

WESTERN CAPE GAMBLING AND RACING BOARD

Technical Indicator Descriptions

2016/17

DEPARTMENT: BOARD

Strategic Objective Indicator

| | |
|--|---|
| Strategic Objective Indicator 1 | Number of meetings at which Committee resolutions and licence applications are considered |
| Short definition | The meetings that the Board convene at which decisions are taken to give effect to the legislative mandate. The resolutions of the Board are carried out by the Office of the Board |
| Purpose/importance | To ensure that the industry operates in a manner that is in line with legislative prescripts. |
| Source/collection of data | Board Minutes |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | To ensure that the industry operates in accordance with the resolutions of the Board. |
| Indicator responsibility | Chief Executive Officer |
| Key risks | That licence holders operate outside the parameters of the Board's resolutions |
| Risk mitigation | Regular inspections and report to the various committees. |

Programme Performance Indicator

| | |
|--|---|
| Programme Performance Indicator 1.1 | Number of meetings to give effect to statutory mandate |
| Short definition | Enough Board meetings are held in order for the Board to achieve its mandate |
| Purpose/importance | Hold Board meetings to make timely decisions in order to achieve its mandate |
| Source/collection of data | WCGRB Board meeting minutes |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Adequate number of meetings to achieve mandate |
| Indicator responsibility | CEO |
| Key risks | Board meetings not held and mandate not achieved |
| Risk mitigation | Meeting dates set at beginning of year and constant referral by Board secretariat plus confirmation of next meetings confirmed at each meeting. |

| | |
|--|--|
| Programme Performance Indicator 1.2 | Number of legislative amendments considered |
| Short definition | The Board will review the current legislation from time to time to ensure that it is relevant and effective, and where necessary, make proposals for amendments to the Provincial legislature through its parent department, Provincial Treasury. |
| Purpose/importance | Legislation must be amended from time to time to keep abreast with new developments as the industry and greater legal environment develops. The review and amendment of legislation is also important to ensure it remains an effective and enforceable. |
| Source/collection of data | WCGRB Board Committee meeting minutes. |
| Method of calculation | Simple count |
| Data limitations | -None |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Annual |
| New indicator | No |
| Desired performance | The number of reviews, and where applicable, proposed legislative amendments considered. |
| Indicator responsibility | Sub-programme CEO |
| Key risks | Key changes to the legislation is not attended to timely |
| Risk mitigation | EXCO and Committee meetings to discuss the legislative amendments. |

DEPARTMENT: EXECUTIVE - CHIEF EXECUTIVE OFFICER

Strategic Objective Indicator

| | |
|--|---|
| Strategic Objective Indicator 2 | Number of meetings, workshops and discussions to positively promote the image of the Board |
| Short definition | There will be a number of meetings held with various stakeholders which is to culminate into specific initiatives such as the hosting of an industry event or the distribution of an informative publication. |
| Purpose/importance | To make the public aware of the purpose and role of the Board and to provide them with vital information of the industry. |
| Source/collection of data | WCGRB Gambling Administration Management System Database and Board Resolutions |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Non-Cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | For members of the public to be aware of the presence of the Board |
| Indicator responsibility | Chief Executive Officer |
| Key risks | Relevant funds not available to conduct the initiatives |
| Risk mitigation | Adequate budgeting |

Programme Performance Indicator

| | |
|--|--|
| Programme Performance Indicator 2.1 | Number of awareness programmes conducted participated in. |
| Short definition | Interventions which informs the general public about the gambling industry and the role of the gambling board. |
| Purpose/importance | Create an informed public |
| Source/collection of data | Board minutes in manual registry |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Less undue criticism of the industry and the regulator |
| Indicator responsibility | CEO |
| Key risk | Uninformed punters and public which could result in undue influence on Board decisions |
| Risk mitigation | Review of media publications and all complaints registered and reviewed |

| | |
|--|--|
| Programme Performance Indicator 2.2 | Percentage of Board resolutions given effect by CEO within 1 month |
| Short definition | Resolutions made by Board to be effected |
| Purpose/importance | To carry out Board instructions |
| Source/collection of data | WCGRB minutes in manual registry |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | To give maximum effect to WCGRB's statutory mandate |
| Indicator responsibility | CEO |
| Key risks | Board instructions not implemented |
| Risk mitigation | Follow-up meeting enquiry about status |

