



WESTERN CAPE
LIQUOR AUTHORITY

Annual Performance Plan 2019/20

Western Cape Liquor Authority

Annual Performance
Plan for 2019/2020

Western Cape Province

FOREWORD

I hereby present the Western Cape Liquor Authority's Annual Performance Plan ("the APP") for 2019/2020.

The APP provides the roadmap for the Western Cape Liquor Authority ("the Authority") for the year ahead and is aligned to our mandate as provided for in the Western Cape Liquor Act 4 of 2008, as amended, as well as the 5 Year Strategic Plan of the Authority. In addition, the institution has made provision for activities aligned to the strategy of the Western Cape Government's Alcohol Harms Reduction Game Changer initiative.

For the year ahead the Authority will continue to upgrade its licensing system whilst streamlining other operations and processes directly linked to the application process. The Authority has stepped up its commitment to regulate the retail-sale and micro-manufacturing of liquor in the province, to facilitate the transformation of the liquor industry in the Western Cape, to promote the entry of new license holders and balance this with a very stringent enforcement of a compliance regime, in line with the Alcohol Harms Reduction Game Changer (AHRGC) and the Alcohol Harms Reduction Policy initiative of the Western Cape Provincial Government. This has been further boosted by the revision of the Act. Further, the Authority has partnered with organisations that promote responsible consumption.

The exemplary performance of the different Components of the Authority has contributed to more effective regulation of liquor in the Western Cape. Against the backdrop of the challenging liquor regulatory environment each Component within the Authority has further identified strategic initiatives that will enhance service delivery and enforcement. The strategic initiatives detailed in the document are dependent on sufficient funding.

The Authority will continue to participate in the AHRGC and will actively contribute in future policy initiatives and implementation.

The Authority, and its staff, is committed to deal with all these priorities and challenges.



Mr. Simion George
Acting Chief Executive Officer of the WCLA

OFFICIAL SIGN-OFF

It is hereby certified that this Annual Performance Plan:

- Was developed by the management of the Western Cape Liquor Authority under the guidance of Mr. A. Winde and;
- Was prepared in line with the current Strategic Plan of the Western Cape Liquor Authority; and
- Accurately reflects the performance targets which the Western Cape Liquor Authority will endeavor to achieve, given the resources made available in the budget for 2019/20.

Mr S George



Acting Chief Executive Officer

Adv T Sidaki



Chairperson of the Governing Board

Approved by
Minister A Winde



Executive Authority

CONTENTS

Part A: Strategic Overview.....	5
1. Vision	5
2. Mission	5
3. Values	5
4. Legislative and other mandates	5
4.1 Constitutional mandates	5
4.2 Legislative mandates	5
4.3 Policy mandates	6
4.4 Relevant court rulings	6
4.5 Policy initiatives	7
5. Update of Situational analyses	7
5.1 Performance environment	8
5.2 Organisational environment	14
5.3 Description of the strategic planning process	16
6. Strategic outcome oriented goals of the institution	17
Part B: Strategic objectives	19
7. Component 1: Liquor Licencing Administration	19
7.1 Strategic objectives	19
7.2 Strategic objective annual targets for 2019/20	19
7.3 Annual targets 2019/20	20
7.4 Quarterly targets for 2019/20	20
7.5 Risk Management	21
7.6 Reconciling performance targets with the Budget and MTEF	21
7.7 Performance and expenditure trends	21
8. Component 2: Liquor Licencing Tribunal	22
8.1 Strategic objectives	22
8.2 Strategic objective annual targets for 2019/20	23
8.3 Annual targets for 2019/20	23
8.4 Quarterly targets for 2019/20	24
8.5 Risk Management	24
8.6 Reconciling performance targets with the Budget and MTEF	25
8.7 Performance and expenditure trends	25
9. Component 3: Communication, Education and Stakeholder Relations.....	26
9.1 Strategic objectives	26
9.2 Strategic objective annual targets for 2018/19.....	27
9.3 Annual targets for 2019/20	27

9.4	Quarterly targets for 2019/20	28
9.5	Risk Management	28
9.6	Reconciling performance targets with the Budget and MTEF	29
9.7	Performance and expenditure trends	29
10.	Component 4: Compliance and Enforcement	30
10.1	Strategic objectives	30
10.2	Strategic objective annual targets for 2019/20	30
10.3	Annual targets for 2019/20	30
10.4	Quarterly targets for 2019/20	31
10.5	Risk Management	31
10.6	Reconciling performance targets with the Budget and MTEF	32
10.7	Performance and expenditure trends	32
11.	Component 5: Finance	33
11.1	Strategic objectives	33
11.2	Strategic objective annual targets for 2019/20	33
11.3	Annual targets for 2019/20	34
11.4	Quarterly targets for 2019/20	34
11.5	Risk Management	35
11.6	Reconciling performance targets with the Budget and MTEF	36
11.7	Performance and expenditure trends	36
12.	Component 6: Corporate Services	37
12.1	Strategic objectives	37
12.2	Strategic Objective Annual Targets for 2019/20	37
12.3	Annual targets for 2019/20	37
12.4	Quarterly targets for 2019/20	38
12.5	Risk Management	38
12.6	Reconciling performance targets with the Budget and MTEF	39
12.7	Performance and expenditure trends	39
Part C: Links to the Strategic Plan		41
Links to the long-term infrastructure and other capital plans		41
Conditional grants		41
Public entities		41
Public-private partnerships		41
Part D: Links to other plans		43
PART E: Technical Indicator Descriptions		45

PART A: Strategic overview

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1. Vision

- 1.1 Effectively regulate liquor in the Western Cape.

2. Mission

- 2.1 Creating an enabling environment for the optimal regulation of the liquor industry in the Western Cape.
- 2.2 Maintaining sustainable partnerships with all relevant stakeholders to assist in the reduction of alcohol related harms.

3. Values

- 3.1 In the execution of their collective functions, the Authority places the highest value on:
- ***Integrity***
The quality of possessing and steadfastly adhering to a moral or ethical code and high professional standards.
 - ***Honesty***
The quality, condition or characteristic of being fair, truthful, and morally upright in conduct and adherence to the facts.
 - ***Incorruptibility***
Moral uprightness and selfless service of public servants.
 - ***Transparency***
The principle that the organisation (WCLA) will conduct its business in an accessible, clear and visible manner and that its activities are open to examination by its stakeholders.
 - ***Responsibility***
Having the authority to make decisions and following through on the expectation to make those decisions and take necessary action.
 - ***Accountability***
The principle that the organisation is obligated to demonstrate and take responsibility for its actions, decisions and policies and that it is accountable to the public at large.

4. Legislative and other mandates

4.1 Constitutional mandates

The Regulation of liquor licencing is a provincial competency in terms Schedule 5 of the Constitution. For this reason the Western Cape Liquor Authority has been established in terms of Section 2(1) of the Western Cape Liquor Act, Act 4 of 2008.

4.2 Legislative mandates

The Constitution, together with the Acts listed hereunder, guide and direct the actions, performance and responsibilities carried out in the Authority.

- Magistrate Court Act, 1944 (32 of 1944)
- Supreme Court Act, 1959 (59 of 1959)
- Criminal Procedures Act, 1977 (51 of 1977)
- Liquor Act, 1989 (27 of 1989)
- Businesses Act, 1991 (Act 71 of 1991)
- Occupational Health and Safety Act, 1993 (85 of 1995)

- Labour Relations Act, 1995 (66 of 1995)
- South African Police Service Act, 1995 (68 of 1995)
- Basic Conditions of Employment Act, 1997 (75 of 1997)
- Employment Equity Act, 1998 (55 of 1998)
- Local Government: Municipal Structures Act, 1998 (117 of 1998)
- Public Finance Management Act, 1999 (1 of 1999)
- Promotion of Access to Information Act, 2000 (2 of 2000)
- Promotion of Administrative Justice Act, 2000 (3 of 2000)
- Local Government: Municipal Systems Act, 2000 (32 of 2000)
- Liquor Act, 2003 (59 of 2003)
- Western Cape Liquor Act, 2008 (4 of 2008)
- Western Cape Liquor Amendment Act, 2010 (10 of 2010)
- Western Cape Liquor Amendment Act, 2015 (3 of 2015)
- Public Finance Management Act, Act 1 of 1999 as amended by Act 29 of 1999
- Preferential Procurement Policy Framework Act, 2000 (Act 5 of 2000)
- Broad-Based Black Economic Empowerment Act, 2003 (Act 53 of 2003)

4.3 Policy mandates

The Western Cape Alcohol-Related Harms Reduction Policy White Paper, 2017

The Western Cape Cabinet adopted the White Paper as published in the Government Gazette dated 4 September 2017.

The purpose of the policy is to:

- provide interventions to contribute to the reduction of alcohol-related harms in the Western Cape.
- provide for ancillary matters to increase the efficiency and effectiveness of supplementary supporting structures that are related to alcohol-related harms reduction.

In response to the White Paper the current liquor legislation will be reviewed.

4.4 Relevant court rulings

The Constitutional Court matter known as *Ex Parte the President of the Republic of South Africa in re: Constitutionality of the Liquor Bill*, heard as case CCT 12/99 by the Constitutional Court of South Africa on 31 August 1999 and decided on 11 November 1999 with the judgment delivered by Cameron AJ refers. The State President, at the time, took the unprecedented step to utilise section 79(4)(b) of the 1996 Constitution to refer a bill to the Constitutional Court to have the constitutionality thereof tested after the bill has been approved by the National Assembly. The State President stated his reasons to include that the bill clearly intends to deal with the registration for the manufacture, 4 wholesale distribution and retail-sale of liquor and that according to his understanding it might be in conflict with the "liquor licensing" a provincial competency in terms of Part A of Schedule 5 of the Constitution, 1996.

The Constitutional Court found that if the exclusive provincial legislative competence regarding "liquor licenses" in Schedule 5 applies to all liquor licenses, the national government has made out a case in terms of Section 44(2) justifying its intervention in creating a national system of registration for manufacturers and wholesale distributors of liquor and in prohibiting cross-holdings between the three tiers in the liquor trade. No case has however been made out in regard to retail sales of liquor, whether by retailers or by manufacturers, nor for micro-manufacturers whose operations are essentially provincial. The Minister has to this extent failed to establish that Parliament had the competence to enact the Liquor Bill and it is therefore unconstitutional.

This finding is of utmost importance in establishing the legislative and functional powers and responsibilities of the national and the provincial governments regarding liquor licencing.

4.5 Policy initiatives

The Western Cape Liquor Authority is closely involved in the Alcohol Harms Reduction Game Changer. Various initiatives have been implemented to support the Game Changer. These initiatives include amongst others:

- increase in the maximum amount of fines that may be imposed by the LLT;
- notices issued to unlicensed traders informing them of the consequences of their illegal activities; and
- additional inspectors dedicated to the Alcohol Harms Reduction focus areas.

5. Update of Situational analyses

The Western Cape Liquor Authority is mandated by the Western Cape Liquor Act (4 of 2008) to administer liquor regulation in an area spanning over 129 462 km² in the Western Cape and serving a population numbering 6 510 300 (Statistics South Africa Mid-year population estimates, 2017).

In 2015 the Western Cape Provincial Cabinet agreed that an alcohol-related harms reduction policy should be developed to guide the Western Cape Government's approach to the regulation of alcohol. On 11 September 2017 a White Paper on Alcohol Harms Reduction was adopted by the Western Cape Provincial Cabinet which was published in the Provincial Government Gazette Extraordinary, number 7824.

The White Paper expresses concerns that the current alcohol legislation largely regulates the activities of licensing and enforcement of the production, distribution and sale of alcohol, with inadequate consideration of the impact of alcohol -related harms on society. It also does not address the consequences of these harms, hence the development of the alcohol harms reduction White Paper.

The Western Cape Liquor Authority provides a regulatory service to the people of the Western Cape. This requires the Authority to continuously assess the "environment" of liquor production, distribution and consumption as well as its own capacity to deliver given the resource constraints.

Using the traditional methodologies of SWOT and PESTEL analysis along with a desktop review, a comprehensive situational analysis was presented in the 2015 – 2020 Authority's Strategic Plan, as well as in the 2018/19 Annual Performance Plan which remains relevant. The weakened outlook for the global economy, continued drought conditions, water insecurity and low consumer and business confidence, emphasise the continued constrained economic and fiscal situation.

As part of the shift towards addressing the social harms, a greater focus is placed on stricter enforcement of non-compliance with legislation. The financial penalties are more severe and surveillance is heightened. The maximum penalty for non-compliant licensed premises has been increased from R20,000 to R110,000. The liquor inspectors are further empowered to visit all premises where reasonable suspicion exists that liquor is being sold without a license and issue administrative notices to the owners of such premises. These notices are forwarded to the SAPS who are still responsible for the investigation of these matters.

The Provincial Strategic Goals have selected several priority projects called Game Changers. The Game Changers are innovative attempts to influence changes in society. The alcohol harms reduction has been identified as one of seven Game Changers that government is hoping will aid in the transformation of our society from one with severe gender-based and domestic violence issues to a more peaceful and socially appropriate culture.

