



Annual Performance Plan

for the financial years
2019/2020 – 2021/2022



an agency of the
Department of Arts and Culture

Vision

To position the KwaZulu-Natal Museum as a leading, inclusive and transformed heritage institution in South Africa.

Mission

The KwaZulu-Natal Museum is dedicated to serving the people of South Africa by interpreting material evidence of the natural and cultural world in order to increase knowledge, understanding and appreciation of the nation's wealth of history and biodiversity.

Core Values

The KwaZulu-Natal Museum's core values are:

- **Accountability:** to foster a culture of accountability, learning and enlightenment for staff and stakeholders
 - **Understanding and Respect:** to increase tolerance, understanding and mutual respect among staff and the diverse elements of South African society
 - **Professionalism and honesty:** to be honest and professional in undertaking our duties and the execution of the Department's mandate
 - **Loyalty:** to be loyal to the mandate given to the Museum by the Department and in addressing the government imperatives
 - **Promote Ubuntu values:** to promote a sense of cultural identity and worth by enabling people to attain knowledge and new perspectives regarding the history of humanity in general and the historical and cultural record of their own communities
 - **Excellence:** continuously strive to be a centre of excellence in our core duties and reputation
 - **Responsiveness:** to respond to the needs of our stakeholders with our best work in a timely manner.
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i. FOREWORD

The Annual Performance Plan of the KwaZulu-Natal Museum reflects the Museum's commitment to addressing government and stakeholder priorities for the 2019/2020 – 2020/2021 financial years. It is the outcome of the KwaZulu-Natal Museum's Five Year Plan to address government's mandate during the five-year term of the current executive that ends after the democratic elections of 2019. The Plan addresses the initiatives undertaken by the KwaZulu-Natal Museum to promote its heritage mandate while tackling the various challenges that the South African government faces as it develops a state that is responsive to the development and management of its cultural and natural heritage for nation building and social cohesion.

Council is aware of the KwaZulu-Natal Museum's legislative mandate and requirements to contribute to the realisation of the delivery agreement for Outcome 14 (A diverse, socially cohesive society with a common national identity), and the oversight role that Council performs. The central objective of Outcome 14 is the promotion of nation building through a decisive social cohesion programme, which should henceforth foreground programmes that eliminate all forms of discrimination, inequalities and other social ills, while promoting patriotism and nation building. Council has committed to work closely with the Department and the Ministry to promote the Minister's Priority Programmes, the 10-Point Plan, that specifically address Outcome 14.

The specific focus for the Museum is to serve the people of South Africa by interpreting material evidence of the natural and cultural world in order to increase knowledge, understanding and appreciation of the nation's wealth of history and biodiversity. **Through this focus, the Museum aims to contribute to the creation of "an efficient, effective and development-oriented public service and an empowered, fair, creative and inclusive citizenship" for the nation.**

This Annual Performance Plan focuses on the significant role that the KwaZulu-Natal Museum has positioned itself in the heritage sector through its activities that address the conservation and promotion of the nation's heritage, the promotion of national imperatives including job creation with a particular focus on the youth, social cohesion, nation building and research. The programmes of the Museum integrate enhancement and empowerment of women, persons living with disabilities, awareness activities of HIV/AIDS and other social ills.

While traditional programmes such as research, conservation and exhibitions of both the natural and cultural heritage continue being the focus of the Museum, educational outreach programmes remain central to discharging the Minister's priorities during the 2019/2020 year. Key collaboration programmes the SciFest; the National Science Week and Sabalala Nolwazi Environmental Youth Club will continue to provide the KwaZulu-Natal Museum with a competitive edge in reaching out to the majority of children who are learners and the youth.

The Council of the KwaZulu-Natal Museum is grateful of the financial support and an increased financial allocation to cover the shortfalls experienced over the past years and to retain skilled, dedicated and efficient personnel. Council commits itself to good governance practices, supporting management in the implementation of this Annual Performance Plan and to discharge its oversight-monitoring role in all functions of the Museum.


Professor Fikile N. M. Mazibuko
Chairperson of Council
Date: 29 January 2019

ii. OFFICIAL SIGN-OFF

It is hereby certified that this Annual Performance Plan was developed by the management of the KwaZulu-Natal Museum under the guidance of the Council. It takes into account all the relevant policies, legislation and other mandates for which the KwaZulu-Natal Museum is responsible. It accurately reflects the strategic outcome-oriented goals and objectives which the KwaZulu-Natal Museum will endeavour to achieve over the period 2019/2020 – 2020/2021.



Mr Siphamandla Dlamini
Manager: Finance & Administration
Date: 29 January 2019



Mr Luthando Maphasa
Director
Date: 29 January 2019



Professor Fikile N. M. Mazibuko
Chairperson of Council
Date: 29 January 2019

1. UPDATED SITUATIONAL ANALYSIS

1.1 Performance Environment

KwaZulu-Natal Museum ranks among the top National Museums in South Africa. It is a cultural and natural history museum that is renowned for its unique collections and public programmes. As an entity of the Department of Arts and Culture, the Museum is at the coalface of driving Outcome 14 to achieve social cohesion and nation building imperatives. Like other entities in the sector, the KwaZulu-Natal Museum is operating under a resource-constrained environment with an increasing compliance requirements. It is in this context that the Museum must introduce innovative strategies to deliver on its mandate in a cost effective and efficient manner.

The core research outputs of the Museum have a potential to generate substantial revenue through the South African Post-Secondary School Education (SAPSE) research funding. However, such incentive funding do not directly accrue to museums. Negotiations between the Departments of Arts and Culture and of Science and Technology to address direct funding of research outputs for the museums should be concluded as a matter of urgency.

The proper maintenance of the building and related infrastructure is critical for the KZN Museum business. The challenges faced by the Department of Public Works (DPW) have a direct impact on the Museum's functioning. Thus, efforts to improve working relations between the DAC, DPW and the Museum would help ease constraints and improve productivity in the medium-term. The Museum welcomes the intervention by the DAC in the 2019/2020 period to allocate funding specifically for the maintenance of the building. In the long-term, to eliminate location constraints of the current Museum building, the Museum welcomes the commitment from the DAC in the current Medium Term Expenditure Framework (MTEF) to fund the development of a new Museum building. This capital expenditure will unlock many opportunities for job creation and economic growth in the city and would further improve the Museum's capacity to generate internal revenue.

Youth development and women empowerment are at the heart of the Museum's public programmes. The Museum offers internship and mentorship opportunities in terms of workplace experience as well as postgraduate research supervision and skills development programmes for the youth and women respectively. In light of the recent evidences of polarization in racial relations in the country, the KZN Museum needs to bolster its programmes to address social cohesion and nation building imperatives. The celebration and commemoration of significant national days should promote interracial and intercultural gatherings that are central to social cohesion. Promotion of national symbols that promote a common identity should be a central activity of the nation building agenda. In his address to the Chairpersons of all DAC entities, the Minister of Arts and Culture, the Hon Nathi Mthethwa emphasized the need to promote an understanding of Africa for South Africans, first as citizens of the continent and to enhance active involvement in the development of Africa and its rich heritage. The KwaZulu-Natal Museum will dedicate the month of May to Africa through various activities that honour Africa and Africans by promoting their diverse heritage.

1.2 Organisation Environment

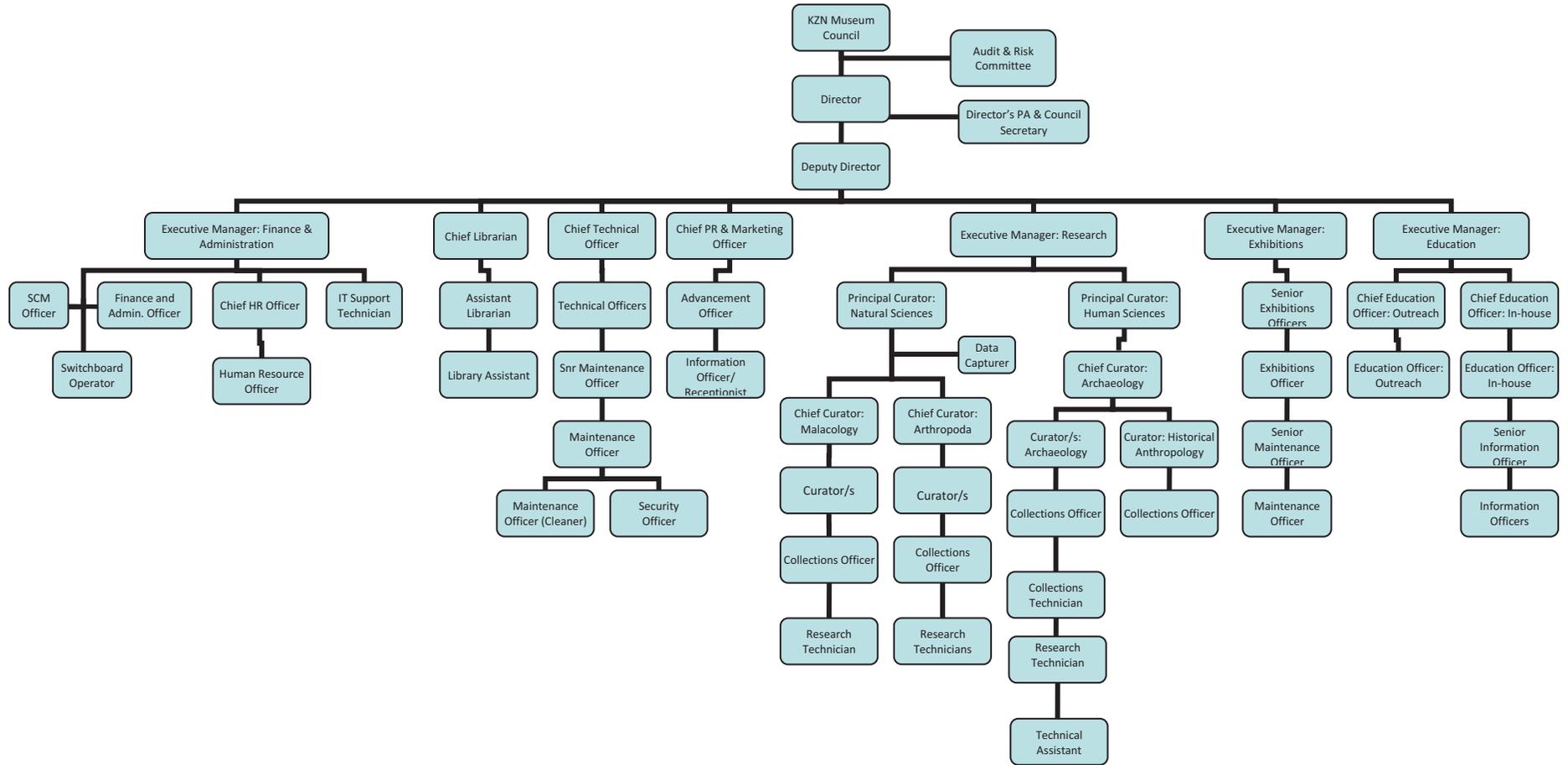
The Museum remains poised to be a centre of research excellence. The Museum continues to make a concerted effort to ensure that its organisational structure is appropriate for achieving its strategic objectives. During the 2017/18 period, the Museum successfully completed the GRAP 103: Heritage Asset project and obtained an unqualified audit opinion from the Auditor-General. It is of paramount importance that the gains achieved during the process are well maintained in the subsequent reporting periods. Therefore, the Museum will further engage the DAC to find solutions to address the impact of GRAP 103: Heritage Asset in a holistic manner.

This Annual Performance Plan (APP) highlights key issues that inform the organisational environment of the Museum for 2019/20 financial year. The APP aims to strengthen entity management and governance by ensuring sustainable financial management practices, meeting compliance requirements, improved quality of audit outcomes, improved stakeholder relations, capacity building, maintenance of Museum property and related health and safety issues. The APP reaffirms the Museum's commitment to high quality research and collections management. Furthermore, it expands the Museum's public programmes to reach more schools and communities and the exhibitions address national imperatives while incorporating interactive multimedia technology. It encourages collaboration with various stakeholders to further the Museum's interest and create meaningful employment opportunities for the youth through formal employment and internship programmes.

1.2.1 Organisational Environment: The Structure

During its restructuring process, the Council identified a structure that would balance delivery on core functions of the Museum and at the same time address challenges it faces through maximizing its opportunities. Although there are few posts that have not been filled due to budgetary constraints, the structure ensures that adequate standards are set in the implementation of the Museum's programmes of Administration, Business Development and Public Programmes.

1.2.1.1 Organisational Structure



1.2.1.2 Equity Table in 2017/2018

Post level	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Senior Management	2								2
Management	2	-	1	3	2	-	1	-	9
Middle management & high level specialist	1	-	-	2	1	-	1	4	9
Supervisor & high level skilled/ clerical	8	-	1	-	7	-	1	1	18
Lower level skilled/ clerical	12	-	-	-	10	-	-	-	22
Total	25	-	2	5	20	-	3	5	60

1.2.1.3 Proposed Equity Table in 2021/2022

Post level	Male				Female				Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	
Senior Management	2	-	-	-	-	-	-	-	2
Management	1	-	1	1	2	1	1	-	7
Middle management & high level specialist	2	-	-	5	1	1	1	5	15
Supervisor & high level skilled/ clerical	11	-	1	-	10	-	1	2	25
Lower level skilled/ clerical	8	-	-	-	8	-	-	-	16
Total	24	-	2	6	21	2	3	7	65

2. STRATEGIC OUTCOMES ORIENTED GOALS OF THE INSTITUTION

Programme 1: Administration

The objective of the programme is to:

- ensure sound financial sustainability of the Museum, the effective and efficient management, administrative and operational activities,
- ensure best governance, financial and human resource practices within the Museum to enhance compliance with applicable legislation,
- render institutional support to the Museum's core functions by broadening the sphere of influence of the Museum,
- promote public awareness of the Museum's services and amenities through publicity and events,
- provide professional library services to serve the scientific community and the general public,
- ensure proper maintenance of the Museum building and to provide technical support to internal departments.

Programme 2: Business Development

The objective of this programme is to:

- properly manage and maintain the natural and cultural heritage collections,
- serve as centres for promotion of research and development,
- ensure that the Museum remains a centre of research excellence by publishing research output in accredited scientific journals.

