

**DRAFT PERFORMANCE MANAGEMENT SYSTEM / SERVICE DELIVERY & BUDGET  
IMPLEMENTATION PLANS (SDBIP)- 2018/19 -2021 (MM 2/1/2/1) : MARCH 2018**

**EXECUTIVE SUMMARY**

The development, implementation and monitoring of the PMS is a requirement of the Chapter 6 of the Municipal Systems Act (MSA) (Act 32 of 2000); and the Municipal Finance Management Act, (MFMA) (Act No. 56 of 2003), and relevant regulations.

The development of the PMS is re-affirmed in the approved IDP/Budget/PMS process plan in August 2017. Accordingly, the Draft Framework for Performance Management, Draft Organisational Score-card for the 2018-2021 multi-year period financial year are submitted to be included in the Draft IDP Review 2018-2021. This includes the projected cash flow projections on the CAPEX Budget and Targets aligned thereto accordingly.

The Final PMS 2018/21, will be approved in May 2018 after the public consultation process, during which time any further refinements will be addressed.

**RECOMMENDED**

- a. That in terms of section 53 of the Municipal Finance Management Act read with Chapter 6 Local Government: Municipal Systems Act, 2000 (Act No.32 of 2000) as amended - the Draft Framework for Performance Management ( to include the Monitoring framework for municipal entities), Draft Performance Management System,( Organisational Score-card and Capital Cash flow projections and targets be noted for inclusion in the Draft IDP Review 2018/21;
- b. That during the public consultation process, departments further align the Draft IDP and Budget to the Draft PMS for final approval in May 2018, following which it will be cascaded Individual Performance Plans for the Municipal Manager and Managers reporting directly to the Municipal Manager ;
- c. That revisions to the Organisational objectives and strategies be accordingly included in the Draft IDP Review ;
- d. That recommendations by Internal Audit, Auditor-General , Audit Committee and MPAC be addressed through the final PMS to be approved in May 2017, including submissions from the public and other stakeholders;

- e. That any further revisions to the Draft PMS be effected prior to submission to CoGTA and publishing to the website ;
- f. That where applicable, the PMS Framework be re-aligned to the Framework for Managing Programme Performance Information as per National Treasury and the Office of the Presidency guidelines as per recommendations by AG.

A handwritten signature in black ink, appearing to read 'B E Mswane', is positioned above a horizontal line.

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**B E MSWANE (MR)**  
**MUNICIPAL MANAGER**

2018/19

# NEWCASTLE MUNICIPALITY POLICY FRAMEWORK FOR PERFORMANCE MANAGEMENT



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## List of Acronyms

## DEFINITIONS

<b>Annual Report</b>	In relation to a Municipality means an annual report contemplated in section 121 of the Municipal Finance Management Act.
<b>Balance Scorecard</b>	Is a conceptual framework enabling an organization in clarifying its vision and strategy, thus effectively translating them into action. This performance management approach provides feedback around both the internal processes and external outcomes, essentially focusing on four indicators: Customer Perspective, Internal-Business Processes, Learning and Growth and Financials.
<b>Current Year</b>	Means the financial year which has already commenced, but not yet ended.
<b>Section 57/ 56 Employee</b>	Means a person employed by a Municipality as a Municipal Manager or as a Manager directly accountable to a Municipal Manager and for which there is a Performance Agreement.
<b>Evaluation</b>	Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision-making by staff/ managers and policy-makers. Evaluation may assess relevance, effectiveness, efficiency, impact and sustainability of the institution and officials.
<b>Indicators</b>	Indicators are pieces of objective evidence that tell us whether progress is, or is not being made in achieving goals.
<b>Input indicator</b>	Means an indicator that measures the costs, resources and time used to produce an output.
<b>Inputs</b>	The resources, physical, financial or otherwise that contribute to the delivery of outputs. In other words, "what we use to do the work."
<b>Key Performance Area (KPA)</b>	This is the area in which the Municipality plays a role towards delivering services. These may include Infrastructure and Engineering, Community Planning and Safety, Strategic and Corporate Services, Social and Economic Development, Institutional Transformation, Governance and Financial Management, amongst others.
<b>Key Performance</b>	Key Performance Indicators will be determined in respect of each development priority and objective. These indicators are subject to public

<b>Indicators (KPI)</b>	Participation and will be used by each Department as well as each municipal entity where applicable. These are quantifiable measures which show where performance currently is in relation to the baseline and the target. This describes the measure in a clear, simple and precise manner.
<b>Local Community or Community</b>	In relation to a Municipality, means that body or persons comprising – the residents of the Municipality  a) the ratepayers of the Municipality  b) Any civic organisations and non-governmental, private sector or labour organisations or bodies which are involved in local affairs within the Municipality.
<b>MEC for Local Government</b>	Means the MEC responsible for Local Government in a province.
<b>Monitoring</b>	Monitoring involves collecting, analysing and reporting on inputs, activities, outputs and outcomes in a way that supports effective management. Monitoring, aims to provide managers, decision-makers and other stakeholders with regular feedback on progress in implementation, results and early indicators of problems that need to be corrected. It usually reports on actual performance against what was planned or expected.
<b>Municipality</b>	When referred to as –  a) an entity, means a Municipality as described in section 2; and  b) a geographical area, means a municipal area determined in terms of the Local Government: Municipal Demarcation Act. 1998 (Act No. 27 of 1998).
<b>Municipal Council or Council</b>	Means a municipal Council referred to in section 157(1) of the Constitution.
<b>Municipal Finance Management Act</b>	Means the Local Government: Municipal Finance Management Act, 2003, and any regulations made under that Act.
<b>Municipal Structures Act</b>	Means the Local Government: Municipal Structures Act. 1998 (Act 117 of 1998).
<b>Municipal</b>	Means the Local Government: Municipal Systems Act, 2000 (Act No.32 of

<b>Systems Act</b>	2000).
<b>Objective</b>	An objective is a projected goal that a person, system, or organisation plans or intends to achieve
<b>Outcomes</b>	Refer to the ultimate effects of government activities on society in the medium to long term. These are the results of specific outputs for strategic goals identified in the IDP.
<b>Outcome indicator</b>	Means an indicator that measures the quality and or impact of an output on achieving a particular objective.
<b>Output indicator</b>	Means an indicator that measures the results of activities, processes and strategies of a program of a Municipality.
<b>Outputs</b>	Goods and services produced by the Municipality which are identified by the Performance measures. Outputs may be defined as "what we produce Or deliver".
<b>Performance Audit Committee</b>	An independent committee appointed as per Reg 14 (2) (a) of the Municipal Planning and Performance Management Regulations
<b>Performance Agreement</b>	Means an agreement as contemplated in Section 57 of the Municipal Systems Act.
<b>Performance Plan</b>	Means a part of the performance agreement which details with the Measurable objectives (Outputs), Performance Measures (KPI's), targets and activities that are aligned to the Scorecards.
<b>Political office bearer</b>	Means the Speaker, , Mayor, Deputy Mayor or Member of the Executive Committee as referred to in the Municipal Structures Act.
<b>Quarters</b>	Means any of the following periods in a financial year:  (1) 1 July to 30 September;  (2) 1 October to 31 December;

	(3) 1 January to 31 March; or (4) 1 April to 30 June.
<b>Scorecard</b>	<p>Is an evaluation device that specifies the criteria that stakeholders will use to rate performance in satisfying their requirements.</p> <p><b>Municipal Scorecard:</b> Five (5) Year Scorecard.</p> <p><b>Organisational Scorecard:</b> Annual (Year under review) Scorecard with Quarterly Targets.</p> <p><b>Departmental Scorecard:</b> Annual (Year under review) Scorecard with Quarterly Targets for Municipal Manager and Managers reporting to the Municipal Managers', Departments/Votes.</p>
<b>Service Delivery and Budget Implementation Plan</b>	<p>Means a detailed plan approved by the Mayor of a Municipality in terms of section 53(1) (c)</p> <p>(ii) of the Municipal Finance Management Act for implementing the Municipality's delivery of municipal services and its annual budget, and which must indicate –</p> <ul style="list-style-type: none"> <li>a) projections for each month of – <ul style="list-style-type: none"> <li>1) revenue to be collected, by source; and</li> <li>2) operational and capital expenditure, by vote;</li> </ul> </li> <li>b) service delivery targets and performance indicators for each quarter; and</li> <li>c) any other matters that may be prescribed,</li> </ul> <p>and includes any revisions of such plan by the Mayor in terms of section 54(1)(c) of the Municipal Finance Management Act.</p>
<b>Target</b>	Target to be achieved for that indicator over the specified timeframe.

## 1 Background

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The White Paper on Local Government (1998) proposed the introduction of performance management systems to local government, as a tool to monitor service delivery progress at local government. It concludes that the integrated development planning, budgeting and performance management are powerful tools which can assist municipalities to develop an integrated perspective on development in their area. It will enable them to focus on priorities within an increasingly complex and diverse set of demands and to direct resources allocations and institutional systems to a new set of development objectives.

Chapter 6 of the Local Government: Municipal Systems Act, 2000 (Act No.32 of 2000), requires local government to:

- Develop a performance management system.
- Set targets, monitor and review performance based on indicators linked to the Integrated Development Plan (IDP).
- Publish an annual report on performance management for the councillors, staff, the public and other spheres of government.
- Incorporate and report on a set of general indicators prescribed nationally by the Minister responsible for local government.
- Conduct an internal audit on performance report audited by the Auditor-General.
- Involve the community in setting indicators and targets and reviewing municipal performance.



## **2 Introduction**

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The purpose of this document is to, according to the requirements of the Municipal Systems Act, (2000) develop a performance management framework for the Newcastle Municipality. This framework caters for the development, implementation and roll-out of performance management with the Newcastle Municipality. This includes the alignment of the PMS process to that of the IDP and budget as is required in terms of the Municipal Finance Management Act (2003)

Any operating procedures aligned to this Framework is considered administrative and will be developed from time to time based on the resources and organisational arrangements of the municipality. Such procedures to be approved by Head of the M & E unit.

## **3 Rationale Of Performance Management**

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### **3.1. Policy and Legal Context for PMS**

- The White Paper on Local Government (1998)
- Batho Pele (1998)
- The Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000)
- The Local Government: Municipal Systems Act, (32/2000): Municipal Planning and Performance Management Regulations (2001) , Chapter 3, by the Department Cooperative Governance.
- Guide on Performance Agreements Workshop, 2001, by the South African Local Government Associations (referred to as SALGA Guidelines in short)
- DPLG, 2001, PMS Training Manuals (referred to as PMS Training Manuals in short)
- Municipal Finance Management Act (2003)
- Municipal Performance Management Regulations (2006)

### **3.2. Objectives of Performance Management System**

- Facilitate increased accountability
- Facilitate learning and improvement
- Provide early warning signals
- Facilitate decision-making

### **3.3 Benefits of Performance Management**

### **3.4 Principles that will guide the development and implementation of the Performance Management System**

- Simplicity
- Politically driven
- Incremental implementation
- Transparency and accountability
- Integration



- Objectivity
- **BATHO PELE (1998)**

The White Paper on Transforming Public Service Delivery (Batho Pele) puts forward eight principles for good public service which should be encapsulated in a municipal Performance Management System, namely:

- a) Consultation: Citizens should be consulted about the level and Quality of public service they receive, and, where possible, should be given a choice about the services that are offered.
- b) Service standards: Citizens should be told what level and quality of public services they will receive so that they are aware of what to expect.
- c) Access: All citizens should have equal access to the services to which they are entitled.
- d) Courtesy: Citizens should be treated with courtesy and consideration.
- e) Information: Citizens should be given full and accurate information about the public services they are entitled to receive.
- f) Openness and transparency: Citizens should be told how national and provincial departments are run, how much they cost, and who is in charge.
- g) Redress: If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy effective remedy; and when complaints are made, citizens should receive a sympathetic, positive response.
- h) Value-for-money: Public services should be provided economically and efficiently in order to give citizens the best possible value-for-money.

*"Importantly, the Batho Pele White Paper notes that the development of a service-oriented culture requires the active participation of the wider community. Municipalities need constant feedback from service-users if they are to improve their operations. Local partners can be mobilised to assist in building a service culture". – The White Paper on Local Government (1998).*

The Municipal Systems Act of 2000 requires all Municipalities to adopt a democratic approach to local government in order to meet their mandate of playing a developmental role. The approach implies that all stakeholders need to be afforded an opportunity to voice their opinions before final

decisions are made on the IDP process. This gives real meaning to the notion of a participatory concept in Local Government affairs.

In terms of Reg 15. (1) (a) of the MPPMR, the IDP Representative Forum will be the community participation forum at which engagements on the development and implementation of the PMS will occur. As will be practical, and based on the capacity of the municipality, this will also be extended to ward committee structures and other public participation platforms that may be used by the municipality until such time that a formal public participation and communication policy is approved.

### **3.5 Newcastle Municipality Performance Management Systems (PMS) Model**

- What is a performance Measurement Model
- The value of a Performance Measurement Model
- Criteria of a Good Performance Model
- The revised Municipal Scorecard Model
- Why Newcastle Municipality will adopt the Revised Municipal Scorecard Model

#### **3.5.1 What is a Performance Measurement Model?**

Performance management is defined as a strategic process to management (or system of management), which equips leaders, managers, employees and stakeholders at different levels with a set of tools and techniques to regularly plan, continuously monitor, periodically measure and review performance of the organization in terms of indicators and targets for efficiency, effectiveness and impact. Regulation 7 of the 2001 Performance Regulations requires that every municipality develop a performance management system (PMS) which consists of a performance framework that describes and represents how the municipality's cycle and processes of performance planning, monitoring, measurement, review, reporting and improvement will be conducted, organized and managed, and must set out the roles and responsibilities of the different stakeholders. The regulations further provide in Regulation 13 that a municipality must, after consultation with the community, develop and implement mechanisms, systems and processes for the monitoring, measurement and review of performance in respect of the key performance indicators and targets set by it.

Performance measurement involves determining the extent to which objectives are being achieved through developing indicators and linking them to targets and related standards. Review of performance against set targets is undertaken on a regular basis. A performance measurement framework is a practical plan for the municipality to collect, process, organise, analyse, audit, reflect on and report performance information.

A performance measurement model is the system that is used to monitor, measure and review performance indicators within the above performance management framework. It is a choice about what aspects or dimensions of performance will be measured. It implies the grouping

together of indicators into logical categories or groups, called **perspectives**, as a means to enhance the ability of an organization to manage and analyze its performance.

### **3.5.2 The Value of a Performance Measurement Model**

The value of performance measurement models can be summarized as follows:

- Models simplify otherwise long lists of indicators by organizing them into perspectives which will sufficiently represent effective performance;
- Different models differ enormously on what is viewed as key aspects of performance (Key Performance Areas) and can help organizations make their own decisions on a model that fits their context;
- Models help in aligning the relationship between areas of performance when planning, evaluating and reporting;
- Models help align strategic planning and performance management by directly linking Key Performance Areas to priority areas in the strategic plan.
- Building an own model allows municipalities to agree on what areas of performance should be integrated, managed and measured and what values should inform indicators and standards of achievement.

### **3.5.3 Criteria of a Good Performance Model**

The following characteristics should guide the choice of a performance model:

- a) It must be simple to develop and its implementation must be able to be cascaded to the lower levels with ease.
- b) The model must ensure that there is a balance in the set of indicators being compiled.
- c) The balance created by the model must encompass all relevant and priority areas of performance.
- d) The perspectives must be aligned to the IDP objectives.
- e) The model must be able to timeously diagnose blockages in the system.
- f) It must be easy to replicate to all other levels.
- g) It must be easy to integrate with other municipal systems and processes.

### **3.5.4 The Revised Municipal Scorecard Model**

A Municipal Scorecard Model is a municipal scorecard adapted for measuring key performance on developmental areas that are relevant to municipal service delivery and the public sector. There are five KPA's that municipalities are required to align their strategic planning on and these cut across every functional area of a municipality. The municipal scorecard measures a municipality's performance through these five perspective as listed below. :

- a) The Municipal Economic Development Perspective
- b) The Service Delivery Perspective
- c) The Institutional Development Perspective

- d) The Financial Management Perspective, and
- e) Governance Process Perspective

### **3.5.5 Why The Newcastle Municipality will adopt the Revised Municipal Scorecard Model?**

With recent developments through the adoption by national cabinet of the 5-Year Local Government Strategic Agenda, that aligns local government with the national programme of action, it became imperative to review the above municipal scorecard model and to align it with the 5 Key Performance Areas (KPA's) for local government.

The Newcastle Municipality, having adopted the Municipal Scorecard Performance Model, will align this framework to the revised Municipal Scorecard Model and its performance will be grouped accordingly. Furthermore, legislation required that the PMS also align to the IDP. The Newcastle Municipality IDP adopted by Council have adopted 1 additional KPA's/ perspectives as follows :

- a) Cross-cutting ( Special Programmes, Municipal Planning, Community services etc.)

The Newcastle Municipality PMS will therefore report on all 6 perspectives.

#### **3.5.6.1 The Municipal Economic Development Perspective**

In this perspective the municipality will assess whether the desired development indicators around the performance area of social and economic development is achieved.

#### **3.5.6.2 The Service Delivery Perspective**

This perspective will assess the municipality's performance in the overall delivery of basic and infrastructural services and products.

#### **3.5.6.3 The Financial Management Perspective**

This perspective will measure the municipality's performance with respect to the management of its finances.

#### **3.5.6.3 The Institutional Development Perspective**

This perspective relates to input indicators that measure the functioning of the municipality under areas such as human resources, strategic planning and implementation, performance management and all other indicators that seek to develop and manage the municipal institution.

#### **3.5.6.4 The Governance Process Perspective**

This perspective will measure the municipality's performance in relation to its engagement with its stakeholders in the process of governance, established and functioning governance structures, and good municipal governance processes.

### 3.6 Implementation of the Revised Municipal Scorecard in The Newcastle Municipality

The Newcastle Municipality, had adopted a two-level approach of implementing the scorecard. The levels were:

- ✓ The Strategic or Organizational Scorecard Level – reflecting the strategic priorities of the municipality
  - This scorecard will also inform the individual scorecards of the Section 54/57 Managers.
- ✓ The Service Scorecard Level (SDBIP) – which captures the municipality's performance in each defined service by department and functional area, provides a comprehensive picture of the performance of a particular functional area as budgeted and consisted of objectives, indicators and targets .

The two levels of scorecards will then become the performance management system (PMS) of The Newcastle Municipality. All reporting on the municipality's performance will be informed by information derived from the two-level scorecard and reflect the municipality's performance on the SIX perspectives.

#### Developing the Organizational Scorecard and Outlining the Scorecard Concepts

During the IDP process a corporate vision and mission were formulated for The Newcastle Municipality, together with broad key performance areas (KPA's), development objectives and key performance indicators (KPIs) which feed into the vision and mission. It is now necessary to take this process further into the performance management system, by developing an organizational or strategic scorecard that will encompass all the relevant areas or concepts that will allow measurement of the performance of the organization using this scorecard. This will be done by using relevant concepts to populate the organizational and service scorecards of The Newcastle Municipality. This process of developing the organizational and service/departmental scorecards will be followed every year after adoption of the IDP and the budget and after evaluation of the previous year's scorecard or municipal performance. An illustration of the components of an organizational or strategic scorecard is reflected in figure 1 below.

**Figure 1: Organisational Scorecard Concepts**

<b>Step 1</b>	Outline the National Key Performance Areas (KPA's) and IDP alignment
<b>Step 2</b>	Define Strategic Focus Areas (SFA's) that fall under each KPA
<b>Step 3</b>	Formulate appropriate development objectives (IDP Objectives) for each SFA
<b>Step 4</b>	Develop suitable Key Performance Indicators (KPIs)
<b>Step 5</b>	Indicate the types of Key Performance Indicators
<b>Step 6</b>	Provide baseline information
<b>Step 7</b>	Set annual targets for each KPI over the 5 year period to be reviewed annually
<b>Step 8</b>	Indicate quarterly targets to be met arising out of the each of the set annual targets based on the budget for the year under review which will cascade into the SDBIP
<b>Step 9</b>	Allocate responsibility to departments for execution of actions
<b>Step 10</b>	Provide frequency of reporting on progress
<b>Step 11</b>	Specify the source of evidence to be used for verification and auditing purposes

In the following paragraphs are explanatory notes expanding on each of the component concepts set out in the above illustrative scorecard.

The detailed 11 step-by-step guidelines are included as Appendix 1 to the Framework, including KPI Definition template.

A template of the Organizational Scorecard with all the above concepts is illustrated as Appendix 2

# NATIONAL KPA : BASIC SERVICE DELIVERY

IDP PRIOR ITY	GOAL/ OBJECIT VE	STRATE GIES	KPI No. Link ed to IDP	KEY PERFOR MANCE INDICAT OR (KPI)	KPI TYPE (INPUT, OUTPUT , OUTCO ME, PROCE SS)	UNIT OF MEAS URE	BAS ELIN E	ANNU AL TARG ET YEAR 1	Q TR 1	Q TR 2	Q TR 3	Q TR 4	RESPON SIBLE DEPART MENT	FREQUE NCY OF REPORTI NG	PRIMA RY SOUR CE OF EVIDE NCE	ANN UAL TARG ET YEAR 2	ANN UAL TARG ET YEAR 3	ANNU AL TARGE T YEAR 4	ANNU AL TARGE T YEAR 5
Water	To ensure that the water and sanitation service is rendered in an efficient and affordable manner .	Increase number of households with access to basic potable (drinkable) water.	1.1.1	% Of households with access to a basic level of water	OUTPUT	%age	91%	92%	0	0	0	92 %	Technical Services (Water)	Annual	Progress report based on Stats SA census figures , completion certificates	94%	96%	98%	100%

		Upgrad e levels of water service s	1.1. 2	Number of househo lds upgrad ed to in the yard service	OUTPUT	Numb er	500 00	80	2 0	20	20	20	Technic al Services (Water)	Quarterl y	Compl etion Certifi cates, Invoic es	100	100	100	100
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## **4 The Process of Managing Organizational Performance**

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The Municipal Systems Act (2000) places the responsibility on the Council to adopt a PMS, while holding The Mayor responsible for the development and management of the system. The Mayor of Newcastle Municipality delegates the responsibility for the development and management of the PMS to the Municipal Manager. The development of the system is a once-off activity and the Municipal Manager submits the system to The Mayor through the Executive Committee, who in turn forwards it to the full council for approval. The responsibility of implementation and management of the system remains with the Municipal Manager as part of his/her core functions as provided in Section 55(1) of the Municipal Systems Act of 2000.

### **4.1 Co-ordination**

Co-ordination involves the overall responsibility of and carrying out the function of, and being the custodian of The Newcastle Municipality's performance management system and managing the system on behalf of the Municipal Manager. This is a strategic function which resides in the Office of the Municipal Manager.

The co-ordination of the implementation phases of the PMS will be the function of the PMS Unit which will be responsible for the following core activities:

- Ensure compliance with the Systems Act
- Establish a performance management system for the municipality
- Promote a culture of performance management among its political structures, political office bearers and councilors and its administration.
- Administer the PMS in an economical, effective and efficient and accountable manner
- Establish a framework which demonstrates the operation and management of Performance Management
- Ensure PMS links to the Integrated Development Planning processes
- Ensure that key performance indicators in respect of development priorities and objectives are set by departments as part of the IDP process
- Facilitate community participation in the various performance management processes. This is limited to the existing community participation processes being implemented by the municipal as part of the IDP/Budget / PMS process
- Obtain monthly and quarterly information on progress on targets set in the organisational scorecard and SDBIP.
- Facilitate the review of KPI's annually
- Facilitate that performance targets are set and aligned to the IDP and budget of the municipality
- Develop and implement mechanisms, systems, and processes for monitoring, measurement and review of performance
- Establish a process of regular reporting to the council, political officer bearers and staff, the public and appropriate organs of the state
- Prepare quarterly and annual performance reports on organisational performance and SDBIP's
- Ensure that an early warning system is in place to detect indications of under-performance
- Ensure corrective measures for under-performance have been identified.

- Prepare and Submit quarterly performance reports to Internal audit
- Prepare and submit performance reports atleast twice a year to the Audit Committee

## 4.2 Implementing the Performance Management System

Having identified the preferred performance model to be the Revised Municipal Scorecard, and having agreed to measure its performance against the five perspectives, The Newcastle Municipality will adopt a process plan for implementing its performance management system. The PMS implementation and management process will be carried out within the following phases:

Phase 1: Planning for Performance

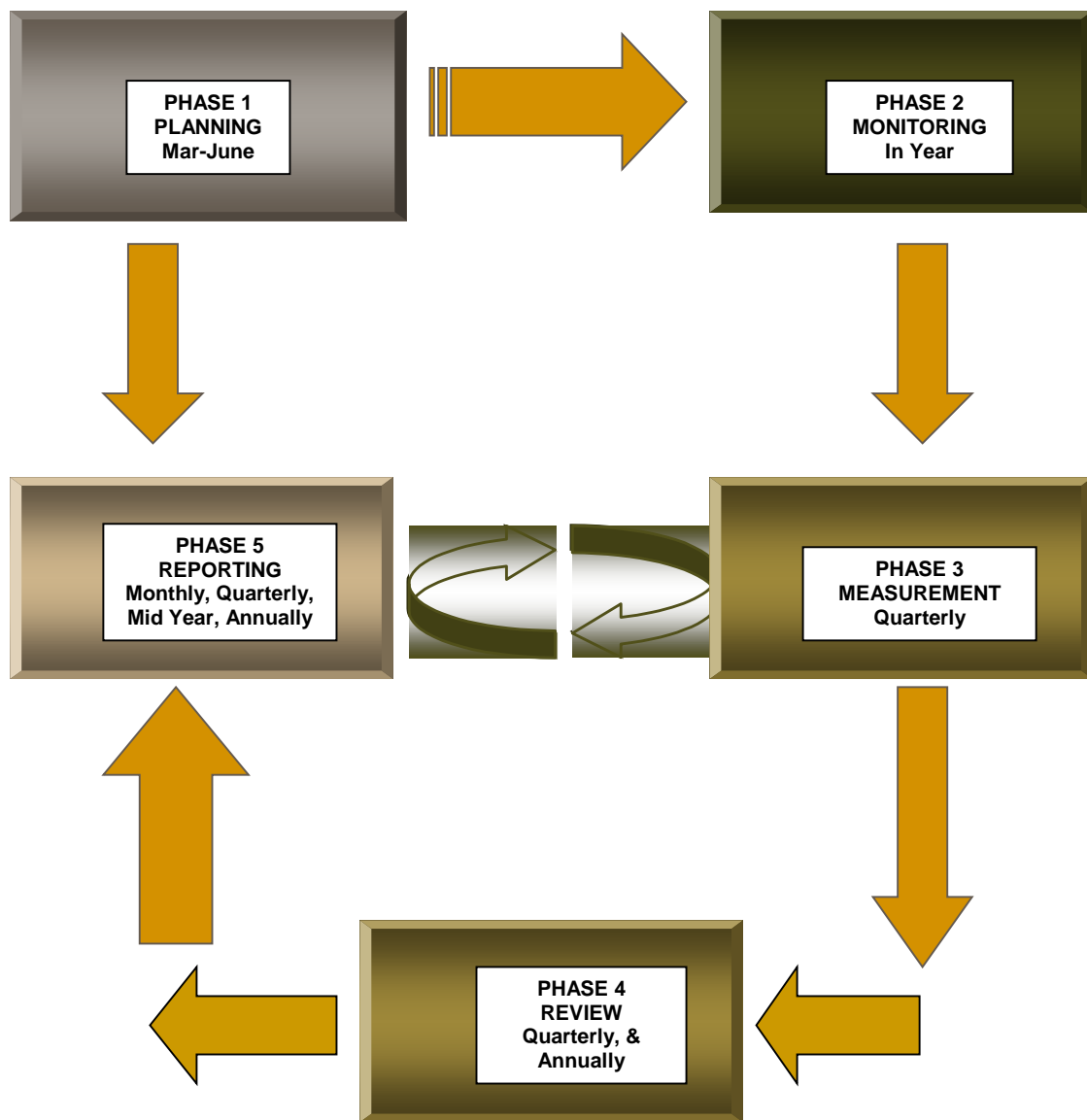
Phase 2: Performance Monitoring and Managing Performance  
Information

Phase 3: Performance Measurement and Analysis

Phase 4: Performance Review and Improvement

Phase 5: Performance Reporting

The cycle of performance that will be adopted is shown **in figure 5** below. Each phase is outlined in detail and this includes the actual step-by-step guide on what each phase entails and how each one will evolve. Templates that will be used in each phase are illustrated figuratively in the document.



### 5.1 Phase 1: Planning

Planning for performance simply means developing and reviewing the IDP annually in preparation for continuous implementation. Municipal performance planning is part of the IDP strategic planning processes. The IDP process and the performance management process are seamlessly integrated. Integrated development planning fulfils the planning phase of performance management. Performance management fulfils the implementation management, monitoring and evaluation of the IDP process. The performance planning phase will be undertaken in three steps.

#### Step 1: Integrated Development Planning, Priority Setting, Identifying Key Performance Areas, Setting Objectives and Developing Key Performance Indicators and Performance Targets

Integrated development planning, as defined by the Municipal Systems Act, is a process by which municipalities prepare a 5 year strategic plan that is reviewed annually in consultation with communities and stakeholders. This strategic plan adopts an implementation approach and seeks to promote integration. By balancing the economic, ecological and social pillars of sustainability without compromising the institutional capacity required in the implementation and by coordinating actions across sectors and spheres of government. The IDP delivers a number of products that translate to the formulation of the municipal budget, the development of an annual Service Delivery and Budget Implementation Plan and an organizational performance scorecard for the municipality. In a nutshell, the IDP process should deliver the following products in relation to performance management:

- An assessment of development in the municipal area, identifying development challenges, marginalised and vulnerable citizens and communities;
- A long term development vision for the municipal area that overcomes its development challenges;
- A set of delivery priorities and objectives, based on identified needs, achievable in the current term of office, that would contribute significantly to the achievement of the development vision for the area;
- A set of internal transformation strategies, priorities and objectives, whose achievement would enable the delivery and the realisation of the development vision;
- Programmes and projects identified which contribute to the achievement of the above objectives;
- High level Key Performance Indicators and Performance targets that will be used to measure progress on implementation of projects and progress towards attainment of the objectives and the vision; and
- A financial plan and medium term income and expenditure framework that is aligned with the priorities of the municipality;

The municipality must have established structures for consultation, oversight and management of integrated development planning. These include the:

- The IDP Management Committee
- The IDP Technical Committee
- The IDP Representative Forum
- The Ward Councillors and Ward Committees, and
- IDP Izimbizo / Road shows

The IDP of the municipality contains the above features. The municipality has clustered its delivery priorities in the IDP under the following 6 Key Performance Areas (KPA's):

- Municipal Transformation and Institutional Development
- Good Governance
- Municipal Financial Viability
- Service Delivery and Infrastructure Development; and
- Local Economic Development
- Cross Cutting

The IDP planning process has resulted in the formation of the above key performance areas, and these have been translated into objectives, and Key Performance Indicators and performance targets have been set for each key performance area. Every year the above elements are reviewed within the period of July and March which occurs simultaneously with the implementation of the IDP.

#### Step 2: Developing and Adoption of the Service Delivery and Budget Implementation Plan ("the SDBIP")

The above results of the 5 year IDP and the annual reviews result in the development of the Service Delivery and Budget Implementation Plans (SDBIP) on an annual basis. The SDBIP gives effect to the Integrated Development Plan (IDP) and the budget of the municipality and is effective if the IDP and budget are fully aligned with each other, as required by the Municipal Finance Management Act. The budget gives effect to the strategic priorities of the municipality and is not a management or implementation plan. The SDBIP therefore serves as a "contract" between the administration, council and the community expressing the goals and objectives set by the council as quantifiable outcomes that can be implemented by the administration over the next twelve months. This provides the basis for measuring performance in service delivery against end of year targets and implementing the budget.

The SDBIP provides the vital link between the mayor, council (executive) and the administration, and facilitates the process for holding management accountable for its performance. The SDBIP is a management, implementation and monitoring tool that will assist the mayor, councillors, Municipal Manager, senior managers and community. A properly formulated SDBIP will ensure that appropriate information is circulated internally and externally for purposes of monitoring the execution of the budget, performance of senior management and achievement of the strategic objectives set by council. It enables the Municipal Manager to monitor the performance of senior managers, the mayor to monitor the performance of the Municipal Manager, and for the community to monitor the performance of the municipality. The SDBIP should therefore determine (and be consistent with) the performance agreements between the mayor and the Municipal Manager and the Municipal Manager and senior managers determined at the start of every financial year and approved by the mayor. It

must also be consistent with outsourced service delivery agreements such as municipal entities, public-private partnerships, service contracts and the like.

The SDBIP is essentially the management and implementation tool which sets in-year information, such as quarterly service delivery and monthly budget targets, and links each service delivery output to the budget of the municipality, thus providing credible management information and a detailed plan for how the municipality will provide such services and the inputs and financial resources to be used. The SDBIP indicates the responsibilities and outputs for each of the senior managers in the top management team, the inputs to be used, and the time deadlines for each output. The SDBIP will therefore determine the performance agreements of the Municipal Manager and senior managers, including the outputs and deadlines for which they will be held responsible. The SDBIP should also provide all expenditure information (for capital projects and services) per municipal ward, so that each output can be broken down per ward, where this is possible, to support ward councillors in service delivery information.

The SDBIP is also a vital monitoring tool for the mayor and council to monitor in-year performance of the Municipal Manager and for the Municipal Manager to monitor the performance of all managers in the municipality within the financial year. This enables the mayor and Municipal Manager to be pro-active and take remedial steps in the event of poor performance. The SDBIP aims to ensure that managers are problem-solvers, who routinely look out for unanticipated problems and resolve them as soon as possible. The SDBIP also enables the council to monitor the performance of the municipality against quarterly targets on service delivery.

The SDBIP is a layered plan, with the top layer of the plan dealing with consolidated service delivery targets and in-year deadlines, and linking such targets to top management.

Being a management and implementation plan (and not a policy proposal), the SDBIP is not required to be approved by the council – it is however tabled before council and made public for information and for purposes of monitoring. The SDBIP should be seen as a dynamic document that may (at lower layers of the plan) be continually revised by the Municipal Manager and other top managers, as actual performance after each month or quarter is taken into account. However, the top-layer of the SDBIP and its targets cannot be revised without notifying the council, and if there is to be changes in service delivery targets and performance indicators, this must be with the approval of the council, following approval of an adjustments budget (section 54(1)(c) of MFMA). This council approval is necessary to ensure that the mayor or Municipal Manager do not revise service delivery targets downwards in the event where there is poor performance.

The Municipal Manager is responsible for the preparation of the SDBIP, which must be legally submitted to the mayor for approval once the budget has been approved by the Council. Once the budget is approved by the Council, the Municipal Manager should draft the SDBIP within 14 days for submission to the Mayor. Draft performance agreements should also be submitted with the draft SDBIP. The Mayor should therefore approve the final SDBIP 28 days after the approval of the budget, where after the SDBIP must be made public. Performance agreements of the Municipal Manager and managers reporting directly to the Municipal Manager must be finalised no later than 31 July as per the regulations.

The SDBIP requires a detail of five necessary components are:

1. Monthly projections of revenue to be collected for each source
2. Monthly projections of expenditure (operating and capital) and revenue for each vote
3. Quarterly projections of service delivery targets and performance indicators for each vote
4. Ward information for expenditure and service delivery
5. Detailed capital works plan broken down by ward over three years.

