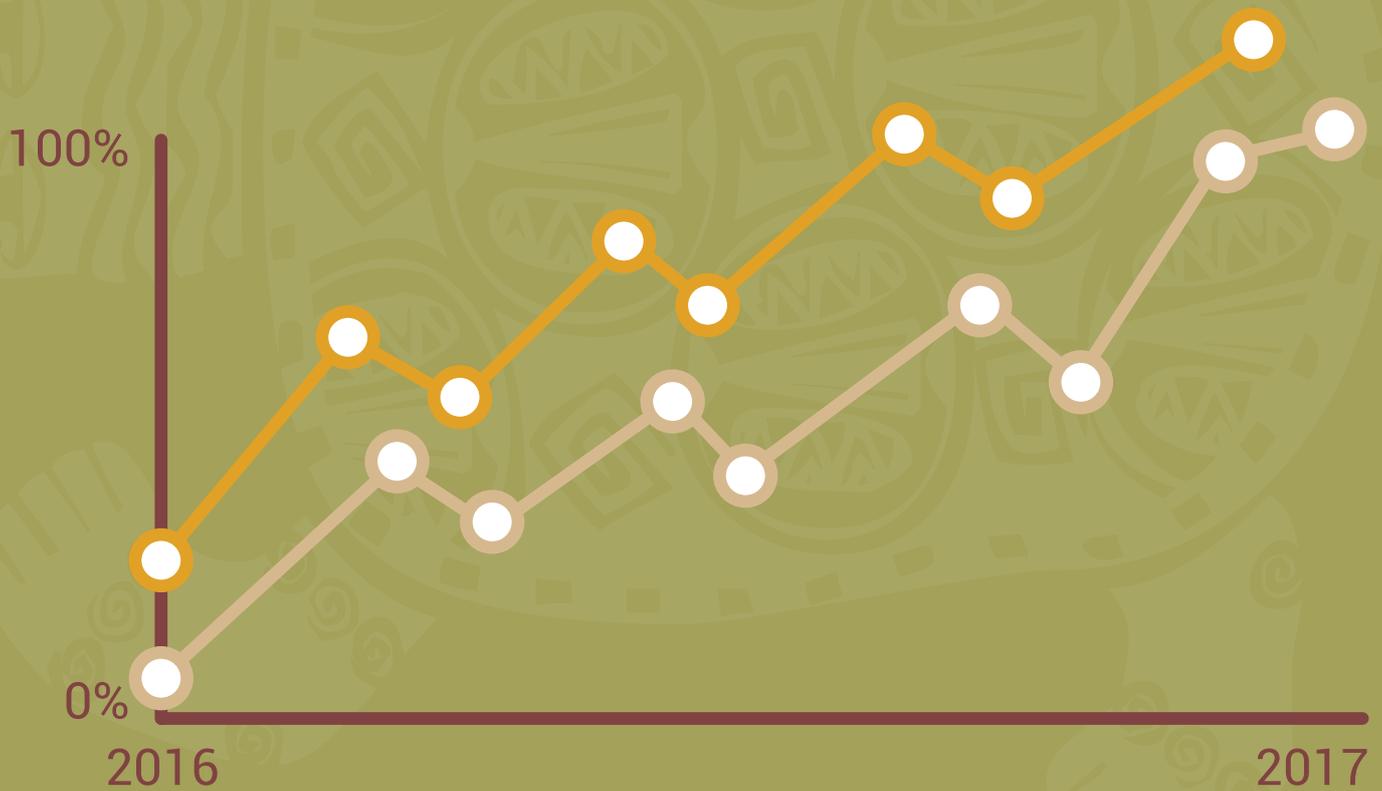


2016/17

Annual Performance Plan



nhc

National Heritage Council
SOUTH AFRICA

an agency of the
Department of Arts and Culture

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FOREWORD

It is my pleasure to present this 2016/17 Annual Performance Plan (APP) on behalf of the Council of the National Heritage Council of South Africa (NHC).

This APP is an outcome of a process undertaken by the Council upon its assumption of office which began with a Business Planning process by the Council to establish a strategic framework and craft a plan for the next coming four years.

Council took into cognisance the legislative mandate of the NHC and developments in the external environment in general and the heritage sector in particular.

The APP is our response and contribution to the ongoing challenges of forging a united and socially cohesive nation using heritage as a tool in the hands of our people to craft a better society proud of its past and confident of its future among the nations of the world.

Resource constraints and competing needs do not make this task any easier but we are confident that the NHC under the leadership of the Executive Management is well positioned to discharge its mandate and respond to societal and sectoral expectations with concrete initiatives in its policy making and advisory role; funding of community heritage projects; thought leadership and stakeholder engagement on matters of heritage as well as other areas of our work in pursuit of our central goal of preserving, protecting and promoting heritage for current and future generations.

Collaborations with our sister institutions including the South African Heritage Resources Agency (SAHRA), Ditsong and Iziko Museums, and other governmental and non – governmental institutions and entities will be part of our strategy to reach new frontiers.

The Honourable Minister of Arts and Culture appointed the NHC Council as the Interim Accounting Authority of the Pan South African Language Board (PanSALB) following the dissolution of the PanSALB Board by the Minister. The Council in this regard will oversee the development and implementation of a turnaround strategy for the institution.

The Council will work with management and staff to seize all opportunities to advance the cause of heritage and will support their efforts to lift the NHC to a higher level in terms of achievement of its strategic goals and sustain the strong oversight and governance systems in place through the Council and its Committees which have been reconstituted to optimise effectiveness.



Dr. Marcus Balintulo

Council Chairperson

OFFICIAL SIGN OFF

It is hereby certified that this Annual Performance Plan:

Was developed by the management of the National Heritage Council under the guidance of the Department of Arts and Culture;

Was prepared in line with the current Strategic Plan of the National Heritage Council;

Accurately reflects the performance targets which the National Heritage Council will endeavour to achieve given the resources made available in the budget for 2016/17

Mr. Uzwelithini Mathebula

Chief Financial Officer

Signature: _____



Adv. Sonwabile Mancotywa

Chief Executive Officer

Signature: _____



Dr. Marcus Balintulo

Council Chairperson

Signature: _____



LIST OF ABBREVIATIONS

| | |
|--------|---|
| ALHP | African Liberation Heritage Programme |
| APP | Annual Performance Plan |
| CEO | Chief Executive Officer |
| CFO | Chief Financial Officer |
| DAC | Department of Arts and Culture |
| GDP | Gross Domestic Product |
| IT | Information Technology |
| LHR | Liberation Heritage Route |
| MEXCO | Management Executive Committee |
| MOA | Memorandum of Agreement |
| MOU | Memorandum of Understanding |
| MTEF | Medium Term Expenditure Framework |
| MTSF | Medium Term Strategic Framework |
| NHC | National Heritage Council |
| NLDTF | National Lotteries Distribution Trust Fund |
| PESTEL | Political, Economic, Social, Technological, Environmental and Legal |
| SAHRA | South African Heritage Resources Agency |
| SWOT | Strength, Weaknesses, Opportunities and Threats |
| UNESCO | United Nations Education, Scientific and Cultural Organisation |

VISION

A nation proud of its African heritage.

MISSION

Through development, promotion and preservation of heritage for sustainable development and transformation, we will know that we are achieving this when South Africans experience the following:

- They are knowledgeable about heritage;
- Have access to their heritage;
- Benefit from heritage;
- Utilise heritage in their lives; and
- Behave in a way that demonstrates their pride in heritage

CORE VALUES

Within Ubuntu philosophy, the following values will guide the programmes, actions and behaviours of Council Members and employees of the NHC and all those who are acting in its name:

- Batho Pele;
- Integrity;
- Professionalism;
- Equity; and
- Creativity

PART A: STRATEGIC OVERVIEW

1. CEO'S OVERVIEW

This 2016/17 Annual Performance Plan (APP) is premised on the NHC Act, No. 11 of 1999 which clearly sets out the mandate and objective of the NHC as well as government priorities outlined in the Medium Term Strategic Framework (MTSF). It is also derived from the Council Business Plan developed to identify a set of priorities for the NHC in the short to medium term. It sets out what the NHC seeks to achieve in the 2016/17 financial year. This APP seeks to respond to the strategic objectives and to achieve the outcomes identified during the planning process led by the NHC Council.

The NHC will continue supporting our flagship programmes which raise the profile of heritage and position the NHC and its stakeholders and partners at a pedestal.

The agenda to transform the heritage sector will continue unabated, new initiatives will be undertaken to forge partnerships with other entities to place heritage at its rightful place in our society.

The NHC will seek to better position itself as leader and driver in the creation of a shared national identity going forward; Research and knowledge production are central to the work of the NHC and as such the NHC strives to be a knowledge hub and a first point of call on heritage matters and we shall continue to fund and publish research on heritage in general and specifically on liberation heritage.

We shall also be paying more attention to the commercialisation of NHC products and services to improve our sustainability, self-sufficiency and resource base as well as to generally improve access to these products.

In the 2016/17 the NHC will also finalise the Organisational Review that commenced in the 2015/16 financial year.

The amendments to the National Lotteries Distribution Trust Fund Regulations (NLDTF) which exclude the funding of entities established by legislation will necessitate the sourcing of alternative funding for some of our large projects which will inevitably delay their roll out.

Under the leadership of the NHC Council, the coming financial year will also see the improvement of synergies and collaboration with sister institutions that are also represented in the NHC Council i.e. Ditsong Museums of South Africa, Iziko Museums of Cape Town, and the South African Heritage Resources Agency (SAHRA).

The strength of our governance and administrative systems continues to increase; the NHC received eleven consecutive unqualified audit opinions, and we thus continue to strive to achieve a clean audit opinion. The NHC is stable and well positioned to deliver on its mandate and meet the expectations of our stakeholders and society in general.



We will also be expanding our horizon to previously under-serviced forms of heritage like mining heritage, bringing into spotlight an industry that is intricately linked to the evolution and the socio economic character of our nation. Research and commemoration of disasters in the mining sector as well documentation of the migrant labour system are some of the areas we will be looking into.

The 2016/17 Annual Performance Plans identifies the performance indicators and targets that the NHC will seek to achieve in the upcoming budget year; these performance indicators and targets will be aligned with Operational Plans, budget, Quarterly and the Annual Report for monitoring of and reporting on our performance.

The NHC will play its part and contribute to the national imperatives of nation building through our programmes, support and funding of community heritage projects.

We look forward to working with the nation and all our stakeholders towards realising the vision of ***“A nation proud of its African heritage”***.