Programme 3: Public Engagement

The objective of this programme is to:

- design and produce state of the art exhibitions and public programmes that showcase the Museum’s programmes,
- address national imperatives through exhibitions and public programmes,
- accelerate skills development in the heritage sector by providing mentorship and training opportunities,
- develop and implement education and outreach programmes for learners that are aligned to the Curriculum Assessment Policy Statement (CAPS) and National Curriculum Statement (NCS) and enhance heritage knowledge and education,
- develop and strengthen local and international partnerships to advance the objectives of the Museum.

Alignment to DAC Strategic Goals

DAC Strategic Goals	KZN Museum Strategic Objectives
A transformed, coherent and development-focused ACH Sector: To drive greater policy and planning coherence in the Sector towards the achievement of sectoral development outcomes	<ul style="list-style-type: none"> • Maintain and strengthen local and international links for the advancement of research collaboration • Build and maintain partnerships with the Department of Education / Conservation Stakeholders • Build relationships with other museums and other tourist attractions in the city • Promote entrepreneurship skills
Nation building through effective social cohesion programme implementation: To lead and coordinate nation building and social transformation through effective social cohesion programmes that promote cultural and linguistic diversity.	<ul style="list-style-type: none"> • Develop new exhibitions • Maintain and upgrade existing exhibitions • Develop and implement quality education and outreach programmes
A productive, diverse and inclusive ACH Sector: To protect, preserve, promote and develop Arts, Culture and Heritage and advance the socio-economic inclusivity and contribution of the Sector	<ul style="list-style-type: none"> • To promote and market the Museum using appropriate media • Dissemination of research output (knowledge) through publication and popular presentations. • Effective and representative collections management • Pursue programmes that create jobs and training opportunities.
A sound governance fiscal management system: To forge sound governance and fiscal management policies, systems and processes that enhance the capacity of the DAC and its entities to ensure the effective and efficient utilisation and leveraging of ACH resources for the benefit of all South Africans.	<ul style="list-style-type: none"> • Generate income • Source external funding • Compliance with legislation • Maintain and upkeep of Museum property (buildings and other property plant and equipment).
A professional and capacitated ACH Sector: To build the skills and capacity of the Sector to ensure its on-going development and responsiveness.	<ul style="list-style-type: none"> • Staff training • Capacity building • Internship and learnership programmes.

3. BUDGET ESTIMATE: 2020/2022

	<u>2015/2016</u> <u>AUDITED</u>	<u>2016/2017</u> <u>AUDITED</u>	<u>2017/2018</u> <u>AUDITED</u>	<u>2018/2019</u> <u>PROJECTED</u>	<u>2019/2020</u> <u>PROJECTED</u>	<u>2020/2021</u> <u>PROJECTED</u>	<u>2021/2022</u> <u>PROJECTED</u>
	(Rand)	(Rand)	(Rand)	(Rand)	(Rand)	(Rand)	(Rand)
REVENUE	33 130 374	35 423 417	48 396 390	52 040 391	58 749 600	71 753 455	105 936 375
DAC - SUBSIDY	18 175 000	19 138 000	27 495 000	29 075 000	30 646 000	32 331 530	34 109 764
DAC - MUNICIPAL CHARGES	3 317 437	4 346 337	4 691 000	4 963 000	4 272 000	4 511 000	4 755 450
DAC - PARKING - LEASE	170 889	242 527	222 899	239 000	258 000	278 470	293 786
DONATIONS	6 580	2 890	4 623	4 593	5 000	5 275	5 565
INTEREST	488 247	570 326	753 771	1 371 917	936 209	987 700	1 042 024
JOURNALS	211 782	94 950	46 311	55 001	58 500	61 718	65 112
ENTRANCE CHARGES	117 237	109 189	118 383	121 535	207 500	218 913	230 953
SCHOOL ENT CHARGES	32 536	43 679	43 446	47 972	87 948	92 785	97 888
LRC INCOME	121 463	112 736	97 572	96 021	118 500	125 018	131 893
MUSEUM SHOP	56 068	44 127	40 442	47 442	52 186	55 056	58 085
VENDING MACHINE	35 473	31 284	35 802	42 509	46 760	49 332	52 045
HOLIDAY PROGRAMME	7 660	15 400	59 090	53 980	56 679	59 796	63 085
HALL BOOKINGS				46 626	90 495	95 472	100 723
OTHER INCOME *	150 211	215 728	133 653	14 854	1 955 848	2 053 100	2 169 675
DPW - SERVICES - IN - KIND: RENTAL**	8 807 160	9 439 944	10 305 396	11 129 828	11 719 707	12 364 291	13 044 327
PROJECT FUNDS: RESEARCH & EXHIBITIONS	1 432 631	1 016 300	4 349 002	4 731 114	8 238 269	18 464 000	49 716 000
EXPENDITURE	(32 812 260)	(35 517 741)	(46 933 702)	(49 670 871)	(58 749 600)	(71 753 455)	(105 936 375)
PERSONNEL COSTS	(15 051 959)	(16 106 763)	(21 711 966)	(24 177 159)	(28 119 481)	(29 666 052)	(31 297 685)
OTHER OPERATING EXPENDITURE	(7 611 277)	(8 712 207)	(10 426 688)	(10 664 920)	(10 672 144)	(11 259 111)	(11 878 363)
SERVICES IN KIND - RENTAL**	(8 978 049)	(9 682 471)	(10 528 295)	(11 129 828)	(11 719 707)	(12 364 291)	(13 044 327)
GRANTS & PROJECT FUNDS EXPENDITURE	(1 170 975)	(1 016 300)	(4 266 753)	(3 698 963)	(8 238 269)	(18 464 000)	(49 716 000)
NET SURPLUS / (DEFICIT)	318 114	(94 324)	1 462 688	2 369 520	-	-	-

* In the financial periods 2019/2020 to 2021/2022, a depreciation estimate averaged at about R448, 333 per annum has been provided for, though the depreciation is a non-cash item. An equivalent amount has been included in the "Other Income" to avoid budgeting for a deficit. However, the Museum will utilize its reserves to set it off. Furthermore, included in the "Other Income" is the cost of compliance estimate averaged at about R1, 595, 468 per annum.

** Services-in-kind arise from the related party transactions between the Department of Arts and Culture (DAC) and the Department of Public Works (DPW). In terms of the Cultural Institutions Act, the DPW has made available land and buildings to the Museum at no consideration. It is the policy of the Museum to disclose the fair value of the rental benefit.

4. EXPENDITURE TRENDS

The Museum budget provides for the implementation of three programmes: Programme 1 (Administration) is divided into two sub-programmes; Entity Management and Governance and Support Services; Programme 2 (Business Development) focuses on conservation and research development; and Programme 3 (Public Engagement) consists of two sub-programmes; Exhibitions and Education and Outreach Programme. The total budget for the 2019/20 amounts to R58, 750 million, included in this amount are the services in kind item amounting to R11, 719 million as well as the grants and project funding expenditure that totals R8, 238 million. Therefore the operating budget for the 2019/20 amounts to R38, 791 million, this does not include grants and project funding for specific projects and the services in kind items. The operating budget will be distributed as follows:- Programme 1: Administration (56%), Programme 2: Business Development (25%), Programme 3: Public Engagement (19%). The main item driving the budget distribution of 56% in favour of Programme 1: Administration is the municipal charges item at R4, 272 million in 2019/20, rising to R4, 755 million in 2021/22. The main contributor to the grants and project funding expenditure item is the New Museum Project grant, the projected expenditure throughout the MTEF period is based on the stages of the infrastructure project lifecycle. The Museum projects that the 2019/20 period will see the implementation of the project inception stage, which takes about 5% of the total project lifecycle. In subsequent years, the project matures to the concept and viability as well as the design and development stages, hence the increased projected expenditure.

PART B: OUTPUT AND TARGETS PER PROGRAMME

5. Programme 1: Administration

Sub-programme 1.1: Entity Management and Governance								
Strategic Objective 1.1.1: Source External Funding								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Develop proposals, submit to funding agencies to raise funds for research, exhibition development, education & outreach programmes.	Funding applications submitted and amount raised per annum. This item is project dependent.	R1 227 500 received in total.	R445 000 received in total.	R928 000 received in total as follows: -R40 000 NRF incentive funding awarded to each of Whitelaw and Plisko. -R40 000 for curation obtained by Whitelaw from Prof Lyn Wadley of Wits University. -R8 000 for a display by Whitelaw from York University. -R800 000 from the National Lotteries Commission for the “assisted organisation”, Oupa Novelties Trust.	Two applications submitted.	Two applications submitted.	Two applications submitted.	Two applications submitted.
Strategic Objective 1.1.2: Contain Costs								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Adhere to procurement procedures, PFMA and	Compliance with internal control procedures pertaining	Qualified audit opinion.	Qualified audit opinion.	Unqualified audit opinion. An internal	Unqualified audit opinion.	Unqualified audit opinion.	Unqualified audit opinion.	Unqualified audit opinion.

<p>Treasury Regulations to ensure that the Museum achieve value for money in its spending.</p>	<p>to procurement of goods and services to prevent irregular and wasteful expenditure. Compliance with PFMA</p>			<p>audit for the year was conducted by Morar Incorporated in January 2018. The internal audit report issued by the auditors raised minor exceptions, indicating that the Museum is on the right track in respect of compliance with internal controls and PFMA.</p> <p>The internal audit report was presented to the Audit and Risk Committee in February 2018. Corrective action was agreed upon to address matters raised by the internal auditor.</p> <p>The Museum continued to produce monthly management accounts and quarterly financial reports to monitor expenditure trends.</p>				
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Strategic Objective 1.1.3: Compliance with Legislation								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Develop and implement policies in line with legislation, i.e. PFMA, Treasury Regulations, GRAP, Labour Relations Act, Basic Conditions of Employment Act, etc.	Improved stakeholder relations: prepare and submit timeously the Museum Strategic Plan, Annual Performance Plan, Annual Budget, Quarterly Reports, Annual Financial Statements, ENE and MTEC databases and Annual Report. Hold regular Council and Audit & Risk Committee meetings, Internal Audit.	The Museum obtained a qualified audit opinion due to non-compliance with the valuation aspect of GRAP 103: Heritage Assets. The heritage Assets were not valued due to unavailability of resources.	The Museum obtained a qualified audit opinion due to non-compliance with the valuation aspect of GRAP 103: Heritage Assets. The heritage Assets were not valued due to unavailability of resources.	<p>Unqualified audit report. The Annual Financial Statements (AFS) and the Annual Report for the year ended 31 March 2017 were prepared and submitted to the Auditor-General (AG) for audit on 31 May 2017.</p> <p>The audited Annual Financial Statements (AFS) for the year ended 31 March 2017 including the report of the AG were submitted to DAC and National Treasury on 31 July 2017.</p> <p>The 2016/17 Annual Report was submitted to Parliament on 30 August 2017.</p> <p>All four quarterly reports were submitted</p>	Unqualified audit report.	Unqualified audit report.	Unqualified audit report.	Unqualified audit report.

				<p>within one month of end of quarter.</p> <p>The MTEC 2018 and ENE 2018 were submitted to DAC and National Treasury.</p> <p>The Museum Council held four (4) Council meetings, and twelve (12) Council committees meetings were held.</p> <p>The Audit and Risk Committee met five (5) times during the year.</p> <p>The draft and final Annual Performance Plan, Shareholders Compact and Budget for the 2018/19 period were submitted within the set timelines.</p>				
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Strategic Objective 1.1.4: Improve Employee Satisfaction								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Provide and improve tools of trade to improve working conditions.	Improved productivity. Effectiveness and efficiency of Museum operations. Provide annual Budget for equipment.	R802 582	R1 181 762	A total amount of R937 326 was spent on the acquisition of new assets as follows: deferred grants and project funding financed R111 123. R826 203 was from internal funding.	A total amount of R2 628 879 to be spent on the acquisition of new assets as follows: deferred grants and project funding financed R989 147 and R1 639 732 from internal funding.	R800 000 spent on new assets/ equipment.	R300 000 spent on new assets/ equipment.	R300 000 spent on new assets/ equipment.
Strategic Objective 1.1.5: Staff Training								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Develop and fund annual training plan for staff development (formal & informal training).	Training budget set at 1% of personnel expenditure per annum.	R143 326	R149 060	During the period under review, R144 534 was spent on staff training and development, benefiting 37 staff member.	R262 489 utilized on training.	R399 892 utilized on training.	R421 886 utilized on training.	R445 090 utilized on training.
Sub-programme 1.2: Support Services								
Strategic Objective 1.2.1: To Promote and Market the Museum using Appropriate Media								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Grow visitor numbers.	An annual increase of 5% in the number of visitors	64 579 visitors received.	81 563 visitors received.	74 841 people visited the Museum in this financial year.	74 758 visitors.	78 495 visitors.	82 420 visitors.	86 211 visitors.

