the Revised Draft Framework the following processes should be followed during the Development and approval of the APP:

- a) The Department should engage all internal and external stakeholders. Stakeholders refer to those who are implementing the plan, those who will be affected by the plan, those who will monitor its implementation and those who are responsible for the planning of the institution (usually referred to as the Strategic Planners). Principles for prioritising women, children, youth and people with disabilities should be adhered to in the stakeholder consultation process, where applicable.
- b) Stakeholders can be involved through a number of workshops (e.g per programme, sub programme, objective, cross cutting functional areas), or a series of consultation meetings with specific groups (e.g. per programme, sub programme, objective, cross cutting functional areas).
- c) Stakeholders must continue to use the planning tools which are used through a well-defined process of collaboration, partnership and communication, and which were agreed to during the development of the Strategic Plan.
- d) Stakeholders must ensure that the outputs in the Annual Performance Plan are aligned to the outcomes in the Strategic Plan.
- e) The planner for the institution consolidates the plan which has been developed using relevant planning tools. This is embedded in a Results Based Annual Performance Plan.

- f) Programme managers must sign off on the contents of the Annual Performance Plan. This can be done through internal sign off mechanisms.
- g) The Accounting Officer, Chief Financial Officer and Head of Planning must sign off on the plan before it is approved by the Executive Authority.
- h) The Accounting Officer of an institution must submit the Annual Performance Plan to the Executive Authority of the institution for approval.
- i) The Accounting Officer of an institution must ensure that the planning processes of the institution are aligned to the timeframes determined by the Leader of Government Business, the applicable provincial legislature, the Department of Planning, Monitoring and Evaluation, or Offices of the Premier, as may be applicable.
- j) The Annual Performance Plan must be shared with all the stakeholders, including the legislature, DPME, Offices of the Premier, and relevant Treasuries. The Annual Performance Plan must also be published on the Department's website.

12. Technical Indicator Descriptions (TID)

TIDs must be developed for each of the output indicators which are contained in the Annual Performance Plan.

The core elements of the institution's TIDs are provided in the Guidelines for the Implementation of the Framework for Strategic Plans and Annual Performance Planning.

13. Annual Operational Planning

According to the newly Revised Draft Framework the following processes should be followed during the development and approval of the APP

- a) Involve stakeholders at a sub-programme level.
- b) Identify the outputs at sub-programme level, those in the Annual Performance Plan and those not reflected in the Annual Performance Plan, including those relating to women, children, youth and people with disabilities (where applicable).
- c) Develop a set of activities to be delivered for each of the outputs.
- d) For each activity, identify the timeframes for completion of the activity.
- e) Cost each activity.
- f) Determine the dependencies for each activity.

- g) Assign responsibly for each activity.
- h) Identify risks per activity and mitigating factors.
- g) The planner for the institution consolidates the Annual Operational Plan for the institution.
- i) The Annual Operational Plan must be approved by the Accounting Officer by end of March.

14. Implementation Programme Planning

Planning for Implementation Programmes is essential to accelerate service delivery. The National Department of COGTA must lead this process.

Processes for the development of an Implementation Programme Plan:

- a) Identify stakeholders at an Implementation Programme level. These stakeholders could span across budget programmes, institutions and spheres of government, and non-government stakeholders, where relevant.
- b) Stakeholders can be involved through a number of workshops and / or a series of consultation meetings with specific groups.
- c) The Implementation Programme plan needs to be coordinated and consolidated by the leading institution.
- d) Accounting Officers of contributing institutions must approve the commitments made on the Implementation Programme plans and these should be reflected in their institutional short and medium term plans.
- e) A process for monitoring the progress of an Implementation Programme plan should also be outlined by the leading institution in line with the relevant prescripts.
- f) The Accounting Officer of the leading institution must approve the consolidated Implementation Programme plan.

15. Infrastructure Planning

Introduction

Infrastructure comprises of the essential facilities and systems serving a country, city, or other areas necessary for the economy to function. Infrastructure includes public and private physical improvements such as roads, water supply, sewers, electrical grids and telecommunications.

Infrastructure Planning is a process for ensuring that the physical needs of an area can be delivered to keep pace with developmental requirements. Infrastructure planning must form part of the short

and medium term planning process to contribute to the achievement of institutional priorities and broader government priorities.

This Revised Framework for Strategic Plans and Annual Performance Plans aims to create synergies between the existing Infrastructure Planning processes and short and medium term planning in government. The Revised Framework for Strategic Plans and Annual Performance Plans must be read in conjunction with the National Treasury (NT) guidelines and regulations, and other legislation and policies related to Infrastructure Planning.

The National Treasury provides guidance on how infrastructure programmes and project proposals should be planned, appraised and evaluated before significant funds are committed. The procurement of new infrastructure or rehabilitation and refurbishment including maintenance requires comprehensive assessment and planning that takes into consideration the full life cycle cost of the asset. This chapter provides institutions with a streamlined approach to Infrastructure Planning as well as guidance on how Infrastructure Planning processes can be aligned to the short and medium term planning processes of institutions.

Relationship between Infrastructure Planning and Spatial Planning

The NDP vision for the National Spatial Development Framework (NSDF) is to optimise, integrate and coordinate strategic interventions in national spaces towards spatial development and transformation. The Spatial Planning and Land Use Management Act (SPLUMA) legislates the development of the National Spatial Development Framework to provide direction for spatial targeting towards spatial development aspirations expressed in the NDP.

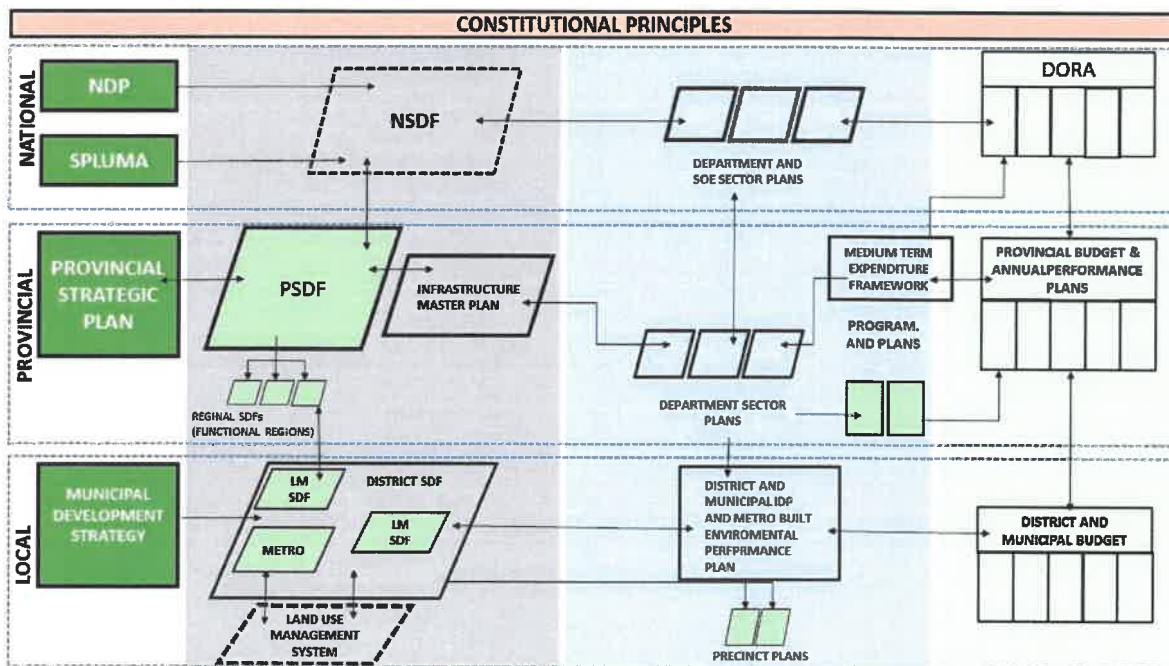
Spatial planning is a process of creating a blueprint for future land use that will support sustainable use and development of land. It is driven by the development principles embedded in SPLUMA which includes:

- **Spatial Justice:** past spatial and other development imbalances must be redressed through improved access to and use of land by disadvantaged communities and persons.
- **Spatial sustainability:** spatial planning and land use management systems must promote the principles of socio-economic and environmental sustainability through; encouraging the protection of prime and unique agricultural land; promoting land development in locations that are sustainable and limit urban sprawl; consider all current and future costs to all parties involved in the provision of infrastructure and social services so as to ensure for the creation of viable communities.

- Efficiency: land development must optimise the use of existing resources and the accompanying infrastructure, while development application procedures and timeframes must be efficient and streamlined in order to promote growth and employment.
- Spatial resilience: securing communities and livelihoods from spatial dimensions of socio-economic and environmental shock through mitigation and adaptability that is accommodated by flexibility in spatial plans, policies and land use management systems. Good administration: all spheres of government must ensure an integrated approach to land use and land development, and all departments must provide their sector inputs and comply with the prescribed requirements.

Spatial Development Frameworks must be considered in strategic planning, annual performance planning and sector planning. Spatial development framework guide national, provincial and local government institutions in prioritising, mobilising, sequencing public and private infrastructure investment.

The figure below depicts the relationship between SDFs and Short and Medium Term Plans at all levels of government.



Source: DRDLR SDF guidelines, 2017 (we should get a clear diagram from DRDLR)

Key areas of focus in aligning Strategic Plans and Annual Performance Plans with SDFs:

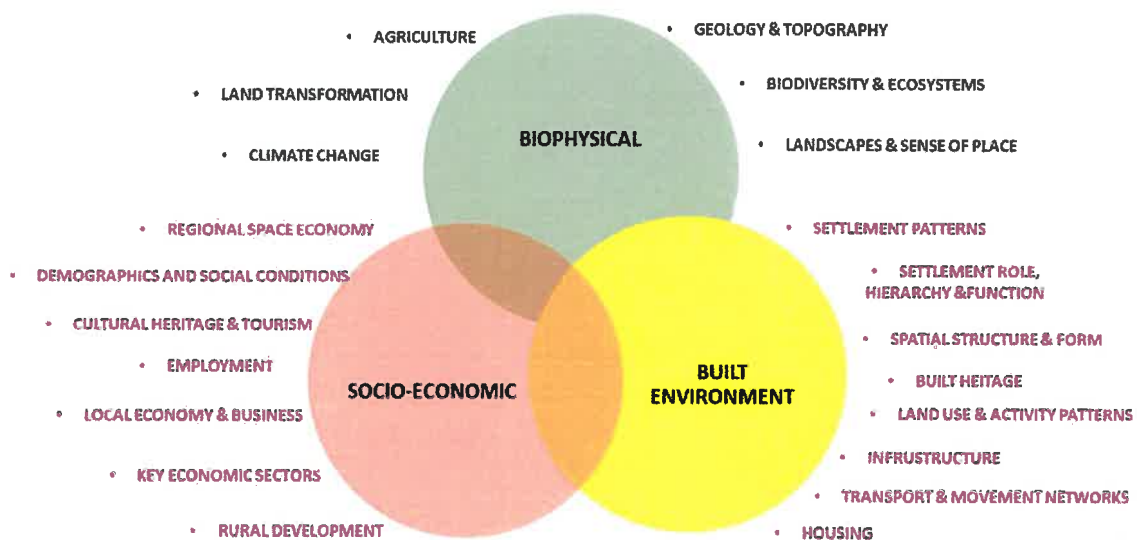
All SDFs have three (3) substantive spatial themes to be considered when developing Strategic Plans and Annual Performance Plans. These three substantive spatial themes includes the biophysical, socio-economic and built environment and are simplified in the diagrams below. They provide a lens

through which the desired spatial development patterns, directives for all forms of infrastructure investment; and strategic spatial areas for targeted investment are structured.

The biophysical theme provides direction on areas including the biodiversity corridors, protected areas, land suitable for agriculture, land scape, disaster prone areas, water quality, and climate change.

The socio-economic theme provides planning guidance on the spatial economy, demographic trends, population growth, migrations patterns and rural development. The Infrastructure Development Zones (IDZ), Special Economic Zones (SEZ), and other economic centres included in the SDFs.

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



Planning processes to enhance alignment of Strategic Plans and Annual Performance Plans with SDFs:

Provincial Institutions:

- The NSDF will inform the development of the NDP Five Year Implementation Plan in relation to spatial priorities.
- The PSDF will inform the development of the provincial development plans in relation to spatial priorities.
- Provincial institutions must align their Strategic Plans and Annual Performance Plans to the spatial priorities in the NDP Five Year Implementation Plan and provincial development plans.
- Spatial priorities must be reflected on in the situational analysis and the TIDs, as directed in Chapter 4 and 5.

e) Provinces must consider the Local Government SDFs in the development of the provincial development plans, and Strategic Plans and Annual Performance Plans.

Infrastructure Planning in Government

There are various tools available on how government institutions that are implementing infrastructure projects can plan for infrastructure projects. A summary of all infrastructure planning tools available is provided below and should be used by government institutions to plan and package project to increase their chances of being allocated funds;

1. Infrastructure Delivery Management System (IDMS)
2. Budget Facility for Infrastructure Guidelines
3. Capital Planning Guidelines
4. Public-private Partnerships (PPP)

Process for aligning Infrastructure Plans with Short and Medium Term Plans

The process to be undertaken during the planning process for infrastructure development is outlined in the Standard for Infrastructure Procurement and Delivery Management issued by National Treasury.

The Strategic Plan focuses on a strategic overview of the sector or department/institution's vision, mission, values and impact, outcomes it aims to achieve over a five-year period. The infrastructure planning derives its priorities from the strategic plans of institutions.

