



FINANCIAL AND FISCAL COMMISSION
ANNUAL PERFORMANCE PLAN
FOR 2013/2014

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For an Equitable Sharing of National Revenue

FOREWORD

The 2013/2014 Annual Performance Plan of the Financial and Fiscal Commission is guided by its Five Year Strategic Plan formulated in 2008, and has been reviewed annually since then. The Strategic Plan and the Commission's 2013/2014 Annual Performance Plan take into account Government's Medium Term Strategic Framework (MTSF) which reflects political outcomes priorities. They also take into account the prevailing economic climate.

The main priorities for 2013/2014 include:

- Integrating past and present recommendations with ongoing research to provide systematic advice to stakeholders
- Continuously and innovatively evaluating the research agenda, scope of recommendations and other advisory activities relative to the changing stakeholder needs to give full expression to the mandate of the Commission
- Consolidation of research and a research quality management program to reduce the variability of research quality outcomes
- The re-positioning of support services into dissemination and engagement teams
- Proactive strengthening of stakeholder relations and leveraging of networking opportunities.
- Efforts at eliminating the accumulated deficit
- A focus on alternative revenue sources
- Review of the Commission's delivery model
- Preparations for the 20th Intergovernmental Fiscal Relations Anniversary Conference.

Performance targets for 2013/14 were developed by the Commission and are presented in this Performance Plan. These performance targets will be monitored quarterly to reflect the Commission's continued progress and effort toward meeting its long-term performance goals and objectives. It is our hope that this performance framework will help society understand the importance of the Commission's work and the contributions that the Commission is making toward advancing sustainable and equitable intergovernmental fiscal relations system to realise the values of the Constitution.

The Commission endorses the Annual Performance Plan and is committed to ensuring that it is implemented.

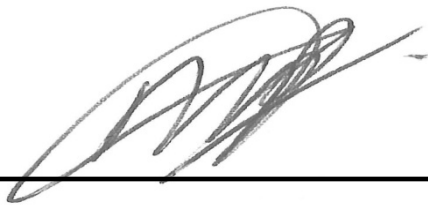


Bongani Khumalo (Mr.)
Acting Chairperson/CE, Financial and Fiscal Commission
Date: 5 February 2013

DECLARATION

It is hereby certified that the attached Performance Plan was developed by the management of the Financial and Fiscal Commission under the guidance of the Commission; takes into account all the relevant policies, legislation and other mandates for which the Financial and Fiscal Commission is responsible; and accurately reflects the annual targeted performance and budgets, and is based on the business' strategic outcomes-oriented goals and objectives which the Financial and Fiscal Commission will endeavour to achieve given the resources that have been allocated to it in the budget for the 2013/2014 Financial Year.

Approved by:



Mavuso Vokwana
Chief Financial Officer
Financial and Fiscal Commission
Date: 5 February 2013



Bongani Khumalo (Mr.)
Acting Chairperson and Accounting Officer
Financial and Fiscal Commission
Date: 5 February 2013

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PART A

1. Updated Situational Analysis

1.1 The Commission's Operational Domain

Key policy pressures that are currently confronting the State are, among others, the following:

- Housing and transport matters such as the accreditation of municipalities and the Bus Rapid Transit (BRT).
- Challenges with the adequacy and utility of the Local Government Fiscal Framework that continue to remain unresolved
- Non-compliance or enforcement of the prescripts of division of revenue legislation
- Challenges with the implementation of the Public Finance Management Act as recently evidenced by the December 2011 Section 100(1) of the Constitution National Government intervention in the administration of three provincial governments.
- National elections and a new government in the next two years which bring with them transition issues particularly those relating to intergovernmental relations policy and practice.

1.2 Commission Environment: Internal Dynamics Organisational Environment

1.2.1 A key concern remains the unfilled Commissioner posts. This matter seriously impacts on the delivery of the Commission. This is an area that requires the intervention of the President of the Republic and the Commission will continue to engage through the Minister of Finance in order that these key challenges are addressed.

1.2.2 Aligned to the above, in terms of good corporate governance, the Commission has tabled a proposal for the separation of the roles of Chairperson and CE. Addressing these issues will advance progress enormously.

1.3 Performance Environment: External Dynamics

A new development which could have serious resource and budgetary implications is the role of the Commission in collective bargaining between organised local government and unions as contemplated by the recent amendment to the Local Government: Municipal Systems Act (2011).

2 Revisions to Legislative and Other Mandates

The 2011 amendment to *Section 71 of the Local Government: Municipal Systems Act of 2000* which gives a role to the Commission in the collective bargaining process between organised local government and unions could have resource and budgetary implications for the Commission.

3 Overview of 2013/2014 Budget and MTEF Estimates

3.1 Expenditure Estimates

Statement of financial performance	Audited outcome			Revised estimate	Medium-term estimate		
	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16
R thousand							
Revenue							
Tax revenue	-	-	-	-	-	-	-
Non-tax revenue	97	402	136	125	258	265	271
Sale of goods and services other than capital assets	-	-	-	-	-	-	-
<i>of which:</i>							
<i>Administration fees</i>	-	-	-	-	-	-	-
<i>Sales by market establishment</i>	-	-	-	-	-	-	-
<i>Other sales</i>	-	-	-	-	-	-	-
<i>Other non-tax revenue</i>	97	402	136	125	258	265	271
Transfers received	26 580	31 391	33 036	37 268	38 767	39 488	40 884
Total revenue	26 677	31 793	33 172	37 393	39 025	39 753	41 155
Expenses							
Current expenses	27 189	33 446	33 064	37 393	39 025	39 753	41 155
Compensation of employees	17 158	19 664	19 202	18 596	19 496	19 666	20 487
Goods and services	9 093	13 058	13 455	18 483	19 199	19 740	20 304
Depreciation	780	584	403	314	331	347	364
Interest, dividends and rent on land	158	140	4	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Total expenses	27 189	33 446	33 064	37 393	39 025	39 753	41 155
Surplus / (Deficit)	(512)	(1 653)	108	-	-	-	-
Acquisition of assets	225	513	273	340	354	376	394