Adv. Sonwabile Mancotywa
Chief Executive Officer

2. UPDATED SITUATIONAL ANALYSIS

2.1. Performance delivery environment

The success and visibility of the NHC have led to an increased demand for partnerships, support of community heritage events and presentations to various fora. The limited resources due to the negative economic and fiscal climate have impacted on the NHC's ability to match the demand for its products and services.

The NHC intends to work more closely with its partners and stakeholders, particularly the DAC and its agencies to achieve milestones on the policy development mandate of the NHC and towards the world heritage listing of the LHR, the national focus of the LHR and the Intergovernmental Relations.

Furthermore, the NHC will heed the direction set by the Revised White Paper on Arts, Culture and Heritage, if and when approved, and has geared itself to contribute meaningfully in the attainment of the goals and outcomes set out in the White Paper and by the DAC.

The NHC cannot solely depend on the DAC grant to pursue and fulfil its mandate and has initiated a fundraising and resource mobilisation strategy to leverage on its strong brand and networks and enter into partnerships. The review of funding criteria by the NLDTF is leading to exclusion of public entities like the NHC from qualifying for funding presents a challenge given the limited funding received from the government grant and the disproportionately high demand for funding and support from the heritage sector and public at large.

2.2. Organisational environment

The NHC is organisationally stable despite some vacancies that are gradually filled on an ongoing basis subject to the availability of funds. The positions in the 2015/2016 NHC Structure are as follows:

| Total number of positions (funded and unfunded) | Funded Positions | Unfunded positions | Vacancy rate for funded and unfunded positions | Vacancy rate funded positions |
|---|------------------|--------------------|--|-------------------------------|
| 50 | 29 | 21 | 42% | 14% |

The Council appointed in December 2014 continues to provide leadership and support and Council Committees have been reconfigured to reflect the posture of the NHC going forward.

There will be improvement of internal operations particularly communications and records keeping, among others through the establishment of the intranet, and commencement with the establishment of the registry.

In The SWOT and PESTEL Analyses the following were noted about the NHC:

Strengths

- a. The organisation is well known in the sector
- b. Specialised knowledge base on heritage
- c. Solid skills base on intangible heritage
- d. Responsiveness to sector demands
- e. Strong network of partnerships
- f. Strong mandate
- g. Internal stability
- h. Thought leadership and the first point of call on heritage matters
- i. Direct contact with clients
- j. Quick turnaround times

Weaknesses

- a. Limited resources:
 - o Human & financial resources
- b. Inadequate formalisation of integrated knowledge management system
- c. Limited capacity to adequately pursue and respond to emerging opportunities and burning issues in the sector

Opportunities

- a. Maximize partnerships with existing partners to limit constraints with our resources (funding)
- b. Digital migration is an opportunity for promotion of heritage content
- c. Digitization of heritage content
- d. Generating revenue from realizing IP
- e. World heritage management (coordination, ongoing management and getting more sites nominated)
- f. Approval of the LHR Business Plan by Cabinet. Potential investment and development of sites, to enable job creation etc Liberation and national heritage to be defined and the communities educated about liberation as well as national heritage
- g. Review of the DAC Draft White paper could present an opportunity for further growth of the organization

Threats

- a. Funding threat due to National Treasury fiscal squeeze and poor GDP growth over the next 7-20 years
- b. Globalisation and the various challenges emanating from it, including erosion of South African culture and heritage
- c. Shifts in the cultural landscape result in servicing unbudgeted activities
- d. Delays in the review of the Draft White Paper on Arts, Culture and Heritage could present challenges due to the uncertainty

Key success factors

The following elements, linked to the strategic thrusts are critical for the NHC strategy to be successful:

- Successful implementation of plans
- Resource mobilisation
- Strategic focus
- Cost containment and efficiency
- Creativity e.g. Liberation Heritage Route
- Mutually beneficial partnerships e.g. Home of Legends
- Maintenance of a solid skills resource base
- Appropriate configuration
- Repositioning of the NHC

Through this APP the NHC will, in the 2016/17 financial year, strive to leverage on its strengths and opportunities while on the other hand endeavouring to limit the impact of weaknesses and potential threats. Among others, ongoing environmental scanning, risk management and periodic reviews will enable the organisation to make the necessary adjustments to stay on course and achieve its objectives in the year ahead and the medium term.

3. POLICY AND LEGISLATIVE REVIEW

The DAC initiated a review of the White Paper on Arts and Culture in 2013. The process is still in progress and there are no envisaged legislative and or mandate changes in the 2016/17 financial year.

4. OVERVIEW OF THE 2016 - 2019 BUDGET AND MTEF ESTIMATES

| Statement of financial performance | 2012/13 | | 2013/14 | | 2014/15 | | 2015/16 | | 2012/13-2015/16 | | Medium-term estimate | | | Average growth rate (%) | | | |
|--------------------------------------|---------------|-----------------|---------------|-----------------|---------------|-----------------|-----------------|------------------|--------------------------|-------------------------|--------------------------------|---------------|---------------|-------------------------|-------------------|-------------------------|---------------|
| | Budget | Audited Outcome | Budget | Audited Outcome | Budget | Audited outcome | Budget estimate | Revised estimate | Outcome/Budget Average % | Average growth rate (%) | Expenditure/total: Average (%) | 2016/17 | 2017/18 | 2018/19 | 2016/17 - 2018/19 | Average growth rate (%) | |
| Revenue | | | | | | | | | | | | | | | | | |
| Tax revenue | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| Non-tax revenue | 676 | 507 | 9 123 | 165 | 1 229 | 233 | - | - | 4.6% | -100.0% | 0.4% | - | - | - | - | - | - |
| Other non-tax revenue | 676 | 507 | 9 123 | 165 | 1 229 | 233 | - | - | 4.6% | -100.0% | 0.4% | - | - | - | - | - | - |
| Transfers received | 50 063 | 51 571 | 2 714 | 55 573 | 55 917 | 65 605 | 58 475 | 58 475 | 95.4% | 4.3% | 99.6% | 61 574 | 64 653 | 68 403 | 5.4% | 5.4% | 100.0% |
| Total revenue | 50 739 | 52 078 | 61 837 | 55 738 | 57 146 | 65,838 | 58 475 | 58 475 | 100.0% | 3.9% | 100.0% | 61 574 | 64 653 | 68 403 | 5.4% | 5.4% | 100.0% |
| Expenses | | | | | | | | | | | | | | | | | |
| Current expenses | 50 739 | 54 306 | 61 837 | 74 984 | 57 146 | 57 934 | 58 475 | 58 475 | 100.0% | 2.5% | 100.0% | 61 574 | 64 653 | 68,403 | 5.4% | 5.4% | 100.0% |
| Compensation of employees | 16 469 | 18 241 | 20 074 | 22 500 | 22 692 | 24 847 | 32 572 | 25 636 | 40.1% | 12.0% | 37.6% | 26 918 | 28 264 | 29 677 | 5.0% | 5.0% | 43.7% |
| Goods and services | 33 376 | 35 109 | 40 846 | 51 235 | 33 723 | 31 964 | 24 525 | 31 461 | 58.2% | -3.6% | 60.5% | 33 209 | 34 870 | 37 131 | 5.7% | 5.7% | 54.0% |
| Depreciation | 664 | 851 | 623 | 963 | 477 | 823 | 1 063 | 1 063 | 1.2% | 7.7% | 1.5% | 1 116 | 1 172 | 1 231 | 5.0% | 5.0% | 1.8% |
| Interest, dividends and rent on land | 230 | 105 | 294 | 286 | 254 | 96 | 315 | 315 | 0.5% | 44.2% | 0.4% | 331 | 347 | 365 | 5.0% | 5.0% | 0.5% |
| Total expenses | 50 739 | 54 306 | 61 837 | 74 948 | 57 146 | 57 934 | 58 475 | 58 475 | 100.0% | 2.5% | 100.0% | 61 574 | 64 653 | 68 403 | 5.4% | 5.4% | 100.0% |
| Surplus/(Deficit) | - | (2 228) | - | (19 246) | - | 7 904 | - | - | -100.0% | - | - | - | - | - | - | - | - |

4.1. Relating expenditure trends to strategic outcome oriented goals

The above budget will contribute towards achieving the strategic objectives and desired Strategic outcome orientated goals as outlined in the Medium Term Strategic Framework as follows:

| 1 | 2 | 3 | 4 | 5 | 6 |
|---|---------------------------------------|---|---|--|--|
| An internationally recognised heritage organisation on the African Continent. | Mainstreaming of Liberation Heritage. | Increased knowledge and awareness about South Africa's heritage by South Africa's citizens. | The leading institution on intangible heritage in South Africa and support for tangible heritage. | Contribution to social cohesion and nation building. | An effective, efficient and sustainable institution. |

PART B: PROGRAMME AND SUB PROGRAMME PLANS

5. PROGRAMME SUMMARY

| VISION | MISSION | PROG NO. | PROGRAMME NAME | PROGRAMME AIM | SUB PROGRAMME |
|--|--|----------|--------------------|--|---------------------|
| A nation proud of its African heritage | Through development, promotion and preservation of heritage for sustainable development and transformation | 1. | Administration | To provide strategic leadership and enable the NHC performance through the delivery of support services. | Office of the CEO |
| | | | | | Communications |
| | | | | | Company Secretariat |
| | | 2. | Heritage Promotion | To meet NHC customer expectations through the delivery of NHC products and services | Corporate Services |
| | | | | | Heritage |
| | | | | | Funding |
| Liberation Heritage Route | | | | | |

6. PROGRAMME 1: ADMINISTRATION

The aim of the programme is to provide strategic leadership and enable the NHC performance through the delivery of support services. The programme is made up of the following sub programmes: Office of the CEO, Communications, Company Secretariat and Corporate Services.

