



**forestry, fisheries
& the environment**

Department:
Forestry, Fisheries and the Environment
REPUBLIC OF SOUTH AFRICA

POLICY FOR ORGANISATIONAL PERFORMANCE MANAGEMENT

DEPARTMENT OF FORESTRY, FISHERIES AND THE ENVIRONMENT

SEPTEMBER 2021

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LIST OF ABBREVIATIONS

Abbreviation	Full description
PFMA	Public Finance Management Act
DPME	Department of Planning , Monitoring and Evaluation
AGSA	Auditor-General of South Africa
MINMEC	Meeting of Minister and Members of the Provincial Executive Councils
MINTECH	Meeting of Director-General and Provincial Heads of Department
DG	Director-General of the Department of Forestry , Fisheries and the Environment
DDG	Deputy Director-General

1. BACKGROUND AND INTRODUCTION

The Department's performance information must be evidence based. The Public Audit Act powers the Auditor-General of South Africa (AGSA) to audit the performance management system and annual performance information of the department against the predetermined objectives and to issue a report which reflect any opinion, conclusion and findings on the reported performance. Reliable organisational performance information that is supported by relevant and complete supporting evidence is a fundamental tool that management of the department needs to effectively monitor progress against its planned annual outputs, and to assess the extent to which it is making progress in achieving its medium and long term strategic outcomes.

Evidence based organisational performance information is critical to enable management to track performance, identify areas of excellence, to accurately diagnose performance challenges and put in place the required corrective interventions to achieve delayed outputs. In the terms of section 40 of the Public Finance Management Act (PFMA) which outlines the reporting responsibilities of an accounting officer of a Department, an Accounting Officer must prepare and submit an annual report on the activities of that department. The Department, as a public institution, is required to develop and implement an effective and efficient organisational performance management system which will support and enable the preparation of useful and reliable performance information. Management of the department requires useful and reliable performance management information for internal use and to make informed decision

2. APPLICABLE LEGISLATION, REGULATION AND POLICY FRAMEWORK

- 2.1 **Public Finance Management Act (PFMA) no.1 of 1999:** In terms of section 38 of the PFMA, an accounting officer of a Department must ensure that that department has and maintains— (i) effective, efficient and transparent systems of financial and risk management and internal control;
- 2.2 **Framework for Managing programmes Performance Information (May 2007): National Treasury (May 2007):** Paragraph 5.1 of the Framework provides that an accounting officer or head official of an institution is accountable for establishing and maintaining the systems to manage performance information
- 2.3 **Policy Framework on Reporting issued by the DPME:** The policy required the department to generate and submit approved evidence based quarterly performance reports against the annual performance plan for each year

- 2.4 **Public Audit Act No. 25 of 2004:** In terms of the Public Audit Act the Auditor-General must audit and report on the accounts, financial statements and financial management of the department. The report of the auditor must reflect such opinions and statements as may be required by any legislation applicable to the auditee which is the subject of the audit, and must reflect an opinion, and conclusion and findings on the reported performance of the auditee against its predetermined objectives.

3. PURPOSE AND KEY OBJECTIVES OF THE POLICY

- 3.1 The objectives of this policy it to set out clear and effective organisational performance management and monitoring framework which will ensure that the Department is able to provide accurate, reliable and complete performance management progress reports against its pre-determined objectives in its strategic and annual performance plans and to minimize adverse external audit findings on performance information;

- 3.2 The policy seeks to achieve the above objective through the following:

- by defining key roles players in the organisational performance management and monitoring process,
- Defining as set of internal control measures for effective organisational performance management.
- outlining organisational reporting timeframes to ensure timeous generation, review, approval and submission of organisational performance reports within regulated timeframes.
- providing reporting templates and guidelines;
- providing reporting outlining clear roles and responsibilities of all relevant officials

4. INTERNAL AND EXTERNAL USERS OF THE PERFORMANCE REPORTS OF THE DEPARTMENT

- 4.1 Employees and Senior Management of the Department.
- 4.2 Minister and Deputy Minister of Forestry, Fisheries and the Environment.
- 4.3 Other Government Departments (National Treasury, Department of Planning, Monitoring and Evaluation etc.).
- 4.4 Audit and Risk Management Committee of the Department.
- 4.5 Parliament (Portfolio Committee on Forestry, Fisheries and the Environment).