DEPARTMENT: EXECUTIVE - LEGAL**Strategic Objective Indicator**

| | |
|--|---|
| Strategic Objective Performance Indicator 3 | Number of legal opinions drafted. |
| Short definition | The Legal Services department assists the Board and Office with the necessary legal advice to enable decision-making that is legally compliant/ sound. |
| Purpose/importance | A myriad of laws and policies finds application on the Board's operations as a public entity. The legal services department constitutes a legal advisory resource to the Board, to guide the Board and / or Office on the applicable legislation, legal principles and precedents that finds application on a given subject-matter under consideration by the Board or Office.. |
| Source/collection of data | Legal Services department Register and evidence file. |
| Method of calculation | Simple count |
| Data limitations | No specific limitation |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No. |
| Desired performance | To provide the requisite legal support to the Board and Office in respect of all matters / decisions that has legal implications. |
| Indicator responsibility | Programme Manager |
| Key risk | Legal resources of the Board prove inadequate or the Board is not apprised of the law. |
| Risk Mitigation | Subscription to online library services to keep abreast of new developments and to conduct research. Key performance activities for the department are contained in the Annual Performance Plan, the performance of which is quarterly reported and audited |

Programme Performance Indicator

| | |
|--|---|
| Programme Performance Indicator 3.1 | Number of reviews of the Western Cape Gambling and Racing Act,1996 |
| Short definition | To review the Regulations. |
| Purpose/importance | To ensure the legislation is in line with legal developments and, where necessary, recommendations are made to the Board for proposed amendments. |
| Source/collection of data | Legal Services department Register and evidence file. |
| Method of calculation | Counting number of reviews. |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Non-Cumulative |
| Reporting cycle | Annual |
| New indicator | No. |
| Desired performance | That the Regulations are reviewed annually for applicability, relevance and congruency. |
| Indicator responsibility | Programme Manager |

| | |
|------------------------|--|
| Key risk | The Western Cape Gambling and Racing Act, 1996 is outdated and inconsistent with the legal framework within which it exists, i.e. the Constitution,, the National Gambling Act, 2004, other legislation, precedent-setting judgements. |
| Risk Mitigation | Online library subscription to keep abreast of legal developments, continuous research during the ordinary course of work and attendance of relevant forums. |

DEPARTMENT: EXECUTIVE – HUMAN RESOURCES

Strategic Objective Indicator

| | |
|--|--|
| Strategic Objective Performance Indicator 4 | Number of Human Resource Policy Reviews |
| Short definition | One review of the WCGRB staff policies to ensure compliance with labour legislation. |
| Purpose/importance | To ensure statutory compliance |
| Source/collection of data | Information collected through audits, etc. |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Annual |
| New indicator | New Strategic Performance Indicator |
| Desired performance | Progressive staff policies |
| Indicator responsibility | Programme manager |
| Key risks | Human Resource Department not up to date on current trends and practices |

Programme Performance Indicator

| | |
|--|---|
| Programme Performance Indicator 4.1 | Number of Workplace Skills Plans submitted |
| Short definition | Register on the relevant SETA and submit a WSP for the WCGRB |
| Purpose/importance | To ensure a competent workforce |
| Source/collection of data | Internal database, information collected through audits, etc. |
| Method of calculation | Simple count |
| Data limitations | None |

| | |
|---------------------------------|---|
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Annual |
| New indicator | New indicator |
| Desired performance | Adequately trained personnel |
| Indicator responsibility | Programme manager |
| Key risks | Staff not continuously trained to perform their duties in a technologically advancing work environment and kept updated with gambling industry developments |

| | |
|--|--|
| Programme Performance Indicator 4.2 | Number of relevant fora to be attended |
| Short definition | Human Resources to ensure regular attendance at relevant seminars, conferences and manage the statutory requirements in terms of meetings held at the WCGRB (Employment Equity Act, Occupational Health and Safety Act, Human Capital Committee, etc). |
| Purpose/importance | To ensure Human Resources is up to date on current Human Resource best practices and ensure the WCGRB is compliant with relevant Labour Legislation |
| Source/collection of data | Internal database, information collected through audits, etc. |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | Not a new indicator |
| Desired performance | Adherence to all labour legislative requirements |
| Indicator responsibility | Programme manager |
| Key risks | Human Resource Department not up to date on current trends and practices |