Statement of financial position							
Carrying value of assets	920	841	711	752	790	851	930
<i>of which:</i>							
<i>Acquisition of assets</i>	225	513	273	340	354	376	394
Investments	-	-	-	-	-	-	-
Inventory	-	-	-	-	-	-	-
Loans	-	-	-	-	-	-	-
Accrued investment interest	-	-	-	-	-	-	-
Receivables and prepayments	52	58	140	52	40	40	40
Cash and cash equivalents	130	-	127	150	200	200	941
Non-current assets held for sale	-	-	-	-	-	-	-
Defined benefit plan assets	-	-	-	-	-	-	-
Taxation	-	-	-	-	-	-	-
Derivatives financial instruments	-	-	-	-	-	-	-
Total assets	1 102	899	978	954	1 030	1 091	1 911
Accumulated surplus/(deficit)	(2 173)	(3 974)	(3 736)	(2 736)	(1 736)	(736)	264
Capital and reserves	919	919	919	919	919	919	919
Capital reserve fund	-	-	-	-	-	-	-
Borrowings	-	1	-	-	-	-	-
Finance lease	189	154	88	-	-	-	-
Accrued interest	-	-	-	-	-	-	-
Deferred income	-	-	-	-	-	-	-
Trade and other payables	1 807	3 399	3 157	2 371	1 447	508	328
Taxation	-	-	-	-	-	-	-
Provisions	360	400	550	400	400	400	400
Managed funds (e.g. Poverty alleviation fund)	-	-	-	-	-	-	-
Derivatives financial instruments	-	-	-	-	-	-	-
Total equity and liabilities	1 102	899	978	954	1 030	1 091	1 911

3.2 Relating Expenditure Trends to Strategic Outcome Oriented Goals

Strategic Outcome Oriented Goals		Expenditure	
		R' 000	
		2012/2013	2013/2014
<i>Stable IGFR System</i>	The System of Inter-governmental Fiscal Relations (IGFR) is sustainable and equitable	19 101	19 677
<i>Strategic Foresight</i>	"No Surprises" and future-oriented		
<i>Sound and informed policy advice</i>	Effective policies that are evidence based result from comprehensive and value added management		
<i>Knowledge Management</i>	Relevant knowledge that enhances developmental impact is created and mobilised through the balance of internal and external specialist talent commensurate with the needs of the Commission	1 276	1 455
<i>Success Culture</i>	A dynamic, productive organisational culture is created and nurtured	6 690	6 578
<i>Balance</i>	The balancing of present and future demands, leading to effective performance within the constraint of available resources	10 201	10 580

3.3 Relating Expenditure to Strategic Objectives

Name of the Objectives	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16
	Audited Performance				Medium-Term Estimate		
	Audited	Audited	Audited	Approved Budget	Budget Estimate	Budget Estimate	Budget Estimate
To profile the Commission with a special focus on the Commission's Mandate, Vision, Mission and Role, the Commission's Short- and Long-Term Strategy, the Commission's position on specific issues, the Commission's Challenges and Achievements	-	-	-	364	374	395	414
Compensation of employees	-	-	-	364	374	395	414
Use of goods and services	-	-	-	364	374	395	414
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure that Commission research is converted to policy advice and recommendations written in a language that is accessible to policymakers	-	-	-	513	527	557	584
Compensation of employees	-	-	-	513	527	557	584
Use of goods and services	-	-	-	513	527	557	584
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure that policy advice and recommendations respond timeously and proactively to the environment and to the dynamic needs of stakeholders	-	-	-	945	971	1 025	1 076
Compensation of employees	-	-	-	945	971	1 025	1 076
Use of goods and services	-	-	-	945	971	1 025	1 076
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-

Name of the Objectives	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16
	Audited Performance				Approved Budget	Medium-Term Estimate	
	Audited	Audited	Audited	Budget Estimate		Budget Estimate	Budget Estimate
To ensure the generation of quality, innovative, pioneering research that informs key IGFR strategic debates and choices	13 033	14 451	12 676	12 593	12 939	13 662	14 337
Compensation of employees	10 851	11 052	9 695	10 563	10 853	11 459	12 026
Use of goods and services	2 182	3 399	2 982	2 030	2 086	2 203	2 311
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To produce evidence based results	123	734	644	721	741	782	821
Compensation of employees	123	734	644	721	741	782	821
Use of goods and services	-	-	-	-	-	-	-
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure the progressive and innovative management of human resources that attracts, develops and retains key talent, and leverages external expertise	958	1 968	2 259	1 756	1 805	1 905	2 000
Compensation of employees	323	1 013	889	995	1 022	1 080	1 133
Use of goods and services	635	955	1 371	761	782	826	867
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-