6.1. Programme 1: Strategic objectives and annual targets

| Strategic Objective | | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit |
|---------------------|---------------------------------------|--|--|--|---|---|---|---|----------------------|
| | | 2013-2014 | 2014-15 | 2015-16 | | 2016-17 | 2017-18 | 2018-19 | |
| 1.1 | Provide Strategic Management Services | Organisation wide adherence to compliance measures implemented | Organisation wide adherence to compliance measures implemented | Organisation wide adherence to compliance measures implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | Strategic Management |
| 1.2 | Provide legal services to the NHC | Ten working days | Ten working days | Requests responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | Secretariat |

Corporate Services: Finance, Supply Chain Management, Information Communication Technology and Human Resources Management

| Strategic Objective | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit |
|--|---|---|---|--|--|--|--|--------------------|
| | 2013-2014 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 1.3 Promote the NHC and its programmes | 1 x Heritage information booklet | 2x Heritage Magazine and 1x Heritage information booklet published | 2x Heritage Magazine and 1x Heritage information booklet published | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Communications |
| | 4x Media engagements conducted (media coordination for projects e.g. briefings) | 4x Media engagements conducted (media coordination for projects e.g. briefings) | 4x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | Communications |
| | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | Communications |
| | No target | No target | No target | 1x advertising and branding campaigns conducted | Communications |
| 1.4 Development of a highly capable organisational personnel | 50% of staff trained | 50% of staff trained | 15 training and developmental courses provided to employees | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | Corporate Services |
| | 90% retention | 95% retention | 10 out of 14 managers retained | 80% staff retention of staff in funded posts | 80% staff retention of staff in funded posts | 80% staff retention of staff in funded posts | 80% staff retention of staff in funded posts | Corporate Services |
| | 1 initiative to promote employee wellness | 1 initiative to promote employee wellness | 1 initiative to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | Corporate Services |
| | 100% Bi-annual performance reviews for all employees | 100% Bi-annual performance reviews for all employees | 100% Bi-annual performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | Corporate Services |

| Strategic Objective | | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit |
|---------------------|--|--|--|--|---|---|---|---|--------------------|
| | | 2013-2014 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 1.5 | Financial and Procurement Support provided | 2012/2013 Annual statutory financial information provided within prescribed time (1) (New) | 2013/2014 Annual statutory financial information provided within prescribed time (New) | 2014/2015 Annual statutory financial information provided within prescribed time (1) (New) | 2015/2016 Annual statutory financial information provided within prescribed time | 2016/2017 Annual statutory financial information provided within prescribed time | 2017/2018 Annual statutory financial information provided within prescribed time | 2018/2019 Annual statutory financial information provided within prescribed time | Corporate Services |
| | | Respond to audit issues received annually (100%) (New) | Respond to audit issues received annually (100%) (New) | Resolve audit issues received annually (100%) | 100% audit issues raised resolved annually | Corporate Services |
| | | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome | Corporate Services |
| 1.6 | Provide ICT support | IT client satisfaction survey rating achieved (60%) (New) | IT client satisfaction survey rating achieved (60%) (New) | IT client satisfaction survey rating achieved (60%) (New) | IT client satisfaction survey rating achieved (65%) | IT client satisfaction survey rating achieved (70%) | IT client satisfaction survey rating achieved (75%) | IT client satisfaction survey rating achieved (80%) | Corporate Services |
| | | Average response time from IT call logged until responded to (3 hours) (New) | Average response time from IT call logged until responded to (3 hours) (New) | Average response time from IT call logged until responded to (3 hours) (New) | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | Corporate Services |
| | | Local Area Network availability (95%) (New) | Local Area Network availability (95%) (New) | Local Area Network availability (95%) (New) | Local Area Network availability (95%) | Corporate Services |
| | | No target | No target | No target | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Corporate Services |

6.2. PROGRAMME 1: PERFORMANCE INDICATORS AND ANNUAL TARGETS FOR 2016/17

| Strategic Objective | Indicator | 3 Year Target | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | |
|---------------------|---------------------------------------|--|--|---|---|---|--|--|--|--|
| | | | 2013-2014 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 1.1 | Provide Strategic Management Services | Dates by which compliance documents are submitted to the DAC | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance measures implemented | Organisation wide adherence to compliance measures implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | Organisation wide adherence to compliance dates implemented | |
| 1.2 | Provide legal services to the NHC | Percentage of legal services requests responded to within ten working days | 100% of legal services requested to be responded to within ten working days | Ten working days | Ten working days | Requests responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days |
| 1.3 | Promote the NHC and its programmes | Number of heritage publications produced and distributed | 6x Heritage Magazines published | 1x Heritage information booklet | 2x Heritage Magazine and 1x Heritage information booklet published | 2x Heritage Magazine and 1x Heritage information booklet published | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) |
| | | Number of media engagements conducted | 36x Media engagements conducted (media coordination for projects e.g. briefings) | 4x Media engagements conducted (media coordination for projects e.g. briefings) | 4x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) |
| | | Number of multi-media campaigns conducted and monitored | 30 multimedia awareness campaigns conducted about NHC key projects | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 12x content updates on website, social media, office reception areas, intranet, telephone voice overs, email signatures | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects |
| | | Number of advertising campaigns conducted | 3 advertising and branding campaigns conducted | No target | No target | No target | 1x advertising and branding campaigns conducted |

| Strategic Objective | Indicator | 3 Year Target | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | |
|--|---|---|--|--|--|--|--|--|--|--|
| | | | 2013-2014 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 1.4 Development of a highly capable organisational personnel | Level of implementation of the Approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 50% of staff trained | 50% of staff trained | 15 training and developmental courses provided to employees | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | |
| | Number of staff retained in funded positions | 80% staff retention in funded posts | 90% retention | 95% retention | 10 out of 14 managers retained | 80% staff retention in funded posts | |
| | Number of initiatives to promote employee wellness | 2 initiatives to promote employee wellness per annum | 1 initiative to promote employee wellness | 1 initiative to promote employee wellness | 1 initiative to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | 2 initiatives to promote employee wellness implemented | |
| | Percentage of performance reviews conducted for all employees Quarterly. | 100% Quarterly performance reviews for all employees conducted | Bi-annual performance reviews for all employees | 100% Bi-annual performance reviews for all employees conducted | 100% Bi-annual performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | |
| 1.5 Financial and Procurement Support provided | Annual statutory financial information provided within prescribed time | Annual statutory financial information provided within prescribed time | 2012/2013 Annual statutory financial information provided within prescribed time (New) | 2013/2014 Annual statutory financial information provided within prescribed time (1) (New) | 2014/2015 Annual statutory financial information provided within prescribed time | 2015/2016 Annual statutory financial information provided within prescribed time | 2016/2017 Annual statutory financial information provided within prescribed time | 2017/2018 Annual statutory financial information provided within prescribed time | 2018/2019 Annual statutory financial information provided within prescribed time | |
| | Level of audit issues resolved annually | Respond to audit issues received annually (100%) (New) | Respond to audit issues received annually (100%) | Respond to audit issues received annually (100%) (New) | Resolve audit issues received annually (100%) | 100% audit issues resolved annually | |
| | Audit opinion (unqualified) (Clean) | Clean Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Unqualified Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome | |

| Strategic Objective | Indicator | 3 Year Target | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | |
|-------------------------|--|--|--|--|--|---|---|---|---|
| | | | 2013-2014 | 2014-15 | 2015-16 | | 2016-17 | 2017-18 | 2018-19 |
| 1.6 Provide ICT support | Level of IT client satisfaction survey rating achieved (%) | IT client satisfaction survey rating achieved (80%) (New) | IT client satisfaction survey rating achieved (60%) (New) | IT client satisfaction survey rating achieved (60%) (New) | IT client satisfaction survey rating achieved (60%) | IT client satisfaction survey rating achieved (65%) | IT client satisfaction survey rating achieved (70%) | IT client satisfaction survey rating achieved (75%) | IT client satisfaction survey rating achieved (80%) |
| | Level of logged calls responded to within 2 hours average response time from IT call logged until responded to | Average response time from IT call logged until responded to (3 hours) | Average response time from IT call logged until responded to (3 hours) (New) | Average response time from IT call logged until responded to (3 hours) (New) | Average response time from IT call logged until responded to (3 hours) | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to |
| | Level of Local Area Network availability (%) | Local Area Network availability (95%) | Local Area Network availability (95%) (New) | Local Area Network availability (95%) (New) | Local Area Network availability (95%) | Local Area Network availability (95%) | Local Area Network availability (95%) | Local Area Network availability (95%) | Local Area Network availability (95%) |
| | Disaster Recovery & Business Continuity Plan reviewed and tested | Disaster Recovery & Business Continuity Plan reviewed and tested | No target | No target | No target | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested |

6.3. Programme 1: Strategic Goals, Objectives, Indicators and Annual Targets

| Strategic Outcome Oriented Goals | No. | Strategic Objective | Indicator | Medium-term targets | | | |
|--|-----|---------------------------------------|--|--|--|--|--|
| | | | | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| An effective, efficient and sustainable institution. | 1.1 | Provide Strategic Management Services | Dates by which compliance documents are submitted to the DAC | Organisation wide adherence to compliance dates implemented |
| An effective, efficient and sustainable institution. | 1.2 | Provide legal services to the NHC | Percentage of legal services requests responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days |
| An effective, efficient and sustainable institution. | 1.3 | Promote the NHC and its programmes | Number of publications produced and distributed | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Heritage Magazine published and distributed (2x issues of 5000 copies each) |
| | | | Number of media engagements conducted | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) | 12x Media engagements conducted (media coordination for projects e.g. briefings) |
| | | | Number of multi-media campaigns conducted and monitored | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects | 10 multimedia awareness campaigns conducted about NHC key projects |
| | | | Number of advertising and branding campaigns conducted | 1x advertising and branding campaigns conducted | 1x advertising and branding campaigns conducted | 1x advertising and branding campaigns conducted | 1x advertising and branding campaigns conducted |

| Strategic Outcome Oriented Goals | No. | Strategic Objective | Indicator | Medium-term targets | | | |
|--|-----|--|---|--|--|--|--|
| | | | | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| An effective, efficient and sustainable institution. | 1.4 | Development of highly capable organisational personnel | Level of implementation of the Approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan in critical skills |
| | | | Number of staff retained in funded positions | 80% staff retention in funded posts |
| | | | Number of initiatives to promote employee wellness | 2 initiatives to promote employee wellness implemented |
| | | | Percentage of performance reviews conducted for all employees Quarterly. | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted |
| An effective, efficient and sustainable institution. | 1.5 | Financial and Procurement Support provided | Annual statutory financial information provided within prescribed time | 2015/2016 Annual statutory financial information provided within prescribed time | 2016/2017 Annual statutory financial information provided within prescribed time | 2017/2018 Annual statutory financial information provided within prescribed time | 2018/2019 Annual statutory financial information provided within prescribed time |
| | | | Level of audit issues resolved annually | 100% audit issues raised resolved annually | 100% audit issues raised resolved annually | 100% audit issues raised resolved annually | 100% audit issues raised resolved annually |
| | | | Audit opinion (Unqualified)/ (Clean) | Unqualified Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome | Clean Audit Opinion Outcome |

| Strategic Outcome Oriented Goals | No. | Strategic Objective | Indicator | Medium-term targets | | | |
|--|-----|---------------------|--|---|---|---|---|
| | | | | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| An effective, efficient and sustainable institution. | 1.6 | Provide ICT support | IT client satisfaction survey rating achieved (%) | IT client satisfaction survey rating achieved (65%) | IT client satisfaction survey rating achieved (70%) | IT client satisfaction survey rating achieved (75%) | IT client satisfaction survey rating achieved (80%) |
| | | | Average response time from IT call logged until responded to (hours) | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to |
| | | | Local Area Network availability (%) | Local Area Network availability (95%) |
| | | | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested | Disaster recovery & business continuity plan reviewed and tested |