- 4.6 Members of the public and partners other key stakeholders.
- 4.7 Intergovernmental structures (MINTECH, MINMEC, DGs and Ministerial Cluster, Cabinet Committees)
- 4.8 Auditor – General South Africa

5. ORGANISATIONAL PERFORMANCE SYSTEM AND REPORTING FROM BRANCHES

- 5.1 Each Branch must at the end of each quarter submit a complete quarterly performance progress report with relevant, complete and verified supporting evidence for the reported progress against each annual output as per the annual performance plan.
- 5.2 The quarterly performance report must be approved by the relevant Deputy Director-General and submitted in accordance with the due dates outlined in the Department's annual reporting schedule (Annexure D) which shall have been circulated to Branches before the end of each preceding financial year.
- 5.3 Each Branch must in each performance reporting quarter endeavour to achieve and overall performance of 80% and above against all its annual outputs on the Department's approved annual performance plan for the respective financial year.
- 5.4 Each Branch is required to implement a **monthly organisational performance management system which builds-up to quarterly reporting**. This will ensure that DDGs take note, identify and implement interventions on areas which are showing delays way before the actual end of the quarter.
- 5.5 The Deputy Director-General and management of each Branch must develop and implement an organisational performance management system which ensure that progress on achievement of annual outputs on the approved annual performance plan and annual operational plan of the Branch is monitored and reported on at least on a monthly basis.
- 5.6 Each Branch will, at the end of the **second month of each quarter**, be required to submit to the Director- General a brief report on any areas of work that are showing extreme delays which will likely result in the planned quarterly target not being achieved. This report will also include updated progress on any other areas of work which were significantly delayed in the prior quarter (For Branches which achieved less than 80% in the past quarter). The purpose will be to assess if the identified corrective interventions are being implemented, monitored and showing results of improvement.

6. KEY INTERNAL CONTROL MEASURES TO ENSURE AND IMPROVE QUALITY OF PERFORMANCE INFORMATION

- 6.1 Branch performance report and supporting evidence is consolidated and verified by the relevant Branch Administrator.
- 6.2 The Branch performance report and supporting evidence is further reviewed and approved/signed-off by the relevant Branch Head (Deputy Director-General) to confirm that the report is complete and it is a true reflection of the performance of the Branch for the reporting period.
- 6.3 The Branch must on a quarterly basis, where relevant and depending on the nature of the explanation of the challenges, submit evidence which support the challenges outlined
- 6.4 The submitted Branch performance report is analysed and verified by a Team of performance monitoring and reporting officials and feedback given to Branch Management within 15 days of submission of the report or any other reasonable timeframe after submission.
- 6.5 If the Branch does not submit valid, accurate and complete supporting evidence for the reported progress and fails to make the submission even after multiple follow up and request by the performance monitoring unit ([within 20 days of submission of report](#)), the final progress as submitted by the Branch will be revised to align with any available evidence
- 6.6 Management discussion and interrogation of performance reports at Branch and Department level to monitor progress, identify challenges, agree on corrective interventions to be implemented and monitor the effectiveness of such interventions.
- 6.7 The Department quarterly performance and supporting evidence between quarter 1 to quarter 3 is reviewed by internal audit and report with findings is submitted to Management.

7. REPORTING TIMEFRAME AS PROVIDED BY NATIONAL TREASURY AND THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION

Table 1

NO.	PERFORMANCE REPORT	FREQUENCY	SUBMISSION TIMEFRAME		
			DPME (Presidency)	National Treasury	Parliament
1.	Progress report on selected performance indicator as per Estimate of National Expenditure	Quarterly	N/A	1 month after end of each quarter	N/A
2.	Progress on performance progress report on APP targets	Quarterly	1 month after end of each quarter	1 month after end of each quarter	1 month after end of each quarter ⁱ
3.	Annual Report on the Activities of the Department	Annual	N/A		30 September