According to the Alcohol Harms Reduction White Paper Policy, 2017, excessive alcohol consumption costs the public coffers approximately **R37.9 billion annually**, including the cost of health care, crime and social welfare, alcohol treatment and prevention, and road traffic accidents.

The **three pillars** of the Alcohol Harms Reduction Game Changer are:

1. The legalisation of illegal outlets to create safer environments around the taverns as well as in the broader community;
2. Introduction of alternative recreational activities designed to divert high-risk users from alcohol abuse (and where possible create entrepreneurial opportunities);
3. Provision of alcohol harms-related social and health services to communities.

The shift in the policy position of the Western Cape Government required the Authority to give effect to the alcohol harms reduction approach within the current legislative mandate. The three areas identified by the Authority in support of the alcohol harms reduction policy within the existing legal framework are:

- entrance of responsible unlicensed liquor outlets into the regulated space;
- enforcement with an emphasis on upstream prosecution (illegal distribution of liquor by license holders); and
- focused approach to educating and communicating the harms of alcohol abuse.

5.1 Performance environment

In developing its strategies for the 2019/ 20 financial year the Authority conducted a situational analysis which included a review of past and current performance and an assessment of the environment in which it functions. Techniques such as SWOT and PESTEL analysis were utilised for this purpose.

Liquor Licencing Administration

The Liquor Licensing Administration (LLA) Component is tasked with the responsibility of processing liquor license applications lodged with the Authority (which includes new, secondary, minor, event and temporary license applications). It is also responsible for the issuing of liquor licenses (in the case of new license, event and temporary license applications), certificates (in the case of transfer and removal applications) and written consent (in the case of minor applications). Added to this is the task of issuing renewal notices for all valid liquor licenses as at the time of renewal.

With the adoption of the Alcohol- Related Harms Reduction Policy White Paper, the Liquor Licensing Administration Component will, in collaboration with the Department of Community Safety (DoCS) and the Department of the Premier (DotP), focus on taking steps to explore various options aimed at making it possible to issue liquor licenses to qualifying outlets, in the identified Game Changer areas (Paarl East, Khayelitsha and Gunya), who previously were unable to obtain such licenses due to Local Government business zoning policies. The outcome of this pilot initiative will give direction for the way forward in terms of facilitating the entrance of unlicensed liquor outlets who if not for the aforementioned zoning restriction would otherwise have qualified to enter the regulated space.

Externally, the Liquor Licensing Administration Component is reliant on various stakeholders to efficiently process liquor license applications as well as to issue licenses in line with legislative prescripts. Heavy reliance is placed upon the timeous submission of reports from the Designated Liquor Officers (DLOs) in order for the LLA to timeously prepare applications and also to place the Liquor Licensing Tribunal (LLT) in a position to make an informed decision on an application. Applicants play a pivotal role in the processing of applications, since by lodging complete applications together with all required documents, the application processing timelines are

streamlined, thus ensuring speedier processing and consideration of applications.

Internally, the LLA is dependent upon the LLT to provide clear and concise outcomes of decisions which are in turn relayed to applicants in line with legislative prescripts. The number of licenses issued by the LLA is dependent upon the number of applications approved by the LLT. The LLA is also dependent upon the assistance from the Compliance and Enforcement Component of the WCLA in obtaining inspectorate reports in the absence of a Designated Liquor Officers report (DLO report).

The Liquor Management and Tracking System (LMaTS) enhancements project included an automation of application processes which has resulted in the streamlining of the processing of all applications. The Authority is also in the process of developing an online application system (E-Government portal) in collaboration with SITA, whereby applicants will be able to log into an online portal in order to apply for liquor licenses via such portal. The system aims to be an online citizen facing portal, similar to that currently being used by the National Liquor Authority under the Department of Trade and Industry (DTI), which will capture all information as per the existing application forms.

The LLA Component is currently experiencing considerable capacity constraints, which in turn has a significant impact on the performance of the Component. The fact that the LLA staff are well skilled, hardworking and knowledgeable on the Liquor Act and its requirements, is one of the strengths of the Component which relieves the burden of under-capacity to a large extent.

The LLA Component has seen a year on year increase in the number of applications received as well as the number of licenses issued. There are however various factors which play a pivotal role in the determination of performance targets versus actual outputs of the LLA, such as assessing current trends (such as the new Liquor Regulations) as well as historical trends (past performance).

Liquor Licencing Tribunal

Section 2 of the Western Cape Liquor Act, 4 of 2008, makes provision for the establishment of a Liquor Licensing Tribunal (LLT).

The Tribunal takes its mandate from the Western Cape Liquor Act (4 of 2008). Any new policy decisions by Provincial Government are taken into account when considering applications. It is clear from the Alcohol-Related Harms Reduction Policy White Paper that there is a greater strategic emphasis on the need to take into consideration alcohol harms when considering liquor license applications. The Tribunal therefore acknowledges the principles of harms reduction in considering socio-economic factors, crime statistics as well as statistics and research results pertaining to community health issues.

Externally, the Tribunal is reliant on several stakeholders to provide credible and timeous information. The quality of the application submitted by the applicant, information provided by the general public and community based organisations, municipalities as well as the SAPS, inform the Tribunal's ability to make sound decisions.

Internally, the Tribunal is dependent on the Administration of the Authority to provide it with the following:

- sufficient resources;
- applications effectively prepared according to agreed check lists;
- files effectively organised in a meaningful, logical manner;
- quality enforcement reports; and
- efficient management of agendas and case rolls.

There has been a year-on-year increase in the number of applications submitted to the

Authority. It is against this background that the procedure of the Tribunal during sittings was reviewed to provide for a more effective and efficient consideration of applications.

Since the inception of the Authority the Tribunal has faced capacity constraints. Legislative amendments addressed these capacity constraints with the creation of two additional Deputy Presiding Officer positions and four Substitute member positions. The subsequent appointment of an additional Deputy Presiding Officer and two Substitute members enabled the Authority to constitute a Section 24 Committee. Once the Section 24 Committee is fully operational, there should be more capacity to address enforcement cases. The effective regulation of the industry includes action against license holders that contravene the Act.

In developing its performance targets the current and past performance and an assessment of the internal and external environment in which the Tribunal operates was taken into consideration.

The estimated figures for the number of applications considered during the 2019/20 financial year is set lower than the number projected for the 2018/19 financial year. The reason for the reduction was based on the assumption that the high number of applications on the case roll for 2018/19 financial year should be eradicated once all the vacant positions in the Tribunal have been filled. The adjusted numbers also correlates with the projected estimated number of applications that will be lodged with the Authority.

The targets for the performance indicators 2.1.1, 2.1.2 and 2.1.3 are kept the same as the current financial year. Once all the vacant positions on the Tribunal are filled we will be able to assess what the estimated medium term targets for the upcoming financial years will be. It is expected that the vacant positions on the Tribunal will be filled in the near future. The performance of the Tribunal will be tracked during this period to assist in determining realistic targets for the years ahead.

Communication, Education and Stakeholder Relations

This Component will provide a communication, marketing, education and awareness service for and on behalf of the Western Cape Liquor Authority.

The Component will review its stakeholder segmentation and mapping which will assist in the development of a communication plan. This communication plan will inform stakeholder specific interventions. We will further explore potential partnerships with relevant key role-players for specific interventions, programmes and campaigns identified by the Authority, while also participating with various organisations on their programmes and initiatives.

Relevant information will be communicated to the industry via circulars. New communication channels will be explored to enhance our spread and to create awareness regarding alcohol abuse while also extend the services of the Authority.

The Component also have a responsibility to administer the Social and Education Fund in terms of Section 31 of the Western Cape Liquor Act 4 of 2008 as amended.

The purpose of the Fund is to:

- a) combat the negative social consequences of the abuse of liquor;
- b) educate persons engaged in the sale and supply of liquor; and
- c) educate the general public in the responsible sale, supply and consumption of liquor.

In implementing this mandate the Component will:

- Create General Awareness through mass-media initiatives

This will be done through newspaper advertisements, commuter-targeted notices, and pre-

recorded radio adverts. By implementing the aforementioned we aim to create extensive awareness of the consequences of the aspect of alcohol-related harms.

- Sharing of specific information to facilitate and inculcating behavioural-change

This will be done through targeted specific interventions with relevant stakeholders such as liquor licence holders, new applicants, communities, schools and liquor consultants.

Promotional material and campaigns will be rolled out to empower the public on how to object to liquor licences. The contact centre will deal with complaints, general enquiries and status updates.

Shifting our focus internally, this Component will continue to keep its internal stakeholders abreast of its activities and achievements by regular communication via its monthly newsletter. It will also continue to be the conduit between the WCLA Components in sharing critical information regarding specific Components activities and projects across the organisation.

Compliance and Enforcement

The Compliance and Enforcement component will monitor and enforce compliance with the provisions of the Act and other applicable legislation by:

- conducting pre-licensing inspections,
- routine compliance inspections,
- the investigation of complaints against non-compliant liquor licensed premises,
- notifying non-compliant licensees to appear before inspectors,
- the issuing of compliance notices,
- integrated enforcement operations, and
- the prosecution of non-compliant license holders before the Tribunal.

This Component is also responsible for the issuing of notices to unlicensed outlets, informing the owners of such premises that the relevant activities are illegal and what process they can follow to apply for a license.

Internal Environment

In terms of the Western Cape Liquor Act, the Liquor Licensing Tribunal has powers to impose sanctions upon licensees who contravene any provision of the Act. These sanctions include the determination of fines and should be considered as a strength compared to other provinces. With the focus on harms reduction, the inspectorate has implemented a settlement process which allows the inspectorate to settle with licensees in cases where they are willing to admit guilt to certain contraventions. These settlements are then referred to the LLT as part of the non-compliance report. The LLT has a discretion to make the settlement an order of the LLT or determine that the matter be dealt with in a formal hearing. The inspectorate has the further benefit of a prosecution section who considers non-compliance matters and consults with licensees in terms of such matters. This whole process contributes to the focus towards addressing the harms caused by alcohol abuse and has proved to be very successful in terms of the increase in the number of sanctions imposed by the LLT.

Due to the change in focus in addressing non-compliance and the impact the Authority has made in terms thereof, it is expected that compliance levels will increase to such an extent that the number of non-compliance reports might decrease with time.

However, the capacity of the inspectorate is still very limited and it is believed that the Component might be more effective with the appointment of additional inspectors and the establishment of field or branch offices in terms of Section 9(p) of the Act.

Although the SAPS has Designated Liquor Officers appointed in terms of the Act who have the

obligation to submit reports in respect of all applications received by the Authority, many of them still fail to comply which results in this responsibility then shifting to the inspectors, as prescribed in the Act. This shift in responsibility places an additional burden on inspectors who then have to change their focus from non-compliance matters to applications. With the assistance of the Liquor Licensing Administration there have been efforts to improve the current system of ensuring that the SAPS comply with their responsibilities in terms of the Act. The Western Cape Liquor Authority further relies on a paper based filing system which makes it difficult to obtain relevant information relating to licensed premises. It is time consuming to request and peruse files from registry which requires inspectors to spend unnecessary time in the office. Immediate access to information especially in the outer lying areas hampers the performance of inspectors. Current efforts to implement a scanning system will greatly assist in this regard as inspectors might have access to such information through the use of electronic devices even while they are busy with inspections.

The AHRGC initiative has led to the appointment of three additional inspectors who have made a huge impact in terms of the performance of the Component.

External Environment

Due to the restrictions which Local Government policies place on prospective businesses in terms of zoning, it is very difficult to obtain liquor licenses for premises in areas which are not zoned correctly. The number of unlicensed outlets in such areas is therefore high and will probably keep on increasing if municipalities do not consider departures in these areas. If unlicensed premises are allowed to enter the regulated sphere, it will hopefully result in the reduction of the number of unlicensed outlets and possibly impact on the abuse of liquor in certain areas.

Influence on Performance indicators

With the change in focus during the past financial year, it was difficult to determine baselines as there were new indicators included namely, the "number of non-compliance reports referred to the LLT" and the "number of administrative notices served on unlicensed outlets".

Although the number of inspections conducted is still being monitored in terms of specific targets, the target has been lowered to cater for additional indicators. Previously, inspectors merely focussed on inspections and the issuing of compliance notices and therefore only a small number of non-compliance matters were referred to the LLT for consideration. With the focus having changed to irresponsible trading and the submission of non-compliance reports to the LLT, the target for the "number of inspections conducted" was lowered to allow for additional functions. These functions also include the issuing of administrative notices to unlicensed outlets which has recently been introduced through the amendment of the Act.

Finance

In order to drive self-sufficiency the funding model must be reviewed by the Provincial Government as currently the Authority pays over a bulk of the revenue collected to the Provincial Revenue Fund (PRF). This revenue is recorded in the books of the Department of Community Safety (DoCS). If the funding model is amended to allow the Authority to retain the majority of revenue collected instead of receiving a grant from the Province, the self-sufficiency and sustainability of the entity will improve drastically. The Authority is still facing significant challenges in terms of budgetary constraints in implementing initiatives identified. The reprioritisation of the limited funds will be the focus of this Component in order to ensure the success of the mentioned initiatives such as providing funds to address capacity constraints within the Tribunal.

