

NEWCASTLE MUNICIPALITY
GOOD GOVERNANCE 2020/21

SDRP REFERENCE NUMBER	OUTCOME 9	NATIONAL KPA	BACK TO BASICS PILLAR	IDP PRIORITY	GOAL/OBJECTIVES	STRATEGIES	KPI No. LINKED TO IDP	APPROVED KEY PERFORMANCE INDICATOR	REVISED KEY PERFORMANCE INDICATOR	KPI TYPE (INPUT, OUTPUT, OUTCOME, PROCESS)	UNIT OF MEASURE	BASELINE	REVISED STANDARD/ACCUMULATIVE/AVERAGE TARGET(JULY 2020-30 JUNE 2021)	ANNUAL ACTUAL	REASON FOR VARIANCE	RECOMMENDED CORRECTIVE ACTION	ANNUAL DASHBOARD	REVISED ANNUAL STANDARD/ACCUMULATIVE/AVERAGE TARGET (1 JULY 2019-30 JUNE 2020)	ANNUAL ACTUAL STANDARD/ACCUMULATIVE/AVERAGE TARGET (1 JULY 2019-30 JUNE 2020)	REASON FOR VARIANCE	RECOMMENDED CORRECTIVE ACTION	DASHBOARD	RESPONSIBLE DEPARTMENT	FREQUENCY OF REPORTING	PRIMARY SOURCE OF EVIDENCE	REVISION MOTIVATION			YEAR TO DATE ACTUAL AS END OF JUNE 2021	
																										MSCOA CONFIGURATION	VOTE DESCRIPTION	ADJUSTMENT BUDGET		
TLSDBP-G0001	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 develop and implement an effective Risk Management strategy and service charter by 2021	GG1.1.1	Percentage of resolutions issued by council committees (not addressed and escalated to the accounting officer	KPI not revised	Output	Percentage (%)	New KPI	100%	100%			TARGET MET	100%	No execution of resolutions were submitted to the MM	There was the National Lockdown and only essential services that were on duty prevented the resolutions were submitted timely to the Acting Municipal Manager	To follow up with departments on the status of resolutions and submit it to the municipal manager	TARGET NOT MET	Office of the Municipal Manager (Executive Support)	Quarterly	Quarter 1-4: Progress report on the execution of resolutions for all council committees, proof of submission to the Accounting Officer after every meeting monthly proof of submission to the Accounting Officer and the calculation sheet	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0002	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 develop a system of delegation that will maximize administrative and operational efficiencies	GG1.2.1	Annual review and approval of Delegations Policy by Council by 30 June 2021	KPI not revised	Output	Delegation Policy	Draft Delegations Policy	Approval of The Delegation Policy by Council	Delegations Policy approved by Council on the 31 March 2021.			TARGET MET	Approved Delegations Policy by Council	Draft Delegations Policy is still in the process of being vetted by the legal services department.	National lockdown delayed the finalisation of the vetting of the delegations policy.	To ensure that the Delegations Policy is submitted to Exco/Council for approval before the 30/09/2020	TARGET NOT MET	Office of the Municipal Manager (Executive Support)	Quarterly	Q1 Marco minutes and attendance register Q2 Exco minutes and attendance register Q3 Draft Delegation Policy. Councilors Workshop and attendance register. Q4 Council resolutions and Approved Delegations Policy	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0003	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.	GG2.1.1	Annual review of Risk Management Policy, Risk Management Methodology, Anti-Fraud & Corruption Strategy, Business Continuity policy by Council by 30 June 2021	KPI not revised	Output	Policy and Strategy	Approved Risk Management Policy and strategy. Anti-Fraud & Corruption Policy and strategy by Council	Approval of Risk Management Methodology, Anti-Fraud & Corruption Strategy, Business Continuity policy for 2021/22 by Council on the 30th Of June 2021.	Approval of Risk Management Policy, Risk Management Methodology, Anti-Fraud & Corruption Policy by Council on the 30th Of June 2021.			TARGET MET	N/A	N/A			N/A	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Q1 Marco and EXCO minutes and attendance register Q2 Council minutes and attendance register Q3 Audit Committee Minutes. Q4 Council resolution for approval of Draft Risk Management Policy, Risk Management Methodology, Anti-Fraud & Corruption Strategy, Business Continuity policy and strategy	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0004	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.	