Name of the Objectives	2009/10	2010/11	2011/2012	2012/13	2013/14	2014/15	2015/16
	Audited Performance			Approved Budget	Medium-Term Estimate		
	Audited	Audited	Audited		Budget Estimate	Budget Estimate	Budget Estimate
To ensure the coordinated, coherent, high quality, innovative and cost effective approach to ICT that meets the needs of the Commission, the Commission secretariat and stakeholders	931	1 091	2 023	2 266	2 328	2 458	2 579
Compensation of employees	183	139	655	734	754	796	835
Use of goods and services	748	952	1 368	1 532	1 574	1 662	1 744
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure the coordinated, cost effective and innovative management of Commission assets in support of delivery on the Commission's mandate	5 174	4 834	5 839	6 777	6 963	7 352	7 715
Compensation of employees	1 195	1 314	1 686	1 888	1 940	2 048	2 149
Use of goods and services	3 199	2 936	3 108	3 481	3 577	3 777	3 963
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	780	584	1 045	1 408	1 446	1 527	1 603
To ensure compliance with legislation and adherence to relevant corporate governance best practice	3 731	5 476	4 804	4 931	5 066	5 349	5 614
Compensation of employees	2 609	3 150	2 763	2 656	2 729	2 881	3 023
Use of goods and services	1 122	2 326	2 040	2 275	2 338	2 468	2 590
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure effective and responsible leadership with specific focus on integrity, transparency and accountability, as well as on the development a positive organisational culture.	-	-	-	295	303	320	336
Compensation of employees	-	-	-	295	303	320	336
Use of goods and services	-	-	-	-	-	-	-
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-

Name of the Objectives	2009/10	2010/11	2011/12	2012/13 Approved Budget	2013/14	2014/15	2015/16
	Audited Performance				Medium-Term Estimate		
	Audited	Audited	Audited		Budget Estimate	Budget Estimate	Budget Estimate
To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system	-	-	-	261	268	283	297
Compensation of employees	-	-	-	261	268	283	297
Use of goods and services	-	-	-	261	268	283	297
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
To ensure the coordinated, cost-effective and innovative acquisition and management of Commission data, information and knowledge resources in support of delivery on the Commission's mandate	-	-	-	449	461	487	511
Compensation of employees	-	-	-	439	451	476	500
Use of goods and services	-	-	-	10	10	11	11
Interest, dividends and rent on land	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
Prudent and transparent management of financial resources	3 239	4 892	4 818	4 515	4 639	4 898	5 141
Compensation of employees	1 997	2 996	2 628	2 062	2 119	2 237	2 348
Use of goods and services	1 084	1 756	2 067	2 315	2 379	2 512	2 636
Interest, dividends and rent on land	158	140	123	138	141	149	157
Transfers and subsidies	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-

Name of the Objectives	2009/10	2010/11	2011/12	2012/13 Approved Budget	2013/14	2014/15	2015/16
	Audited Performance				Medium-Term Estimate		
	Audited	Audited	Audited		Budget Estimate	Budget Estimate	Budget Estimate
To ensure access to alternative sources of funding	-	-	-	881	905	956	1 003
Compensation of employees	-	-	-	881	905	956	1 003
Use of goods and services							
Interest, dividends and rent on land							
Transfers and subsidies							
Other							
	27 189	33 446	33 064	37 268	38 289	40 429	42 428

PART B

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Measurable Strategic Objective 5.1.1: Profile the Commission with a special focus on the Commission's Mandate, Vision, Mission and Role; the Commission's Short- and Long-Term Strategy; the Commission's position on specific issues; and the Commission's Challenges and Achievements				
Legislature and Government Plan	Dissemination of Commission profferings, engagement with stakeholders and issues management	Number of Q2 to Q3 briefings on 2014/2015 Submission for the Division of Revenue by March 2014	5 Parliament	
			9 Provincial Legislatures	
			1 SALGA	
			1 Government	
		Number of Q3 briefings on 2013 Medium Term Budget Policy Statement by March 2014	1 Parliament	
		Number of Q4 briefings on Commission Submission on the 2014 Division of Revenue Bill by March 2014	2 Parliament	
		Number of Q4 briefings on Fiscal Framework and Revenue Proposals by March 2014	2 Parliament	
		Number of TCF ¹ Meetings by March 2014	6	
Number of MINMECs ² by March 2014	2			

¹ Technical Committee on Finance

² Minister's and Members of Provincial Executives Committee on the Budget

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Legislature and Government Plan cont ... Media, ISDs, NGOs, CBOs, Academia, and Peers Management Plan	Dissemination of Commission profferings and engagement with stakeholders	Number of Budget Council Meetings by March 2014	2	
		Number of IGFR Workshops by March 2014	2	
		Number of other (ad hoc ³) Legislature and Government briefings by March 2014	8 briefings @ 2 briefings per Quarter	
		Number of Public Hearings by March 2014	1	
		Number of Media Briefings by March 2014	3	
		Number of Website updates by March 2014	Updated Website every 7 days	
Measurable Strategic Objective 5.1.2: To ensure that Commission research is converted to policy advice and recommendations written in language that policymakers can understand				
Plain Language Editing	Accessible Commission profferings	Number of clear language edited Submissions, Reports and Policy Briefs by March 2014	1 2014/2015 Submission for the Division of Revenue in Q1	
			1 2014/2015 Submission for the Division of Revenue Technical Report in Q2	
			1 Policy Brief per Chapter of 2014/2015 Submission for the Division of Revenue in Q2	