In each province, there is an IDMS protocol, which outlines the roles and responsibilities of the provincial department, related to infrastructure. With the IDMS, the portfolio management process requires the development of the Infrastructure Asset Management Plan. The Infrastructure Asset Management plan derives its mandate from the departmental strategic plans in terms of outcomes it aims to achieve in relation to infrastructure development over 5 to 10 years, and therefore ensuring alignment of use of immovable assets with service delivery objectives of a national or provincial department and the efficient utilisation of immovable assets.

The infrastructure plan is governed by the Government Immovable Asset Management Act which outlines the uniform framework of managing the immovable assets used by national or provincial departments. The plan is reviewed annually to take into consideration the national and provincial priorities decided by the Executive Authority. The Infrastructure Asset Management Plan (IAMP) supports the development vision of the organisation and facilitates prudent technical and financial decision-making over a long term period including the project and programmes.

The infrastructure planning and budgeting process begins with the identification of needs. The needs will arise from multiple sources, including strategic requirements, infrastructure life cycle needs, community needs, backlogs, political needs, health and safety matters, asset management and should be recorded and retained on a database irrespective of their perceived distinction.

The identified needs, which will be contained in the Infrastructure Asset Management Plan, must align with the national, provincial and sector plans. Unless the infrastructure planning processes are adequately developed, infrastructure delivery will tend to remain reactive and not function as an agent of strategic change i.e. a rear-view mirror approach will be pursued. The infrastructure planning process is an absolute precondition to effective integrated infrastructure planning. The importance of the infrastructure planning process that clearly articulate strategic priorities cannot be over emphasised, as this is a key input when prioritising infrastructure delivery particularly in the environment where funding is limited to meet the identified needs.

The Infrastructure Programme Management Plan (IPMP) stipulates what the client organisation intends to achieve in the MTEF period (i.e. the next 3 years) of implementation including projects and programmes.

The implementer responds to the IPMP through the development of an Infrastructure Programme Implementation Plan (IPIP) which validates the implementer's understanding of what needs to be implemented and explicitly indicates how this will be achieved, when and by whom. These plans also promote cooperative governance and collaborative programme and project management. The tabled MTEF prioritised project list, which forms part of the Estimate of Provincial Revenue and Expenditure (EPRE), is informed by the IPMP. The Annual Performance Plans are derived from the tabled projects list.

The Infrastructure Reporting Model is a monitoring and reporting tool used by provincial departments to report on their infrastructure projects and programmes as required by the Division of Revenue Act and Public Financial Management Act. Departments capture their MTEF list of projects/programmes tabled as part of the Estimates of Provincial Revenue and Expenditure. The provincial departments are required to report their progress on project/programme, budget and expenditure on a monthly basis.

16. Identify unintended outcomes or effects, assumptions and risks

While elaborating the Annual Performance Plan, stakeholders should note that sometimes well intentioned actions may lead to negative results. Additionally, there may be risks that could prevent the planned results from being achieved. Therefore, it is necessary to devote time to thinking through the various assumptions, risks and possible unintended effects or outcomes.

16.1 Assumptions

Assumptions are normally defined as “the necessary and positive conditions that allow for a successful cause-and-effect relationship between different levels of results.” This means that when stakeholders think about the positive changes they would like to see and map the prerequisites for these changes, they are assuming that once those things are in place the results will be achieved. When an Annual Performance Plan is being developed, there will always be these assumptions. The question to ask is: “If we say that having X in place should lead to Y, what are we assuming?” For example, if stakeholders say that having “high levels of public confidence and involvement in governance and decision making” should lead to “higher levels of participation in ward committee meetings,” then stakeholders should ask, “What are we assuming?” or “Under what conditions should this happen?” Often the assumptions relate to the context within which stakeholders will work towards the desired results. In many situations, interventions are designed assuming the government will take action or allocate resources to support achievement of results. There is often a general assumption of continued social, economic and political stability within the programme’s environment.

Stating assumptions enrich programme design by identifying additional results or inputs that should be included. They also help identify risks. Assumptions may be internal or external to the Department and the particular programme. When an assumption fails to hold, results may be compromised.

The assumptions that are made at the lowest levels of the Operational Plan can be expected to come true in most cases. For example, if stakeholders had stated that having “a good mass-media communication programme” and “an advocacy initiative targeted at specific stakeholders” should result in “increased awareness of women, youth, and other marginalized groups,” they may have assumed that sufficient resources would be mobilized by the partners to implement communication and awareness programmes.

A different example is a situation where the result of “high levels of public confidence and involvement in governance and decision making” was expected to lead to “higher voter turnout.” The stakeholders in this situation may have assumed that sufficient budgetary resources would be allocated to constructing voting centres and improving roads used by rural marginalized populations to get to voting centres.

It could be argued that the assumption in the first example of being able to mobilize resources for the communication and advocacy campaigns is more probable than the assumption in the second example

relating to the higher level result. This is because stakeholders usually have a higher level of influence on the lower level results and assumptions.

Additional examples of assumptions include the following:

- Priorities will remain unchanged over the planning period;
- Political, economic and social stability in the Province;
- Planned budget allocations to support the municipalities and traditional leadership institutions are actually made;
- Resource mobilization targets for interventions are achieved.

16.2 Risks

Risks are potential events or occurrences beyond the control of the Programme that could adversely affect the achievement of results. While risks are outside the direct control of the Programme or Department, steps can be taken to mitigate their effects. Risks should be assessed in terms of probability (likelihood to occur) and potential impact. Should they occur, risks may trigger the reconsideration of the overall programme or project and its direction.

Risks relate to the possibility of external negative events occurring that could jeopardize the success of the programme. There should be a moderate to high probability that the risks identified will occur.

DDGs, Chief Directors and Directorates should therefore again review their Operational Plans and try to identify any important risks that could affect the achievement of results. These risks should be noted beside the assumptions for each level of result.

A summary of key risks which may affect the achievement of the identified outcomes, as well as, measures to mitigate the identified risks must be included in Part B of the Strategic Plan. This information must be included in the format stipulated in the Guidelines for the Implementation of the Framework for Strategic Plans and Annual Performance Planning.

16.3 Unintended outcomes

Programmes and projects can lead to unintended results or consequences. These are another form of risk. They are not risks that a programme's or project's activities will not happen, but are risks that they will happen and may lead to undesirable results.

Once the results, assumptions and risks are in place, Directorates should discuss and document any possible unintended results or consequences. The discussion should centre around the actions that may be necessary to ensure that those unintended results do not occur. This may require other small

adjustments to the Operational Plan — such as the addition of other conditions, prerequisites or interventions. It is not necessary to put the unintended results on the Operational Plan itself.