6.4. Programme 1: Quarterly Targets for 2016/17

| Indicator | Expected Performance Levels | Reporting Frequency | Quarterly Targets | | | | Means of verification | |
|-----------|---|---|-------------------|---|---|---|---|--|
| | 2016-17 | | 2016/17 Q1 | 2016/17 Q2 | 2016/17 Q3 | 2016/17 Q4 | | |
| 1.1 | Dates by which compliance documents are submitted to the DAC | Organisation wide adherence to compliance dates implemented | Quarterly | Organisation wide adherence to compliance dates implemented | Quarterly Compliance Report |
| 1.2 | Percentage of legal services requests responded to within ten working days | 100% of legal services requested to be responded to within ten working days | Quarterly | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | 100% of legal services requested to be responded to within ten working days | Register/ Systems generated report |
| 1.3 | Number of heritage publications produced and distributed | Heritage Magazine published and distributed (2x issues of 5000 copies each) | Quarterly | No target set | 5000 Heritage Magazine copies of Issue 3 produced | No target set | 5000 Heritage Magazine copies of Issue 4 produced | Heritage Magazine hard & soft copy |
| | Number of media engagements conducted | 12 x Media engagements conducted (media coordination for projects e.g. briefings) | Quarterly | 3x media engagement conducted | 4x media engagement conducted | 3x media engagement conducted | 2x media engagement conducted | Media reports |
| | Number of multi-media campaigns conducted and monitored | 10 multimedia awareness campaigns conducted about NHC key projects | Quarterly | 3x multimedia awareness campaigns conducted on communication platforms | 3x multimedia awareness campaigns conducted on communication platforms | 3x multimedia awareness campaigns conducted on communication platforms | 1x multimedia awareness campaigns conducted on communication platforms | Multimedia management report |
| | Number of advertising and branding campaigns conducted | 1 x advertising and branding campaign conducted | Annually | No target set | 1 x advertising and branding campaign conducted | No target set | No target set | Copies of adverts |
| 1.4 | Level of implementation of the Approved Annual Training Plan in critical skills | 100% implementation of the approved Annual Training Plan on critical skills | Quarterly | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | 100% implementation of the approved Annual Training Plan on critical skills | Annual Work Skills Plan, Quarterly Training Reports and Certificates/ Attendance Registers |
| | Level of staff retained in funded positions | 80% staff retention in funded positions | Quarterly | 80% staff retention in funded posts | Quarterly Staff Complement Listing |
| | Number of initiatives to promote employee wellness | 2 initiatives to promote employee wellness implemented | Quarterly | No target set | 1 initiative to promote employee wellness implemented | No target set | 1 initiative to promote employee wellness implemented | Employee Wellness Report |
| | Percentage of performance reviews conducted for all employees Quarterly | 100% Quarterly performance reviews for all employees conducted | Quarterly | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | 100% Quarterly performance reviews for all employees conducted | Completed Performance Reviews |

| Indicator | Expected Performance Levels | Reporting Frequency | Quarterly Targets | | | | Means of verification |
|-----------|--|---------------------|---|---|---|---|---|
| | 2016-17 | | 2016/17 Q1 | 2016/17 Q2 | 2016/17 Q3 | 2016/17 Q4 | |
| 1.5 | Annual statutory financial information provided within prescribed time | Annually | 2015/16 Annual financial statements produced | No target set | No target set | No target set | Approved Annual Financial Statements |
| | Level of audit issues resolved annually (%) | Quarterly | 20% audit issues raised resolved | 50% audit issues raised resolved | 70% audit issues raised resolved | 100% audit issues raised resolved | Audit Outcomes Implementation Plan |
| | Unqualified audit opinion (Unqualified) (Clean) | Annually | No target set | Unqualified audit outcome achieved | No target set | No target set | Audit Report |
| 1.6 | Level of IT Client Satisfaction Survey rating achieved (%) | Annually | No target set | No target set | No target set | IT Client Satisfaction Survey conducted | IT Client Satisfaction Survey Report |
| | Average response time from IT call logged until responded to (hours) | Quarterly | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | 100% of logged calls responded to within 2 hours average response time from IT call logged until responded to | Register |
| | Level Local Area Network availability (%) | Monthly | 95% network availability achieved | IT Monthly Report |
| | Disaster recovery & business continuity plan reviewed and tested | Quarterly | No target | No target | Disaster recovery & business continuity plan reviewed | Disaster recovery & business continuity plan tested | Reviewed disaster recovery & business continuity plan and test report |

7. PROGRAMME 2: HERITAGE PROMOTION

The aim of the heritage Promotion programme is to meet NHC customer expectations through the delivery of NHC products and services.

The programme is made up of the following sub – programmes: Heritage, Funding and the Liberation Heritage Route

7.1. Programme 2: Strategic objectives and annual targets

| Strategic Objective | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit | |
|---|--|--|--|---|---|---|---|---|---------------------|
| | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | | |
| 2.1 Implemented exchange programmes per year | 1 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | Heritage |
| | 0 exchange programme participated in annually | 1 exchange programme participated in annually | 1 exchange programme participated in annually | 1 exchange programme participated in annually | 1 exchange programme participated in annually | 1 exchange programme participated in annually | 2 exchange programme participated in annually | 2 exchange programmes participated in annually | Heritage |
| 2.2 International multilateral engagements | 1 world heritage project that the NHC participates in annually | 1 world heritage project that the NHC participates in annually | 1 world heritage project that the NHC participates in annually | 2 world heritage project that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | LHR |
| 2.3 Research outputs produced | 0 publication produced annually | 1 publication produced annually | 1 publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually | Heritage |
| | 4 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | Heritage |
| 2.4 Respond to enquiries on heritage submitted to the NHC | No target | No target | 7 days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | Core Business |
| 2.5 Impact study report concluded | No target | No target | No target | Impact study report concluded by 31 March 2017 | Impact study report concluded by 31 March 2018 | No subsequent targets | No subsequent targets | No subsequent targets | Impact Study Report |
| 2.6 Heritage articles contributed to accredited journal | No target | No target | 31-Mar-16 | Two articles contributed to accredited journals | Heritage |
| 2.7 Establish a Heritage Institute | No target | No target | No target | Heritage Institute framework approved by 31 March 2017 | Heritage institute establishment plan approved | Heritage institute establishment plan implemented | Heritage institute establishment plan implemented | Heritage institute establishment plan implemented | Heritage |

| Strategic Objective | | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit |
|---------------------|--|---|---|---|---|---|---|---|------------------|
| | | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 2.8 | Number of nation building initiatives implemented and funded | 1 Cultural Expressions hosted and supported | 1 Cultural Expression hosted and supported | 1 Cultural Expression hosted and supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | Heritage |
| | | 2 heritage education initiatives supported | Heritage |
| 2.9 | Community heritage projects supported and funded | 4 commemorative events supported | 2 Commemorative events supported | 3 Commemorative events supported | 3 Commemorative events supported | LHR |
| | | 2 repatriations supported | 2 repatriations supported | 2 repatriations supported | 3 repatriations supported | 3 repatriations supported | 4 repatriations supported | 4 repatriations supported | LHR |
| | | 20 community heritage projects supported and funded | 0 community heritage projects supported and funded | 20 community heritage projects supported and funded | 21 community heritage projects supported and funded | 23 community heritage projects supported and funded | 25 community heritage projects supported and funded | 25 community heritage projects supported and funded | Funding |
| 2.10 | Diversity of funding streams | 31% additional funds raised outside the DAC grant | 5.74% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | Funding |

| Strategic Objective | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | Responsible Unit |
|---|--|---|---|--|---|---|---|------------------|
| | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 2.11 Initiatives and programmes to mainstream liberation heritage | 0 | 2 sites submitted for declaration and 1 assisted to management plan, MOA with RIM, develop consolidated dossier | Production of Dossier | 1 milestone achieved (Expanded nomination dossier produced and submitted to DAC and DEA) | 1 milestone achieved (Nomination dossier evaluation process supported) | 1 milestone achieved (Nomination dossier evaluation report implemented) | 1 milestone achieved (Draft second phase nomination dossier on LHR property produced) | LHR |
| | 0 | 1 submission | 1 submission | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | LHR |
| | 0% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | 20% of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | LHR |
| | 5 presentations | 3 presentations | 4 presentations | 5 presentations | 5 presentations | 5 presentations | 5 presentations | LHR |
| | 1 partnership | 1 partnership | 2 partnerships | 2 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in | LHR |
| | 0 Intergovernmental Arrangements participated in | 2 Intergovernmental Arrangements participated in | 4 Intergovernmental Arrangements participated in | 5 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | LHR |
| | | | | | | | | |

7.2. Programme 2: Programme performance indicators and annual targets

| Strategic Objective | Indicator | 3 Year Target | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | | |
|---------------------|--|---|---|--|--|--|---|---|---|---|
| | | | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | |
| 2.1 | Implemented exchange programmes per year | Number of draft agreements issued to different bodies | 7 formal agreements signed with different bodies | 1 draft agreement issued to a different body | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | |
| | | Number of exchange programmes participated in per year | 4 exchange programmes participated in per year | 0 exchange programme participated in per year | 1 exchange programme participated in per year | 1 exchange programme participated in per year | 1 exchange programme participated in per year | 1 exchange programmes participated in per year | 2 exchange programme participated in per year | 2 exchange programmes participated in per year |
| 2.2 | International multilateral engagements | Number of world heritage projects that the NHC participates in annually | 7 world heritage projects that the NHC participates in | 1 world heritage project that the NHC participates in annually | 1 world heritage project that the NHC participates in annually | 1 world heritage project that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually |
| 2.3 | Research outputs produced | Number of academic publications produced per year | 3 publication produced | 0 academic publication produced per year | 1 academic publication produced per year | 1 academic publication produced per year | 1 academic publication produced per year | 1 academic publication produced per year | 1 academic publication produced per year | 1 academic publication produced per year |
| | | Number of Position Papers produced per year | 6 Position Papers produced | 4 Position Papers produced per year | 2 Position Papers produced per year | 2 Position Papers produced per year | 2 Position Papers produced per year | 2 Position Papers produced per year | 2 Position Papers produced per year | 2 Position Papers produced per year |
| 2.4 | Response to enquiries on heritage submitted to the NHC | Percentage of written queries submitted to the NHC responded to within 7 days | 100% of written queries submitted to the NHC responded to within 7 days | No target | No target | 7 days | 100% of written queries submitted to the NHC responded to within 7 days | 100% of written queries submitted to the NHC responded to within 7 days | 100% of written queries submitted to the NHC responded to within 7 days | 100% of written queries submitted to the NHC responded to within 7 days |
| 2.5 | Impact study concluded | Date by which Draft Impact Study Report is concluded | Draft Impact study Report concluded by 31 March 2017 | No target | No target | No target | Draft Impact study Report concluded by 31 March 2017 | Impact Study concluded by 31 March 2018 | No subsequent targets | No subsequent targets |
| 2.6 | Heritage articles contributed to accredited journals | Number of articles contributed to accredited journals | 6 articles contributed to accredited journals | No target | No target | No target | Two articles contributed to accredited journals |
| 2.7 | Establishment of a Heritage Institute | Date by which a heritage institute framework is approved | Heritage Institute framework approved by 31 March 2017 | No target | No target | No target | Heritage Institute framework approved by 31 March 2017 | Heritage institute establishment plan approved | Heritage institute establishment plan implemented | Heritage institute establishment plan implemented |
| 2.8 | Number of nation building initiatives implemented and funded | Number of Cultural Expressions supported | 9 Cultural Expressions supported | 1 cultural expression supported | 1 cultural expression supported | 3 cultural expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported |
| | | Number of heritage education initiatives supported | 6 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported |

| Strategic Objective | Indicator | 3 Year Target | Baseline | | | Expected Performance Levels | Medium-term targets (MTEF) | | |
|---|--|---|--|---|---|--|---|---|---|
| | | | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| 2.9 Community heritage projects supported and funded | Number of Commemorative events supported | 7 Commemorative events supported | 4 Commemorative events supported | 2 Commemorative events supported | 2 commemorative events supported | 2 Commemorative events supported | 2 Commemorative events supported | 3 Commemorative events supported | 3 Commemorative events supported |
| | Number of repatriations supported | 10 repatriations supported | 2 repatriations supported | 2 repatriations supported | 2 repatriations supported | 3 repatriations supported | 3 repatriations supported | 4 repatriations supported | 4 repatriations supported |
| | Number of funded heritage projects | 69 community heritage projects funded | 20 community heritage projects funded | 0 community heritage projects funded | 20 community heritage projects funded | 21 community heritage projects funded | 23 community heritage projects funded | 25 community heritage projects funded | 25 community heritage projects funded |
| 2.10 Diversity of funding streams | Level of additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant per annum | 31% additional funds raised outside the DAC grant | 5.74% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant |
| 2.11 Initiatives and programmes to mainstream liberation heritage | Number of milestones in the management of LHR World Heritage programme | 3 milestones achieved | 0 | 2 sites submitted for declaration and 1 assisted to management plan, MOA with RIM, develop consolidated dossier | Production of Dossier | 1 milestone achieved (expanded nomination dossier produced and submitted to DAC & DEA) | 1 milestone achieved (nomination dossier evaluation process supported) | 1 milestone achieved (nomination dossier evaluation report implemented) | 1 milestone achieved (Draft second phase nomination dossier on LHR property produced) |
| | Number of submissions on the African Liberation Heritage Programme | 6 submissions on the African Liberation Heritage Programme | 0 submissions on the African Liberation Heritage Programme | 1 submission on the African Liberation Heritage Programme | 1 submission on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme |
| | Percentage of identified sites on the revised tentative list researched annually | 70% of identified sites on the revised tentative list researched annually | 0% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | 20% of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually |
| | Number of Presentations made on the liberation heritage | 15 Presentations made on the liberation heritage | 5 Presentations made on the liberation heritage | 3 Presentations made on the liberation heritage | 4 Presentations made on the liberation heritage | 5 Presentations made on the liberation heritage | 5 Presentations made on the liberation heritage | 5 Presentations made on the liberation heritage | 5 Presentations made on the liberation heritage |
| | Number of Knowledge Partnerships participated in | 10 partnerships participated in | 1 partnership participated in | 1 partnership participated in | 2 partnerships participated in | 2 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in | 4 Knowledge Partnerships participated in |
| | Number of Intergovernmental Arrangements participated in | 19 Intergovernmental Arrangements participated in | 0 Intergovernmental Arrangements participated in | 2 Intergovernmental Arrangements participated in | 4 Intergovernmental Arrangements participated in | 5 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in |

7.3. Programme 2: Strategic Goals, Objectives, Indicators and Annual Targets

| Strategic Outcome Oriented Goals | | Strategic Objective | Indicator | Medium-term targets | | | |
|---|------|---|---|---|---|---|---|
| No. | | | | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| An internationally recognised heritage organisation on the African Continent. | 2.1 | Implemented exchange programmes annually | Number of draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies | 2 draft agreements issued to different bodies |
| | | | Number of exchange programmes participated in annually | 1 exchange programme participated in annually | 2 exchange programmes participated in annually | 2 exchange programmes participated in annually | 2 exchange programmes participated in annually |
| An internationally recognised heritage organisation on the African Continent. | 2.2 | International multilateral engagements | Number of world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually |
| | | | Number of academic publications produced annually | 1 academic publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually | 1 academic publication produced annually |
| Mainstreaming of Liberation Heritage. | 2.3 | Research outputs produced | Number of Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually |
| | | | Number of Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually | 2 Position Papers produced annually |
| Increased knowledge and awareness about South Africa's heritage by South Africa's citizens. | 2.4 | Enquiries on heritage submitted to the NHC responded to | Turnaround time in responding to written queries submitted to the NHC | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days |
| | | | Impact Study concluded | Draft Impact Study concluded by 31 March 2017 | Impact Study concluded by 31 March 2018 | Impact Study concluded by 31 March 2018 | No subsequent targets |
| Increased knowledge and awareness about South Africa's heritage by South Africa's citizens. | 2.5 | Heritage articles contributed to accredited journal | Number of articles contributed to accredited journals | 2 articles contributed to accredited journals | 2 articles contributed to accredited journals | 2 articles contributed to accredited journals | 2 articles contributed to accredited journals |
| | | | Heritage Institute established | Heritage Institute framework approved by 31 March 2017 | Heritage Institute establishment plan approved | Heritage Institute establishment plan implemented | Heritage Institute establishment plan implemented |
| Contribution to social cohesion and nation building (Outcome 14). | 2.7 | Number of nation building initiatives implemented and supported | Number of Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported | 3 Cultural Expressions supported |
| | | | Number of heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported | 2 heritage education initiatives supported |
| An effective, efficient and sustainable institution | 2.8 | community heritage projects supported and funded | Number of Commemorative events supported | 2 Commemorative events supported | 2 Commemorative events supported | 3 Commemorative events supported | 3 Commemorative events supported |
| | | | Number of repatriations supported | 3 repatriations supported | 3 repatriations supported | 4 repatriations supported | 4 repatriations supported |
| | 2.9 | Diversity of funding streams | Number of funded heritage projects | 21 community heritage projects funded | 23 community heritage projects funded | 25 community heritage projects funded | 25 community heritage projects funded |
| | 2.10 | Diversity of funding streams | Percentage of additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant |

| Strategic Outcome Oriented Goals | No. | Strategic Objective | Indicator | Medium-term targets | | | |
|--------------------------------------|------|--|--|--|---|---|---|
| | | | | 2016-17 | 2017-18 | 2018-19 | 2019-20 |
| Mainstreaming of Liberation Heritage | 2.11 | Initiatives and programmes to mainstream liberation heritage | Number of milestones in the management of LHR World Heritage programme | 1 milestone achieved (expanded nomination dossier produced and submitted to DEC and DEA) | 1 milestone achieved (nomination dossier evaluation process supported) | 1 milestone achieved (nomination dossier evaluation report implemented) | 1 milestone achieved (draft second phase nomination dossier on LHR property produced) |
| | | | Number of submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme |
| | | | Percentage of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually | 10% of identified sites on the revised tentative list researched annually |
| | | | Number of Presentations made on the liberation heritage | 5 presentations made on the liberation heritage | 5 presentations made on the liberation heritage | 5 presentations made on the liberation heritage | 5 presentations made on the liberation heritage |
| | | | Number of Knowledge Partnerships participated in | 2 knowledge partnerships participated in | 3 knowledge partnerships participated in | 4 knowledge partnerships participated in | 4 knowledge partnerships participated in |
| | | | Number of Intergovernmental Arrangements participated in | 5 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in | 7 Intergovernmental Arrangements participated in |

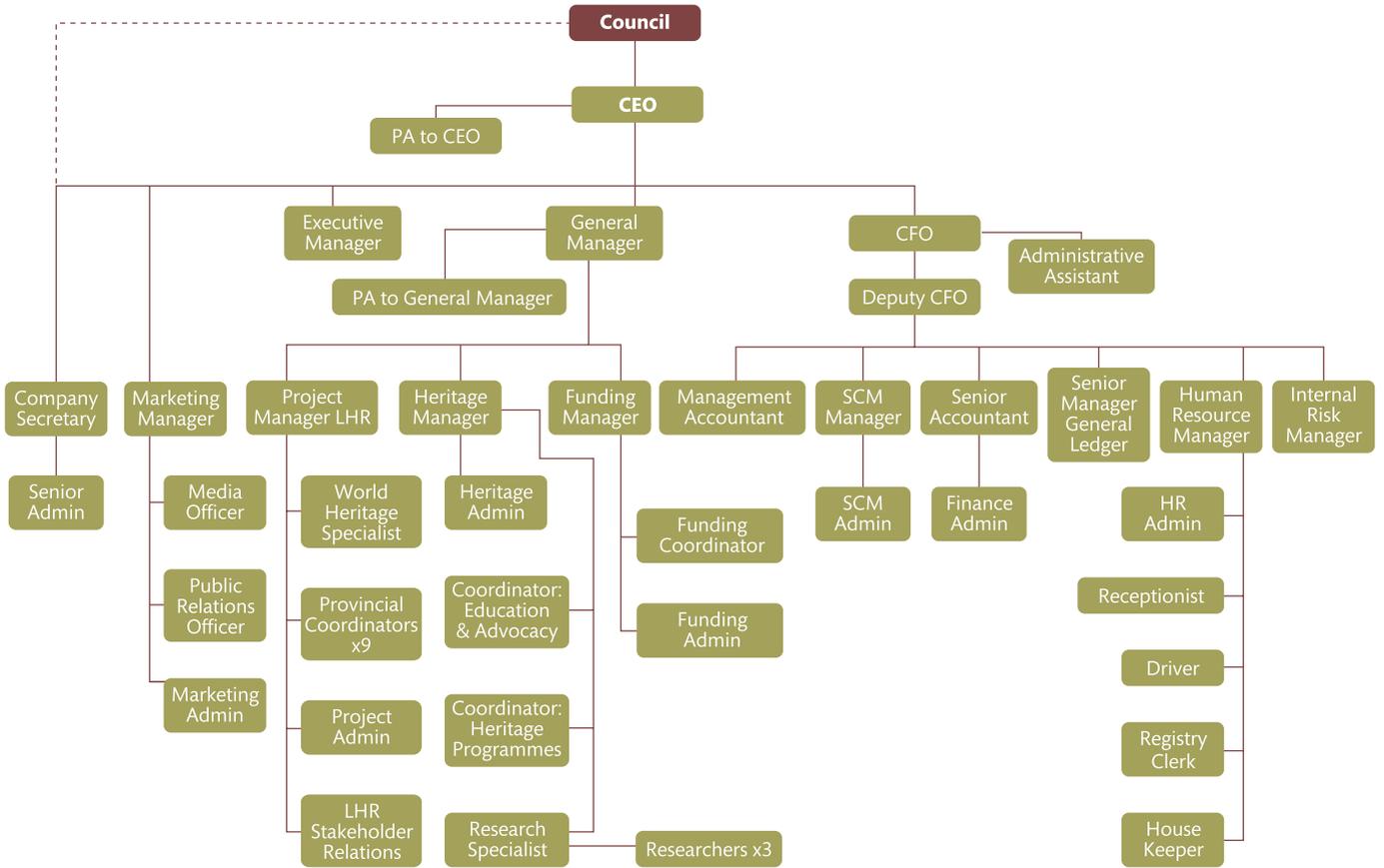
7.4. Programme2: Quarterly targets for 2016/17