³ Section 3(2)(b)(ii) of Financial and Fiscal Commission Act

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Plain Language Editing <i>cont ...</i>	Accessible Commission profferings	Number of clear language edited Submissions, Reports and Policy Briefs by March 2014	1 2012/2013 Annual Report in Q2	
Measurable Strategic Objective 5.1.3: To ensure that policy advice and recommendations respond to the needs of stakeholders				
Environmental and Management Scan Issues	Research, policy advice and recommendations that deal with IGFR issues that are relevant and topical	Number of State and Government fora attended by March 2014	Medium Term Budget Policy Statement in Q3	
			State of the Nation Address in Q4	
			Budget Speech in Q4	
Measurable Strategic Objective 5.1.4: To ensure the generation of quality, innovative, pioneering research that informs key IGFR strategic debates and choices				
Research and Recommendations Programme	Advancement of IGFR Knowledge-generation and dissemination	Number of peer-reviewed publications in an accredited journals by March 2014	10.6	
		Number of recognised book chapters or working papers or Technical Reports published by March 2014	16	
	Better stewardship of public funds/Value for Money	2014/2015 Annual Submission for Division of Revenue by March 2014	1	
		2013 Medium Term Budget Policy Statement Submission by March 2013	1	
		Division of Revenue Bill Submission by March 2014	1	
		2014 Fiscal Frameworks and Tax Proposals Submission by March 2014	1	

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Research and Recommendations Programme cont ...	Better stewardship of public funds/Value for Money	2014 Appropriations Bill Submission by March 2014	1	
Measurable Strategic Objective 5.1.5: To produce evidence-based results				
Research and Recommendations Programme cont ...	Policy advice based on reliable and verifiable information	Number of datasets/model codes/syntax archived for future use by March 2014	16	
		Number of technical reports published by March 2014	1 2014/2015 Technical Report published in Q2	
TOTAL				R15 551 000
Measurable Strategic Objective 5.2.1: To ensure the progressive and innovative management of human resources that attracts, develops and retains key talent, and leverages external expertise				
Human Resource Management	People organised effectively for performance	Number of Organisational Development (OD) components completed by March 2014	2	
		Number of reviewed Human Resource Management Policies and Procedures by March 2014	Revised Human Resource Strategy by Q4	
			12 Revised Human Resource Management Policies and Procedures by Q4	
Remuneration of staff at rates not below DPSA published rates by March 2014	Remuneration of non-SMS staff at rates not below rates published by DPSA by Q2			

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
<i>Human Resource Management cont ...</i>	People organised effectively for performance	Remuneration of staff at rates not below DPSA published rates by March 2014	Remuneration of SMS staff at rates not below DPSA published rates by Q4	
		Proportion of staff (normal distribution curve) rewarded and recognised for superior performance by March 2014	SMS 20% Non SMS 25%	
		Number of employees that meet competence standards set in Commission Policy by March 2014	No less than 80% of total number of employees by Q4	
		Number of unoccupied but budgeted posts by March 2014	No more than 15% of total number of budgeted positions by end of March 2014	
		Number of days in training per organisational training and development plan per employee by the end of the year	3 days year per employee by March 2014	
		Rate of absenteeism ⁴ by March 2014	<5% by March 2014	
		Number of employees disciplined for misconduct ⁵ by March 2014	<3% by March 2014	
		Ratio of male to female staff by March 2014	SMS 60/40 Professional 60/40 Non- SMS 60/40 Organisation 60/40 by March 2014	

⁴ Total Days Absent/Total Working Days%

⁵ Incidents/Total Staff Compliment%

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Measurable Strategic Objective 5.2.2: To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders				
ICT Management	ICT organised effectively for performance	Revised ICT Strategy by March 2014	Revised Strategy Document by March 2014	
		Revised ICT Policies and Procedures by March 2014	Revised Policies and Procedures Document by March 2014	
		Revised Disaster Recovery Plan by March 2014	Revised Disaster Recovery Plan Document by March 2014	
		Revised Business Continuity Plan by March 2014	Revised Business Continuity Plan Document by March 2014	
		Number of new and/or upgraded hardware and software units by March 2014	16 hardware 4 software	
		Video conferencing infrastructure by March 2014	Pilot video conferencing capability by March 2014	
		Number of incidents reported by desktop users by March 2014	Not more than 90 per quarter (30 per month) by March 2014	
		Duration of downtime per incident by March 2014	Not more than three (3) hours per incident for desktop support by March 2014	

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Measurable Strategic Objective 5.2.3: To ensure the coordinated, cost-effective and innovative management of Commission assets in support of delivery on the Commission's mandate				
Facilities Management	Space, infrastructure, people and organization effectively coordinated for performance	Number of Facilities Management Policies and Procedures revised by March 2014	4 Revised Facilities Management Policies and Procedures by March 2014	
		Office accommodation for Head Office operations by March 2014	Lease Agreement for Head Office operations by March 2014	
Measurable Strategic Objective 5.2.4: Compliance with legislation and adherence to relevant corporate governance best practise				
Compliance	Commitment to legal and ethical standards, and doing the right thing	Strategic Plan to NT by due date	Draft 1 to NT in Q2	
			Draft 2 to NT in Q3	
			Final Strategic Plan to NT in Q4	
		Strategic Plan to Parliament by due date	Final Strategic Plan to Parliament in Q4	
		Tabling of Submission for the Division of Revenue per IGFR Act ⁶	Tabling of Submission by May 2013	
		Submission of monthly Financial Performance Information to NT by due date	Monthly financials to NT by due date	