8. KEY ROLE PLAYERS IN THE PERFORMANCE MANAGEMENT PROCESS AND DETAIL OF RESPONSIBILITIES

Table 2

NO.	KEY ROLE PLAYERS	KEY RESPONSIBILITIES
1.	Branch Administrators	<ul style="list-style-type: none"> - Coordinate quarterly performance reporting within the Branch, facilitated submission by management and verification of supporting evidence and submit Branch performance report to the Deputy Director-General for approval. - Circulate and follow-up with relevant Branch Managers feedback received from the Strategic and Performance Management Unit and follow-up on management response

NO.	KEY ROLE PLAYERS	KEY RESPONSIBILITIES
		and ensure submission of responses within stipulated timeframes
2.	Senior Managers of the Department (Directors and Chief Directors)	<ul style="list-style-type: none"> - Develop and maintain effective systems for collective and storage and submission of relevant evidence to support reported progress against the respective APP outputs of the relevant Directorate/Chief Directorate - Provided inputs on progress and supporting evidence relating to their respective areas of responsibilities, including supporting evidence for challenges outlined in the performance reports.
3.	Deputy Directors-General	<ul style="list-style-type: none"> - Review reported Branch Performance information, confirm accuracy and completeness of performance approve performance report for further consideration. - Develop and implement adequate corrective action to address delays - Monitor implementation of corrective action, assess adequacy of the impact of corrective action and make any reviews where needed
4.	Head: Strategic planning, monitoring and evaluation unit	<ul style="list-style-type: none"> - Facilitate analysis of performance information and verification of supporting evidence - Provide feedback to the Branch on analysis of report and evidence; - Facilitate and support the processes of internal and external auditing of the performance information of the Department - Prepare and present performance management reports to Management

NO.	KEY ROLE PLAYERS	KEY RESPONSIBILITIES
		<ul style="list-style-type: none"> - Monitor and report to the Director-General and Management on the implementation and effectiveness of agreed corrective action.
5.	Director-General	<ul style="list-style-type: none"> - Consider and approve Departmental performance reports. - Facilitate Management review and discussion on the performance of the Department, identification of areas where performance is behind and require intervention, - Oversee the identification of appropriate corrective action, implementation and monitoring the effectiveness of the interventions - Provide strategic leadership oversight on the develop and implement adequate corrective action. - Monitor whether or not the implemented corrective measures are having the desired positive effect on the performance of the Department and take appropriate further corrective interventions where necessary
6.	Minister and Deputy Minister	<ul style="list-style-type: none"> - Political leadership and oversight on the operations of the Department and reporting to Parliament
7.	Internal Audit Unit of the Department	<ul style="list-style-type: none"> - Quarterly performance review and provided feedback to management
8.	Auditor-General of South Africa	<ul style="list-style-type: none"> - Facilitate an external audit of performance information of the Department , make findings and express an opinion

9. RESPONSIBLE AUTHORITY FOR SUBMISSION OF EXTERNAL DEPARTMENT'S PERFORMANCE REPORTS TO NATIONAL TREASURY AND DPME AND OTHER EXTERNAL STAKEHOLDERS

The responsibility and authority to approve and submit the performance information reports of the Department to relevant external entities (DPME, National Treasury, Parliament etc.) rests with The Director-General. The function may also be exercised by any official who has been delegated in writing by the Director-General of the Department.

10. PROVISION FOR REVIEW OF THE POLICY BY MANAGEMENT

- 10.1 The policy will be reviewed annually by Management to confirm or update any provisions therein. Management will consider any changes in legislation and regulations and policy frameworks informing this policy.
- 10.2 Changes in internal structure and processes impacting of what is provided for in the policy document
- 10.3 Another occurrence which will necessitate a review.
- 10.4 On request or recommendation by any of the key stakeholder in the performance management process.

APPROVAL SIGNATURE



Ms Nomfundo Tshabalala

DIRECTOR-GENERAL

DATE: 06/09/2021



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POLICY ANNEXURES

Annexure A: Department Performance Reporting Guidelines

Annexure B: Branch Administer and DDGs reporting checklist

Annexure C: Annual Reporting Schedule (updated annually)

Annexure D: Annual Performance Plan Reporting Template

Annexure E: Branch Quarterly Approval Certificate

Annexure F: Department Criteria for Analysis of Performance Information

Annexure G: Process flow for generating of performance information



Generic Guidelines for Reporting and Submission of Evidence

The Directorate: Strategic Management as the main custodians of organizational performance management has developed these generic guidelines to assist Branches with reporting requirements. Clear and prompt reporting is important as it enables sound oversight and performance management of DFFE.