Develop core audience: Develop promotional material to promote Museum programmes.	Advertising and marketing in various media platforms.	R117 000	R131 780	R 249 436 was spent on advertising in print & electronic media.	R336 587 to be spent advertising in print & electronic media.	R230 000 to be spent advertising in print & electronic media.	R242 650 to be spent advertising in print & electronic media.	R255 996 to be spent advertising in print & electronic media.
Implement a Museum membership programme.	An annual increase of 10% in number of members in the programme.	-	-	-	Launch the programme to the public.	1 000 members.	1 100 members.	1 210 members.
Strategic Objective 1.2.2: Coordinate the Publication of the Strategic Plan, Annual Performance Plan and Annual Report								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Coordinate the Publication of the Strategic Plan, Annual Performance Plan and Annual Report.	Publication of Strategic Plan, Annual Performance Plan and Annual Report done timeously to meet applicable deadlines.	1 Annual Report, 1 Annual Performance Plan and 1 Strategic Plan produced and submitted on time. R45,000	An amount of R66 970 was spent to produce the 2015/16 Annual Report, Annual Performance Plan for the 2017/18 period and Shareholder Compact for the 2017/18 period.	An amount of R36 073 was spent in producing the 2016/17 Annual Report, Annual Performance Plan for the 2018/19 period and Shareholder Compact for the 2018/19 period.	Produce 1 Annual Report and 1 Annual Performance Plan. R62 000.	Produce 1 Annual Report and 1 Annual Performance Plan. R65 000.	Produce 1 Annual Report and 1 Annual Performance Plan. R68 575.	Produce 1 Annual Report and 1 Annual Performance Plan. R72 346.
Strategic Objective 1.2.3: Maintenance and Upkeep of Museum Property								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Maintenance of Museum's immovable and movable property: Develop plans for the proper maintenance of the building and vehicles and other equipment.	Repair identified defects and keep Museum building, vehicles and other equipment well maintained and safe to use. Budget for maintenance.	R269 970 utilized. All identified defects reported to DPW or repaired.	An amount of R284 030 was spent on the maintenance of the buildings, vehicles and equipment. All identified defects were	All identified defects were repaired or reported to DPW.	All identified defects reported to DPW or repaired in-house.	All identified defects reported to DPW or repaired in-house.	All identified defects reported to DPW or repaired in-house.	All identified defects reported to DPW or repaired in-house.

			repaired or reported to DPW.					
To ensure compliance with the Occupational Health and Safety Act.	Effective Health and Safety (H&S) Committee in place (4 meetings held per annum).	4 H&S Committee meetings held.	4 H&S meetings were held	4 H&S meetings were held in July 2017, October 2017, January 2017 and March 2018. Quarterly fumigation to building and collection rooms done as per schedule. New service provider appointed to monitor the Fire Detection System.	4 H&S Committee meetings held.			

6. Programme 2: Business Development

Strategic Objective 2.1: Dissemination of Research Output (Knowledge) through Publication and Popular Presentations								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Coordinate the publication of African Invertebrates in compliance with the ASSAf and Thomson requirements for evaluation.	Publish one volume of African Invertebrates in hard copy and electronic format.	1 printed volume (2 parts) published. Journal on-line.	10 papers of Volume 57 published online.	12 papers of Volume 58 published online. Volume 57 and 58 printed.	Publish online and produce 1 hard copy of African Invertebrates.	At least one volume published online per annum.	At least one volume published online per annum.	At least one volume published online per annum.
Coordinate the publication of the Southern African Humanities Journal.	One issue / volume of the peer reviewed Southern African Humanities Journal per annum.	1 volume published.	Southern African Humanities journal Volumes 28 and 29 published.	Southern African Humanities Journal Volume 30, 2017 published.	Publish one volume of Southern African Humanities.	At least one volume published.	At least one volume published.	At least one volume published.

<p>Generate and present new knowledge regarding the southern African molluscan, Arthropoda, earthworm faunas, fossil invertebrates and the national cultural heritage.</p>	<p>Number of original research papers on Southern African Mollusca, Arthropoda, Earthworm faunas, fossil invertebrates and the national cultural heritage.</p>	<p>8 papers.</p>	<p>15 papers.</p>	<p>A total of eight (8) research papers were produced.</p> <p>Department of Human Sciences (DHS): 3 papers published as follows: Whitelaw = 1; Laue = 2. 1 Book Review by Laue.</p> <p>Department Natural Sciences (DNS): 5 papers published as follows: Herbert =1; Nxele = 2; Midgley =1; Ziganira = 1</p> <p>N.B. Details of publications are provided at the end.</p>	<p>7 papers published.</p>	<p>8 papers published.</p>	<p>8 papers published.</p>	<p>8 papers published.</p>
	<p>Number of research papers presented at conferences and workshops.</p>	<p>5 presentations.</p>	<p>3 presentations.</p>	<p>Total of 5 research papers and 1 poster presentation made.</p> <ul style="list-style-type: none"> •Nxele “English Common Names for KZN Earthworms” •Ziganira “Digitization of collection databases of the KwaZulu-Natal Museum and 	<p>6 presentations.</p>	<p>7 presentations.</p>	<p>7 presentations.</p>	<p>7 presentations.</p>

				<p>introduction of NSCF for South Africa". Museum Computer Network Conference. Pittsburgh, Pennsylvania, USA, November 7-10 2017.</p> <ul style="list-style-type: none"> •Whitelaw "Contact at Ntshekane" •Laue "Not merely touching the surface: beyond the essentialisation of cultures in the investigation of handprints in southern African rock art" •Tlhoale "Archaeology and education: presenting archaeology to primary school learners". Munzhedzi "Conservation threats faced by museum collections" (poster presentation). 				
To function as a centre of expertise and primary reference resource for Human Sciences and Natural Sciences collection.	Number of loan requests per annum. Responses to collection based enquiries.	42 loans managed.	67 loans managed.	9 loans were issued: •5 loans issued by Human Sciences. 4 loans issued by Natural Sciences.	35 loans managed.	35 loans managed.	35 loans managed.	35 loans managed.

	Number of visiting researchers accommodated per annum.	49 visitors.	34 visitors	35 local and international visitors were accommodated. •DHS: 10 local and international visitors were accommodated. DNS: 21 local and 4 international visitors were accommodated.	24 visitors hosted.	15 visitors hosted.	15 visitors hosted.	15 visitors hosted.
	Popular presentation of research and collection information.	15 popular presentations.	24 popular presentations.	18 popular presentations done. DHS: Whitelaw delivered 2 talks to SAAS. Whitelaw led 2 field excursions for SAAS. Laue delivered 1 talk to Mangosuthu University of Technology. Munzhedzi took 4 “behind the scenes” tours for learners and retired people. DNS: 9 presentations given.	6 popular presentations.	6 popular presentations.	6 popular presentations.	6 popular presentations.

	Assist with organizing SAAS events.	8 events.	9 events.	Whitelaw & Laue organized 8 events.	8 events organized.	8 events organized.	8 events organized.	8 events organized.
Strategic Objective 2.2: Collections Management								
Programme Measurable Objective	Programme Performance Indicator	Audited / Actual Performance			Current Year	Medium Term Targets		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Digitization of collections: Natural Science.	Number of new record entered on the database.	-	-	Natural Science: 13 000 Malacology records updated, 4 631 new Arthropoda records added, 17 757 Arthropoda records verified and updated for GRAP103 assessment.	- Entomology: 8 000 - Arthropoda: 1 500 - Oligochaetes: 300 - Mollusca: 300.	- Entomology: 8 000 - Arthropoda: 1 500 - Oligochaetes: 300 - Mollusca: 300.	- Entomology: 8 000 - Arthropoda: 1 500 - Oligochaetes: 300 - Mollusca: 300.	- Entomology: 8 000 - Arthropoda: 1 500 - Oligochaetes: 300 - Mollusca: 300.
Digitization of collections: Human Science.	Number of new record entered on the database.	1 contract staff member appointed to assist with databasing of Natural History collections. 22,618 specimen lots catalogued and/or databased. Proper systems in place to ensure conservation & preservation of collections.	A total of 20 705 items were databased.	• Databasing and valuation of Human Sciences collections complete.	- Anthropological: 12 000 - Archaeological: 12 000 - History Collection: 12 000 - Special Collections: 12 000.	- Anthropological: 12 000 - Archaeological: 12 000 - History Collection: 12 000 - Special Collections: 12 000.	- Anthropological: 12 000 - Archaeological: 12 000 - History Collection: 12 000 - Special Collections: 12 000.	- Anthropological: 12 000 - Archaeological: 12 000 - History Collection: 12 000 - Special Collections: 12 000.
Conduct field trips to further expand the Natural and Human Science collections.	Number of field trips conducted.	11 field trips.	9 field trips.	Total of 11 field trips undertaken.	11 field trips.	9 field trips conducted.	9 field trips conducted.	9 field trips conducted.

7. Programme 3: Public Engagement

Sub-programme 3.1: Exhibitions								
Strategic Objective 3.1.1: Develop Exhibitions								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Develop new theme based exhibitions.	Invertebrate Exhibition.	-	-	The exhibition space has been repaired and repainted.	Commence research, concept designs for space.	Decommission part of the Foreign Mammal Hall cases and commence production.	Continue production.	Open Exhibition to the public.
	Conduct research and plan the Rise of the Zulu Kingdom Exhibition & open to the public.	Draft proposal developed.	Draft proposal was developed and concept designs made.	A floor plan and exhibition flow chart generated for the gallery. New designs generated for the modification of the existing glass cabinets.	Current items on display in the Sisonke gallery removed to allow for repair and maintenance of the display cases.	Research and conceptualise exhibition. Clear display cases, prepare and paint.	Dismantle the Sisonke layout.	Commence with production of panels and integration of information.
Develop temporary and travelling exhibitions to take the Museum to the communities, particularly the previously disadvantaged communities.	Number of temporary displays or travelling exhibitions produced per annum. 1 per annum.	2015 International Year of Light exhibition developed. National Symbols Exhibition. Display at Garden Show and Careers Expo.	Two "Museum in a Box" traveling exhibitions completed. One is based on mammals and the other one is based on birds.	Five travelling displays produced: Oliver Tambo and the Frontline States, African Textiles, Climate Change in a Box, Sibudu in a Box and a double helix DNA model.	Produce and open the Nelson Mandela Exhibition to the public.	Produce 1 temporary exhibition.	Produce 1 temporary exhibition.	Produce 1 temporary exhibition.
Host temporary exhibitions developed by members of the public / NGOs and relevant organisations.	Host one temporary exhibition per annum.	Hosted the Positive Living including the Hate Crime exhibition.	Hosted and assisted in the production of 'Safe Spaces', a temporary	'Africa - a celebration of heritage and diversity' produced for the	Host one temporary exhibition.	Host one temporary exhibition.	Host one temporary exhibition.	Host one temporary exhibition.

		Mandela 27 exhibition still on display.	exhibition by the Gay and Lesbian Network.	Africa Month celebrations. The National Symbols Exhibition which featured silhouettes decorated by schools produced as part of the Heritage Day celebrations.				
Undertake legacy programme. Video interview at least 2 icons (people) per year who have contributed to the City of Pietermaritzburg, South Africa or Africa. Include the interviews in various exhibitions.	Interview two individual who have made a contribution to society or the environment.	-	-	Interview Albie Sachs, Dennis Goldberg and Aron Mazel.	Identify and interview two icons.			
Strategic Objective 3.1.2: Maintain and Upgrade Existing Exhibitions								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Maintenance of galleries and exhibits.	Properly maintained and relevant exhibitions.	Freestanding mammals were dusted and treated with leather care. Cracks caused by temperature fluctuations where patched and painted on the elephants, rhino and hippo.	Freestanding mammals were treated with leather care. Hides were regularly inspected for any deterioration.	Freestanding mammals received quarterly treatment of leather care along with regular inspections for any deterioration. Both the Hippopotamus and the White Rhinoceros showed signs of temperature damage. The	Quarterly inspection, treatment of hides. Regular maintenance done.	Quarterly inspection, treatment of hides. Regular maintenance done.	Quarterly inspection, treatment of hides. Regular maintenance done.	Quarterly inspection, treatment of hides. Regular maintenance done.

				cracks were repaired and repainted. Annual Fumigation of galleries was conducted on 15 December 2017.				
Upgrade of galleries to incorporate Indigenous Knowledge Systems (IKS).	Indigenous Knowledge added to the exhibitions through relabelling and upgrading.	Finalized the proposal and designed concepts. Completed 3 bird cages. Designed swallow sculpture and had them installed. Light box frames constructed.	IKS added to the Bird Galleries. The upgrade was completed in December 2016.	New dinosaur labels have been designed and translated into isiZulu.	Relabel and include IKS into one exhibition hall.	Relabel and include IKS into one exhibition.	Relabel and include IKS into one exhibition.	Relabel and include IKS into one exhibition.

Sub-programme 3.2: Education and Outreach Programmes

Strategic Objective 3.2.1: Develop and Implement Quality Education and Outreach Programmes to expand the Audience Base

Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
To grow audience base: number of visitors from schools.	10% annual increase in the number of visitors from schools.	15 065 learners	27 307 learners.	21 785 learners visited the Museum.	20 052 learners.	22 057 learners visiting the Museum.	24 263 learners visiting the Museum.	26 689 learners visiting the Museum.
Develop quality after-school programmes that are NCS & CAPS aligned to expand the Sabalala Nolwazi Environmental Youth Club.	Maintain the number of learners attending the after school programme at 1600.	873 participating learners.	838 participating learners.	1 046 participating learners.	1 162 participating learners.	1 600 participating learners.	1 600 participating learners.	1 600 participating learners

Develop CAPS aligned outreach programmes; expand the Vulindlela and Camperdown Rural schools outreach programme.	Maintain the number of schools participating in the outreach programme per annum.	17 participating schools.	17 schools participated.	18 participating schools	18 participating schools.	20 participating schools.	20 participating schools.	20 participating schools.
Enviro – Reach schools programme aligned to CAPS Life Science for Durban area and PMB surround.	Number of schools participating in the programme per annum.	-	-	-	10 participating schools.	10 participating schools.	10 participating schools.	10 participating schools.
Develop a Museum based arts and craft workshops for the biannual Holiday Programme.	Number of workshops held per annum.	2 creative arts workshops	2 Holiday Programmes.	3 Holiday Programme events.	2 creative arts workshops			
Hosting of a public event: Night at the Museum.	Arrange activities, shows and displays that engage the public and promote the Museum.	Host 2 Night at the Museum events per annum.	Host 1 Night at the Museum events per annum.	Host 2 Night at the Museum events per annum.	Host 2 Night at the Museum events per annum.	Host 2 Night at the Museum events per annum.	Host 2 Night at the Museum events per annum.	Host 2 Night at the Museum events per annum.
Develop programmes to focus on Museum displays to develop essay writing and debating skills of learners.	Hosting of Heritage Month competition.	1 Heritage Quiz held.	1 Heritage Quiz held.	Heritage Quiz Competition took place on 28 September 2017. Twelve schools participated in the competition. 108 people attended the event.	1 Heritage Quiz held.			
Create Awareness around National Days and other days of Importance and their role in the promotion of social cohesion and nation building in South Africa.	Number of Special (National Days) days observed/celebrated per annum.	12 days observed/celebrated.	The Wellness Day event took place on 8 April 2016. 34 staff members and 32 visitors attended. The Biodiversity Day event took place on 20 May 2016 in the	Freedom Day was celebrated on 24 April 2017. 138 learners attended. Biodiversity Day - The event was hosted in collaboration with Msunduzi Museum as part of Africa Month celebrations. The	10 days observed/celebrated.	10 days observed/celebrated.	10 days observed/celebrated.	10 days observed/celebrated.