Newcastle Municipality organizational scorecard will group its indicators and targets under six perspectives and will monitor and measure its performance against achievements and improvement within the 6 perspectives. This is the difference between the SDBIP and the organizational scorecard. The components of the organizational scorecards will differ from those of the SDBIP and will be made up of eleven (11) components as outlined in paragraph 3.8 above under: Developing the Organizational Scorecard and Outlining the Scorecard Concepts and as illustrated in Figure 4 above.

### Step 3: Development and Approval of the Organizational Scorecard and Service/Departmental Scorecards

It is clear from the above exploratory detail on the SDBIP and its components that there is an overlap between the SDBIP and the municipal performance scorecard as described in **paragraph 3.8** above. This overlap usually creates confusion to municipalities as to which performance planning tool to subscribe to and usually it is the SDBIP that is adopted and regarded as the scorecard of the municipality. However, this causes problems because the SDBIP remains a top level document and is not cascaded to, and aligned to the performance scorecards of individual managers. Moreover, because the components of the SDBIP are mainly along monitoring budget implementation, the other non-financial functional areas of the municipality end up being not monitored and reported on as vigorously as the financial functional area. Furthermore, this vigorousness is also concentrated on spending of the budget on time, not necessarily looking at the whole financial viability and management of the municipality

In addressing the concerns raised in the above argument, Newcastle Municipality will adopt the Revised Municipal Scorecard Performance model to utilize it as the tool to monitor and measure both the financial and non-financial performance of the municipality. The SDBIP will form part of the performance management tools. The Organisational score-card as approved in the IDP will be used to cascade measures into the performance agreement of the Municipal Manager and the managers reporting directly to the Municipal Manager.

Since the SDBIP monitors the budget performance, it will form part of the overall performance management processes of the municipality and component 3 of the SDBIP (**Quarterly projections of service delivery targets and performance indicators for each vote**) will have similar information as the one that appears on components 5 and 7 of the organizational scorecard. Budget information on the SDBIP will be in line with organisational functional areas as approved in the budget and aligned to the organogram of the municipality.

The organizational scorecard of Newcastle Municipality will be laid out in a simple spreadsheet as indicated in **Figure 4** above. The organizational scorecard of Newcastle Municipality will be made up of layers of spreadsheets consisting of information on each of the components as stated above within each of the 6

Key Performance Areas (Municipal Transformation and Institutional Development; Good Governance; Local Economic Development; Municipal Financial Viability; and Service Delivery and Infrastructure Development). The Additional KPA viz. Cross Cutting will also be included to align to the IDP.

The organizational scorecard will inform departmental scorecards and departmental business plans. These in turn will inform the individual scorecards for the Section 57 Managers and other employees once rolled out in line with an individual PMS policy of Council once adopted. Drafting of these scorecards should happen simultaneously with the other documents, and submitted to the Mayor for approval and submission to the full council.

#### Step 4: Attending to Governance and Compliance Issues

Upon approval of all the strategic documents, The Mayor and the Municipal Manager must sign the Municipal Manager's Performance Agreement before 31 July of every year. The Municipal Manager must do the same and sign Performance Agreements with all the Managers directly accountable to her before 31 July of every year. These agreements will be discussed in detail below under employee performance management.

The Organisational Score-card will be included in the IDP and public consultation processes aligned to the IDP and budget will therefore also apply to the Organisational score-card accordingly as per the approved IDP/Budget/PMS process plan. The SDBIP will be published for public perusal after approval by the Mayor. Performance Agreements will be published once tabled to Council.

Newcastle Municipality will use the following publicity platforms to publicize the above documents:

- Local newspapers
- Municipal Website

The whole planning process for performance management will be done once per year within the months of March to June, in preparation for implementation in the following year, starting in July. By the beginning of a new financial year, all planning will be complete, compliance issues attended to and resources allocated accordingly.

## **5.2 Phase 2: Monitoring**

Monitoring of performance information entails determining the progress on meeting the set targets at approved intervals.

Monitoring of performance will be an ongoing process throughout the year and will run parallel to the implementation of the IDP. Monitoring will be conducted within each department. Newcastle Municipality will use a paper-based and report-based monitoring mechanism. Different role players are allocated tasks to monitor and gather information that would assist the municipality to detect early indications of under-performance and take corrective measures on time. Information management plays a central role during this phase.



Newcastle Municipality's monitoring system places responsibility on each Department, Division/Section and Individual employee to collect relevant data and information to support the monitoring process. Evidence of performance will be gathered, stored by each department and presented to substantiate claims of meeting (or not meeting) performance standards. This evidence is stored on files (both manual filing and digital filing, where possible).

The Heads of the Departments must allocate responsibility in their offices for information management, as these performance information files must be separate from normal registry filing. Even though registry will have all the data and file it as per their filing system, the performance information will be filed according to key performance area and key performance indicators. These files will be regarded as **portfolio of evidence** and must be kept for purposes of performance measurement, performance review and audit in the other phases. A fully referenced PoE file must accompany all reported information to the M & E unit. Reference to performance information includes PoE. A standing operation procedure (SOP), must be developed and implemented to cover the submission, review and storage of PoE.

The roles and responsibilities for monitoring are allocated as follows:

- I. **Section Managers** – Each section manager will be responsible for monitoring and reporting on each indicator in their departmental scorecards. They will monitor performance of their direct reports under their functional areas and report as per the indicator that has been set to measure that functional area. This monitoring occurs on a daily basis, with report being submitted to section managers by direct reports on a weekly basis. The section manager is responsible for compiling section reports on each indicator, collect the relevant data related to each project and indicator and facilitate proper storage of the data in files.
- II. **Admin Officers** – The Admin Officers in each section has a responsibility for managing indicator information files as per Newcastle Municipality monitoring system. They are also responsible for collating this information in preparation for submission of performance reports to Heads of Departments by section managers. This responsibility must be carried out on a weekly basis.
- III. **Departments or Directorates and Teams** – The departments will receive progress reports on progress into the implementation of their departmental scorecards from section managers on a bi-monthly basis. The bi-monthly reports are compiled into monthly reports that are discussed at the Management meetings.
- IV. **The Management Team** – The management team discusses departmental performance progress on a monthly basis and need to reflect on whether targets are being met, reflect on the reasons being provided by departments for targets not being met and suggest corrective action. The purpose for a performance-driven management team is to instill a culture of collective management and eliminate the silo mentality.
- V. **Section 79 Committees** – These committees will monitor performance of their respective services against departmental scorecards. They will receive reports on a monthly basis and must appraise themselves on progress on performance of their service areas against set targets. Where targets are not being met, the Section 79 Committees should ensure that the reasons for poor performance are satisfactory and sufficient to address whatever delays, and corrective strategies are sufficient to address the poor performance.

- VI. **The Mayor** – The Municipal Manager will submit quarterly progress reports on all the indicators in the organisational scorecard to The Mayor in order for him/her to monitor if targets are being achieved and where they are not, that proper corrective strategies are put in place to keep to the timelines set for achieving each indicator and targets.
- VII. **Municipal Council** – Performance reports will be submitted to the council twice a year. A mid-term report and an annual performance report are the two reports that will be submitted council.
- VIII. **Audit Committee** – Quarterly reports will be submitted to the Audit Committee to be considered with the quarterly internal audit reports on performance information.
- IX. **Municipal Public Accounts Committee (MPAC)** - Performance reports will be submitted to the MPAC twice a year. A mid-term report and an annual performance report are the two reports that will be submitted MPAC.
- X. **M & E unit** – Performance information will be obtained from each department by the 10<sup>th</sup> of each month. Quarterly , a technical assessment/review on the relevance, sufficiency and accuracy is conducted which serves as an early warning indicator in areas of under-performance, and provides management an opportunity to take the necessary steps to improve performance by year end.

A performance monitoring flow chart is illustrated in **Figure 6** below.

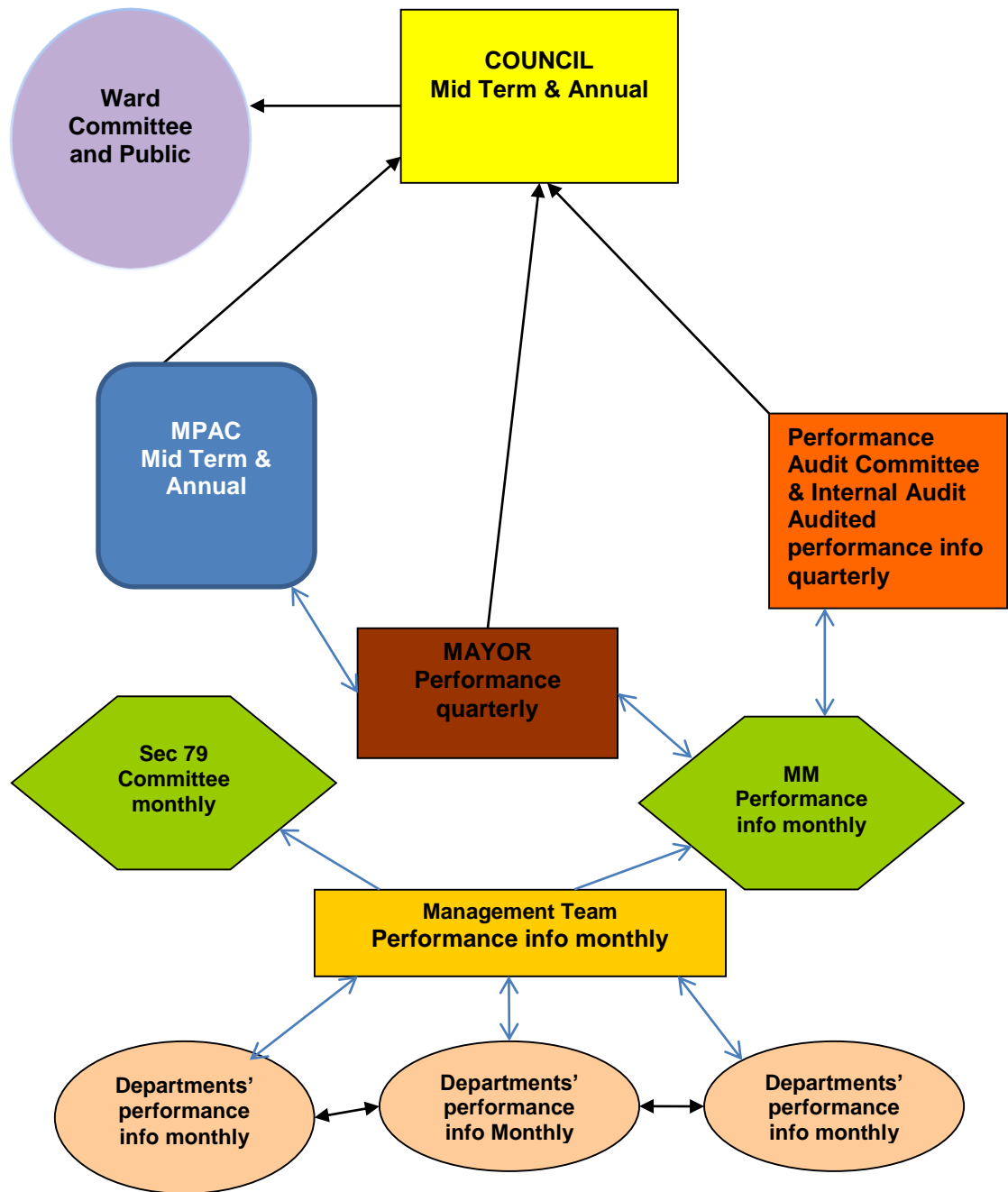


Figure 3: Newcastle Municipality Performance Monitoring System

### 5.3 Phase 3: Measurement and Analysis

Performance Measurement is essentially the process of analysing the data provided by the Performance Monitoring System in order to assess performance. At organisational level, Performance Measurement is formally executed on a monthly and quarterly basis, whilst Performance Measurement on individual level is done quarterly.

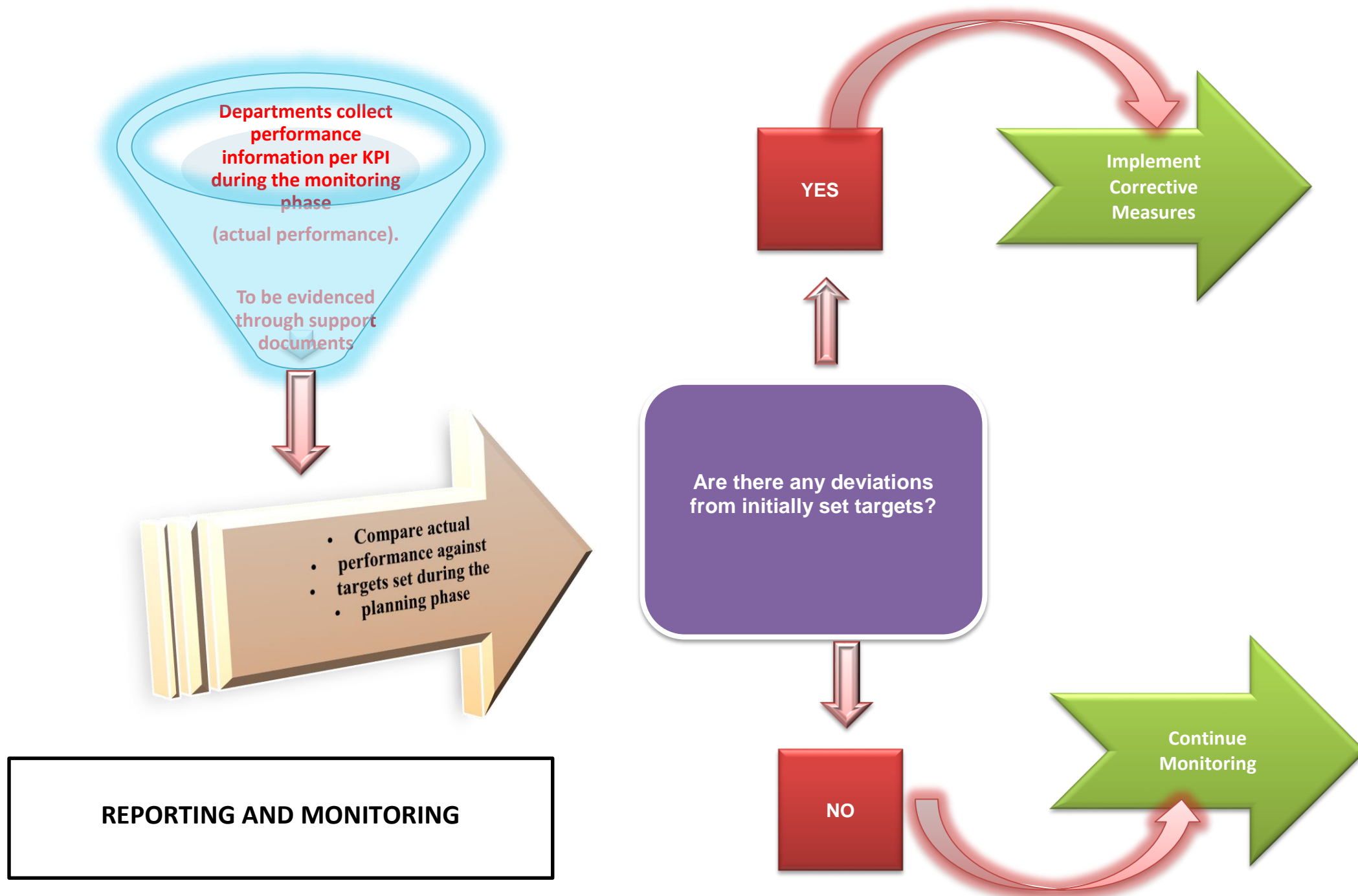
As indicated in section 3, Newcastle Municipality has adopted the Revised Municipal Spreadsheet Scorecard to analyse the performance information submitted during the monitoring phase and assess its performance levels. The adopted model will measure the municipality's performance through achievements within the Key Performance Areas and report its organizational performance along the performance perspectives.

The template for the performance measurement scorecard that will be used by Newcastle Municipality is illustrated below in **Figure 7**.

All the measured results are then recorded on a report. The municipality will use one reporting template for all key performance indicators and all departments will use this formant to produce quarterly reports and the annual review report. The reporting template will be discussed under the reporting section.

Figure 7: The link between performance monitoring, analysis and measurement

KEY PERFORMANCE AREA 4: SERVICE DELIVERY AND INFRASTRUCTURE DEVELOPMENT												
STRATEGIC FOCUS AREAS	OBJECTIVES	KEY PERFORMANCE INDICATORS (KPIs)	TYPE OF KPI	BASELIN E INDICAT OR	ANNUAL TARGETS	QUARTERLY TARGETS				RESPONSI BLE DEPARTME NT	FREQUEN CY OF REPORTIN G	RESPONSIBLE POLITICAL STRUCTURE
						Q1	Q2	Q3	Q4			
Water services	To improve access to water to households in the informal settlements	1. Unit costs for purchasing water pipes to connect to single households	Input indicator	R10 000	R80 000	R20 000	R20 000	R20 000	R20 000	Infrastruct ure Dept	Monthly	Section 79 Committee responsible for Service Delivery
		2. No. of households connected in one year	Output indicator	100	1 000	250	250	250	250	Infrastruct ure Dept	Monthly	Section 79 Committee responsible for Service Delivery



## 5.4 Phase 4: Performance Reviews

Performance review is a process where the municipality, after measuring its own performance as detailed in the previous phase, assesses whether it is giving effect to the IDP. It is a phase where it will assess whether it is doing the right thing, doing it right and better, or not. Performance reviews will be conducted through the municipality's scorecard model by assessing performance against the 5 Key Performance Areas (KPA's), indicators, and targets. The Newcastle Municipality reviews will be conducted by using the "best value review" approach in the following three methods:

- a. The first method will look at whether the current level of performance is better than that of the previous year, **using baseline indicators** as adopted in the organizational scorecard. This assessment is important because the municipality can only know if its performance is improving by comparing with past performances. This review method will be the one used regularly alongside the monitoring and analysis processes. The reviews will occur on a monthly, quarterly, mid-year and annually.
- b. The second method will be through conducting **customer perception surveys** on an annual basis. The survey will assess the community's perceptions about the performance of the municipality against the delivery in their key performance areas. Ideally this should be done through the Annual Reporting process.
- c. The third method is will look at the municipality's performance by comparison with other similar ones through local municipalities through **benchmarking exercises** conducted once in 5 years or more often as circumstances will dictate. Ideally this should be done simultaneously with the development of the IDP

The "best value review" approach challenges the current level of municipal performance (**through comparing actual performance against the baselines**), compare it to others (**through benchmarking**), consult with customers and communities (**through customer perception surveys**) and find ways of competing with other municipalities to provide best value in service delivery (**through twinning agreements**).

The results of measurement and reviews will be captured on the spreadsheet reporting format as shown on **Figure 8** under the reporting section below. All performance reports from departmental to organizational will be done on the same format so that there will be consistency on reporting

### **Who has the Responsibility of Conducting Reviews in The Newcastle Municipality Municipality?**

As in the monitoring and measurement stages, reviews will be conducted according to the lines of accountability within the municipality's organizational structure. Reviews at all levels on organizational indicators and targets will be conducted quarterly, preceded by coaching sessions by the Municipal Managers to her/his direct reports. On considering the quarterly reports from each department and the results of the measurement revealing the level of performance in each department, the Municipal Manager must conduct one-on-one coaching sessions with Managers directly accountable to her, to ascertain the level of comfort and confidence in achieving set targets, and to

understand the challenges that the Manager might be facing in achieving results. The coaching session must be recorded and the coaching notes be kept in the department's evidence file for individual performance evaluation purposes.

### **Supervisors**

Supervisors will review the performance of employees reporting directly to them. These reviews will be conducted on a monthly basis and any deviations can be recommended by the supervisor to their section managers, only if they affect indicators and targets that are at their levels, not organizational or departmental indicators.

### **Section Managers**

These managers review performance of their respective areas on a monthly basis, as they are monitoring, analyzing and measuring performance as against their departmental scorecards. The review will cover all organizational key performance areas and indicators with respect to their functional areas and any deviations from original targets can be recommended to their respective senior managers and can be authorised if it is not organizational or departmental targets.

### **Section 79 Committees**

These committees manage the performance of sectors and functions respective to their portfolios. In order to build the role played by Section 79 Committees, while ensuring that their role remains strategic and not operational, it is recommended that they review performance as often as monthly. However, the committees can only approve deviations on targets related to their service areas, after receiving recommendations from the management team.

### **Executive Management Team**

The Municipal Manager and management team will review performance prior to, and more often than, The Mayor or Section 79 Committees, as follows:

- Firstly, they will need to review performance more often, such that they can intervene promptly on operational matters where poor performance or the risks thereof occur.
- Secondly they will need to review performance before reporting to politicians so that they can prepare; control the quality of performance reports submitted to the councillors and the public; and ensure that adequate response strategies are proposed in cases of poor performance.
- It is strongly recommended that the executive management team review performance monthly, prior to reviews being conducted by Executive Committee or the Section 79 Committees. At these reviews relevant functional managers will be required to report on respective priority areas.

### **Executive Committee**

The Performance Management System of the Newcastle municipality is designed in such a way that it allows The Mayor and the Executive Committee to strategically drive and manage performance in the organisation. Reviews at this level will remain strategic so that The Mayor is not restrained by operational discussions. In order for this review to be strategic it is recommended that the Executive Committee review performance quarterly, with the final quarterly



review taking the form of an annual review. The content of the review should be confined to the adopted 5 key performance areas (KPA's) and objectives. The Municipal Manager will remain accountable for reporting on performance at this level.

### **Council**

Council will review the performance of the municipal council, its committees and the administration, annually, in the form of a tabled annual report at the end of the financial year. It may also review the PMS more regularly through the MPAC and consider any reports of the MPAC in fulfilling its oversight role.

### **Audit Committee**

In order for the Audit Committee to fulfill its advisory role to Council, it is necessary that the Audit Committee reviews the effectiveness of the PMS at least bi-annually. Any recommendations for the review of the PMS MUST be considered by the Executive Committee and Council.

### **Municipal Public Account Committee (MPAC)**

In terms of the guidelines of Cogta in respect of MPAC, the MPAC must interrogate the quarterly reports of the Mayor in respect of the SDBIP, and submit a report to Council with recommendations. This will include commenting of the Mid year budget and performance assessment for submission to Council.

### **The Public**

The public will be involved in reviewing municipal performance at least annually, in the form of the annual report and the annual customer surveys.

While good and excellent performance must also be constantly improved to meet the needs of citizens and improve their quality of life, it is poor performance that needs to be improved as a priority. Poor performance may arise out of one or more of the following:

- Poor systems and processes
- Inappropriate structure
- Lack of skills and capacity
- Inappropriate organisational culture
- Absence of an appropriate strategy and departmental business plans that lay the foundation for optimum performance

### **Improving Performance**

In order to improve performance, Newcastle Municipality, throughout the performance management phases, will analyse the causal and contributory reasons for poor performance, through coaching sessions from top to lower levels of the administration and appropriate response strategies will be developed. These will include, inter alia:

- Restructuring as a possible solution for an inappropriate structure
- Process and system improvement strategies to remedy poor systems and processes

- Training and sourcing additional capacity where skills and capacity shortages are identified
- Change management and diversity management education programmes can address organisational culture
- Review of the IDP by councillors to address shortcomings in strategy
- Development of appropriate departmental business plans and operational plans to guide performance in each department
- Where results show no chance of improvement through internal measures, alternative service delivery mechanisms shall be considered.

## 5.5 Phase 5: Reporting on Performance

Reporting requires that the municipality take its key performance areas, its performance objectives, indicators, targets, measurements and analysis, and present this information in a simple and accessible format, relevant and useful to the different stakeholders for review. Newcastle Municipality will adopt the reporting format shown in **Figure 8** below as its uniform reporting template at all levels of reporting.

The proposed template will contain only necessary and relevant information and will cover the period for which the reporter is reporting, state the relevant key performance areas, capture all the agreed objectives and indicators, state agreed targets relevant to the period which the report covers, measure current performance over the period for which the report is covering, specify when the measurement was done, specify the source of the measurement, reflect on whether agreed targets have been met, analyse the reasons for the level of performance, and suggest corrective action, if necessary.

All stakeholders who are expected to report on performance will use this one reporting format. The reporting format will remain simple, accessible to all users and useful to the intended reader.

The main feature of the reporting phase is the production of the annual performance report. This is a consolidated report that reflects results on performance on each of the 5 perspectives as per the adopted model. The main report will be informed by the information gathered through the scorecards throughout the year and one performance report will be compiled as per the requirement of Section 46 of the Municipal Systems Act. Since Newcastle Municipality adopted the Revised Municipal Scorecard model, its annual performance report will reflect its performance results clustered in the following 6 KPA's as approved in the IDP.



**Figure 8: The Performance Reporting Template for Newcastle Municipality**

<u>IDP PRIORITY</u>	<u>OBJECTIVE</u>	<u>KPIS</u>	<u>SOURCE EVIDENCE</u>	<u>FREQUENCY</u>	<u>BASELINE</u>	<u>TARGET FOR THE PERIOD</u>	<u>ACTUAL FOR THE PERIOD</u>	<u>REASONS FOR PERFORMANCE VARIANCE</u>	<u>RECOMMENDED CORRECTIVE ACTION</u>
Infrastructure and services	To ensure the provision of adequate basic water and sanitation facilities to nodal and traditional areas according to acceptable (RDP) standards ensuring the reduction in reported cases of diseases	% of households supplied with potable water (in dwelling or stand, standpipes or communal taps at <200 metres, spring water, boreholes or communal water tanks).							
		% of households provided with basic sanitation (Waterborne or VIP toilets) facilities.							

## 6 Reporting

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### 6.1 Who Reports to Whom?

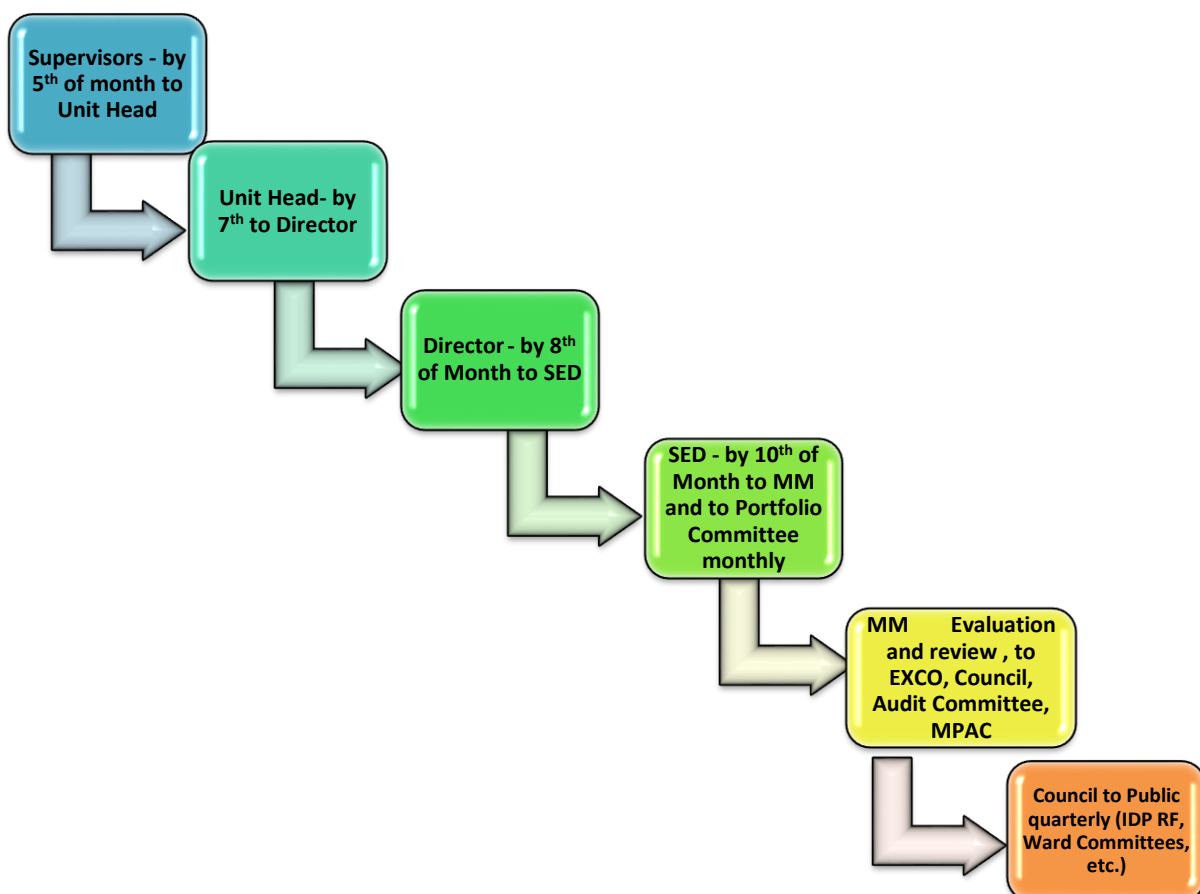
The reporting process will follow the lines of accountability as detailed in the performance monitoring, measurement and review phases above. Reports will be submitted to all different stakeholders using following internal processes as outlined above and through the different political and community stakeholders as required by the Municipal Systems Act, the Municipal Finance Management Act and the Performance Regulations. Reports will be submitted to the following stakeholders during the timelines outlined in the municipality's performance process plan as shown under the **Performance Cycle** section:

- Newcastle Municipality reporting to Communities;
- Newcastle Municipality reporting to Ward Committees;
- Executive Committee reporting to Council;
- Municipal Manager reporting to The Mayor ;
- Heads of Departments reporting to the Municipal Manager;
- Section Managers reporting to Heads of Departments; and
- Employees reporting to their section managers and supervisors.

### 6.2 Tracking and Managing the Reporting Process

To ensure that the reporting processes runs smoothly and effectively, the Monitoring and Evaluation Unit in the Office of the Municipal Manager will co-ordinate all activities related to efficient reporting. The functions of the Unit in this instance include the following:

- Developing a process plan or timetable for all reporting processes for the year;
  - Prepare logistics for reporting;
  - Improve the reporting format, should there be a necessity to do so;
  - Track and monitor reporting processes;
  - Control the quality of reports going to reviews at political levels in terms of alignment with the adopted reporting format;
  - In respect of the Capital Programme, reporting and monitoring be carried out against a Proforma Project Implementation Plan/template (Annexure 1) with aligned projections of cash flow. The Proforma template may be applied for key operational projects by departments to better manage these operational projects.
  - Project Implementation Plans must be used to align to the Procurement Plan of the municipality
  - Analyse departmental performance reports;
  - Compile quarterly organisational performance reports and the annual report; and
  - Review the reporting process and suggest improvements.
- The following reporting and monitoring process flow will apply monthly for the capital status reports and quarterly for the quarterly reports :-



The above process is subject to a technical assessment by the PMS unit- such assessment to check on the completeness of reports, and the relevance and sufficiency of the portfolio of evidence submitted. Portfolios of evidence should be appropriately reference to the relevant score-cards to allow for ease of reading and for purpose of auditing.

The methodology for the performance assessment is based on the rating calculator for Municipal Manager's and managers directly accountable to the Municipal Manager, as well as the Dashboard illustrations used by the Auditor-General. This will cascade into individual performance assessments. A PMS Checklist is used to ensure that performance information as reported is :-

- ✓ Sufficient
- ✓ Relevant
- ✓ Accurate

For the purpose of this monitoring, the Dashboard results will be highlighted in terms of :

DASHBOARD ASSESSMENT KEY	
	TARGET OVER ACHIEVED
	TARGET MET
	TARGET IN PROGRESS



Departments are required to submit all performance reports with a referenced portfolio of evidence file. This will be subjected to a technical assessment process by the Performance Management unit as well as an internal audit process. The progressive performance for all 4 quarters is assessed against the annual target to determine the annual actual – and thus annual performance.

Any TARGET NOT MET, in any quarter on the SDBIP or capital programme as monitored monthly, must in all instances have the requisite "REASON FOR VARIANCE", and "RECOMMENDED CORRECTIVE ACTION, such "reason for variance" to be evidenced, failing which the target will be deemed to be "NOT MET"

The Review of targets on Score-cards will be considered only during the Adjustment Budget process in line with the Mid Year Performance review as per Section 72 of the MFMA, as reviewed by the M & E unit and approved as the Revised SDBIP's. In year revisions to a KPI is not encouraged, unless it is as a result of audit findings and/or exceptional circumstances.

Project Implementation plans and projections of cash flows on the capital programme MUST be reviewed only in line with a Council resolution. Any changes to the capital programme by resolution of Council, must in all instances be accompanied by the requisite PIP and cash flow projections.

For assessment purposes, all projects on the Capital programme and amendments thereto, must have a PIP and cash flow approved as part of the SDBIP. Departments must ensure that PIP's and cash flows accompany recommendations to Council.

In line with the current cash flow strategies of the municipality, negative scoring against the non-achievement of cash flow targets will not be applied in the 2018/19 financial year – unless the SED : BTO advises that the cash flow situation has stabilized.

### **6.3 Publication of Performance Reports**

The annual performance report is required by legislation to be availed to the public through the Annual Report. Newcastle Municipality will, however, within its resources and capacity, keep the communities more frequently informed of performance information through:

- a. Publication of reports in the municipal website
- b. Press releases
- c. Press Briefings
- d. Publication of pamphlets or newsletters
- e. Local Radio programmes
- f. Ward Committee meetings.

### **6.4 Public Feedback Mechanisms**

Public feedback on reported performance will be during IDP/Budget/PMS review processes, Annual reporting processes and in line with the public participation policy of the municipality.

### **6.5 Auditing Performance and Quality Control**

In order for the performance management system to enjoy credibility and legitimacy from the public and other stakeholders, performance reports, particularly the annual performance report, must be audited. Audits should ensure that reported performance information is accurate, valid and reliable.

In terms of the provisions of the Municipal Systems Act and the Performance Regulations of 2001, the annual performance report must be audited internally, and before being tabled and made public, the annual performance report will also be audited by the Auditor-General. It is therefore important to allow sufficient time between completion of annual reports and the tabling of the annual report for auditing.

The draft annual report is submitted to the Auditor-General before 31 August of every year, for auditing and be submitted to the MEC for local government in the province for the MEC to complete an annual report of performance of all municipalities in the province, identifying poor performing municipalities and proposing remedial action and submit the provincial report to the national minister. The national minister will then present a consolidated report to parliament.

## **6.6 Internal Auditing of Performance Measurements**

### **6.6.1 The Internal Audit Unit of the Newcastle Municipality**

In terms of Regulation 14 of the Planning and Performance Regulations of 2001, every municipality must develop and implement mechanisms, systems and processes for auditing the results of performance measurements as part of its internal auditing processes. The functions of the internal audit unit include the assessment of the following:

- (i) the functionality of the municipality's performance management system;
- (ii) whether the municipality's performance management system complies with the provisions of the Municipal Systems Act; and
- (iii) the extent to which the municipality's performance measurements are reliable in measuring performance of municipalities on its own indicators and the national indicators

The Regulations further provides that the municipality's internal auditors must:

- (i) on a continuous basis audit the performance measurements of the municipality; and
- (ii) submit quarterly reports on their audits to the Municipal Manager and the performance audit committee.

The Newcastle Municipality has established an Internal Audit unit whose functions are provided for by the 2001 Performance Regulations as indicated in the above extract. The Internal Audit Charter will specify the roles and responsibilities of Internal audit further. Audit approach and methodology will be communicated accordingly to relevant performance management clients accordingly.