1. Timelines for reporting

- Branches should adhere to the due dates on the departmental schedule as indicated on the request for the quarterly report.

2. Reporting on Progress

- Progress reported **MUST RESPOND** directly to the quarterly target as reflected in the Annual Performance Plan (APP) of the Department.
- If the quarterly target is reflected in the APP as a percentage or number, in reporting progress, the overall percentage/number achieved must be clearly indicated.

Example : - If target is 50% of management plans in place.

- The progress reported may include key activities/progress done in relation to that target, but the actual percentage achieved must be worked out and provided in the report.

- Progress reported must cover **ONLY** the work/activities carried out within the reporting Quarter. Any activities carried outside of the reporting period must not be included in the progress report.
- In every instance where the (quarterly) target has not been achieved. The Branch must give a clear and brief indication of the **CHALLENGES** resulting in non-achievement, and the **CORRECTIVE MEASURES**/interventions to be implemented

3. Supporting Evidence

- All approved/signed documents (strategies/policies, etc) must be dated.
- The evidence submitted must be **RELEVANT** and clearly support the reported progress.

- Such information must be verified before being loaded on EDMS. The Departmental APP has an indication of what will be the evidence (means of verification) for all activities. Branches are requested to refer to that information.
- The evidence must be loaded in the correct folder on EDMS (per performance indicator)

NB. Branch Administrators are kindly advised to call Ms Portia Leballo or Mr Frans Baloyi for any assistance.
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BRANCH ADMINISTRATOR CHECKLIST FOR PROCESSING AND APPROVAL OF BRANCH QUARTERLY PERFORMANCE REPORT

NO.	CHECK LIST ITEM	YES/NO	COMMENTS
1.	The progress report must be relevant and in response to what has been planned for the reporting period (quarterly target).		
2.	Additional progress can also cover any aspect of planned work which was delayed or outstanding in the previous reporting period.		
3.	Complete and relevant supporting evidence must be submitted with the report (evidence as outlined in the approved APP)		
4.	The report must provide clear challenges and corrective measures on all areas where the planned targets has not been achieved.		
5.	The quality and correctness of the challenges outlined must be reviewed. be the quality of challenges outlined been reviewed? N.B: Challenges must not be outlined in a manner that put the blame on other authorities (e.g. Minister or Deputy Minister, or attribute delays to internal processes (legal vetting, SCM, HR) without proper context and evidence.		
6.	The auditors require supporting evidence for the challenges outlined. This evidence must therefore, were relevant, be submitted along with the report.		

Important Notes:

- **DDGs is required to sign-off /approve a performance report which is complete, is an accurate and true reflect of performance during the reporting period and all reported progress is supported by relevant evidence as outlined in the approved APP.**
- Branch performance reporting need not always start at the end of the quarter. It is recommended that Branches must implement a performance reporting management system which will start during the first month of a quarter, and build-up to the end of the quarter.
- Branch Administrators must ensure that they understand the analysis and feedback given on the report before circulating to all Branch Managers so that they are able to support their managers in providing appropriate and timeous responses.
- Branch Administrators must coordinate all inputs from Branch Managers and submit one consolidated response to the performance management Team.



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DFFE 2021-2022 REPORTING SCHEDULE

REPORT / INPUT REQUIRED	RESPONSIBILITY	DUE DATE
APRIL 2021		
4th Quarter Branch Performance Reports; Supporting Evidence and progress (2020/21)	DFFE Branches (Branch Administrators)	07 April 2021 (OPMS close)
JULY 2021		
1st Quarter Branch Performance Reports, Supporting Evidence and progress (2021/22)	DFFE Branches (Branch Administrators)	07 July 2021 (OPMS close)
SEPTEMBER 2021		
Branch inputs for Mid-Year Review for the 2020/21 Annual Performance Plan	DFFE Branches (Branch Administrators)	15 September 2021
OCTOBER 2021		
Branch final inputs for the DFFE Draft 2022/23 Annual Performance Plan (due to National Treasury and DPME by end of Oct 2020)	DFFE Branches (Branch Administrators)	24 September 2021