⁶ Intergovernmental Fiscal Relations Act No 97 of 1997

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Compliance cont ...	Commitment to legal and ethical standards, and doing the right thing	Submission of 2012/2013 and 2013/2014 Quarterly Financial and Non-Financial Performance Information to NT by due date	Q4 2012/2013 Reports to NT by April 31 2013	
			Q1 2013/2014 Reports to NT by July 31 2013	
			Q2 2013/2014 Reports to NT by October 31 2013	
			Q3 2013/2014 Reports to NT by January 31 2013	
		Submission of 2012/2013 Financial and Non-Financial Performance Information to AG by due date	Unaudited 2012/2013 AFS and Performance Information to AG by May 31 2013	
		2014/2015 MTEF Submission to NT by due date	Submission to NT in Q2	
		Submission and tabling of 2012/2013 Annual Report before Parliament, Provincial Legislatures, Organised Local Government, NT and AG by due date	Submission of Draft Annual Report to AG in Q2	
			Submission of Annual Report to NT by September 15 2013	
Submission and tabling of 2012/2013 Annual Report before Parliament, Provincial Legislatures, Organised Local Government, NT and AG by due date	Tabling of Annual Report by September 30 2013			
2013/2014 Budget Adjustment Estimates Submission to NT by due date	Budget Adjustment Estimates to NT in Q2			

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Compliance cont ...	Commitment to legal and ethical standards, and doing the right thing	Enterprise Risk Assessment by March 2014	Revised Risk Management and Fraud Prevention Framework and Profiles in Q3	
		Estimates of National Expenditure (ENE) Submission to NT by due date	ENE Submission to NT in Q3	
		Commission Governance as prescribed by the Financial and Fiscal Commission Act and approved Committee Terms of Reference by March 2014	5 Commission Meetings ⁷ as per Schedule	
			10 Commission Committee Meetings as per approved schedule	
			12 EXCO ⁸ Meetings	
		12 MANCO ⁹ Meetings		
Stakeholder advisories in terms of Section 3(2)(i)(b) of the Financial and Fiscal Commission Act and other applicable legislation by March 2014	Ad Hoc			
Measurable Strategic Objective 5.2.5: Effective and responsible leadership with specific focus on integrity, transparency and accountability, as well as on the development a positive organisational culture				
Performance Management	Consistent attainment of organisational goals	Number of Performance Reviews in terms of Commission Policy by March 2014	June and December 2013 Touchbase Reviews	
			September 2013 and March 2014 Performance Reviews	

⁷ May, July, and November 2013; January and March 2014
⁸ Monthly Executive Committee
⁹ Monthly Management Committee

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
TOTAL				R16 464 000
Measurable Strategic Objective 5.3.1: To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system				
Information Management, Enterprise Management, Knowledge Management	Identification, creation, representation, distribution and adoption of insights and experiences	Digitisation of paper documents by March 2014	OCR ¹⁰ trained personnel by March 2014	
Measurable Strategic Objective 5.3.2: To ensure the coordinated, cost-effective and innovative acquisition and management of Commission data, information and knowledge resources in support of delivery on the Commission's mandate				
Library	Unrestricted access to information in many formats from a variety of source	Number of successful Library transactions by March 2014	6000	
		Number of reference works acquired by March 2013	2	
				R729 000

¹⁰ Optical Character Recognition

Project/Activities (Input)	Output (Deliverable)	Key Performance Measure/Indicator	2013/2014 Annual Target	Budget
Measurable Strategic Objective 5.4.1: To ensure prudent and transparent management of the financial resources of the Commission				
Financial Management	Organizational agility through the allocation of scarce resources amongst competing interests and opportunities	Revised Policies and procedures document for financial management by March 2013	Review and rollout of revised Policies and Procedures by Q4	
		AG Audit Report with no matters of emphasis by March 2014	2012/2013 AG Audit Report with no matters of emphasis by July 31 2013	
		Percentage deviation from budget allocation by March 2014	No more and no less than 5% of allocation by March 2014	
		Targeted reduction of legacy deficit through bidding for allocations, budget adjustments and implementation of financial discipline by March 2014	25% reduction of deficit by Q4	
Measurable Strategic Objective 5.4.2: To ensure access to alternative sources of funding				
Collaboration and Partnerships	Cooperating to create and/or acquire knowledge	Number of partnerships, sponsorships, collaboration agreements or special projects by March 2013	2 partnerships, sponsorships, collaboration agreements or special projects by March 2014	
TOTAL				R5 544 000

Annexure A: Budget Estimate

Functional Area Financial Year	Approved budget	Budget Estimate
	2012/13	2013/14
Research and Recommendations	15 894 688.00	16 530 475.52
Facilities	5 041 665.00	5 243 331.60
Human Resources	1 431 235.00	1 488 484.40
Information Technology	884 909.00	920 305.36
Finance	4 571 136.00	4 753 981.44
Commission	9 087 433.00	9 450 930.32
Capital Expenditure	357 000.00	380 491.36
Total	37 268 066.00	38 768 000.00

Annexure B: Vision, Mission, Values, Strategic Goals

1. Commission Credo

Vision Statement

TO ENHANCE THE DEVELOPMENTAL IMPACT OF PUBLIC RESOURCES THROUGH THE FINANCIAL AND FISCAL SYSTEM IN SOUTH AFRICA

Mission Statement

TO PROVIDE PROACTIVE, EXPERT AND INDEPENDENT ADVICE ON PROMOTING A SUSTAINABLE AND EQUITABLE IGFR SYSTEM, THROUGH THE FORMULATION AND COLLATION OF POLICY RELEVANT ANALYSIS, IN ORDER TO REALISE THE VALUES OF THE CONSTITUTION