The Audit Committee, Municipal Manager and The Executive Committee will place reliance on the performance audit risk assessments and audit



reports to make informed decisions and motivate for any reviews and improvements to the municipal council and communities.

#### **6.6.2 The Performance Audit Committee**

Regulation 14 of the Planning and Performance Regulations stipulates the provisions that guide the establishment of the Performance Audit Committee and outline the functions and powers entrusted to the committee as the following:

- review the quarterly reports submitted to it by the Internal Auditors;
- review the municipality's performance management system and in doing so, focus on economy, efficiency, effectiveness and impact in so far as the key performance indicators and performance targets set by Newcastle Municipality in its organizational scorecard are concerned;
- make recommendations in this regard to council; and
- at least twice during a financial year submit an audit report to the municipal council;
- communicate directly with the council, Municipal Manager or the internal and external auditors of the municipality;
- access any municipal records containing information that is needed to perform its duties or exercise its powers;
- request any relevant person to attend any of its meetings, and if necessary to provide information requested by the committee; and;
- investigate any matter it deems necessary for the performance of its duties and the exercise of its powers.

#### **○ Roles and Responsibilities of Different Stakeholders**

As can be noted from the above analysis of each phase in performance management and from the plethora of legislative prescripts governing municipal performance, it is clear that, for the performance management system of The Newcastle Municipality to be functional, a number of stakeholders have to be involved. These stakeholders have different roles and responsibilities within each of the performance management phases. The tables below will outline roles and responsibilities of each of the stakeholders in each phase.

## **Roles and responsibilities of stakeholders in the operation and management of the PMS**

### **Roles and Responsibilities of The Mayor**

PLANNING	MONITORING, ANALYSIS AND MEASUREMENT		
	REVIEW	REPORTING	ASSESSMENT
<ul style="list-style-type: none"> <li>* Submits priorities and objectives of the Integrated Development Plan to Council for approval</li> <li>* Submits the PMS policy framework for approval</li> <li>* Submits the municipal strategic or organizational scorecard to Council for approval</li> <li>* Approves the Service Delivery and Budget Implementation Plans (SDBIP)</li> <li>* Enters into a performance agreement with the Municipal Manager on behalf of the Municipal Council</li> <li>* Assigns the responsibility for the management of the PMS to the Municipal Manager</li> <li>* Tables the budget and the SDBIP to Council for approval</li> <li>* Approves the departmental or service scorecards and Section 57 Managers scorecards</li> </ul>	<ul style="list-style-type: none"> <li>* Proposes to Council the annual review programme of the IDP, including the review of key performance indicators and performance targets</li> <li>* Proposes the annual performance improvement measures of the municipality as part of the municipal strategic or organizational scorecard</li> <li>* Proposes changes to the priorities, objectives, key performance indicators and performance targets of the municipality</li> <li>* Quarterly evaluates the performance of the municipality against adopted KPIs and targets</li> <li>* Quarterly reviews the performance of the departments to improve the economy, efficiency and effectiveness of the municipality</li> <li>* Quarterly and annually evaluates the performance of the Municipal Manager as is required in terms of Regulations 2001</li> </ul>	<ul style="list-style-type: none"> <li>* Receives monthly budget statements</li> <li>* Receives performance reports quarterly from the internal auditor</li> <li>* Receives performance reports twice a year from the Performance Audit Committee</li> <li>* Receives monthly and quarterly reports from the Municipal Manager on the performance of managers and the rest of the staff</li> <li>* Receives the annual Section 46 reports from the Municipal Manager before submission to council, Auditor General and MEC</li> <li>* Report to council on the mid-term review and the annual report on the performance of the municipality</li> <li>* Reports to Council on the recommendations for the improvement of the performance management system</li> </ul>	<ul style="list-style-type: none"> <li>* Receives and assess performance audit report(s) from the Auditor General and management comments and make recommendations to Council on addressing whatever audit queries raised therein</li> </ul>

## Roles and Responsibilities of the Municipal Manager

PLANNING	IMPLEMENTATION	MONITORING, ANALYSIS AND MEASUREMENT		
		REVIEW	REPORTING	ASSESSMENT
<ul style="list-style-type: none"> <li>* Coordinates the process of needs identification and prioritization among all stakeholders, including community structures</li> <li>* Coordinates the formulation and revision of the PMS policy framework</li> <li>* Coordinates the formulation and revision of the municipality's strategic or organizational scorecard</li> <li>* Leads the process of the formulation and revision of the Service Delivery and Budget Implementation Plans</li> <li>* Enters into performance agreements with Section 57 Managers on behalf of Council</li> </ul>	<ul style="list-style-type: none"> <li>* Manages the overall implementation of the IDP</li> <li>* Ensures that all stakeholders implement the provisions of the PMS policy framework</li> <li>* Ensures that the Departmental scorecards and departmental annual programmes serve the strategic or organizational scorecard of the municipality</li> <li>* Ensures that annual programmes are implemented according to the targets and timeframes agreed to</li> <li>* Implements performance improvement measures approved by The Mayor and the Council</li> <li>* Ensures that performance objectives in the Section 57 Managers' performance agreements are achieved</li> </ul>	<ul style="list-style-type: none"> <li>* Formulates the annual review programme of the IDP, including the review of key performance indicators and performance targets for the consideration of Council Committees and The Mayor</li> <li>* Formulates the annual performance improvement measures of the municipality as part of the new municipal strategic or organizational scorecard</li> <li>* Quarterly reviews the performance of departments to improve the economy, efficiency and effectiveness of the municipality</li> <li>* Quarterly and annually evaluates the performance of Section 57 Managers in terms of regulations</li> </ul>	<ul style="list-style-type: none"> <li>* Receives performance reports quarterly from the internal auditor</li> <li>* Receives performance reports twice a year from the Performance Audit Committee</li> <li>* Receives monthly departmental performance reports</li> <li>* Reports quarterly to the Mayor on the performance of Departments</li> <li>* Reports on the implementation of improvement measures adopted by The Mayor and Council</li> <li>* Monthly, quarterly and annually reports to The Mayor on the performance of Section 57 Managers and departments</li> <li>* Submit the municipal annual Section 46 report to The Mayor</li> </ul>	<ul style="list-style-type: none"> <li>* Assess and formulate appropriate responses to the recommendations of the internal auditor and the Performance Audit Committee</li> <li>* Assess and formulate appropriate responses to performance audit queries raised by the Auditor General and make recommendations to The Mayor</li> </ul>

### Roles and Responsibilities of the Section 79 Committees

PLANNING	MONITORING, ANALYSIS AND MEASUREMENT		
	REVIEW	REPORTING	ASSESSMENT
* Advise The Mayor on priorities and objectives of the Integrated Development Plan	* Participate in the formulation of the annual review programme of the IDP, including the review of key performance indicators and performance targets	* Reports to The Mayor on the recommendations for the improvement of the performance management system  * Receive reports from the departmental heads and section managers on performance in their respective service areas	* Advise The Mayor on the implementation of the recommendations of the internal auditor, the Performance Audit Committee and the Auditor-General

### Roles and Responsibilities of the Section 57 Managers

PLANNING	IMPLEMENTATION	MONITORING, ANALYSIS AND MEASUREMENT		
		REVIEW	REPORTING	ASSESSMENT
* Participate in the formulation of the SDBIP and the municipal strategic or organizational scorecard  * Manage subordinates' performance  * Enter into performance agreements with the Municipal Manager	* Manage the implementation of the Departmental scorecards  * Ensure the performance objectives in the performance agreements are achieved	* Quarterly and annually review the performance of the department  * Quarterly review performance of direct reports	* Report on the implementation of improvement measures adopted by The Mayor and Council  * Annually report on the performance of their departments  * Receive bi-monthly performance reports from section managers	* Participate in the formulation of the response to the recommendations of the internal auditor, Performance Audit Committee and the Auditor General

			* Reports monthly on progress	
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#### **Roles and Responsibilities of Non-Section 57 Municipal Employees**

<b>PLANNING</b>	<b>IMPLEMENTATION</b>	<b>MONITORING, ANALYSIS AND MEASUREMENT</b>		
		<b>REVIEW</b>	<b>REPORTING</b>	<b>ASSESSMENT</b>
<ul style="list-style-type: none"> <li>* Participate in identifying of priorities and setting KPIs and targets for the municipality's IDP</li> <li>* Participate in the development of the organizational and the departmental scorecards</li> <li>* Participate in the development of their own performance scorecards</li> </ul>	<ul style="list-style-type: none"> <li>* Execute individual work plans</li> <li>* Manage all information and evidence required for performance measurement</li> </ul>	<ul style="list-style-type: none"> <li>* Participate in the review of departmental plans</li> <li>* Participate in the review of own performance</li> </ul>	<ul style="list-style-type: none"> <li>* Report on progress on achieving of own scorecard targets to section managers</li> </ul>	<ul style="list-style-type: none"> <li>* Assess performance review reports of own section</li> </ul>

#### **Roles and Responsibilities of the Community**

<b>PLANNING</b>	<b>REVIEW</b>	<b>REPORTING</b>
<ul style="list-style-type: none"> <li>* Participate in the drafting and implementation of the municipality's IDP through established forums</li> <li>* Participate in the setting of KPIs and targets for the municipality every year</li> <li>* Make representations on the draft annual budget</li> </ul>	<ul style="list-style-type: none"> <li>* Participate in the annual review of performance through their involvement in ward committee structures and customer perception surveys.</li> </ul>	<ul style="list-style-type: none"> <li>* Receive annual performance and budget reports from council</li> </ul>

### Roles and Responsibilities of Ward Committees

PLANNING	REVIEW	REPORTING
<ul style="list-style-type: none"> <li>* Participate in the drafting and implementation of the municipality's IDP</li> <li>* Participate in the setting of KPIs and targets for the municipality every year</li> <li>* Make representations on the draft annual budget</li> </ul>	<ul style="list-style-type: none"> <li>* Participate in the annual review of performance through their involvement</li> </ul>	<ul style="list-style-type: none"> <li>* Receive quarterly performance reports from council</li> </ul>

### Roles and Responsibilities of Organized Labour

PLANNING	REVIEW	REPORTING
<ul style="list-style-type: none"> <li>* Participate in the drafting and implementation of the municipality's IDP through established forums</li> <li>* Participate in the setting of KPIs and targets for the municipality every year</li> <li>* Participates and provide inputs in the drafting of the organizational and departmental scorecards</li> <li>* Oversee the overall application of the Performance Management Policy Framework on Non-Section 57 employees</li> </ul>	<ul style="list-style-type: none"> <li>* Participate in assessment and the quarterly reviews of employee performance and compilation of departmental and organizational performance review reports</li> </ul>	<ul style="list-style-type: none"> <li>* Receive quarterly performance reports on employee under-performance in the Local Labour Forum</li> <li>* Report on any negative effects of the PMS on employees</li> </ul>

### Roles and Responsibilities of the Internal Audit

PLANNING	AUDIT	ASSESSMENT	REPORTING
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* Develop the risk and compliance-based audit plan	* Audit the performance measures in the municipal and departmental scorecards  * Conduct compliance based audits	* Assess the functioning of the municipality's PMS to ensure it complies with the Act	* Submit quarterly reports to the Municipal Manager.  * Submit quarterly reports to the Performance Audit Committee
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#### **Roles and Responsibilities of the Performance Audit Committee**

<b>PLANNING</b>	<b>REVIEW</b>	<b>REPORTING</b>
* Receive the annual audit plan from Internal Audit	* Review quarterly reports from the internal audit office on quarterly basis	* Submit bi-annual reports to the Municipal Council



## 7 Employee Performance Management

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### 7.1 Legal Framework that Governs Employee Performance Management

In local government, municipal employees now fall into two broad categories: namely, the employees who are governed by Section 54/57 of the Municipal Systems Act and enter into time-specified employment contracts with the municipality, and those that are employed on permanent basis and are governed by the provisions of the Local Government Bargaining Council. In this policy framework, the emphasis is on the employees employed under Section 54 and 57 will be referred to as “**Section 54/57 Managers**”

The local government legislation has provided guidance on managing and rewarding performance of Section 54/57 Managers, i.e. the Municipal Manager and all Managers directly accountable to him. The Performance Management Regulations for Municipal Managers and Managers Directly Accountable of 2006 make special provisions for employment and managing performance of these employees. The pertinent provisions will be outlined briefly below. However a full copy of the Regulations will be attached as one of the appendices to this policy framework.

Section 57 managers must enter into employment contract with the municipality on assumption of duties and the regulations give a detailed guide on the elements of an employment contract;

**Performance Agreements** must be signed on each financial year or part thereof;

A new **performance agreement** must be concluded within **one month** after the commencement of the new financial year, i.e. by 31 July of every year;

A **personal development plan** must be documented at the end of the performance review and form part of the performance agreement;

The employee's performance must be assessed against two components:

**Key Performance Areas (KPA's) at (80%) and Core Competency Requirements (CCR's) at (20%);**

- A **5 - point rating scale** should be provided for each Key Performance Indicator in the employees scorecard;
- The municipality must establish Evaluation Committees who must meet annually to evaluate the performance of the Municipal Manager and the managers directly accountable to the Municipal Manager;
- The Municipal Manager's annual performance must be evaluated by The Mayor, Chairperson of the Performance Audit Committee, Member of the Executive Committee, Mayor and/or Municipal Manager from another municipality and Member of a Ward Committee nominated by The Mayor;
- Managers directly accountable to the Municipal Manager must be rated by the Municipal Manager, Chairperson of the Performance Audit Committee, Member of the Mayoral Committee and a Municipal Manager from another municipality.

A performance bonus ranging from a minimum of 5% - 14% maximum of the all-inclusive remuneration package must be paid as follows:

- **A score of 130 - 149% is awarded a bonus from 5% - 9%**
- **A score of 150% and above is awarded a bonus from 10% - 14%;**

Rewarding of Performance for Section 57 employees must be done after the adoption of the Annual Report.

As can be seen from the above provisions, the Section 57 employees in Newcastle Municipality will align with the above regulations and their performance will be measured through their performance plans/scorecards. The same organizational scorecard will be cascaded to the employee scorecard and these will form part of their performance agreements.

It is the intention of this policy framework to formally incorporate the permanent employees into the overall performance management system of the municipality. This will translate into all employees of Newcastle Municipality developing annual scorecards that are aligned to their functional areas of responsibility and thereafter entering into performance agreements with their respective supervisors. Just like in the Section 57 employee performance provisions, the performance agreements of the permanent employees will include a personal development plan.

An Individual performance policy as compiled by the Corporate Services Department will be implemented using a phased approach. Stakeholder engagement is considered compulsory as this will contribute to the effective of the IPMS.

## **7.2 Aligning Individual Performance to the Organizational Performance Management System**

The performance of an organisation is integrally linked to that of staff. If employees do not perform an organisation will fail. It is therefore important to manage both the organizational and individual performance at the same time. The relationship between organisational performance and employee performance starts from planning, implementation, monitoring and review. All the 5 phases in the organizational performance apply to the management of individual performance. The monitoring system using weekly, bi-monthly, monthly and quarterly reports is informed by individual activities at sectional and departmental levels. However, individual performance reviews differ from organizational reviews. Each phase will be discussed briefly below.

### **7.2.1 Phase 1: Planning for Individual Employee Performance**

The IDP yields a set of indicators and targets. These become an undertaking of the municipality to the community. The IDP informs the development of the SDBIP and the organizational scorecard. The components of the organizational scorecard will be cascaded to the Municipal Manager's performance scorecard and performance agreement as she is responsible for the implementation of the IDP. The Municipal Manager will then extract

relevant indicators to inform scorecards of the different Departments. These indicators would then become the indicators and targets of the Heads of Departments to be incorporated in their performance scorecards and agreements. Once the Individual PMS is cascaded to all categories of employees, the Heads of Departments will in turn cascade the indicators and targets to lower levels in line with the scope of responsibilities at that level. Therefore, this policy framework establishes a system of individual performance management linked to the organizational performance through the scorecard model.

#### 7.2.1.1 Effecting Weighting and Rating on Employee Scorecards

Newcastle Municipality will adopt a weighting approach to show the relative importance of one indicator against another indicator. Every indicator in an employee's performance scorecard/plan will be assigned a weighting. The total of the weightings on the performance scorecard must add up to 100 points. An important indicator may, for example, be assigned a weighting of 50 out of the total of 100 whereas a less important KPI may be assigned a weighting of 15 out of 100. The purpose of the weightings is to show employees what the key focus areas are in their work.

The weighting of indicators in the scorecard of the Section 57 employees will follow the line of the provisions of the 2006 Performance Regulations. The weighting of 80% will be allocated to KPA-related indicators and 20% of the weighting will be allocated to CCR-related indicators.

The five-point rating will apply in evaluation process of all employee performance. The 2006 Performance Regulations sets out the rating as in **Table 1** below.

Actuals reported within a 10% variance of a target will be considered as acceptable performance and will be scored accordingly. Performance exceeding 10% of target must also have a "Reason for Variance" specified with supporting reason for variance. This will assist in identifying gaps in respect of under-targeting, or to emulate good practice in other functional areas.

Table 1: The 5-Point Rating for Employee Performance Appraisals

LEVEL	TERMINOLOGY	DESCRIPTION	RATING DASHBOARD
5	Outstanding Performance	Performance far exceeds the standard expected of an employee at this level. The appraisal indicates that the Employee has achieved above fully effective results against all performance criteria and indicators as specified in the <b>PA</b> and Performance plan and maintained this in all areas of responsibility throughout the year.	
4	Performance significantly above	Performance is significantly higher than the standard expected in the job. The appraisal indicates that the Employee has achieved above fully effective	

LEVEL	TERMINOLOGY	DESCRIPTION	RATING DASHBOARD
	expectations	results against more than half of the performance criteria and indicators and <b>fully</b> achieved all others	
3	Fully effective	Performance fully meets the standards expected in all areas of the job. The appraisal indicates that the Employee has fully achieved effective results against all significant performance criteria and indicators as specified in the PA and Performance Plan.	
2	Performance not fully effective	Performance is below the standard required for the job in key areas. Performance meets some of the standards expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against more than half the key performance criteria and indicators as specified in the PA and Performance Plan.	
1	Unacceptable performance	Performance does not meet the standard expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against almost all of the performance criteria and indicators as specified in the PA and Performance Plan. The employee has failed to demonstrate the commitment or ability to bring performance up to the level expected in the job despite management efforts to encourage improvement.	

The outcome of the planning phase in the individual performance management will result in all employees having signed performance agreements and scorecards at the beginning of every financial year. An employee scorecard template will be aligned to that of the organisational score-card/SDBIP.

#### **7.2.2 Phase 2: Implementation, Monitoring, Data Analysis and Measurement.**

When projects and programmes are implemented, the monitoring system as proposed in the organizational performance phases will apply. All the reporting timelines and information management responsibilities will be carried out as detailed in these phases.

#### **7.2.3 Phase 3: Coaching**

Should an employee not be achieving the agreed indicators in his/her performance scorecard the manager/supervisor must assist the employee by managing his/her performance more closely. It is not appropriate that the first time an employee hears about his/her non-performance is at the formal performance review. Employees must be coached and given feedback at least quarterly before review. The Personal Development Plan must be utilized for this purpose, and facilitation of coaching must be through formal arrangement by the Supervisor assisted by the Human Resources Development unit.

#### **7.2.4 Phase 4: Employee Performance Review**

This phase involves jointly assessing actual performance against expectations at the end of the performance cycle so as to review and document planned vs. actual performance. The following guidelines will be applicable for conducting individual performance reviews:

A Manager/supervisor will prepare ratings of employee's performance against key performance indicators. The rating will be done by considering the year end actual cumulative as well, the evidence which was documented during the coaching cycle as well as any other relevant input.

The Manager/supervisor will request the employee to prepare for formal appraisal by rating him/herself against the agreed key performance indicators on their scorecards.

The Manager/supervisor and the employee meet to conduct a formal performance rating with a view to conclude a final rating. The employee may request time to consider the rating. A second meeting will then take place. In the event of a disagreement, the manager/supervisor has the final say with regard to the final rating that is given.

After the ratings have been agreed upon the scores are calculated.

The Manager/supervisor must make own notes during the formal review meeting. All the criteria that have been specified must be taken into consideration.

Only those KPIs relevant for the review period in question should be rated according to the five point scale as shown above.

After the year-end review the manager/supervisor and the employee prepare and agree on a personal development plan.

The total score is determined once all the indicators have been rated and scored. This is done with a view to establish if an employee is entitled to a notch increase or an accelerated salary progression or a non-financial award. Annual inflation related increments will not be affected by the implementation of the performance management system and cascading it down to all employees.

#### **7.2.5 Phase 5: Rewarding Performance**

This phase establishes the link between performance and reward. It aims to direct and reinforce effective work behaviours by determining and allocating equitable and appropriate rewards to employees.

The performance reward system applied to Section 57 Employees is different from the performance reward system applied to Permanent Employees who are not Section 57 Employees. Section 57 employees reward system is clearly spelt out in the 2006 Performance Regulations and these rewards are to be allocated after the tabling of the receipt of the audit report and tabling of the annual report, i.e. in February of each year.

Appraisal criteria and processes, and an incentive / Reward System for other employees of Council will be determined through specific policy directive relating to Individual Performance Management System as approved by Council and facilitated by the Corporate Services Department.

#### **7.2.6 Measures to address poor performance**

In terms of **Regulation 32 (3) The Local Government Municipal Performance Regulations 2006**, in the case of poor performance the municipality shall-

- (a) Provide systematic remedial or developmental support to assist the employee to improve his or her performance; and
- (b) After appropriate performance counseling and having provided the necessary guidance and/or support and reasonable time for improvement in performance, and performance does not improve, the employer may consider steps to terminate the contract of employment of the employee on grounds of unfitness or incapacity to carry out his/her duties.

#### **7.2.7 Critical Dates and Timelines**

Over and above the different management processes that the Newcastle Municipality will be using to implement its this Performance Management Policy Framework, it will also comply with critical dates and timelines that will make the management of performance align with corporate governance principles and enable other stakeholders to perform their roles and responsibilities efficiently and effectively. The critical dates and

timelines are listed below in the Performance Management Calendar as per Annexure 1.

**Table 3: Critical Timelines**

PHASE	ORGANIZATIONAL ACTIVITIES	INDIVIDUAL ACTIVITIES	TIME FRAME	RESPONSIBILITY
<b>PLANNING</b>	Development and approval of the SDBIP and organizational scorecard		March – May	Council
		Signing performance Contracts/Plans with rest of staff	31 July	Mayor Section 57 Managers
<b>MONITOR, MEASURE &amp; REVIEW</b>	Monthly Monitoring	Monthly Monitoring	Monthly	Municipal Manager Senior Managers Section managers/ Supervisors
	Quarterly Review/s	Quarterly Reviews	September December March	Municipal Manager Senior Managers Managers/ Supervisors
		Annual Performance Appraisal	June	Mayor Municipal Manager Senior Managers Managers Supervisors
		Reward and Recognition	June	Mayor Municipal Manager Senior Managers
<b>REPORTING</b>	Quarterly and Mid-Term Reports	Quarterly Reports	September December March	Management Team
	Annual reports	Annual Employee Performance Reports	31 August	Mayor Municipal Manager
<b>IMPROVE MENT</b>	Performance Development Plans		Ongoing, but at least quarterly	Management & employee



### 7.3 Recognition Awards

To promote an organisational culture that is performance driven, an Annual Management and Staff Awards will be introduced. The awards will be classified into different categories. Annually, after the adoption of the Annual Report of Council, all employees are given an opportunity to nominate employees of their choice for each category. Screening and evaluating of nominations will take place and ultimately one nominee wins the prize for each category. The categories are as follows:

CATEGORIES	DESCRIPTION
Employee of the Year:	AN individual who has most effectively lived and practiced organisational values and displayed organisational and/or departmental mandate
1. Top Management	
2. Senior Managers	
3. Middle Management	
4. Supervision	
5. Non Supervision	
Customer Satisfaction	Provides service excellence that exceeds customer expectations
• Support Service	
• Service Delivery	
• Satellite Offices	
Best Performing Department	Department that at least has improved performance in all 4 quarters consistently, and promoted organisational values
Most Innovative – across all task grades	New creative contributions or solutions implemented in the year that improves efficiency, effectiveness and economy for the department or organisation
Excellence	To continuously strives to be the best through exceptional performance that exceed expectations
Integrity	To constantly act in a manner that promotes trust, dependability and commitment to honest behavior at all times
Special Awards	To be determined by Management and/or Exco

## 8 Evaluation and Review of the Whole Performance Management System (PMS)

Newcastle Municipality will review its performance management system annually alongside the review of the IDP and the Budget. This will be provided for in the IDP/Budget/PMS Process Plan to be adopted by Council by August of each year.

## **9 Monitoring and Reporting Framework by Municipal Entities**

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A monitoring and reporting framework by Municipal Entities has been prepared as a guide to municipal entities in keeping with good governance practices and relevant legislation. A further objective of the guideline is to consolidate reporting requirements (both financial and non-financial) by incorporating a range of information required by various stakeholders thereby reducing duplication and improving communication. The major channel of communication with the shareholder and broad stakeholder community is envisaged to take place through the annual reports.

The framework is primarily based on the legislative provisions of the MFMA, the National Treasury guidelines and the principles enunciated in the various codes on good governance, amongst others, the King Code. The further reporting requirements are taken from the King Code, relevant research conducted on reporting by companies to shareholders generally and the best practices as well as other legislative imperatives. The frequent reporting requirements will assist Newcastle Municipality in its legislative responsibility to monitor performance in an open and transparent manner and call the municipal entities to account.

In summary, the framework seeks to provide the entities with a guide for reporting, which guide sets minimum reporting standards, seeks to ensure compliance with relevant legislation; provides uniformity across the entities in the nature of the information provided in the monthly and annual reports and to allow ease of access of information by all stakeholders such as the Newcastle Municipality as parent municipality, National and Provisional Treasury, the Auditor-General and the local community.

This reporting framework applies to the municipal entities of the Newcastle Municipality and forms an Appendix to this Framework.

## 10 Conclusion

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This framework seeks to provide the basis for a structured approach to performance management within Newcastle Municipality. As indicated earlier, proper implementation of this framework lies heavily on commitment and dedicated leadership. It is hoped that in the near future the municipality will convert this manual performance management platform into an electronic system. However, that will only occur when all stakeholders has gotten into grips with the whole concept of performance management and can fully carry out their roles and responsibilities within the performance cycle.

[illegible]

Strengths of the unit that will promote the achievement of the KPI	
Weaknesses of the unit that may result in the KPI not being achieved	
Opportunities that the unit has not capitalised on as yet that will promote the achievement of the KPI	
Threats that the unit may be exposed to that may result in the KPI not being achieved	
How is the KPI <b>S</b> PECIFIC?	
How is the KPI <b>M</b> EASURABLE?	
How is the KPI <b>A</b> CHIEVABLE?	
How is the KPI <b>R</b> EALISTIC?	
How is the KPI <b>T</b> IMEBOUND?	

NEWCASTLE MUNICIPALITY										
PERFORMANCE MANAGEMENT SUPPORT CALENDAR WITH PROCESS PLAN										
MUNICIPAL FINANCIAL YEAR : JULY TO JUNE										
				COLOUR CODING	Previous year					
					Current Year					
					Next Year					
				TARGET DATES						
QUARTER	MONTH	PURPOSE	ACTION	OUTPUT	RESPONSIBLE MANAGER	START	END			
Q U A R T E R  1 - 4	JULY	Monthly Reports	Annual reporting by departments for year ending June against SDBIP's and NKPI's	Completed SDBIP's as at June and Portfolio of Evidence	All SED's	1-Jul	10-Jul			
			Annual Evaluation of SDBIP and Section 57 employees (Informal)	Informal scoring of Performance for SDBIP's and section 57's	Municipal Manager/PMS/Mayor	11-Jul	15-Jul			
			Annual Evaluation of Section 57 employees (Formal)	Formal Section 27 employee evaluation report by Evaluation Panels	Municipal Manager/PMS Manager/Mayor	16-Jul	20-Jul			
			Submission of Report to Mayor/EXCO/Internal Audit	Report to Mayor/EXCO	Municipal Manager/PMS	20-Jul	30-Jul			
		Process Plan	Signing of new performance contracts for Section 57 Managers and submission to EXCO (Section 69 of the MFMA and Section 57 of the MSA).		Municipal Manager/ PMS Manager					
			Roll out of the approved SDBIP		All SED/PMS Manager					
			Prepare Departmental Operational Plans for the 2012/13 financial year.		All SED's/ PMS Manager					
			Draft Performance Reports 2012'13 to Internal Audit		PMS Manager					
			Annual Performance Report (MSA S46)	Annual Review of PMS (MSA Sec.40) AG's Audit of performance measures(MSA Sec. 45)	Formal Submission of Annual Performance Report to Auditor General	Municipal Manager/PMS Manager	1-Aug	31-Aug		
				Annual Review of performance of Municipality (submit performance report)(MSA s Sec. 46) Review of perf rept by Audit Committee	Formal Submission of Annual Performance Report to Internal Audit for onward submission to Audit Committee	PMS Manager/Internal Audit	1-Aug	31-Aug		
	AUGUST	Process Plan	Quarterly Audit Committee meeting (for the last quarter of 10/11) MFMA Sect 166& MPPR Reg. 14 (3)(a)							
			Evaluation Panel meeting (for evaluation of Sect 57 Managers final assessments) MPPR Reg. 14(3)(b)		Mayor/Municipal Manager/PMS Manager					
			Submission of Annual Performance Report to Auditor-General		Municipal Manager/PMS Manager	1-Aug	31-Aug			
			Submission of Draft Annual Report to Auditor-General		Municipal Manager / PMS Manager					
			roll out of the approved SDBIP		COO/PMS Manager					
			Monthly progress report on performance to EXCO		Municipal Manager/ PMS Manager					
			SEPTEMBER	Monthly Reporting (MSA S40)	Monthly August reports on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's	1-Sep	10-Sep	
					Monthly monitoring of performance	Informal monitoring of performance for July	Municipal Manager/PMS Manager	11-Sep	15-Sep	
	Monthly performance report to Mayor/EXCO/Internal Audit	Monthly Performance report			Municipal Manager/PMS Manager	16-Sep	30-Sep			
	Process Plan	Monitoring and Evaluation session through ICC by third Wednesday of the month			COO/PMS Manager					
Monthly progress report on performance to EXCO				Municipal Manager/PMS Manager						
Circulate Quarter 1 reporting templates to departments				PMS Manager						
		QUARTERLY REPORT	Quarter 1 (July - Sep) Performance Report to Municipal Manager	Completed SDBIP's as at September and Portfolio of Evidence	All Departments	1-Oct	10-Oct			
	Quarterly evaluation of Performance (SDBIP and capital) and Section 57's		Quarterly SDBIP Report and Portfolio of Evidence	Municipal Manager/PMS Manager	11-Oct	15-Oct				
	Quarterly performance report to Mayor/EXCO		Quarterly performance report to Mayor/EXCO	Municipal Manager/PMS Manager	16-Oct	31-Oct				

Q U A R T E R  2	OCTOBER		Quarterly performance report to internal audit for onward submission to Audit Committee	Quarterly performance report to Internal Audit	PMS Manager/Internal Audit	16-Oct	31-Oct	
		Appointment of Audit Committee	Annual appointment of Audit committee (MPPR Reg.14)	Appointment of Audit Committee	Municipal manager/internal Audit	1-Oct	31-Oct	
		Process Plan	Sect 57 Managers' quarterly assessments (for first quarter of 12/13)					
			Departments to submit Q1 performance reports with Portfolio of Evidence		All SED's		10-Oct	
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO/PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager /PMS Manager			
			Submission of Q1 Performance Report to Internal Audit		Municipal Manager/ COO / PMS Manager			
			Audit Committee Meeting to consider Q1 Performance Report		PMS Manager / Internal Audit			
			Draft PMS Templates for 2013/14 based on review of IDP Strategies		PMS Manager			
	NOVEMBER	Monthly Reporting (MSA S40)	Monthly October report on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's	1-Nov	10-Nov	
			Monthly monitoring of performance	Informal monitoring of performance for October	Municipal Manager/PMS	11-Nov	15-Nov	
			Monthly performance report to Mayor/EXCO/Internal Audit	Monthly Performance report	Municipal Manager/PMS	16-Nov	2009/11/31	
		Process Plan	Draft PMS Templates for 2013/14 based on review of IDP Strategies to departments		PMS Manager			
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO/PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager /PMS Manager			
			Final Draft of Annual Report circulated for internal comment		COO/PMS Manager			
		Monthly Reporting (MSA S40)	Monthly November reports on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's	1-Dec	10-Dec	
			Monthly monitoring of performance	Informal monitoring of performance for November	Municipal Manager/PMS	11-Dec	15-Dec	
			Monthly performance report to Mayor/EXCO	Report to Mayor/EXCO	Municipal Manager/PMS	16-Dec	31-Dec	
	DECEMBER	Process Plan	Compile annual report for 11/12 (MFMA Sect 121) for tabling Council in January		COO/PMS Manager			
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO/PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager /PMS Manager			
			Circulate Q2/Mid Year Performance Assessment 2012/13 reporting templates to departments		PMS Manager			
	JANUARY	Mid Year Assessment	Mid Year Performance reports on SDBIP's and Capital Program as at December	Mid Year Performance report	All SED's	1-Jan	10-Jan	
			Mid Year Performance Evaluation	Mid Year Performance report	Municipal Manager/PMS	11-Jan	15-Jan	
			Mid Year Performance Assessment to Mayor	Mid Year Performance Assessment	Municipal manager/CFO/PM	16-Jan	25-Jan	
		Draft SDBIP for next financial Year	Preparation of Draft SDBIP's in line with Draft Budget Submissions for next financial Year	Draft SDBIP's	All SED's	1-Jan	31-Jan	
		Tabling of Annual Report	Tabling of Annual Report to include Annual Performance Report as a component	Annual Report	Public Relations Officer	1-Jan	31-Jan	
		Process Plan	Departments to submit Q2/Mid year performance information by 10 Jan 2013.		All SED's		10-Jan	
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO/PMS Manager			
			Submit Mid year performance report to Internal by 18 January 2013		COO/PMS Manager			
			Audit Committee Meeting to consider Q2/Mid Year Report					
			Submit mid year performance assessment to Mayor 25 <sup>th</sup> January 2012					