In line with the White Paper policy, one of the proposals is to introduce a fee structure based on

In line with the White Paper policy, one of the proposals is to introduce a fee structure based on actual processing costs and renewal fees based on volume of sales category to provide additional resources to address alcohol related harms proportionally. It will furthermore aim to alleviate some of the cost burden to society by providing additional resources such as employing and training more liquor enforcement officials. This is commonly referred to as a sliding scale. Research was completed on the sliding scale which identified different categories on which differentiation can be applied. Cognisance is taken of the fact that volume of sales has been proposed as a key driver for differentiation however the current operating environment does not enable using this measure. To use volume of sales as a measure, the current legislation needs to change to require licence holders to submit sales volumes information annually. The legislation would also need to replace the annual automatic renewals with an assessment process to enable accurate fees being levied. This would require additional staff as well as changes the LMaTS system. The proposal is to, as a first phase, is to differentiate based on the type of business e.g. restaurant, bar etc. Once legislation allows for the disclosure of volume of sale the model can be adjusted to differentiate on volume of sale.

Corporate Services

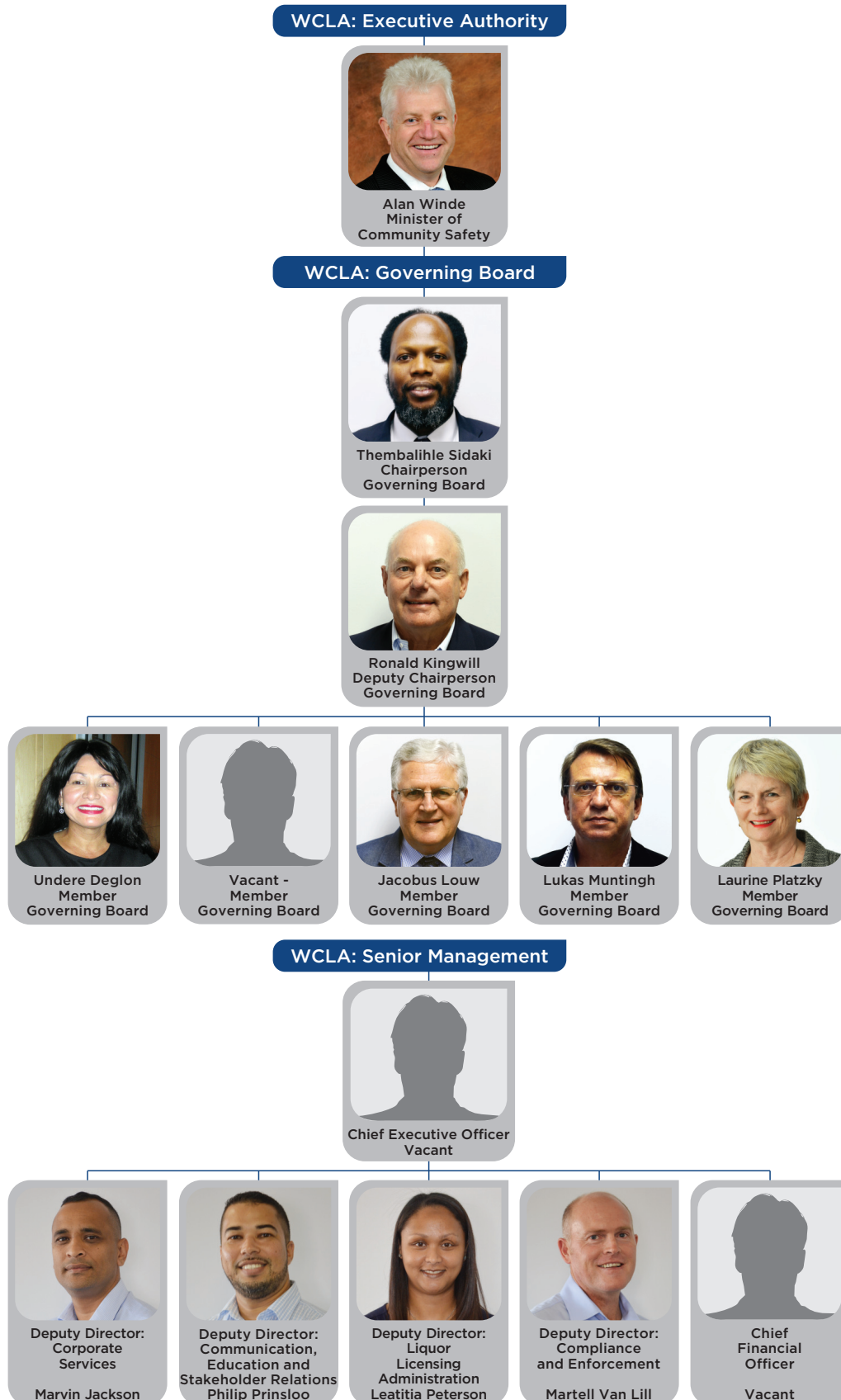
The Corporate Services Component seeks to promote a highly competent workforce, foster an enabling working environment that aims to nurture leadership which encourages employee engagement and optimal service delivery as part of their strategic objective. The focus of this Component is not only on the day to day operational activities, but encompasses an array of different initiatives, programmes, interventions and projects. This is not limited to the operational space, but provides for people management to contribute to the achievement of the strategic goals of the Authority.

As part of empowering the Authority's staff, the procurement of an integrated Human Resources and Payroll system was finalised; this provided the Authority with an Employee Self Service System.

The Authority continues to encourage staff to attend training courses and workshops that will further broaden their knowledge and skill base as indicated on staff member's Individual Development Plans (IDP's). This process is facilitated through the Training and Bursary Policy adopted and implemented by the Authority.

Internally, collaboration between Components is encouraged as a means to enhance capabilities across the organisation. Collaboration is also required to influence support processes and systems that cut across the Authority. This in turn requires that supporting business processes must be understood and implemented by all. Various communication platforms have been implemented within the Authority to facilitate this process, and although this has gone a long way to support the above, this Component acknowledges the fact that much more can be done to encourage this.

5.2 Organisational Environment



The Governing Board comprises of seven voting members who are appointed for a maximum term of three years as non-executives.

Composition of Board

The Board consists of seven members who have appropriate knowledge of or experience in systems and processes for ensuring proper accountability, probity and openness in the conduct of the business of an organisation and one member who has appropriate knowledge of or experience in dealing with the combating of the negative social consequences of the abuse of liquor. Members are appointed on a part-time basis by the Minister in accordance with the prescribed procedure, after considering the recommendations of the Standing Committee.

Table 1 - Employment and vacancies by Component, 31 Dec 2018 (Full Time positions only)

Programme / Component	Number of posts	Number of posts filled	Vacancy Rate
Liquor Licencing Administration	14	12	2
Liquor Licencing Tribunal (consultants)	7	6	1
Communication, Education and Stakeholder Relations	5	5	0
Compliance and Enforcement	11	11	0
Finance	9	8	1
Corporate Services*	11	11	0
Total	57	53	4

**The figures above excludes fixed term contract positions but includes the position of the Chief Executive Officer who is appointed for a 3 year period on a fixed term contract.*

Changes in the institutional arrangements as provided for in the White Paper will be addressed in the amended legislation.

Table 2 - Employment and vacancies by salary bands, 31 Dec 2018

Salary band	Number of posts	Number of posts filled	Vacancy Rate	Number of posts filled additional to the establishment
Fixed term contract (24 month contract)	8	5	3	8
Consultants (Liquor Licencing Tribunal)	7	6	1	0
Lower Skilled (Levels 1-2)	0	0	0	0
Skilled (Levels 3-5)	4	4	0	0
Highly skilled production (Levels 6-8)	26	24	2	0
Highly skilled supervision (Levels 9-12)	19	18	1	0
Senior management (Levels 13-16) (36 month contract)	1	1	0	0
Total	65	58	7	8

Overview of 2019/20 budget and MTEF estimates

Western Cape Liquor Authority Summary of financial position

	2015/16	2016/17	2017/18	2018/19			2019/20	2020/21	2021/22
	Audited outcome	Actual outcome		Main appropriation (Approved)	Adjusted appropriation (Approved)	Revised estimate	Medium-term receipts estimate		
R thousand									
Revenue									
Tax revenue	-	-	-	-	-	-	-	-	-
Non-tax revenue	42 837	39 229	51 186	46 143	53 649	53 649	50 996	54 090	57 381
Sale of goods and services other than capital assets	1 224	1 352	3 047	3 007	3 943	3 943	4 298	4 685	5 107
Entity revenue other than sales	1 700	1 820	4 872	3 254	4 232	4 232	4 590	4 981	5 406
Transfers received	38 733	36 016	43 266	39 882	45 474	45 474	42 108	44 424	46 868
of which:									
Departmental transfers	38 733	36 016	42 539	39 882	39 882	39 882	42 108	44 424	46 868
Other transfers	-	-	727	-	5 592	5 592	-	-	-
Sale of capital assets	-	-	-	-	-	-	-	-	-
Financial transactions in assets and liabilities	-	-	-	-	-	-	-	-	-
Other non-tax revenue	1 180	41	1	-	-	-	-	-	-
Total revenue before deposits into the PRF	42 837	39 229	51 186	46 143	53 649	53 649	50 996	54 090	57 381
Less deposits into the Provincial Revenue Fund	-	-	-	-	-	-	-	-	-
Total revenue	42 837	39 229	51 186	46 143	53 649	53 649	50 996	54 090	57 381
Expenses									
Current expense	33 596	37 426	42 697	44 603	49 259	49 259	49 288	52 255	55 522
Compensation of employees	17 513	21 236	25 312	27 160	27 713	27 713	31 715	33 993	36 502
Goods and services	16 083	16 190	17 385	17 443	21 546	21 546	17 573	18 262	19 021
Interest on rent and land	-	-	-	-	-	-	-	-	-
Transfers and subsidies	-	-	-	-	-	-	-	-	-
Payments for capital assets	-	2 741	5 314	1 541	4 390	4 390	1 708	1 835	1 859
Payments for financial assets	-	-	-	-	-	-	-	-	-
Total Expenses	33 596	40 167	48 011	46 144	53 649	53 649	50 996	54 090	57 381
Surplus/(Deficit)	9 241	(938)	3 175	(1)	-	-	-	-	-

5.3 Description of the strategic planning process

Senior Management developed the 2019/2020 Annual Performance Plan (APP) by:

- Revisiting the Strategic Goals set in the Strategic Plan.
- The framework that was used to assess the situational analysis was the PESTLE analysis methodology.
- Analysing the Authority's external environment – performance environment.
- Analysing the Authority's internal strengths and weaknesses in terms of its resources and capabilities - organisational environment.
- Analysing the Authority's strategic options by matching its resources and capabilities with the performance environment.
- Developing annual objectives and short term strategies to achieve the goals.
- Identifying the 2019/2020 activities required to achieve the objectives.
- Identifying and evaluating the risks which could prevent the implementation of the activities and consequently the achievement of its objectives and goals.

- Allocating financial resources to mitigate the risks and for the performance of the activities by developing a budget.
- Presenting the developed APP to the Governing Board and DOCS for review and approval.

6. Strategic outcome oriented goals of the WCLA

Strategic Outcome Oriented Goal 1	Optimal regulation of the retail sale and micro-manufacturing of liquor in the Western Cape.
Goal statement 1	Promotion of an enabling environment that allows for the controlled admission into the regulated liquor trading space, meanwhile ensuring that all liquor traders stringently comply with the Western Cape Liquor Act 4 of 2008 as amended.
Strategic Outcome Oriented Goal 2	Facilitating and participating in interventions that support a reduction in the social ills attributable to the consumption of liquor in the Western Cape.
Goal statement 2	Facilitating and participating in interventions that support a reduction in the social ills attributable to the consumption of liquor in the Western Cape.

PART B: Strategic objectives

7. Component 1: Liquor Licencing Administration

Component purpose

The purpose of the Liquor Licencing Administration component is to administer all liquor licence applications in the Western Cape for consideration by the Liquor Licencing Tribunal.

Component description

To provide an administrative support function to the Liquor Licencing Tribunal and to accept and process all liquor licence applications for consideration by the LLT.

7.1 Strategic Objectives

Strategic Objective 1.1	To administer all liquor licence applications in accordance with the provisions of the WCL Act (Act 4 of 2008, as amended).
Objective statement	To administer all liquor license applications in accordance with the provisions of the WCL Act (Act 4 of 2008) by receiving and processing all new, secondary, minor, special event and temporary liquor license applications and the issuing of liquor licenses (straight and conditional, transfer and removal certificates as well as special event and temporary liquor licenses). (Processing an estimated 10 000 liquor license applications.*)
Baseline	Number of applications lodged with the WCLA.

* These applications refer to new applications that will be processed over the 5 year strategic plan period.