GG2.1.2	Annual risk assessment report for 2021/22 as approved by Audit Committee by 30 June 2021	KPI not revised	Output	Reports	Annual risk assessment report for 2019/20 and 2020/21 as approved by Audit Committee by 30 June 2020	Annual Risk Report for 2021/22 approved by Audit Committee on the 28th of June 2021	Annual Risk Report for 2021/22 approved by Audit Committee on the 28th of June 2021			TARGET MET	Approved Risk Management Policy and strategy. Anti-Fraud & Corruption Policy and strategy by Council	The Risk Management Policy and Strategy, Anti-Fraud & Corruption Policy were not presented at the audit committee and a turnaround strategy was discussed in committee	A risk process plan was not developed therefore reports for the deadline were not complete timely and submitted to Exco and Audit Committee for comments	A Risk Process Plan to be developed and implemented for 2020/19 to ensure that all deadlines for Risk Management are achieved	TARGET NOT MET	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Q3/Draft Strategic Risk Register for 2021/22. Minutes and Attendance Registers for Marco, Exco and Audit Committee. Annual risk assessment report for 2021/22 as approved by Audit Committee. Quarter 4: Annual Risk Assessment Report for 2021/22 and Audit Committee Minutes and attendance register and acknowledgement from COGTA	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0005	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.	GG2.1.3	Quarterly monitoring of implementation of risk management action plans submitted to Audit Committee	KPI not revised	Output	Progress Report	New KPI	4	4			TARGET MET	Annual risk assessment report for 2021/22 as approved by Municipal Manager and submitted to Audit Committee	1. Conduct Risk Assessment for 2020/21. 2. Submission of Draft Risk Assessment Report (Strategic Risk Register) for 2020/21. 3. Submission of Annual Risk Assessment Report for 2020/21 were all not presented at the audit committee and a turnaround strategy was discussed in committee	A risk process plan was not developed therefore reports for the deadline were not complete timely and submitted to Exco and Audit Committee for comments	A Risk Process Plan to be developed and implemented for 2020/19 to ensure that all deadlines for Risk Management are achieved	TARGET NOT MET	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Quarter 1 - 4: Quarterly progress report on implementation of risk management action plans. Minutes and attendance register of Audit Committee	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0006	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.	GG2.1.4	Quarterly progress report on implementation of management action plan to AG. Findings submitted to Audit Committee	KPI not revised	Output	Progress Report	0	4	3			TARGET MET	10	The Acting Municipal Manager withdrew the reports at the audit committee	A risk process plan was not developed therefore reports for the deadline were not complete timely	A Risk Process Plan to be developed and implemented for 2020/19 to ensure that all deadlines for Risk Management are achieved	TARGET NOT MET	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Quarter 1-4: Quarterly progress report on implementation of management action plan to AG findings. Minutes and attendance register of Audit Committee	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0007	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.	GG2.1.5	Quarterly compliance monitoring reports (checked) submitted to Audit Committee	KPI not revised	Output	Report	0	4	3			TARGET MET	N/A	N/A	n/a	n/a	n/a	OFFICE OF THE MUNICIPAL MANAGER (RISK MANAGEMENT)	Quarterly	Quarter 1-4: Quarterly Compliance report (checked), Minutes and attendance register of Audit Committee	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0008	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.	GG3.1.1	Percentage of Projects implemented as per Internal Audit Plan	KPI not revised	Process	Percentage (%)	100%	100%	100%			TARGET MET	100%	100%			TARGET MET	OFFICE OF THE MUNICIPAL MANAGER (INTERNAL AUDIT)	Quarterly	Quarter 1-4: Progress report against approved Internal Audit Plan and internal audit reports	Vote no: 10184010105 & Vote no: 10165010105	Salaries	1071675 + R 3 708 351 + R4 778 025	R28 876 407,72	