			<p>Botanical Gardens. 139 attended. The Youth Day event, in collaboration with EDTEA and UMDM Municipality was on 23 June 2016. 170 people attended.</p> <p>Mandela Day – Arthur Blaxall School for the Blind came for a behind the scenes tour on 20 July 2016. 35 learners attended. A R2 000 book voucher was presented to Thornville Primary School on 26 July 2016 towards the development of a Library. 54 learners attended.</p> <p>Women's Day - The event took place on 11 August 2016 in collaboration Umgeni Water.</p>	<p>event was attended by 297 people.</p> <p>Africa Day - The event was hosted in collaboration with Msunduzi Museum on 26 May 2017. The event was attended by 177 people.</p> <p>Youth Day - The event took place on 23 June 2017. 39 learners attended.</p> <p>Mandela Day - The event was celebrated with H.S Ebrahim School. Museum donated beanbags, football tables, soccer balls, a worm farm and herbs for a vegetable garden.</p> <p>Arbor Day - The event took place on 01 September 2017 at Table Mountain Primary School. Trees and flowers were donated and planted in the school and herb garden was established in the</p>				
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			<p>50 women attended.</p> <p>Arbor Week - Seven schools were visited in September 2016. They were Taught the importance of trees. 48 trees were planted.</p> <p>Heritage Day - The event was hosted in collaboration with Msunduzi Museum on 23 September. 307 people attended.</p> <p>16 Days of activism for No Violence Against Women and Children - Posters were displayed. Ribbons were distributed to visitors. Messages of support written by visitors was displayed.</p> <p>World Aids Day: Posters were displayed. Red ribbons were distributed to visitors.</p>	<p>school.</p> <p>Heritage Day - The event was held on 22 September 2017. The theme was National Symbols. A total of 165 people attended.</p> <p>16 Days of Activism for no Violence Against Women and Children - The event took place on 30 November 2017. Talks were delivered by Lifeline and ChildLine to the youth. A total of 48 people attended.</p> <p>World Aids Day - The day was commemorated in collaboration with Red Cross and Siyayinqoba Beat It. A total of 80 people attended.</p> <p>Human Rights Day - The event was held at Swayimane Hall on 20 March 2018. It was held in collaboration with the South African Humans Rights</p>				
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			<p>Messages of support written by visitors was displayed.</p> <p>Human's Rights Day - Event took place on 23 March 2017. Talk by South African Humans Right Commission and Lawyers for Human Rights. 197 learners attended.</p>	Commission, Red Cross and Siyayinqoba Beat it. A total 160 people attended.				
Develop women Empowerment Programmes: organize skills workshops to transfer skills to local women.	Number of local women participating in skills transfer workshops per annum.	20 women participants.	<p>50 women attended the Women's Day event workshop on 11 August 2016. The workshop was about Water Conservation and Sanitation.</p>	Women's Day - The event was held on the 08 August 2017. Sindiso Chamane (former Sabalala pupil) was the guest speaker on the day. 60 people attended the event.	64 women participants.	157 women participants.	164 women participants.	172 women participants.
To develop a Discovery Centre in the Museum to be utilised by the youth	Apply for Funding; complete Discovery Centre for public use.	-	-	-	Conceptualise the Discovery Centre and source funding.	Source funding.	Complete the Centre and open it to the public.	Open the Centre to the public.

Strategic Objective 3.2.2: Build and Maintain Partnerships with Department of Education and Other Heritage / Conservation Institutions								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Partnership with the Department of Education: To liaise with the Department of Education in order to develop NCS and CAPS aligned education and outreach programmes.	Hold two workshops with the Educators and Subject Advisors per annum.	2 workshops.	<p>Underwater Cultural Heritage Youth Development Programme - Event took place on 11 & 12 April 2016. The focus was underwater heritage. 38 educators and learners attended.</p> <p>Evolution Workshop – Event took place on 27 February 2017. 51 educators and 2 subject adviser attended.</p> <p>Sabalala Nolwazi Educators Workshop- Event was held on 17 February 2017. 21 educators attended.</p>	<p>Educator’s workshop: hosted in collaboration with the Midlands Meander Education Project on 08 September 2017. Educators were taught different hands-on activities that they can utilize in the classroom. 24 educators attended.</p> <p>Educators Workshop - A Life Science workshop for grade 12 educators took place on 22 February 2018. Three sections were covered in the workshop: Genetics, Evolution and “errors usually made by learners in exams”. Total of 92 educators attended the workshop.</p>	2 workshops held.	2 workshops held.	2 workshops held.	2 workshops held.
Partnership with other institutions in the education/conservation/	Number of collaborative projects per annum.	2 shared educational projects.	2 shared educational projects.	Happy Earth Festival - The event took place in	3 shared educational projects.			

<p>heritage sector to form collaborative initiatives on enhancing the natural and cultural history education.</p>				<p>Botanical Gardens on 20 and 21 April 2017. 1500 learners from 65 schools participated.</p> <p>Cell C Take a girl child to work - The Museum in collaboration with South African National Biodiversity Institute (SANBI), Umgeni Water, EDTEA and Msunduzi Museum participated in Take a Girl Child to Work. 30 girls participated.</p> <p>Fabric Workshops - Two workshops were held in collaboration with Msunduzi Museum as part of Africa Month Celebrations. The first workshop was held on 4 May 2017 at the KwaZulu-Natal Museum. 36 learners attended. The Second workshop was held on 9 May</p>				
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				2017 at the Msunduzi Museum and was attended by a number of women.				
Work with community leaders to develop Museum awareness.	Host one seminar with various community leaders per annum.	1 seminar held.	1 seminar held.	Traditional Healers Workshop - The event was held on 12 December 2017 in collaboration with the Department of Agriculture, Forestry and Fisheries (DAFF), Ezemvelo-KZN Wildlife and UMDM. Traditional leaders were taught about the importance of acquiring collecting permits and the process they need to undergo to obtain them. 50 traditional healers attended.	1 seminar held.	1 seminar held.	1 seminar held.	1 seminar held.
Strategic Objective 3.2.3: Maintain and Strengthen Local and International Links for the Advancement of Research Collaboration								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Participate in joint natural and human sciences research projects and educational programmes through collaboration with national research and educational institutions and government bodies.	Number of collaborative projects undertaken per annum.	9 collaborative projects.	10 collaborative Projects.	DHS: Collaborative project with Lawrence Owens on human remains morphology. DNS: 1) Ben Rowson (Nat. Mus. Wales)	12 collaborative projects undertaken.			

				<p>[Herbert]; 2) Mary Cole (East London Mus.) [Herbert]; 3) Suzanne Williams (NHMUK) [Herbert]; 4) Adnan Moussalli (Mus. Victoria) [Herbert]; 5) Owen Griffiths (Mauritius) [Herbert]; 6) Vasily Kovtunovich (Moscow) [Muratov]; 7) Alain Robin (France) [Muratov]; 8) Taro Mwabvu (University of Mpumalanga) [Nxele]; 9) SERG (Stellenbosch) [Nxele], 10) Martin Villet (Rhodes University) [Midgley and Williams], 11) Michael Forthman (University of Florida) [Midgley].</p>				
	Number of joint field trips undertaken per annum.	2 joint field trips.	5 joint field trips.	DHS: Collaborative fieldtrip with 1 staff and 3 students from Winchester University.	3 joint field trips undertaken.	2 joint field trips undertaken.	2 joint field trips undertaken.	2 joint field trips undertaken.

				<p>Laue attended Border Cave excavation with Evolutionary Studies Institute (ESI).</p> <p>Laue attended Klasies River Mouth excavation with Wits University.</p> <p>DNS: 1 joint field trip in Kologha Forest and Great Fish River Reserve, Eastern Cape 2 to 10 October (Midgley and Pillay): Joint trip with National Museum, Bloemfontein.</p>				
	Number of manuscripts reviewed for international journals per annum.	13 manuscripts reviewed.	17 manuscripts reviewed.	<p>DHS: Laue reviewed 1 paper for Azania publication. Whitelaw reviewed 1 paper for the South African Archaeological Bulletin.</p> <p>DNS: 5 manuscripts reviewed: Muratov (PeerJ), Midgley (International Journal of Legal</p>	9 manuscripts reviewed.	9 manuscripts reviewed.	9 manuscripts reviewed.	9 manuscripts reviewed.

				Medicine), Midgley (International Journal of Legal Medicine), Muratov (ZooKeys), Nxele (International Letters of Natural Science).				
Strategic Objective 3.2.4: Build Relationships with other Museums and Tourist Attractions in the City								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Build relationships with other Museums and tourists attractions in the city.	Number of collaborative projects with other institutions held per annum.	3 collaborative projects.	2 collaborative projects.	Collaborated with the Msunduzi Museum and Project Gateway to host the Museum Passport competition. Collaborated with the Happy Earth Forum (a total of 20 organisations) to promote the Museum at the Happy Earth Festival held at the Botanical Gardens. Collaborated with the Msunduzi Museum to host 2 joint events for Africa Month (Africa Day event and Africa Exhibition Opening).	4 collaborative projects undertaken.	5 collaborative projects undertaken.	5 collaborative projects undertaken.	5 collaborative projects undertaken.

Strategic Objective 3.2.5: Capacity Building								
Programme Measurable Objective	Programme Measurable Objective	Programme Measurable Objective			Programme Measurable Objective	Programme Measurable Objective		
		2015/16	2016/17	2017/18		2018/19	2019/20	2020/21
Supervise postgraduate students. Train and supervise interns. Provide required experiential learning to Tertiary students.	Number of students trained or supported each year. Successful award of postgraduate degrees and other tertiary qualifications.	16 students/ interns supervised/ trained.	13 students trained in total.	<p>Education Dept.: 18 students/ interns trained as follows: 5 Travel and tourism students from ICESA for 3 months; 8 Ecotourism students from the Durban University of Technology for six months; 3 Cathsseta interns for a year; and 2 Travel and Tourism students from the Coastal KZN TVET College (Umbumbulu and Appelsbosch campuses).</p> <p>Exhibitions Dept.: 3 students/ interns trained.</p>	14 students/ interns supervised/ trained.	16 students/ interns supervised/ trained.	16 students/ interns supervised/ trained.	16 students/ interns supervised/ trained.
Host the National Research Foundation (NRF) seconded intern.	Host one (per annum) NRF intern in the research departments (Natl /Hum Sci).	3 NRF interns hosted.	3 NRF interns hosted.	Inandi Maree interned with NRF support in Humanities.	1 NRF intern hosted.			

PART C: QUARTERLY TARGETS FOR 2019/2020

8. Programme 1: Administration and Governance

Sub-programme 1.1: Entity Management and Governance						
Strategic Objective 1.1.1: Source External Funding						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Funding applications submitted. This item is project dependent.	Quarterly	Two applications submitted.	-	Two applications submitted.	-	-
Strategic Objective 1.1.2: Contain Costs						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Compliance with internal control procedures pertaining to procurement of goods and services to prevent irregular and wasteful expenditure. Compliance with PFMA	Quarterly	Unqualified audit report.	Produce monthly management accounts and monitor expenditure trends. Produce the Financial Report for the Quarter Ending	Produce monthly management accounts and monitor expenditure trends. Produce the Financial Report for the Quarter Ending.	Produce monthly management accounts and monitor expenditure trends. Produce the Financial Report for the Quarter Ending.	Produce monthly management accounts and monitor expenditure trends. Produce the Financial Report for the Quarter Ending.
Strategic Objective 1.1.3: Compliance with Legislation						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Improved stakeholder relations: prepare and submit timeously the Museum Strategic Plan, Annual Performance Plan, Annual Budget, Quarterly Reports, Annual Financial Statements, ENE and MTEC databases and Annual Report. Hold regular Council and Audit & Risk Committee meetings, Internal Audit.	Quarterly and Annually	Unqualified audit report.	Prepare Quarterly Report for quarter ending 31 March 2019, Prepare AFS and Annual Report for 2018/19, hold Council Meeting and Audit and Risk Committee Meetings to approve draft AFS.	Prepare Quarterly Report for quarter ending 30 June 2019, submit ENE/MTEC database, prepare and Submit to DAC draft APP for 2020/21 and Strategic Plan for 2020 – 2024.	Prepare Quarterly Report for quarter ending 30 September 2019, hold Council Meeting and Audit and Risk Committee Meetings to approve AFS, submit 2 nd draft APP to DAC. Interim Internal Audit Report issued.	Hold Prepare Quarterly Report for quarter ending 31 December 2019, hold Council Meeting and Audit and Risk Committee Meetings.

Strategic Objective 1.1.4: Improve Employee Satisfaction						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Improved productivity. Effectiveness & efficiency of Museum operations. Provide annual Budget for equipment.	Quarterly	R800 000	R500 000	R168 000	R84,000	R48 000
Strategic Objective 1.1.5: Staff Training						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Training budget set at 1% of personnel expenditure per annum.	Quarterly	R399 892	R40 000	R160 000	R63 900	R135 992
Sub-programme 1.2: Support Services						
Strategic Objective 1.2.1: To Promote and Market the Museum using Appropriate Media						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
An annual increase of 5% in the number of visitors to the Museum.	Quarterly	78 496 visitors.	13 345	23 549	19 624	21 978
Advertising and marketing in various media platforms.	Quarterly	R230 000 to be spent marketing the Museum in print media, social networks, and through joint marketing initiatives with other organisations.	Market the Museum in print media, social networks, and through joint marketing initiatives with other organisations.	Market the Museum in print media, social networks, and through joint marketing initiatives with other organisations.	Market the Museum in print media, social networks, and through joint marketing initiatives with other organisations.	Market the Museum in print media, social networks, and through joint marketing initiatives with other organisations.
An annual increase of 10% in number of members in the Museum membership programme.	Quarterly	1 000 members.	250 members.	250 members.	250 members.	250 members.
Strategic Objective 1.2.2: Coordinate the Publication of the Strategic Plan, Annual Performance Plan and Annual Report						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Publication of Strategic Plan, Annual Performance Plan and Annual Report done timeously to meet applicable deadlines.	Bi-Annually	Produce 1 Annual Report and 1 Annual Performance Plan. R65 000.	-	Produce 1 Annual Report. R53 382	-	1 Annual Performance Plan. R11 618

Strategic Objective 1.2.3: Maintenance and Upkeep of Museum Property						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
Repair or report to DPW all identified defects and keep Museum building, vehicles and other equipment well maintained and safe to use.	Quarterly	All identified defects reported to DPW or repaired.	All identified defects reported to DPW or repaired.	All identified defects reported to DPW or repaired.	All identified defects reported to DPW or repaired.	All identified defects reported to DPW or repaired.
Effective Health and Safety (H&S) Committee in place (4 meetings held per annum). Firefighting equipment and detection system serviced regularly.	Quarterly	4 H&S Committee meetings.	1 H&S Committee meeting.			