Q U A R T E R  3	FEBRUARY	Monthly Reporting (MSA S40)	Mayor tables annual report for 10/11 MFMA Sect 127(2)		Mayor/ Municipal Manager			
			Sect 57 Managers' quarterly assessments (for second quarter of 12/13)		Municipal Manager /PMS Manager			
			Monthly January reports on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's	1-Feb	10-Feb	
			Monthly monitoring of performance	Informal monitoring of performance for January	Municipal Manager/PMS	11-Feb	15-Feb	
			Monthly performance report to Mayo/EXCO	Report to Mayor/EXCO	Municipal Manager/PMS	16-Feb	28-Feb	
		Process Plan	Make public annual report and invite community inputs into report (MFMA Sect 127 & MSA Sect 21a)					
			Submit annual report to AG, Provincial & CoGTA (MFMA Sect 127)		Municipal Manager / PMS Manager			
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO /PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager / PMS Manager			
			Draft PMS 2013/14 for internal consultation and budget input from IDP		PMS Manager			
	MARCH	Monthly Reporting	Monthly February report on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's	1-Mar	10-Mar	
			Monthly monitoring of performance	Informal monitoring of performance for February	Municipal Manager/PMS	11-Mar	15-Mar	
			Monthly performance report to Mayor/EXCO/Internal Audit	Report to Mayor/EXCO	Municipal Manager/PMS	15-Mar	31-Mar	
			Community Consultation of Draft SDBIP's in line with IDP/budget Roadshows	Inclusion of Draft SDBIP's in Budget Brochure	PMS Manager/PPC/PRO	1-Mar	27-Mar	
		Process Plan	Incorporation of comments received	Final SDBIP's	PMS Manager/CFO/All departments	27-Mar	31-Mar	
			Council to consider and adopt an oversight report [Due by 31 March MFMA Sec 129(1)]					
			Set performance objectives for revenue for each budget vote (MFMA Sect.17)					
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO / PMS Manager			
			Quarterly progress report on performance to EXCO					
			Finalise Draft PMS (Including SDBIP's) 2013/14 3/14table to with IDP and Budget		PMS Manager			
			Circulate Q3 performance reporting template to departments		PMS Manager			
Q U A	APRIL	QUARTERLY REPORT	Quarter 3 (Jan - March) Performance Report to Municipal Manager	Completed SDBIP's as at March and Portfolio of Evidence	All SED's	1-Apr	10-Apr	
			Quarterly evaluation of Performance (SDBIP and capital) and Section 57's	Quarterly SDBIP Report and Portfolio of Evidence	Municipal Manager/PMS	11-Apr	15-Apr	
			Quarterly performance report to Mayor/EXCO	Quarterly performance report to Mayor/EXCO	Municipal Manager/PMS	16-Apr	30-Apr	
			Quarterly performance report to internal audit for onward submission to Audit Committee	Quarterly performance report to Internal Audit	PMS Manager/Internal Audit	16-Apr	30-Apr	
		SDBIP FOR NEXT FINANCIAL YEAR	Approval of SDBIP's to be included with Final IDP and Budget, Performance Agreements for section 57's	Final SDBIP's and conclusion of Performance Agreements for section 57's	Municipal Manager/PMS Manager/Mayor	1-Apr	30-Apr	
		Process Plan	Monitoring and Evaluation session through ICC by third Wednesday of the month		COO / PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager / PMS Manager			
			Departments to s					
			S57 Managers' Quarterly Performance Assessments					
		Process Plan	Publicise Annual Report [Due by April MFMA Sec 129(3)]					
			Submit Annual Report to Provincial Legislature/MEC Local Government [Due by April MFMA Sec 132(2)]					

R T E R  4			Quarterly Audit Committee meeting (for third quarter of 12/13) MFMA Sect 166 & MPPR Reg. 14(3)(a)					
	MAY	Monthly Reporting (MSA S40)	Monthly April reports on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All SED's			
			Monthly monitoring of performance	Informal monitoring of performance for April	Municipal Manager/PMS	11-May	15-May	
			Monthly performance report to Mayo/EXCO/Internal Audit	Report to Mayor/EXCO	Municipal Manager/PMS	16-May	31-May	
		SDBIP FOR NEXT FINANCIAL YEAR	Submission of Approved SDBIP's and PA's to Province, Provincial Treasury, on website, Local Paper Advert	Submission of Approved SDBIP's and PA's to Province, Provincial Treasury, on website, Local Paper Advert	PMS Manager	1-May	10-May	
		Process Plan	Community input into organisation KPI's and targets		PMS Manager			
			Departments to revise PMS based on community input if applicable		All SED's			
			Monitoring and Evaluation session through ICC by third Wednesday of the month		COO / PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager / PMS Manager			
			Approval of PMS 2013/14 with IDP and Budget		Mayor/ Municipal Manager / PMS Manager			
	JUNE	Monthly Reporting	Monthly May reports on performance to Municipal Manager's Office (SDBIP's and Capital)	Monthly reports for monitoring purposes	All Departments	1-Jun	10-Jun	
			Monthly monitoring of performance	Informal monitoring of performance for May	Municipal Manager/PMS	11-Jun	15-Jun	
			Monthly performance report to Mayo/EXCO/Internal Audit	Report to Mayor/EXCO	Municipal Manager/PMS	16-Jun	30-Jun	
		Process Plan	Monitoring and Evaluation session through ICC by third Wednesday of the month		COO / PMS Manager			
			Quarterly progress report on performance to EXCO		Municipal Manager / PMS Manager			
			Circulate templates for Q4/Annual Performance Report		PMS Manager			

## NEWCASTLE MUNICIPALITY PERFORMANCE MANAGEMENT GUIDELINES

Step 1	<b>Outline the National Key Performance Areas (KPA's), B2B PILLAR and IDP alignment</b> Outlining Key Performance Areas is the first step in the performance management process. According to the 5-Year Local Government Strategic Agenda, all municipalities are required to cluster their priority issues identified during the IDP development and review processes around the following KPA's: <ul style="list-style-type: none"> <li>o Service delivery;</li> <li>o Local economic development PLUS Cross Cutting</li> <li>o Institutional transformation;</li> <li>o Democracy and governance; and</li> <li>o Financial viability.</li> </ul>	Step 6	<b>Provide baseline information</b> The next step is to determine the baseline indicator for each set KPI. A baseline indicator is the value (or status quo) of the indicator prior to the period over which performance is to be monitored and reviewed.  For all basic services, this MUST be aligned to the Statistics used in the IDP. There will be no baseline for new KPI's – the baseline should state "New KPI – No Baseline" Baseline information can also be the standard or norm for the KPI (legislated, norms, Standard Operating procedures, policy decision of Council)
Step 2	<b>Define IDP PRIORITY that fall under each KPA</b> In its IDP The Newcastle Municipality will cluster the elements within each of the broad KPA's under IDP Priority  <b>An example:</b> Under the Service Delivery KPA there will be several Strategic Focus Areas such as water and sanitation, electricity, etc.		<b>Set annual targets for each KPI over the 5 year period to be reviewed annually</b> In this step annual performance targets must be set for each identified KPI. Performance targets should comply with the SMART principles (Specific, Measurable, Achievable, Realistic and Time related). It is important to guard against setting too many performance targets.  Target dates for the completion of actions should be set in conjunction with those Departments responsible for their achievement. It is important to be realistic in the setting of target. If realistic targets are not set the municipality will create false expectations and also set its employees up for failure.
			<b>Setting of targets</b> 1. Targets can have only 1 unit of measure.  2. Avoid using default percentages of 25%, 50%, 75% and 100 as the targets for the respective 4 quarters – instead show the actual progress up to that point e.g. 30% as at Q1, 55% as at Q2, 70 % as at Q3 and 100% as at Q4. There must be accurate values which can be substantiated as targets. For audit purposes, management must also be able to indicate how the targets were arrived at. By using the 25/50/75 & 100, it appears as if we are using guesswork and the audit committee is not happy with that.  3. When percentage targets are set, a project plan must be maintained by the Unit indicating what each target % comprises of and when reporting actual results, how each result is arrived at. This plan must be uploaded to the Performance Monitoring system as evidence and provided to PME when requested. Example: If the target for quarter 1 is 25%, the project plan could be as follows:  a) Completion of draft project plan: 10%  b) Approval of project plan: 5%  c) Obtain funding: 10% If the first 2 steps are completed in Q1, the result reported will be 15%. 4. Targets should be set to promote improvement i.e. as far as possible, the targets should be higher than the previous year (or lower in the case of reducing targets). If lower targets are set (or higher for reducing targets), justification must be provided when requested. 5. Where statutory requirements need to be adhered to, the target, unit of measure and other details have to be the same as that indicated in the statutory requirements e.g. the Performance Management regulations. If for example the legislation states that all building plans must be finalised within 14 days, the target cannot be 90%. It must be 100% as the legislation says ALL. Any deviations from this target can then be explained. 6. Targets and results are cumulative within the year. In addition, if a KPI target, programme, project or sub project is to be fully achieved in 1 quarter, the targets for quarters prior to achievement will be 0 and after will be 100. Example: If a target of 100 for a project is set for quarter 2 and no work was scheduled for quarter 1, the target for Q1 will be 0, quarter 2 will be 100 and quarter 3 & 4 will also be 100. The annual target must equal to the cumulative sum of the quarterly targets.  If targets are static, this must be stated in the KPI/ project name  7. Management must provide targets for all quarters when submitting the draft scorecard and SDBIP for the year. 8. Targets can be annual i.e. only report formally in Q4. However, if this is the case, the audit committee want to see progress reports for these KPI's each quarter so that potential problems can be detected. However, quarterly targets are preferable. 9. Targets in the SDBIP should be aligned to the targets in the Scorecard for related projects. 10. If there is a direct link between the KPI and SDBIP project/s, the unit of measure must be the same. 11. Targets at year end don't have to be 100% - they should reflect the planned status at the end of the financial year. If the work will be carried out over a few years, the Q4 target in year 1 will be whatever is intended for completion in that year. In year 2, the target will be an accumulation of work to be completed in that year, plus the previous year and so on. 12. Targets must not be set to measure a % of a % eg. if the annual target is 90% implementation of a project plan, the Q4 target must be 90%. It CANNOT be e.g. 30%, meaning 30% of 90%. This complicates the measurement and is not SMART. 13. Targets and results are cumulative within the year. In addition, if a KPI target, programme, project or sub project is to be fully achieved in 1 quarter, the targets for quarters prior to achievement will be 0 and after will be 100. Example: If a target of 100 for a project is set for quarter 2 and no work was scheduled for quarter 1, the target for Q1 will be 0, quarter 2 will be 100 and quarter 3 & 4 will also be 100. The annual target must equal to the cumulative sum of the quarterly targets. 14. Any formula used to calculate a target must be available and specified on evidence to be submitted
Step 3	<b>Formulate appropriate development Goals/ objectives and high level strategies for each IDP PRIORITY</b> As a third step the municipality will design high level objectives and strategies per IDP PRIORITY. An objective is a measurable statement of intent, measurable either quantitatively or qualitatively. It's a series of elements of the vision or mission broken down into manageable quantities.  There is no hard-and-fast rule about how many objectives and strategies to set, but it is important to make it manageable and realistic and it is therefore advisable to limit the number. Objectives are SMART steps that can be taken to meet the Vision and Mission eg:- <i>"To create a safe and healthy environment for all our citizens by 2018"</i> *Emphasis is " WHAT WILL BE ACHIEVED by when "  Strategies define the steps to be taken to achieve is objectives and is linked directly to the functions of the municipality. Eg. <i>"To increase the percentage of households with access to a basic level of solid waste removal"</i> Emphasis is "HOW WILL THE OBJECTIVE BE ACHIEVED"	Step 7	
	<b>Develop suitable Key Performance Indicators (KPIs)</b> As a fourth step it is necessary to determine KPIs, which define what needs to be measured in order to gauge progress towards achieving the development objectives discussed in the previous step. KPIs must be measurable, relevant, simple and precise. They simply define how performance will be measured along a scale or dimension ( <b>example:</b> "number of houses to be built").  KPIs can also be used to: <ul style="list-style-type: none"> <li>· Communicate the achievements and results of the municipality.</li> <li>· Determine whether a municipality is delivering on its developmental mandate.</li> </ul> Indicate whether the organisational structure of a municipality is aligned to deliver on its development objectives.  Promote accountability by the council to its electorate.  <b>KPI's should be SMART (Specific, Measurable, Achievable, Realistic, Time related)</b>		

Step 4	<p>1. Be simple and easily understood by any reader.</p> <p>2. Be strategic and indicate at a high level what needs to be achieved. Stick</p> <p>3. As far as possible include a verb (action word) that tells the reader what will be done e.g. Implement, monitor, ma</p> <p>4. As far as possible, be the same each year so that results are comparable from year to year.</p> <p>5. Be selected such that information used to report actual results is available. There should be no guess work when reporting results.</p> <p>6. As far as possible, be outcome indicators.</p> <p>7. Be accompanied by a KPI definition document for each KPI.</p> <p>8. Be linked to one or more projects on the SDBIP, either directly or indirectly.</p> <p>9. Be a function that is within your control.</p> <p>10. Reflect the projects on which the unit budget will be spent. The SDBIP is a budget implementation plan and thus all projects related to the substantial use of the capital budget must be included on the SBDIP. As the SDBIP must be linked to the scorecard, a corresponding KPI must be created to ensure that this link exists. In addition, KPI's should be based on the key functions of the Unit – KPI owners and plan owners should ask the question "What is the main function/ objective of the Unit". The answer to this question will direct the Unit in developing their KPI's.</p> <p>11. Use the KPI Definition template supplied - this will be required for Audit purposes</p> <p><b>KPI's should not:</b></p> <p>1. Cover more than 1 focus area in the same KPI – make these 2 separate KPI's.</p> <p>2. Be ambiguous – the wording should clearly indicate what needs to be achieved.</p> <p>3. Be related to external factors to the municipality ( confine KPI to competency and resources of the municipality)</p> <p>4. Include operational issues – these should be monitored within the Unit using an operational plan</p> <p>5. Be selected if the results cannot accurately be measured or where determining the results involves using guess wo</p>	Step 8	<p><b>Indicate quarterly targets to be met arising out of the each of the set annual targets based on the budget for the year under review which will cascade into the SDBIP</b></p> <p>This step is about unpacking each of the annual targets and dividing them into quarterly targets. Provision must be made in the organizational scorecards for targets to be met in respect of the first, second, third or fourth quarter, which must be aligned to the cash flow projections planned in terms of the budget. It is important the in this instance, the output targets are aligned to the input targets of the budget.</p> <p>Please use the same guidelines in STEP 7 when unpacking quarterly targets.</p> <p>Quarterly targets must reconcile to Annual target if the unit of measure is "Number" . A cumulative target must be specified as such in the Comments column provided.</p> <p>For KPI's related to the Implementation of a Plan , the plan must inform the targets. This must be available for the PME unit and auditing.</p>
			<p><b>Allocate responsibility to departments for execution of actions</b></p> <p>It is also necessary to decide who takes responsibility for what actions. In the case of the organisational scorecard responsibility would be allocated to a Department. In regard to departmental and other lower level scorecards a name/designation must be placed alongside each action described above. This is also a way of cascading the responsibility from the strategic level down to the operational level and from the organisational goals right down to individual employee performance. In this way individual employees can also see exactly what their roles are in achieving the strategic objectives.</p>
			<p><b>Provide frequency of reporting on progress</b></p> <p>In this column the frequency of reporting must be inserted which could be :</p> <p>ü Quarterly</p> <p>ü Bi-Annually or</p> <p>ü Annually</p> <p>Whilst KPI's may be designed in such a way so as to action strategies monthly or more frequently, for the purpose of performance reporting, this will be consolidated for atleast annual reporting, and/or at most quarterly reporting.</p>
Step 5	<p><b>Indicate the types of Key Performance Indicators AND unit of Measure</b></p> <p><b>Input Indicators:</b> These indicators are typically cost related. As the name suggests, they literally measure what inputs have been made towards achieving the objective and they are most relevant to the day-to day operations of a municipality. Examples of input indicators include costs, equipment, human resources, time, etc.</p> <p><b>Process indicators:</b> These indicators describe how well municipalities use their resources in producing services. They cover the activities and operations that convert inputs into outputs. They are essentially internal types of indicators.</p> <p><b>Output indicators :</b> These indicators refer to "products" produced by processing inputs (i.e. the end point of an activity), for example the number of houses built or the number of electricity connections made. Output indicators should only be used for those functions for which the municipality is directly responsible.</p> <p><b>Outcome indicators :</b> These indicators measure the extent to which strategic goals or outcomes are being met. Outcomes are usually based on the results of different variables acting together (for example increased economic activity as a result of improved water supply). They measure the effect that the goals and objectives are having on the community and they are important diagnostic tools. Based on many variables, they tend to lag behind output indicators because they can only be measured after the outputs have been produced. They are also more difficult to measure and are usually influenced by factors external to the municipality's control, so it cannot necessarily be said that a municipality is solely responsible for performance in this regard.</p> <p><b>Unit of measure : This is a standard for measurement and can be expressed in value form usually as a "Number", "Percentage", ratio etc.</b></p>	Step 10	<p><b>Specify the source of evidence to be used for verification and auditing purposes</b></p> <p>This is necessary to ensure that the actual reported on, and/or the reasons to be specified should a target not be achieved is evidenced. This will allow for credible reporting through the evaluation and auditing processes.</p> <p>This step must allow the relevant structures that is mandated to play an oversight or executive role or to manage that particular performance area and the structure that will receive the reports on that KPA and SFA.</p> <p>All Supporting Evidence must be available to substantiate all KPI targets set, for the Purpose of the Planning template, the PRIMARY source of evidence must be specified.</p> <p>For any KPI relating to meetings, the source of evidence MUST be minutes and attendance register. Minutes must be structured such that it addresses the intention of the KPI directly</p> <p>In respect of evidence to support calculations for targets and actual reported, the formula MUST be specified on the evidence and tie back to the calculation on the evidence. All supporting information leading to the calculation must be specified as this must be submitted to PME and auditors</p>



## **MONITORING AND REPORTING FRAMEWORK OF MUNICIPAL ENTITIES BY THE NEWCASTLE MUNICIPALITY**

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## Definitions

„AG“ means the Auditor General as defined in the Constitution and the Municipal Finance Management Act;

„company“ means a municipal entity (including the trust) of the Newcastle Municipality;

„Municipality“ means the Newcastle Municipality Metropolitan Municipality;

„ ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY“ means the Accounting Officer of the entity as defined in terms of section 93 of the Municipal Finance Management Act;

„Companies Act“ means Act No. 61 of 1973;

„Guidelines“ means the National Treasury Annual Reporting Guidelines, Municipal Finance Management Act, Circular 11 of 14 January 2005;

„IDP“ means the Integrated Development Plan of the Newcastle Municipality developed in terms of chapter 5 of the Municipal Systems Act;

„King Code“ means the King Code on Corporate Governance, 2002 and as amended from time to time;

„MFMA“ means the Local Government: Municipal Finance Management Act, 56 of 2003;

„MSA“ means the Local Government: Municipal Systems Act (as amended, 32 of 2000; and

## Purpose and Overview of the Reporting

### General

This document has been prepared as a guide to municipal entities in keeping with good governance practises and relevant legislation. A further objective of the guideline is to consolidate reporting requirements (both financial and non-financial) by incorporating a range of information required by various stakeholders thereby reducing duplication and improving communication. The major channel of communication with the shareholder and broad stakeholder community is envisaged to take place through the annual reports.

### Overview

The Local Government: Municipal Finance Management Act (MFMA), section 121(1), provides that every municipal entity must prepare an annual report for each financial year for which the purpose is:

- a) to provide a record of the activities of the entity during the financial year to which the report relates;
- b) to provide a report on performance against the budget of the entity for that financial year; and
- c) to promote accountability to the local community for the decisions made throughout the year by the entity.

The MFMA further provides that the annual report of the ME must include:

- a) the annual financial statements as audited by the Auditor-General;
- b) the Auditor-General's audit report;
- c) an assessment by the entity's accounting officer of the entity's performance against measurable performance objectives set in terms of the service delivery agreement;
- d) particulars of any corrective action taken or to be taken in response to issues raised in the audit report;
- e) any information as determined by the entity or parent municipality;
- f) any recommendations of the audit committee of the entity or the parent municipality; and
- g) any other information as prescribed.



In light of the above provisions the National Treasury developed an Annual Report Guideline (Attached hereto marked “A”) the purpose of which is to provide guidance on the development of annual reports.

Section 284 and 286 of the Companies Act also places an obligation on the directors of the company to prepare annual financial statements for every financial year as well as to include a directors’ report which is required to be audited. Section 302 of the Companies Act provides that a copy of the annual financial statements are to be sent to the members of the company and to all other people entitled to receive them.

Sections 87(11) of the MFMA provides for the compilation and submission of monthly statements.

Section 88 of the MFMA requires a mid-year budget and performance assessment by the entities.

This framework is primarily based on the legislative provisions of the MFMA, the National Treasury guidelines and the principles enunciated in the various codes on good governance, amongst others, the King Code. The further reporting requirements are taken from the King Code, relevant research conducted on reporting by companies to shareholders generally and the best practices as well as other legislative imperatives. The frequent reporting requirements will assist Newcastle Municipality in its legislative responsibility to monitor performance in an open and transparent manner and call the municipal entities to account.

In summary, the framework seeks to provide the entities with a guide for reporting, which guide sets minimum reporting standards, seeks to ensure compliance with relevant legislation; provides uniformity across the entities in the nature of the information provided in the monthly and annual reports and to allow ease of access of information by all stakeholders such as the Newcastle Municipality as parent municipality, National and Provisional Treasury, the Auditor-General and the local community.

#### Applicability of reporting framework

This reporting framework applies to the municipal entities of the Newcastle Municipality

## Monthly Reports

In terms of section 87(11) of the MFMA, the ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY is required to submit to Newcastle Municipality Municipal Manager a statement on the state of the companies budget reflecting the following particulars for that month and for the financial year up to the end of that month:

- (a) Actual revenue per revenue source;
- (b) Actual borrowings
- (c) Actual expenditure
- (d) Actual capital expenditure
- (e) The amount of any allocations received;
- (f) Actual expenditure on those allocations, excluding expenditure on allocations, exempted by the annual Division of Revenue Act from compliance with this paragraph; and
- (g) When necessary, an explanation of –
  - (i) any material variances from the company's projected revenue by source, and from the company's expenditure projections;
  - (ii) any material variances from the service delivery agreements and business plans; and
  - (iii) Any remedial or corrective steps taken to or to be taken to ensure that the projected revenue and expenditure remain within the companies approved budget.
- (h) The statement must include a projection of revenue and expenditure for the rest of the financial year, and any revisions from initial projections.
- (i) The amounts reflected in the statement must in each case be compared with the corresponding amounts budgeted for in the companies approved budget.
- (j) The statement must be submitted in a signed hard copy by the accounting officer as well as electronically.

This legislative requirement will be fulfilled by the municipal entity providing such monthly reports to the NEWCASTLE MUNICIPALITY, in a format prescribed by the National Treasury from time to time which format shall be made available to the companies.

## Mid-Year Budget and Performance Assessment

In terms of section 88 of the MFMA, the ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY must by 20<sup>th</sup> January of each year –

- a) Assess the performance of the entity during the first half of the financial year, taking into account –
  - i. The monthly statements referred to in section 87 for the first half of the financial year and the targets set in the service delivery business plan or other agreement with the entity's parent municipality ; and
  - ii. The entity's annual report for the past year, and progress made on resolving problems identified in the Annual report; and
- b) Submit a report on such assessment to -
  - i. The board of directors of the entity; and
  - ii. The parent municipality of the entity.

The entity is required to report on the planned targets against predetermined objectives and key performance indicators aligned to the Service delivery plan and IDP of the Newcastle Municipality. The planning and reporting must be consistent with the Newcastle Municipality's Performance Management Framework (as amended from time to time).

## The Annual Report

This framework facilitates the monitoring role of the Newcastle Municipality and thereby the ability to detect performance problems in the entities at an early stage. It is proposed that the format outlined below be used by the entities in drafting annual reports. The reporting format is comprised of five key chapters as follows:

Chapter 1 – Introduction and Overview Chapter 2

– Performance Highlights

Chapter 3 – Human Resources and other organisational management Chapter

4 – Audited Statements and related financial information Chapter 5 –

Functional Service Delivery Reporting

The information on integrated sustainability reporting which is being called for in this framework is not a requirement of the National Treasury Guidelines and are thus to be considered as additional reporting requirements. These additional reporting requirements refer to the non-financial aspects of performance that may influence the ability of the entity to survive and prosper and so ensure value creation. The additional reporting requirements are also meant to act as a barometer to measure the companies' alignment with the IDP and the

Newcastle Municipality's strategic objectives as communicated from time to time.

As regards the implementation plan, process for developing the reports and the timeframes which are required to be complied with in terms of the MFMA in respect of these reports reference should be had to the section below headed, "Implementation, process and timeframes".

## Chapter 1 – Introduction & Overview

### **Foreword by the Chairperson of the Board**

The Chairperson of the Board is required to provide a summary of the company's performance generally during the period to which the report relates. The report must state the entities priorities for service delivery with established performance targets and measures taken or to be taken to improve performance. The foreword by the Chairperson is supplemented with detailed information provided for by the Board in the notes to the financial statements below.

### **Role of the Company**

The report must provide a short description of the entity as a whole, its purpose and a summary of the entity's geographic and demographic profile and changes both internal and external over the financial year.

### **Executive Summary**

The executive summary is a statement of the overall goals and priorities, and mission and vision for the entity and how it will impact on the community, with a short statement on the company's financial health. This information may be provided under the following headings:

#### **Report from the ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY**

The company's accounting officer ( ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY) must provide an assessment of the company's performance against any measurable performance objectives set in terms of the service delivery agreement or any other agreements as well as targets provided for in the approved business plan and directions of the Board of Directors.

### **Alignment with IDP**

In terms of the Municipal Systems Act every municipality is required to undertake development orientated planning to ensure that it strives to achieve the local government objectives and developmental duties as contained in and required by the Constitution, and together with other organs of state, contribute to the progressive realisation of the fundamental rights contained therein. The Integrated Development Plan („IDP“) is the strategic plan of Newcastle Municipality seeking to achieve the above and link, integrate and coordinate plans taking into account proposals for the development of the municipality. The IDP aligns the resources of the municipality with the implementation of the plan, it forms the policy framework and general basis on which the annual budgets are based, and it is compatible with provincial and national development plans. The companies are required to state the extent to which their plans, projects and activities generally are aligned with Newcastle Municipality's IDP (attached hereto marked 'B'), particularly Newcastle Municipality's vision for the long term development.

#### The company's relationship with Newcastle Municipality and other companies

The company must comment on its relationship with Newcastle Municipality, the departments within the Municipality as well as other Municipality companies, being municipal entities and strategic partnerships. This reporting requirement seeks to measure and monitor the extent of integration of strategic projects and their respective progress across Newcastle Municipality.

#### Integrated Sustainability Report

Sustainability refers to the non-financial aspects of performance that may influence the ability of the company to survive and prosper and so ensure value creation. In line with King II, non-financial reporting is required, which will include safety, health, environmental and ethical practices as well as transformation issues pertaining to amongst others, Broad-Based Black Economic Empowerment.<sup>1</sup>

The entity must report on the nature and extent of its social and economic transformation, ethical, occupational health policies and practises. Below are examples of what needs to be reported on.

#### Social and transformation policies and practices.

The social and transformation report will include a statement on the following legislation and

compliance therewith or any projects undertaken in terms thereof:

- The Employment Equity Act which obliges companies to develop an Employment Equity Plan and to report on the progress in achievement of the objectives set out in the plan;
- The Skills Development Act and the Skills Development Levies Act which govern the provision of resources for skills development and training by companies;
- The Promotion of Access to Information Act which provides for access to information held by companies to encourage better transparency;
- The Broad-Based Black Economic Empowerment Act and relevant codes of empowerment.

and

- How the company is meeting the above legal requirements;
- Any violations of the above laws could also be included;
- The nature of policies and practices in place to promote equal opportunities for previously disadvantaged individuals, in terms of realising their full potential and reaching executive and managing positions in the entity;
- The extent of initiatives to support broad based black economic empowerment, particularly in respect of procurement practises and investment strategies;
- The company's policy on investment of corporate funds i.e. pension funds should include a Statement of Investment Principles and Policies whether or not they take into account socially responsible investment criteria when making investment decisions.

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<sup>1</sup> Corporate Business Administration, Corporate Reporting

## Ethical management policies and practices.

This reporting requirement is intended to elicit a demonstration by the company of its commitment to organisational integrity or code of ethics. The entity will use the following criteria in this report:

- The creation of systems and procedures to introduce, monitor and enforce the ethical code of the entity;
- The assignment of individuals to oversee compliance to the ethical code;
- Assessing the integrity of new appointees in the selection and promotion procedures;
- Exercising due care in delegating discretionary authority;
- Communicating with, and training of all employees regarding entity values, standards and compliance procedures;
- Providing, monitoring and auditing safe systems for reporting of unethical or risky behaviour;
- Enforcing appropriate discipline with consistency;
- Responding to offences and preventing re-occurrence.

The above report must include a statement from the Board as to the extent of compliance with the ethical standards and above mentioned criteria by the company as a whole<sup>2</sup>.

## Occupational safety and health policies and practices; and environmental management policies and practice (SHE).

With regard to safety issues, the company should measure their effort to reduce workplace accidents, fatalities and safety related incidents against an ongoing improvement objective and past performance. This occupational health and safety report must include a statement on compliance with the Occupational Health and Safety Act.

The environmental issues to be reported on will include the nature of their environmental policies, ethos and values; open and transparent disclosure on environmental issues relating to the company. The following should be reported on:

- whether the company complies with the applicable law regarding SHE policies and practises;
- how legal compliance is tested and SHE performance is monitored;
- any SHE issues which can materially impact on the financial statements of the

company;

- what benchmarking criteria against industry norms were used;
- whether the business is sustainable taking into consideration SHE aspects;
- what efforts are made regarding continual improvement in SHE efforts;

## Chapter 2 –Performance Highlights

Provide a brief narrative of all the services provided by the company and the performance highlights for the period to which the report relates. Comment on the progress in eliminating backlogs in service delivery against strategic interventions and projects.

### **Backlogs in service delivery**

The guidelines also provide for reporting on Backlogs in Service Delivery which relates to core services which may only be applied to the companies providing such service. Backlog reporting is intended to reflect *the number of households that do not have access to minimum services (level and standard) as specified by the relevant sector department or within national policy.*



### **Level and Standard of service**

The entity is required to report on the planned targets against predetermined objectives and key performance indicators aligned to the Service delivery plan and IDP of the Newcastle Municipality. The planning and reporting must be consistent with the Newcastle Municipality's Performance Management Framework (as amended from time to time).

### **Chapter 3 – Human Resources and Other Organisational Management Issues**

The company must comment on its organisational structure, how that structure relates to each function, various initiatives as they relate to employment issues and their relative success. This may include programmes designed to improve employment equity and skills development, and highlight significant human resource management policies and practices that may build capable personnel. This should also cover performance, governance, transformation and institutional development.

The following information should be provided on staffing:

- number of staff per function expressed as total positions and current vacancies.  
Express as full time staff equivalents.
- skills or levels of education attained by staff, and the success of training and development initiatives, internship programmes, skills levy claims and application of refunds received.
- the conditions or opportunities for previously disadvantaged individuals to progress through the company.
- mechanisms to reinforce the value of diversity in the workplace and the company's related progress and performance.
- the age of employees.
- trends on total personnel expenditure over the last 3 to 5 years, compared to total budget, this will include the financial investment in employee training and development initiatives;
- the number and name of pension and medical aid funds including an assessment of future risks or liabilities;
- arrear (outstanding monies) owed to the company or Newcastle Municipality by staff and non- executive directors;
- succession planning;
- performance management;
- any policies on bonus and/or reward payments.

This information must be reconciled with the staff salary disclosures required in the Annual Financial Statements by section 124 of the Municipal Finance Management Act and the section 89 reports on staff salaries, allowances and benefits to be submitted to council. If the salary disclosures were omitted from the financial statements then this information must be incorporated in the annual report. The table (Table 1) below provides a format for disclosure:

<i>Description</i>	<i>Chairperson of the Board</i>	<i>Non-Executive Directors (List individually)</i>	<i>Chief Executive Officer</i>	<i>Chief Financial Officer</i>	<i>Other senior Manager (List individually)</i>	<i>Total</i>
Non-executive remuneration						
Annual fee (Retainer)						
Fees per meeting						
Fees per committee meeting						
Salaries and Wages R '000						
Normal						
Overtime						
Contributions R'000						
Pensions						
Medical Aid						
Other						

<i>Description</i>	<i>Chairperson of the Board</i>	<i>Non-Executive Directors (List individually)</i>	<i>Chief Executive Officer</i>	<i>Chief Financial Officer</i>	<i>Other senior Manager (List individually)</i>	<i>Total</i>
Allowances R'000						
Travel and Motor car						
Accommodation						
Subsistence						
Housing Benefits and Allowances R'000						
Loans and advances R'000						
Other Benefits and allowances R'000 (Specify)						
Arrears owed to Newcastle Municipality or the Entity <sup>3</sup>						

<sup>3</sup> Being municipal accounts such as rates, water, electricity etc. due to the Newcastle Municipality.

## Chapter 4 – Audited Financial Statements and related financial information

For each financial year the company must prepare annual financial statements which fairly present the state of affairs of the company, its performance against its budget, its management of revenue, expenditure, assets and liabilities, its financial results, and its financial position as at the end of the financial year.

The notes to financial statements must disclose the information required in terms of 123 to 125 of the MFMA. The sections are outlined hereunder.

### Notes to the Financial Statements

Information on the following must be disclosed:

- (a) any allocations received by the company from any municipality or other organ of state
- (b) any allocations made by the company to a municipality or organ of state; and
- (c) any other information as may be prescribed.

The notes to the annual financial statements and the quarterly progress statements must include particulars of salaries, allowances, and benefits of members of the board; and the chief executive officer of the company, every senior Municipal Manager and such categories of other officials as may be prescribed. This information may be provided in the format outlined in Table 1 above (information on staffing).

Other compulsory disclosures to be included in the notes to the financial statements include:

- (a) in respect of each bank account held by the company during the period to which the report relates; the name of the bank, the type of account and opening and closing balances of the account;
- (b) a summary of all investments of the company as at the end of the financial period;
- (c) particulars of all contingent liabilities of the entity as at the end of the period to which the report relates;
- (d) particulars of:
  - (i) all material losses and material irregular or fruitless and wasteful expenditure<sup>5</sup>,

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<sup>5</sup> „Fruitless and wasteful expenditure“ means expenditure that was made in vain and would have been avoided had reasonable care been exercised.

- (ii) any criminal or disciplinary steps taken as a result of such losses or such irregular or fruitless and wasteful expenditure; and
- (iii) any material losses recovered or written off; and
- (e) particulars of non-compliance with the MFMA.

Also to be included in the notes to the financial statements for those entities which are private companies is the company secretaries certificate on the annual return.

The following information is also required for notes to the financial statements:

### **The Report of the Directors / Trustees**

The report of the directors / trustees must be completed by the board and should outline the overall goals and priorities, and mission and vision for the entity. This should state how this will impact on the community. As stated this report contains more detailed information than the information provided for by the chairperson in the Executive summary above.

This report must include a statement of the entity's relative financial health as well as record the facts and assumptions underlying the entities annual "going concern" assessment and to record the steps it will take to the extent it concludes the entity will not continue as a "going concern".

The board must make a statement as regards the entities compliance with all legislation affecting the company, regulations and codes of business practice. A statement must be included concerning whether it has adopted a definition of materiality, reserving specific powers to itself.

The following in Table 2 can be adapted to record the required information:

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„Irregular expenditure“ is defined as expenditure incurred in contravention of the MFMA and which has not been condoned on terms of section 170; in contravention of the MSA, in contravention of the supply chain management policy, and any of the municipality's by-laws giving effect to the supply chain policy.

<i>Board member</i>	<i>Municipality: Executive/Non- Executive</i>	<i>Board Committee Membership</i>	<i>Race &amp; Gender</i>

The total number of board meetings held during the year should also be disclosed, an example as follows. Table 3

<i>Board Meetings Total</i>	<i>Remuneration Committee Meetings</i>	<i>Audit Committee Meetings</i>	<i>Risk Committee Meetings</i>	<i>Human Resource Committee Meetings</i>	<i>Other Committee Meetings</i>

The entity should have a statement on remuneration philosophy for executive management. This statement needs to set out the formal and transparent procedures adopted by the company for the development of a policy on executive remuneration which is to take into account Newcastle Municipality's policy on the upper limits of salaries.