TLSDBP-G0009	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.	GG3.1.2	Number of Audit Committee meetings convened	KPI not revised	Output	Number (No.)	8	8	9			TARGET MET	8	8			TARGET MET	OFFICE OF THE MUNICIPAL MANAGER (INTERNAL AUDIT)	Quarterly	Quarter 1-4: Audit committee minutes and attendance register	Vote no: 10184010105	Audit Committee Fees	R 480 000	R283 367,00	
TLSDBP-G0010	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	GG4.1.1	Percentage of contracts drafted and vetted as requested by departments	KPI not revised	Output	Percentage (%)	100%	100%	100%			TARGET MET	100%	100%			TARGET MET	OFFICE OF THE MUNICIPAL MANAGER (LEGAL SERVICES)	Quarterly	Quarter 1-4: Registers of all contracts received with a date received and date finalised. Contracts vetted and drafted with calculation sheet and confirmation from each SED on contracts that legal services was requested to draft and vet.	Vote no: 10301010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0011	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	GG4.1.2	Percentage of objections addressed within 60days as per SCM Regulations	KPI not revised	Output	Percentage (%)	100%	100%	100%	100%	objections resolved within 60days	TARGET MET	100%	objections resolved within 60days	67%	2 legal officers resigned and the Legal Services section currently only has one legal officer and no acting appointments.	To request Corporate Services to advertise the vacant positions	TARGET NOT MET	OFFICE OF THE MUNICIPAL MANAGER (LEGAL SERVICES)	Quarterly	Quarter 1 - 4: Objectors register with dates of objection received and resolved. Objectors, communication to Objectors and Calculation sheet and confirmation from each SED on contracts that legal services was requested to draft and vet.	Vote no: 10301010105	Salaries	R28 797 962,00	R28 876 407,72
TLSDBP-G0012	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	GG4.1.3	Percentage of by-laws drafted and vetted as requested by departments	KPI not revised	Output	Percentage (%)	New KPI	N/A	N/A			N/A	100%	No by-laws were drafted or vetted	No by-laws were received from departments		N/A	OFFICE OF THE MUNICIPAL MANAGER (LEGAL SERVICES)	Quarterly	Quarter 1-4: Registers of all Bylaws received with a date received and date finalised. Bylaws vetted and drafted with calculation sheet and confirmation from each SED on Bylaws that legal services was requested to draft and vet.	Vote no: 10301010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0013	Output 5: Deepen democracy through a refined Ward Committee Model	Good Governance and Public Participation	Good governance	Accelerated Municipal Transformation and Corporate Development	To keep the communities and stakeholders informed and involved in the affairs of the Municipality	To improve both internal and external communication	GG5.1.1	Quarterly reports prepared for submission to COGTA	KPI not revised	Output	Number	4	4	4			TARGET MET	4	4			TARGET MET	DPHS	Quarterly	Q1 - Q4: Internal assessment of the consolidated report signed off by SED	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0014	Output 6: Administrative and financial capability	Good Governance and Public Participation	Good governance	Accelerated Municipal Transformation and Corporate Development	To keep internal & external communities and stakeholders informed, empowered and involved by 2021	To develop and implement an optimal communication strategy	GG6.1.1	Approval of the Communication Strategy by Council by June 2021	KPI not revised	Output	Strategy	Draft communication strategy	Approval of The Communications Strategy by Council	Communications Strategy approved by Council on the 31st of March 2021			TARGET MET	Approved Communications Strategy by Council	Draft Communications Strategy completed	Due to the National Lockdown and the fact that the CRC was only appointed in Quarter 3 the Communications Strategy could not be approved timely.	