7.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Target	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
1.1 Number of applications processed*	10 000	2 968	3 645	5 178	2 700	4 250	4 400	4 550

* Processed applications refers to applications that have all the required documentation attached to it and are ready to be considered by the LLT.

The reason for the setting of the target of 2 700 in the 2018/2019 financial year was due to the following:

- A target of 2 500 was set for applications processed for the 2017/2018 financial year (the preceding year);
- A target of 2 700 was then set for the 2018/2019 financial year since this target catered for the year on year increase in the number of applications processed in comparison to the previous financial year
- It is standard practice to base targets on historical figures in addition to catering for the incremental year on year increase (unintended anomalies are thus not catered for in this target setting process)
- In the 2016/2017 financial year the actual achieved for applications processed was 3 645 due to the implementation of the 30 day letter in September 2016, which saw a considerable increase in the number of applications processed (thus justifying the increase in number of applications processed in that year as compared to the previous financial year). This was thus an unplanned anomaly and was not anticipated in the next financial year (2017/2018) since this extra-ordinary increase was seen as a once off occurrence
- It was thus not anticipated that this anomaly would be repeated in the next financial year, being 2017/2018 thus justifying the target of 2500 and a later incremental increase to 2700
- With the commencement of the new Liquor Regulations as of 01 July 2017, an unusually

high number of applications were received in the 2017/2018 financial year due to applicants aiming to lodge applications under the "old" Liquor Regulations. This resulted in a spike in the number of applications processed in that financial year, being 5 178. It was anticipated that this anomaly would not be repeated the following financial year since the situation would normalise, thus the target was kept at 2 700 for the 2018/2019 financial year, taking the incremental increase into account, thus increasing the target from 2 500 in 2017/2018 to 2 700 in 2018/2019.

- When determining the target of 2 700 the monthly average of actual applications processed at that stage was calculated and multiplied by 12 months and that justified the target of 2 700.

7.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Sector specific indicators								
1.1.1	Number of applications received*	3 950	4 653	4 112	4 350	4 500	4 650	4 800
1.1.2	Number of licences issued	1 691	1 906	2 005	1 750	2 000	2 200	2 400
Provincial specific indicators								
1.1.3	Percentage of all section 36 applications processed within 130 days	New	New	New	80%	90%	90%	90%
1.1.4	Number of reports on licences issued in the identified pilot areas	New	New	New	4	4	4	4

* This is inclusive of all types of applications received by the Authority.

7.4 Quarterly Targets for 2019/20

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2019/20	Quarterly Targets			
					1st	2nd	3rd	4th
Sector specific indicators								
1.1.1	Number of applications received*	3	Quarterly	4 500	1 125	1 125	1 125	1 125
1.1.2	Number of licences issued**	3	Quarterly	2 000	500	500	500	500
Provincial specific indicators								
1.1.3	Percentage of all section 36 applications processed within 130 days***	3	Quarterly	90%	90%	90%	90%	90%
1.1.4	Number of reports on licences issued in the identified pilot areas	3	Quarterly	4	1	1	1	1

* Applications received refers to all types of applications received by the Authority.

** Licenses issued refers to all types of license applications considered and approved by the LLT.

*** The numerator is equal to the number of applications processed within 130 days within the financial year.

*** The denominator is equal to all applications processed in the financial year.

7.5 Risk Management:

Risks inherent to the Liquor Licensing Administration that could hinder the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Non-compliance with the Act in terms of processing applications.	SOP, checklist and LMATS (documented workflows) system in place. Implementation of the 30 day letter policy to decrease processing time of applications.

7.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Liquor Licensing Administration	7 434	8 070	9 317	10 695	9 535	10 133	10 713
Total	7 434	8 070	9 317	10 695	9 535	10 133	10 713

Economic Classifications

Current payments							
Compensation of employees	4 888	5 571	6 677	7 173	7 766	8 291	8 925
Goods and services	2 546	2 499	2 416	3 512	1 769	1 778	1 788
Payments for capital assets	-	-	223	10	-	64	-
Total	7 434	8 070	9 317	10 695	9 535	10 133	10 713

7.7 Performance and expenditure trends

- The Liquor Licensing Administration Component consists of a staff complement of 16 approved posts.
- It is critical that the staff fully understand the latest developments in the liquor regulation environment as well as the alcohol harms reduction strategy in order to understand their role within the organisation. Internal training for staff on the various changes in the liquor regulatory environment is conducted for this purpose, since similar external training is hard to come by. The WCLA however constantly seeks to source suitable training for staff which will enhance their skills and broaden their knowledge base.
- The Liquor Licensing Administration will continually seek to improve on its mandate.
- The identified initiatives of this Component are directly linked to the availability of sufficient budget.

8. Component 2: Liquor Licencing Tribunal

Component Purpose

This component is tasked with the responsibility of adjudicating liquor licence applications.

Component Description

The Liquor Licencing Tribunal has been established to consider and make a final decision regarding:

- Any application for a license referred to in Section 33 of the Act;
- Any application for the transfer of a license in terms of Section 65 of the Act;
- Any application for the removal of a license in terms of Section 66 of the Act;
- Any application for the alteration, extension or change in nature of a license in terms of Section 53 of the Act;
- Any secondary application in terms of various section in the Act;
- Representations for or against the granting of applications;
- Any report lodged with it by a designated liquor officer, an inspector or a municipal official;
- Any complaint lodged with it regarding the conduct of a licensed business;
- Representations by a licensee or other interested person regarding the rescission of the suspension of a license or the removal or amendment of any condition imposed upon a license; or
- Any other matter referred to it by the Chief Executive Officer or which it may or must consider in terms of this Act.

The strategic objective indicator for this component reflects the core business of the component.

An application is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:

- Approved
- Conditionally approved
- Rejected

The applications referred to include:

- Section 36 applications;
- Secondary applications;
- Temporary licence applications; and
- Event applications
- Section 20 applications; and
- Section 71 applications

Liquor license applications considered could include applications received from prior reporting periods as well as applications received within the financial year under review.

8.1 Strategic Objectives

Strategic Objective 2.1	To perform the judicial function regarding any application in terms of the Act.
Objective statement	To perform judicial functions regarding any application for liquor licenses as provided for in section 20 of the WCL Act (Act 4 of 2008 as amended) (Consider an estimated 12 000 liquor license applications.*)
Baseline	Number of applications prepared by the LLA & considered by the LLT

* These applications refer to all applications that will be considered over the 5 year strategic plan period.

8.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Targets	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
2.1 Number of applications considered	12 000	New	New	5 386	5 600	4 500	4 650	4 800

The estimated figures for the 2019/20 will be lower than the number of applications projected for 2018/19 due to the fact that the high number of applications on the current case roll should be eradicated once all the vacant positions in the Tribunal are filled.

8.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Provincial specific indicators								
2.1.1	Percentage of all section 36 applications considered within 50 days**	New	New	New	65%	65%	75%	80%
2.1.2	Percentage of all section 65(1) applications considered within 30 days**	New	New	New	65%	65%	75%	80%
2.1.3	Percentage of all section 66 applications considered within 30 days**	New	New	New	65%	65%	75%	80%
2.1.4	Number of reports relating to non-compliant matters considered by the LLT	New	New	New	4	4	4	4
2.1.5	Number of reports on section 36 applications considered from the identified pilot areas	New	New	New	4	4	4	4

** The numerator is equal to the number of applications considered within 30 days within the financial year.

** The denominator is equal to all applications considered in the financial year.

The targets for indicators 2.1.1, 2.1.2, 2.1.3 is kept the same as the current financial year. Once all the vacant positions on the Tribunal are filled we will be able to assess what the estimated medium targets for the upcoming financial years could be. It is expected that the vacant positions on the Tribunal will be filled in the near future. The performance of the Tribunal will be tracked during this period to assist in determining realistic targets for the years ahead.

8.4 Quarterly Targets for 2019/20

Programme / Component performance indicator		PSG no. linkage	Reporting period	Annual target 2019/20	Quarterly Targets			
					1st	2nd	3rd	4th
Provincial specific indicators								
2.1.1	Percentage of all section 36 applications considered within 50 days	3	Quarterly	65%	65%	65%	65%	65%
2.1.2	Percentage of all section 65(1) applications considered within 30 days	3	Quarterly	65%	65%	65%	65%	65%
2.1.3	Percentage of all section 66 applications considered within 30 days	3	Quarterly	65%	65%	65%	65%	65%
2.1.4	Number of reports relating to non-compliant matters considered by the LLT	3	Quarterly	4	1	1	1	1
2.1.5	Number of reports on section 36 applications considered from the identified pilot areas	3	Quarterly	4	1	1	1	1

8.5 Risk Management:

Risks inherent to the Liquor Licensing Tribunal that could have an effect on the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Non-compliance with the Act, which include criteria for granting applications, legislative procedures, and legislative timeframes, when considering applications.	LLT guidelines and checklists. The Act provides for applicants to request reasons for decisions and a review/appeal process at the Appeal Tribunal. Legislative timeframes included in the APP of the Authority. Quarterly performance assessment by the Governing Board.

8.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Liquor Licencing Tribunal	2 340	2 694	4 078	3 605	3 878	4 111	4 308
Total	2 340	2 694	4 078	3 605	3 878	4 111	4 308

Economic Classifications

Current payments							
Compensation of employees	2 233	2 413	3 692	3 354	3 563	3 828	4 113
Goods and services	107	281	168	247	315	283	195
Payments for capital assets	-	-	218	4	-	-	-
Total	2 340	2 694	4 078	3 605	3 878	4 111	4 308

8.7 Performance and expenditure trends

- In terms of the Act the Liquor Licensing Tribunal consists of 9 members, including the positions of the Presiding Officer and Deputy Presiding Officers and substitute members.

9. Component 3: Communication, Education and Stakeholder Relations

Component purpose

The purpose of this component is to provide a communication, marketing, education and awareness service for and on behalf of the Western Cape Liquor Authority.

Component description

The Communication, Education and Stakeholder Relations component will inform the industry and stakeholders by active, efficient and effective communication. Actions will include, but are not limited to, an up to date website, workshops with industry specific stakeholders, information sessions with stakeholders, on-going interactive electronic communication with the major players in the industry and other specific interventions.

Although the strategic objective captured the mandate of this component the decision to separate the objectives was made to provide for the specific reporting on the Social and Education Fund and the communication and stakeholder relations function.

9.1 Strategic Objectives

Strategic Objective 3.1	To ensure a consistent application of the Social and Education Fund strategy as required by Section 31 of the Act*.
Objective statement	To create awareness on the negative social consequences of liquor abuse, to educate persons engaged in the sale and supply of liquor and to educate the general public on responsible consumption of liquor. (600 targeted specific interventions to create awareness of the harms related to liquor abuse and educate liquor license holders and reaching 20 000 people through these interventions.**)
Baseline	Annually updated Social and Education Fund strategy reflecting the different initiatives.

* In terms of section 31 of the Western Cape Liquor Act. The Authority must establish a fund for the purpose of—

- a) Combating the negative social consequences of the abuse of liquor;
- b) Educating persons engaged in the sale and supply of liquor; and
- c) Educating the general public in the responsible sale, supply and consumption of liquor.

** These interventions refer to interventions that will be carried out over the 5 year strategic plan period.

Strategic Objective 3.2	To increase awareness of the WCLA services through communication activities and education and awareness sessions which are aligned to the WCLA communication plan.
Objective statement	To ensure a consistent application of the communication plan and corporate brand of the Western Cape Liquor Authority and to co-ordinate education and awareness sessions to the liquor industry and the residents of the Western Cape. (600 targeted specific interventions to create awareness of the harms related to liquor abuse and educate liquor license holders and reaching 20 000 people through these interventions.*)
Baseline	Annually updated communication plan reflecting the different communication activities planned.

* These interventions refer to interventions that will be carried out over the 5 year strategic plan period.

9.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Targets	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
3.1 Percentage of the social and education fund budget spent or contractually committed annually**	N/A	99.89% (R749 859)	93.68% (R702 762)	100% (R267 385)	98%	98%	98%	98%
3.2 Communication plan developed	N/A	New	New	1	1	1	1	1

** The numerator is equal to the actual budgeted line item spent or contractually committed at year end.

** The denominator is equal to the approved budget line item at the beginning of the financial year.

* The rand value shown indicates the actual amount spent at a particular year end.

9.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Sector specific indicators								
3.1.1	Number of awareness interventions conducted	169	243	275	210	270	275	280
3.1.2	Number of persons reached through an awareness intervention*	6 859	12 041	9 720	7 000	8 500	9 000	9 500
3.1.3	Number of social responsibility programmes conducted	1	1	1	1	1	1	1
Provincial specific indicators								
3.1.4	Entity events calendar maintained	New	New	1	1	4	4	4
3.1.5	Number of internal newsletters published	New	New	4	12	12	12	12
3.1.6	Number of circulars issued to external stakeholders	New	New	49	12	35	40	40
3.1.7	Number of updates to the website	New	New	34	24	70	71	72
3.1.8	Number of reports on the activities and programs conducted in the identified pilot areas	New	New	New	4	4	4	4

* The minimal increase in this indicator is due to the finalisation of the industrial theatre project. This project allowed the Authority to reach a wider number of persons and with the project coming to an end the number of person reached will also significantly decrease.