| Indicator | Expected Performance Levels | Reporting Frequency | Quarterly Targets | | | | Means of verification | |
|-----------|---|---|-------------------|--|---|---|---|---|
| | | | 2016-17 | 2016/17 | 2016/17 | 2016/17 | | |
| | | | 2016-17 | Q1 | Q2 | Q3 | | Q4 |
| 2.1 | Number of draft agreements issued to different bodies | 2 draft agreements issued to different bodies | Quarterly | No target set for the quarter | Progress Report on engagements with targeted bodies submitted to MEXCO | 2 draft agreements issued to different bodies | No target set for the quarter | Draft agreements issued to different bodies |
| | Number of exchange programmes participated in annually | 1 exchange programme participated in annually | Quarterly | Progress Report produced | Participated in 1 exchange programme | Draft report produced | Final report produced | Report |
| 2.2 | Number of world heritage projects that the NHC participates in annually | 2 world heritage projects that the NHC participates in annually | Quarterly | No target set for the quarter | Participated in 2 world heritage projects | Draft report produced | Final report produced | Report |
| 2.3 | Number of academic publications produced annually | 1 academic publication annually | Annually | No target set for the quarter | No target set for the quarter | 1 academic publication produced | No target set for the quarter | Actual Publication |
| | Number of Position Papers produced annually | 2 Position Papers produced annually | Quarterly | No target set for the quarter | Progress Report produced | 2 Position Papers drafted | 2 Position Papers approved | Actual Position Papers |
| 2.4 | Percentage of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | Quarterly | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | 100% of written queries submitted to the NHC responded to within 7 working days | Reports |
| 2.5 | Date by which Draft Impact Study Report concluded | Draft Impact Study Report concluded by 31 March 2017 | Quarterly | No target | Impact Study Framework Drafted | Impact Study Framework approved | Draft Impact Study Report concluded | Draft Impact Study Report |
| 2.6 | Number of articles contributed to accredited journals | 2 articles contributed to accredited journals | Quarterly | Research Report towards the production and/or support of a heritage Journal produced | 1 draft article produced | 1 draft article produced | 2 articles contributed to accredited journals | Approved Journal articles |

| Indicator | Expected Performance Levels | Reporting Frequency | Quarterly Targets | | | | Means of verification | |
|-----------|--|--|-------------------|--|--|---|--|--|
| | | | 2016-17 | 2016/17 | 2016/17 | 2016/17 | | |
| | | | 2016-17 | Q1 | Q2 | Q3 | | Q4 |
| 2.7 | Date by which a heritage institute framework is approved | Heritage Institute framework approved by 31 March 2017 | Quarterly | Draft Heritage Institute Feasibility Study Report Produced | Draft Heritage Institute Framework workshopped | Final Heritage Institute Framework approved | MoA on heritage institute signed | Approved Heritage Institute Framework |
| 2.8 | Number of Cultural Expressions supported | 3 Cultural Expressions supported | Quarterly | No target set for the Quarter | Prospective partners engaged on cultural expressions | 3 cultural expressions supported | Report Produced | Reports |
| | Number of heritage education initiatives supported | 2 heritage education initiatives supported | Quarterly | No target set for the Quarter | 1 heritage education initiatives supported | 1 heritage education development initiatives supported | Report Produced | Reports |
| 2.9 | Number of Commemorative events supported | 2 Commemorative events supported | Quarterly | 2 Concepts for Commemorative Events developed & approved | 1 commemorative event supported | 1 commemorative event supported | Report Produced | Reports |
| | Number of repatriations supported | 3 repatriations supported | Quarterly | Report on repatriations engagements undertaken supported | Report on repatriations engagements undertaken and supported | 1 repatriation supported | 2 repatriation supported | Reports |
| | Number of funded heritage projects | 21 community heritage projects funded | Quarterly | Report on incoming projects contracted | Progress Report on implementation of contracted projects | Monitoring & Evaluation Report on implementing projects | 21 community heritage projects funded | Adjudication Report & signed contracts |
| 2.10 | Level of additional funds raised outside the DAC grant | 2% additional funds raised outside the DAC grant | Quarterly | 3 Proposals for funding submitted | Progress Report submitted | 1% additional funds raised outside the DAC grant | 1% additional funds raised outside the DAC grant | Funding Proposals; correspondence |

| Indicator | Expected Performance Levels | Reporting Frequency | Quarterly Targets | | | | Means of verification | |
|-----------|--|--|-------------------|---|---|--|---|---|
| | | | 2016/17 | 2016/17 | 2016/17 | 2016/17 | | |
| | | | Q1 | Q2 | Q3 | Q4 | | |
| 2.11 | Number of milestones in the management of LHR World Heritage programme | 1 milestone achieved (expanded nomination dossier produced and submitted to DAC and DEA) | Quarterly | Stakeholder engagement report on the listing process produced | Report on the World Heritage Event attended produced | Completed expanded dossier submitted to DEA for completeness check | Finalised expanded dossier submitted to DEA | Correspondence & reports |
| | Number of submissions on the African Liberation Heritage Programme | 2 submissions on the African Liberation Heritage Programme | Quarterly | No target | 1 submission on the ALHP produced | 1 submission on the ALHP produced | No target for the quarter | Copies of submissions |
| | Percentage of identified sites on the revised tentative list researched annually | 30% of identified sites on the revised tentative list researched annually | Quarterly | No target set | No target set | 10% sites researched | 20% sites researched | Research reports/ grading form |
| | Number of Presentations made on the liberation heritage | 5 presentations made on the liberation heritage | Quarterly | 1 Presentation made on liberation heritage | 1 Presentation made on the liberation heritage | 1 Presentation made on the liberation heritage | 2 Presentations made on the liberation heritage | Copies of presentations |
| | Number of Knowledge Partnerships participated in | 2 Knowledge Partnerships participated in | Quarterly | Report on identified partners produced | Engagement Report on Negotiations with identified partners | 1 knowledge partnership agreement participated in | 1 knowledge partnership agreement participated in | Correspondence, minutes, agreement if applicable. |
| | Number of Intergovernmental Arrangements participated in | 5 Intergovernmental Arrangements participated in | Quarterly | Report on the Review of IGR arrangements produced | Progress report on the engagement with the identified partners produced | 2 intergovernmental arrangements participated in | 3 intergovernmental arrangements participated in | meeting correspondence, and agreement |

8. NHC ORGANISATIONAL STRUCTURE



PART C: LINKS TO OTHER PLANS

9. Links to the long-term infrastructure and other capital plans

Not applicable.

10. Conditional grants

Not applicable.

11. Public entities

Not applicable.

12. Public-private partnerships

Not applicable.

13. Annexures

- A. Materiality and Significant Framework
- B. Fraud Prevention Policy
- C. Risk Management Plan

A. NHC MATERIALITY AND SIGNIFICANT FRAMEWORK

| | Framework | Resulting figures for 2016/17 | Underlying principles |
|---|---|---|--|
| Material for Section 55 – Disclosure, in the Annual Report, of: <ul style="list-style-type: none"> • Losses due to criminal conduct • Irregular expenditure • Fruitless and wasteful expenditure | <p>Quantitative:</p> <p>Capital Expenditure: 10% of the capital expenditure budget line item</p> <p>Other expenditure: 10% of the related operating expenditure budget line item</p> | Depends on the related expenditure budget line item | Each loss due to criminal conduct, irregular expenditure or fruitless and wasteful expenditure, as identified, will be evaluated in context of the expense category to which it relates to determine whether it qualifies for disclosure in the Annual Report as required by Section 55. |
| | <p>The materiality levels above are subject to a minimum of R1 million.</p> <p>Qualitative:</p> <p>Over and above the financial considerations of materiality, any losses due to criminal conduct are considered to be material by nature, irrespective of the quantum thereof.</p> <p>It is, therefore important to note that the quantitative measures of materiality will only apply to irregular expenditure and fruitless and wasteful expenditure, whereas the qualitative measure will apply to losses due to criminal conduct.</p> | | <p>In line with good business practice, as well as the requirements of the Act, the NHC is committed to the prevention, detection of and taking appropriate action on all irregular expenditure, fruitless and wasteful expenditure, losses resulting from criminal conduct and expenditure not complying with the operational policies of the NHC (Sec 51(1)(b)(ii)).</p> <p>To this end the NHC's systems and processes are designed and continually reviewed to ensure the prevention and detection of all such expenditure, irrespective the size thereof.</p> |

| | Framework | Resulting figures for 2016/17 | Underlying principles |
|---|---|-------------------------------|--|
| <p>Significant for Section 54 – Information and approval by the Minister of “Qualifying transactions”, i.e.:</p> <ul style="list-style-type: none"> • participation in a significant partnership, trust, unincorporated joint venture or similar arrangement; • acquisition or disposal of a significant shareholding in an organisation; • acquisition or disposal of a significant asset; • commencement or cessation of a significant business activity; and • a significant change in the nature or extent of its interest in a significant partnership, trust, unincorporated joint venture or similar arrangement. | <p>Quantitative:</p> <p>Qualifying transactions of an operational nature,</p> <ul style="list-style-type: none"> • 15% of Total Assets <p>Qualifying transactions of a strategic nature.</p> <ul style="list-style-type: none"> • 10% of equity <p>Regardless of the monetary value thereof, all direct equity investments:</p> | | <p>The PFMA is not intended to affect the autonomy of the NHC, but its stated objectives are to ensure transparency, accountability and sound management of revenue, expenditure, assets and liabilities of the institutions to which the Act applies. Therefore, the legislature could not have intended for the public entities to report and seek approval on matters of a daily basis;</p> |
| | <p>Qualitative:</p> <p>greater than 20% require formal information to the Executive Authority; or</p> <p>greater than 50% require approval by the Executive Authority.</p> | | <p>The business of the NHC is conducted within the framework of the mandate, objects and powers contained in the NHC Act, as well as the business and financial direction set out in the APP;</p> |
| | <p>A qualifying transaction may also be considered significant based on considerations other than financial when, in the opinion of the Council, it is considered to be significant for the application of Section 54. The decision on which non-financial issues may be considered at any time requires careful judgement at a strategic level, and should therefore rest with the Council as the representative body of the stakeholders. As an example, the Council may consider a qualifying transaction as significant when it could impact significantly on a decision or action by the Minister.</p> | | <p>The NHC also has defined accountability and approval structures from the Council, as the stakeholder representative, to the CEO and management;</p> |
| | | | <p>The responsibility for day-to-day management of the NHC vests in line management through a clearly defined organisational structure and through formally delegated authorities.</p> |