9. Programme 2: Business Development

Strategic Objective 2.1: Dissemination of Research Output (Knowledge) through Publication and Popular Presentations						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
Publish one volume of African Invertebrates in hardy copy and electronic format.	Quarterly / Annually	At least one volume published online per annum.	Publish articles online as they become available.	Publish articles online as they become available.	Publish articles online as they become available.	Publish one volume of African Invertebrates.
One issue / volume of the peer reviewed Southern African Humanities Journal per annum.	Quarterly / Annually	At least one volume published.	Publish articles online as they become available.	Publish articles online as they become available.	1 volume of the Southern African Humanities journal published.	Publish articles online as they become available.
Number of original peer-reviewed scientific research papers.	Quarterly /Annually	7 papers published.	2 papers published.	1 paper published.	2 paper published.	2 papers published.
Number of research papers presented at conferences and workshops.	Quarterly /Annually	7 presentations.	2 presentations.	2 presentations.	1 presentation.	2 presentation.
Number of loan requests per annum. Responses to collection based enquiries.	Quarterly	35 loans issued.	8	9	9	9
Number of visiting researchers accommodated per annum.	Quarterly	15 visitors.	4 visitors.	3 visitors.	3 visitors.	5 visitors.
Popular presentation of research and collection information.	Quarterly	6 popular presentations.	1 popular presentation	2 popular presentations	1 popular presentation	2 popular presentations
Assist with organizing South African Archaeological Society events.	Quarterly	8 events.	2 events	2 events	2 events	2 events

Strategic Objective 2.2: Collections Management						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Number of new record entered on the database.	Quarterly	- Entomology: 8 000 - Arthropoda: 1 500 - Oligochaetes: 300 - Mollusca: 300.	- Entomology: 2 000 - Arthropoda: 400 - Oligochaetes: 75 - Mollusca: 100.	- Entomology: 2 000 - Arthropoda: 250 - Oligochaetes: 75 - Mollusca: 50.	- Entomology: 2 000 - Arthropoda: 500 - Oligochaetes: 75 - Mollusca: 100.	- Entomology: 2 000 - Arthropoda: 350 - Oligochaetes: 75 - Mollusca: 50.
Number of new record entered on the database.	Quarterly	- Anthropologica l: 12 000 - Archaeological : 12 000 - History Collection : 12 000 - Special Collections: 12 000.	- Anthropological: 3 000 - Archaeological: 3 000 - History Collection : 3 000 - Special Collections: 3 000.	- Anthropological: 3 000 - Archaeological: 3 000 - History Collection : 3 000 - Special Collections: 3 000.	- Anthropologi cal: 3 000 - Archaeologic al: 3 000 - History Collection : 3 000 - Special Collections: 3 000.	- Anthropologi cal: 3 000 - Archaeologic al: 3 000 - History Collection : 3 000 - Special Collections: 3 000.
Number of field trips conducted.	Quarterly	9 field trips.	2 field trips.	5 field trips conducted.	1 field trip conducted.	1 field trip conducted.

10. Programme 3: Public Engagement

Sub-programme 3.1: Exhibitions						
Strategic Objective 3.1.1: Develop Exhibitions						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Invertebrate Exhibition.	Quarterly	Decommission part of the Foreign Mammal hall cases and commence production.	Report on work in progress.			

Conduct research and plan the Rise of the Zulu Kingdom exhibition and open it to the public.	Quarterly	Research and conceptualise exhibition. Clear the cases, prepare and paint.	Report on work in progress.	Report on work in progress.	Clear the cases, repair and paint.	Clear the cases, repair and paint.
Develop temporary and travelling exhibitions to take the Museum to the communities, particularly the previously disadvantaged communities.	Quarterly	Produce 1 exhibition.	Commence work on the exhibition.	Produce and open the exhibition to the public.	-	-
Host temporary exhibition developed by the members of the public, NGOs and relevant organisations.	Annually	Host 1 temporary exhibition.	-	-	1 temporary exhibition.	-
Interview two individual who have made a contribution to society or the environment.	Quarterly	Identify and interview two individuals.	Report on work in progress.	Report on work in progress.	Report on work in progress.	Report on work in progress.

Strategic Objective 3.1.2: Maintain and Upgrade Existing Exhibitions

Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
Maintenance of galleries and exhibits.	Quarterly	Quarterly inspection, treatment of hides. Regular maintenance done.	Quarterly inspection, treatment of hides.			
Indigenous Knowledge (IKS) added to the exhibitions through relabelling and upgrading.	Quarterly	Relabel and include IKS into one gallery.	Conduct IKS research for one gallery.	Plan process to add IKS on one gallery.	Add IKS to one gallery.	Complete the project and open new gallery with IKS to the public.

Sub-programme 3.2: Education and Outreach Programmes

Strategic Objective 3.2.1: Develop and Implement Quality Education and Outreach Programmes to expand the Audience Base

Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
10% annual increase in the number of visitors from schools.	Quarterly	22 057 learners.	4 191	6 617	5 073	6 176
Maintain the number of learners attending the after school programme at 1600.	Annual	1 600 participating learners.	1 600	-	-	-
Maintain the number of schools participating in the outreach programme per annum.	Annual	20 participating schools.	20	-	-	-
Increase in the number of schools participating in the programme per annum.	Annual	10 participating schools.	10	-	-	-
Number of workshops held per annum.	Quarterly	2 creative arts workshops	-	1 creative arts workshop held.		1 creative arts workshop held.

Arrange activities, shows and display that engage the public and promote the Museum.	Annual	Host 2 Night at the Museum events.	-	Host 1 Night at the Museum event.	Host 1 Night at the Museum event.	-
Hosting of Heritage month competition.	Annual	1 Heritage Quiz.	-	1 Heritage Quiz held.	-	-
Number of Special (National Days) days observed/celebrated per annum.	Quarterly	10 days observed/celebrated.	3 commemorative days observed/celebrated.	3 commemorative days observed/celebrated.	3 commemorative days observed/celebrated.	1 commemorative day observed/celebrated.
Number of local women participating in skills transfer workshops per annum.	Quarterly	157 women participants.	-	157 women participants.	-	-
Apply for funding. Complete the Discovery Centre for public use.	Quarterly	Source funding.	Report on progress.	Report on progress.	Report on progress.	Report on progress.

Strategic Objective 3.2.2: Build and Maintain Partnerships with Department of Education and Other Heritage / Conservation Institutions

Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
Hold four workshops with the Educators and Subject Advisors per annum.	Quarterly	4 workshops.	1 workshop.	1 workshop.	1 workshop.	1 workshop.
Number of collaborative projects per annum.	Quarterly	3 collaborative educational projects.	1 collaborative educational project.	1 collaborative educational project.	-	1 collaborative educational project.
Host one seminar with various community leaders per annum.	Annually	1 seminar to be held.	-	-	1 seminar to be held.	-

Strategic Objective 3.2.3: Maintain and Strengthen Local and International Links for the Advancement of Research Collaboration

Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
			2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)
Number of collaborative projects undertaken per annum.	Quarterly	12 collaborative projects.	9 collaborative projects undertaken.	1 collaborative project undertaken.	1 collaborative project undertaken.	1 collaborative project undertaken.
Number of joint field trips undertaken per annum.	Quarterly	2 joint field trips.	-	1 joint field trip undertaken.	1 joint field trip undertaken.	-
Number of manuscripts reviewed for international journals per annum.	Quarterly	9 manuscripts reviewed.	3 manuscripts reviewed.	2 manuscripts reviewed.	1 manuscript reviewed.	3 manuscripts reviewed.

Strategic Objective 3.2.4: Build Relationships with other Museums and Tourist Attractions in the City						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Number of collaborative projects with other local museums and tourist organisations held per annum.	Quarterly	5 collaborative projects.	1 collaborative event held.	2 collaborative events held.	1 collaborative event held.	1 collaborative event held.
Strategic Objective 3.2.5: Capacity Building						
Performance Indicator	Reporting Period	Annual Target	Quarterly Targets			
		2019/20	Q1 (Apr – June)	Q2 (Jul – Sep)	Q3 (Oct – Dec)	Q4 (Jan – Mar)
Number of students trained or supported each year. Successful award of postgraduate degrees and other tertiary qualifications.	Quarterly	16 students/ interns supervised/ trained.	4 students/ interns supervised/ trained.			
Host one (per annum) NRF intern in the research departments (Natural / Human Sciences).	Annual	1 NRF intern hosted.	-	-	-	1 NRF intern hosted.

PART D: ANNEXURES

ANNEXURE A: MATERIALITY / SIGNIFICANT PLAN

INTRODUCTION AND BACKGROUND

In terms of the Public Finance Management Act (PFMA) and the Treasury Regulations (TR), all public entities should develop a materiality framework for management and reporting purposes.

The Treasury Regulations (part 9, 28.1.5) state that, for purposes of material [as applicable to sections 50(1), 55(2) and 66(1) of the Act] and significant [as applicable to section 54(2) of the Act], **the Accounting Authority must develop and agree on a framework of acceptable levels of materiality and significance** with the relevant Executive Authority in consultation with the external auditors, the terms are, however, not defined in the Act nor the Treasury Regulations.

The Treasury Regulations (28.2.1) further require that the annual report of the public entity shall detail the materiality/significant framework applied during the financial year. These requirements are meaningful to the user of such financial statements if it is also accompanied with the materiality/significant framework adopted by the audit and risk committee for the purposes of external audit although not required by the Treasury Regulations.

1. Purpose of Materiality Framework

The purpose of materiality framework is:

- 1.1 To establish a threshold/framework within which accounting officers can effectively discharge its management and reporting responsibilities emanating from the specific sections of the PFMA.
- 1.2 It will also assist management to design, develop and implement a proper (reasonable) framework of policies, procedures and controls to effectively manage business risk.
- 1.3 The framework will also help the KwaZulu-Natal Museum to establish proper structures of Accountability to the Executive Authority and proper delegation of Authority to executive management.

2. Defining the concept of Materiality

The Council of the KwaZulu-Natal Museum defines the Materiality/significant framework as a measure of the materiality for management accountability and reporting purposes. The measure is applied by the Accounting Authority to design, develop and implement reasonable management policies and procedures to be able to discharge its responsibilities in terms of the PFMA. The materiality/significant framework is a judgement of the level at which errors (intentional/unintentional), either individually or in aggregate, might be considered material/significant in relation to the KwaZulu-Natal Museum's annual financial statements taken as a whole.

Interpretation- "Material: means anything that is significant in relation to circumstances applicable to each company; and materially shall have the same meaning."

While the objective of setting materiality framework in an audit of financial statements is to enable the auditor to express an opinion as to whether or not the financial statements fairly present, in all material respects, the PFMA and the TR do not expressly provide motivation for this requirement. This requirement is mainly for assisting the entity's management to reasonably discharge its accountability and reporting responsibilities. Furthermore, existing literature postulates that the assessment of what is material is a matter of professional judgment. For the purposes of this requirement, it suffices to say management will have to exercise their judgement as to what is material/significant in their business, both qualitatively and quantitatively.

The concept of materiality does not deal only with monetary information (amount) but also addresses the non-monetary (nature) characteristics of the information. Therefore, the KwaZulu-Natal Museum's materiality/significant framework will detail both quantitative and qualitative materiality characteristics. Materiality may be influenced by considerations such as legal and regulatory requirements, and considerations relating to individual financial statement account balances and relationships. This process may result in different materiality levels, depending on the aspect of the financial statements being considered.

Examples of qualitative misstatements would be:

- (a) Inadequate or improper description of the entity's accounting policy when it is likely that a user of the financial statements would be misled by the description, and
- (b) Where an entity fails to disclose the breach of regulatory requirements when it is likely that the consequent imposition of regulatory restrictions will significantly impair operating capability.
- (c) Failure to report/disclose perpetuated fraudulent activities by senior officials of the entity.

The materiality/significant framework is considered from both a quantitative and qualitative viewpoint. The size of the item and its nature is therefore considered when determining its materiality.

In determining materiality, management will consider a number of factors, including the following:

- the risk management,
- financial risks (both internal and external),
- the internal review function and scope, and
- the system of internal controls.
- The nature of the item

The KwaZulu-Natal Museum will develop a materiality/significant framework (measurable/quantifiable) for each of the relevant sections by sub-element as below:

3. Fruitless and Wasteful Expenditure:

Defining Fruitless and wasteful expenditure in the KZN.M's view:

The Council of the KwaZulu-Natal Museum, for the purposes of this Act defines fruitless and wasteful expenditure as expenditure which:

- Failed to achieve its anticipated objectives/benefits, and
- Would not have been incurred had reasonable judgement been exercised at the time.

Whether or not the expenditure is fruitless and wasteful may be determined based on the subsequent review of the expenditure. The Act does neither define the threshold/materiality framework of the expenditure that should be subject to such review, nor does it allow a materiality threshold to be applied in the evaluation of this expenditure. As a result, all expenditure that is not trivial should be subject to post review. The proposal is that the KwaZulu-Natal Museum consider and adopt a framework within which fruitless and wasteful expenditure should be dealt with regards to PFMA and the Treasury Regulations reporting requirements. The Treasury Regulations require that such framework be considered and approved by the KwaZulu-Natal Museum's Executive Authority.