Organisational Values

The Values of the Commission identify the principles of conduct for the institution in carrying out its mission. These values enshrine the principles of Batho Pele. They are:

Professionalism which implies fairness and equal treatment; the free sharing of information; striving for quality; and time management

Respect for each other as colleagues and for the diversity of the workforce

Empowerment in employing policies to increase delegation rather than to stifle it; the tolerance of different views and ideas; and making resources available when required

Trust which requires openness and transparency; humility; person of Integrity; and honesty in all undertakings

Teamwork which encourages cross functional integration; voluntary mentorship and coaching; taking responsibility; and flexibility

Innovation which allows intellectual space; provides systems to support innovation; and tolerates mistakes as opportunities for learning

2. Strategic Outcome-oriented Goals

Strategic Outcome-Oriented Goals		
1	Goal 1	A Stable and Innovative IGFR System
	Goal statement	The system of Inter-governmental Fiscal Relations (IGFR) is progressive, sustainable and equitable
2	Goal 2	Strategic foresight
	Goal statement	"No surprises" and future-oriented
3	Goal 3	Influential and informed policy advice
	Goal statement	Effective policies that are evidence-based result from comprehensive and value-added engagement
4	Goal 4	Knowledge management
	Goal statement	Relevant knowledge that enhances developmental impact is created and mobilised through the balance of internal and external specialist talent commensurate with the needs of the Commission
5	Goal 5	"Success" culture
	Goal statement	A dynamic, productive organisational culture is created and nurtured

Strategic Outcome-Oriented Goals <i>cont ...</i>		
6	Goal 6	Balance
	Goal statement	The balancing of present and future demands, leading to effective performance within the constraints of available resources.

3. Matrix: Strategic Outcome-Oriented Goals and Strategic Objectives

		Goal					
		Sound and informed policy advice	Strategic foresight	A Stable and Innovative IGFR System	Knowledge management	"Success" culture	Balance
Objective	5.1.1 To profile the Commission with a special focus on the Commission's Mandate, Vision, Mission and Role, the Commission's Short- and Long-Term Strategy, the Commission's position on specific issues, the Commission's Challenges and Achievements	5.1.1 To profile the Commission with a special focus on the Commission's Mandate, Vision, Mission and Role, the Commission's Short- and Long-Term Strategy, the Commission's position on specific issues, the Commission's Challenges and Achievements	5.1.1 To profile the Commission with a special focus on the Commission's Mandate, Vision, Mission and Role, the Commission's Short- and Long-Term Strategy, the Commission's position on specific issues, the Commission's Challenges and Achievements	5.1.2 To ensure that Commission research is converted to policy advice and recommendations written in a language that is accessible to policymakers	5.2.1 To ensure the progressive and innovative management of human resources that attracts, develops and retains key talent, and leverages external expertise	5.2.1 To ensure the progressive and innovative management of human resources that attracts, develops and retains key talent, and leverages external expertise	
	5.1.2 To ensure that Commission research is converted to policy advice and recommendations written in a language that is accessible to policymakers	5.1.3 To ensure that policy advice and recommendations respond to the needs of stakeholders	5.1.3 To ensure that policy advice and recommendations respond to the needs of stakeholders	5.1.4 To ensure the generation of quality, innovative, pioneering research that informs key IGFR strategic debates and choices	5.2.2 To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders	5.2.2 To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders	
	5.1.3 To ensure that policy advice and recommendations respond to the needs of stakeholders	5.3.1 To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system	5.1.5 To produce evidence-based results	5.1.5 To produce evidence-based results	5.2.3 To ensure the coordinated, cost-effective and innovative management of Commission assets in support of delivery on the Commission's mandate	5.2.3 To ensure the coordinated, cost-effective and innovative management of Commission assets in support of delivery on the Commission's mandate	

	Goal					
	Sound and informed policy advice	Strategic foresight	A Stable and Innovative IGFR System	Knowledge management	"Success" culture	Balance
Objective	5.1.4 To ensure the generation of quality, innovative, pioneering research that informs key IGFR strategic debates and choices	5.4.1 To ensure prudent and transparent management of the financial resources of the Commission	5.2.2 To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders	5.2.2 To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders	5.2.4 To ensure compliance with legislation and adherence to relevant corporate governance best practice.	5.2.5 To ensure compliance with legislation and adherence to relevant corporate governance best practice.
	5.1.5 To produce evidence-based results	5.4.2 To ensure access to alternative sources of funding	5.3.1 To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system	5.2.3 To ensure the coordinated, cost-effective and innovative management of Commission assets in support of delivery on the Commission's mandate	5.2.5 To ensure effective and responsible leadership with specific focus on integrity, transparency and accountability, as well as on the development a positive organisational culture	5.3.2 To ensure the coordinated, cost-effective and innovative acquisition and management of Commission data, information and knowledge resources in support of delivery on the Commission's mandate
	5.2.2 To ensure the coordinated, coherent, high-quality, innovative and cost-effective approach to ICT that meets the needs of the Commission, the Commission Secretariat and stakeholders			5.3.1 To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system	5.4.1 To ensure prudent and transparent management of the financial resources of the Commission	5.4.1 To ensure prudent and transparent management of the financial resources of the Commission

Goal						
	Sound and informed policy advice	Strategic foresight	A Stable and Innovative IGFR System	Knowledge management	"Success" culture	Balance
	5.3.1 To ensure the creation of new knowledge, the institutionalization of such knowledge and its transfer to other role players within the intergovernmental fiscal relations system				5.4.2 To ensure access to alternative sources of funding	5.4.2 To ensure access to alternative sources of funding