DEPARTMENT: ADMINISTRATION AND FINANCE

Strategic Objective Indicator

| | |
|--|---|
| Strategic Objective Indicator 5 | Audit opinion obtained from AGSA for previous financial year |
| Short definition | Issue of an unqualified audit report by Auditor General (SA) on the audit performed at the Western Cape Gambling and Racing Board |
| Purpose/importance | Assurance of well managed administrative and finance functions |
| Source/collection of data | The report will be sourced from the AG(SA) while the records will be sourced from the Board's recording systems |
| Method of calculation | Simple count |
| Data limitations | None |

| | |
|---------------------------------|--|
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Clean audit report |
| Indicator responsibility | Sub programme Head Of Department |
| Key risks | Loss of confidence in Board by all stakeholders especially since the Board has a regulatory function |
| Risk mitigation | Processes reviewed by four tiers of assurance attestors before transaction processed |

Programme Performance Indicator

| | |
|--|---|
| Programme Performance Indicator 5.1 | Number of financial reports to stakeholders |
| Short definition | Operational procedure manuals are analysed for effectiveness and relevance to current circumstances, practices and resource availability. |
| Purpose/importance | Ensure a procedure manual aligned to policies and current best practices. |
| Source/collection of data | WCGRB accounting and administrative records |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Procedure manuals which are aligned to policies and best practices |
| Indicator responsibility | Sub programme Head Of Department |
| Key risks | Staff unsure of practices and methodology for implementation of policies |
| Risk mitigation | Procedure manuals available to all staff, discussed and presented to staff in training with continued review of staff performance. |

| | |
|--|--|
| Programme Performance Indicator 5.2 | Number of Board and Committee meetings where secretariat services are provided |
| Short definition | Production of 36 Board and Committee meeting minutes |
| Purpose/importance | Enhancement of oversight function by the Board |
| Source/collection of data | WCGRB administrative records in WCGRB manual registry |
| Method of calculation | Simple count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Accurate record of all decisions taken |
| Indicator responsibility | Sub programme Head Of Department |
| Key risks | Licences expire and inadequate oversight |

| | |
|------------------------|---|
| Risk mitigation | Renewal registers are maintained and three tiers of verification prior to authorisation |
|------------------------|---|

DEPARTMENT: LICENSING

Strategic Objective Indicator

| | |
|--|---|
| Strategic Objective Performance Indicator 6 | Number of licence applications with recommendations submitted to the CEO and/or the Board for consideration |
| Short definition | Applications received are investigated and submitted for approval/denial with a motivated recommendation to be to either the CEO and/or the Board |
| Purpose/importance | Persons found suitable are permitted to engage in activities in the Gambling Industry in the Western Cape. Improving on the efficiency with regard to turnaround time will ensure that applicants can engage (i.e. employment or conduct business) in gambling activities sooner. |
| Source/collection of data | GAMS reports indicating the number of applications received and turnaround times in respect of processing those. |
| Method of calculation | % of applications received and processed in a specific period Simple calculation |
| Data limitations | - |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Managing the processing and investigations of all renewal and new licence applications timely, i.e. in a set timeframe |
| Indicator responsibility | HOD: Licensing |
| Key Risk | Applications for renewals not submitted or licences not renewed timely |
| Risk Mitigation | Reminders to operators and Penalties imposed for late submission |