However, due to the nature of the KwaZulu-Natal Museum's business and the volume of the transactions making up the entity's expenditure, it may be impractical to implement cost effective procedures to review the effectiveness of all expenditure incurred on a transaction-by-transaction basis. Furthermore, it must be noted that naturally, the benefits generated by such expenditure are often enjoyed/realised considerably after that expenditure is incurred. This fact therefore renders any post expenditure review extremely complicated to perform.

The Council may therefore not be in a position to favourably comment as to whether all fruitless and wasteful expenditure actually incurred will be detected. However, it should be noted that the treatment of irregular, fruitless and wasteful expenditure would depend on internal control policies and procedures designed and implemented by the KwaZulu-Natal Museum.

2. Background on KwaZulu-Natal Museum Expenditure Framework:

The Council of the KwaZulu-Natal Museum continues to improve the soundness of its system of internal controls governing the procurement of both goods and services classified as operating expenditure and for capital projects. Within this framework, various principles have been integrated to form robust internal control policies and procedures, some of which are listed below:

- (a) The KwaZulu-Natal Museum will have a strategic plan and business plan that is derived from its annual budget and capital budget;
- (b) All expenditure will be properly authorised prior to it being incurred in terms of properly delegated authorities and where it warrants it, by one of the following review committees:
 - Management Committee;
 - Finance and Procurement Committee;
 - Audit and Risk Committee; and
 - Council

To discharge its responsibility, the KwaZulu-Natal Museum will, through its internal audit function perform a run of all its significant single expenses and subject these to rigorous audit to establish if there are any fruitless and wasteful expenditure.

Notification in terms of Section 51 (2) of the Act:

Due to the fact that section 51 (2) is not regulated by Treasury Regulation 28.1.5 – Materiality/significance framework, this letter should therefore act as the notification in terms of Section 51 (2) that the council, in its capacity as the Accounting Authority may not be able to confirm that:

- a) Processes to prevent and detect all fruitless and wasteful expenditure as contemplated in the Act are in place;
- b) Any fruitless and wasteful expenditure has accordingly been prevented or detected as required;
- c) All disciplinary actions as envisaged by the Act, following the occurrence of fruitless and wasteful expenditure have been undertaken; and
- d) The disclosures required in the annual report in terms of fruitless and wasteful expenditure have been made.

Except where this is material in terms of the framework detailed herein.

The KwaZulu-Natal Museum's systems of internal control are/will be designed to prevent unauthorised expenditure and that as part of the cost savings programmes being implemented in order to actively drive down the cost of operations in the various business units, which will reduce the opportunity for material fruitless and wasteful expenditure.

We can further assure you that through the accountability framework of line management and through the Audit & Risk Committee processes:

- a) Internal control weaknesses identified by management, the internal and the external auditors are followed up to ensure that the underlying systems are improved;
- b) Any material criminal conduct identified is subject to the appropriate procedures and sanctions.

Developing Materiality/Significance Framework

Management would have to adopt a very conservative approach in carrying out their fiduciary duties described by the PFMA in an attempt to establish a set of financial statements that are cost effectively accurate or reasonable under the circumstances. In direct contrast with the External Auditors approach, management is expected to adopt a more conservative approach, as they will seek to achieve high level of assurance to the stakeholders of the reporting entity and to achieve fair presentation. For each individual audit finding, management should consider the possibility that it is material because of its value, its nature or because of the context in which it arises. Typically, management's quantification might be represented by a more stringent approach, i.e.

PFMA Requirement	Materiality Significance	Policies, procedures and Controls in place	Non Compliance Implication
Requirements of the section 54(2) of the Act, in terms of this section of the Act, the Accounting Authority of the KwaZulu-Natal Museum is required to submit information, documents, explanations and motivations to the relevant treasury and its executive authority for approval before they engage in the following activities:			In terms of section 86(2) of the Act, an accounting authority is guilty of an offence and liable on conviction to a fine or imprisonment
a. Establishment or participation in the establishment of a company.	None	Not participating	
b. Participation in a significant partnership, Trust, incorporated Joint Venture or similar management	None	Not participating	
c. Acquisition or disposal of a significant shareholding in company.	None	Not participating	
d. Acquisition or disposal of a significant asset.	<ul style="list-style-type: none"> • Acquisition/disposal of an asset in excess of R100 000 or > 5% of total asset at cost at a time of transaction. Or • Acquisition/disposal in excess of 5% of the asset category concerned. 	Supply Chain Management Policy	
e. Commencement or cessation of a significant business activity.	None	Not participating	
f. Significant change in the nature or extent of the KwaZulu-Natal Museum's interest in a significant partnership, Trust, unincorporated joint venture or similar arrangement	None	Not participating	
In terms of section 50 (1) of the Act, the Council must:			
a) Exercise the duty of utmost care to ensure reasonable protection of assets and records of the public entity	<ul style="list-style-type: none"> • Any breach of management controls is considered material by its nature. • Breach committed by KZN.M officials, suppliers and customers/clients is considered material for management 	<ul style="list-style-type: none"> • Adequate Insurance cover of all fixed assets. • Retention of records for 5 years in compliance of the Treasury Regulations 	

PFMA Requirement	Materiality Significance	Policies, procedures and Controls in place	Non Compliance Implication
	<p>purposes.</p> <ul style="list-style-type: none"> Any breach of code of conduct by management and executives is considered material for this purpose. 	<ul style="list-style-type: none"> Design, develop and implement a sound system of internal controls over assets (FA policy, Collection Management Policy). Regular independent reviews by Internal Audit. 	
<p>b) Act with fidelity, honesty, integrity and in the best in interests of the public entity in managing the financial affairs of the public entity</p>	<ul style="list-style-type: none"> Any breach of management controls is considered material by its nature. Breach committed by KZN.M officials, suppliers and customers/clients is considered material for management purposes. Any breach of code of conduct by management and executives is considered material for this purpose. 	<ul style="list-style-type: none"> Strict screening process in respect of hiring of new personnel to ensure that only people of integrity are employed. The internal audit function provides an independent risk based approach, objective assurance on the effectiveness of the KwaZulu-Natal Museum's system of internal control. The Audit and Risk Committee is an independent committee responsible for oversight of the KwaZulu-Natal Museum's internal control, governance and risk management. Delegated Authority Framework. 	
<p>c) On request, disclose to the executive authority responsible for that public entity or legislature to which the public entity is accountable, all material facts including those reasonable discoverable, which in any way may influence the decisions or actions of the executive authority or that legislature, and</p>	<ul style="list-style-type: none"> Anything which contravenes the laws and regulations applicable to the KZN.M will constitute material fact as envisaged by this section. Anything which undermines or compromises the KZN.M from delivering in terms of its mandate will constitute a material fact. Any misconduct/misbehaviour by any official in management of the KZN.M resources will constitute material fact. All the above will be disclosed in the Council's report if applicable. 	<ul style="list-style-type: none"> Systems of internal control (policies and procedures – finance, human resources, logistical, administration). 	
<p>d) Seek, within the sphere of influence of that</p>	<ul style="list-style-type: none"> Register of Declaration of conflict of 	<p>Code of conduct developed.</p>	

PFMA Requirement	Materiality Significance	Policies, procedures and Controls in place	Non Compliance Implication
accounting authority, to prevent any prejudice to the financial interests of the state.	interest. • Direct or indirect interest by any official will be considered material for this section.		
In terms of section 55 (1) (b), the Accounting Authority must prepare the financial statements for each financial year in accordance with GAAP, unless the Accounting Standards Board approves the application of general recognized accounting practice for that public entity	• Anything that contravenes full compliance to the relevant laws and regulations	The appointed CFO must monitor, assess and implement such approved general recognized accounting practices.	
In terms of section 55 (1) (c), (d), the Accounting Authority must submit the financial statements within two months after the end of the financial year to the auditors. Such audited statements with an annual report and the report of the auditors on those statements must be submitted, within five months after the end of that financial year to the treasury and the executive authority.	• Anything that contravenes full compliance to the relevant laws and regulations	The Director and CFO must ensure that the necessary steps are taken to ensure compliance with these subsections.	
In terms of section 55 (2), the Annual Report and financial statements of the public entity must:			
a) Fairly present the state of affairs of the public entity, its business, its financial results, its performance against predetermined objectives and its financial position as at the end of the year concerned.	<ul style="list-style-type: none"> • Anything that contravenes the delegation document will be considered a material fact for fair presentation purposes. • For the purpose of preparing the financial statements, management considers the attached framework to be material for fair presentation. (Refer to Annexure A) 	<ul style="list-style-type: none"> • Delegated Authority Framework/schedule. • Disciplinary and grievance policy in respect of financial misconduct. 	
Include particulars of – <ul style="list-style-type: none"> • Any material loss through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year, • Any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure, • Any losses recovered or written off, • Any financial assistance received from the state 	<ul style="list-style-type: none"> • For the purpose of preparing the financial statements, management considers the attached framework to be material for fair presentation. (Refer to Annexure A) 	<ul style="list-style-type: none"> • Disciplinary and grievance policy in respect of financial misconduct. • Writing off bad debts. • Writing off (disposal) of assets including collections. 	

PFMA Requirement	Materiality Significance	Policies, procedures and Controls in place	Non Compliance Implication
<p>and commitments made by the state on its behalf and</p> <ul style="list-style-type: none"> • Any other matters that may be prescribed and • Include the financial statements of the subsidiaries. 			
<p>Section 66 imposes Restrictions on borrowing, guarantees and other commitments.—(1) An institution to which this Act applies may not borrow money or issue a guarantee, indemnity or security, or enter into any other transaction that binds or may bind that institution or the Revenue Fund to any future financial commitment, unless such borrowing, guarantee, indemnity, security or other transaction—</p> <ul style="list-style-type: none"> a) is authorised by this Act, and b) in the case of public entities, is also authorised by other legislation not in conflict with this Act, and c) in the case of loans by a province or a provincial government business under the ownership control of a provincial executive, is within the limits as set in terms of the Borrowing Powers of Provincial Governments Act, 1996 (Act bi. 48 of 1996) 	<p>Any borrowings with third parties will be considered material for the purpose of this section.</p>	<p>Disciplinary and grievance policy in respect of financial misconduct.</p>	

Conclusion

The Council of the Museum has decided to report on any transaction covered by section 54(2) of the PFMA in excess of R5000 relating to the following:

- | | | |
|--------------|---|---|
| Materiality | - | Every amount in respect of criminal conduct |
| | - | R5000 and above in respect of irregular, fruitless and wasteful expenditure involving gross negligence |
| | - | R3000 and above being approximately 0.5% of gross revenue in respect of any other irregular, fruitless and wasteful expenditure |
| Significance | - | The acquisition/disposal of a significant asset |
| | - | The commencement/cessation of a significant business activity |

ANNEXURE B: RISK ASSESSMENT MANAGEMENT PLAN

RISK ASSESSMENT: 2019/20

Sector Goals	Strategic Objectives	Risk Category	Risk Description	Root Cause	Current Control / Action Plan	Risk Source	Inherent Risk Rating (Risk before controls)		Role & Sector Responsible for action plans	Period of Risk Response Plan
							Inherent Likelihood (IL)	Inherent Impact (II)		
1. A transformed, coherent and development focussed Sector Driving greater policy and planning coherence in the Sector towards the achievement of sectoral development outcomes.	Maintain and Strengthen Local and International Links for the Advancement of Research Collaboration	Strategy: Leadership Resource Risk: Retention of Critical Staff and Leadership	Inability to pursue collaborative projects with local and international peers.	Shortage of skills and the inability to attract and retain critical staff due to inadequate compensation.	The Museum fosters its honorary research associate programme and maintains collaboration relationships with institutions of higher learning, i.e. the UKZN. The Museum has received additional funding and Council has implemented the revised organogram, this would address skills retention as well as improve the Museum's ability to attract suitable staff in the medium-term.	Strategy Risks	5=Almost certain	b3=Major	CEO	Yr1-Yr3
		Strategy: Planning & Resources: Budgeting & Forecasting;	Lack of funding to pursue research projects with local and international peers.	Lack of funding to pursue research projects with local and international peers.	The Museum utilizes NRF grants to collaborative research projects.	Strategy Risks	5=Almost certain	b3=Major		Yr1-Yr3
	Build and Maintain Partnerships with Department of Education and Other Heritage / Conservation Institutions	Strategy: Communications and Stakeholder management	Driving non-aligned education programmes		The Museum hold at least two Educator Workshop where the Museum's programme is discussed and enriched to be in line to supplement the school curriculum.	Strategy Risks	3=Possible	b3=Major	CEO	Yr1-Yr3
	Build Relationships with other Museums and Tourist Attractions in the City	Strategy: Communications and Stakeholder management	The Public Relations office is inadequately capacitated with one staff member.	Shortage of skills and the inability to attract and retain critical staff due to inadequate compensation.	The Museum partakes in the Museum Passport Competition with local Museums to highlight the Museums as a tourist attraction.	Strategy Risks	3=Possible	a5=Catastrophic	CEO	Yr1

2. Nation building through effective social cohesion programme implementation	Develop Exhibitions	Strategy: Planning & Resources; Budgeting & Forecasting;	No new exhibitions	No funds to develop new exhibition from DAC main grant.	The Museum apply to the National Lotteries Board and DAC for funding for its exhibition projects.	Strategy Risks	5=Almost certain	b5=Catastrophic	Minister-DAC	Yr1
		Operations/Process: Asset Management: Buildings and Facilities	No space for new exhibitions. Deteriorating exhibitions / displayed artifacts	The current building has reached it full capacity in terms of housing additional exhibitions. The building is not adequately maintained by the Department of Public Works; particularly main airconditioning plant responsible for maintaining suitable climatic conditions. Fluctuations in climate conditions negatively affect the well being of displayed artifacts.	The Museum set aside a budget for minor maintenance. And complete and submit to DAC a UAMP for major capital works projects. The Museum regularly reports faults to the Department of Works and make follow ups on outstanding job orders. Further funding for the development of the new Museum Project has been allocated in 2018/19 - 2020/21 period.	Internal Risks	5=Almost certain	b5=Catastrophic	Minister-DAC	Yr1
	Maintain and Upgrade Existing Exhibitions	Strategy: Planning & Resources; Budgeting & Forecasting;	Inadequately maintained displays	Lack of funds to properly maintain and upgrade current exhibitions.	The Museum set aside a budget for minor maintenance.	Strategy Risks	5=Almost certain	b4=Critical	CEO	Yr1
	Develop and Implement Quality Education and Outreach Programmes to expand the Audience Base	Strategy: Planning & Resources; Budgeting & Forecasting;	Inability to expand the Museum's education and outreach programme	Lack of funds to support the expansion of the Museum's education and outreach programme. Particularly transport support for previously disadvantaged communities so that they can have access to Museum programmes.	An amount of R339,400 has been set aside for education and outreach programmes. Applications for external funding are forwarded to funding agencies like the NHC, NLB, etc.	Strategy Risks	5=Almost certain	b4=Critical	CEO	Yr1
		Legal/ Compliance: Regulatory	Driving NCS/CAPS non-aligned educational programmes.	Changing policy environment may lead to Museum's programmes being non-compliant to NCS/CAPS policies.	The Museum has maintained a positive working relationship with the KZN Department of Education.	Internal Risks	3=Possible	b3=Major	Executive Management	Yr1-Yr3
		Operations/Process: Product Development	Developing programmes that fail to attract and retain audiences.	Lack of keeping abreast with latest development in educational and outreach programmes design.	The Museum provides a budget for the Education staff to visit other Museums to learn best practices.	Internal Risks	3=Possible	a3=Major	Executive Management	Yr1-Yr3