The following disclosures by the board are also required:

- the Board is accountable for the process of risk management and the system of internal control;
- the process of risk management and the system of internal control are regularly reviewed for effectiveness;
- the Board is accountable for establishing appropriate risk and control policies;
- the Board is accountable for communicating appropriate risk and control policies through the entity;
- a process for identifying / evaluating / managing significant risks was in place throughout the year under review;
- an on-going process for identifying, evaluating and managing significant risks:
- exists;
- was in place for the period under review;
- was in place up to the date of approval of the annual report and financial statements;

- an adequate system of internal control exists to mitigate those significant risks identified to an acceptable level;
- the system of internal control is designed to manage, rather than eliminate, risk failure or opportunity risk;
- the system of internal control can only provide reasonable, but not absolute assurance;
- a documented and tested business continuity plan exists to ensure continuity of business critical activities;
- any additional information to assist understanding of risk management processes and system of internal control; and statements of the facts and a suitable explanation where the Board cannot make any of the above disclosures;
- Whether the Board has a Board Charter setting out its responsibilities.

### **The Financial Statements**

The format and requirements for the annual financial statements are contained in the circulars, regulations or notices of the National Treasury and are to be used in the drafting of financial statements of the municipal entities. These circulars, regulations or notices may be amended or modified from time to time in which case the NEWCASTLE MUNICIPALITY will advise the companies accordingly.

### **Chapter 5 – Functional Service Delivery Report**

This chapter provides information on each functional area provided by the entity which includes an overview, description and detailed analysis of each function and follows a spread sheet format (example in the National Treasury Guidelines).

The format can be enhanced with additional information where functions provided by the company are not listed in the spread sheet. Details must also be provided on the extent of free basic services including the number of households to which the service is being provided and the extent of service delivery.

## 1. Implementation, process and timeframes

A broad timeline has been developed in terms of the MFMA for the above reporting requirements. The exact due dates for submissions by the entities to Newcastle Municipality will be forwarded on an annual basis in the tabular form below:

Relevant Section	Requirement	By whom	Report to	Due date
87(11)	A statement on the entities budget reflecting the particulars listed in 3 above in Chapter 1 [monthly report]	ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of the entity	Newcastle Municipality	7 working days after the end of <u>each month</u>
87(11)	The NEWCASTLE MUNICIPALITY analyses the monthly report and reports same to the Mayor	NEWCASTLE MUNICIPALITY	Newcastle Municipality, The Mayor	Monthly
126(2)	Entity to prepare annual financial statements and submit	ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of entity	Newcastle Municipality Auditor General to audit	By 31 August
126(3)	Financial Statements to be audited and audit report drafted	Auditor General	Accounting officer of entity	Before end November <sup>6</sup>
127(1)	Entity's annual report to be submitted	ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of entity	Newcastle Municipality (CM)	Before end December <sup>7</sup>
128	Compliance on section 121 and 126 to be monitored, establish the reasons for any non-compliance and report non-compliance to	Municipality Municipal Manager (represented by the NEWCASTLE MUNICIPALITY)	Council, Provincial Treasury and Auditor General	Before council meeting in January
127(2)	Annual report of entity to be tabled in council	The mayor	Municipality Of Cape Town *Council	By 31 January <sup>8</sup>

<sup>6</sup> If AG unable to meet timeline, reasons to be submitted to the entity and provincial legislature and parliament

<sup>7</sup> If the entity fails to do so, then AG can submit AFS and audit report directly to Newcastle Municipality, NT, PT, MEC (Section 127(4)(b))

<sup>8</sup> If Mayor unable to meet deadline, report to council on explanation and submit annual report or parts thereof as soon as possible



Relevant Section	Requirement	By whom	Report to	Due date
127(5)(a)	The annual report must be made public (in terms of section 21 of the MSA) inviting the local community to submit representations in connection with the annual report	Municipality Municipal Manager (represented by the NEWCASTLE MUNICIPALITY)	Public	Immediately after council meeting
(b)	Annual report to be submitted	Municipality Municipal Manager (represented by the NEWCASTLE MUNICIPALITY)	The Auditor General, provincial treasury and the provincial department responsible for local government	Immediately after council meeting
129(1)	Annual report to be considered and oversight report containing councils comments to be adopted <sup>9</sup> taking public representations to account	Council (assisted by NEWCASTLE MUNICIPALITY)	Council meeting open to the public <sup>10</sup>	By 31 March
129(3)	Oversight report to be made public	ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of entity	Public	7 days after adoption of oversight report / by 07 April
132(2)	Oversight report and annual report adopted by council to be submitted	Municipal Manager (represented by NEWCASTLE	Provincial legislature	7 days after adoption of oversight report
129(2)	Copies of minutes of council meeting to be submitted	ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of entity	The Auditor General, provincial treasury and the provincial department responsible for local government	Once minutes are made available

<sup>9</sup> The Oversight report must include a statement from council on whether it approves, rejects or wishes it be referred back for further revision. The Oversight Report to be drafted by Newcastle Municipality must be in accordance with the structure and requirements of National Treasury circular 32 as amended from time to time. <sup>10</sup> The ACCOUNTING OFFICER OF THE MUNICIPAL ENTITY of the municipal entity is to attend council meeting in order to respond to questions concerning annual report.

Outcome 9	National KPA	Back to Basics Pillar	IDP Priority	Goal/Objectives	Strategies	KPI No. Linked to IDP	Key Performance Indicator	KPI Type (INPUT, OUTPUT, OUTCOME, PROCESS)	Unit of Measure	Baseline	Approved Annual Target 2017/18	Revised Annual Target 2017/18	Annual Target YR2	Quarter 1	Quarter 2	Quarters3	Quarter4	Responsible Department	Frequency of Reporting	Primary Source of Evidence	Annual Target YR3	Annual Target YR4	Annual Target YR5
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide an inclusive, clean, safe, healthy and environmentally friendly workplace that stimulates innovation & productivity, strengthens communication & teamwork, and preserves the Council's assets	To develop policies and realign systems and procedures that ensure good governance and an efficient and effective secretariat and general administration support by 2021	IT1.1.1	Number of studies conducted for organisational development and design	OUTPUT	Percentage	New KPI	4	100%	12	3	3	3	3	Corporate Services: Human Resources	Quarterly	Summary of a report signed off by the head of department, investigation report and final report as submitted to MM /Manco	100%	100%	100%
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Encourage an organisational culture that stimulates professional excellence and personal leadership	To implement systems that will ensure compliance with the Employment Equity Act by ensuring equitable representation at all levels.	IT1.2.1	the number of people from employment equity target groups employed in the three highest levels of management in compliance with the municipality's approved employment equity plan	Output	Number	18	23	23	23	N/a	N/a	N/a	23	Corporate Services: Human Resources	Annually	Employment Equity Report	23	23	23
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Maintain accountable, transparent, best practice HR information structures and systems	To implement the Workplace Skills Plan	IT1.3.1	the percentage of the municipality's budget actually spent on implementing its workplace skills plan	Input	Percentage	NEW CALCULATION	0,412%	0.248%	0.248%	0.062%	0.124%	0.180%	0.248%	Corporate Services: Human Resources	Quarterly	WSP Budget Review Report	100%	100%	100%
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide & innovatively disseminate quality HR advice & information to staff and other relevant stakeholders	Review & publish all HR policies, procedures & process flows	IT1.4.1	Development or review of the following HR policies: Induction policy, Sexual harassment policy, S&T policy and Staff leave rules policy	Output	Number	New	5	Approval of the following policy by council 1. Employment practice policy (permanent review) 2. Sexual harassment (Review) 3. Acting policy (Review) 4. Overtime policy (Review) 5. Staff leave rules policy (Review)	Number of HR policies developed / reviewed 1. Induction policy (review) 2. Sexual harassment (Review) 3. Acting policy (Review) 4. Overtime policy (Review) 5. Staff leave rules policy (Review)	Consultation with all employees	Submission to LIF	Submission to Corp Serv portfolio committee	Approval by Council	Corporate Services: Human Resources	Bi-annually	Council minutes and approved policies	4	4	2
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Maintain accountable, transparent, best practice HR information structures and systems	To promote employee relations (ER) and labour stability	IT1.5.1	Number of LIF meetings held as per organisational rights agreement	Output	Number	New	12	12	12	3	3	3	3	Corporate Services: Human Resources	Quarterly	Attendance register and LIF minutes	12	12	12
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide an inclusive, clean, safe, healthy and environmentally friendly workplace that stimulates innovation & productivity, strengthens communication & teamwork, and preserves the Council's assets	To develop policies and realign systems and procedures that ensure good governance and an efficient and effective secretariat and general administration support by 2021	IT2.1.1	Number of Administration policies or procedures developed or reviewed 1. Parking policy	Output	Number	New	1. Meeting management (developed) 2. records management (review)	1. Meeting management (developed) 2. records management (review)	1. Parking policy (development)	Draft parking policy	Consultations with departments SED	Tabling of the policy to departmental Manco (Corp Serv)	Tabling of the policy to Main Manco	Corporate Services: Administration	Bi-Annually	Approved procedure by SED and Council minutes for policy approval	2	2	2
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Facilitate effective logistics management & related activities to support Council committees, Management Committee & other related meetings, and provide timely protocol	To provide quality administrative services, to support optimal organisational performance	IT2.2.1	%age compliance with Annual Meeting Plan as approved by Council	Output	%age	100%	100%	100%	100%	100%	100%	100%	100%	Corporate Services : Administration	Quarterly	Progress report against approved Annual Plan and Minutes of statutory committee meeting	Implement Annual Plan for Statutory meetings of Council and Council Committees	Implement Annual Plan for Statutory meetings of Council and Council Committees	Implement Annual Plan for Statutory meetings of Council and Council Committees
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide an inclusive, clean, safe, healthy and environmentally friendly workplace that stimulates innovation & productivity, strengthens communication & teamwork, and preserves the Council's assets	To promote zero fatalities and ensure a healthy and safe working environment	IT3.1.1	%age of safety issues as raised by Safety Committees addressed	Output	%age	New KPI	100%	N/A	95%	95%	95%	95%	95%	Corporate Services	Quarterly	Minutes of Safety Committee Meeting and progress report on safety issues resolved submitted to Manco	maintenance of safety committees and meetings in terms of legislation	maintenance of safety committees and meetings in terms of legislation	maintenance of safety committees and meetings in terms of legislation
Outcome 6: Administrative and financial capability.	INSTITUTIONAL TRANSFORMATION AND DEVELOPMENT	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	To comply with health and safety legislation	To promote zero fatalities and ensure a healthy and safe working environment	IT4.1.1	Section 16.2 appointments finalised by Municipal Manager	Output	Appointment letters	New KPI	Section 16.2 appointments finalised by Municipal Manager	Section 16.2 appointments finalised by Municipal Manager	Appointment of each SED as section 16.2	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Appointment of each SED as section 16.3	Appointment of each SED as section 16.5	Appointment of each SED as section 16.7
Outcome 6: Administrative and financial capability.	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide an inclusive, clean, safe, healthy and environmentally friendly workplace that stimulates innovation & productivity, strengthens communication & teamwork, and preserves the Council's assets	Ensure sound records management through accessibility electronic records by authorized stakeholders		Number of functions automated on the EDMS system	Output	Number	New	N/A	N/A	4		2		2	Director : Administration	Bi-Annually	Attendance registers, user acceptance forms and user report generated by the system	1	N/A	N/A
Outcome 6: Administrative and financial capability.	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Effectively provide an inclusive, clean, safe, healthy and environmentally friendly workplace that stimulates innovation & productivity, strengthens communication & teamwork, and preserves the Council's assets	Ensure sound records management through accessibility electronic records by authorized stakeholders		Number of compliance audits conducted by June 2019		Number	New	N/A	N/A	4	1	1	1	1	Director : Administration	Quarterly	Quarterly Records Policy Compliance Report	4	4	4
Outcome 6: Administrative and financial capability.	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Encourage an organisational culture that stimulates professional excellence and personal leadership	To foster a culture of peak performance and improvement across the organisation		Percentage of PMIS phase 1 (Task grade 17-15) implemented	OUTPUT	Percentage	New	N/A	N/A	100%	25%	50%	75%	100%	Corporate Services Human resources	Quarterly	Attendance register, Progress Reports,	1	1	1
Outcome 6: Administrative and financial capability.	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Maintain accountable, transparent, best practice HR information structures and systems	Develop and maintain an HR plan that will improve the municipality's ability to attract the best talent		Approved HR Strategy aligned to organisational strategy by June 2019	OUTPUT	Percentage	New	N/A	N/A	Approved HR Strategy aligned to organisational strategy by June 2019	Initiate HR profiling process with assistance from Sedg	Conduct HR profiling and develop draft HR strategy	Finalise HR profiling	Approval of HR strategy by Council	Corporate Services Human resources	Quarterly	Progress reports	Reviewed HR Plan aligned to organisational strategy by June 2020	Reviewed HR Plan aligned to organisational strategy by June 2021	Reviewed HR Plan aligned to organisational strategy by June 2022
Outcome 6: Administrative and financial capability.	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building capable local government institutions.	Accelerated Municipal Transformation and Organizational Development	Provide effective strategic planning, monitoring and performance improvement systems	Develop robust and SMART monitoring, evaluation and reporting processes and embed practice across all departmental functions		Monitoring and review for departmental performance and risk management				N/A	N/A	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED	Corporate Services Human resources	Quarterly	Reviewed and approved performance reports and reviewed status on risk register, action plans	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED	Monthly Reports reviewed and approved by SED

NEWCASTLE MUNICIPALITY ORGANISATIONAL SCORE-CARD 2017/18 - 2021/22 DRAFT ORGANISATIONAL SCORE-CARD 2018/19: GOOD GOVERNANCE																							
OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	GOAL/OBJECTIVES	STRATEGIES	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED ANNUAL TARGET 2017/18	ANNUAL TARGET YR2 (2018/19)	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	SDBIP REFERENCE NUMBER	ANNUAL TARGET YR3	ANNUAL TARGET YR4	ANNUAL TARGET YRS
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	Good Governance	Good Governance	To ensure good governance through openness, transparency and accountability in the organization.	To develop and implement an optimal communication strategy and service charter by 2021	GG1.1	Monthly Progress reports on execution of resolutions for Manco, Exco, Council and MMAC	Output	11	11	11	11	2	3	3	3	Office of the Municipal Manager (Executive Support)	Quarterly	Minutes of Exco/Council / MMAC	MM001	11	11	11
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To develop a system of delegation that will maximise administrative and operational efficiencies	GG1.2	Annual Review of Delegations Policy by 30 June 2018	Output Indicator	Council Minutes and Approved Delegation Policy	Approved Delegations on 30 June 2014	Annual Review of Delegations Policy by 30 June 2018	Annual review of Delegations Policy	N/A	N/A	N/A	N/A	Office of the Municipal Manager (Executive Support)	Annual	Council Resolution and Approved Delegation Policy	MM002	Annual review of Delegations Policy	Annual review of Delegations Policy	Annual review of Delegations Policy
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To strengthen executive support	GG1.3	Number of District IGR MM's forums meetings held and attended	Output Indicator	Number	New KPI	Approved Intergovernmental Relations Framework and Strategy by 30 June 2018	4	1	1	1	1	Office of the Municipal Manager (Executive Support)	Annual	Attendance registers, minutes and resolutions related to department implemented within specified timeframes	MM003	Annual review of IGR strategy	Annual review of IGR strategy	Annual review of IGR strategy
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote and enhance good governance in the organization	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	GG1.4.1	Annual review of Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by 30 June 2019	Output Indicator	Policy and Strategy	Existing Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy	Annual review of Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by 30 June 2018	Annual review of Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by 30 June 2019	N/A	N/A	N/A	Approval of Risk Management Policy and Strategy, Anti-Fraud & Corruption Policy and Strategy by 30 June 2019	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Annually	Council resolution and Approved Strategy and Policy	MM004	Reviewed Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by June 2020	Reviewed Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by June 2021	Reviewed Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by June 2022
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote and enhance good governance in the organization	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	GG1.5.1	Annual risk assessment report for 2019/20 as approved by Manco by 31 May 2019	Output	Minutes of Manco and Annual Risk Register	Risk Register 2017/18	Annual risk assessment report for 2019/20 as approved by Manco by 31 May 2019	Annual risk assessment report for 2019/20 as approved by Municipal Manager by 31 May 2019	N/A	N/A	N/A	Annual risk assessment report for 2019/20 as approved by Municipal Manager by 31 May 2019	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Annually	Manco Resolution / Attendance registers for risk assessment workshops and Annual Risk assessment report/Risk assessment report, risk registers, and attendance registers for risk assessment workshops	MM011	Risk Register for 2019/20 financial year/ Annual Risk assessment report	Risk Register for 2020/21 financial year/ Annual Risk assessment report	Risk Register for 2021/22 financial year/Annual Risk assessment report
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote and enhance good governance in the organization	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	GG1.6.1	Quarterly risk Management reports on implementation of risk management action plan submitted to Audit Committee	Output Indicator	Audit Committee Minutes and Progress Report on Risk Management	To specify last report submitted to AC	4	4	1	1	1	1	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Audit Committee Resolution and Quarterly risk Management reports	MM012	4	4	4
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote and enhance good governance in the organization	To provide compliance monitoring support towards ensuring that compliance risks are mitigated effectively resulting in the positive audit outcomes	GG1.7.1	Quarterly reports on AG and Internal Audit Action Plan	Output Indicator	Reports	New KPI	Clean Audit strategy approved by Audit Committee by 31 December 2017	4	1	1	1	1	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Annually	Reports/Minutes of Audit Committee	MM013	Reviewed Clean Audit strategy	Reviewed Clean Audit strategy	Reviewed Clean Audit strategy
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote and enhance good governance in the organization	To provide compliance monitoring support towards ensuring that compliance risks are mitigated effectively resulting in the positive audit outcomes	GG1.8.1	Bi-annual Compliance Monitoring report submitted to Audit Committee	Output Indicator	Number of reports	Current Compliance Monitoring reporting reports	4	2	N/A	1	N/A	1	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Quarterly Compliance Monitoring reporting reports	MM014	4	4	4
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To facilitate good governance by providing assurance to council on internal controls, risk management and governance processes.	Providing recommendations and advice to management to improve internal controls, risk management and governance processes.	GG1.1.1	%age of Projects implemented as per Internal Audit Plan	Outcome	Number	100%	100%	100%	100%	100%	100%	100%	OFFICE OF THE MUNICIPAL MANAGER (INTERNAL AUDIT)	Quarterly	Progress report against approved Internal Audit Plan and Internal audit reports	MM015	100%	100%	100%
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To facilitate good governance by providing assurance to council on internal controls, risk management and governance processes.	Providing recommendations and advice to management to improve internal controls, risk management and governance processes.	GG1.2.1	Council Approval of audit committee charter by March 2019	Output	Council resolution approving Audit Committee Charter	Approved Audit Committee Charter by Council in April 2018	Council Approval of audit committee charter by April 2018	Council Approval of audit committee charter by March 2019	N/A	N/A	Council Approval of audit committee charter by March 2019	N/A	OFFICE OF THE MUNICIPAL MANAGER (INTERNAL AUDIT)	Annual	Council resolution approving audit committee charter	MM016	Approved Audit Committee Charter by March 2020	Approved Audit Committee Charter by March 2021	Approved Audit Committee Charter by March 2022
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To provide effective and efficient legal support services	GG1.1.1	%age of contracts drafted and vetted as requested by departments	Output	%age	New KPI	100%	100%	100%	100%	100%	100%	OFFICE OF THE MUNICIPAL MANAGER (LEGAL SERVICES)	Quarterly	Registers of all contracts received with a date received and date finalised , and contracts vetted and drafted	MM017	100%	100%	100%
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To provide effective and efficient legal support services	GG1.2.1	Approved Contract Management Policy by June 2019	Output	Approved Contract Management Policy	New KPI	N/A	Approved Contract Management Policy by June 2018	N/A	N/A	N/A	Approved Contract Management Policy by June 2018	Executive Manager / Legal Services	Annual	Council Resolution	MM018	N/A	N/A	N/A
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To provide effective and efficient legal support services	GG1.3.1	%age of objections addressed within 60days as per ICMA Regulations	Output	Number of days	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days	Office of the Municipal Manager	Quarterly	Objections register with dates of objection received and resolved, Objections and communication to Objector	MM019	100% of objections resolved within 60days	100% of objections resolved within 60days	100% of objections resolved within 60days
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To provide effective and efficient legal support services	GG1.4.1	%age of bylaws published as gazetted by Manco	Output	Published Bylaws	new KPI	100%	100%	100%	100%	100%	100%	Office of the Municipal Manager	Annually	Proof of publication of bylaws	MM020	100%	100%	100%
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To keep the communities and stakeholders informed and involved in the affairs of the Municipality	To ensure the effective functionality of ward committees	GG1.5.1	Approved Ward Committee Operational Plan by June 2018	Output Indicator	Plan	New KPI	Approved of Ward Committee Operational Plan by June 2018						PHMS	Quarterly	Council resolution, Draft Ward Committee Operational Plan, Appointment letter, Approved Ward Committee Operational Plan				
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To keep internal & external communities and stakeholders informed, empowered and involved by 2021	To develop and implement an optimal communication strategy	GG10.1.1	Approved Communication Strategy by June 2018	Output Indicator	Approved Communication strategy	Draft communication strategy	Approved Communication strategy by June 2018	Annual review of Communication strategy					CORPORATE COMMUNICATIONS	Annual	Council resolution and approved Communication Strategy		Annual review of Communication strategy	Annual review of Communication strategy	Annual review of Communication strategy
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To ensure good governance through openness, transparency and accountability in the organization.	To provide an enhanced internal and external communication service.	GG11.1.1	Number of Internal Communications Forum meetings held	Output Indicator	Number	12	12	12					Corporate Services	Quarterly	ICT Minutes and attendance registers		12	12	12
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To ensure that the municipality has and maintains an accountable and standardised ICT systems	To facilitate the annual implementation of good ICT governance processes	GG12.1.1	Number of ICT Steering Committee meetings	Output Indicator	Number	4	4	4	1	1	1	1	Corporate Services (IT)	Quarterly	Minutes&Attendance Register	MM014	4	4	4
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote ICT governance by ensuring alignment of ICT and organizational objectives	Review of ICT Strategy, ICT policies and procedures	GG12.2.1	Number of reviewed ICT Strategy / ICT policies / ICT procedures	Output	Number	4	1	1	N/A	N/A	N/A	1	Corporate Services (IT)	Annual	Council Resolution/ SED Approval for procedures	MM015	Reviewed ICT Strategy and ICT policies	Reviewed ICT Strategy and ICT policies	Reviewed ICT Strategy and ICT policies
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote ICT governance by ensuring alignment of ICT and organizational objectives	To ensure that the ICT activities and investments are in alignment with organizational objectives and strategies	GG13.1.1	Approval of ICT Strategic Plan June by 2018	Output Indicator	Approved ICT Strategic Plan	New KPI	Approval of ICT Strategic Plan by June 2018	N/A	N/A	N/A	N/A	N/A	INFORMATION AND TECHNOLOGY	N/A	N/A	MM013	Approved ICT Strategic Plan	Approved ICT Strategic Plan	Approved ICT Strategic Plan
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To obtain a clean audit on the Audit of Performance Objectives by 2020	To facilitate the development, review and implementation of the PMS annually	GG13.1.1	Number of performance reports submitted to Audit Committee quarterly	Output Indicator	Number	3	3	3	N/A	1	N/A	1	OFFICE OF THE MUNICIPAL MANAGER (PERFORMANCE MANAGEMENT)	Bi-annual	Audit Committee resolution and Quarterly performance report	MM012	4	4	4

OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To obtain a clean audit on the Audit of Performance Objectives by 2020	To implement outreach and awareness workshops on PMs to departments and other role players	GG13.2.1	Number of PMs workshops held quarterly	Output Indicator	Number	1	4	4	1	1	1	1	OFFICE OF THE MUNICIPAL MANAGER (PERFORMANCE MANAGEMENT)	Quarterly	Workshop attendance register	MM033	4	4	4
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote good governance through the Annual performance reporting process	To ensure compliance with Annual performance Reporting process	GG14.1.1	Annual Performance Report submitted to the Auditor-General by 31 August 2018	Output Indicator	Reports	Annual Performance report submitted to AG on the 31 August 2017	Annual Performance Report submitted to the Auditor-General by 31 August 2017	Annual Performance Report submitted to the Auditor-General by 31 August 2018	Annual Performance Report submitted to the Auditor-General by 31 August 2019	N/A	N/A	N/A	OFFICE OF THE MUNICIPAL MANAGER (PERFORMANCE MANAGEMENT)	Annual	Acknowledgement of receipt from AG	MM034	Annual Performance Report submitted to the Auditor-General by 31 August 2018	Annual Performance Report submitted to the Auditor-General by 31 August 2020	Annual Performance Report submitted to the Auditor-General by 31 August 2021
OUTPUT 6: ADMINISTRATIVE AND FINANCIAL CAPABILITY	GOOD GOVERNANCE	GOOD GOVERNANCE	GOOD GOVERNANCE	To promote good governance through the Annual performance reporting process	To ensure compliance with Annual report process	GG14.2.1	Tabling of Annual Report to Council by 31 January 2019 and Approval of Annual Report by 31 March 2019	Output Indicator	Reports	Approved Annual Report by Council 31 March 2018	Approval of Annual Report by 31 March 2018	Tabling of Annual Report to Council by 31 January 2019 and Approval of Annual Report by 31 March 2019	N/A	N/A	Tabling of Annual Report to Council by 31 January 2019 and Approval of Annual Report by 31 March 2019	N/A	OFFICE OF THE MUNICIPAL MANAGER (PERFORMANCE MANAGEMENT)	Annual	Council Resolution and Approved Annual Report	MM035	Approval of Annual Report by 31 March 2018	Approval of Annual Report by 31 March 2018	Approval of Annual Report by 31 March 2018

NEWCASTLE MUNICIPALITY																							
ORGANISATIONAL SCORE CARD 2017/18 - 2022/22																							
DRAFT ORGANISATIONAL SCORECARD 2018/19- BASIC SERVICE DELIVERY AND INFRASTRUCTURE																							
OUTCOME 9	NATIONAL KPI	BACK TO BASICS PILLAR	IDP PRIORITY	GOAL/OBJECTIVES	STRATEGIES	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED ANNUAL TARGET 2017/18	ANNUAL TARGET YR2 (2018/19)	QUARTER 1	QUARTER 2	QUARTER3	QUARTER4	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	SOBP REFERENCE	ANNUAL TARGET YR3	ANNUAL TARGET YR4	ANNUAL TARGET YR5
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To assemble adequate and reliable data for Infrastructure Planning, Management and Operations	Develop a Comprehensive Infrastructure Master Plan (It will cater for key focus areas including: Housing development, Water and sanitation, water safety plan, Roads and storm water, Energy – High voltage, Electrification, Maintenance Plan, Asset replacement plan, waste management and catalytic projects)	B520.1.1	Number of business plans submitted for funding for the compilation of comprehensive infrastructure masterplans (Roads and Stormwater, water and sanitation)	Output	Number of business	0	3	3	0	0	0	3	Technical Services	Annual	Proof of submission to funding sources and if approved, approval letter from the funding source	CV1, WS1	Implement Infrastructure Master Plan through sector plans such as Water Services Development Plan (WSDP), Water Conservation and Water Demand Management (WCDM) and other related sector plans at Technical services	Update and review the Infrastructure Master Plan	Review of Infrastructure Master Plan
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To assemble adequate and reliable data for Infrastructure Planning, Management and Operations	Develop a Comprehensive Infrastructure Master Plan (It will cater for key focus areas including: Housing development, Water and sanitation, water safety plan, Roads and storm water, Energy – High voltage, Electrification, Maintenance Plan, Asset replacement plan, waste management and catalytic projects)	B520.2.1	Submission of a Business Plan to obtain funding for the preparation of the comprehensive infrastructure Master Plan Roads & Storm water	Process	Process indicator - business plan	0	Submission of a Business Plan to obtain funding for the preparation of the comprehensive infrastructure Master Plan	Submission of a Business Plan to obtain funding for the preparation of the comprehensive infrastructure Master Plan Roads & Storm water	0	Completion of Feasibility studies	0	Submission of a Business Plan to obtain funding for the preparation of the comprehensive infrastructure Master Plan Roads & Storm water	Technical Services	Bi-Annual	Quarter 2: Feasibility study and Quarter 4: Proof of submission to funding sources and if approved, approval letter from the funding source	CV1	Implement Infrastructure Master Plan through sector plans such as Water Services Development Plan (WSDP), Water Conservation and Water Demand Management (WCDM) and other related sector plans at Technical services	Update and review the Infrastructure Master Plan	Review of Infrastructure Master Plan
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To assemble adequate and reliable data for Infrastructure Planning, Management and Operations	Develop a Comprehensive Infrastructure Master Plan (It will cater for key focus areas including: Housing development, Water and sanitation, water safety plan, Roads and storm water, Energy – High voltage, Electrification, Maintenance Plan, Asset replacement plan, waste management and catalytic projects)	B520.3.1	Submission of a business plan to obtain funding for the development of a comprehensive masterplan on high voltage network, electrification and network maintenance to prospective funders by June 2018	Process Indicator	Business Plan	Now	Submission of a business plan to obtain funding for the development of a comprehensive masterplan on high voltage network, electrification and network maintenance to prospective funders by June 2018	Submission of a business plan to obtain funding for the development of a comprehensive masterplan on high voltage network, electrification and network maintenance to prospective funders by June 2018	Submission of a Business Plan to obtain funding for the development of a masterplan	0	Final appointment of Consultant	0	SED - Electrical & Mechanical Services	Quarterly	Q1 - Proof of submission to Sector Department - Q3 - Final appointment letter and Q4 - Proof of submission to prospective funders	ELM002	Implementation and review of Masterplan	Implementation and review of Masterplan	Implementation and review of Masterplan
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure the provision of appropriate sanitation and potable water to all households in Newcastle Municipality	Increase number of households with access to a basic potable (drinkable) water	B521.1.1	% Of households with access to a basic level of water	Output Indicator	Percentage (%)	93.00%	93.40%	93.40%	0	0	0	93.40%	Technical Services	Annual	Progress report based on Stats SA census figures, BTO reports on new connections OR supported by completion certificates and final payment certificates/invoices signed by the Director and SED.	WS4	tbd	tbd	tbd
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure the provision of appropriate sanitation and potable water to all households in Newcastle Municipality	Increase number of households with access to a basic sanitation	B521.2.1	% Of households with access to a basic level of sanitation	Output Indicator	Percentage (%)	78.13%	80.00%	80.00%	0	0	0	80.00%	Technical Services	Annual	Progress report based on Stats SA census figures, BTO reports on new connections OR supported by completion certificates and final payment certificates/invoices signed by the Director and SED.	WS5	tbd	tbd	tbd
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	Upgrade wastewater collection and treatment facilities	Upgrade wastewater collection and treatment facilities	B523.1.1	Number of Water Water Treatment plants upgraded	Output	Number	4	n/a	Completion of Madadeni WWTP	n/a	N/A	N/A	N/A	Technical Services	n/a	n/a	n/a	n/a	Completion of Ngagane WWTP	n/a
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To reduce water loss	To reduce the percentage of water losses, (Non-revenue water loss)	B522.1.1	Reduction of water loss by 2% per annum for Non-Revenue Water loss	Outcome Indicator	Percentage (%)	44.00%	42.00%	40%	0	0	0	40%	Technical Services	Annual	Water balance scorecard with all calculations	WS6	Revise the WCWM and implement WCWM phase 2	Implement WCWM phase 3	Implement WCWM phase 4
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To create a safe and healthy environment	To implement the Waste Management Strategy in line with relevant legislation	B523.1.1	Annual review of the Integrated Waste Management Plan by June 2019	Output	Integrated Waste Management Plan	Existing Plan	Reviewed Integrated Waste Management Plan by June 2019	Annual review of the Integrated Waste Management Plan by June 2019	0	0	0	0	Community Services	Annually	Council Resolution		Annual review of of the Integrated Waste Management Plan by June 2020	Annual review of the Integrated Waste Management Plan by June 2021	Annual review of of the Integrated Waste Management Plan by June 2022
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To create a safe and healthy environment	To provide a refuse removal service to the Newcastle Community	B523.2.1	%age of households with access to basic level solid waste removal	Output	Percentage (%)	65.50%	65.50%	65.50%	0	0	0	65.50%	Community Services	Annually	BTO and progress reports on Stats SA census information		tbd	tbd	tbd
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To create a safe and healthy environment	To establish a new landfill site including management of the existing facility	B523.3.1	Annual audit compliance report from EDTFA on existing site by June 2019	Outcome Indicator	Report	Existing Report	Annual audit compliance report from EDTFA on existing site by June 2019	Annual audit compliance report from EDTFA on existing site by June 2019	N/A	N/A	N/A		Community Services	Annually	EDTEA Audit Compliance Report		Annual audit compliance report from EDTFA on existing site by June 2020	Annual audit compliance report from EDTFA on existing site by June 2021	Annual audit compliance report from EDTFA on existing site by June 2022
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To create a safe and healthy environment	To establish a new landfill site including management of the existing facility	B523.4.1	Planning and identification of Land Fill Site by 30 June 2018	Output	Progress Reports submitted to RPSC	None	Planning and identification of Land Fill Site by 30 June 2018	To identify a new landfill site									To identify a new landfill site	To identify a new landfill site	To identify a new landfill site
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure the provision and maintenance of safe roads and effective storm water infrastructure	Refurbishment and maintenance of roads, storm water infrastructure, traffic calming devices and provision of pedestrian walkways	B524.1.1	Km of Roads resurfaced/rehabilitated	Output	Kilometres (km)	7.26KM	12KM	34km	0km	10km	10km	14km	Technical Services	Quarterly	Reports signed by the Director and confirmed by the Portfolio Councillor for Technical Services	CV2	8km	8km	8km
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure the provision and maintenance of safe roads and effective storm water infrastructure	Refurbishment and maintenance of roads, storm water infrastructure, traffic calming devices and provision of pedestrian walkways	B524.2.1	km's of roads gravelled	Output	Kilometres (km)	5.8m	2.5km	8.8km	0km	4.4km	4.4km	0km	Technical Services	Quarterly	Reports signed by the Director and confirmed by the Portfolio Councillor for Technical Services	CV3	2.5km	2.5km	2.5km
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	Upgrade of gravel roads to tarred roads with storm water infrastructure and street furniture	Implementation of the Capital Program (MUNICIPAL FUNDING)	B525.1.1	Km's of roads upgraded from gravel to blacktop including street furniture	Output	Kilometres (km)	9.803km	1.7 km	8.07km	0	0	0	8.07km	Technical Services	Annual	(Invoices will be linked to relevant PP's) Completion certificates, progress reports signed by the consultant engineer, Director/SED	CV8	7km	7km	7km
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure access to electricity within the Newcastle licence area	To develop and implement the Electricity Services Delivery Plan (ESDP)	B526.1.1	Appointment of Service Provider to develop Electricity Service Delivery Plan (ESDP) by June 2018	Process	Appointment Letter	0	Appointment of Service Provider to develop Electricity Service Delivery Plan (ESDP) by June 2018	Appointment of Service Provider to develop Electricity Service Delivery Plan (ESDP) by June 2018	Draft Electricity Service Delivery Plan		Departmental review	Drafting of Terms of Reference	Technical Services (Electrical and Mechanical Services)	Quarterly	Q1 - Draft ESDP - Department comments - Q3 - Terms of Reference - Q4 - Appointment letter	ELM003	Assess and review implementation of ESDP	Assess and review implementation of ESDP	Assess and review implementation of ESDP
Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery		Basic Service Delivery and Infrastructure	To ensure access to electricity within the Newcastle licence area	To provide electricity within the Newcastle Municipality Licensed Areas	B526.1.2	%age of households with access to a basic level of electricity	Output	Number	95%	95%	95%	N/A	N/A	N/A	95%	Technical Services (Electrical and Mechanical Services)	Annual	BTO and progress reports against Stats SA census information	ELM004	tbd	tbd	tbd
Output 1: Implement a differentiated approach to municipal financing, planning and support	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To ensure management and replacement of vehicles for proper rendering of services	To review a vehicle replacement policy and plan to address Fleet replacement, tyre Management, fuel and lubricant management	B527.1.1	Annual Review of Vehicle Replacement Plan by June 2018	Process	Vehicle Replacement Plan	2016/17 Replacement Plan	Annual Review of Vehicle Replacement Plan by June 2018	N/A	N/A	N/A	N/A	N/A	Technical Services (Electrical and Mechanical Services)	N/A	N/A	ELM011	re-assessment of all municipality fleet	re-assessment of all municipality fleet	re-assessment of all municipality fleet
Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards	To develop a Human Settlement Plan in line with the 4th Generation IDP	B528.1.1	To develop a new Human Settlements Plan in line with the 4th Generation IDP by 30 June 2018	Output	Number	Annual Review of Housing Sector Plan approved as part of the IDP	Preparation of new Human Settlements Plan in line with 4th Generation IDP by 30 June 2018	Annual Review	N/A	N/A	N/A	Preparation of new Human Settlements Plan in line with 4th Generation IDP by 30 June 2019	DPHS	ANNUAL	Council Resolution	HS.1	Annual Review	Annual Review	Annual Review
	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards	To reduce housing backlog to meet the provincial and national targets	B528.2.1	Number of houses built	Output	Number	Completion certified	100	Implement approved Housing Projects	N/A	N/A	N/A	N/A	DPHS	ANNUAL	Progress Reports and O&G Certificates	HS.1	Implement approved Housing Projects	Implement approved Housing Projects	Implement approved Housing Projects
Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate secure tenure and clear property rights	Fast-track Title Deed Restoration Project	B529.1.1	Number of houses transferred through Enhanced Extended Discount Benefit Scheme (EEDBS)	Output	Number	40	223	200	N/A	100	N/A	100	DPHS	BI-ANNUAL	Copies' Title deeds	HS.6	120	120	120
Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate secure tenure and clear property rights	Disposal of municipal land in line with Land Disposal Policy	B530.1.1	Number of Residential Sites released for disposal	Output	Number	15	20	20	N/A	N/A	N/A	N/A	DPHS	ANNUAL	Adjudication	HS.7	10	10	10
Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate secure tenure and clear property rights	To develop and maintain a reliable National Housing Needs Register (NHNH)	B530.2.1	Nol approved beneficiaries captured on National Housing Needs Register	Output	%age	TBC	100%	100%	100%	100%	100%	100%	DPHS	Quarterly	Applications received and Updated report from NHHR	HS.8	100%	100%	100%

Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate secure tenure and clear property rights	Provision of affordable housing opportunities for middle income to address gap market (i.e Social Housing/ Gap / Flisp)	B530.3.1	Progress on the planning and implementation of atleast one Gap/Flisp Housing Project	Process	Reports	New KPI	Disposal of land to developers for development of at least one Gap / FLIPS Housing Project by June 2018	1	N/A	N/A	N/A	N/A	OPHS	Annual	Council resolution,Adverts for release of land	N/A	1	1	1
Output 4: Actions supportive of the human settlement outcome	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate secure tenure and clear property rights	Provision of affordable housing opportunities for middle income to address gap market (i.e Social Housing/ Gap / Flisp)	B530.4.1	Initiate development of at least one CRU Housing Project	Process	Reports	New KPI	Initiate development of N11 CRU Housing Project	Initiate development of N11 CRU Housing Project								Initiate development of N11 CRU Housing Project	Initiate development of N11 CRU Housing Project	Initiate development of N11 CRU Housing Project	

NEWCASTLE MUNICIPALITY																							
ORGANISATIONAL SCORE-CARD 2017/18 - 2021/22																							
DRAFT ORGANISATIONAL SCORE-CARD - CROSS CUTTING ISSUES 2018/19																							
OUTCOME 9	NATIONAL KPI	BACK TO BASICS PILLAR	ISP PRIORITY	Goal / Objective	Strategy	KPI No. LINKED TO ISP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASISLINE	REVISED ANNUAL TARGET 2017/18	ANNUAL TARGET Y02 (2018/19)	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	SDIP REFERENCE	ANNUAL TARGET Y03	ANNUAL TARGET Y04	ANNUAL TARGET Y05
Outcome 1: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To facilitate economic development that will result in sustainable job creation and growth of the Town	To facilitate Revitalisation of Township Economy	CC33.1.1	n/a	n/a	n/a	n/a	n/a	Identification of Strategic Pillars and Action Plans of support to revitalize the township economy					n/a	n/a	n/a		Identification of Strategic Pillars and Action Plans of support to revitalize the township economy	Facilitate implementation of action plans	Facilitate implementation of action plans
Outcome 2: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To facilitate economic development that will result in sustainable job creation and growth of the Town	To facilitate economic development that will result investment in the town	CC33.2.1	Report / Study on identification of pieces of land to be registered as pockets of excellence by 30 June 2018	Output	Report with locations identified as "Pockets of Excellence"	None	N/A	Identification of pieces of land to be registered as pockets of excellence to promote economic development	N/A	N/A	N/A		DPHS - LED & TP	Annual	Minutes of PTSC and Report on "Pockets of Excellence"		n/a	n/a	n/a
Outcome 3: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To develop an efficient and effective land use management system so as to promote a rational and harmonious land use activity system.	Review of the Land Use Scheme in line with SPLUMA	CC34.1.1	Finalize Diagnosis Report on the Land Use Scheme by 30 June 2018 submitted to Portfolio Committee	Output	PTSC Minutes and Finalized Report	Approved Land Use Scheme in line with SPLUMA	N/A	Finalize Annual Review of Land Use Scheme in terms of SPLUMA by June 2018					DPHS - TP	Bi-annual	PTSC Minutes, Draft Report and Finalized Report		Finalize Annual Review of Land Use Scheme in terms of SPLUMA by June 2018	Finalize Annual Review of Land Use Scheme in terms of SPLUMA by 2020	Finalize Annual Review of Land Use Scheme in terms of SPLUMA by 2021
Outcome 4: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To develop an efficient and effective land use management system so as to promote a rational and harmonious land use activity system.	To undertake efficient and effective building controls.	CC34.2.1	Completed feasibility in relation green building development within the municipality	Output	Minutes of PTSC and Feasibility Report	New KPI	Undertake a feasibility to develop bylaws in relation to green buildings 30 June 2018	Development of the policy and bylaws on green buildings	Process Plan	Final status co-report	Approval of draft by-law	adoption of final by-law	Senior Building Inspector	Quarterly	Progress report & Portfolio Council minutes	Y03	Implementation of the policy and bylaw on green buildings	Implementation of the policy and bylaw on green buildings	Implementation of the policy and bylaw on green buildings
Outcome 5: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To ensure an effective and integrated Geographic Information Management System.	GIS System Integration with other municipal systems.	CC35.1.1	Complete TOR in relation to feasibility of integrating GIS with other systems by 30 June 2018	Output	Completed TOR approved by SDO	New KPI	Complete TOR in relation to feasibility of integrating GIS with other systems by 30 June 2018	Acquisition of the required system to integrate on the GIS	Tender adjudication	Diagnosis report on the existing software	Specification for integration of software	Integration of relevant software with GIS for further decision making	DPHS - TP	Annual	GIS Monthly progress report, GIS Progress Report, GIS Specification document, GIS Closure Report	Y04	Acquisition of the required system to integrate on the GIS	Acquisition of the required system to integrate on the GIS	Acquisition of the required system to integrate on the GIS
Outcome 6: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To promote spatial restructuring and integration	Development of municipal SDF in line with the 4th Generation of SDF	CC36.1.1	Approved Spatial Development Framework by 31 May 2018	Output	Council Minutes and Approved SDF	Newcastle SDF approved 31 May 2017	Approved Spatial Development Framework by 31 May 2018	Approved Spatial Development Framework by 31 May 2018	N/A	N/A	N/A	Final approved SDF as part of the ISP	DPHS - TP	Annual	Council Resolution Approved SDF	Y05	Approved Spatial Development Framework by 31 May 2020	Approved Spatial Development Framework by 31 May 2021	Approved Spatial Development Framework by 31 May 2022
Outcome 7: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To promote spatial restructuring and integration	To produce plans, policies and strategies to guide and manage development and investment.	CC36.2.1	Approval of one Local Area Plan / Precinct Plan by 30 June 2018	Output	Council Resolution and Approved LAP	1	Approval of one Local Area Plan / Precinct Plan by 30 June 2018	Approval of atleast one LAP/ Precinct Plan annually	N/A	Status Quo Analysis	N/A	Approved Local Area Plan / Precinct Plan	DPHS - TP	Bi-Annual	2- Yearly spot items to be reviewed (SA Council Resolution and Approved LAP	Y06	Approval of atleast one LAP/ Precinct Plan annually	Approval of atleast one LAP/ Precinct Plan annually	Approval of atleast one LAP/ Precinct Plan annually
Outcome 8: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To promote sustainable development and sound environmental planning	Review of the municipal open space system	CC37.1.1	Review and approval of the municipal Open Space System by 30 June 2018	Output	Council Minutes and Reviewed Municipal Open Space System	Open Space Policy and Framework	Review and Approval of the Open Space Policy and Framework by 30 June 2018	N/A					DPHS - TP	Annual	Council Resolution and Approved Open Space Policy		N/A	N/A	N/A
Outcome 9: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to land (including Land Reform)	To promote sustainable development and sound environmental planning	Identification of suitable land for cemeteries and adjacent Gesteck studies	CC37.2.1	Gesteck Report on identified sites for cemetery by 31 March 2018	Output	Report on Gesteck Findings	none	Gesteck Report on identified sites for cemetery by 31 March 2018	EM Application and Sphume Application					DPHS - TP	Annual	Gesteck Report		N/A	N/A	N/A
Outcome 10: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To ensure the provision of traffic management services	Intensify Lane Enforcement activities	CC38.1.1	Number of roadblocks conducted	Output	Number ()	24	24	24	6	6	6	6	Community Services	Quarterly	Road block statistics and register		24	24	24
Outcome 11: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To improve safety and security	To provide and maintain an efficient and effective disaster management service to Newcastle.	CC39.1.1	Annual Review and update risk assessment of major hazard installation within Newcastle jurisdiction by June 2019	N/A	N/A	None	Review and update risk assessment of major hazard installation within Newcastle jurisdiction	N/A	N/A	N/A	N/A	N/A	Community Services	N/A	N/A		Review and update risk assessment per ward	Monitor and Evaluation of all disaster Management KPIs	Monitor and Evaluation of all disaster Management KPIs
Outcome 12: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To ensure provision of fire and disaster management services	To provide and maintain an efficient and effective disaster management service to Newcastle.	CC40.1.1	Adoption of Disaster Risk Management Policy and Newcastle Disaster Management Plan by June 2018	Output	Adoption of the plan & Policy	Draft Disaster Management plan	Adoption of Disaster Risk Management Policy and Newcastle Disaster Management Plan by June 2018	Annual Review Frameworks, Sector Plans and Contingency Plans by end of June 2019	Disaster Risk reduction against climate change	Ward based workshop on policy for Disaster Risk management in Newcastle	Workshop sector departments on policy for Disaster Risk management in Newcastle	Adoption for reviewing of Disaster Risk Management for Newcastle	Community Services	Quarterly	Council Resolution and Approved Disaster Risk Management Policy and Newcastle Disaster Management Plan		Review Frameworks, Sector Plans and Contingency Plans by end of June 2020	Review Frameworks, Sector Plans and Contingency Plans by end of June 2021	Review Disaster Management Plan by June 2022
Outcome 13: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to public facilities (including educational facilities - provincial/municipal)	To ensure efficient use and management of community facilities.	Establishment and provision of community facilities	CC41.1.1	Number of new libraries built	Output	Number ()	6	0	1	0	0	0	1	Arts, Culture and Amuseities	N/A	N/A		N/A	N/A	N/A
Outcome 14: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved access to public facilities (including educational facilities - provincial/municipal)	To ensure efficient use and management of community facilities.	Establishment and provision of community facilities	CC41.2.1	Number of libraries upgraded	Output	Number	None	1	N/A					Community Services	Annual	Completion Certificate		N/A	N/A	N/A
Outcome 15: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To facilitate the responsive role of government (Civil society and private sector).	To mainstream programmes with the National and Provincial governments, Civil society and private sector	CC42.1.1	% Percentage of OSS issues resolved and referred	Process Indicator	%	100%	100%	100%	100%	100%	100%	100%	Office of the Municipal Manager (Special Programmes)	Quarterly	Registers and no. of issues received and referred		100%	100%	100%
Outcome 16: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To facilitate the responsive role of the municipality in OSS.	To mainstream OSS through Internal OSS and Special Programmes Steering Committee	CC43.1.1	Number of Special Programme and OSS meetings	Output	Number	NEW	2	2	N/A	1		1	Office of the Municipal Manager (Special Programmes)	Bi-annual	Special Programme and OSS Steering Committee Minutes and Attendance registers		2	2	2
Outcome 17: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To respond to needs of vulnerable groups within Newcastle jurisdiction area	Empowerment of target groups (Senior citizens, Disability, People living with HIV/AIDS, Women Men)	CC44.1.1	Number of Functional Special Programmes FOMA	Outcome Indicator	Number	8	8	8	2	2	2	2	Office of the Municipal Manager (Special Programmes)	Quarterly	Forum meeting register and Attendance register		8	8	8
Outcome 18: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	Improved community safety	To respond to the needs of vulnerable groups	To host human rights activities to address issues affecting the vulnerable groups	CC45.1.1	Number of special programs events implemented	Output	Number	12	20	20	5	5	5	5	Office of the Municipal Manager (Special Programmes)	Quarterly	Attendance registers, minutes and photos		10	10	10

DRAFT ORGANISATIONAL SCORE-CARD 2018'19 - 2021/22																		
NEWCASTLE MUNICIPALITY																		
MUNICIPAL FINANCIAL MANAGEMENT AND VIABILITY																		
OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	GOAL/OBJECTIVES	STRATEGIES	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	ANNUAL TARGET YR2	QUARTER 1	QUARTER 2	QUARTER3	QUARTER4	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	ANNUAL TARGET YR3	ANNUAL TARGET YR4	ANNUAL TARGET YR5
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To improve access to basic services	To promote and / improve indigent subsidy and / benefit by ensuring that all indigent are eligible for the support and to eradicate a culture of non payment		The percentage of households earning less than R1100 per month with access to free basic services;	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	Budget & Treasury Office	Quarterly	Indigent register at end of quarter	20% (18000/90346*100)	16% (15000/90346*100)	14% (13000/90346*100)
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure implementation of capital programme	To ensure compliance with budget planning and implementation		%age of capital budget spent as per approved cash flows	90%	N/A	N/A	N/A	90%	All departments	Annual	Financial report from the system	90%	90%	90%
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Improve the payment factor by at least 2 percentage basis points annually (by June of every year)	To promote and / improve indigent subsidy and / benefit by ensuring that all indigent are eligible for the support and to eradicate a culture of non payment	FV15.1.1	Number of meetings held per quarter to discuss indigent applications and explain the billing processes and emphasises the payment of municipal bill as per Approved policy and procedures	34 (1 meeting per ward)	9 wards	9 wards	9 wards	8 wards	Budget & Treasury Office	Quarterly	Agenda, Attendance register, Report back to ther SED	34 (1 meeting per ward)	34 (1 meeting per ward)	34 (1 meeting per ward)
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Improve the payment factor by at least 2 percentage basis points annually (by June of every year)	To promote and / improve indigent subsidy and / benefit by ensuring that all indigent account holders are eligible for the support	FV15.2.1	An annual review of the indigent register completed by 30 June 2019	An annual review of the indigent register performed at 30 June 2019	Annual review ogf the register performed by a third party	Conduct indigent review processes based on the outcome of the third party review (50% of the indigents)	Conduct indigent review processes based on the outcome of the third party review (50% of the indigents)	Final indigent register based on third party review	Budget & Treasury Office	Quarterly	Verification report including methodology used and item submitted to Portfolio Committee (Quarter 1), Proof of sms sent out to indigents / confirmation return slips and monthly registration and demargination reports submitted to PPC (Quarter 2 and 3) and the final indigent register submitted in May 19F.	An annual review of the indigent register performed at 30 June 2020	An annual review of the indigent register performed at 30 June 2021	An annual review of the indigent register performed at 30 June 2022
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Improve the payment factor by at least 2 percentage basis points annually (by June of every year)	To promote and / improve indigent subsidy and / benefit by ensuring that all indigent account holders are eligible for the support	FV15.3.1	Increase of payment factor by 2 percentage basis point by 30 June 2019	81%	79.5%	80%	80.5%	81%	Budget & Treasury Office	Quarterly	Payment factor report submitted to PPC	83%	85%	87%
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Improve the payment factor by at least 2 percentage basis points annually (by June of every year)	Eradication of the culture of non-payment;	FV15.4.1	%age of queries addressed within 90 days	100%	100%	100%	100%	100%	Budget & Treasury Office	Quarterly	Query ageing report and calculation signed by Director	100%	100%	100%
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Achieve Value for money	To have an effective Supply Chain Management system in place;	FV16.1.1	Approved annual procurement plan by June 2019 approved by the Portfolio Steering Committee	2019/20 annual procurement plan by the Finance Portfolio Standing Committeeby 30 June 2019	N/A	N/A	N/A	2019/20 annual procurement plan by the Finance Portfolio Standing Committeeby 30 June 2019	Budget & Treasury Office	Annual	Approved procurement plan.	a) Develop and maintain an efficient Annual Procurement Plan;	a) Develop and maintain an efficient Annual Procurement Plan;	a) Develop and maintain an efficient Annual Procurement Plan;
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Achieve Value for money	Have an effective Supply Chain Management system in place;	FV16.2.1	100% implementation of the procurement plan.	100% implementation of the procurement plan.	100%	100%	100%	100%	Budget & Treasury Office	Quarterly	Procurement plan ,progress report ,bid committes and letter of awards etc	100% implementation of the procurement plan.	100% implementation of the procurement plan.	100% implementation of the procurement plan.
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure sound financial and fiscal management and good governance	review the financial policies to ensure sound financial and fiscal management and good governance	FV17.1.1	Number of Financial policies reviewed by May 2018: 1. Tariff by-law 2. Tariff policy 3. Rates policy 4. Indigent policy 5. Customer care, Credit control, and Debt collection policy 6. Budget policy 7. Vivement policy 8. Petty cash policy 9. Short Term insurance 10. Fund & Reserve policy 11. Cash management and investment policy 12. Borrowing policy 13. Loss control policy 14 Asset management policy 15 Supply chain management policy	11. Cash management and investment policy	N/A	N/A	Approval of draft policy with the draft budget.	Approval of the final policy with the approved budget.	Budget & Treasury Office	Quarterly	Approved minutes of council.	To review and approve SCM Policy 2018	To review and approve SCM Policy 2018	To review and approve SCM Policy 2018
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	Revenue enhancement	Facilitate the annual Review of the Revenue Enhancement Strategy	FV19.1.1	Review the Revenue Enhancement Strategy by March 2019	Annual review of the Revenue Enhancement Strategy by March 2019	N/A	N/A	Annual review of the Revenue Enhancement Strategy by March 2019	N/A	Budget & Treasury Office	Annual	Council resolution and approved Revenue Enhancement Strategy	Annual review of the Revenue Enhancement Strategy and continuous monitoring thereof	Annual review of the Revenue Enhancement Strategy and continuous monitoring thereof	Annual review of the Revenue Enhancement Strategy and continuous monitoring thereof
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.2	%age compliance with MFMA reporting obligations as per MFMA calendar	%age compliance with MFMA reporting obligations as per MFMA calendar	100%	100%	100%	100%	Budget & Treasury Office	Monthly	National Treasury Compliance Report	100%	100%	100%
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.3	Approval of Annual Budget for 2019/20 by the 31 May 2019	Approved Budget by 31 May 2019	N/A	N/A	Draft Annual Budget for 2019/20 table to council	Approved annual budget for 2019/20	Budget & Treasury Office	Annually	Council resolution	Approved annual budget for 2020/21	Approved annual budget for 2021/22	Approved annual budget for 2022/23
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.4	Approval of Adjustment Budget by 28 February 2019	Approval of Adjustment Budget by 28 February 2019	N/A	N/A	Approval of Adjustment Budget by 28 February 2019	N/A	Budget & Treasury Office	Annually	Council resolution	Approval of Adjustment Budget by 28 February 2020	Approval of Adjustment Budget by 28 February 2021	Approval of Adjustment Budget by 28 February 2022
Output 6: Administrative and financial capability.	Financial Management	Sound Financial Management	Sound Financial Management/ Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.5	Financial viability in terms of debt coverage	5%	N/A	N/A	N/A	5%	Budget & Treasury Office	Annually	Loan repayment schedule and Section 71 Reports	5%	4%	4%



<u>Output 5:</u> Administrative and financial capability.	Financial Management	Sound Financial Management	<b>Sound Financial Management/ Viability</b>	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.6	Financial viability in terms of cost coverage	1 Month	N/A	N/A	N/A	1 Month	Budget & Treasury Office	Annually	Bank Statement and Investment Schedule and Section 71 Reports	2 Month	2 Month	2 Month
<u>Output 6:</u> Administrative and financial capability.	Financial Management	Sound Financial Management	<b>Sound Financial Management/ Viability</b>	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	FV18.1.7	Financial viability in terms of outstanding service debtors	88%	n/a	n/a	n/a	88%	Budget & Treasury Office	Annual	Calculation support proof of total receipts for the year and the total debtors outstanding at year end (Audited AFS)	78%	76%	75%
<u>Output 6:</u> Administrative and financial capability.	Financial Management	Sound Financial Management	<b>Sound Financial Management/ Viability</b>	To ensure sound financial and fiscal management and good governance	To ensure compliance with the roll out of MSCOA	FV18.1.1	100% Compliance with MSCOA assessment by National Treasury as per quarterly requirements	100% compliance with MSCOA assessment as per quarter requirements by national treasury	100%	100%	100%	100%	Budget & Treasury Office	Quarterly	Assessment Report from National Treasury	n/a	n/a	n/a

NEWCASTLE MUNICIPALITY																				
ORGANISATIONAL SCORE CARD 2017/18 - 2021/22																				
REVISED ORGANISATIONAL SCORE CARD 2017/18 LOCAL ECONOMIC DEVELOPMENT																				
OUTCOME 9	NATIONAL KPA	BACK TO BASICS	IDP PRIORITY	Goal / Objective	Strategy	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED ANNUAL TARGET 2017/18	ANNUAL TARGET YRS 2018/19	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	2017/18 SOBIP'S REFERENCE NUMBER
Outcome 9.1: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	To develop LED Strategy in line with the new generation IDP	ED03.1.1	Development and approval of the new Tourism Strategy in line with the new generation IDP by 30 June 2019	Output	Council Resolution and Approved Tourism Strategy	LED Strategy (3rd Generation)	Development and approval of the new LED Strategy in line with the new generation IDP by 30 June 2018	Annual review of Tourism Strategy	Appointing of Service Provider	Engagement with all role players	Draft Strategy (Priority)	Development and approval of the new Tourism Strategy in line with the new generation IDP by 30 June 2019	DMPS	Quarterly	01. APPOINTMENT LETTERS TO ATTENDANCE REGISTER AND MINUTES, 02. TOURISM STRATEGY, 03. COUNCIL RESOLUTION AND APPROVED STRATEGY	ED1
Outcome 9.2: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	To Promote Business Retention and Expansion (BRE) to support local businesses	ED03.2.1	Approved Business Retention and Expansion (BRE) by 30 June 2018	OUTPUT	APPROVAL OF THE NEW STRATEGY BY COUNCIL	Existing BRE Strategy	Approved Business Retention and Expansion (BRE) by 30 June 2018	Implementation of Business Retention and Expansion (BRE) Strategy	Workshops with Business Chambers on existing BRE Strategy	Draft revised BRE	Workshops Council on Draft BRE	Approved Business Retention and Expansion (BRE) by 30 June 2019	DMPS, LED	Quarterly	01. Introduction Register of existing local businesses, 02. BRE Strategy, 03. Council Resolution of approved BRE Strategy	ED2
Outcome 9.3: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	ED03.3.1	N/A	OUTPUT	APPROVED LED STRATEGY		APPROVED SAME STRATEGY by Council by end of June 2018	N/A	N/A	N/A	N/A	N/A	DMPS, LED	N/A	N/A	N/A
Outcome 9.4: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	ED03.4.1	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	DMPS, LED	N/A	N/A	N/A
Outcome 9.5: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	ED03.5.1	Number of SMMEs linked to Markets by 30 June 2019	OUTCOME	Number	5	10	10	N/A	N/A	N/A	10	DMPS, LED	ANNUAL	Minutes of Portfolio Committee approving Report on SMMEs	ED7
Outcome 9.6: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	ED03.6.1	Number of SMMEs Trained	Output	Number	50	TRAINING	50	N/A	N/A	N/A	N/A	DMPS, LED	ANNUAL	Training registers / Attendance registers	ED4
Outcome 9.7: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Promotion of the value chain opportunities for SMMEs	ED03.7.1	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	DMPS, LED	N/A	N/A	N/A
Outcome 9.8: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Establishment of Newcastle as a Regional Export Hub for Northern KZN	ED03.8.1	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 31 March 2018	Outcome	Reports to PFSC	New KPA	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 31 March 2018	Monitoring of the implementation of Scheduled Flights	ENGAGE WITH OPERATORS	OBTAIN APPROVAL	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 30 June 2018	LED	ANNUAL	Service agreement between Municipality and airline	ED3	
Outcome 9.9: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Establishment of Techno Hub Innovation Centre Building in Newcastle	ED03.9.1	Completed Techno Hub Building by 31 March 2018	Output	Completion Certificate	New KPA	Completed Techno Hub Building by March 2018	Marketing of Techno Hub to potential investors	N/A	N/A	Completed Techno Hub Building by March 2018	N/A	DMPS, LED	ANNUAL	Completion Certificate and Minutes	ED6
Outcome 9.10: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	To promote local and foreign investment to Newcastle	ED03.10.1	Identification of economic growth engines (strategic projects) that stimulate the local economy by December 2017, as reported to Council	Output	Internal Study Report done internally & Resolution of Council	New KPA	Identification of economic growth engines (strategic projects) that stimulate the local economy by December 2017, as reported to Council	Complete Business Plans on feasibility of growth engines	Research on existing and potential growth engines	Identification of economic growth engines (strategic projects) that stimulate the local economy by December 2017, as reported to Council	N/A	N/A	DMPS, LED	Quarterly	Council Minutes / Report on Growth Engines	ED5
Outcome 9.11: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To ensure redistribution of the local economy	Support livelihood initiatives and home based enterprises for handicrafts, motor mechanics, car wash, music production and film making, etc – enhance what is already there	ED03.11.1	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Outcome 9.12: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To ensure redistribution of the local economy	Promotion of local procurement of goods and services to stimulate local economy and job creation	ED03.12.1	Development and implementation of the SMME Procurement Policy by December 2017	Output	Approved Policy	Draft SMME Procurement Policy	Approved SMME Procurement Policy by December 2017	Implementation and monitoring of the local procurement SMME Procurement policy and Facilitation of local space for the SMMEs	N/A	N/A	N/A	N/A	DMPS, LED	ANNUAL	Council resolution Approved SMME procurement policy	ED8
Outcome 9.13: Implement a differentiated approach to municipal planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (evaluation of poverty and unemployment)	To ensure redistribution of the local economy	Promotion of local procurement of goods and services to stimulate local economy and job creation	ED03.12.2	Number of jobs created through Municipal Programmes	Output					N/A	N/A	N/A	N/A	DMPS, LED	ANNUALLY	Programs Report to Portfolio Committee	ED9

NEWCASTLE MUNICIPALITY																					
DRAFT SDBIP 2018/19 : BUDGET AND TREASURY OFFICE																					
SDBIP REFERENCE NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA (LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	APPROVED BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	ANNUAL TARGET 2018/2019	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
BTO001	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	Achieve Value for money	To have an effective Supply Chain Management system in place;	Budget and Treasury Office	184,429,777.00	FV16.1.1	2019/20 annual procurement plan approved by the Finance Portfolio Standing Committee by 30 July 2019	OUTPUT	Approved procurement plan aligned to the approved budget	New KPI	2019/20 annual procurement plan approved by the Finance Portfolio Standing Committee by 30 July 2019	N/A	N/A	N/A	2019/20 annual procurement plan approved by the Finance Portfolio Standing Committee by 30 July 2019	Director: Supply Chain Management	Annually	Minutes of PFSC and Approved Procurement Plan
BTO002	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	Achieve Value for money	To have an effective Supply Chain Management system in place;	Budget and Treasury Office		FV16.2.1	100% Implementation of the procurement plan.	OUTPUT	Number of days	120 days for bids and 60 days quotations	Implementation of the procurement plan.	100%	100%	100%	100%	Director: Supply Chain Management	Quarterly	register certified by CFO with calculation,Bid committes and letter of awards etc
BTO003	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	Revenue enhancement	Facilitate the annual Review of the Revenue Enhancement Strategy			FV19.1.1	Review the Revenue Enhancement Strategy by March 2019	OUTPUT	Council Minutes and Approved Revenue Enhancement Strategy in line with approved budget	Review the Revenue Enhancement Strategy by June 2018	Review the Revenue Enhancement Strategy by March 2019	N/A	N/A	Review the Revenue Enhancement Strategy by March 2019	N/A	Director: Expenditure and Revenue Enhancement	Annually	Council resolution and approved Revenue Enhancement Strategy
BTO004	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	Revenue enhancement	Facilitate the annual Review of the Revenue Enhancement Strategy				% Implementation of Revenue strategy	OUTPUT	Percentage	New KPI	100% implmentation of Revenue enhancement strategy	100%	100%	100%	100%	Director: Expenditure and Revenue Enhancement	Quarterly	Revenue enhancement strategy ,plan and Progress report
BTO005	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure compliance with the roll out of mSCOA	Budget and Treasury Office		FV18.1.1	100% Compliance with MSCOA assessment by National Treasury as per quarterly requirements	OUTPUT	%age	New KPI	100% compliance with MSCOA assessment as per quarter requirements by national treasury	100%	100%	100%	100%	Director: Expenditure and Revenue Enhancement	Annually	Compliance report by National Treasury
BTO006	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure effective and efficient billing and revenue collection processes.	To promote and / improve indigent subsidy and / benefit by ensuring that all indigent are eligible for the support and to eradicate a culture of non payment	Budget and Treasury Office		FV15.1.1	Number of meetings held per quarter to discuss indigent applications and explain the billing processes and emphasises the payment of municipal bill as per Approved policy and procedures	OUTPUT	Number	234 (one meeting per ward	9 wards	9 wards	9 wards	8 wards	Director: Financial Management	Quarterly	Agenda and attendance register of meetings and report back to SED.	
BTO007	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure effective and efficient billing and revenue collection processes.		Budget and Treasury Office		FV15.2.1	An annual review of the indigent register completed by 30 June 2019	OUTPUT	Verification report	0	An annual review of the indigent register performed at 30 June 2019	Annual review of the register performed by a third party	Conduct indigent review processes based on the outcome of the third party review (50% of the indigents)	Conduct indigent review processes based on the outcome of the third party review (50% of the indigents)	Final indigent register based on third party review	Director: Financial Management	Quarterly	Verification report including methodology used and item submitted to Portfolio Committee (Quarter 1). Proof of sms sent out to indigents / confirmation return slips and monthly registration and deregistration reports submitted to FPC (Quarter 2 and 3) and the final indigent register submitted in May FPC
BTO008	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure effective and efficient billing and revenue collection processes.		Budget and Treasury Office		FV15.3.1	Increase of payment factor by 2 percentage basis point by 30 June 2019	OUTPUT	Percentage	79%	81%	79.50%	80%	80.50%	81%	Director: Financial Management	Quarterly	Payment factor report submitted to finance Portfolio Committee and portfolio minutes
BTO010	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To improve access to basic services		Budget and Treasury Office		new KPI	The percentage of households earning less than R1100 per month with access to free basic services; (R3500 as per Indigent Policy of Council)	OUTPUT	Percentage	22% (19 487/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	20% (18000/90346*100)	Director: Financial Management	Quarterly	Indigent register at end of quarter together with Stats SA information
BTO011	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.5	Financial viability in terms of debt coverage	OUTPUT	Percentage	6%	5%	n/a	n/a	n/a	5%	Director: Budget and Financial Reporting	Annually	Loan repayment schedule and Section 71 Reports
BTO012	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.6	Financial viability in terms of cost coverage	OUTPUT	number of Months	1 Month	1 Month	n/a	n/a	n/a	1 Month	Director: Budget and Financial Reporting	Annually	Bank Statement, Investment Schedule and Section 71 Reports
BTO013	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.7	Financial viability in terms of outstanding service debtors	OUTPUT	Percentage	85%	88%	n/a	n/a	n/a	88%	Director: Financial Management	Annually	Calculation support proof of total receipts for the year and the total debtors outstanding at year end (Audited AFS)
BTO014	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.2	% age compliance with MFMA reporting obligations as per MFMA calendar	OUTPUT	Percentage	100%	100%	100%	100%	100%	100%	Director: Budget and Financial Reporting	Monthly	National Treasury Compliance Report
BTO015	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV17.1.1	Number of Financial policies reviewed by May 2018: 1. Tariff by-law 2. Tariff policy 3. Rates policy 4. Indigent policy 5. Customer care, Credit control, and Debt collection policy 6. Budget policy 7. Virement policy 8. Petty cash policy 9. Short Term insurance 10. Fund & Reserve policy 11. Cash management and Investment policy 12. Borrowing policy 13. Loss control policy 14.Asset management policy	OUTPUT	Council resolution and Approved policies	Finance policies approved by 31 May 2017	15 policies submitted to council for approval 1. Tariff by-law 2. Tariff policy 3. Rates policy 4. Indigent policy 5. Customer care, Credit control, and Debt collection policy 6. Budget policy 7. Virement policy 8. Petty cash policy 9. Short Term insurance 10. Fund & Reserve policy 11. Cash management and Investment policy 12. Borrowing policy 13. Loss control policy 14.Asset management policy	N/A	N/A	15 draft policies submitted to council 1. Tariff by-law 2. Tariff policy 3. Rates policy 4. Indigent policy 5. Customer care, Credit control, and Debt collection policy 6. Budget policy 7. Virement policy 8. Petty cash policy 9. Short Term insurance 10. Fund & Reserve policy 11. Cash management and Investment policy 12. Borrowing policy 13. Loss control policy 14.Asset management policy	15 policies submitted to council for approval 1. Tariff by-law 2. Tariff policy 3. Rates policy 4. Indigent policy 5. Customer care, Credit control, and Debt collection policy 6. Budget policy 7. Virement policy 8. Petty cash policy 9. Short Term insurance 10. Fund & Reserve policy 11. Cash management and Investment policy 12. Borrowing policy 13. Loss control policy 14.Asset management policy	SED: BTO	Annually	Council resolution and approved policies
BTO016	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.3	Approval of Annual Budget for 2019/20 by the 31 May 2019	OUTPUT	Council Resolution and Approved Budget	Approved annual budget for 2019/19 by 31 May 2018	Approved Budget by 31 May 2019	N/A	N/A	Draft Annual Budget for 2019/20 table to council	Approved annual budget for 2019/20	Director: Budget and Financial Reporting	Annually	Council resolution
BTO017	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office		FV18.1.4	Approval of Adjustment Budget by 28 February 2019	OUTPUT	Council Resolution and Approved adjusted Budget	28-Feb-18	Approval of Adjustment Budget by 28 February 2019	N/A	N/A	Approval of Adjustment Budget by 28 February 2019	N/A	Director: Budget and Financial Reporting	Annually	Council resolution
BTO018	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office			Approval of Mid-year budget review by 31 January 2019	OUTPUT	Council Resolution and Approved Mid-year budget review	25-Jan-18	Approval of Mid-year Budget review	N/A	N/A	Approval of Mid-year budget review by 31 January 2019	N/A	Director: Budget and Financial Reporting	Annually	Council resolution
BTO019	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office			Submission of Annual Financial Statements to Auditor-General on or before 31 August 2018	OUTPUT	Proof of submission and Annual Financial Statements	31-Aug-17	Proof of submission of AFS by 31 August 2018	Submission of Annual Financial Statements to Auditor-General on or before 31 August 2018	N/A	N/A	N/A	Director: Budget and Financial Reporting	Annually	Proof of submission from Auditor-General
BTO020	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial management; and	Sound Financial Management /Viability	To ensure sound financial and fiscal management and good governance	To ensure efficient and effective implementation of financial internal controls	Budget and Treasury Office			Monthly Section 71 reports to the Mayor, National and Provincial Treasuries within 10 working days of each month.	OUTPUT	Proof of submission to the Mayor	12	12	3	3	3	3	Director: Budget and Financial Reporting	Monthly	Proof of submission to the Mayor