17. Alignment of planning processes and documents

- a) The planning processes should begin with a dynamic five-year Strategic Plan which outlines clearly the constitutional/ political mandate of the department.
- b) This plan should outline clear service delivery targets to be met for each year. Budget projections for performance measures /performance indicators and outputs should be outlined and linked to the Medium Term Expenditure Framework figures (MTEF).
- c) The Annual Performance Plan is derived from the Strategic Plan and its contents should reflect specific services and targets for one financial year of the five Strategic Plan. Therefore, there should not be any difference in the content and focus between the two documents.
- d) The Budget which is prepared by the office of the Chief Financial Officer (CFO) is one of the important documents which is used by the legislature to approve allocation of funds. The annual budgeting process should be done after the annual review of the Strategic Plan and the Annual Performance Plan. This document is meant to support the Strategy and its contents. The Budget Statement should clearly outline the thrust of the Annual Performance Plan, its envisaged outputs and key outcomes.
- e) Therefore, the content of the Objective Statements including targets outlined in the Strategic Plan, the Annual Performance Plan performance measures/indicators, the Budget Statement and the Annual Report of the financial year must be aligned. If not, then there is a challenge of alignment which must be addressed by Programme Managers (DDGs), the Strategic Planning division, office of the CFO and Senior Management of the Department.
- f) These documents must reflect the baseline information so that the clients and government is in a position to assess the extent to which the department is making any progress towards improving the quality of life of the Eastern Cape citizenry.
- g) The Strategic Plan and the Annual Performance Plan must reflect the essence of the national priorities as set out by government for the local government sector and traditional leadership institutions, the critical outcomes of Outcome 9, and provincial priorities MTSF, and the Integrated Development Plans (IDPs) of the local municipalities.
- h) The District Senior Manager should coordinate and support developmental local government and traditional affairs in the District Municipality in consultation with the District Municipal Manager. IDPs will then inform the required District specific needs; hence these documents form the basis for the entire government planning. Strong alignment between the District IDP, the District Annual Performance Plan and Operational Plan is crucial.

- i) The Programme Managers' and Sub-programme Managers roles are not only to consolidate plans, but to validate them and ensure that they are aligned to the critical guiding priorities mentioned above.

18. Exception To Normal Process Work Flow

While it is assumed that the processing of strategic planning matters within the Department flow from the process outlined at item 7 of this document, the following exceptions may apply:

- ✓ Fewer strategic planning sessions can be conducted due to the departmental financial situation and desktop approach of work completed.
- ✓ In truly exceptional circumstances, the Department may, in accordance with the Framework where permitted, allow for direct submission of performance information from Chief Directorates to the Strategic Planning Directorates with a proviso that approval will be granted by the relevant authorities.

19. Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
Start from	YYMMDD (the date the policy takes effect)	Contact person – full name & title.	Include any superseded procedures and what the amendment is to the document.
2020	20200803	P.N. Roboji – Acting HoD	
2021	2021	A. Fani - HoD	

20. Conclusion

This Concept document has been prepared by the Strategic Planning Directorate. This Concept document must be read with the **National Revised Framework for Strategic Plans and Annual Performance Plans**, the **National Guidelines for the Implementation of the Revised Framework for Strategic and Annual Performance Plans, 2019**.

This Concept document is only applicable on approval by the Head of Department or by the Honourable MEC.

21. References

CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA (1996)
DRAFT TREASURY REGULATIONS (2012)
DIVISION OF REVENUE ACT
EASTERN CAPE: OTP PLANNING PROCESS
EASTERN CAPE: PROVINCIAL TREASURY BUDGET PROCESS
EC PROVINCIAL PLANNING PROCESS SCHEDULE
FRAMEWORK FOR MANAGING PROGRAM PERFORMANCE INFORMATION – PUBLISHED BY NATIONAL
TREASURY
GUIDELINES FOR THE IMPLEMENTATION OF THE REVISED FRAMEWORK FOR STRATEGIC AND ANNUAL
PERFORMANCE PLANS, 2019
INSTITUTE FOR PERFORMANCE MANAGEMENT, (2011)
NATIONAL TREASURY GUIDELINES ON BUDGET PROGRAMMES (OCTOBER, 2009)
2019/20
NATIONAL TREASURY REGULATIONS (FEBRUARY, 2007)
REVISED FRAMEWORK FOR STRATEGIC PLANS AND ANNUAL PERFORMANCE PLANS, 2019
UNITED NATIONS DEVELOPMENT PROGRAMME: HANDBOOK ON PLANNING, MONITORING AND
EVALUATING FOR DEVELOPMENT RESULTS

Annexure A: Strategic Planning Process To Be Followed By The EC COGTA Towards The Development Of The New 5yr Strategic Plan (SP), Annual Performance Plan (APP) And Annual Operational Plan (AOP)

The Strategic planning process detailed below will be supplemented by the detailed EC COGTA Planning, Budgeting and M&E Roadmap approved by the HOD on an annual basis. Over and above all the reference on these processes is included in the introduction and in the Revised Framework for Strategic Plans and Annual Performance Plans 2019 and the EC Planning process schedule as adopted by the Office of the Premier.

# STEPS	DESCRIPTION	Date/Timeframe	Responsibility	Comment
Identification and Appointment of the Strategic/Core Management Team (CMT)	<ul style="list-style-type: none"> MEC/HOD appoints a Strategic Core Management Team that may include the DDGs, Chief of Staff; GM: SMCIS; CFO; GM: DSCs & IGR; GM: TLISS; SM: OHOD; Risk Management (Risk); Internal Audit (IA) and SM: SPD 	July/ August	OMEC/OHOD/SPD	The SPD will provide relevant secretariat needs and requirements
Identification and Appointment of the Analytical team (Working Team)	<ul style="list-style-type: none"> MEC/HOD appoints an analytical team which will be a working Team that includes the SM: SPD; SM: OHOD; SM: Budget including SPD; Risk; IA; M&E Managers & Office Managers to DDGs and to GM: SMCIS; DSCs District Senior Managers 	July/ August	OMEC/OHOD/SPD	The SPD will provide relevant secretariat needs and requirements