REPORT / INPUT REQUIRED	RESPONSIBILITY			DUE DATE
2nd Quarter Branch Performance Reports, Supporting Evidence and progress (2021/22)	DFFE	Branches	(Branch Administrators)	07 October 2021 (OPMS close)
2021/22 Branch Annual Operational Plans Performance assessment Reports	DFFE	Branches	(Branch Administrators)	15 October 2021
JANUARY 2022				
3rd Quarter Branch Performance Reports, Supporting Evidence and progress(2021/22)	DFFE	Branches	(Branch Administrators)	07 January 2022 (OPMS close)
FEBRUARY 2022				
Final Branch inputs on DFFE Final 2022/23 Annual Performance Plan (to be tabled in Parliament by March 2022)	DFFE	Branches	(Branch Administrators)	09 February 2022
April 2022				
4th Quarter Branch Performance Reports, Supporting Evidence and progress (2021/22)	DFFE	Branches	(Branch Administrators)	07 April 2022 (OPMS close)
2021/22 Branch Annual Operational Plans Performance assessment Reports	DFFE	Branches	(Branch Administrators)	15 April 2022



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DEPARTMENT OF FORESTRY, FISHERIES and the ENVIRONMENT
QUARTERLY PERFORMANCE REPORT FOR THE 2020/21 FINANCIAL YEAR

PROGRAMME 1: ADMINISTRATION

OUTCOMES	OUTPUT INDICATOR	BASELINE 2019/20	ANNUAL TARGET 2021/22	QUARTER 1 TARGETS	PROGRESS/ ACHIEVEMENT AGAINST TARGET	COMMENTS (CHALLENGES /EXPLANATIONS ON VARIANCES)	CORRECTIVE MEASURES



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APPROVAL OF BRANCH QUARTERLY REPORT

This is to confirm that the progress information provided in the quarterly report is a true/accurate reflection of progress achieved by the Branch during the period under review and that the evidence in support of the reported progress is available and has been submitted on EDMS.

Branch: _____

Quarter: _____

Submitted by: _____

Date of submission: _____

DDG:
Date:



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CRITERIA FOR ANALYSIS OF ORGANISATIONAL PERFORMANCE

WHY WE MONITOR AND ANALYSE THE PERFORMANCE OF THE ORGANISATION

- To track actual progress being made towards attainment of planned targets for the organisation
- To identify challenges/potential challenges which may impact on the attainment of planned targets
- To provide for a basis to review current planned targets for a financial year
- To inform future planning/targets based on lessons learned
- To help assess overall progress made towards the realisation of the mandate and vision of the department

ANALYSIS	COLOUR CODE	PROGRESS	EVIDENCE
Off target	Red	No progress against planned milestone (quarter/annual), progress significantly behind planned milestones (less than 50% achieved)	Reported progress suggests work is on target /in progress but there is no evidence/evidence is not sufficient/relevant /complete
Work in progress	Yellow/Amber	The planned target has not been fully achieved, but there is significant progress made towards the target (50% - 99% achieved)	There is sufficient, relevant /complete evidence to support and verify the reported progress
On target	Green	The planned milestone for the quarter has been fully reached	There is sufficient , relevant /complete evidence to support and verify the reported progress
Achieved (year-end)	Green	The planned milestone for the year has been fully realised (95%-100% achieved)	There is sufficient , relevant /complete evidence to support and verify the reported progress
No milestone	Blue	No planned milestone for the quarter under review	Not applicable

ANALYSIS	COLOUR CODE	PROGRESS	EVIDENCE
No information	Brown	No progress has been reported against the planned milestone by the closing date for submission off the report	Not applicable
Partially achieved (yearend)	Yellow/Amber	The planned target has not been fully achieved, but there is significant progress made towards the target (50% 95% achieved)	There is sufficient ,relevant /complete evidence to support and verify the reported progress

* If there is still incorrect/ insufficient evidence, even after consultation, the progress will be changed to reflect what is already on the submitted evidence.

**If there is no evidence at all it will be deemed that no progress was made and the report will be changed to “no progress made”.

ANNEXURE G: PROCESS MAP FOR GENERATION OF THE PERFORMANCE INFORMATION