## NEWCASTLE MUNICIPALITY

## DRAFT SDBIP 2018/19

## COMMUNITY SERVICES

SDBIP REFERENC E NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA (LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	DRAFT BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	COMMUNITY SERVICES					RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
														ANNUAL TARGET 2018/19	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4			
CS001	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	Sound financial managemen t; and	Improved access to public facilities (including educational facilities - provincial mandate)	To ensure implementation of capital programme	To ensure that good governance principles are implemented	Administration			The percentage of a capital budget actually spent on capital projects identified for a particular financial year in terms of the municipality's Integrated Development Plan	OUTPUT	Percentage (%)	90%	90%	15%	42%	67%	90%	SED: Community Services	Quarterly	Year to date (Month-end) expenditure reports from BTO.
CS002	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Putting people first;	Improved Community Safety	To improve Awareness Campaigns and Information sharing Sessions to the Community and Schools	Facilitate safety awareness campaigns	Administration			Percentage of a Communication Plan implemented	OUTPUT	Percentage (%)	100%	100%	100%	100%	100%	100%	SED: Community Services	Quarterly	Communication plan and Presentations/registers/publicati ons/minutes of meeting
CS003	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	Delivering basic services;	Improved access to basic service delivery (i.e. Water, sanitation, electricity, housing, waste removal)	To create a safe and healthy environment	To implement the Waste Management Strategy in line with relevant legislation	Cleansing		BS23.1.1	Annual review of the Integrated Waste Management Plan by June 2019	OUTPUT	Integrated Waste Management Plan	Existing Plan	Reviewed Integrated Waste Management Plan by June 2019	N/A	N/A	Status quo and needs analysis	Integrated Waste Management Plan with inputs from stakeholders by June 2019	Superintendent Waste Management	Annual	Q3 Status quo Report Q4 Council Resolution
CS004	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	Delivering basic services;	Improved access to basic service delivery (i.e. Water, sanitation, electricity, housing, waste removal)	To create a safe and healthy environment		Cleansing		BS23.2.1	Percentage of households with access to basic level of solid waste removal	OUTPUT	Percentage (%)	65.50%	65.90%	0	0	0	65.90%	Superintendent Waste Management	Annual	BTO and progress reports against Stats SA census information
CS005	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	Delivering basic services;	Improved access to basic service delivery (i.e. Water, sanitation, electricity, housing, waste removal)	To create a safe and healthy environment	To establish a new landfill site including management of the existing facility	Cleansing		BS23.3.1	Annual audit compliance report from EDTEA on existing site by June 2019	OUTCOME	Audit Compliance Report	Existing Audit Compliance Report	Annual audit compliance report from EDTEA on existing site by June 2019	N/A	N/A	Conduct an internal monitoring check list	Annual audit compliance report from EDTEA on existing site by June 2018	Superintendent Waste Management	Annual	Q3 Check list and Q4 EDTEA Audit Compliance Report
CS006	Output 2: Improving access to basic services.	CROSS CUTTING	Delivering basic services;	Improved access to basic health services (NB : Provincial Mandate)	To ensure a healthy environment in compliance with legislation	Conducting inspections at Funeral undertaker premises	Environmental Health			Number of funeral undertaker inspections conducted	OUTPUT	Number (I)	30	20	0	10	N/A	10	Chief Environmental Health	Bi-Annual	Inspection Forms signed by the premise owner/ Reports/ Notices
CS007	Output 2: Improving access to basic services.	CROSS CUTTING	Delivering basic services;	Improved access to basic health services (NB : Provincial Mandate)	To ensure a healthy environment in compliance with legislation	Conduction of inspections at food premises	Environmental Health			Number of food premises inspected	OUTPUT	Number (I)	120	120	30	30	30	30	Chief Environmental Health	Quarterly	Inspection Forms signed by the premise owner/ Reports/ Notices
CS008	Output 2: Improving access to basic services.	CROSS CUTTING	Delivering basic services;	Improved access to basic health services (NB : Provincial Mandate)	Prevention and control of stray animals in provincial , municipal roads and open spaces.	Implementation of Pound keeper Services in compliance with KZN Pounds Act 3 of 2006	Environmental Health			Operating and provision of Pound Keeper Services		Number (I)	NEW	Operational Pound Keeper Services	Appointment of sevice provider	Operating and provision of poundkeeper services	Operating and provision of poundkeeper services	Operating and provision of poundkeeper services	Chief Environmental Health	Quarterly	Appointment letter/monthly reports/invoices by service provider
CS009	Output 2: Improving access to basic services.	CROSS CUTTING	Putting people first;	Improved Community Safety	To ensure the provision of Traffic Management Services	Intensify Law Enforcement activities Conducting Intensify Law Enforcement activities (road blocks)	Traffic Control		CC38.1.1	Number of roadblocks conducted	OUTPUT	Number (I)	24	24	6	6	6	6	Chief Traffic	Quarterly	Road block statistics and register
CS010	Output 2: Improving access to basic services.	CROSS CUTTING	Putting people first;	Improved Community Safety	To ensure provision of Fire and Disaster Management Services	To provide and maintain an efficient and effective Disaster Management Service to Newcastle.	Fire and Defence			Average time taken to assess and distribute disaster relieve	INPUT	Hour	24 hours	24 hours	24 hours	24 hours	24 hours	24 hours	Chief Fire	Quarterly	Beneficiary / Distribution Forms and Summary of Calculation
CS011	Output 2: Improving access to basic services.	CROSS CUTTING	Putting people first;	Improved Community Safety	To ensure provision of Fire and Disaster Management Services	To improve the fire-fighting services.	Fire and Defence			Number of fire inspections conducted	OUTPUT	Number (I)	200	120	30	30	30	30	Chief Fire	Quarterly	Fire Safety Inspection Form signed by the premise owner
CS012	Output 2: Improving access to basic services.	CROSS CUTTING	Putting people first;	Improved Community Safety	To ensure provision of Fire and Disaster Management Services	To improve the fire-fighting services.	Fire and Defence			3 minutes average dispatch time in line with SANS 10090:2003	PROCESS	Time	1 minute	3 minutes average dispatch time in line with SANS 10090:2003	3minutes average dispatch time in line with SANS 10090:2003	3 minutes average dispatch time in line with SANS 10090:2003	3 minutes average dispatch time in line with SANS 10090:2003	3 minutes average dispatch time in line with SANS 10090:2003	Chief Fire	Quarterly	Occurrence Book and Formula
CS013	Output 2: Improving access to basic services.	CROSS CUTTING	Putting people first;	Improved Community Safety	To ensure provision of fire and disaster management services	To provide and maintain an efficient and effective disaster management service to Newcastle.	Fire and Defence		CC40.1.1	Annual Review frameworks, Sector Plans and Contingency Plans by end of June 2019		Adoption of the plan & Policy	Draft Disaster Management plan	Annual Review frameworks, Sector Plans and Contingency Plans by end of June 2019	Disaster Risk reduction against climate change.	Workshop sector departments on policy for Disaster Risk management in Newcastle	Workshop sector departments on policy for Disaster Risk management in Newcastle	Adoption for reviewing of Disaster Risk Management for Newcastle	Chief Fire	Quarterly	Q1 Report on Disaster reduction and climate change Q2 & 3 Workshop Attendance register and presentation on Policy for Disaster Risk Management/Review frameworks, Sector Plans and Contingency Plans Q4 Council Resolution and Approved Frameworks,Sector Plans and Contingency Plans



NENKATA MUNICIPALITY BUDGET (EXPENDITURE) SERVICES DELIVERY REVIEW																				
BUDGET NUMBER	OUTCOME 1	NATIONAL DATA	BACK TO BASICS PLAN	SDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL FUNCTIONS	FUNCTIONAL AREA (LEFT 4) FOR THE FUNCTIONS AREA (ON THE DEPARTMENTAL BUDGET)	MPA LINKED TO SDP	KPI PERFORMANCE INDICATOR	ON THIS EMPLOYE CAPACITY, QUALITY, PRODUCTIVITY	UNIT OF MEASURE	BASELINE	APPROVED ANNUAL TARGET 2024/25	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DEPARTMENT)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.1	Number of administrative position or positions deployed or released - 2024/25	Output	Number	None	1. Pending position development	0	0	0	0	Director - Administration	Quarterly	Quarterly public notice
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Facilitate effective logistics management & control activities to support Council committees, Management Committee & other related functions, and provide effective customer support to the community.	Corporate Services Administration	Corporate Services Administration	FD 2.2	Major or complete audit Annual Meeting Report as approved by Council	Output	Major	100%	100%	100%	100%	100%	100%	Director - Administration	Quarterly	Program report against approved terms and conditions of service contract
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.3	Number of facilities, submitted on the SDMS system	Output	Number	None	0	0	0	0	0	Director - Administration	Quarterly	Attendance register, user completion forms and user sign-off provided for the system
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.4	Number of compliance audit conducted by the system	Output	Number	None	0	0	0	0	0	Director - Administration	Quarterly	Quarterly Reports Policy
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.5	Percentage of PMH plan (1) Risk Register	Output	Percentage	100%	100%	100%	100%	100%	100%	Director - Human Resources	Quarterly	Attendance register, Progress Report
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.6	Agreement with Strategic aligned to organizational strategy by year 2025	Output	Agreement	100%	100%	100%	100%	100%	100%	Director - Human Resources	Quarterly	Progress reports
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.7	Submission of all projects	Output	Number	None	0	0	0	0	0	Director - Human Resources	Quarterly	Attendance register/ all projects
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.8	Submission of all projects	Output	Number	None	0	0	0	0	0	Director - Human Resources	Quarterly	Attendance register/ all projects
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.9	Submission of all projects	Output	Number	None	0	0	0	0	0	Director - Human Resources	Quarterly	Attendance register/ all projects
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.10	Submission of all projects	Output	Number	None	0	0	0	0	0	Director - Human Resources	Quarterly	Attendance register/ all projects
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.11	Submission of all projects	Output	Percentage	60%	60%	N/A	N/A	N/A	60%	Director - Human Resources	Quarterly	Register, equipment list
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.12	Range of municipal budget actually spent on infrastructure as a percentage of the approved budget	Output	Percentage	N/A	0.00%	0.00%	0.00%	0.00%	0.00%	Director - Human Resources	Quarterly	Budget Process and annual expenditure plan and allocation
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.13	Number of studies conducted for organizational development and improvement projects	Output	Number	N/A	0	0	0	0	0	Director - Human Resources	Quarterly	Registers
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.14	Number of training sessions organized for employees	Output	Number	N/A	0	0	0	0	0	Director - Human Resources	Quarterly	Attendance Register, Communication and program report for training and other staff development
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.15	Completion and Submission of the employee performance appraisal	Output	Percentage	N/A	0	0	0	0	0	Director - Human Resources	Quarterly	Submission of appraisal to HR/TA
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.16	Range of safety issues on community health and safety	Output	Percentage	N/A	0	0	0	0	0	Director - Human Resources	Quarterly	Minutes of Safety Committee Meeting and program report on safety issues raised
CG0000	Output 6: Administrative and financial capability	MUNICIPAL DEVELOPMENT AND TRANSFORMATION	Building operational local government institutions	Accelerated Municipal Transformation and Corporate Development	Effectively provide an inclusive, joint, safe, healthy and secure public space for the community and business, and ensure that the community and business are safe, healthy and secure.	Corporate Services Administration	Corporate Services Administration	FD 2.17	Monitoring and review for departmental	Output	Percentage	N/A	0	0	0	0	0	Director - Human Resources	Quarterly	Review and approval performance reports against approved terms and conditions of service contract

NEWCASTLE MUNICIPALITY DRAFT DP&HS SDBIP 2018/19																						
SDBIP REFERENCE NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA ( LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	APPROVED BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	APPROVED BUDGET 2018/19 BY FUNCTIONAL AREA (CAPITAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED ANNUAL TARGET 2018/19	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
DPHS1	OUTPUT 6; Administrative and Financial Viability	FINANCIAL VIABILITY	Building capable local government institutions.	Sound financial management/ viability	To ensure implementation of capital programme	To develop a system of delegation that will maximise administrative and operational efficiencies	Administration	7,270,821.00			The percentage of a capital budget actually spent on capital projects identified for a particular financial year in terms of the municipality's integrated development plan	OUTCOME		90%	90%	17%	42%	50%	80%		Quarterly	Year to date (Month-end) expenditure reports from BTO.
DPHS2	OUTPUT4 : Action support of human settlement outcomes	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Building capable local government institutions.	Accelerated Municipal Transformation and Corporate Development	Develop an efficient and effective land use management system so as to promote harmonious land development	To develop a system of delegation that will maximise administrative and operational efficiencies	Administration				Number of policies/bylaws formed and reviewed	OUTCOME		1	2(1.OPEN SPACE POLICY 2.SMME PROCUMENT POLICE)	N/A	N/A	N/A	2	SED: DP & HS	Annual	Council Minutes
ED1	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	To develop Tourism Strategy in line with the 4th generation IDP	Local Economic Development	7,270,821.00	6,545,405.00	ED31.1.1	DEVELOPMENT & APPROVAL OF THE NEW TOURISM STRATEGY IN LINE WITH 4TH GENERATION IDP BY 30 JUNE 2019	Output	Council Resolution and Approved Tourism Strategy	Tourism Strategy (3rd Generation)	DEVELOPMENT & APPROVAL OF THE NEW TOURISM STRATEGY IN LINE WITH 4TH GENERATION IDP BY 30 JUNE 2019	APPOINTING OF SERVICE PROVIDER	ENGAGEMENT WITH ALL ROLE PLAYERS	DRAFT STRATEGY (POLICY)	APPROVAL OF THE NEW LED STRATEGY IN LINE WITH 4TH GENERATION IDP BY 30 JUNE 2019	Manager Tourism	Quarterly	LETTER Q2. ATTENDANCE REGISTER AND MINUTES. Q3 DRAFT STRATEGY Q4. COUNCIL RESOLUTION AND APPROVED
ED2	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	To Promote Business Retention and Expansion (BNR) to support local businesses	Local Economic Development			ED31.2.1	Approved Business Retention and Expansion (BNR) by 30 June 2018	OUTPUT	Council Resolution and Approved LED Strategy	Existing BNR Strategy	Approved Business Retention and Expansion (BNR) by 30 June 2018	Workshops with Business Chambers on existing BNR Strategy	Draft reviewd BNR	Workshop Council on Draft BNR	Approved Business Retention and Expansion (BNR) by 30 June 2018	Director: ED	Quarterly	Q1 - Attendance Register of meeting held with Chamber; Q2 - Draft NBR; Q3 - Attendance Register of Workshop with Councillors; Q4 - Council Resolution of approved BNR.
ED3	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	Local Economic Development				Updating of municipal database for SMME's	OUTPUT	Final Database	new	Updated municipal database for SMME's	Advertising request for SMME's to register	n/a	N/A	Final refined SMME's Database	Acting Manager: LED	ANNUAL	Q3 N/A Q4- UPDATED Final refined database and advert
ED4	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship	Local Economic Development			ED31.6.1	Number of SMME's Training Events	OUTPUT	Number	50	50	n/a	n/a	n/a	50	Acting Manager: LED	Annual	Report to Portfolio Committee on SMME's Training Events undertaken
ED5	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (eradication of poverty and unemployment)	To ensure radicalisation of the local economy	Promotion of local procurement of goods and services to stimulate local economy and job creation	Local Economic Development				Undertaking of Audit on projects funded via Poverty Alliviation Programme	Output	Analysis report	New KPI	Analysis Report on projects funded via Poverty Alliviation Programme	n/a	n/a	n/a	Analysis Report on projects funded via Poverty Alliviation Programme	Acting Manager: LED	Annual	Report to Portfolio Committee on Analysis Report on projects funded via Poverty Alliviation Programme
ED6	OUTPUT 1 :IMPLEMENT A DIFFERENTIATED APPROACH TO MUNICIPAL FINANCING.	LOCAL ECONOMIC DEVELOPMENT	PUBLIC PARTICIPATION : PUTTING PEOPLE FIRST	Local Economic Development (eradication of poverty and unemployment)	To promote economic development that will result in sustainable job creation	Provide economic data	Local Economic Development				Number of Jobs created through Municipal Programmes			700	700	n/a	n/a	n/a	700	DPHS : LED	ANNUALLY	Progress Report to Portfolio Committee
ED7	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town					ED31.5.1	Number of SMMEs linked to Markets by 30 June 2019	OUTCOME	Number	5	10	N/A	N/A	N/A	10	DPHS : LED	ANNUAL	Minutes of Portfolio Committee approving Report on SMME's
ED8	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Establishment of Techno Hub Innovation Centre Building in Newcastle	ED31.9.1	Completed Techno Hub Building by 31 March 2018			ED31.9.1	Completed Techno Hub Building by 31 March 2018	Output	Completion Certificate	new KPI	Completed Techno Hub Building by March 2018	n/a	N/A	Completed Techno Hub Building by March 2018	N/A	DPHS : LED	ANNUALLY	Completion Certificate AND invoices
ED9										ED31.8.1	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 31 March 2018	Outcome	Reports to PFSC	New KPI	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 31 JUNE2018	ENGAGE WITH OPERATORS	N/A	N/A	Launch of SCHEDULED FLIGHTS between Newcastle and other major airports by 30 JUNE 2018	LED	ANNUAL	service agreement between municipality and airline
ED10	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship				ED31.3.1	N/A	OUTPUT	APPROVED LED STRATEGY		N/A	N/A	N/A	N/A	N/A	DPHS : LED	N/A	N/A
ED11	Output 1: Implement a differentiated approach to municipal financing, planning and support.	LOCAL ECONOMIC DEVELOPMENT	Putting people first	Local Economic Development (eradication of poverty and unemployment)	To facilitate economic development that will result in sustainable job creation and growth of the Town	Facilitation and Promotion of SMME development and Entrepreneurship				ED31.4.1	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	DPHS : LED	N/A	N/A
TP1	Output 4: Actions supportive of the human settlement outcome.	CROSS CUTTING	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To develop an efficient and effective land use management system so as to promote a rational and harmonious land use activity system.	Administration of By-laws and polices and guidelines that are aligned to the Land Use matters	Town Planning	16,891,170.00	50,000,000.00		% of building plans completed within statutory time frames				100%	100%	100%	100%	100%	Senior Building Inspector and Acting Manager: LUM	Quortely	Progress Report / Registers
TP2	Output 4: Actions supportive of the human settlement outcome.	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To develop an efficient and effective land use management system so as to promote a rational and harmonious land use activity system.	Administration of By-laws and polices and guidelines that are aligned to the Land Use matters	Town Planning				%age compliance to prescribed timeframes on processing of development and/or planning applications				Compliance to statutory timeframes.	100%	100%	100%	100%	S. Cindi	Quarterly	
TP3	Output 4: Actions supportive of the human settlement outcome.	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To develop an efficient and effective land use management system so as to promote a rational and harmonious land use activity system.	To undertake efficient and effective building controls.	Town Planning			CC34.2.1	Completed feasibility in relation green building development within the municipality				Undertake a feasibility to develop bylaws in relation to green buildings 30 June 2019	Process Plan	Final status co- report	Approval of draft by law	adoption of final by- law	Senior Building Inspector	Quarterly	Progress report &/portfolio/ Council minutes



SDBIP REFERENCE NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA ( LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	APPROVED BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	APPROVED BUDGET 2018/19 BY FUNCTIONAL AREA (CAPITAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED ANNUAL TARGET 2018/19	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
TP4	Output 1: Implement a differentiated approach to municipal financing, planning	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To ensure an effective and integrated Geographic Information Management System.	GIS System integration with other municipal systems.	Town Planning				Integration of GIS with other relevant municipal softwares	PROCESS		New - None	Integration of GIS with other relevant municipal softwares	Tender adjudication	Dignosis report on the existing softwares	Specification for integration of softwares	integration of relevant softwares with GIS for better decision making	Manager: GIS	Quarterly	Q1: Monthly progress report; Q2: Progress Report; Q3: Specification document; Q4 Close-out Report
TP5	Output 7: Single window of coordination.	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To promote spatial restructuring and integration	Development of municipal SDF in line with the 4th Generation of IDP	Town Planning			Approved SDF by 31 May 2019	Output	Approved SDF	Newcastle SDF	Approved Spatial Development Framework by 31 May 2019	N/A	N/A	N/A	Final approved SDF as part of the IDP	Manager: SP	ANNUALLY	Council Resolution Approved SDF	
TP6	Output 1: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To promote spatial restructuring and integration	Development of municipal SDF in line with the 4th Generation of IDP	Town Planning			Approval/Review of one Local Area Plan / Precinct Plan by 30 June 2019	Output	Approved LAP	1	Approval/Review of one Local Area Plan / Precinct Plan by 30 June 2019	N/A	Status Quo Analysis		Approved Local Area Plan / Precinct Plan	Manager: SP	Bi-annual	Q1 : N/A, Q2 Status Qou Analysis Report, Q4 Approved Local Area Plan/Precinct Plan or Approved Review	
TP7	Output 1: Implement a differentiated approach to municipal financing, planning	CROSS CUTTING	Building capable local government institutions.	Spatial and environmental sustainability	To promote spatial restructuring and integration	Identification of suitable land for cemeteries and relevant Geotech studies	Town Planning			37.3.1	Establishment of a cemetery	Input	Lodgement of the EIA document with Enviro Affairs	0	Lodgement of the EIA document with Enviro Affairs	N/A	N/A	EIA	Lodgement of EIA with Enviro Affairs	DPHS	Bi-Annual	Q3: Progress report; Q4: Progress Report
TP8	Output 2: Improving access to basic services	Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To create a safe and healthy environment	To establish a new landfill site including management of the existing facility	Town Planning			BS23.4.1	Planning and Identification of Land Fill Site by 30 June 2019	Output	Progress Reports submitted to PFSC	None	Obtaining a waste licence	n/a	Waste Licence	n/a	n/a	City Planner: P. Ntshingila	Bi-Annually	Progress reports as submitted to PSC
TP9	Output 1: Implement a differentiated approach to municipal financing, planning and support.	CROSS CUTTING ISSUES	Putting people first	• Improved access to land (including Land Reform)	To promote sustainable development and sound environmental planning	Review of the municipal open space system	Town Planning			CC37.2.1	Review and approval of the municipal Open Space System by 30 June 2018	Output	Council Minutes and Reviewed Municipal Open Space System	Open Space Policy and Framework	Review and Approval of the Open Space Policy and Framework by 30 June 2018	N/A	N/A	N/A	Review and Approval of the Open Space Policy and Framework by 30 June 2018	DPHS : TP	Annual	Council Resolution and Approved Opens Space Policy
URP1	Output 2: Improving access to basic services.	CROSS CUTTING	Building capable local government institutions.	Local Economic Development (Eradication of poverty and unemployment)	To uplift communities socially, economically and environmentally, including infrastructure development.	Promotion of focussed Urban Renewal in the Madadeni, Blaaubosch (including Cavan and Johnstown) and Osizweni areas including the Greater Newcastle Area	Town Planning				Approved Urban Regeneration Strategy	OUTPUT	Urban Regeneration Strategy	New KPI	Approved Urban Regeneration Strategy	Project Inception	Status Quo Analysis	Continuation of situational analysis	Continuation if situational analysis and outlining of emerging issues in analysis	Director URP	Quarterly	Q1: Inception report Q2: Status Quo Report Q3: progress report Q4: Situational analysis
IDP1	Output 7: Single window of coordination.	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To keep the communities and stakeholders informed and involved in the affairs of the Municipality	To improve both internal and external communication	URP	6,160,688.00	0.00	GG9.1.1	Approval of Public Participation Strategy by June 2019	OUTPUT	Approved Public Participation Strategy	New KPI	Approved Public Participation Strategy by June 2019	Appointment of Service Provider	Development of Draft Public Participation Strategy	Consultation of relevant Stakeholders on Public Participation Strategy	Approval of Public Participation Strategy	Director IDP	Quarterly	1. Advert of Bid, Appoint letter for Service Provider; 2. Draft Public Participation Strategy; 3.
IDP2	Output 5: Deepen democracy through a refined Ward Committee Model.	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To keep the communities and stakeholders informed and involved in the affairs of the Municipality	To ensure the effective functionality of ward committees	DPHS			Ward Committee Operational Plan policy reviewal by June 2019	OUTPUT	Ward Committee Operational Plan	New KPI	Approved of Ward Committee Operational Plan by June 2019	Appointment of Service Provider	Development of Draft Ward Committee Operational Plan by June 2019	Consultation of relevant Stakeholders on Ward Committee Operational Plan by June 2019	Approval of Ward Committee Operational Plan by June 2019	Director IDP	Quarterly	1. Advert of Bid, Appoint letter for Service Provider; 2. Draft Ward Committee Operational Plan; 3.	
IDP3	Output 7: Single window of coordination.	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To ensure the development and the maintenance of credible IDP	To develop IDP in line with 4th generation guide packs / guidelines	DPHS			Review & Adopted IDP by 31 May 2018	OUTPUT	Adopted IDP	Adoption of IDP by 31 May 2017 for implementation on the next financial year.	Adoption of IDP by 31 May 2018 for implementation on the next financial year.	Approved process plan by 31 August 2017	N/A	Tabling of Draft IDP by 31 March 2018	Adoption of IDP by 31 May 2018 for implementation on the next financial year.	Director IDP	Quarterly	Q1 : Approved Process Plan , Q2 N/A, Q3 Draft IDP, Q4 Council Resolution	
IDP4	Output 5: Deepen democracy through a refined Ward Committee Model.	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To ensure the development and the maintenance of credible IDP	Public Participation for IDP	DPHS			Number of IDP RF meetings held	OUTPUT	Number of IDP RF meetings	2	2	N/A	1	N/A	1	Director IDP	Bi-Annually	Attendance Register	
IDP5	Output 5: Deepen democracy through a refined Ward Committee Model.	GOOD GOVERNANCE	Putting People First	GOOD GOVERNANCE	To keep the communities and stakeholders informed and involved in the affairs of the Municipality	To ensure the effective functioning of Ward Committees.	DPHS			Quarterly repotrs on Ward Committee meetings submitted to COGTA.	OUTPUT	Quarterly repotrs on Ward Committee meetings submitted to COGTA.	4	4	1	1	1	Director IDP	Quarterly	reports from Ward Committee meetings		
HL1	Output 4: Actions supportive of the human settlement outcome.	BASIC SERVICE DELIVERY	Building capable local government institutions.	Improved access to basic service delivery (I.e Water, sanitation, electricity, housing, waste removal)	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	To develop a Human Settlement Plan in line with the 4th Generation IDP	Housing & Land	22,908,341.00	1,643,637.00	BS28.1.1	To develop Human Settlements Plan in line with the 4th Generation IDP by 30 June 2018	Output	Number	Annual Review of Housing Sector Plan approved as part of the IDP	Approval of Human Settlements Plan in line with 4th Generation IDP by 30 June 2018	N/A	N/A	N/A	Approval of Human Settlements Plan in line with 4th Generation IDP by 30 June 2018	Director: Human Settlements	Annual	Council Resolution
HL2	Output 4: Actions supportive of the human settlement outcome.	BASIC SERVICE DELIVERY	Building capable local government institutions.	Improved access to basic service delivery (I.e Water, sanitation, electricity, housing, waste removal)	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	To reduce housing backlog to meet the provincial and national targets	Housing & Land			Number of application for funding submitted to the Department of Human Settlement	Output	Number	2	2	N/A	1	N/A	1	Director: Human Settlements	Biannual	Application Submitted to KZN Dept of Human Settlements and acknolgment of receipt from KZN Human Settlements	
HL3	Output 4: Actions supportive of the human settlement outcome.	BASIC SERVICE DELIVERY	Building capable local government institutions.	Improved access to basic service delivery (I.e Water, sanitation, electricity, housing, waste removal)	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	To reduce housing backlog to meet the provincial and national targets	Housing & Land			BS28.2.1	Number of houses built in a year		Number housing unit	200	N/A	N/A	N/A	200	Director: Human Settlements	Annual	Progress Reports and D6 Certificates	
HL4		Basic Services and Infrastructure Delivery	Basic Service Delivery	Basic Service Delivery and Infrastructure	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	To reduce housing backlog to meet the provincial and national targets	Housing & Land			Number of sites services		Number of sites		200	N/A	N/A	N/A	200	Director: Human Settlements	Annual	Progress Report & Engineers Certificate	
HL5	Output 4: Actions supportive of the human settlement outcome.	BASIC SERVICE DELIVERY	Building capable local government institutions.	Improved access to basic service delivery (I.e Water, sanitation, electricity, housing, waste removal)	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	To implement approved housing projects	Housing & Land				Progress made with Drycut Housing Project	Output	Number	Completion and submission of Stage 1 Application	Approval of Trench 1 application 30 June 2019	n/a	n/a	n/a	Approval of Trench 1 application by 30 June 2019	Manager: Rural Development	Annual	Tripartite agreement / the email from KZN Human Settlement confirming the approval
HL6	Output 4: Actions supportive of the human settlement outcome.	BASIC SERVICE DELIVERY	Building capable local government institutions.	Improved access to land (including Land Reform)	To facilitate the provision of sustainable human settlements in line with the national and provincial norms and standards.	Fast-track Title Deed Restoration Project	Housing & Land					BS29.1.1	Number of houses transferred through Enhanced Extended Discount Benefit Scheme (EEDBS)	Output	Number	40	200	N/A	100	N/A	100	Manager: Estate



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NEWCASTLE MUNICIPALITY  
SDBIP 2018/19: OFFICE OF THE MUNICIPAL MANAGER

DRAFT SDBIP

SDBIP REFERENCE NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA ( LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	DRAFT BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	ANNUAL TARGET 2018/19	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
MM001	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To develop and implement an optimal communication strategy and service charter by 2021	Municipal Manager		GG1.2	Monthly Progress reports on execution of resolutions for Manco, Exco, Council and MPAC	Output	Reports	11	11	2	3	3	3	Manager : Executive Support	Quarterly	Minutes of Exco/Council / MPAC
MM002	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To develop a system of delegation that will maximise administrative and operational efficiencies	Municipal Manager		GG5.1.2	Annual Review of Delegations Policy by 30 June 2018	Output Indicator	Council Minutes and Approved Delegation Policy	Approved Delegations on 30 June 2014	Annual Review of Delegations Policy by 30 June 2018	N/A	N/A	N/A	Approval of Delegations Policy by Council by June 2018	Manager : Executive Support	Annual	Council resolution and approved Delegation Policy
MM003	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To strengthen executive support .	Municipal Manager		GG.1.3	Number of District IGR MM's forums meetings held and attended	Output Indicator	Number	New KPI	4	1	1	1	1	Manager : Executive Support	Quarterly	Attendance registers, minutes and resolutions related to department implemented within specified timeframes
MM004	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To develop and implement an optimal communication strategy	Public relations		GG10.1.1	Approved Communication Strategy by March 2019	Output Indicator	Approved Communication strategy	Draft communication strategy	Approved Communication Strategy by March 2019	Submission of Draft Communication Strategy to Manco for comments and Exco for Adoption	Incorporate comments from Exco and Manco on the Draft Communication Strategy and Workshop of Councillors	Submission to Council for Approval and Approved Communication Strategy	N/A	Manager : Executive Support	Annual	Q1 Manco & Exco minutes and attendance register Q2 Councillors Workshop and attendance register, Draft Communication Strategy with Exco & Manco comments/recommendations Q3 Council resolution and Approved Communication Strategy
MM005	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To provide an enhanced internal and external communication service.	Public relations		GG11.1.1	Number of Internal Communications Forum meetings held	Output Indicator	Number	12	12	3	3	3	3	Manager : Executive Support	Quarterly	ICF Minutes and attendance registers
MM006	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Putting people first;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	Publication of Quarterly Internal Newsletter	Public relations			Number of Internal Newsletters	Output Indicator	Number	New KPI	8	2	2	2	2	Manager : Executive Support	Quarterly	Internal Newsletters
MM007	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To improve both internal and external communication.	Public relations			Development and Approval of a Communication Plan by March 2019	OUTPUT	Communication Plan	Annual Departmental Communication Plans	Development and Approval of a Communication Plan by March 2019	Submission of Draft Communication Strategy to Manco for comments and Exco for Adoption	Incorporate comments from Exco and Manco on the Draft Communication Strategy and Workshop of Councillors	Submission to Council for Approval and Approved Communication Strategy	N/A	Manager : Executive Support	Quarterly	Q1 Draft Communication Plan, Exco & Manco minutes with attendance register Q2 Councillors Workshop attendance register and presentation Draft Communication Plan with Exco & Manco comments/recommendations Q3 Council resolution and Approved Communication Plan
MM008	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To address issues raised by the Public	Public relations			% of customer complaints submitted and addressed	OUTCOME	% complaints addressed	96%	100%	100%	100%	100%	100%	Manager : Executive Support	Quarterly	Register of complaints addressed,A signed Municipality Official response and calculation to show % received
MM009	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To ensure good relations with the media houses	Public relations			% of media enquiries addressed	OUTCOME	% of media enquiries address	96%	100%	100%	100%	100%	100%	Manager : Executive Support	Quarterly	Media Enquiries addressed register,A signed Municipality Official response,pubcation,email communications from the publisher enquiring, email from the municipality responding to a media enquiry and calculation to show % received
MM010	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To ensure that municipal officials adhere to Bantu Pele principles	Public relations			Approved Service Charter and Service Standards by March 2019	OUTPUT	Service Charter and Service Standard	Approved Service Charter and Service Standards	Approved Service Charter and Service Standard by March 2019	Submission of Draft Service Charter and Service Standard to Manco for comments and Exco for Adoption	Incorporate comments from Exco and Manco on the Draft Service Charter and Service Standard and Workshop of Councillors	Submission to Council for Approval and Approved Service Charter and Service Standards	N/A	Manager : Executive Support	Quarterly	Service Charter and Service Standard,Manco & Exco minutes and attendance register Q2 Councillors Workshop attendance register and presentation, Draft Service Charter and Service Standards with Exco & Manco comments/recommendations Q3 Council resolution and an Approved Service Charter and Service Standard
MM011	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To ensure that municipal officials adhere to Batho Pele Principles	Public relations			Annual Customer Satisfaction Survey Conducted by 31 January 2018	OUTPUT	Survey	Annual Customer Satisfaction Survey Conducted by 31 January 2017	Annual Customer Satisfaction Survey Conducted by 31 January 2018	N/A	N/A	Annual Customer Satisfaction Survey Conducted by 31 January 2018	N/A	Manager : Executive Support	Bi-annual	Customer Satisfaction Survey Report/minutes of Exco, Council