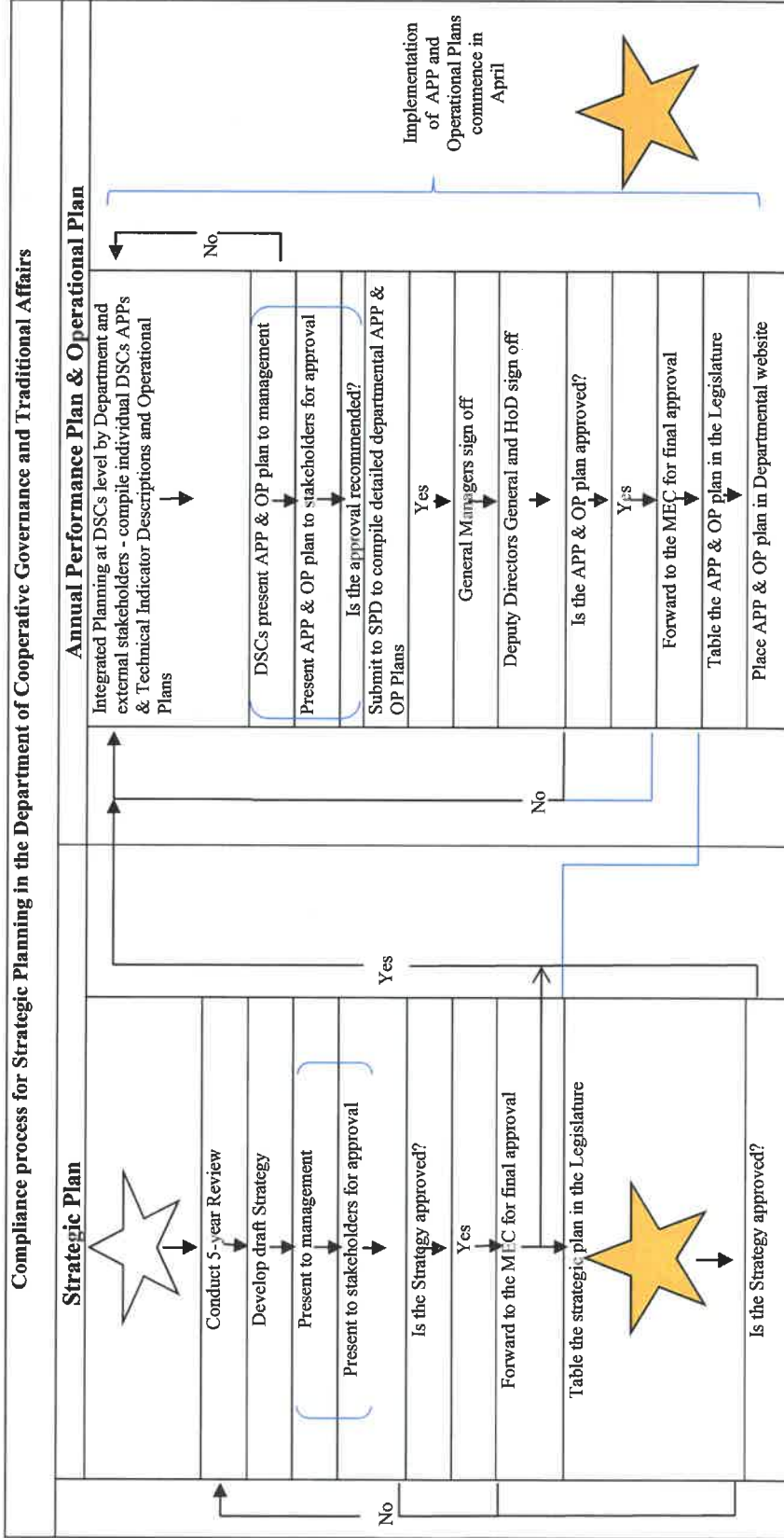
# STEPS	DESCRIPTION	Date/Timeframe	Responsibility	Comment
Policy Priority Setting	<ul style="list-style-type: none"> EXCO determine key policy priorities as basis of strategic plan, Hon MEC; EC PDP, Lekgotla resolutions; 5yr Review report of the ECCOGTA; IDP assessments; MUCAT; Sec 47 report 	July – Mid August	Analytical team (Working Team)	This information may already be in existence and needs to be brought together and consolidated in the various templates and packages. All information to be sourced and made available by relevant Programmes
Develop and Agree on Strategic Planning Process	<ul style="list-style-type: none"> Core management team to approve Aim to agree upon the process to be followed Confirm dates as approved in the Concept document and Roadmap 	July	Core Management Team	Use of the approved Concept document, 2019/20 Roadmap with consideration to the Provincial Planning Process and Treasury MTEF Guidelines
Host a 3-4 day Stakeholder engagement session	<ul style="list-style-type: none"> A stakeholder engagement session during the month of August to be hosted over a minimum of two - to 4 days' maximum depending on Resource availability and on approval. 	August (3-4 days) The dates are requested and approved by the MEC	Core Management Team; Analytical Team; SPD; OHOD; OMEC	Encourage broad and active stakeholder engagement in the planning by the Dept. The report from these sessions and outcomes to form part of the Situational analysis of the SP including build-up towards the upcoming Departmental Strategic session
Conduct Situational Analysis	<ul style="list-style-type: none"> Confirmation and internal circulation of Templates as approved by the Presidency/OTP 	August (2 days)	Working/Analytical Team	

# STEPS	DESCRIPTION	Date/Timeframe	Responsibility	Comment
	<ul style="list-style-type: none"> Status quo problem analysis, PESTEL, Theory of Change and Outcomes Approach prior to first strategic planning workshop Used Balanced Scorecard principles or any other approach (not limited) SWOT; Problem tree analysis; Fishbone 			
Pre-Strategic Session	<ul style="list-style-type: none"> Management, divisions and analytical teams conduct pre-strategic planning sessions to draft strategic objectives, outcomes, performance measures/indicators and targets among internal teams 	2 weeks (till end August) (9 days)	Core Management Team and the Analytical/Working Team	The following process is basically programme engagements and must be led by the relevant DDGs and GMs provide needed information and presentations
First Strategic Planning Workshop	<ul style="list-style-type: none"> Invite internal stakeholders and role players to attend the workshop During workshop review vision, mission, values, identify strategies, programmes for five-year time period Huge consideration of Stakeholder session report, Situational analysis, draft SGs and SOs KPIs are developed and confirmed 	2 nd week of September (3 days)	CMC; Analytical Team; SPD; OHOD; OMEC	Host the First strategic Planning session of the Dept of COGTA

# STEPS	DESCRIPTION	Date/Timeframe	Responsibility	Comment
Draft Strategic Plan	<ul style="list-style-type: none"> Core and analytical teams to draft preliminary strategic plan document There is extensive consideration of all Reports from sessions held; the situational analysis and the 1st Strategic Planning session 	Mid-September to last week September	Core Management Team and the Analytical/Working Team	This is an intensive process that leads to consolidation of the 1 st Draft SP and APP
Compare and Align with MTEF	<ul style="list-style-type: none"> Compare proposed programmes related to strategies to budget to ensure alignment of budget with five year targets related to strategic objectives 	September	Analytical/Working Team	It is necessary to ensure alignment of the SP and APP and the Budget targets
District engagements in all the 6 Districts	<ul style="list-style-type: none"> District Support Centres conduct district engagements and consolidated Draft SP, APP and AOP - submit to SPD for consolidation 	Mid-October to end October. (2days in each District)	Analytical/Working Team DC&IGR DSC Teams	The District Management Teams (DSC Directors) should lead these sessions, these sessions should be considering their Draft SP, APP, AOP and also bring in information to close any Gaps
Submit 1st Drafts SP; APP to OTP and PT for consideration	<ul style="list-style-type: none"> The consolidated Draft SP and Draft APP are submitted to OTP and PT 	15 October (1 day)	OHOD; SPD	As per the Presidency Timeframes and the Provincial Planning schedule
Second Strategic Planning Workshop	<ul style="list-style-type: none"> Review preliminary strategic plan submitted with considerations from assessment from OTP and PT 	November (3 Days)	OMEC; OHOD; SMS and CMT and working team with	The Draft SP and APP are presented again and engagements are made in a