3. A productive, diverse and inclusive ACH Sector Protecting, preserving, promoting and developing Arts, Culture and Heritage and advancing the socio-economic inclusivity and contribution of the Sector.	To Promote and Market the Museum using Appropriate Media	Operations/Process: Sales and Marketing; Operations/Process: People	Museum not reaching its entire targeted audience.	Lack of staff members with the public relations and marketing division.	The Museum mainly uses print media for its advertising. It has also moved towards advertising on social media platforms. The new structure provides for the augmentation of the Public Relations division; the new organogram provides for the appointment of an advancement officer to support the Museum's strategy.	Internal Risks	5=Almost certain	b4=Critical	CEO	Yr1
		Strategy: Planning and Resource Allocation: Budgeting and Forecasting;	Museum not reaching its entire targeted audience.	Lack of adequate funds to drive the marketing strategy.	The Museum set aside a budget of at least 2.3% of its operating expenditure budget for advertising.	Strategy Risks	5=Almost certain	b4=Critical	CEO	Yr1
	Provide an Efficient Library Service to Serve the Scientific Community as well as the General Public	Strategy: Planning and Resource Allocation: Budgeting and Forecasting; Market: Foreign Currency	Users of the library not getting relevant titles	Lack of adequate funds for library subscriptions. Library subscriptions are mainly sourced from overseas; foreign currency fluctuations impact on the costs of subscription renewals, i.e. a weaker Rand result in the Museum spending more money compared to a stronger Rand.	The Museum regularly monitors its subscription list to ensure that the relevant titles are available.	Strategy Risks	3=Possible	a3=Major	Executive Management	Yr1-Yr3
	Dissemination of Research Output (Knowledge) through Publication and Popular Presentations	Strategy: Planning & Resources: Budgeting & Forecasting;	Reduced research output	Lack of funds to maintain and increase research output. Research is chiefly funded by the National Research Foundation. Lack of research funding directly from the DAC impacts negatively on the sustainability of the research function of the Museum.	The Museum applies to the NRF for research funding.	Strategy Risks	5=Almost certain	a5= Catastrophic	CEO	Yr1
		Strategy: Leadership Resource Risk: Employee Capabilities: Retention of Critical Staff and Leadership	Inability to attract and retain new research staff.	Paucity of funds limits the Museum at offering competitive remuneration to its key staff.	The Museum has received additional funding in 2017/18 - 2019/20 MTEF period. The Museum Council has implemented the revised organogram as approved by Council, this would address the skills retention.	Strategy Risks	5=Almost certain	a5= Catastrophic	CEO	Yr1

	Collections Management ▼	Strategy: Planning & Resources: Budgeting & Forecasting;	Deteriorating condition of collections	Inadequate funding for collection management.	The Museum set aside a budget for curatorial materials.	Strategy Risks	5=Almost certain	a5=Catastrophic	CEO	Yr1
		Operations/Process: Asset Management: Buildings and Facilities	Deteriorating condition of collections. Security of collections	Building not adequately maintained to keep the collection storerooms in good condition for collections. Furthermore certain collection require specific /special collection rooms - the structure of the current building is not suitable for these collections; this has a negative impact on collections. In addition; the security of valuable collections is inadequate.	The Museum set aside a budget for minor maintenance. And complete and submit to DAC a UAMP for major capital works projects.	Internal Risks	5=Almost certain	a5=Catastrophic	CEO	Yr1
		Disasters	Loss of collections / artifacts / specimen	There is inherent risk of disasters that may result to damage or loss of valuable collections.	The Museum has an approved disaster management plan and insures against damage.	External Risks	5=Almost certain	a5=Catastrophic	CEO	Yr1
4. Sound fiscal management and a sustainable ACH Sector Ensuring the effective utilisation and leveraging of ACH resources for the benefit of all South Africans	Generate Income	Strategy: Planning & Resources: Budgeting & Forecasting;	Not delivering on mandate of the institution.	Lack of adequate funding limit the institution's ability to effectively deliver on its mandate.	The Museum implements its programme within the approved MTEF allocations. In addition the Museum has approached the DAC to highlight the need to improve funding.	Strategy Risks	5=Almost certain	b5=Catastrophic	CEO & CFO	Yr1
		Operations/Process: Asset Management: Buildings and Facilities	Lack of capacity to generate revenue internally	Lack of sufficient space limits the Museum's potential to generate internal revenue to supplement the main DAC grant.	The Museum completes and submit a UAMP template in respect of its accommodation needs.	Internal Risks	5=Almost certain	b4=Critical	CEO	Yr1
		Political: Regulatory and Compliance Reporting Changes	Non-compliance with legislation and regulatory prescripts.	The cost of compliance is rising rapidly while the revenue stream is increasing marginally. The increase in cost of compliance hinders the Museum to meet all its compliance requirements (this is mainly driven by the lack of adequate funding to employ and retain suitable staff and the required capacity within the corporate division).	Sound internal control systems are in place.	External Risks	5=Almost certain	b4=Critical	Minister-DAC	Yr1

	Source External Funding	Strategy: Planning & Resources: Budgeting & Forecasting;	Reduced research output and reduced number of new exhibition projects	The museum chiefly fund its core functions (mainly operations component as the compensation of employees component is funded by the DAC main grant) through funds raised from the National Research Foundation (Research) and the National Lotteries Board (Exhibitions). This puts the core business of the Museum at risk as this model is not outright sustainable.	The Museum implements its research programme using grants from the NRF. In addition the Museum has approached the DAC to highlight the need to improve funding for specific projects.	Strategy Risks	5=Almost certain	a5=Catastrophic	Minister-DAC	Yr1
	Contain Costs	Operations/Process: Supply Chain Management	Non compliance with Supply Chain Management framework	No dedicated Supply Chain Management division.	SCM is housed within the finance division. The Museum is set to appoint a SCM Officer in the 2019/20 period.	Internal Risks	5=Almost certain	b4=Critical		Yr1
5. Sound governance and modernised systems and processes Sound governance and the modernising of the ACH Sector to ensure its efficiency and effectiveness.	Compliance with Legislation	Strategy: Strategy and Initiative	Strategy not linked with the DAC's strategic plan	Lack of funds to implement the revised organisational structure puts the institution at risk of not delivering on its mandate effectively and efficiently and within the prescribed regulatory framework.	The Museum aligns its strategy with that of DAC's. Further, it links its strategic plan to the Medium Term Strategic Framework.	Strategy Risks	4=Likely	c4=Critical	CEO	Yr1
		Strategy: Leadership Resource Risk	Loss of key staff members	Lack of adequate funding limits the Museum's ability to attract and retain suitably qualified personnel.	The implementation of the revised organogram in 2017/18 addressed the improvement of remuneration for staff members responsible for compliance.	Strategy Risks	5=Almost certain	a5=Catastrophic	CEO	Yr1
		Legal/Compliance: Governance	Ineffective Council and poor corporate governance mechanism in place		Sound internal control system is in place. With a functioning Council and Audit and Risk committee.	Internal Risks	3=Possible	b4=Critical	Board/Council	Yr1
		Operations/Process: ICT Governance	Unreliable ICT infrastructure and ineffective use of ICT infrastructure	Lack of adequate funding limits the Museum's ability beef-up/mordenise up its ICT infrastructure thus the Museum is unable to optimise its processes. The LAN network has remained largely unstable impacting negatively on work outputs.	The Museum has approved ICT Governance Policies. The Museum has appointed the ICT Committee to oversee the ICT infrastructure. In addition, the Museum has appointed an IT Technician.	Internal Risks	5=Almost certain	a4=Critical	CEO & CFO	Yr1

		Legal/Compliance: Code of Conduct	Loss of funding	Loss of funds through fraud and mismanagement or financial misconduct.	Sound internal control system is in place.	Internal Risks	4=Likely	b3=Major	CEO & CFO	Yr1-Yr3
		Legal/Compliance: Accounting	Qualified audit opinion	The accounting standards coming into effect put pressure to the already inadequately capacitated finance division.	Sound internal control system is in place. The additional funding received will also strengthen the Museum's ability to meet the compliance requirements.	Internal Risks	5=Almost certain	b4=Critical	CEO & CFO	Yr1
		Legal/Compliance: Accounting	Qualified audit opinion	GRAP 103: Heritage Assets. The Museum has made significant progress in developing and maintaining complete heritage assets registers for its collections.	Sound internal control system is in place to ensure completeness of heritage assets registers. The Museum has approved the Heritage Asset Valuation Policy and has completed the Heritage Asset Valuation Project by 31 March 2018. An implementation plan to address outstanding matters within the Natural History Collection is currently being executed and the project is expected to be completed at the end of the 2019/20 period.	Internal Risks	5=Almost certain	b4=Critical	Board/Council	Yr1
	Maintenance and Upkeep of Museum Property (Building and Motor Vehicles)	Operations/Process: Asset Management: Buildings and Facilities	Poorly maintained Museum property	The Department of Public Works is not effective in maintaining the building. Load shedding presents an operational and financial challenge. The Department of Public Works does not refuel the backup generator. This puts further strain on a very limited budget to ensure that the Museum runs accordingly, particularly, energy is consistently needed to maintain appropriate climate for the collections.	The Museum provides a budget for minor maintenance works but major works are managed by the Department of Public Works. The Museum incurs backup generator refueling costs to keep the gates open during load shedding periods and also to maintain proper climatic conditions for collection management.	Internal Risks	5=Almost certain	a5= Catastrophic	CEO	Yr1
6. A professional and capacitated ACH Sector Building the skills and capacity of the Sector to ensure its ongoing development and responsiveness.	Staff Training and Capacity Building	Operations/Process: People	Unable to retain suitably qualified personnel.	The Museum make best effort to capacitate its staff; however once have obtained improved qualifications, the Museum is unable to retain those staff due to lack of funding to implement pay progression in relation to improved qualifications.	The Museum provides a training budget equivalent to at least 1% of personnel budget.	Internal Risks	5=Almost certain	b5= Catastrophic	CEO	Yr1

ANNEXURE C: AUDIT PLAN

Arts & Culture

Select

Audit Opinion	Unqualified	Yes
Audit Issues	Qualification	No
	Emphasis of matter	No

Audit Findings Action Plan Monitoring Tool

Audit Findings	Description	Action Plan Description	Start Date	Completion Date	Person Responsible			Position	Progress	Narrative
					Title	First Name	Surname			
The reported indicators and targets are not consistent to the planned indicators and targets.	During the audit of the annual performance report - Programme 2 business development, the following inconsistencies were noted. A. The reported indicators were not consistent with the planned indicators. B. The reported target is not consistent to the planned target	<i>* Describe activities in point form to address issue (use lower case):</i>	<i>* Select planned start and completion dates:</i>		<i>* Select title and enter name (use lower case):</i>			<i>* Select position:</i>	<i>* Select progress of activity:</i>	<i>* Enter any pertinent comments:</i>
		Management will strengthen monitoring and evaluation controls in order to ensure consistency in reporting. A policy on Performance Information will be developed.	31-Jul-18	27-May-19	Mr	Sandile	Miya	Deputy Director	80% Task virtually complete	Consistency reviews were conducted in the first, second and third quarter of 2018/19.
No appropriate steps taken to prevent fruitless and wasteful expenditure.	During the audit it was found that the entity incurred fruitless and wasteful expenditure of R50 745 as disclosed in note 31 of the AFS, this was not prevented as required by section 51(1)(b).	<i>* Describe activities in point form to address issue (use lower case):</i>	<i>* Select planned start and completion dates:</i>		<i>* Select title and enter name (use lower case):</i>			<i>* Select position:</i>	<i>* Select progress of activity:</i>	<i>* Enter any pertinent comments:</i>
		The Museum will develop a Policy on the Avoidance of Fruitless and Wasteful, Irregular and Unauthorised Expenditure	1-Aug-18	27-May-19	Mr	Luthando	Maphasa	Director	80% Task virtually complete	On 24 November 2018, the Council approved the Loss Control Policy for Heritage Assets and Other Assets. The policy provides processes and procedures to be followed within the Museum regarding the management of losses including losses that result from fruitless and wasteful expenditure. This policy will ensure that all employees have a comprehensive understanding of the procedures to prevent, report, investigate and recover loss.

ANNEXURE D: FRAUD PREVENTION PLAN

Fraud Prevention Policy

Purpose

It is incumbent upon every institution, as required by the PFMA, to take all precautions necessary to prevent fraud and corruption; the same applies also at the KwaZulu-Natal Museum.

Definitions

Fraud: The deliberate falsification of documentation of records for unlawful gain. A deception deliberately practised to secure unfair or unlawful gain. Intentional misrepresentation or concealment of information in order to deceive or mislead.

Corruption: When someone with monopoly power over a good or a service has the discretion to decide whether another receives it, how much is received, and lacks accountability. Inducement to wrong by improper or unlawful means (as bribery).

1. Policy Environment

There are various factors influencing fraudulent behaviour at a workplace. The generic fraud and corruption risks facing an organisation include personnel risks, management risks, structural, business risks and computer risks.

