

WESTERN CAPE GAMBLING AND RACING BOARD

Technical Indicator Descriptions

2018/19

SUB PROGRAMME 1.1: BOARD

Strategic Objective Indicator

Strategic Objective Indicator 1	Number of Board meetings at which resolutions are adopted 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	Cumulative Year End
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. The target includes ad-hoc meetings.
Source/collection of data	WCGRB Board meeting minutes
Method of calculation	Simple count
Data limitations	None
Type of indicator	Output indicator
Calculation type	Cumulative Year End
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.

SUB-PROGRAMME 1.2: EXECUTIVE - CHIEF EXECUTIVE OFFICER

Strategic Objective Indicator

Strategic Objective Indicator 2	Number of interventions to positively promote awareness of the Board.
Short definition	There will be a number of interventions and joint ventures with various stakeholders to disseminate informative material on gambling and the Board's authority and services as well as interventions educating the stakeholders on the dangers of irresponsible gambling.
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	Cumulative Year End
Reporting cycle	Quarterly
New indicator	No
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 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 Year End
Reporting cycle	Quarterly
New indicator	No
Desired performance	Less undue criticism of the industry and the regulator
Indicator responsibility	Chief Executive Officer
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	Number of resolutions given effect divided by total number of resolutions multiplied by 100
Data limitations	None
Type of indicator	Output indicator
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	To give maximum effect to WCGRB's statutory mandate
Indicator responsibility	Chief Executive Officer
Key risks	Board instructions not implemented
Risk mitigation	Follow-up meeting enquiry about status

Programme Performance Indicator 2.3	Number of operators monitored for compliance with CSI commitments.
Short definition	Conducting audits and producing reports on whether license holders are honouring their CSI commitments.
Purpose/importance	To ensure compliance with CSI commitments.
Source/collection of data	Audit report and Committee minutes
Method of calculation	Simple count
Data limitations	None
Type of indicator	Output indicator
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To give maximum effect to WCGRB's statutory mandate
Indicator responsibility	CEO
Key risks	Licence conditions and commitments not given effect to.
Risk mitigation	Planned audits and resource allocations.

SUB-PROGRAMME 1.2.1: EXECUTIVE – LEGAL SERVICES

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 Year End
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 and/ or legal developments.
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	Conduct research into the legal aspects of introducing a compulsory player card system in the Western Cape – <ul style="list-style-type: none"> • Report – drafting; • Review; and • Dissemination
Short definition	This indicator spans over a three-year period. In the first financial year (2017/18), the Office conducted in-house research into the legal aspects of introducing a compulsory player card system in the Western Cape. The second year the research report will be reviewed and in the third the final report will be disseminated and industry role-players consulted. The research conducted by the Board and international experience shows that it may prove advantageous to introduce a compulsory player card system for problem gamblers. However, there are legal considerations that must inform any decision concerning same. The Board must, by law, consult the industry and other stakeholders where a regulatory regime change impacts their rights or legitimate expectations.
Purpose/importance	Research shows that a compulsory player card system contributes positively to responsible gambling and may assist in the regulation and control of gambling spend.
Source/collection of data	Refinements to the report will be evidenced by track changes to the document. Industry engagements will be minutes and an attendance register will be kept.
Method of calculation	Simple count
Data limitations	No specific limitation
Type of indicator	Output indicator
Calculation type	Non-Cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	Present a final report to the Board.
Indicator responsibility	Programme Manager
Key risk	Lack of participation by stakeholders in discourse on research report.
Risk Mitigation	Subscription to online library services 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 3.2	Review the Western Cape Gambling and Racing Act, 1996 (“the Act”) and where appropriate, draft proposed amendments.
Short definition	The Act is reviewed annually.
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	No specific limitation
Type of indicator	Output indicator
Calculation type	Non-cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	That the Act is reviewed annually for applicability, relevance and congruence.
Indicator responsibility	Manager: Legal Services

Key risk	The Act is outdated and inconsistent with the legal framework within which it exists, i.e. the National Gambling Act, 2004, BBBEE legislation, precedent-setting judgements.
Risk Mitigation	Online library subscription to keep abreast of legal developments and attendance of relevant forums.

SUB-PROGRAMME 1.2.2: EXECUTIVE – HUMAN RESOURCES

Strategic Objective Indicator

Strategic Objective Performance Indicator 4	Number of material HR audit findings.
Short definition	There are no audit findings issued in the audit report by Auditor General (SA) on the audit performed at the Western Cape Gambling and Racing Board in the HR component.
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	Cumulative Year End
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 Regulatory reports timeously submitted to Department of Labour
Short definition	Timely submission of the Boards Employment Equity Report to the Department of Labour
Purpose/importance	To ensure a compliance regulatory environment
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	Non-Cumulative Year

Reporting cycle	Annual
New indicator	No
Desired performance	Environment free of any discriminatory practices and adherence to labour legislative requirements
Indicator responsibility	Programme manager
Key risks	Inability to ensure staff is trained to adequately perform functions due to a lack of resources and proper monitoring. WCGRB not compliant with labour legislation.