ANNEXURE C: TECHNICAL INDICATORS

Indicator 1

Indicator Title	Peer-reviewed publications in an internationally accredited scientific journal, per researcher
Definition	Computed as a ratio. The number of articles with an FFC researcher listed as author or co-author, published during the period under review in internationally accredited peer-reviewed journals (Level), divided by the number of researchers employed by the FFC at the <u>end of the reporting period</u> .
Purpose/Importance	<ol style="list-style-type: none">This is an indicator of Quality/Excellence and compares our performance to a technical standard (peer reviewed, internationally accredited journals).It also measures <i>Productivity</i> (number of articles per researcher or compares outputs with physical inputs).Peer-review process ensures that FFC work is subject to independent scrutiny and quality control, over and above our own internal quality review process.Proof of research excellence is critical for research findings to be taken seriously, for the stature of researchers, organizational recognition and to be able to have credibility of our advice amongst key stakeholders.Publication in internationally accredited journals ensures that research findings are made publicly available – aligned with FFC mandated objectives of proactive, expert and independent advice provided on promoting a sustainable and equitable IGFR system by dissemination to a wider audience.
Calculation Method	<ol style="list-style-type: none">Count number of peer-reviewed journal articles with one or more FFC researchers listed as author (i.e. no adjustment for multiple authors) published during the period under review.Count number of FFC staff on permanent payroll (1 year or longer), appointed at levels of Researcher and above, as at the last day of the reporting periodCalculate: a/b expressed as a ratio

Type of Indicator	<ul style="list-style-type: none"> a. This is an <u>output indicator</u> as it is based on number of publications b. It also measures <u>efficiency or productivity</u> because its number of publications per researcher (productivity), i.e. number of publications per researcher as stipulated in Results Based Management
Calculation Type	Cumulative Indicator – for 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Quarterly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	NO – Already in Research Policy and Approved. But more detail on definition, measurement and rationale added
Desired Performance	Equal to or higher than targeted performance set in Research Policy. This is an indicator of <u>effectiveness</u> as it compares actual results with planned results.
Indicator Responsibility	<ul style="list-style-type: none"> a. Publications – RRP Administrator (capturing of data supplied by research programs) b. Ratio and Quality – Research Director (quality control based on Research Policy, IS and computation of ratios)
<hr/>	
Indicator 2	
<hr/>	
Indicator Title	Technical Reports, Book Chapters, Working Papers Published
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Short Description	Count the total number of book chapters, technical reports, occasional papers, conference papers and working papers with an FFC researcher listed as author or co-author, published during the period under review.
Purpose/Importance	<ul style="list-style-type: none"> a. This is an indicator of effectiveness b. Its also an indicator of relevance c. Aligned directly with FFC mandated objective of proactive, expert and independent advice provided on promoting a sustainable and equitable IGFR system by dissemination to a wider audience.
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Calculation Method	<ul style="list-style-type: none"> a. Count number of technical reports, book chapters, conference papers, working papers and occasional papers with one or more FFC researchers listed as author (i.e. no adjustment for multiple authors) published during the period under review. b. Count number of FFC staff on permanent payroll (1 year or longer), appointed at levels of Researcher and above, as at the last day of the reporting period c. Calculate: a/b expressed as a ratio
Type of Indicator	<ul style="list-style-type: none"> a. This is an <u>output indicator</u> as it is based on number of publications b. It also measures <u>efficiency or productivity</u> because its number of publications per researcher (productivity), i.e. number of publications per researcher as stipulated in Results Based Management
Calculation Type	Cumulative Indicator – for 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Quarterly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	NO
Desired Performance	Equal to or higher than targeted performance set in Research Policy. This is an indicator of <u>effectiveness</u> as it compares actual results with planned results.
Indicator Responsibility	<ul style="list-style-type: none"> a. Publications – RRP Administrator (capturing of data supplied by research programs) b. Ratio and Quality – Research Director (quality control based on Research Policy, IS and computation of ratios)
Indicator 3	
Indicator Title	Publications and citations in national and international Newspaper, TV, radio and PMG, government media and relevant stakeholder media
Definition	The number of articles with an FFC researcher who can demonstrate significant input to the document published either through contributing to the background research, as author or co-author, published during the period under review.

Purpose/Importance	<ul style="list-style-type: none"> a. This is an indicator of effective dissemination. b. It also measures <i>effectiveness</i> (number of articles planned versus published per year). c. Publication in popular press ensures that research findings are made publicly available – aligned with FFC mandated objectives of impact and dissemination. d. Contribute to organizational recognition
Calculation Method	<ul style="list-style-type: none"> a. Count number of articles/citations with one or more FFC researchers listed as author (i.e. no adjustment for multiple authors) published during the period under review. b. Count number of FFC staff on permanent payroll (1 year or longer), appointed at levels of Researcher and above, as at the last day of the reporting period c. Calculate: a/b expressed as a ratio
Type of Indicator	<ul style="list-style-type: none"> a. This is an <u>output indicator</u> as it is based on number of publications b. It also measures <u>efficiency and dissemination effectiveness</u>.
Calculation Type	Cumulative Indicator – Annual and over 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Quarterly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	NO
Desired Performance	Equal to or higher than targeted performance set in Research Policy. This is an indicator of <u>effectiveness</u> as it compares actual results with planned results.
Indicator Responsibility	<ul style="list-style-type: none"> a. Publications – RRP Administrator (capturing of data supplied by research programs and LKM) b. Ratio and Quality – Research Director (quality control based on Research Policy, IS and computation of ratios)
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Indicator 4	
Indicator Title	The number of FFC datasets that were archived during the period under review