B. NHC FRAUD PREVENTION POLICY



nhc

National Heritage Council
SOUTH AFRICA

an agency of the
Department of Arts and Culture

FRAUD PREVENTION POLICY

NATIONAL HERITAGE COUNCIL

PURPOSE

This policy is intended to:

- Convey the expectations of the council and senior management regarding managing fraud risk.
- Establish procedures and assign responsibility for the investigation of fraud and related offences.
- Provide guidance to those employees who find themselves having to deal with suspected cases of theft, fraud and corruption.
- Develop a risk and fraud awareness programme in the organisation.

SCOPE

The policy applies to any fraud, or suspected fraud, as defined in this policy involving managers and employees, consultants, vendors, contractors, outside agencies and/or any other parties with a business relationship with the NHC.

LEGISLATION AND CORPORATE GOVERNANCE REQUIREMENTS REFERENCE

The Fraud Prevention Policy needs to support the current legislative and regulatory framework. Regular reviews of NHC's legislative and regulatory framework should be undertaken to ensure that the Fraud Prevention Policy is at all times aligned to this framework.

The following main pieces of legislation and guidelines are applicable to the policy:

- The Prevention and Combating of Corrupt Activities Act 2008;
- The Prevention of Organised Crime Act, of 1998.
- The Promotion of Access to Information Act, 2000
- The Competition Act, 1998
- Protected disclosure act 2000
- The Public Finance Management Act, 1999
- The Companies Act
- International Conventions and Protocol
 - United Nations Convention Against Corruption (UNCAC)
 - Global Compact Anti-Corruption Principle
 - African Union Convention on Preventing and Combating of Corruption
 - South African Development Community Protocol Against Corruption
 - NEPAD's APRM
 - Laws in Foreign jurisdictions that may have extraterritorial
 - UK bribery Act
 - US Foreign Corrupt Practices Act

POLICY STATEMENT AND INTERNAL STANDARDS

All employees are responsible for the detection and prevention of fraud, misappropriation, and other inappropriate conduct.

Each member of the management team should be reasonably familiar with the types of improprieties that may occur within his or her area of responsibility and be alert for any indication of irregularity.

Fraud or irregularities detected or suspected should be reported without delay to any of either the anonymous reporting hotline, to the CEO and Chairperson of the Audit and Risk Committee, who will coordinate the necessary investigations with management, HR, Secretariat and external parties, as required.

BACKGROUND

The National Heritage Council (NHC) is committed to ethical behaviour and to the prevention, detection, and reporting of fraud in terms of a zero-tolerance approach. All members of staff are expected to share this commitment.

The council will manage fraud risk by:

- Defining, setting and maintaining cost effective control procedures to prevent, identify and deter fraud;
- Ensuring key controls are complied with;
- Investigating all incidences of actual, attempted or suspected fraud, and all instances of major control breakdowns;
- Encouraging staff to be vigilant and raising fraud-awareness at all levels;
- Providing staff with effective confidential reporting mechanisms and encouraging their use;
- Taking action against individuals and organisations perpetrating fraud against the company, its shareholders, or its customers;
- Seeking restitution of any asset fraudulently obtained and the recovery of costs, and
- Co-operating with the law enforcement and other appropriate authorities in the investigation and prosecution of those suspected of fraud.

ACTIONS CONSTITUTING FRAUD

At NHC, fraud could include the crimes listed below (as defined under definitions):

- Fraud in the widest term
- Forgery
- Bribery
- Corruption
- Hacking.

For the purposes of this policy, the term: "Fraud" can interchangeably be used with the crimes reflected above. In this context, actions constituting fraudulent behaviour include, but are not limited to:

- Any dishonest or fraudulent act;
- Embezzlement or misappropriation;
- Forgery or alteration of any document or account belonging to the NHC;
- Forgery or alteration of a cheque, bank transfer or any other financial document;
- Theft or misappropriation of funds, securities, supplies, or other assets;
- Impropropriety in the handling or reporting of money or financial transactions;
- Transacting in securities or financial instruments using insider knowledge of council or customer activities, irrespective of whether a profit or loss is made;
- Unauthorised disclosure or manipulation of sensitive, confidential or proprietary information;
- The offering or taking of inducements, gifts, or favours as referred to in the NHC Gifts and Benefits from a Suppliers' Policy, which may influence the action of any persons;
- Wilful destruction, removal or inappropriate use of records or company assets;
- Engage in any practices or pursue any private activities which conflict in any way with the NHC's interests;
- Hacking of and unauthorised access to the NHC computer systems;
- Making a payment to or on behalf of any official (including government officials) for the purpose of obtaining or retaining business for or with, or directing business to any person, and/or
- Any similar or related inappropriate conduct. The NHC Code of Ethics places a fiduciary duty on all employees to disclose such activities. Failure to disclose could result in disciplinary action being taken against the employee concerned.

In the case of any queries as to what actions could constitute fraud, the Company Secretary of the NHC may be contacted for guidance in this regard.

RESPONSIBILITIES

Managers

Managers, at all levels, have a responsibility to:

- Promote the highest levels of ethical and lawful conduct, in accordance with the NHC Code of Ethics and embrace good corporate governance to report any conduct which may be regarded as unethical, unlawful or in breach of good corporate governance, or which has the potential to tarnish the good name and reputation of the NHC.
- Set the tone at the top. An organisation's culture plays an important role in preventing, detecting, and deterring fraud. Management needs to create a culture through words and actions where it is clear that fraud is not tolerated, that any such behaviour is dealt with swiftly and decisively.
- Be familiar with the types of improprieties that might occur within his/her area of responsibility and be alert for any indication of irregularity.
- Ensure that an adequate system of internal controls exists within their areas of responsibility and that controls operate effectively.
- Ensure that the NHC Code of Ethics, Fraud Prevention Policy and Whistle Blowing Policy are well communicated to all staff within their area of responsibility.
- In consultation with Legal and HR, take appropriate legal and/or disciplinary action against perpetrators of fraud.
- Take disciplinary action against employees where employee negligence has contributed to the commission of the fraud.
- Annexure D – Declaration by employees and contractors in area of responsibility should be included in the personnel record of the employee and the contractors pack of the contractors. This document should be renewed and filed annually.

All Employees

All employees have a responsibility to:

- Ensure that they are familiar with, and comply with the NHC Code of Ethics. These related policies should be included in the annual induction training for all employees and contractors.
- Ensure they are familiar with, and comply with controls and procedures in their area of responsibility. Employees should understand how their job procedures are designed to manage fraud risks and when non-compliance may create an opportunity for fraud to occur or go undetected.
- Have a basic understanding of fraud and be aware of the red flags.
- Recognise any specific fraud risks within their own area of responsibility. All employees have a duty to ensure that these risks are identified and addressed. Where an employee believes that an opportunity for fraud exists, whether because of poor procedures or oversight, the employee should discuss it with their line manager and / or company Secretary.
- Report any suspected irregularities in accordance with the NHC Code of Ethics and Fraud Prevention Policy.
- Co-operate in investigations.
- Treat information relating to fraud investigations as confidential.

Internal Audit

Internal Audit is responsible for:

- Providing advice and assistance on risk and control issues.
- Reviewing control systems once an investigation has been completed to identifying any weaknesses which contributed to the fraud; and if necessary, make recommendations for remedial action.
- Reporting the results of fraud investigations, actions that have been taken to manage fraud risks and the effectiveness of the fraud risk management programme to appropriate Management and the Council through the Audit Committee.
- Adopting a pro-active approach to providing management support in detecting, preventing, and monitoring fraud risks.
- Provide a source of information to Management as appropriate, regarding instances of fraud, corruption, unethical behaviour and irregularities.

Governance, Risk and Compliance

Governance Risk and Compliance and its staff are responsible for:

- Conducting investigations into any matter as referred to them, by the Chairperson of the Audit and Risk Committee.
- Co-ordination of the investigations into all suspected fraudulent acts.
- Reporting the results of the investigation to the appropriate person.
- Where applicable, outsource certain functions pertaining to investigations to approved service providers and manage such service providers.

Social and Ethics Committee

The Social and Ethics Committee shall:

- Review the appropriateness and effectiveness of policies and procedures for preventing or detecting fraud.
- Direct and supervise investigations into matters within the committee's scope, for example, evaluations of the effectiveness of the Council's internal control, cases of employee fraud or supplier fraud, forensic investigations, misconduct or conflict of interest.
- Receive and review reports on the prevention, detection and investigation of fraudulent activity or misconduct within the NHC.
- Review significant cases of employee conflicts of interest, misconduct or fraud, or any other unethical activity by employees or the Council.

MEXCO – Management and Executive Committee

The Management and Executive Committee is responsible for evaluating all instances of fraud, corruption, possible conflicts of interests, violation of the Code of Ethics or any other ethics related matter.

All instances of fraud must be reported to the Executive Committee which will oversee appropriate periodic reporting to the Social and Ethics Committee.

Internal controls to prevent and detect fraud and corruption

This section of the plan is divided into two components, namely:

- Basic internal controls, and
- Training of employees on internal controls in the conducting of their day-to-day duties.