9.4 Quarterly Targets for 2019/20

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2019/20	Quarterly Targets			
					1st	2nd	3rd	4th
Sector specific indicators								
3.1.1	Number of awareness interventions conducted	3	Quarterly	270	75	75	60	60
3.1.2	Number of persons reached through an awareness intervention	3	Quarterly	8 500	2 375	2 375	1 450	2 300
3.1.3	Number of social responsibility programmes conducted	3	Annually	1	0	0	0	1
Provincial specific indicators								
3.1.4	Entity events calendar maintained	3	Annually	4	1	1	1	1
3.1.5	Number of internal newsletters published	3	Quarterly	12	3	3	3	3
3.1.6	Number of circulars issued to external stakeholders	3	Quarterly	35	8	9	8	10
3.1.7	Number of updates to the website	3	Quarterly	70	19	20	16	15
3.1.8	Number of reports on the activities and programs conducted in the identified pilot areas	3	Quarterly	4	1	1	1	1

9.5 Risk Management:

Risks inherent to Communication, Education and Stakeholder Relations that could hinder the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Limited funds to address alcohol harms effectively as required by the Act.	Projects in line with the funds. Partnerships with other departments and entities.

9.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Communication, Education and Stakeholder Relations	3 387	3 570	3 432	4 223	3 798	4 052	4 316
Total	3 387	3 570	3 432	4 223	3 798	4 052	4 316

Economic Classifications

Current payments							
Compensation of employees	1 848	2 071	2 586	2 764	2 912	3 126	3 348
Goods and services	1 539	1 499	758	1 459	886	926	968
Payments for capital assets of which:	-	-	88	-	-	-	-
Intangible assets	-	-	-	-	-	-	-
Total	3 387	3 570	3 432	4 223	3 798	4 052	4 316

9.7 Performance and expenditure trends

- The Communication, Education and Stakeholder Relations Component has an approved complement of 5 employees.
- This Component will inform the industry and stakeholders through communication and interventions as far as resources allow. Actions will include an up to date website, information and awareness sessions and outreach programmes with stakeholders, on-going electronic communication with the major players in the industry and targeted specific interventions.
- In order to ensure that the Authority stays abreast of all licensing related trends/expectations/best practices, the Component has made provision for the attendance of industry related conferences and/or seminars nationally.
- The identified initiatives of this Component are directly linked to the availability of sufficient budget.

10. Component 4: Compliance and Enforcement

Component purpose

The purpose of this component is to monitor and enforce compliance with all applicable liquor legislation within the Western Cape.

Component description

The Compliance and Enforcement Component will monitor and enforce compliance with the provisions of the Act and other applicable legislation by conducting pre-licensing inspections, routine compliance inspections, the investigation of complaints against non-compliant liquor licensed premises, appearance of non-compliant licensees before inspectors, the issuing of compliance notices, the issuing of written notices to appear in court (admission of guilt fines), integrated enforcement operations, and the prosecution of non-compliant license holders before the Tribunal and the referral of criminal matters to the criminal justice system.

10.1 Strategic Objectives

Strategic Objective 4.1	To monitor and enforce compliance of licensed liquor outlets with the provisions of the Act.
Objective statement	To monitor and enforce compliance of licensed liquor outlets with the provisions of the Act by conducting inspections, the issuing of compliance notices, enforcement operations, the investigation of complaints against licensed liquor outlets and the prosecution of the breaches of the Act and license conditions. (Ensuring that approximately 30 000 licensed liquor outlets are inspected and prosecuting approximately 125 non-compliant license holders.)
Baseline	In excess of 8 000 liquor license holders in the Western Cape.

* These interventions refer to interventions that will be carried out over the 5 Year Strategic Plan Period.

10.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Targets	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
4.1 Number of enforcement interventions conducted	N/A	New	New	3 284	3 050	3 580	3 830	4 080

10.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Sector specific indicators								
4.1.1	Number of inspections conducted	4 330	4 421	3 204	3 000	3 500	3 750	4 000
Provincial specific indicators								
4.1.2	Report on the number of compliance notices issued	New	New	New	4	4	4	4

Component performance indicator		Audited/Actual performance			Estimated performance 2017/18	Medium-term targets		
		2014/15	2015/16	2016/17		2018/19	2019/20	2020/21
Provincial specific indicators								
4.1.3	Number of enforcement operations conducted	New	69	80	50	80	80	80
4.1.4	Report on the number of non-compliance matters referred to the LLT	New	New	New	4	4	4	4
4.1.5	Report on the number of administrative notices served	New	New	New	4	4	4	4

10.4 Quarterly Targets for 2019/20

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2019/20	Quarterly Targets			
					1st	2nd	3rd	4th
Sector specific indicators								
4.1.1	Number of inspections conducted	3	Quarterly	3 500	875	875	875	875
Provincial specific indicators								
4.1.2	Report on the number of compliance notices issued	3	Quarterly	4	1	1	1	1
4.1.3	Number of enforcement operations conducted	3	Quarterly	80	20	20	20	20
4.1.4	Report on the number of non-compliance matters referred to the LLT	3	Quarterly	4	1	1	1	1
4.1.5	Report on the number of administrative notices served	3	Quarterly	4	1	1	1	1

10.5 Risk Management:

Risks inherent to Compliance and Enforcement that could hinder the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Safety of inspectors.	Inspectors have been issued with protective equipment which mitigates the risk to an extent, but inspectors are still exposed to considerable danger in the execution of their duties. Integrated operations are conducted with law enforcement partners.

Risks	This risk is mitigated by:
The implementation of administrative notices to unlicensed traders might be a challenge as the Act does not clearly stipulate such powers.	Inspectors will therefore rely on SAPS to assist in the issuing of notices and in cases where resistance is experienced search warrants might be obtained.
Certain licensed outlets are difficult to reach for purposes of inspection which might lead to non-compliance in areas situated in areas outside the metro.	The proposal of the establishment of district offices in the Southern Cape and the West Coast.
Overlap of roles and responsibility of the SAPS and inspectors in enforcing the provisions of the Act.	Regular collaboration with SAPS to clarify roles and responsibilities in respect of the enforcing of the Act.

10.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Compliance and Enforcement	4 879	5 248	7 276	8 034	9 060	9 595	10 349
Total	4 879	5 248	7 276	8 034	9 060	9 595	10 349

Economic Classifications

Current payments							
Compensation of employees	3 914	5 103	6 529	7 653	8 608	9 200	9 888
Goods and services	965	145	262	291	333	286	341
Payments for capital assets	-	-	-	90	119	109	120
Total	4 879	5 248	7 276	8 034	9 060	9 595	10 349

10.7 Performance and expenditure trends

- The Compliance and Enforcement has an approved complement of 14 employees.
- The Component's structure needs to be reviewed and restructured in order to achieve greater efficiency.
- Therefore on-going training and development which comprises both formal sessions as well as attendance at conferences, workshops and national forums, to equip the staff with the relevant competencies to be able to implement new provisions of the Act.
- The identified initiatives of this Component are directly linked to the availability of sufficient budget.

11. Component 5: Finance

Component purpose

Provide and ensure quality financial and other operational support services to the Authority.

Component description

The Finance component provides strategic financial support to all components of the WCLA to ensure that the Authority achieves its objectives. This component strives to ensure compliance with all relevant rules and legislations that govern public sector financial management.

11.1 Strategic Objectives

Strategic Objective 5.1	To provide an effective, efficient, compliant and transparent financial management service to the Authority.
Objective statement	Deliver a fully effective supply chain management, fleet and asset management, financial and management accounting; and financial compliance service to the Authority to achieve good governance and clear and transparent reporting.
Baseline	Unqualified audit.

11.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Targets	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
5.1 Percentage of approved budget spent or contractually committed*	N/A	94.58% (R45 263)	97.37% (R42 799)	94.23% (R45 643)	98%	98%	98%	98%

* The numerator is equal to the actual budget spent or contractually committed at year end.

* The denominator is equal to the approved budget at the beginning of the financial year.

11.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Provincial specific indicators								
5.1.1	Audit Outcome issued by the AGSA for the previous financial year	New	New	New	Un-qualified Audit Opinion	Un-qualified Audit Opinion	Un-qualified Audit Opinion	Un-qualified Audit Opinion
5.1.2	Number of asset counts conducted	New	New	2	2	2	2	2
5.1.3	Numbers of annual financial statements submitted	New	New	New	New	4	4	4
5.1.4	Number of In-year-monitoring reports submitted to Provincial Treasury	New	New	4	4	4	4	4
5.1.5	Number of updates on the risk register	New	New	4	4	4	4	4
5.1.6	Number of quarterly progress reports submitted to DOCS in terms of the transfer payment agreement	New	New	New	4	4	4	4
5.1.7	Number of demand management reports submitted to Provincial Treasury	New	New	5	-	5	5	5

11.4 Quarterly Targets for 2019/20

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2018/19	Quarterly Targets			
					1st	2nd	3rd	4th
Provincial specific indicators								
5.1.1	Audit Outcome issued by the AGSA for the previous financial year	3	Annually	1	0	Un-qualified Audit Opinion	0	0
5.1.2	Number of asset counts conducted	3	Quarterly	2	0	1	0	1
5.1.3	Numbers of annual financial statements submitted	3	Annually	4	1	1	1	1
5.1.4	Number of In-year-monitoring reports submitted to Provincial Treasury	3	Quarterly	4	1	1	1	1
5.1.5	Number of updates on the risk register	3	Quarterly	4	1	1	1	1

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2018/19	Quarterly Targets			
					1st	2nd	3rd	4th
Provincial specific indicators								
5.1.6	Number of quarterly progress reports submitted to DOCS in terms of the transfer payment agreement	3	Quarterly	4	1	1	1	1
5.1.7	Number of demand management reports submitted to Provincial Treasury	3	Quarterly	5	2	1	1	1

11.5 Risk Management:

Risks inherent to the Finance Component that could hinder the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Non-compliance to all applicable prescripts.	Staff receive regular updates from all relevant sources. (Implemented) Staff attends regular workshops and forums. (Implemented) Finance personnel have regular engagements with Treasury. (Implemented). Policies and SOP's updated regularly for changes in legislation.
Manual intervention in financial systems.	Integrated financial systems / interfaces.

11.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Finance	-	-	11 814	13 331	13 200	14 010	14 795
Total	-	-	11 814	13 331	13 200	14 010	14 795

Economic Classifications

Current payments							
Compensation of employees	-	-	3 836	3 685	4 745	5 111	5 493
Goods and services	-	-	6 654	7 581	6 892	7 264	7 591
Payments for capital assets of which:							
Computer equipment	-	-	171	482	-	-	-
Office and other equipment	-	-	1 153	1 583	1 563	1 635	1 711
Intangible assets	-	-	-	-	-	-	-
Total	-	-	11 814	13 331	13 200	14 010	14 795

11.7 Performance and expenditure trends

- Critical to the performance of the Finance Component is the requirements in terms of the PFMA, National Treasury and Provincial Treasury regulations.
- Emphasis is placed on compliance with the prescripts. These inform the outputs and key performance indicators set for the Component.
- Continuous staff development and review of policies and SOP's are key to ensure compliance.

12. Component 6: Corporate Services

Component purpose

Provide strategic direction and ensure quality operational support services to the Governing Board and Authority.

Component description

The Corporate Services component provides strategic and administrative support to the components of the WCLA to monitor and report on the achievement of the Authority's performance targets.

12.1 Strategic Objectives

Strategic Objective 6.1	To provide a strategic support function to the Western Cape Liquor Authority.
Objective statement	To ensure an effective, efficient and compliant human resource management, performance monitoring and evaluation, information technology and auxiliary support service to the Authority.
Baseline	All funded positions on the approved organisational structure filled.

12.2 Strategic Objective Annual Targets for 2019/20

Strategic objective performance indicator	Strategic Plan Targets	Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
6.1*	N/A	-	-	-	-	-	-	-

* The split between the Finance Component and the Corporate Services Component occurred during the current 5 Year Strategic Plan (2015 – 2020). A strategic objective indicator will be drafted in consultation with the Department with the development of the new 5 Year Strategic Plan of the Authority.