Definition	The number of unique datasets developed and preserved for future use during the research cycle of the project.
Purpose/Importance	<ul style="list-style-type: none"> a. This is an indicator of effective dissemination b. Counts the number of unique datasets that were preserved for future use, for the first time during the period of review. c. Serves as an indicator of how we are responding to mandated objective of developing and making publicly available new datasets to underpin research, policy development and public discussion
Calculation Method	<ul style="list-style-type: none"> a. Count number of data sets archived during the period under review. b. The Data and Information Unit will develop compliance criteria and confirm that the dataset complies with the necessary criteria in terms of scope and complexity, and that it has been that it has been preserved according to the required procedures.
Type of Indicator	This is an <u>output indicator</u> as it is based on number of data sets archived
Calculation Type	Cumulative Indicator – Annual and over 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Quarterly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	YES
Desired Performance	Equal to or higher than targeted performance.
Indicator Responsibility	<ul style="list-style-type: none"> a. Publications – RRP Administrator (capturing of data supplied by research programs and LKM) b. Data and Information Unit Head –(quality control based on developing compliance measures and guidelines, archiving and so on)

Indicator 5	
Indicator Title	The number of Model Codes and Syntax developed and archived during the period under review
Definition	The number of model codes and syntax developed and preserved for future use during the research cycle of the project.

Purpose/Importance	<ul style="list-style-type: none"> a. Counts the number of codes and syntax that were preserved for future use, for the first time during the period of review. b. Serves as an indicator of how we are responding to mandated objective of developing, preserving and making publicly available new modeling techniques to underpin research, policy development and public discussion
Calculation Method	<ul style="list-style-type: none"> a. Count number of codes archived during the period under review. b. The Program Managers and Researchers will develop compliance criteria and confirm that the code/syntax complies with the necessary criteria in terms of scope and complexity, and that it has been preserved according to the required procedures.
Type of Indicator	This is an <u>output indicator</u> as it is based on number of model codes archived
Calculation Type	Cumulative Indicator – Annual and over 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Quarterly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	YES
Desired Performance	Equal to or higher than targeted performance.
Indicator Responsibility	<ul style="list-style-type: none"> c. Publications – RRP Administrator (capturing of data supplied by research programs and LKM) d. Program Managers –(quality control based on developing compliance measures and guidelines, archiving and so on)

Indicator 6

Indicator Title

Effective Research Administration

Definition

Documented instances of effective and efficient administration.

Purpose/Importance

Serves as an indicator of how we are responding to mandated objective of

- Sound management practices (accountability and reporting framework, time management, people management, internal communications, technology support etc)

Calculation Method	<ul style="list-style-type: none"> • Professional development of Financial and Fiscal Commission staff in administrative effectiveness • Timely preparation of "week-ahead plans" and participation in agreeing deliverables and timelines. • Achievement of pre-agreed timelines for research papers. • Informative monthly, quarterly, annual and Commission meetings reports outlining salient issues, progress and follow-ups required • Compliance with standard report format requirements (See templates) • Participation and contribution to strategy, policy, Workplans documents • Good documents and file management (Following guidelines adopted) • On time submission of invoices and project reports • Preparation of Annual Leave Plan • On time submission of leave forms • Assist other departments with administrative matters such as staff recruitment, staff induction, HR meetings etc.
Type of Indicator	This is partly input and partly output indicator..
Calculation Type	Cumulative Indicator – for 5 Years
Reporting Cycle	<ul style="list-style-type: none"> a. Reporting Cycle: Monthly b. Target Set: Annual Performance and 5 Year Cycle
New Indicator	NO
Desired Performance	Equal to or higher than targeted performance set in agreed norms (e.g., submit meeting report after 3 working days as agreed at MANCOM).
Indicator Responsibility	<ul style="list-style-type: none"> a. Documents – RRP Administrator (capturing of reports and document supplied by research programs) and HR (Leave etc) a. Quality – Immediate Supervisor

Indicator 7

Indicator Title	Effective Stakeholder Management
Definition	The number of stakeholder interactions, mandated, referrals, rapid response or otherwise documented.
Purpose/Importance	<p>Serves as an indicator of how we are responding to mandated objective of:</p> <ul style="list-style-type: none"> • Organisational recognition • Compliance (MTBPS, DORB, Annual Submission, Referrals etc) • Customer/stakeholder satisfaction • Attribution
Calculation Method	<ul style="list-style-type: none"> • Number of stakeholders relevant to the organisation/division/unit/project • Number of meetings, telephonic calls, emails, other correspondence relating to the research • Minutes of meetings with stakeholders outlining salient issues raised and follow-ups required in accordance with agreed template • Number of presentations made, documents prepared • Official accolades received for specific and exceptional work such as nomination to national working committees, board membership, editorial boards etc • Number of proposals and recommendations made and accepted by stakeholder • Preparation of Divisional Stakeholder Policy
Type of Indicator	This is partly input and partly output indicator.
Calculation Type	Cumulative Indicator – monthly and for 5 Years
Reporting Cycle	<p>a. Reporting Cycle: Monthly and Quarterly</p> <p>b. Target Set: Annual Performance and 5 Year Cycle</p>
New Indicator	NO
Desired Performance	Equal to or higher than targeted performance set

Indicator Responsibility

- a. Documents – RRP Administrator (capturing of reports and document supplied by research programs) and Commission Secretary, Executive
 - b. Quality – Immediate Supervisor
-