# STEPS	DESCRIPTION	Date/Timeframe	Responsibility	Comment
			SPD providing relevant secretariat services	closed session for the 3 days culminating to refined documents
Consolidation of inputs from the second Strategic planning workshop	<ul style="list-style-type: none"> Inputs from the second Strategic planning workshop are consolidated and the SP and APP drafts are refined 	Mid November	Analytical/Working Team	This process will result to refined SP and APP Drafts
Finalise Plan	<ul style="list-style-type: none"> Core management and analytical team to finalise plans 	Mid November	Core Management Team and the Analytical/Working Team	Continuous consolidation of information into the plans
Submit	<ul style="list-style-type: none"> Submit to the OTP; the Presidency; NT and PT for comments 	End November	OHOD; SPD	Submission will be as per the Presidency Timeframes and the Provincial Planning schedule
Receive and Incorporate Comments	<ul style="list-style-type: none"> Incorporate comments received from the Presidency, NT and PT for the strategic plans 	January	Core Management Team and the Analytical/Working Team	The comments from the Presidency, NT, PT and OTP will be incorporated into the Drafts
Endorsement session	<ul style="list-style-type: none"> OMEC and SMS lead the endorsement of the documents 	2 nd week February	OMEC; OHOD; SMS and CMT and working team with SPD providing relevant secretariat services	The finalised drafts are presented to the Hon MEC
Get Sign-off	<ul style="list-style-type: none"> Submit to Executive Authority for sign off 	End February – Beginning of March	Core Management Team and the Analytical/Working Team	<ul style="list-style-type: none"> The Honourable MEC signs off the Statutory document
Table in Parliament	<ul style="list-style-type: none"> Executive Authority to table strategic plan to relevant Parliament/Legislature Portfolio Committee 	Beginning of March or as determined by the Parliament/Legislature	Hon MEC	<ul style="list-style-type: none"> The Honourable MEC Tables the Statutory document at the Legislature

Annexure B: Compliance Process For Strategic Planning In The Department Of Cooperative Governance And Traditional Affairs



**Annexure C: Checklist for The Evaluation of Strategic Plan, Annual Performance Plan,
Technical Indicator Descriptions and Operational Plan**

Checklist for the evaluation of Strategic Plan				
Province: Eastern Cape - Department of Cooperative Governance and Traditional Affairs				
Part A: Our Mandate		Yes	No	Comment
1. Constitutional Mandate				
2. Legislative and Policy Mandates				
3. Institutional Policies and Strategies over the five year planning period				
4. Relevant Court Rulings				
Part A	Does the strategic plan reflects the Constitutional Mandate, Legislative & Policy Mandates, Institutional Policies & Strategies over the five year planning period and Relevant Court Rulings?			
Part B: Our Strategic Focus				
5.	Vision			
6.	Mission			
7.	Values			
Part B	Does the strategic plan reflects the reviewed Departmental Vision, Mission and Values?			
8. Situational Analysis				
8.1	External Environment Analysis			
8.2	Internal Environment Analysis			
	Does the situational analysis reflect the following core elements:			
A	Background information on factors contributing to the performance of policy and regulatory institutions.			
B	Information from the political environment which may impact on the implementation of the Strategic Plan.			
C	The strategic focus of the institution over the five year planning period?			
D	Does the situational analysis provide recent statistics relevant to the department and sector?			
E	Is there reference to the medium and long term policy environment?			
F	Evidence-based analysis of the strategic context and priorities relating to women, children, youth and people with disabilities.			
G	Diagnostic and analysis of relevant environmental factors, data, trends, barriers, research, evaluations, relating to women, children, youth and people with disabilities that will inform the strategy of the institution.			
H	Is there appropriate demographic data or other data that will be used to inform planning for the five year period?			
I	Does the situational analysis include background information on demand for services and other factors which informs the development of the Strategic Plan?			
J	Does the situational analysis reflect, where appropriate, use of spatial information to guide planning?			
K	Does the situational analysis include the challenges experienced by the department in the performance environment and mechanisms to address the challenges over the planning period? (Identify challenges to be addressed and provide interventions).			
L	Emerging priorities and opportunities which will be implemented during the planning period?			

Checklist for the evaluation of Strategic Plan

M	Does the situational analysis provide information on the relevant stakeholders which contribute to the department's achievement of its outcomes?			
N	Trend analysis based on annual reports and end term reports that will inform the strategy going forward.			
O	Findings of internal or external research that will be used to inform the strategy of the department.			
P	Findings of internal or external evaluations that will be used to inform the strategy of the department.			
Q	Does the situational analysis provide information on the capacity of the department to deliver on its mandate? This should include the Human Resources, Information Communication and Technology, financial resources, among others.			
R	The status of the institution regarding compliance with the BBEE Act.			
S	The status of the institution regarding women, youth and people with disabilities.			
		Yes	No	Comment
PART C: Measuring Our Performance				
9. Institutional Performance Information				
9.1	Measuring the Impact			
A	Is the impact statement informed by the department's legislative or policy mandate? The impact must be informed by the theory of change or any other tools used to develop a results based plan?			
9.2	Measuring Outcomes?			
A	Are the outcomes accompanied by at least one outcome indicator which will be used to measure attainment of the outcome?			
B	Outcome indicator(s) – is it clear, specific and measurable? The outcome indicators can either be qualitative or quantitative and must be able to gather disaggregated data for women, children, youth and people with disabilities, where applicable			
C	Outcome Indicator Baseline - The current level of performance in relation to the outcome indicator at the beginning of the five year planning period			
D	Five (5) year target - This is the desired level of performance to assess progress towards the achievement of the outcome indicator by the end of the five-year period			
9.3	Explanation of Planned Performance over the Five Year Planning Period The following key issues must be covered in the narrative:			
A	The contribution of outcomes towards the achievement of the NDP Five-Year Implementation Plan, the Monitoring Framework for the NDP Five Year Implementation Plan, the mandate of the institution and priorities of women, children and people with disabilities, provincial priorities (where applicable)			
B	The rationale for the choice of the outcome indicators relevant to the respective outcomes			
C	Explanation of enablers to achieve the five-year targets			
D	Explanation of the outcomes contribution to the achievement of the impact			
10. RISK MANAGEMENT				
A	Is the key risks which may affect the achievement of the identified outcomes, as well as, measures to mitigate the identified risks included in Part B of the Strategic Plan?			
11. PUBLIC ENTITIES				
B	Are the Public Entity tables completed for each of the public entities that fall within the ambit of the Department?			
PART D: TECHNICAL INDICATOR DESCRIPTION (TID)				
A	Indicator Title - Title of the indicator verbatim from the strategic plan			
B	Definition - The meaning of the indicator <ul style="list-style-type: none"> The explanation of technical terms used in the indicator 			
C	Source of data - Where the information is collected from			