12.3 Annual Targets for 2019/20

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Provincial specific indicators								
6.1.1	Number of employee performance reviews facilitated	New	New	2	2	2	2	2
6.1.2	Number of employee wellness pro-grammes conducted	New	New	4	2	2	2	2
6.1.3	Number of staff satisfaction surveys conducted	New	New	2	2	1	1	1
6.1.4	Number of quarterly performance reports submitted to DotP	New	New	4	4	4	4	4
6.1.5	Number of Annual Performance Plans published	New	New	New	1	1	1	1
6.1.6	Number of Annual Reports published	New	New	New	1	1	1	1

Component performance indicator		Audited/Actual performance			Estimated performance 2018/19	Medium-term targets		
		2015/16	2016/17	2017/18		2019/20	2020/21	2021/22
Provincial specific indicators								
6.1.7	Number of quarterly performance reports submitted to DOCS	New	New	New	4	4	4	4

12.4 Quarterly Targets for 2019/20

Component performance indicator		PSG no. linkage	Reporting period	Annual target 2019/20	Quarterly Targets			
					1st	2nd	3rd	4th
Provincial specific indicators								
6.1.1	Number of employee performance reviews facilitated	3	Quarterly	2	1	0	1	0
6.1.2	Number of employee wellness pro-grammes conducted	3	Quarterly	2	0	1	0	1
6.1.3	Number of staff satisfaction surveys conducted	3	Annually	1	-	1	-	-
6.1.4	Number of quarterly performance reports submitted to DotP	3	Quarterly	4	1	1	1	1
6.1.5	Number of Annual Performance Plans published	3	Annually	1	-	-	-	1
6.1.6	Number of Annual Reports published	3	Annually	1	-	1	-	-
6.1.7	Number of quarterly performance reports submitted to DOCS	3	Quarterly	4	1	1	1	1

12.5 Risk Management:

Risks inherent to Corporate Services that could hinder the realisation of the strategic objective inter alia include:

Risks	This risk is mitigated by:
Timeously secure alternative accommodation.	Secure alternative interim building. Business continuity plan in place.
Inadequate job descriptions and lack of parity of salaries.	Adoption of approved job descriptions and revised salary scales.

12.6 Reconciling performance targets with the Budget and MTEF

Expenditure Estimates

Component	Expenditure outcome			Adjusted appropriation 2018/19 R'000	Medium-term expenditure estimate		
	2015/16 R'000	2016/17 R'000	2017/18 R'000		2019/20 R'000	2020/21 R'000	2021/22 R'000
Corporate Services	20 566	23 217	9 338	10 978	8 421	8 901	9 413
Total	20 566	23 217	9 338	10 978	8 421	8 901	9 413

Economic Classifications

Current payments							
Compensation of employees	6 863	8 581	4 063	4 451	5 133	5 534	5 922
Goods and services	7 066	10 674	3 010	4 455	3 262	3 340	3 462
Payments for capital assets of which:							
Computer equipment	1 023	846	491	33	-	-	-
Office and other equipment	3 385	1 493	224	754	26	27	29
Intangible assets	2 229	1 623	2 072	1 285	-	-	-
Total	20 566	23 217	9 338	10 978	8 421	8 901	9 413

12.7 Performance and expenditure trends

- More and more emphasis is placed on compliance with these regulations and this in turn adds to the already onerous workload of the limited staff compliment in this Component.
- The need for a skilled workforce is identified as a necessity and provision has been made in the budget to accommodate the expense of training and developing staff.
- The budget has been set to fund the activities required to achieve the Component's mandate and successfully perform the activities as set out in the Authority's APP.

PART C: Links to other plans

C

Links to the long-term infrastructure and other capital plans

This section is not applicable to the Western Cape Liquor Authority as its functional responsibilities do not relate to capital investment.

Conditional grants

This section is not applicable to the Western Cape Liquor Authority as its functional responsibilities do not relate to capital investment.

Public entities

Not Applicable

Public-private partnerships

The Authority has no private public partnerships.

PART D: Links to the Strategic Plan

d

ANNEXURE E: Technical Indicator Descriptions

e

Organisational Strategic Outcome Oriented Indicator

Indicator title	Optimal regulation of the retail sale and micro-manufacturing of liquor and a reduction in the negative social ills of liquor abuse in the Western Cape
Short definition	Promotion of an enabling environment that allows for the ease of entry into the regulated liquor trading space, meanwhile ensuring that all liquor licence holders stringently comply with the Western Cape Liquor Act 4 of 2008, whilst educating and creating awareness surrounding the negative social impact of liquor abuse as well as informing the community about the liquor licencing application public participation process.
Purpose/Importance	The regulation of the retail sale and micro-manufacturing of liquor is key to reducing liquor abuse and negative social ills related to liquor.
Source/collection of data	N/A
Method of calculation	N/A
Data limitation	N/A
Type of indicator	Outcome
Calculation type	N/A
Reporting cycle	5 Yearly
New indicator	No
Desired performance	N/A
Indicator responsibility	CEO

Liquor Licencing Administration

Strategic Objective Performance Indicator:

Indicator number	1.1
Indicator title	Number of applications processed
Short definition	To prepare liquor licence applications in terms of a set checklist. The applications referred to include: <ul style="list-style-type: none"> • Permanent applications • Secondary applications • Temporary applications • Event applications
Purpose/Importance	To ensure that liquor licence applications adhere to the requirements of the Act
Source/collection of data	An application is regarded as processed when it is ready to be enrolled for consideration by the Liquor Licensing Tribunal (LLT). Applications processed could include applications received from prior reporting periods as well as applications received within the financial year under review. Signed excel spreadsheets with applicants information (name of applicant, application number, physical address of premises and application type). Copies of applications are kept on file with the Authority and are available upon request.
Method of calculation	Each application processed will count as one.
Data limitation	The achievement of this indicator is dependent upon factors such as the submission of complete applications by applicants and/or liquor consultants as well as the timeous submission of reports by the Designated Liquor Officers.
Type of indicator	Service delivery indicator – direct impact on citizens and is demand driven
Calculation type	Non-cumulative target
Reporting cycle	Annually
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Deputy Director: Liquor Licencing Administration

Programme/Component Performance Indicators:

Indicator number	1.1.1
Indicator title	Number of applications received
Short definition	To receive liquor licence applications in terms of the Act. The applications referred to include: <ul style="list-style-type: none"> • Permanent applications • Secondary applications • Temporary applications • Event applications
Purpose/Importance	To ensure that liquor licences received are recorded
Source/collection of data	An application is regarded as recorded once it has been captured on the Licence Management and Tracking system (LMA TS). System generated report with applicant's information (name of applicant, application number, physical address of premises and application type) Copies of applications are kept on file with the Authority and are available upon request.
Method of calculation	Every application recorded will count as one.
Data limitation	This is a demand driven indicator and is dependent on the number of applications lodged.
Type of indicator	Service delivery indicator – indirect impact on citizens and is demand driven
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Deputy Director: Liquor Licencing Administration

Indicator number	1.1.2
Indicator title	Number of licenses issued
Short definition	<p>To provide the liquor licence applicant with licences or certificates (as applicable)</p> <p>The licences issued referred to include:</p> <ul style="list-style-type: none"> • Permanent licences • Temporary licences • Event licences <p>The certificates issued referred to include:</p> <ul style="list-style-type: none"> • Transfer certificate • Removal certificate
Purpose/Importance	To provide the liquor licence applicant with a document inferring on them the right to trade in liquor.
Source/collection of data	<p>Licences or certificates issued could include applications received and or considered from prior reporting periods as well as applications received and or considered within the financial year under review.</p> <p>Signed excel spreadsheets with license holders information (name of license holder, license number and license type).</p> <p>Copies of licenses or certificates issued are kept on file with the Authority and are available upon request.</p>
Method of calculation	Every license or certificate issued will count as one.
Data limitation	The number of licences and certificates issued is dependent upon the number of applications granted by the Liquor Licensing Tribunal.
Type of indicator	Service delivery indicator – direct impact on citizens and is demand driven
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Deputy Director: Liquor Licencing Administration

Indicator number	1.1.3
Indicator title	Percentage of all permanent licence applications processed within 130 days
Short definition	The percentage of all permanent licence applications that have been prepared by the administrator and forwarded to the LLT for consideration
Purpose/Importance	<p>To ensure that all permanent licence applications are prepared and forwarded to the LLT within 130 days</p> <p>The indicator "Percentage of all permanent licence applications processed within 130 days" provides for productivity based targets within the Authority's control versus demand driven targets which are outside of the Authority's control. With this indicator, the Authority measures the time taken for the application to be processed from the date of lodgement to the first time the application is enrolled for consideration by the LLT.</p>
Source/collection of data	<p>An application is regarded as processed when it is ready to be enrolled for first time consideration by the LLT and forwarded to the LLT.</p> <p>A printed report will be obtained from the LMaTS system. The report will contain applicant's information (name of applicant, application number, physical address of premises and application type) and whether the applications were processed within the 130 days.</p> <p>Copies of applications are kept on file with the Authority and are available upon request.</p>
Method of calculation	<p>The number of days from date of lodgment to the date the application is forwarded to the LLT for first time consideration.</p> <p>The percentage will be calculated as follows:</p> <ul style="list-style-type: none"> • The Denominator is equal to the number of applications forwarded to the LLT • The numerator is equal to the number of applications forwarded to the LLT within the 130 days. Thus the calculation will look as follows • The numerator/denominator is multiplied by 100
Data limitation	The achievement of this indicator is dependent upon factors such as the submission of complete applications by applicants and/or liquor consultants as well as the timeous submission of reports by the Designated Liquor Officers.
Type of indicator	Service delivery indicator – direct impact on citizens
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Deputy Director: Liquor Licencing Administration

Indicator number	1.1.4
Indicator title	Number of reports on licences issued in the identified Alcohol Harms Reduction Game Changer areas
Short definition	Feedback report on the progress made in terms of number of licences issued for the identified Alcohol Harms Reduction Game Changer focus areas.
Purpose/Importance	To facilitate the entrance of unlicensed liquor traders into the regulated sphere within the identified Alcohol Harms Reduction Game Changer areas
Source/collection of data	Feedback report
Method of calculation	Each feedback report generated will count as one.
Data limitation	N/A
Type of indicator	Service delivery – indirect impact on citizens
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve target as set in APP
Indicator responsibility	Deputy Director: Liquor Licencing Administration

Liquor Licencing Administration

e

Strategic Objective Performance Indicator:

Indicator number	2.1
Indicator title	Number of applications considered
Short definition	<p>To consider all types of applications ready for consideration. The applications referred to include:</p> <ul style="list-style-type: none"> • Permanent applications • Secondary applications • Temporary applications • Event applications
Purpose/Importance	To ensure that liquor licence applications processed are considered by the LLT
Source/collection of data	<p>An application is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Approved • Conditionally approved • Postponed • Rejected <p>Liquor Licence applications considered could include applications received from prior reporting periods as well as applications received within the financial year under review.</p> <p>Signed excel spreadsheets are submitted with the applicant's information (name of applicant, application number, physical address of premises and application type).</p> <p>Copies of the consideration sheets/minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	Each application considered will count as one
Data limitation	Dependent on the number of cases placed on the case roll, the availability of Tribunal members (quorum)
Type of indicator	This is a service delivery indicator, there is a direct impact on the public and it is demand driven.
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Secretariat: Liquor Licencing Tribunal

Programme/Component Performance Indicators:

Indicator number	2.1.1
Indicator title	Percentage of all permanent Licence applications considered within 50 days
Short definition	To consider permanent licence applications on the case roll within 50 days of enrolment
Purpose/Importance	<p>To ensure that liquor licence applications are considered by the LLT within a set target</p> <p>This indicator provides for productivity based targets within the Authority's control versus demand driven targets which are outside of the Authority's control.</p>
Source/collection of data	<p>A permanent Licence application is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Granted • Conditionally granted • Postponed • Refused <p>Liquor Licence applications considered will be all applications on the case roll considered during the year under review.</p> <p>Signed excel spreadsheets with applicants information (name of applicant, application number, date forwarded to LLT case roll and date considered by LLT).</p> <p>Copies of the consideration sheets/minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	<p>The number of days from date the application is forwarded to the LLT to the date the application is considered by the LLT.</p> <p>The percentage will be calculated as follows:</p> <ul style="list-style-type: none"> • The Denominator is equal to the number of applications considered by the LLT • The numerator is equal to the number of applications considered by the LLT within 50 days
Data limitation	The availability of Tribunal members (quorum)
Type of indicator	This is service delivery indicator, direct impact on public.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Secretariat: Liquor Licencing Tribunal

Indicator number	2.1.2
Indicator title	Percentage of all section 65(1) applications considered within 30 days
Short definition	To consider section 65 applications on the case roll within 30 days of enrolment
Purpose/Importance	<p>To ensure that Section 65 applications are considered within the timeframe of the Act</p> <p>This indicator was included to provide for productivity based targets within the Authority's control versus demand driven targets which are outside of the Authority's control.</p>
Source/collection of data	<p>A Section 65 application is regarded as considered once the Liquor Licensing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Approved • Conditionally approved • Postponed • Rejected <p>Section 65 liquor Licence applications considered will be all applications on the case roll considered during the year under review.</p> <p>Signed excel spreadsheets with applicants information (name of applicant, WCP number, date forwarded to LLT case roll and date considered by LLT).</p> <p>Copies of consideration sheets/minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	<p>The number of days from date the application is forwarded to the LLT to the date the application is considered by the LLT.</p> <p>The percentage will be calculated as follows:</p> <ul style="list-style-type: none"> • The Denominator is equal to the number of applications considered by the LLT • The numerator is equal to the number of applications considered by the LLT within 30 days
Data limitation	The availability of Tribunal members (quorum)
Type of indicator	This is a service delivery indicator, direct impact on the public.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Secretariat: Liquor Licensing Tribunal