SDBIP REFERENCE	OUTCOME 6	NATIONAL KPA	BACK TO	IRP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIC	FUNCTIONAL AREA ( LIST AS PER THE FUNCTIONAL AREA	DRAFT BUDGET 2018/19 BY FUNCTIONAL AREA	KPI No. LINKED	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME	UNIT OF MEASURE	BASELINE	ANNUAL TARGET	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL	FREQUENCY OF	PRIMARY SOURCE OF EVIDENCE
MM012	Output 3: Implementation of the Community Work Programme.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To ensure that municipal officials adhere to Bantu Pele principles	Public relations			Number of media briefings and press releases	OUTCOME	Press leasesses	8	8	2	2	2	2	Manager : Executive Support	Quarterly	Press realise register and press statement
MM013	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure that the municipality has and maintains an accountable and standardised ICT systems	To ensure that the ICT activities and investments are in alignment with organizational objectives and strategies	IT		GG12.3.1	Approval of ICT Strategic Plan by June 2018	Output Indicator	Approved ICT Strategic Plan	New KPI	N/A	N/A	N/A	N/A	N/A	Director : IT	N/A	N/A
MM014	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure that the municipality has and maintains an accountable and standardised ICT systems	To facilitate the annual implementation of good ICT governance processes	IT		GG12.11	Number of ICT Steering Committee meetings	Output Indicator	Number	4	4	1	1	1	1	Director : IT	Quarterly	ICT Steering Committee Minutes and attendance register
MM015	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	Provide stable, robust and secure ICT infrastructure for Municipal users	To provide continuous IT solutions and support services	IT			% of uptime maintained	OUTCOME	%	96%	96%	96%	96%	96%	96%	Director : IT	Quarterly	System Uptime Report and ( additional evidence supporting the report)
MM016	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	Provide stable, robust and secure ICT infrastructure for Municipal users	To provide continuous IT solutions and support services	IT			Number of Disaster Recovery Tests conducted	OUTPUT	Number of Disaster Test	1	1	N/A	N/A	N/A	1	Director : IT	Annual	Disaster recovery test report
MM017	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	Provide stable, robust and secure ICT infrastructure for Municipal users	To implement more effective ICT controls	IT			Number of ICT Security Audits	OUTPUT	Number of ICT Security Audits	4	4	1	1	1	1	Director : IT	Quarterly	Active Directory Audit Report and additional evidence supporting the report
MM018	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure that the municipality has and maintains an accountable, transparent and standardised ICT systems	To provide ICT systems access to authorized users	IT			Frequency of user access reviews	OUTPUT	User access reviews	4	4	1	1	1	1	Director : IT	Quarterly	User Access Review Report and evidence supporting the report
MM019	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure that good governance principles are implemented	To review and implement policies and strategies	IT		GG12.2.1	Number of reviewed ICT Strategy / ICT policies / ICT procedures	OUTPUT	Number of ICT policies/procedures	4	1	N/A	N/A	N/A	1	Director : IT	Annual	Council Resolution/ SED Approval for procedures
MM020	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To promote and enhance good governance in the organization.	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	Risk management		GG5.4.1	Annual review of Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by 30 June 2019	OUTPUT	Policy and Strategy	Existing Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy	Annual review of Risk Management Policy and strategy, Anti-Fraud & Corruption Policy and strategy by 30 June 2019	N/A	N/A	N/A	Approval of Risk Management Policy and Strategy, Anti- Fraud & Corruption Policy and Strategy by 30 June 2019	Chief Risk Officer	Annual	Council resolution and Approved Strategy and Policy (Where applicable )/ Proof of review)
MM021	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To promote and enhance good governance in the organization.	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	Risk management		GG5.5.1	Annual risk assessment report for 2019/20 as approved by Manco by 31 May 2019	OUTPUT	Minutes of Manco and Annual Risk Register	Risk Register 2017/18	Annual risk assessment report for 2019/20 as approved by Municipal Manager by 31 May 2019	N/A	N/A	N/A	Annual risk assessment report for 2019/20 as approved by Municipal Manager by 31 May 2019	Chief Risk Officer	Annual	Manco Resolution / Attendance registers for risk assessment workshops and Annual Risk assessment report/Risk assessment report and risk registers.
MM022	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To promote and enhance good governance in the organization.	To facilitate the implementation of an effective Risk Management System towards ensuring the achievement of the organizational objectives and service delivery targets.	Risk management		GG5.6.1	Quarterly Risk Management reports on implementation of risk management action plan submitted to Audit Committee	OUTPUT	Audit Committee Minutes and Progress Report on Risk Management	To specify last report submitted to AC	4	1	1	1	1	Chief Risk Officer	Quarterly	Audit Committee Resolution and Quarterly risk Management reports
MM023	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To promote and enhance good governance in the organization.	To provide compliance monitoring support towards ensuring that compliance risks are mitigated effectively resulting in the positive audit outcomes	Risk management		GG5.7.1	Quarterly reports on AG and Internal Audit Action Plan	OUTPUT	Reports	New KPI	4	1	1	1	1	Chief Risk Officer	Quarterly	Minutes of Audit Committee
MM024	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To promote and enhance good governance in the organization.	To provide compliance monitoring support towards ensuring that compliance risks are mitigated effectively resulting in the positive audit outcomes	Risk management		GG5.8.1	Bi-annual Compliance Monitoring report submitted to Audit Committee	OUTPUT	Number of reports	Current Compliance Monitoring reporting reports	2	N/A	1	N/A	1	Chief Risk Officer	Bi-annual	Minutes of Audit Committee
MM025	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To facilitate good governance by providing assurance to council on internal controls, risk management and governance processes.	Providing recommendations and advice to management to improve internal controls, risk management and governance processes.	Internal Audit		GG7.1.1	%age of Projects implemented as per Internal Audit Plan	Outcome	Number	100%	100%	100%	100%	100%	100%	Chief Audit Executive	Quarterly	Progress report against approved Internal Audit Plan and Internal audit reports
MM026	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To facilitate good governance by providing assurance to council on internal controls, risk management and governance processes.	Providing recommendations and advice to management to improve internal controls, risk management and governance processes.	Internal Audit		GG7.2.1	Council Approval of audit committee charter by March 2019	Output	Council resolution approving Audit Committee Charter	Approved Audit Committee Charter by Council in April 2018	Council Approval of audit committee charter by March 2019	N/A	N/A	Council Approval of audit committee charter by March 2019	N/A	Chief Audit Executive	Annual	Council resolution approving Audit Committee Charter
MM027	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To facilitate good governance by providing assurance to council on internal controls, risk management and governance processes.	Providing recommendations and advice to management to improve internal controls, risk management and governance processes.	Internal Audit			Number of audit committee meeting	Output	Number	7	4	1	1	1	1	Chief Audit Executive	Quarterly	Audit committee minutes and agenda of meetings
MM028	Output 6: Administrative and financial capability.	GOOD GOVERNANCE AND PUBLIC PARTICIPATION	Good governance;	Accelerated Municipal Transformation and Corporate Development	To ensure good governance through openness, transparency and accountability in the organization.	To provide effective and efficient legal support services	Legal Services		GG8.1.1	%age of contracts drafted and vetted as requested by departments	Output	%age	New KPI	100%	100%	100%	100%	100%	Executive Manager : Legal Services	Quarterly	Registers of all contacts received with a date received and date finalised , and contracts vetted and drafted



	NEWCASTLE MUNICIPALITY																					
	DRAFT SDBIP 2018/19																					
	TECHNICAL SERVICES																					
SDBIP REF NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	DEPARTMENTAL OBJECTIVE	DEPARTMENTAL STRATEGIES	FUNCTIONAL AREA ( LIST AS PER THE FUNCTIONAL AREA ON THE DEPARTMENTAL BUDGET)	DRAFT BUDGET 2018/19 BY FUNCTIONAL AREA (OPERATIONAL)	DRAFT BUDGET 2018/19 BY FUNCTIONAL AREA (CAPITAL)	KPI No. LINKED TO IDP	KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	2018'19 ANNUAL TARGET	QUARTER 1	QUARTER 2	QUARTER 3	QUARTER 4	RESPONSIBLE OFFICIAL (DESIGNATION)	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE
TS1	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	SOUND FINANCIAL VIABILITY	Accelerated Municipal Transformation and Corporate Development	To ensure implementation of capital programme	Implementation of capital programme	Technical Services				The percentage of a capital budget actually spent on capital projects identified for a particular financial year in terms of the municipality's integrated development plan	OUTPUT	Percentage	90%	90%	13%	37%	69%	90%	SED: Technical Services	Quarterly	Year to date (Month-end) expenditure reports from BTO.
TS2	Output 3: Implementation of the Community Work Programme.	LOCAL ECONOMIC DEVELOPMENT	GOOD GOVERNANCE	Local Economic Development (Eradication of poverty and unemployment)	To create job opportunities through operational and capital programs.	To create job opportunities through operational and capital programs.	Technical Services				Number of jobs created through municipality's local economic development initiatives including capital projects	OUTPUT	Number	800	800	0	0	0	800	SED: Technical Services	Annual	EPWP report as submitted to Public Works
CIV1	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	DELIVERING BASIC SERVICES	Improved quality of roads and storm water infrastructure (including sidewalks)	To create an efficient system for infrastructure operations and management	Develop a Comprehensive Infrastructure Master Plan (It will cater for key focus areas including: Housing development, Water and sanitation, water safety plan, Roads and storm water, Energy – High voltage, Electrification, Maintenance Plan, Asset replacement plan, waste management and catalytic projects)	Civil	310,302,120.00		BS 20.1.1 AND BS20.2.1	Submission of a Business Plan to obtain funding for the preparation of the comprehensive Infrastructure Master Plan Roads & Storm water	OUTPUT	number	Submission of business plan to sector departments to obtain funding	Submission of a Business Plan to obtain funding for the preparation of the comprehensive Infrastructure Master Plan Roads & Storm water	0	Completion of Feasibility studies	0	Submission of a Business Plan to obtain funding for the preparation of the comprehensive Infrastructure Master Plan Roads & Storm water	Director: Civil Services	Bi-annual	Quarter2: Feasibility study and Quarter 4 : Proof of submission to funding sources and if approved, approval letter from the funding source
CIV2	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	DELIVERING BASIC SERVICES	Improved quality of roads and storm water infrastructure (including sidewalks)	To ensure the provision and maintenance of safe roads and effective storm water infrastructure.	Refurbishment and maintenance of roads, storm water infrastructure, traffic calming devices and provision of pedestrian walkways.	Civil			BS24.1.1	Km of Roads resealed/rehabilitated	Output	Kilometres (km)	12km	34km	0km	10km	10km	14km	Manager: Roads and Storm-water	Quarterly	Reports signed by the Director and confirmed by the Portfolio Councillor for Technical Services
CIV3	Output 2: Improving access to basic services.	BASIC SERVICE DELIVERY	DELIVERING BASIC SERVICES	Improved quality of roads and storm water infrastructure (including sidewalks)	To ensure the provision and maintenance of safe roads and effective storm water infrastructure.	Refurbishment and maintenance of roads, storm water infrastructure, traffic calming devices and provision of pedestrian walkways.	Civil			BS24.2.1	km's of roads gravelled	Output	Kilometres (km)	2,5km	8,8km	0 km	4,4km	4,4km	0km	Manager: Roads and Storm-water	Bi-annual	Reports signed by the Director and confirmed by the Portfolio Councillor for Technical Services
CIV4	Output 6: Administrative and financial capability.	MUNICIPAL INSTITUTIONAL DEVELOPMENT AND TRANSFORMATION	DELIVERING BASIC SERVICES	Accelerated Municipal Transformation and Corporate Development	Refurbish and maintain safe and acceptable municipal buildings and facilities	To address ad-hoc complaints related to building maintenance from different sections within the municipality	Civil				%age of maintenance complaints addressed as received	Output	Percentage (%)	90%	90%	90%	90%	90%	90%	Manager: Buildings	Quarterly	Maintenance Register and report signed by the Director (summary and calculations)
CIV5	Output 6: Administrative and financial capability.	MUNICIPAL INSTITUTIONAL DEVELOPMENT AND TRANSFORMATION	DELIVERING BASIC SERVICES	Accelerated Municipal Transformation and Corporate Development	Refurbish and maintain safe and acceptable municipal buildings and facilities	Develop a comprehensive buildings maintenance plan and a short term plan for implementation in the current year	Civil				% Implementation of the building maintenance plan	Output	Process indicator - completion of assessment reports	100% Completion of building maintenance reports for all municipal buildings	100%	0	50%	0	100%	Manager: Buildings	Quarterly	Maintenance Plan and Maintenance Register and report signed by the Director (summary and calculations). Quarter 3: assessment report for the tower block and Osizweni depots signed by the SED. Quarter 4: completion of all Building maintenance reports signed by the SED
CIV6	Output 6: Administrative and financial capability.	MUNICIPAL FINANCIAL VIABILITY AND MANAGEMENT	DELIVERING BASIC SERVICES	Accelerated Municipal Transformation and Corporate Development	Refurbish and maintain safe and acceptable municipal buildings and facilities	Develop a comprehensive buildings maintenance plan and a short term plan for implementation in the current year	Civil				Number of Building Maintenance Steering Committee Meetings convened	output	number	1	2	0	1	0	1	Manager: Buildings	Annual	Minutes of the meeting and the register







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PROJECT IMPLEMENTATION PLAN :2018/2019 FINANCIAL YEAR														
ACTION PLAN & PERFORMANCE REPORTING														
PROJECT NAME :		Airconditioner and humidifer: Art Galley	RESPONSIBLE DEPARTMENT	Community Services: Arts, Culture & Amenities										
VOTE/PROJECT NO.			RESPONSIBLE MANAGER	E.P Niemand										
COST OF PROJECT(AS APPROVED)		R 190,000	WARD LOCALITY	2										
PROJECT OBJECTIVE :	Conservation and preservation of art collection and assets													
PERFORMANCE TARGET:	Procument and installation of airconditioner and humidifer at the Art Gallery													
ACTION PLAN														
KEY ACTIVITIES	SOURCE OF EVIDENCE	COST	TIME FRAME											
			JULY	AUGUST	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
Compile specifications	Specifications													
Advertising	Advertisement													
Evaluations	Report													
Award	Appointment Letter and MBD 7.1													
Supply, delivery & installation	Delivery note													
Payment	Invoice													190,000
		TOTAL												190,000
REPORTING														
			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
ACTUAL (non financial)														
Actual (financial)			0											
Reason for Variance														
No. of Jobs Created														
No. of Persons Trained														
COMMENTS														

PIP REFERENCE	SOURCE OF FUNDING	PROJECT DESCRIPTION	2018/19 DRAFT BUDGET	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Total	RECON
CIVPIP1	MIG	MF55	8,522,585	800,000.00	1,000,000.00	1,100,000.00	1,200,000.00	1,000,000.00	850,000.00	800,000.00	900,000.00	872,585.21				8,522,585.21	-
CIVPIP2	MIG	MD35	6,916,168	866,168.06	900,000.00	900,000.00	1,100,000.00	1,200,000.00	700,000.00	650,000.00	600,000.00					6,916,168.06	-
CIVPIP3	MIG	MD30	3,298,605	550,000.00	700,000.00	850,000.00	700,000.00	498,605.26								3,298,605.26	-
CIVPIP4	MIG	ME11 (A)	1,854,816	300,000.00	300,000.00	300,000.00	400,000.00	230,000.00	120,000.00	100,000.00	104,816.26					1,854,816.26	-
CIVPIP5	MIG	ME11 (B)	5,559,406	650,000.00	750,000.00	800,000.00	1,000,000.00	750,000.00	650,000.00	500,000.00	459,405.50					5,559,405.50	-
CIVPIP6	MIG	OE41	3,038,128	350,000.00	400,000.00	500,000.00	600,000.00	400,000.00	300,000.00	250,000.00	238,127.83					3,038,127.83	-
CIVPIP7	MIG	OA85 (A)	4,887,572	500,000.00	600,000.00	650,000.00	800,000.00	750,000.00	600,000.00	500,000.00	487,572.43					4,887,572.43	-
CIVPIP8	MIG	OA85 (B)	7,874,500	800,000.00	900,000.00	1,200,000.00	1,200,000.00	1,300,000.00	840,500.15	834,000.00	800,000.00					7,874,500.15	-
CIVPIP9	MIG	OC20	5,544,201	600,000.00	750,000.00	800,000.00	1,000,000.00	800,000.00	600,000.00	550,000.00	444,200.50					5,544,200.50	-
CIVPIP10	MIG	OA103	5,786,019	650,000.00	650,000.00	700,000.00	700,000.00	800,000.00	700,000.00	600,000.00	500,000.00	486,018.80				5,786,018.80	-
CIVPIP11	MIG	MB7	450,000								450,000.00					450,000.00	-
CIVPIP12	MIG	MD5	300,000								300,000.00					300,000.00	-
CIVPIP13	MIG	MF 18 & MF19	550,000								300,000.00		250,000.00			550,000.00	-
CIVPIP14	MIG	MB23	550,000								300,000.00		250,000.00			550,000.00	-

			500,000														
CIVPIP15	MIG	MG3 & MG4									250,000.00		250,000.00			500,000.00	-
			350,000														
CIVPIP16	MIG	OA36									350,000.00					350,000.00	-
			500,000														
CIVPIP17	MIG	OB11,6									250,000.00		250,000.00			500,000.00	-
			750,000														
CIVPIP18	MIG	OC25, OC53									350,000.00	250,000.00	150,000.00			750,000.00	-
			13,000,000														
CIVPIP19	INTERNAL FUNDS	RESEALING OF ROADS - NEWCASTLE WEST			5,000,000.00	3,000,000.00	3,000,000.00	1,000,000.00	1,000,000.00							13,000,000.00	-
			6,000,000														
CIVPIP20	INTERNAL FUNDS	RESEALING OF ROADS - MADADENI			1,500,000.00	2,000,000.00	2,000,000.00	500,000.00								6,000,000.00	-
			6,000,000														
CIVPIP21	INTERNAL FUNDS	RESEALING OF ROADS - OSIZWENI			1,500,000.00	2,000,000.00	2,000,000.00	500,000.00								6,000,000.00	-
			2,000,000														
CIVPIP22	INTERNAL FUNDS	RESEALING OF ROADS - KILBARCHAN					500,000.00	500,000.00	500,000.00	500,000.00						2,000,000.00	-

			1,000,000														
CIVPIP23	INTERNAL FUNDS	RESEALING OF ROADS - CHARLESTOWN						500,000.00	500,000.00							1,000,000.00	-
			2,000,000														
CIVPIP24	INTERNAL FUNDS	STORMWATER MANAGEMENT ( NN,MAD AND OSIZ )									1,000,000.00	1,000,000.00				2,000,000.00	-
WSPIP1	MIG	PIPE REPLACEMENT AND UPGRADE PROJECT	8,500,000.00		680,000.00	780,000.00	800,000.00	800,000.00	900,000.00	800,000.00	640,000.00	900,000.00	800,000.00	750,000.00	650,000.00	8,500,000.00	-
															0.00		
WSPIP2	MIG	MADADENI WWTP	15,000,000.00	2,000,000.00	2,000,000.00	2,000,000.00	2,900,000.00	2,200,000.00	1,300,000.00	1,400,000.00	1,200,000.00		0.00	0.00		15,000,000.00	-
WSPIP3	MIG	BLAAUWBOSCH BULK WATER PROJECT	9,000,000.00				550,000.00	1,000,000.00	1,200,000.00	1,500,000.00	1,690,000.00	900,000.00	1,660,000.00	300,000.00	200,000.00	9,000,000.00	-
WSPIP4	MIG	UPGRADE OF NGAGANE WWTW PHASE1	9,000,000.00				800,000.00	900,000.00	1,000,000.00	1,110,000.00	1,240,000.00	1,150,000.00	1,100,000.00	900,000.00	800,000.00	9,000,000.00	-
		NGAGANE BULK WATER SUPPLY PROJECT															
WSPIP5	MIG		4,000,000.00														
WSPIP6	MWIG	WCDM OSIZWENI	10,000,000.00		1,200,000.00	1,500,000.00	1,500,000.00	1,000,000.00	1,300,000.00	1,000,000.00	1,000,000.00	800,000.00	700,000.00			10,000,000.00	-

WSP1P7	MWIG	NEWCASTLE EAST WATER SUPPLY EXTENSION	30,000,000.00	1,000,000.00	1,500,000.00	1,500,000.00	2,000,000.00	2,000,000.00	4,500,000.00	3,000,000.00	4,500,000.00	450,000.00	4,550,000.00	3,500,000.00	1,500,000.00	30,000,000.00	-
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PIP REFERENCE	SOURCE OF FUNDING	PROJECT DESCRIPTION	2018/19 DRAFT BUDGET	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Total	RECON
CIVPIP1	MIG	MF55	8,522,585	800,000.00	1,000,000.00	1,100,000.00	1,200,000.00	1,000,000.00	850,000.00	800,000.00	900,000.00	872,585.21				8,522,585.21	-
CIVPIP2	MIG	MD35	6,916,168	866,168.06	900,000.00	900,000.00	1,100,000.00	1,200,000.00	700,000.00	650,000.00	600,000.00					6,916,168.06	-
CIVPIP3	MIG	MD30	3,298,605	550,000.00	700,000.00	850,000.00	700,000.00	498,605.26								3,298,605.26	-
CIVPIP4	MIG	ME11 (A)	1,854,816	300,000.00	300,000.00	300,000.00	400,000.00	230,000.00	120,000.00	100,000.00	104,816.26					1,854,816.26	-
CIVPIP5	MIG	ME11 (B)	5,559,406	650,000.00	750,000.00	800,000.00	1,000,000.00	750,000.00	650,000.00	500,000.00	459,405.50					5,559,405.50	-
CIVPIP6	MIG	OE41	3,038,128	350,000.00	400,000.00	500,000.00	600,000.00	400,000.00	300,000.00	250,000.00	238,127.83					3,038,127.83	-
CIVPIP7	MIG	OA85 (A)	4,887,572	500,000.00	600,000.00	650,000.00	800,000.00	750,000.00	600,000.00	500,000.00	487,572.43					4,887,572.43	-
CIVPIP8	MIG	OA85 (B)	7,874,500	800,000.00	900,000.00	1,200,000.00	1,200,000.00	1,300,000.00	840,500.15	834,000.00	800,000.00					7,874,500.15	-
CIVPIP9	MIG	OC20	5,544,201	600,000.00	750,000.00	800,000.00	1,000,000.00	800,000.00	600,000.00	550,000.00	444,200.50					5,544,200.50	-
CIVPIP10	MIG	OA103	5,786,019	650,000.00	650,000.00	700,000.00	700,000.00	800,000.00	700,000.00	600,000.00	500,000.00	486,018.80				5,786,018.80	-
CIVPIP11	MIG	MB7	450,000								450,000.00					450,000.00	-
CIVPIP12	MIG	MD5	300,000								300,000.00					300,000.00	-
CIVPIP13	MIG	MF 18 & MF19	550,000								300,000.00		250,000.00			550,000.00	-
CIVPIP14	MIG	MB23	550,000								300,000.00		250,000.00			550,000.00	-

			500,000														
CIVPIP15	MIG	MG3 & MG4									250,000.00		250,000.00			500,000.00	-
			350,000														
CIVPIP16	MIG	OA36									350,000.00					350,000.00	-
			500,000														
CIVPIP17	MIG	OB11,6									250,000.00		250,000.00			500,000.00	-
			750,000														
CIVPIP18	MIG	OC25, OC53									350,000.00	250,000.00	150,000.00			750,000.00	-
			13,000,000														
CIVPIP19	INTERNAL FUNDS	RESEALING OF ROADS - NEWCASTLE WEST			5,000,000.00	3,000,000.00	3,000,000.00	1,000,000.00	1,000,000.00							13,000,000.00	-
			6,000,000														
CIVPIP20	INTERNAL FUNDS	RESEALING OF ROADS - MADADENI			1,500,000.00	2,000,000.00	2,000,000.00	500,000.00								6,000,000.00	-
			6,000,000														
CIVPIP21	INTERNAL FUNDS	RESEALING OF ROADS - OSIZWENI			1,500,000.00	2,000,000.00	2,000,000.00	500,000.00								6,000,000.00	-
			2,000,000														
CIVPIP22	INTERNAL FUNDS	RESEALING OF ROADS - KILBARCHAN					500,000.00	500,000.00	500,000.00	500,000.00						2,000,000.00	-



			1,000,000														
CIVPIP23	INTERNAL FUNDS	RESEALING OF ROADS - CHARLESTOWN						500,000.00	500,000.00							1,000,000.00	-
			2,000,000														
CIVPIP24	INTERNAL FUNDS	STORMWATER MANAGEMENT ( NN,MAD AND OSIZ )									1,000,000.00	1,000,000.00				2,000,000.00	-
WSPIP1	MIG	PIPE REPLACEMENT AND UPGRADE PROJECT	8,500,000.00		680,000.00	780,000.00	800,000.00	800,000.00	900,000.00	800,000.00	640,000.00	900,000.00	800,000.00	750,000.00	650,000.00	8,500,000.00	-
															0.00		
WSPIP2	MIG	MADADENI WWTP	15,000,000.00	2,000,000.00	2,000,000.00	2,000,000.00	2,900,000.00	2,200,000.00	1,300,000.00	1,400,000.00	1,200,000.00		0.00	0.00		15,000,000.00	-
WSPIP3	MIG	BLAAUWBOSCH BULK WATER PROJECT	9,000,000.00				550,000.00	1,000,000.00	1,200,000.00	1,500,000.00	1,690,000.00	900,000.00	1,660,000.00	300,000.00	200,000.00	9,000,000.00	-
WSPIP4	MIG	UPGRADE OF NGAGANE WWTW PHASE1	9,000,000.00				800,000.00	900,000.00	1,000,000.00	1,110,000.00	1,240,000.00	1,150,000.00	1,100,000.00	900,000.00	800,000.00	9,000,000.00	-
		NGAGANE BULK WATER SUPPLY PROJECT															
WSPIP5	MIG		4,000,000.00														
WSPIP6	MWIG	WCDM OSIZWENI	10,000,000.00		1,200,000.00	1,500,000.00	1,500,000.00	1,000,000.00	1,300,000.00	1,000,000.00	1,000,000.00	800,000.00	700,000.00			10,000,000.00	-

WSP1P7	MWIG	NEWCASTLE EAST WATER SUPPLY EXTENSION	30,000,000.00	1,000,000.00	1,500,000.00	1,500,000.00	2,000,000.00	2,000,000.00	4,500,000.00	3,000,000.00	4,500,000.00	450,000.00	4,550,000.00	3,500,000.00	1,500,000.00	30,000,000.00	-
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CONSTRUCTI ON OF CHARLESTOW N LIBRARY	Draft 2018'19	Consultant Appointed (to start with design)	EIA Scoping Report & Detail Design Approved	Bid Specification Committee	Advertised	Tender Closing Date	Bid Evaluation Committee	Bid Adjudication Committee	Contractual Obligation	Project Inception / Site Establishment	Construction Commence Date	Month 1 Site Meeting / PSC meeting	Month 2 Site Meeting / PSC meeting	Month 3 Site Meeting / PSC meeting	Month 4 Site Meeting / PSC meeting	Month 5 Site Meeting / PSC meeting	Month 6 Site Meeting / PSC meeting	Month 7 Site Meeting / PSC meeting	Month 8 Site Meeting / PSC meeting	Month 9 Site Meeting / PSC meeting	Month 10 Site Meeting / PSC meeting	Month 11 Site Meeting / PSC meeting	Month 12 Site Meeting / PSC meeting	Project Completion Date	Project Duration (Number of Months for construction)
CONSTRUCTION OF CHARLESTOWN LIBRARY	R 18,703,500.00	-	-	-	-	-	-	-	-	26/Feb/18	26/Feb/18	27/Mar/18	24/Apr/18	29/May/18	26/Jun/18	24/Jul/18	28/Aug/18	25/Sep/18	23/Oct/18	27/Nov/18	11/Dec/18	29/Jan/19	26/Feb/19	26/Feb/19	12

PROJECT IMPLEMENTATION PLAN :2018/2019 FINANCIAL YEAR														
ACTION PLAN & PERFORMANCE REPORTING														
PROJECT NAME :		Furniture & Equipment: Libraries	RESPONSIBLE DEPARTMENT	Community Services: Arts, Culture & Amenities										
VOTE/PROJECT NO.			RESPONSIBLE MANAGER	E.P Niemand										
COST OF PROJECT(AS APPROVED)		R 50,000	WARD LOCALITY	4										
PROJECT OBJECTIVE :	To enhance service delivery to the community													
PERFORMANCE TARGET:	Procument of furniture and equipment for various libraries													
ACTION PLAN														
KEY ACTIVITIES	SOURCE OF EVIDENCE	COST	TIME FRAME											
			JULY	AUGUST	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
Compile specifications	Specifications													
Advertising	Closed quotes													
Award	Purcahse orders													
Supply & delivery	Delivery notes													
Payment	Invoice										50,000			
		TOTAL									50,000			
REPORTING														
			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
ACTUAL (non financial)														
Actual (financial)			0											
Reason for Variance														
No. of Jobs Created														
No. of Persons Trained														
COMMENTS														

PROJECT NAME :	
VOTE/PROJECT NO.	
COST OF PROJECT(AS APPROVED)	
PROJECT OBJECTIVE :	
PERFORMANCE TARGET:	
KEY ACTIVITIES	SOURCE OF EVIDENCE
Compile specifications	Specifications
BSC	Minutes
Advert	Advertisement
Evaluations	Report
BEC	Minutes
BAC	Minutes
Award	Provisional Appointment letter
Final appointment	Appointment letter & MBD 7.1
Supply, delivery and installation	Delivery note
Payment	Invoice
	TOTAL
ACTUAL (non financial)	

Actual (financial)	
Reason for Variance	
No. of Jobs Created	
No. of Persons Trained	

**PROJECT IMPLEMENTATION PLAN :2018/2019**

## ACTION PLAN & PERFORMANCE REP

Purchase of Skips	RESP
	RE
R 150,000	
Rendering a skip service	
Supply and delivery of 6m3 Skips	

## ACTION PLAN

[illegible]

## REPORTING

	1st Quarter	

	0			
COMMENTS				





[illegible]

[illegible]

[illegible]

PROJECT IMPLEMENTATION PLAN :2018/2019 FINANCIAL YEAR														
ACTION PLAN & PERFORMANCE REPORTING														
PROJECT NAME :		Purchase of Skips	RESPONSIBLE DEPARTMENT	Community Services: Waste Management										
VOTE/PROJECT NO.			RESPONSIBLE MANAGER	NF Swanepoel										
COST OF PROJECT(AS APPROVED)		R 150,000	WARD LOCALITY	All										
PROJECT OBJECTIVE :	Rendering a skip service													
PERFORMANCE TARGET:	Supply and delivery of 6m3 Skips													
ACTION PLAN														
KEY ACTIVITIES	SOURCE OF EVIDENCE	COST	TIME FRAME											
			JULY	AUGUST	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
Compile specifications	Specifications													
BSC	Minutes													
Advert	Advertisement													
Evaluations	Report													
BEC	Minutes													
BAC	Minutes													
Award	Provisional Appointment letter													
Final appointment	Appointment letter & MBD 7.1													
Supply, delivery and installation	Delivery note													
Payment	Invoice												150,000	
	TOTAL												150000	
REPORTING														
			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
ACTUAL (non financial)														
Actual (financial)			0											
Reason for Variance														
No. of Jobs Created														
No. of Persons Trained														
COMMENTS														

PROJECT IMPLEMENTATION PLAN :2018/2019 FINANCIAL YEAR														
ACTION PLAN & PERFORMANCE REPORTING														
PROJECT NAME :		Purchase of Skip Truck	RESPONSIBLE DEPARTMENT		Community Services: Waste Management									
VOTE/PROJECT NO.			RESPONSIBLE MANAGER		NF Swanepoel									
COST OF PROJECT(AS APPROVED)		R 1,500,000	WARD LOCALITY		All									
PROJECT OBJECTIVE :		Rendering a skip service												
PERFORMANCE TARGET:		Supply and delivery of Skip Loading Truck												
ACTION PLAN														
KEY ACTIVITIES	SOURCE OF EVIDENCE	COST	TIME FRAME											
			JULY	AUGUST	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
Compile specifications	Specifications													
BSC	Minutes													
Advert	Advertisement													
Evaluations	Report													
BEC	Minutes													
BAC	Minutes													
Award	Provisional Appointment letter													
Final appointment	Appointment letter & MBD 7.1													
Supply, delivery and installation	Delivery note													
Payment	Invoice												1,500,000	
		TOTAL											1,500,000.00	
REPORTING														
			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
ACTUAL (non financial)														
Actual (financial)			0											
Reason for Variance														
No. of Jobs Created														
No. of Persons Trained														
COMMENTS														

PROJECT IMPLEMENTATION PLAN :2018/2019 FINANCIAL YEAR														
ACTION PLAN & PERFORMANCE REPORTING														
PROJECT NAME :		Generators: Libraries			RESPONSIBLE DEPARTMENT			Community Services: Arts, Culture & Amenities						
VOTE/PROJECT NO.					RESPONSIBLE MANAGER			E.P Niemand						
COST OF PROJECT(AS APPROVED)		R 600,000			WARD LOCALITY			24 & 11						
PROJECT OBJECTIVE :		To upgrade Council facilities and to enhance service delivery												
PERFORMANCE TARGET:		Supply, delivery and commissioning of generators at the Madadeni and Osizweni Libraries												
ACTION PLAN														
KEY ACTIVITIES	SOURCE OF EVIDENCE	COST	TIME FRAME											
			JULY	AUGUST	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APRIL	MAY	JUNE
Compile specifications	Specifications													
BSC	Minutes													
Advert	Advertisement													
Evaluations	Report													
BEC	Minutes													
BAC	Minutes													
Award	Provisional Appointment letter													
Final appointment	Appointment letter & MBD 7.1													
Supply, delivery and installation	Delivery note													
Payment	Invoice												600,000	
		TOTAL											600000	
REPORTING														
			1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
ACTUAL (non financial)														
Actual (financial)			0											
Reason for Variance														
No. of Jobs Created														
No. of Persons Trained														
COMMENTS														