Programme Performance Indicator

| | |
|--|---|
| Programme Performance Indicator 6.1 | Percentage of new applications in respect of employee licences (key and gambling) received processed within 30 days of receipt. |
| Short definition | Applications investigated and submitted for approval/denial with a motivated recommendation within a set timeframe |
| Purpose/importance | Applicants will be able to engage in activities sooner. Only entities/persons found suitable are permitted to engage in activities in the Gambling Industry in the Western Cape |
| Source/collection of data | GAMS reports indicating number of applications received and when approved |
| Method of calculation | Simple count |
| Data limitations | - |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Approval of all new licence applications timely |
| Indicator responsibility | HOD: Licensing |
| Key Risk | Applications could be delayed as a result of non-adherence to requests for information |

| | |
|--|--|
| Risk Mitigation | Requests and constant communication with Operators i.e. Liaison meetings |
| Programme Performance Indicator 6.2 | Percentage of renewal applications received processed within the 3 month renewal period |
| Short definition | Applications investigated and submitted for approval/denial with a motivated recommendation with the required timeframe |
| Purpose/importance | Only entities/persons found suitable are permitted to engage in activities in the Gambling Industry in the Western Cape and once licensed such licence is only valid for 12 months and must be renewed timely. |
| Source/collection of data | GAMS reports indicating the applications received and the dates of approvals, |
| Method of calculation | Simple count |
| Data limitations | - |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Approval of all renewal applications timely |
| Indicator responsibility | HOD: Licensing |
| Key Risk | Applications for renewals not received by the office of the Board timely |
| Risk Mitigation | Penalties imposed for late submission |

DEPARTMENT: GAMBLING AND BETTING COMPLIANCE

Strategic Objective Indicator

| | |
|--|--|
| Strategic Objective Performance Indicator 7 | The level of compliance as determined resulting from the on-site assessments conducted at licensed establishments. |
| Short definition | The number of audit findings, which could result in punitive sanctions by the Board, as highlighted during the on-sites compliance assessments at licensed premises which the Programme aims to monitor and respond to accordingly to maintain and ensure the overall level of compliance. |
| Purpose/importance | Where non-compliance is detected in terms of the provisions of the Western Cape Gambling and Racing Act, it should be addressed accordingly to minimise the risk of re-occurrence. |
| Source/collection of data | Information for reporting is verified by the reports submitted and files opened setting out the details of the on-site compliance assessment carried out at establishments. This information is stored on the Z Drive as well as in files retained in the office. |
| Method of calculation | Simple count |
| Data limitations | Uncertainty regarding the number of licensed premises that will open and close during the year as well as the number of allegations with respect to illegal gambling establishments. |
| Type of indicator | Output indicator |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | To ensure that identified non-compliance is rectified immediately, that potential non-compliance is prevented |
| Indicator responsibility | Head of Department: Gambling and Betting Compliance |
| Key Risk | Inadequate resources with the emphasis on lack of specific training and development opportunities. |

| | |
|------------------------|--|
| Risk mitigation | Multiskilling of staff as well as providing for annual industry specific training opportunities. |
|------------------------|--|

Programme Performance Indicator

| | |
|----------------------------------|--|
| Performance Indicator 7.1 | Number of compliance assessments conducted at Casinos, Route Operators, LPM Sites, manufacturers, Bookmakers, Bookmaker premises, Totalisator and Totalisator premises as well as establishments where there are allegations of illegal gambling. |
| Short definition | By carrying out compliance assessments at licensed and other premises, the Programme aims to ensure that gambling and gambling related activities are operated within the legislative prescripts and are conducted in a honest, fair and criminal free environment |
| Purpose/importance | Gambling activities in the Province must comply with the provisions of the Western Cape Gambling and Racing Act, the National Gambling and the Financial Intelligence Centre Act. |
| Source/collection of data | Information for reporting is verified by the reports submitted and files opened setting out the details of the on-site compliance assessment carried out at establishments. This information is stored on the Z Drive as well as in files retained in the office. |
| Method of calculation | Simple count |
| Data limitations | Uncertainty regarding the number of licensed premises that will open and close during the year as well as the number of allegations with respect to illegal gambling establishments. |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | To ensure that identified non-compliance is rectified immediately, that potential non-compliance is prevented and that illegal gambling establishments are closed down |
| Indicator responsibility | Head of Department: Gambling Compliance |
| Key Risk | Inadequate resources with the emphasis on lack of specific training and development opportunities. |
| Risk mitigation | Multiskilling of staff as well as providing for annual industry specific training opportunities. |