Indicator number	2.1.3
Indicator title	Percentage of all Section 66 applications considered within 30 days
Short definition	To consider Section 66 applications within timeframe of the Act
Purpose/Importance	<p>To ensure that Section 66 applications are considered within timeframe of the Act</p> <p>This indicator was included to provide for productivity based targets within the Authority's control versus demand driven targets which are outside of the Authority's control.</p>
Source/collection of data	<p>A Section 66 application is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Approved • Conditionally approved • Postponed • Rejected <p>Section 66 applications considered will be all applications on the case roll considered during the year under review.</p> <p>Signed excel spreadsheets with applicants information (name of applicant, WCP number, date forwarded to LLT case roll and date considered by LLT).</p> <p>Copies of consideration sheets/minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	<p>The number of days from date the application is forwarded to the LLT to the date the application is considered by the LLT.</p> <p>The percentage will be calculated as follows:</p> <ul style="list-style-type: none"> • The Denominator is equal to the number of applications considered by the LLT • The numerator is equal to the number of applications considered by the LLT within 30 days
Data limitation	The availability of Tribunal members (quorum)
Type of indicator	This is a service delivery indicator, direct impact on the public.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	The desired outcome is to achieve the target as set in the APP or exceed the target as set out in the APP.
Indicator responsibility	Secretariat: Liquor Licencing Tribunal

Indicator number	2.1.4
Indicator title	Number of reports relating to non-compliant matters referred to the LLT
Short definition	To consider non-compliant applications ensuring that irresponsible traders are addressed in terms of section 20 of the Act
Purpose/Importance	To address non-compliance with the Western Cape Liquor Act (4/2008), the Western Cape Liquor Regulations (2011) and with the liquor licence conditions
Source/collection of data	<p>An application is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Licence revoked • Licence suspended • New conditions imposed • Impose a fine • Application dismissed • Any other appropriate action <p>The information relating to the section 20 application will be captured on a spreadsheet (excel format) and provided as evidence.</p> <p>Section 20 applications considered will be applications on the case roll considered during the year under review.</p> <p>Copies of consideration sheets/minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	Each report issued will count as one
Data limitation	None – Issuing of report is within our control The number of cases dealt with will depend on available capacity within the Tribunal.
Type of indicator	Indirect service delivery – impact on citizens
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	As set out in APP target
Indicator responsibility	Secretariat: Liquor Licencing Tribunal

Indicator number	2.1.5
Indicator title	Number of reports on section 36 applications considered from the identified Alcohol Harms Reduction Game Changer areas
Short definition	To consider Section 36 applications within the Alcohol Harms Reduction Game Changer areas
Purpose/Importance	<p>To consider all Section 36 licences applications in the identified Alcohol Harms Reduction Game Changer areas to facilitate the entrance of unlicensed liquor traders into the regulated sphere.</p> <p>The indicator "Number of reports on licences issued in the identified Alcohol Harms Reduction Game Changer areas" is a pilot project to create a precedent in terms of bringing the responsible unlicensed liquor outlets into the regulated space. The success of this target depends on different role players not necessarily in the control of the Authority.</p>
Source/collection of data	<p>A Section 36 application in the Alcohol Harms Reduction Game Changer areas is regarded as considered once the Liquor Licencing Tribunal has provided an outcome. This outcome could be in the form of the following:</p> <ul style="list-style-type: none"> • Approved • Conditionally approved • Postponed • Rejected <p>Liquor Licence applications considered will be all applications on the case roll considered during the year under review.</p> <p>Signed excel spreadsheets with applicants information (name of applicant, application number, date forwarded to LLT case roll and date considered by LLT and outcome).</p> <p>Copies of the consideration sheets/ minutes are kept on file with the Authority and are available upon request.</p>
Method of calculation	Each report issued will count as one
Data limitation	None-issuing of report within our control. The number of applications consider will depend on the number of applications submitted and processed.
Type of indicator	Indirect service delivery - impact on citizens
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	As set out in APP target
Indicator responsibility	Secretariat: Liquor Licencing Tribunal

Communication, Education and Stakeholder Relations

e

Strategic Objective Performance Indicator:

Indicator number	3.1
Indicator title	Percentage of the social and education fund budget spent or contractually committed annually
Short definition	To monitor and ensure that the social and education fund budget is utilised in accordance with the Act within the financial year under review
Purpose/Importance	To ensure the delivery of interventions
Source/collection of data	Signed copy of social fund budget report
Method of calculation	Actual expenditure plus commitments divided by approved budget reflected as a percentage Numerator (actual expenditure + commitments)/Denominator (approved budget)
Data limitation	Supply chain constraints
Type of indicator	Service delivery Indicator - indirect impact
Calculation type	Non-cumulative target
Reporting cycle	Annually
New indicator	No
Desired performance	To achieve on the target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.2
Indicator title	Communication plan developed
Short definition	A plan outlining target audiences as well as the communication channels
Purpose/Importance	To identify and address the communication needs via identified communication channels to stakeholders
Source/collection of data	A copy of the communication plan
Method of calculation	The communication plan will count as one
Data limitation	N/A
Type of indicator	Service delivery - indirect impact
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	To achieve on the target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Programme/Component Performance Indicators:

Indicator number	3.1.1
Indicator title	Number of awareness interventions conducted
Short definition	<p>Number of awareness interventions conducted during the financial year under review e.g.:</p> <ul style="list-style-type: none"> • Awareness interventions with liquor licence holders • Awareness interventions with staff working at liquor establishments • Awareness interventions with the liquor distributors and their industry bodies • Awareness interventions with communities • Awareness interventions with schools • Awareness interventions with other spheres of government • Awareness interventions with new applicants and their staff • Awareness interventions with CPF's • Awareness interventions with neighbourhood watches • Awareness interventions with consultants • Awareness interventions with NGOs, NPO's and CBO's <p>Awareness interventions include one or all of the following:</p> <ul style="list-style-type: none"> • Workshops • Educations and awareness sessions • Industrial theatre • Meetings • Conferences and events
Purpose/Importance	<ul style="list-style-type: none"> • To make liquor licence holders and their staff aware of the Act, application processes, liquor regulation and responsible trading in order for them to comply with the liquor legislation. • To make liquor distributors and their industry bodies aware of provincial liquor legislation and procedures. • To make communities, NGOs, CBO's and NPO's aware of the Act in particular to the complaints procedures, public participation process as well as the negative social ills of liquor abuse. • To make schools aware of the negative social ills of liquor abuse e.g. FAS, underage drinking etc. • To make other spheres of government aware of the liquor legislation and their roles. • To make new applicants and their staff aware of the Act, application processes, regulation procedures and responsible trading in order for them to comply with the liquor legislation. • To make CPF's aware of the Act in particular to the complaints procedures, public participation process as well as the negative social ills of liquor abuse. • To make neighbourhood watches aware of the Act in particular to the complaints procedures, public participation process as well as the negative social ills of liquor abuse. • To provide consultants an opportunity to engage with the Liquor Licencing Tribunal and to share relevant information with them regarding liquor
Source/collection of data	Signed attendance registers
Method of calculation	Every awareness intervention held will count as one
Data limitation	Non-attendance of interventions
Type of indicator	Demand driven – direct impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.2
Indicator title	Number of persons reached through awareness interventions
Short definition	It indicates the number of persons that attended awareness interventions with liquor licence holders and their staff, communities, schools, CPF's, neighbourhood watches, consultants, NPO's, CBO's, NGO's and other spheres of governments during the financial year under review.
Purpose/Importance	It tracks the number of people reached through awareness interventions with liquor licence holders and their staff, liquor distributors and their industry bodies, communities, schools and other spheres of government, NPO's, CBO's, NGO's
Source/collection of data	Signed attendance registers
Method of calculation	Each signatory on an attendance registers will be counted as one. These include instances where persons indicate their signature by means of an 'X'.
Data limitation	Lower than expected attendance at planned interventions
Type of indicator	Demand driven - direct impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.3
Indicator title	Number of social responsibility programmes conducted
Short definition	<p>Social responsible programmes with messages and activities addressing and creating awareness of the negative social ills of liquor abuse during the financial year under review e.g.:</p> <ul style="list-style-type: none"> • Sobriety campaigns • Arrive alive campaigns • Radio campaigns • Newspaper campaigns • Television campaigns • Easter campaigns • Festive season campaigns • School outreach campaigns • Community outreach campaigns • Public branding (Taxis, trains, busses, billboards)
Purpose/Importance	To raise awareness and highlight the consequences of the abuse of liquor
Source/collection of data	Signed project plan and closing report
Method of calculation	Individual closing reports for specific social responsibility programmes conducted will count as one.
Data limitation	N/A
Type of indicator	Service delivery indicator – direct impact
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.4
Indicator title	Entity events calendar maintained
Short definition	It indicates a list or schedule of events or activities that occur at different times throughout the financial year.
Purpose/Importance	It provides a quarterly calendar that stakeholders and staff can use regarding events hosted by the Authority.
Source/collection of data	Quarterly intervention listing of events for the financial year
Method of calculation	Quarterly updated events calendar
Data limitation	Not receiving the required information or no information to update the calendar
Type of indicator	Service delivery indicator – direct impact
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.5
Indicator title	Number of internal newsletters published
Short definition	A communication tool to internal staff sharing news and information
Purpose/Importance	To inform staff of recent activities in the organisation and sharing of information
Source/collection of data	A printed newsletter
Method of calculation	Each newsletter will count as one
Data limitation	Not receiving the required information or no information for articles Interruption of internet access
Type of indicator	Service delivery – indirect impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.6
Indicator title	Number of circulars issued to external stakeholders
Short definition	Communicating to the industry on important liquor related matters
Purpose/Importance	To inform the industry on relevant liquor related information
Source/collection of data	Printed email of the circular that was emailed to the industry
Method of calculation	Each circular will count as one
Data limitation	Not receiving the required information to communicate and share the information with stakeholders. Lack of internet access
Type of indicator	Service delivery Indicator – direct impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.7
Indicator title	Number of updates to the website
Short definition	Indicates the number of updates to the website during the reporting period
Purpose/Importance	To have a current and up-to-date website
Source/collection of data	Printed report from the website indicating dates of update and name of the updater
Method of calculation	Each update will count as one
Data limitation	Not receiving the required information or no information for articles Interruption of internet access
Type of indicator	Service delivery – direct impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	To achieve or over-achieve on the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Indicator number	3.1.8
Indicator title	Number of reports on the activities and programs conducted in the identified Alcohol Harms Reduction Game Changer areas
Short definition	Activities and programs conducted within the AHRG areas, e.g. <ul style="list-style-type: none"> • Newspaper Articles published • Neighbourhood watched trained • Radio interviews conducted • Police community forums engaged • Schools and Community engagements • SMS's and email communication
Purpose/Importance	To create awareness regarding the Harms of Alcohol Abuse
Source/collection of data	Printed report mentioning the activities in the AGRGC Area
Method of calculation	Each report submitted will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	To achieve the set target
Indicator responsibility	Deputy Director: Communication, Education and Stakeholder Relations

Compliance and Enforcement

Strategic Objective Performance Indicator:

Indicator number	4.1
Indicator title	Number of enforcement interventions conducted
Short definition	To monitor certain types of enforcement interventions conducted. The enforcement interventions include: <ul style="list-style-type: none"> • Inspections conducted • Enforcement operations conducted (e.g. blitzes)
Purpose/Importance	To monitor certain intervention which relates to the actual visits to licensed premises in order to ensure compliance with the provisions of the Act. The number will give an indication of how many licensed outlets has been visited during the relevant period as well as the number of operations conducted which might include visits to unlicensed premises.
Source/collection of data	Inspection forms and enforcement operation feedback reports
Method of calculation	Each inspection form will count as one and each enforcement report will count as one. The information relating to the inspection forms issued will be captured on the LMaTS system and an LMaTS report will be provided as evidence. The signed inspection forms will be made available on request and an LMaTS report will be provided as evidence. * It must be noted that in cases where the inspector is unable to obtain the signature of the license holder/ manager/ employee, the signature of the inspector will be sufficient. Copies of enforcement operation reports will be provided as evidence.
Data limitation	The indicator might be influenced by capacity constraints seeing that the certain inspectors are appointed on fix term contract basis and may decide to resign due to job insecurity. The assistance of the SAPS is also demand driven.
Type of indicator	This is a service delivery indicator which could have a direct or indirect impact on citizens depending on the nature of the specific licensed premises and the community. This indicator measures output.
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Although more focus is placed on irresponsible trading the performance should preferably not be less than the target as set in APP.
Indicator responsibility	Deputy Director: Compliance and Enforcement

Programme/Component Performance Indicators:

Indicator number	4.1.1
Indicator title	Number of inspections conducted
Short definition	To monitor compliance with the provisions of the Act by licenced liquor outlets. These inspections may also include visits which relates to applications received from the licensees. It may further relate to complaints received as well as operations conducted.
Purpose/Importance	To ensure that applicants for liquor licences and licenced liquor outlets comply with the provisions of the Act. To monitor actual visits to licensed premises in order to ensure compliance with the provisions of the Act. The number will give an indication of how many licensed outlets has been visited during the relevant period. Inspections could serve as a proactive measure to ensure compliance and therefore the component need to reach as many premises as possible. It further serves as a reactive measure seeing that it might follow upon complaints being reported against licensed premises.
Source/collection of data	Each inspection will count as one
Method of calculation	Signed inspection form The information relating to the inspection forms issued will be captured on the LMaTS system and an LMaTS report will be provided as evidence. The signed inspection forms will be made available on request. *It must be noted that where the licence holder/ manager/ employee refuses to sign the signature of the inspector will be sufficient. Circumstances of a visit to any licensed premises must be recorded for those cases which did not require a signature of a licensee / manager /employee.
Data limitation	The indicator might be influenced by capacity constraints seeing that certain inspectors are appointed on a fixed term contract basis and may decide to resign due to job insecurity.
Type of indicator	This is a service delivery indicator which could have a direct or indirect impact on citizens depending on the nature of the specific licensed premises and the community. This indicator measures output.
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Although more focus is placed on irresponsible trading the performance should preferably not be less than the target as set in APP.
Indicator responsibility	Deputy Director: Compliance and Enforcement

Indicator number	4.1.2
Indicator title	Report on the number of compliance notices issued
Short definition	A report discussing the number of notices issued in terms of section 69 of the Act. A notice is issued allowing the licensee time to rectify non-compliance with the provisions of the Act and licence conditions as imposed by the Liquor Licencing Tribunal (LLT) at licenced liquor outlets. These notices are issued in cases of lesser contraventions or where there is a need for some guidance.
Purpose/Importance	The purpose of the report is to inform the relevant role players of the results related to notices issued to licence holders in instances of non-compliance. These reports may include any information that relates to the number of notices issued, level of compliance, kind of offences, etc..
Source/collection of data	The feedback report is to be drafted by DD: Compliance and Enforcement which will contain information which is obtained from the Compliance Notice Register and which is updated based on the number of compliance notices issued.
Method of calculation	Each report submitted will count as one
Data limitation	Seeing that this indicator requires merely the submission of a report, this office does not foresee any limitations.
Type of indicator	This is a service delivery indicator which could have a direct or indirect impact on citizens. The report gives an indication of how effective the component was in terms of the issuing of compliance notices. This indicator measures output.
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	One report per quarter as set in APP
Indicator responsibility	Deputy Director: Compliance and Enforcement

Indicator number	4.1.3
Indicator title	Number of enforcement operations conducted
Short definition	Number of enforcement operations conducted. This will include joint operations with SAPS and/or Law Enforcement.
Purpose/Importance	Ensuring the safety of Inspectors in areas where such risks has been identified
Source/collection of data	Inspectors are required to submit reports after enforcement operations have been conducted and these reports are recorded in an operations register. The register is utilised to keep record of the number of operations conducted.
Method of calculation	Each copy of the enforcement operation report will count as one.
Data limitation	Operations are normally guided by the risks associated with certain areas, therefore, operations might be demand driven and also guided by the availability of the SAPS or Law Enforcement officials.
Type of indicator	This indicator is demand driven as indicated above but also a service delivery indicator. It further has a direct and indirect impact to citizens as inspections might be planned to include other enforcement agencies. Operations may also be planned in terms of complaints from the public. The indicator measures output.
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Not less than the target as set in APP
Indicator responsibility	Deputy Director: Compliance and Enforcement

Indicator number	4.1.4
Indicator title	Report on the number of non-compliance matters referred to LLT
Short definition	A report discussing the number of reports compiled by the inspectorate for referral to the LLT in terms of section 20 of the Act in order to prove a specific contravention and to have a sanction imposed
Purpose/Importance	The purpose of the report is to inform the relevant role players of the results related to the number of non-compliant matters referred to the LLT ensuring that irresponsible traders are addressed in terms of section 20 of the Act.
Source/collection of data	A feedback report is to be drafted by DD: Compliance and Enforcement will contain information which is obtained from the non-compliance report register and which is updated based on the number of non-compliance reports submitted by the inspectors.
Method of calculation	Each report submitted will count as one
Data limitation	N/A
Type of indicator	This is a service delivery indicator which could have a direct or indirect impact on citizens. The report gives an indication of how effective the component was in terms of the submission of non-compliance reports. This indicator measures output.
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Not less than the target as set in APP
Indicator responsibility	Deputy Director: Compliance and Enforcement

Indicator number	4.1.5
Indicator title	Report on the number of Administrative notices served
Short definition	A report which addresses the number of regulation 37A notices served on unlicensed outlets
Purpose/Importance	The purpose of the report is to inform the relevant role players of the results related to the notices which were issued to persons who are dealing without licenses, notifying them what the consequences of illegal trading are and what he/she can do to obtain a license.
Source/collection of data	A feedback report is to be drafted by DD: Compliance and Enforcement will contain information which is obtained from the regulation 37A register and which is updated based on the number of administrative notices issued to unlicensed outlets.
Method of calculation	Each report submitted will count as one
Data limitation	N/A
Type of indicator	This is a service delivery indicator which could have a direct or indirect impact on citizens. The report gives an indication of how effective the component was in terms of the administrative notices issued. This indicator measures output.
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Not less than the target as set in APP
Indicator responsibility	Deputy Director: Compliance and Enforcement

Finance

Strategic Objective Performance Indicator:

Indicator number	5.1
Indicator title	Percentage of the approved budget spent or contractually committed annually
Short definition	To monitor and ensure that the approved budget is utilised in accordance with the relevant legislation and prescripts within the financial year under review
Purpose/Importance	To ensure the delivery of strategic and operational support
Source/collection of data	Signed copy of final budget report
Method of calculation	Actual expenditure plus commitments divided by approved budget calculated as a percentage Numerator (actual expenditure + commitments)/Denominator (approved budget)
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures outcomes
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Programme/ Component Performance Indicator:

Indicator number	5.1.1
Indicator title	Audited outcome issued by the AGSA for the previous financial year
Short definition	Unqualified audit opinion outcome expressed by the AG
Purpose/Importance	To ensure that the Authority's internal controls, processes and policies are adequate, effective and in compliance with legislation
Source/collection of data	Management and audit report of the Auditor-General
Method of calculation	Audit opinion on the outcome in the AG report
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures outcomes
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.2
Indicator title	Number of circulars issued to external stakeholders
Short definition	To take stock of the assets of the Authority
Purpose/Importance	To ensure proper accounting of all the Authority's assets
Source/collection of data	Asset count report and sheets and updated assets register
Method of calculation	Each asset count report will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures output.
Calculation type	Cumulative year end
Reporting cycle	Bi-annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.3
Indicator title	Number of annual financial statements submitted
Short definition	Annual Financial Statements (AFS), Interim Financial Statement (IFS) and Quarterly Financial Statements (QFS) are submitted to the PT and Governing Board.
Purpose/Importance	To report on the financial performance of the Authority
Source/collection of data	Signed Financial Statements submitted to GB and PT
Method of calculation	Each set of Financial Statements submitted will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures output
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No (amended)
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.4
Indicator title	Number of In-year-monitoring reports submitted to Provincial Treasury
Short definition	In-Year-Monitoring (IYM) reports in prescribed NT format
Purpose/Importance	To report on performance against approved budget
Source/collection of data	Signed IYM reports submitted to PT
Method of calculation	Each IYM report submitted will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator - indirect impact - measures output
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.5
Indicator title	Number of updates on the risk register
Short definition	Consolidated register of the Authority's risks identified
Purpose/Importance	To report on the risks and mitigating controls of the Authority
Source/collection of data	Approved risk register
Method of calculation	Each risk register will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator - indirect impact - measures output
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.6
Indicator title	Number of quarterly progress reports submitted to DOCS in terms of the transfer payment agreement
Short definition	Quarterly progress report to DOCS used as a basis for tranche payments
Purpose/Importance	To report quarterly performance on financial and non-financial information to the parent department
Source/collection of data	Signed quarterly progress report
Method of calculation	Each progress report will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures output
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Indicator number	5.1.7
Indicator title	Number of demand management reports submitted to Provincial Treasury
Short definition	Demand management plan and quarterly demand management reports in prescribed NT format
Purpose/Importance	To report on performance against the demand management plan
Source/collection of data	Signed demand management plan and reports submitted to PT
Method of calculation	Each demand management plan and report submitted will count as one
Data limitation	N/A
Type of indicator	Service delivery indicator – indirect impact – measures output
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Chief Financial Officer

Corporate Services

Programme/Component Performance Indicator:

Indicator number	6.1
Indicator title	Number of employee performance reviews facilitated
Short definition	As part of the performance evaluation process employees are evaluated twice a year to monitor and measure employee performance. This indicator counts the number of performance reviews facilitated.
Purpose/Importance	To ensure that employees are evaluated twice a year in terms of the performance management policy where their performance is measured against pre-determined outputs
Source/collection of data	Signed performance evaluation reviews per staff member
Method of calculation	Completed mid-year and final performance evaluation reviews
Data limitation	N/A
Type of indicator	Service delivery indicator - indirect impact - measures activities
Calculation type	Cumulative year end
Reporting cycle	Bi-annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.2
Indicator title	Number of employee wellness programmes conducted
Short definition	Programmes that contribute to the overall wellbeing of staff members
Purpose/Importance	To provide employees with programmes and wellness session that positively contributes to their overall performance and wellbeing. The wellbeing of employees could refer to the following: <ul style="list-style-type: none"> • Emotional • Physical • Financial • Professional • Spiritual
Source/collection of data	Reports on employee wellness programmes or sessions
Method of calculation	Each report will count as one
Data limitation	The unavailability of service providers to deliver these wellness session or programmes
Type of indicator	Service delivery indicator – indirect impact – measures outcomes
Calculation type	Cumulative year end
Reporting cycle	Bi-annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.3
Indicator title	Number of staff satisfaction surveys conducted
Short definition	Questionnaire to rate the level of job satisfaction and satisfaction with the work environment of staff members
Purpose/Importance	To identify potential areas of improvement in terms of staff related matters and to put in place corrective measure where possible
Source/collection of data	Report on staff satisfaction
Method of calculation	Each report will count as one
Data limitation	The unwillingness of staff to participate in the surveys
Type of indicator	Service delivery indicator – indirect impact – measures outcomes
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.4
Indicator title	Number of quarterly performance reports submitted to Provincial Treasury
Short definition	Quarterly Performance Reports (QPR) submitted via the eQPRS
Purpose/Importance	To report on quarterly performance achievements against indicator targets as set in the APP
Source/collection of data	Quarterly certificate of approval signed off by the CEO
Method of calculation	Each signed certificate of approval submitted will count as one
Data limitation	The non-timeous submission of data from components
Type of indicator	Service delivery indicator - indirect impact - measure outcomes
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.5
Indicator title	Number of Annual Performance Plans (APP) published
Short definition	The publication of the Authority's Annual Performance Plan
Purpose/Importance	To ensure compliance with the PFMA in terms of the publication of the Authority's Annual Performance Plan
Source/collection of data	Strategic Planning and Review Sessions/draft Annual Performance Plans
Method of calculation	A printed and bound APP will count as one
Data limitation	Non-timeous printing and binding service provided by the service provider Non-timeous submission of inputs to the APP from components
Type of indicator	Service delivery indicator - indirect impact - measure activity
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.6
Indicator title	Number of Annual Report (AR) published
Short definition	The publication of the Authority's Annual Report
Purpose/Importance	To ensure compliance with the PFMA in terms of the publication of the Authority's Annual Report
Source/collection of data	Audited performance information and audited Annual Financial Statements, various reports on Governance matters and Human Resources
Method of calculation	A printed and bound AR will count as one
Data limitation	Non-timeous printing and binding service provided by the service provider. Non-timeous submission of inputs to the AR from components
Type of indicator	Service delivery indicator – indirect impact – measure activity
Calculation type	Non-cumulative
Reporting cycle	Annually
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

Indicator number	6.7
Indicator title	Number of quarterly performance reports submitted to DOCS
Short definition	Quarterly Performance Reports (QPR) reports in prescribed DOCS format
Purpose/Importance	To report on quarterly performance achievements against indicator targets as set in the APP
Source/collection of data	Signed QPR reports submitted to DOCS
Method of calculation	Each QPR report submitted will count as one
Data limitation	The non-timeous submission of data from components
Type of indicator	Service delivery indicator – indirect impact – measure outcomes
Calculation type	Cumulative year end
Reporting cycle	Quarterly
New indicator	No
Desired performance	Actual performance that is equal to the target of the indicator as set in the APP
Indicator responsibility	Deputy Director: Corporate Services

NOTES

To obtain additional copies of this document, please contact:

Western Cape Liquor Authority
3rd Floor | Sunbel Building | 3 Old Paarl Road | Bellville | 7530
Tel: 021 204 9700
email: marvin.jackson@wcla.gov.za