The KwaZulu-Natal Museum also has a legal responsibility (PFMA Act, 1999) to take all appropriate steps to prevent unauthorized, irregular, fruitless and wasteful expenditure and losses resulting from criminal conduct.

2. Policy Statement

The Council and Management of the KwaZulu-Natal Museum hereby affirm that no acts of fraud or corruption will be tolerated in the organisation. All such acts or allegations of such acts will be pursued vigorously, investigated fully, and if substantiated, punished both internally and externally to the fullest extent possible.

3. Strategies for Fraud Prevention in the Organisation

3.1 Organisational Climate or Culture

The personnel risks for fraud and corruption are higher if employees are not motivated, if they are inadequately trained, inexperienced, or otherwise not fully committed to the organisation. Monitoring the organisational climate through an appropriate performance measure and taking remedial steps where necessary is part of limiting this risk.

Furthermore, an organisational climate that is committed to excellence in governance and has code of business ethics is desirable in order to support appropriate employee behaviour. Vigorous enforcement of all relevant laws, rules, control systems and procedures achieves the impression that the risk to the individual(s) engaging in fraudulent practices is greater than the perceived benefit to be gained, thus acting as an effective deterrent.

The internal auditor has a critical role to play in monitoring internal control process, risk assessment, and monitoring the control environment (corporate culture) and the management of behaviour and attitudes.

3.2 Procurement

Any collusion with suppliers, inappropriate interference with the procurement process, and the acceptance of personal gifts/ donations from suppliers is regarded as corrupt behaviour and shall be dealt with accordingly.

The administration staff should check all items/ purchases against the requisition to ensure that there are no irregularities. (The Financial Procedures Manual document outlines all the details).

3.3 Contracting

Contracts will not be awarded to family members of employees and Council members of the KwaZulu-Natal Museum, unless the family connection has been disclosed and approved in advance and the employee concerned is not part of the contracting process. It is unacceptable for the KwaZulu-Natal Museum employee and Council member to accept any favours from a contractor. It is furthermore not permitted to appoint, whether permanent or on contract, a member who is closely related to any employee of the KwaZulu-Natal Museum without having the post advertised and the relative of a prospective employee disclosing the relationship and excluding himself or herself from any activities that relate to the shortlisting and interviewing of the candidates.

3.4 Banking & Cash Management

Should any banking and cash management procedures be violated, the incident will be treated as a case/intention of fraudulent misconduct, unless proved otherwise.

3.5 Partnerships and Joint Ventures

Full business details including references from relevant sources, will be obtained before any partnership or joint venture agreement is considered. Fraudulent or corrupt business practices by such business partners will not be tolerated.

3.6 Gifts, Donations and / or Sponsorships

No employee or Council member shall accept personal gifts, donations or sponsorships from current or potential business partners if the value of these gifts is over R100.00. Any gifts, donations or sponsorships whose value is less than R100.00 must be fully declared to the Director or Council.

Suitable declaration forms will be completed by concerned parties for approval by the KwaZulu-Natal Museum.

Donation box: Two people should open a donation box, and the third person not involved in the opening of the donation box should issue the receipt.

3.7 Accounting Records and Reporting

Any falsification of company accounting records or reports will be regarded as either fraudulent misconduct or criminal activity, depending on the circumstances.

3.8 Formal Training

All employees shall be sensitized to this policy and they shall be made aware of risk areas and how to recognize the evidence of corruption and fraud. Specific training will be given to those who have a direct role in responding to fraud when identified. Training will also be given to employees responsible for the Whistleblower hotline. The number and details of the Hotline will be displayed at all staff information areas.

4. Corrective Action

It is important that swift and unambiguous corrective action be taken in response to all incidents of fraud or corruption. This will support the message that such practices will not be tolerated under any circumstances. The disciplinary issues outlined on the HR policies will apply on all fraud related activities.

4.1 Protected Disclosure

Whistleblowing is recognized as very effective means of detecting fraud. Confidentiality, anonymity and the protection of the whistleblower from any form of victimization are essential in order for this concept to be successful. All calls will be logged and all allegations fully investigated. Any attempts to victimize whistleblower will be considered as connivance in the fraud.

The whistleblowing facility will be administered by the KZN Museum's Internal Auditors (Morar Incorporated) on the following phone number: 033 345 4004.

4.2 Disciplinary and Legal Resource

The disciplinary consequences of fraudulent misconduct are clearly established in the KwaZulu-Natal Museum policies and procedures. If the Accounting Officer is implicated in financial misconduct, the matter will be pursued in accordance with Treasury Instructions and Treasury Regulations.

Where criminal conduct is suspected or established, the incident will immediately be referred to the SAPS. The Auditor-General, the Director and relevant treasury will be advised of the matter.

5. Roles and Responsibilities

5.1 Council of KwaZulu-Natal Museum

Approves the Fraud Prevention Policy and will take necessary measures against those who would violate this policy.

5.2 Accounting Officer

Is responsible and accountable for limiting the risk of fraud in the organisation. Reports all cases of fraud to the relevant authorities.

5.3 Deputy Director

Ensures the implementation of the Fraud Prevention Plan.

5.4 Executive Manager: Finance and Administration

Maintains financial systems and controls, which minimize the risk of fraud.

5.5 All Units Heads & Senior Managers

Implement the Fraud Prevention Plan.

5.6 Internal Audit

Does ad hoc investigations as requested by Council, Audit and Risk Committee or Management where fraudulent or corrupt behaviour is suspected. Monitors the control environment, control systems, business risks and effective of communication.

5.7 All Employees

Desist from fraudulent activity. Have a duty to report or “blow the whistle” about any suspicious conduct by fellow employees, suppliers, or clients. Adhere to established rules and regulations. Are vigilant.

6. Communication

The Fraud Prevention Policy will be promoted by means of a fraud awareness drive for all employees. A copy of the Policy will be placed at the library and on the KwaZulu-Natal Museum’s network shared drive. Incidents of fraud that do occur shall be communicated (in general terms) to employees once they have been reported to the appropriate authorities.

7. Conclusion

The KwaZulu-Natal Museum Council reserves the right to revise this policy.

ANNEXURE E: CODE OF ETHICS AND CONDUCT FRAMEWORK

1. INTRODUCTION

1.1 This document comprises the Code of Ethics and Conduct (Code) for the KwaZulu-Natal Museum. It is not intended to detract from, or replace, any other existing Code of Conduct, which is prescribed in the Human Resources Policy. It mostly informs the expected ethical standards and adherence to legal aspects relating to the administration and good governance of the KwaZulu-Natal Museum.

1.2 The spirit of this document is to support ethical and good business conduct by all individuals covered by it as reflected in the scope detailed in Section 2 below.

1.3 The need exists to provide direction to employees with regard to their relationship with Council, management, other employees and the public and to indicate the spirit in which employees should perform their duties, what should be done to avoid conflict of interests and what is expected of them in terms of their personal conduct in public and private life if it impacts on their roles as employees of the KZN Museum.

1.4 Although the Code is developed to be as comprehensive as possible, it is not an exhaustive set of rules regulating ethical standards and conduct. However, management, by virtue of their responsibility for the efficient management and administration of their divisions/departments and the maintenance of discipline, are *inter alia*, under a duty to ensure that the conduct of employees conforms to the basic values and principles governing the KwaZulu-Natal Museum and the norms and standards prescribed by law. Management should also ensure that employees are acquainted with these measures, and that they accept and abide by them by acknowledging receipt of the Code and confirming that they have read and understood it.

1.5 The primary purpose of the Code is a positive one, *viz*, to promote exemplary conduct. Notwithstanding this, an employee shall be guilty of misconduct, and may be dealt with in accordance with the relevant procedures if she or he contravenes any provision of the Code of Conduct or fails to comply with any provision thereof. It must be noted that, in some instances, the employee may be summarily dismissed after a disciplinary hearing, even if it is a first offence.

2. SCOPE OF THE CODE

The Code applies to all employees, contract and casual worker and other providers of goods or services to the KwaZulu-Natal Museum.

The Code also applies to non-executive members of the Council Committees where non-declared conflict of interest/s would result in the violation of the Code. The Human Resources and Remuneration Committee of the Council shall be tasked with monitoring and ensuring compliance with this Code.

3. PURPOSE

3.1 To develop a standard in order to give practical effect to the relevant Constitutional provisions relating to the KwaZulu-Natal Museum, all employees are expected to comply with the Code.

3.2 The Code should act as a guideline to employees as to what is expected of them from an ethical point of view, both in their individual conduct and in their relationships with others. Compliance with the Code can be expected to enhance professionalism and help to ensure confidence in the governance of the KwaZulu-Natal Museum.

4. ETHICAL CONDUCT AND BEHAVIOUR

4.1 The integrity of the KwaZulu-Natal Museum employees underlies all the KZN Museum's relationships, including those with customers, suppliers and communities, as well as its internal dynamics. The highest standards of ethical conduct and legal awareness are required of employees in fulfilling their responsibilities.

4.2 Employees may not engage in any activity that could create a negative perception as to Museum's integrity, respect for diversity, impartiality or reputation. Ethical business conduct includes workplace relationships between employees in terms of the Constitution of South Africa and requires respect for constitutional rights in employment, particularly with regard to human dignity, non-discrimination, respect for diversity, impartiality and reputation.

4.3 Members of Council may not in the pursuant of their duties request employees to engage in activities deemed unethical and in violation of this Code.

4.4 Actions prohibited by the KwaZulu-Natal Museum's rules, regulations, policies as well as all prescripts, law or the Constitution, remain prohibited if carried out on behalf of an employee by a third party.

4.5 All employees are personally responsible for ensuring that their conduct is ethical and should bring any possible contraventions of the Code to the attention of management or the HRRC through the staff representative.

4.6 Every employee has the right, and the responsibility, to ask questions, seek guidance and express concerns regarding compliance with the Code.

5. CODE OF CONDUCT

5.1 Relationship with the Council and Management

All employees' must–

- a. be faithful to the KwaZulu-Natal Museum and honour the Constitution and abide thereby in the execution of their daily tasks;
- b. put the public interest first in the execution of their duties;
- c. loyally execute the policies of the KwaZulu-Natal Museum in the performance of their official duties as contained in all statutory and other prescripts;
- d. strive to be familiar with and abide by all statutory and other instructions applicable to their conduct and duties; and
- e. co-operate with other public institutions established under legislation and the Constitution in promoting the public interest.

5.2 Relationship with the Public

All employees must –

- a. promote the unity and well-being of the KZN Museum in performing their official duties;
- b. serve the public in an unbiased and impartial manner in order to create confidence in the KwaZulu-Natal Museum.
- c. be polite, helpful and reasonably accessible in their dealing with the public, at all times treating members of the public as customers who are entitled to receive a high standard of service; having regard for the circumstances and concerns of the public in performing their official duties and in making decisions affecting them;
- d. be committed through timely service to the development and upliftment of the heritage sector;
- e. not unfairly discriminate against other employees and any members of the public on account of race, gender, ethnic or social origin, colour, sexual orientation, age, disability, religion, political persuasion, conscience, belief, culture or language;
- f. not abuse their positions at the KZN Museum to promote or prejudice the interest of any political party or interest group;
- g. respect and protect every person's dignity and her or his rights as contained in the Constitution; and

- h. recognize the public's right of access to information, excluding information that is specifically protected by Law.

5.3 Relationships among employees

All employees must -

- a. co-operate fully with management to advance the objectives of KZN Museum's strategic plan;
- b. execute all reasonable instructions by persons officially assigned to give them, provided these are not contrary to the provisions of the Constitution and/or any other law;
- c. refrain from favouring relatives and friends in work-related activities and never abuse their authority or influence another employee, nor be influenced to abuse their authority;
- d. use the appropriate channels to air their grievances or to direct representations;
- e. deal fairly, professionally and equitably with other employees, irrespective of race, gender, ethnic or social origin, colour, sexual orientation, age, disability, religion, political persuasion, conscience, belief, culture or language; and
- f. refrain from party political activities in the workplace.
- g. refrain from conducting private activities from the KZN Museum premises.
- h. refrain from conducting private activities using KZN Museum's infrastructure and resources.

5.4 Performance of duties

All employees must –

- a. strive to achieve the objectives of the KwaZulu-Natal Museum cost-effectively and in the public's interest;
- b. be creative in thought and in the execution of their duties and seek innovative ways to solve problems and enhance effectiveness and efficiency within the context of the law;
- c. be punctual in the execution of their duties;
- d. execute their duties in a professional and competent manner;
- e. not engage in any transaction or action that is in conflict with or infringes on the execution of their official duties;
- f. recuse themselves from any official action or decision-making process that may result in improper personal gain, or conflict of interest and this should be fully disclosed by the employee;
- g. accept the responsibility to avail themselves of on-going training and self- development throughout their term of employment at the KZN Museum;
- h. be honest and accountable in dealing with public funds, using Museum's property and other resources effectively, efficiently, and only for authorised official purposes;
- i. promote sound, efficient, effective, transparent and accountable administration;
- j. in the course of their official duties, report to the appropriate authorities, and to the management, unless such matters includes or involves management, fraud, corruption, nepotism, maladministration and any other act which constitutes an offence, or which is prejudicial to the public interest;
- k. give honest impartial advice, based on all available relevant information, to a higher authority when asked for assistance of this kind; and
- l. honour the confidentiality of matters, documents and discussions, classified or implied as being confidential or secret.

5.5 Personal conduct and private interests

All employees must –

- a. during official duties, dress and behave in a manner that enhances the reputation of the KwaZulu-Natal Museum;
- b. act responsibly as far as the use of alcoholic beverages, with due regard for the KZN Museum’s guidelines on alcohol consumption while on duty, or any other substance with an intoxicating effect is concerned;
- c. not use their official positions to obtain private gifts or benefits for themselves during the performance of their official duties nor accept any gifts or benefits offered, as these may be construed as bribes;
- d. not use or disclose any official information for personal gain or the gain of others.

6. COMPLIANCE

Each person referred to in section 2 of this Code who has doubts regarding a questionable situation that might arise in respect of his or her duties under the Code should immediately consult his or her supervisor who will approach management or the Human Resources and Remuneration Committee staff representative for clarification.



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