| | |
|----------------------------------|--|
| Performance Indicator 7.2 | Investigation of illegal gambling allegations received by the Board |
| Short definition | By carrying out the investigation into all reported allegations of illegal gambling taking place in the Province within a period of 30 days from the time that it is reported. |
| Purpose/importance | Patrons who gamble in illegal gambling establishments are at risk as there are no controls in place, gambling devices are not approved in terms of the technical standards and the Provincial Government will lose out on taxes. |
| Source/collection of data | Allegation Reporting Schedule which sets out the date that the allegation was received by the Board and when our investigation has been completed. |
| Method of calculation | Simple count |
| Data limitations | Investigations may require the assistance of other law enforcement agencies and this could hinder our progress |
| Type of indicator | Output indicator |
| Calculation type | Non-Cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | To ensure that placed where illegal gambling devices are located are removed as soon as possible after having been identified. |

| | |
|---------------------------------|--|
| Indicator responsibility | Head of Department: Gambling and Betting Compliance |
| Key Risk | Assistance from third parties may not be readily available |
| Risk mitigation | Continue to build relations with law enforcement officials |

DEPARTMENT: INFORMATION TECHNOLOGY

Strategic Objective Indicator

| | |
|--|--|
| Strategic Objective Performance Indicator 8 | Minimum information system uptime over 328.5 days |
| Short definition | For the collective measure of the time, all Information and Communication systems were working and available to all users at WCGRB relative to user access policy. |
| Purpose/importance | To provide highly reliable and secure information and communication systems |
| Source/collection of data | Each computer system constantly provides this information to the central database, which stores uptime for all Information and Communication systems. |
| Method of calculation | Planned downtimes are excluded from the calculation |
| Data limitations | Unable to calculate user experience, and solely rely on the help desk calls |
| Type of indicator | Output indicator |
| Calculation type | Cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | 99.99% availability and measurable user experience |
| Indicator responsibility | Programme HOD |
| Key Risk | Business performance disruptions due to unplanned downtime. |
| Risk mitigation | Ensure a DRP is in place and test regularly. |

Programme Performance Indicator

| | |
|----------------------------------|--|
| Performance Indicator 8.1 | Number of instances to Maintain current information technology systems ,hardware, software and network infrastructure. |
| Short definition | The collective measurement of instances for specified items over a given period which consist of: <ul style="list-style-type: none"> • Hardware Installs/Changes • Software installs/changes • Software updates & Licenses updates • Operating System Security Updates • Anti-Virus updates • Infrastructure changes |
| Purpose/importance | Attaining the strategic objective performance indicator requires timely update and maintenance of all hardware, software and network infrastructure. |
| Source/collection of data | Audit logs, the help desk database, maintenance downtime records and procurement information |
| Method of calculation | Simple extraction and counting of information |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Cumulative count |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Achieving planned performances |
| Indicator responsibility | Programme HOD |
| Key Risk | Outdated software and hardware compromising data security and accuracy. |

| | |
|------------------------|--|
| Risk mitigation | Proactively resolve incidents and avoid downtime of information and communication systems. |
|------------------------|--|

| | |
|----------------------------------|--|
| Performance Indicator 8.2 | Number of scheduled preventative and knowledge empowerment activities conducted. |
| Short definition | Attaining the strategic objective performance indicator requires skilling staff members on technology, which will include number of instances and is not limited to: <ul style="list-style-type: none"> • User Training • Guides and manual (create, review, update) • Technological forums • Consultation Meetings • IT Training and conferences |
| Purpose/importance | Ensure users are computer savvy and assist mitigating security risk |
| Source/collection of data | Training register |
| Method of calculation | Simple and cumulative count |
| Data limitations | None |
| Type of indicator | Output indicator |
| Calculation type | Simple and cumulative count |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Achieving planned performances |
| Indicator responsibility | Programme HOD |
| Key Risk | Lack of adequately skilled ICT resources will hinder the programme from achieving the new trajectory. |
| Risk mitigation | Select relevant training for the IT programme staff members to ensure constant re-skilling. |