Checklist for the evaluation of Strategic Plan

D	Method of Calculation / Assessment – <ul style="list-style-type: none"> • How the performance is calculated (quantitative) • How the performance is assessed (qualitative) 			
E	Assumptions - Factors that are accepted as true and certain to happen without proof			
F	Disaggregation of Beneficiaries (where applicable) - <ul style="list-style-type: none"> • Target for Women: • Target for Youth: • Target for People with Disabilities: 			
G	Spatial Transformation (where applicable) - <ul style="list-style-type: none"> • Reflect on contribution to spatial transformation priorities • Reflect on the spatial impact area 			
H	Reporting Cycle - Annual progress against the five year target			
I	Desired performance - Identifies whether actual performance that is higher or lower than targeted performance is desirable			
J	Indicator Responsibility - Who is responsible for managing or reporting on the indicator			

Checklist for the evaluation of Annual Performance Plan

Yes No Comment

Province: Eastern Cape - Department of Cooperative Governance and Traditional Affairs		Yes	No	Comment
Part A: Our Mandate				
1	Updates to the relevant legislative and policy mandates			
2	Updates to Institutional Policies and Strategies			
3	Updates to Relevant Court Rulings			
Part A	Does the annual performance plan reflects the updated relevant legislative & policy mandates, Institutional Policies & Strategies and Relevant Court Rulings			
Part B: Our Strategic Focus				
4	Updated Situational Analysis			
4.1	External Environment Analysis			
4.2	Internal Environment Analysis			
	Does the situational analysis reflect the following core elements:			
A	Background information on factors contributing to the performance of policy and regulatory institutions.			
B	Information from the political environment which may impact on the implementation of the Strategic Plan.			
C	The strategic focus of the institution over the five year planning period?			
D	Does the situational analysis provide recent statistics relevant to the department and sector?			
E	Is there reference to the medium and long term policy environment?			
F	Evidence-based analysis of the strategic context and priorities relating to women, children, youth and people with disabilities.			
G	Diagnostic and analysis of relevant environmental factors, data, trends, barriers, research, evaluations, relating to women, children, youth and people with disabilities that will inform the strategy of the institution.			
H	Is there appropriate demographic data or other data that will be used to inform planning for the five year period?			
I	Does the situational analysis include background information on demand for services and other factors which informs the development of the Strategic Plan?			
J	Does the situational analysis reflect, where appropriate, use of spatial information to guide planning?			

Checklist for the evaluation of Annual Performance Plan		Yes	No	Comment
K	Does the situational analysis include the challenges experienced by the department in the performance environment and mechanisms to address the challenges over the planning period? (Identify challenges to be addressed and provide interventions).			
L	Emerging priorities and opportunities which will be implemented during the planning period?			
M	Does the situational analysis provide information on the relevant stakeholders which contribute to the department's achievement of its outcomes?			
N	Trend analysis based on annual reports and end term reports that will inform the strategy going forward.			
O	Findings of internal or external research that will be used to inform the strategy of the department.			
P	Findings of internal or external evaluations that will be used to inform the strategy of the department.			
Q	Does the situational analysis provide information on the capacity of the department to deliver on its mandate? This should include the Human Resources, Information Communication and Technology, financial resources, among others.			
R	The status of the institution regarding compliance with the BBBEE Act.			
S	The status of the institution regarding women, youth and people with disabilities.			
Part C: Measuring Our Performance				
5. Institutional Programme Performance Information				
A	Programmes and Sub-programmes Names - Each programme and sub-programme must have a distinct name which provides a succinct description of the core functions. The programme names must be consistent with the Budget Programme Structure approved by the National Treasury			
B	Programmes and Sub-Programmes Purpose - Each programme and sub-programme must have a purpose which outlines the intended results for which funds are appropriated by the legislature. The programme purpose must be same to those reflected in the Appropriation Bill			
C	Does the APP reflects the Outcomes?			
D	Programme Outputs - The department must identify outputs which are strategic for each sub-programme within a programme. The outputs must indicate the strategic deliverables which will be achieved by each sub-programme, including those relating to women, children, youth and people with disabilities (where applicable). For each output in each sub-programme, institutions must identify and reflect an outcome to which outputs contribute to. The outcomes reflected in the Annual Performance Plans must be aligned to those in the Strategic Plans			
E	Outputs which are within the direct responsibility of an institution must be outlined for sub-programmes. In addition, outputs from implementing agencies can be included as an annexure to the Annual Performance Plan. In addition, outputs identified from Implementation Programme Plans must also be reflected in the relevant sub-programmes			
F	Output Indicators - Each output must have at least one output indicator with related annual targets over the medium term. Output indicators can be either qualitative or quantitative; and must be able to gather disaggregated data for women, children, youth and people with disabilities, where applicable. In addition, output indicators identified from Implementation Programme Plans must also be reflected in the relevant sub-programmes. Output indicators for Administration programme must measure the strategic support to other programmes to enable the achievement of line function programme outputs.			
G	Targets - Annual targets over the medium term and quarterly targets for the planning year must be provided for output indicators. It is important for a logical alignment to exist between indicators and targets for both quantitative and qualitative output indicators. Targets are informed by baselines which reflect the current level of performance			
H	Are the performance indicators (qualitative or quantitative or proxy or standardised or consolidated or statistical or demand driven indicators) measurable?			
I	Are annual targets reflected?			
J	Are annual targets broken down into quarterly targets?			
K	Are standardised (customised) and Outcome 9 indicators reflected?			