The Communications Strategy to be approved in 2020/21	N/A	Office of the Municipal Manager (Chief Communications Officer)	Quarterly	Q1 Marco minutes and attendance register Q2 Exco minutes and attendance register Q3 Draft Communication Strategy with departments comments and Councilors Workshop and attendance register Quarter 4 Communication Strategy and Council Resolution	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0015	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 audited ICT systems	To facilitate the annual implementation of good ICT governance processes	GG7.1.1	Percentage of ICT issues addressed at the ICT steering committee meetings	KPI not revised	Output	Percentage (%)	New KPI	100%	100%			TARGET MET	100%	No ICT issues were resolved	The ICT committee has still not been established	ICT steering Committee to be established in the first Quarter of 2020/21	TARGET NOT MET	Office of the Municipal Manager	Quarterly	Quarter 1-4: ICT Steering Committee Minutes, attendance register, ICT register of issues raised and addressed with calculation sheet	Vote No: 10191010105	Salaries	R112 538,00	R103 160,86	
TLSDBP-G0016	Output 6: Administrative and financial capability	Good Governance and Public Participation	Good governance	Accelerated Municipal Transformation and Corporate Development	To obtain a clean audit on the Audit of Performance Objectives by 2020	To ensure good governance through openness, transparency and accountability in the organization	GG8.1.1	Quarterly performance reports submitted to Audit Committee. Quarter 1-4: Top Layer SDRP	KPI not revised	Output	Number	4	4	4			TARGET MET	Approved Communications Strategy by Council	4	4		TARGET MET	DPHS	Quarterly	Quarter 1: APR Quarter 2-4: Top-Layer SDRP	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0017	Output 6: Administrative and financial capability	Good Governance and Public Participation	Good governance	Accelerated Municipal Transformation and Corporate Development	To promote good governance through the Annual performance reporting process	To ensure compliance with Annual report process	GG9.1.1	Tabling of Annual Report to Council by 31 January 2021 and Approval of Annual Report by 31 March 2021	KPI not revised	Output	Reports	Tabling of Annual Report to Council by 31 January 2021 and Approval of Annual Report by 31 March 2020	Tabling of Annual Report to Council by 31 January 2021 and Approval of Annual Report by 31 March 2021	Tabling of Annual Report to Council on the 31st of March 2021 (if extension of time by National Treasury Circular 104 of the 19th April)			TARGET MET	Tabling of Annual Report to Council by 31 January 2021 and Approval of Annual Report by 31 March 2021	Tabling of Annual Report to Council by 29 January 2020 and approved in March 2020.	Due to the National Lockdown for Covid-19 prevented the municipality from convening the planned IDP/RP for March 2020.		TARGET MET	Office of the Municipal Manager (Executive Support)	Annual	Quarter 3: Council Resolution and Approved Annual Report	Vote no: 10105010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0018	Output 7: Single window of coordination	Good Governance and Public Participation	Putting people first	Accelerated Municipal Transformation and Corporate Development	To ensure the development and the maintenance of credible IDP	To develop IDP in line with the 4th generation guide packs guidelines	GG10.1.1	Review and Adoption of IDP by 31 May 2020	KPI not revised	Output	Reports	Review and Adoption of IDP by 31 May 2020	Review and Adoption of IDP by Exco and Council on 31 May 2021	Reviewed and Adopted IDP by Exco and Council on 31 May 2021			TARGET MET	Review and Adoption of IDP by 31 May 2020	IDP was adopted on the 29 of June 2020	Due to the National Lockdown the IDP could not be adopted by the 31 May 2020.		TARGET MET	DPHS	Quarterly	Q1 : Approved Process Plan, Q2 N/A, Q3 Draft IDP, Q4 Council Resolution	Vote no: 10276010105	Salaries	R28 797 962,00	R28 876 407,72	
TLSDBP-G0019	Output 7: Single window of coordination	Good Governance and Public Participation	Putting people first	Accelerated Municipal Transformation and Corporate Development	To ensure the development and the maintenance of credible IDP	To ensure that a Public Participation process is followed for the IDP review	GG10.2.1	Number of IDP RF meetings held	KPI not revised	Output	Number	3	3	3			TARGET MET	3	2	National Lockdown for Covid-19 prevented the municipality from convening the planned IDP/RP for March 2020.	The municipality will convene virtual IDP/RP meetings in 2020/21	n/a	DPHS	Quarterly	Quarter 2-4: attendance Register and minutes of IDP RF Meetings	Vote no: 10276010105	Salaries	R28 797 962,00	R28 876 407,72	