1.1.1 Basic Internal Control

The policies, procedures, rules, regulations and other prescripts of the NHC prescribe various controls that, if effectively implemented, would limit corruption and fraud within the NHC. These controls may be categorised as follows, it being recognised that the categories contain elements of overlapping:

- Prevention controls:

These are divided into two sub-categories, namely, Authorisation and Physical.

- Detection controls:

These are divided into four categories, namely, Arithmetic and Accounting, Physical, Supervision and Management Information.

- Segregation of duties.

2.4.1.1 Prevention controls

Authorisation and verification

All transactions require authorisation or approval by an appropriate responsible person.

The limits for these authorisations are specified in the delegations of authority of the NHC.

All individuals with specified delegations for the authorisation of transactions must be trained and/or made to acknowledge their understanding of their responsibilities in terms of the PFMA and Code of Conduct.

Declarations of interests forms should be completed annually by all employees and captured onto the employee database by the Human Resources department. Regular checks should be performed against the supplier database.

All employees must be subjected to reference checks, such as Kroll checks, prior to the signing of an employment contract.

2.4.1.2 Detection controls

(a) Arithmetic and Accounting

These are basic controls within the recording function which check that transactions to be recorded and processed have been authorised, that they are included completely, and that they are correctly recorded and accurately processed.

Such controls include checking the arithmetical accuracy of the records, the maintenance and checking of totals, reconciliation, control accounts, and accounting for documents.

A list of recommended controls based on the previous experience of fraud should be given to management for implementation.

(b) Physical

These controls relate to the security of records. They therefore underpin arithmetic and accounting controls.

Their similarity to preventive controls lies in the fact that these controls are also designed to limit access.

(c) Supervision

This control relates to supervision by responsible officials of day-to-day transactions and the recording thereof.

(d) Management Information

This relates to the review of management accounts and budgetary control.

Management outside the day-to-day routine of the system normally exercises these controls.

2.4.1.3 Segregation of duties

- (a) One of the primary means of control is the separation of those responsibilities or duties, which would, if combined, enable one individual to record and process a complete transaction, thereby providing him/her with the opportunity to manipulate the transaction irregularly and commit fraud.
- (b) Segregation of duties reduces the risk of intentional manipulation or error and increases the element of checking.
- (c) Functions that should be separated include those of authorisation, execution, custody, and recording and, in the case of computer-based accounting systems, systems development and daily operations.
- (d) Placed in context with fraud prevention, segregation of duties lies in separating either the authorisation or the custodial function from the checking function, and from the execution function.

The NHC has identified risks in this area as being:

- Line management not willing to accept accountability for the enforcement of internal controls;
- The fact that accountabilities and responsibilities within the NHC management structure has not clearly been defined, creating uncertainty in terms of who is accountable for the enforcement of internal controls, and the appropriate corrective actions in terms of non-conformances;
- The fact that employees are not held accountable for their actions and transgressions;
- That consequently internal controls are not adhered to.

Recognising this, the NHC intends to focus on the effective implementation and maintenance of internal controls by:

- Clearly defining and communicating the accountabilities and responsibilities of the NHC management structure;
- Holding management accountable to enforce internal controls and the consequent application of disciplinary measures in terms of non-adherence and non-conformance by employees;
- Holding employees accountable for their actions and transgressions;
- Reviewing the inherent controls of the new systems to ensure that they provide adequate protection;
- Ensuring that effective refresher training courses are conducted for the users of the new systems to ensure proper application;
- Conducting profiling of all the suppliers / contractors / consultants / service providers to ensure legitimacy;
- Including this profiling as part of the procurement process.

The MEXCO will monitor the implementation and improvement of internal controls in the areas identified to ensure that a noticeable improvement is achieved.

Reporting responsibilities

Any employee who suspects dishonest or fraudulent activity should notify their direct supervisors and line managers. The employee or other complainant may remain anonymous.

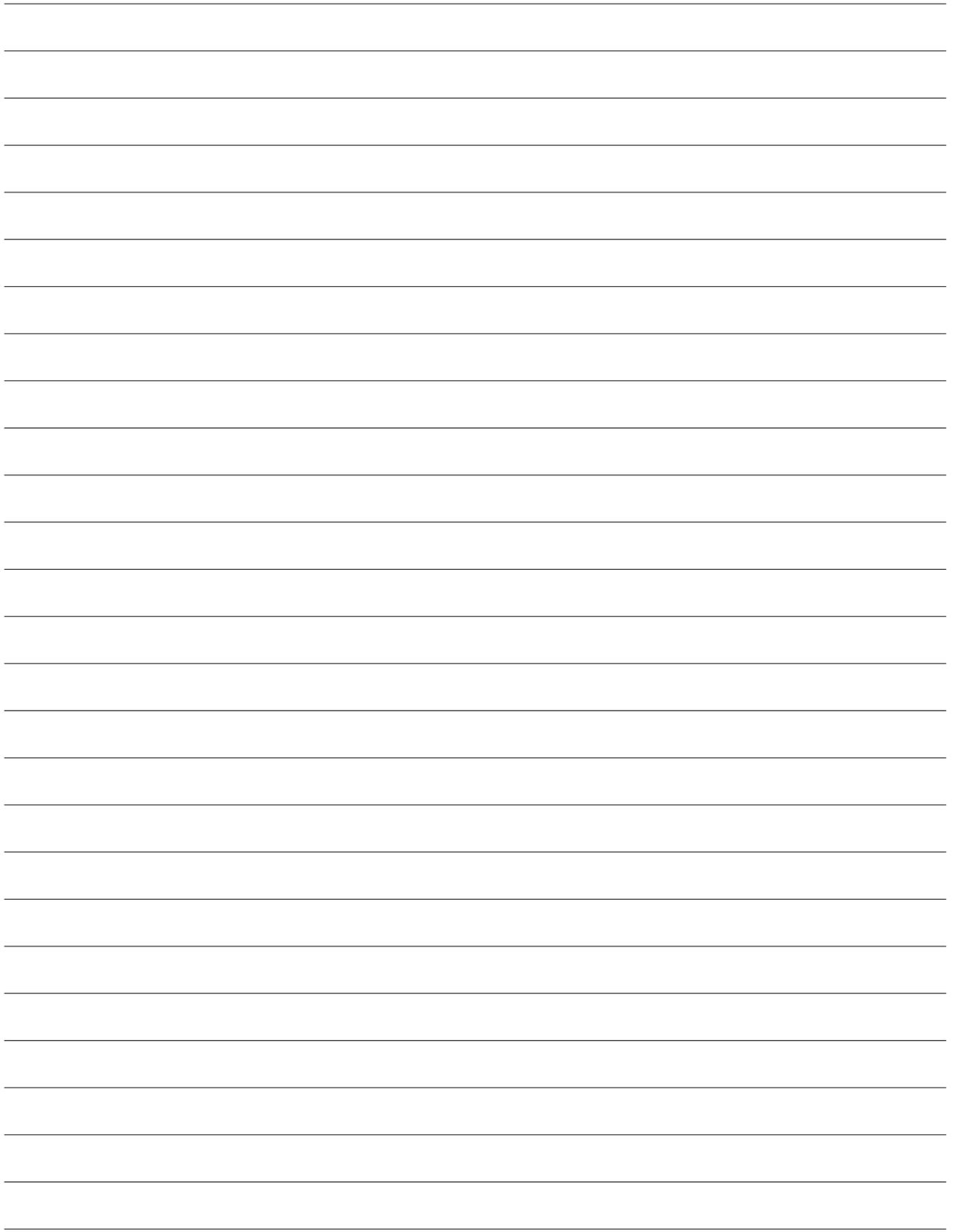
The Auditor General must be advised of any fraud that could affect the council's financial statements. In addition, the council must report any fraud to the applicable regulatory bodies in terms of the relevant legislation including, but limited to, The Prevention and Combating of Corrupt Activities Act and The Prevention of Organised Crime Act and noted in section 3.

Ownership

The Council and MEXCO are responsible for adopting this policy and taking reasonable steps to ensure that all directors, senior management and employees are aware of the contents hereof.

C. RISK MANAGEMENT PLAN

| Strategic Objective | Unit | Risk Category | Risk Description | Risk Background | Control Improvement |
|--|---------------------------|---|--|--|---|
| Provide Strategic Management Services | Office of the CEO | Non-compliance - Strategy Management | Non-compliance with the Framework for Managing Performance Information | KPIs not meeting the SMART principle | Guidelines to Units Unit workshops MEXCO assessment Internal Audit review prior to Audit and Risk Committee MEXCO reviews of Internal Audits recommendations Independent review by Audit and Risk Committee alignment with dates regarding governance structures |
| Provide Strategic Management Services | Office of the CEO | Leadership | Deviation from Annual Performance Plan | Non-alignment of Operational Plans to the Annual Performance Plan and new instructions not aligned to Strategic Objectives resulting in deviations | Criteria for all strategic categories Adequately define Alignment of categories to the budget Strategic projects to be included in the Annual Performance Plan |
| Provide Strategic Management Services | Office of the CEO | Governance Risk | Ineffective management of partnerships and their expectations | Inadequate / ineffective Strategic Stakeholder Framework and Plan leading to difficulty in managing stakeholder and partnership interests | Comments / implementation and ongoing reviews of the Framework |
| Human Resources Support | All Units | Compliance Risk | Delays in accessing of information and company records | Lack of Records Management Policies and Plans | Implement Risk Management Framework by developing relevant policies and procedures to ensure adequate Record Management System |
| Human Resources Support | Corporate Services | Human Resources | Legal exposure of NHC due to non-implementation of certain HR policies | Due to non-availability of funds to implement certain policies | Workshop policies to ensure it is implementable / aligned to the Budget |
| Diversity of funding streams | Funding | Grant Disbursements | Insufficient Grant Funding | Demand higher than availability of funding | Revise Fundraising Strategy and develop Partnership Strategy to attract new funders Further Engagement with DAC |
| Support and funding of community heritage projects | Funding | Project Management | Lack of project management systems | Deficiencies within the funding unit's project administration and management systems affects controls | Project management system to be developed and implemented |
| Financial and Procurement Support | Corporate Services | Inability to optimally meet mandate with current allocation | Inability to implement/unable to optimally meet the core goals and objectives of NHCs key mandate due to allocations | Demand higher than availability of funding / allocation | Intense engagement with DAC with the assistance of Council |
| Initiatives and programmes to mainstream liberation heritage | Liberation Heritage Route | Institutionalization of the NHC flagship programs at all levels | NHC flagship programs are not patented and are exposed | The NHC flagship programs are not patented as yet and it could be exposed to unscrupulous use or general misuse Parallel implementation of certain NHC programs | Implement IGR guidelines and develop a framework for the implementation of NHC programs nationally |





RP05/2016
ISBN: 978-0-621-44228-1

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