Checklist for the evaluation of Annual Performance Plan		Yes	No	Comment
L	Standardised or Outcome 9 targets - are annual targets broken down into quarterly targets?			
M	Provincial targets - are annual targets broken down into quarterly targets?			
N	Does the targets contain actual figures to be achieved?			
O	Has provision been made in the budget for this target level of performance?			
P	Are the targets realistic?			
Q	Does it relate to a desired level of performance?			
R	Does the Programme/ Sub-programme confirms the technical indicators of the performance indicators?			
6.	Explanation of planned performance over the medium term period The following key issues must be covered in the narrative per programme:			
A	The contribution of outputs towards achieving the outcomes and impact in the Strategic Plan aligned to the mandate of the institution; as well as the achievement of priorities of women, children and people with disabilities			
B	Explanation of planned performance in relation to outputs must be discussed within budget programmes The rationale for the choice of the outcome indicators relevant to the respective outcomes			
C	Explanation of the outputs contribution to the achievement of the outcomes			
7: Programme Resource Consideration				
A	Table: Budget Allocation for programme and sub-programmes as per the ENE and / or EPRE			
B	Narrative: Explanation of the contribution of resources towards achievement of outputs			
8.	Updated Key Risks The Department should update the key risks that were identified in the Strategic Plan, which can impact on the achievement of outputs, as well as risk mitigation factors. This should include:			
A	Key risks which may impede the success of the outputs within a programme			
B	Unintended consequences of the outputs within a programme			
C	Assumptions underlying the achievement of the outputs			
D	Credible measures to mitigate identified risks			
9.	Public Entities Describe the public entities within the oversight of the department, where applicable			
10.	Infrastructure Projects A description of infrastructure projects which will be implemented during the medium term period must be included in Part B of the Annual Performance Plan, where applicable. A table with a list of infrastructure projects, as well as, the outcomes to which the infrastructure projects contribute must be included as Part B of the Annual Performance Plan in the format stipulated in the Guidelines for the Implementation of Strategic and Annual Performance Planning			
B	Is reference made to the factors influencing the institutions ability to deliver on the infrastructure plan?			
11.	Public Private Partnerships A description of Public Private Partnerships an institution has entered into for the purpose of delivering outcomes according to its mandate must be included in Part B of the Annual Performance Plan, where applicable. A table with a list of Public Private Partnerships must be provided in the format stipulated in the Guidelines for Implementation of the Framework for Strategic Plans and Annual Performance Planning			
A				

Checklist for the evaluation of Annual Performance Plan		Yes	No	Comment
12.	Technical Indicator Description			
A	Indicator Title - Title of the indicator verbatim from the Programme plan			
B	Definition – <ul style="list-style-type: none"> The meaning of the indicator The explanation of technical terms used in the indicator 			
C	Source of data - Where the information is collected from			
D	Method of Calculation / Assessment – <ul style="list-style-type: none"> How the performance is calculated (quantitative) How the performance is assessed (qualitative) 			
E	Means of Verification - The portfolio of evidence required to verify the validity of data			
F	Assumptions - Factors that are accepted as true and certain to happen without proof			
G	Disaggregation of Beneficiaries (where applicable) - <ul style="list-style-type: none"> Target for Women: Target for Youth: Target for People with Disabilities: 			
H	Spatial Transformation (where applicable) - <ul style="list-style-type: none"> Reflect on contribution to spatial transformation priorities Reflect on the spatial impact area 			
I	Calculation Type - <ul style="list-style-type: none"> Cumulative (Year-End) Cumulative (Year-to-Date) Non-Cumulative 			
J	Reporting Cycle – Quarterly, Bi-Annual or Annual			
K	Desired performance - Identifies whether actual performance that is higher or lower than targeted performance is desirable			
L	Indicator Responsibility - Who is responsible for managing or reporting on the indicator			
Overall Evaluation				
A	Is there a clear link between the Strategic Plan, Annual Performance Plan, Operational Plan and Policy Speech?			
B	Is there a clear link between the APP and the Budget for the year?			
C	Is there a logical link between all parts of the APP?			
D	Does the APP link to major service delivery initiatives of government as whole?			
E	Is the APP a strategic implementation plan?			

Operational Plan		Yes	No	Comment
A	Programmes and Sub-programmes Names - Each programme and sub-programme must have a distinct name which provides a succinct description of the core functions. The programme names must be consistent with the Budget Programme Structure approved by the National Treasury			
B	Programme Outputs - All Annual Performance Plan outputs and other outputs not included in the Annual Performance Plan must be included in the Annual Operational Plan per sub-programme. These outputs should have annual and quarterly targets			
C	Activities - Relevant activities contributing to the outputs within sub-programmes must be provided, including for outputs which are not reflected in the Annual Performance Plan			
D	Activity Timeframes - A start and end date for each activity must be provided			
E	Activity Budget Allocations - The department should cost each activity based on the allocated budget of the sub-programme			
F	Activity Dependencies - Dependencies are factors which contribute to the achievement of activities. Institutions should outline all the dependencies for each activity			
G	Activity Responsibilities - The institution should identify the official responsible for the activities			
H	Does the operational plan clearly provides performance outputs and step by step activities?			

I	Does the operational plan clearly shows what the Measures of Verification (hard evidence) will be?			
J	Does the operational plan have timeframes?			
K	Does the operational plan clearly indicates the risks involved?			
L	Does the operational plan provides mitigation measures?			
M	Does the operational plan indicates the correct outcomes and outputs per directorate?			
N	Does the operational plan clearly indicates the resources (human and financial)?			
O	Are annual budgets broken down into activity budgets?			
P	Does the operational plan clearly indicates activity dependencies?			
Q	Does the operational plan clearly indicates who will be responsible?			
R	Does the operational plan clearly indicates the costs/inputs?			
S	Is it spatially referenced (location of where the programme/project will be implemented in terms of the district or local municipality)?			

Compliance Process		Yes	No	Comment
A	Integrated planning is happening at DSC level and managed by the DSC: Senior Manager			
B	DDGs, Chief Directors and Directors participate and review all performance plans at the DSC level			
C	DSCs present APP & OP plan to management and stakeholders			
D	DDGs: Programme Managers approved the DSCs performance plans			
E	DSCs submit approved DSC APP & OP plan to SPD to compile detailed departmental APP & OP Plans			
F	Strategic Planning Directorate submit consolidated performance plans to Management and HoD for approval			
G	Office of the HoD submitted consolidated performance plans to the Office of the MEC for final approval			
H	Office of the MEC submitted the approved performance plans to Strategic Planning Directorate			
I	Strategic Planning Directorate submitted approved performance plans to Dir: Communications for printing			
J	Office of the MEC submitted printed performance plans to the Legislature for tabling			
K	Dir: Communications place the approved APP & OP plan in Departmental website			

CONCEPT DOCUMENT
COGTA
“TOWARDS THE DEVELOPMENT OF NEW 5-YEAR STRATEGIC
PLANS, ANNUAL PERFORMANCE PLANS AND OPERATIONAL
PLANS”

Concept document Developed by:



MR. S.S. MADOLO

MANAGER: STRATEGIC PLANNING DIRECTORATE

27/08/2021

Concept document Supported by:



MR. W.V. GALLI

SENIOR MANAGER: STRATEGIC PLANNING DIRECTORATE

DATE: 03/09/2021

Concept document Recommended by:



MR. S. MAQUNGO

ACTING GENERAL MANAGER: STRATEGIC MANAGEMENT,
COMMUNICATIONS INFORMATION SERVICES

DATE: 03/09/2021

CONCEPT DOCUMENT

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Concept document Approved / Not Approved



MR. A.A FANI

HEAD OF DEPARTMENT

DEPARTMENT OF COOPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS

DATE: 07/09/2024