Programme Performance Indicator 4.2	Number of reports on the implementation of the HR Plan
Short definition	Human Resources to ensure quarterly assessments and reviews of HR policies which are presented to the Human Capital Committee for approval and recommendation to the Board.
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 Year End
Reporting cycle	Quarterly
New indicator	No
Desired performance	Adherence to all labour legislative and public service best practices/requirements
Indicator responsibility	Programme manager
Key risks	Human Resource Department not up to date on current trends and practices

Programme Performance Indicator 4.3	Percentage of performance reviews completed timeously
Short definition	The HR department is responsible for ensuring timely completion of each employee's performance review on a bi-annual basis. The performance review is considered to be completed once completed by the employee by 30 September 2018 and 31 March 2019.
Purpose/importance	To ensure employees are aware of their performance goals and that poor performers are identified and assisted.
Source/collection of data	Internal database, information collected through audits, etc.
Method of calculation	Number of performance reviews completed (by 30 September 2018 and 31 March 2019) divided by total number of employees* multiplied by 100. <i>*Number of employees employed by end of assessment period who were also employed at end of 30 September 2018 and 31 March 2019.</i>
Data limitations	None
Type of indicator	Output indicator

Calculation type	Non-Cumulative
Reporting cycle	Bi-annually
New indicator	No
Desired performance	To assess an employee's performances, aptitudes and skills and to communicate the findings to the employees to ensure performance goals are properly set and met.
Indicator responsibility	Programme manager
Key risks	Poor performers not identified. Staff unaware of their performance goals.

SUB PROGRAMME 1.3: 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 without findings 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	Non-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 attesters 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. Stakeholders are defined as the Board and Provincial Treasury. Financial reports that are submitted to stakeholders are as follows: <ul style="list-style-type: none"> ➤ Quarterly Financial Report ➤ Cash Management Performance ➤ IYM Report ➤ Taxes Collected ➤ Interim Financial Statements ➤ Annual Financial Statement
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 year end

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	Percentage of prior year external audit recommendations implemented.
Short definition	External audit audits financial and non-financial information against predetermined norms and standards and produces reports with recommendations. The indicator measures the number of External audit recommendations implemented against total recommendations
Purpose/importance	To ensure sound governance
Source/collection of data	External audit report
Method of calculation	Number of External audit recommendations implemented against total recommendations*100
Data limitations	None
Type of indicator	Quantitative
Calculation type	Non-Cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	100% implementation of External audit recommendation
Indicator responsibility	Sub programme Head Of Department
Key risks	Re-occurrence of audit findings can lead to material findings (cumulative effect of immaterial R-value findings)
Risk mitigation	Reporting to stakeholders regarding status of implementation of prior year external audit recommendations.

PROGRAMME 2: 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	No control over the number of applications received. Changes in the industry results in ad-hoc increases or decreases.
Type of indicator	Output indicator
Calculation type	Cumulative Year End
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	System generated reports New applications (key and gambling) received processed within 30 days of receipt divided by total of number of new applications approved multiplied by 100
Data limitations	None
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	System generated reports Total number of renewal applications received processed within the 3-month renewal period divided by total of number of new renewals approved multiplied by 100
Data limitations	None
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

PROGRAMME 3: REGULATORY COMPLIANCE

Strategic Objective Indicator

Strategic Objective Performance Indicator 7	The level of compliance 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	The calculation is determined in terms of the overall level of compliance of all licensed premises based on the compliance matrix and the percentage represents the level of compliance of all licensed premises as opposed to the number of licensed premises that are compliant.
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: Regulatory 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 licensed gambling premises.
Short definition	Gambling premises are establishments that are licensed by the Board to carry out or conduct gambling and betting activities and such related activities that have been authorised by the Board. By carrying out compliance assessments at licensed 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 of the number of on-site assessments carried out.
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 Year End
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: Regulatory 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	Percentage of investigations conducted timely for all allegations of illegal gambling 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	Number of illegal gambling allegations investigated within 30 days divided by Total Illegal Gambling allegations received
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	No
Desired performance	To ensure that places where illegal gambling devices are located are removed as soon as possible after having been identified.
Indicator responsibility	Head of Department: Regulatory Compliance
Key Risk	Assistance from third parties may not be readily available
Risk mitigation	Continue to build relations with law enforcement officials

PROGRAMME 4: INFORMATION AND COMMUNICATION TECHNOLOGY

Strategic Objective Indicator

Strategic Objective Performance Indicator 8	Minimum Information systems uptime of 350 days.
Short definition	For the collective average 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	Average Percentage Uptime of Servers Per Month Accumulated divided by 12 months per year
Reporting cycle	Annually
New indicator	No
Desired performance	Minimum 95.9% availability and measurable user experience
Indicator responsibility	Programme HOD
Key Risk	Business performance disruptions due to unplanned downtime.
Risk mitigation	Ensure a Disaster Recovery Plan is in place and test regularly.

Programme Performance Indicator

Performance Indicator 8.1	Number of events 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 Updates/Deployments • 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. Monthly availability reports generated by the operations monitoring system.
Method of calculation	Simple extraction, calculation and counting of information
Data limitations	None
Type of indicator	Output indicator
Calculation type	Cumulative Year End
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 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 literate and assist in mitigating security and governance risks
Source/collection of data	Training register
Method of calculation	Simple count
Data limitations	None
Type of indicator	Output indicator
Calculation type	Cumulative Year End
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 employees to ensure constant re-skilling.