



**Western Cape
Government**

Local Government

Implementation of the Compliance Model at Municipalities

CFO Forum

11 March 2013

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CHALLENGES FACED BY MUNICIPALITIES

- Municipalities faced with the vast sphere of legislations and need to keep abreast with latest legislative requirements
- Expected of Municipalities to keep-up with all the requirements
- There is no specific tool to assist municipalities to comply with applicable legislative requirements
- There is no tool to measure the level of compliance

KEY FEATURES OF THE COMPLIANCE MODEL

Key Features

- (i) Capable of measuring the performance of municipalities in complying with the applicable local government legislation and regulations;
- (ii) Programmed to monitor level of compliance by Municipalities;
- (iii) The Compliance Model is web-based;
- (iv) It can be tailored to the specific needs of a municipality, which will outline its own checklists and legislative requirements
- (v) Assigns responsibility to individuals with deadlines
- (vi) Reminder e-mails
- (vii) Programmed to provide a closing dates to promote a reporting culture and accurate reporting;

KEY FEATURES OF THE COMPLIANCE MODEL

Continuation of Key Features

- (viii) Functional for assurance providers to audit compliance levels
- (xi) Linked to all applicable legislation and regulations ie. A minimum of 16 pieces of relevant legislations is loaded on the system, with 24 available;
- (x) Capable of capturing reports on progress made regarding specific sections as well as attaching evidence of compliance;
- (xi) Programmed to develop various reports on attainment of required action and graphs to support reporting on compliance against legislative requirements;
- (xii) Loaded with strict security management; and
- (xiii) Maybe linked to a Provincial Portal for future monitoring by Department.

USER HOME PAGE

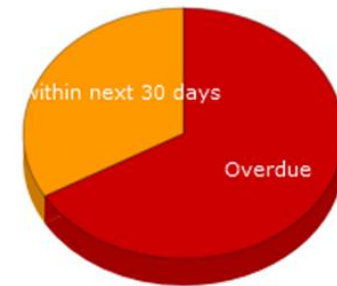
MAIN MENU

▼ Action Dashboard

Action Dashboard

Module	Overdue	Due Today	Due within next 30 days
Complaints Assist	0	0	0
Compliance Assist	2	0	1

Compliance Assist



▼ Actions Due Within The Next 7 Days

Ref	Action Deadline Date			Action Deliverable			
431	177 days overdue	A performance audit committee must at least twice during a financial year s...	Blackie Swart	A performance audit committee must at least twice during a financial year s...	0%	New	View
633	24 days overdue	A performance audit committee must meet at least twice during the financial...	Blackie Swart	A performance audit committee must meet at least twice during the financial...	0%	New	View
634	Due in 4 days	A performance audit committee must at least twice during a financial year	Blackie Swart	A performance audit committee must at least twice during a financial year	0%	New	View



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SET UP

Steps per Legislation

Define Setups

Select Legislation

IMPORT Legislation

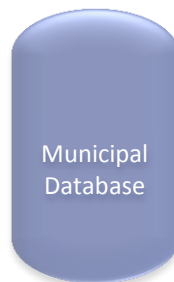
Add / Edit Deliverables

Add / Edit / Copy Actions

Confirm Legislation

Activate Legislation

↓ Training ↓



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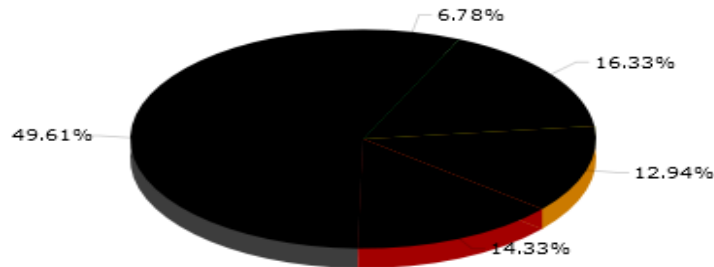
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REPORTS PER ACT

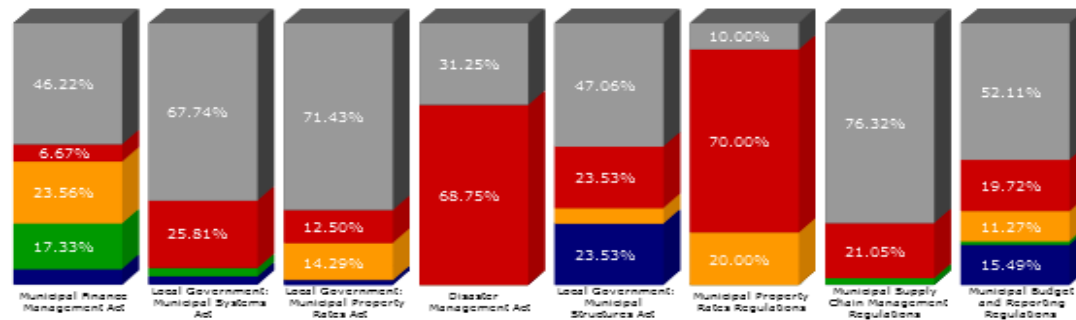
Legislation Compliance Status per Act or Regulation

Legislation Compliance Status (Action Progress)

Report drawn on 24 February 2013 at 15:13
for Financial Year: 2012-2013.

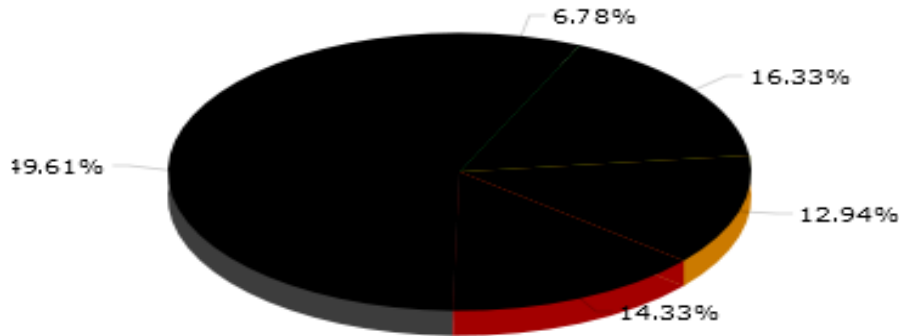


Completed Before Deadline Date	44 (6.78%)
Completed On Deadline Date	106 (16.33%)
Completed After Deadline	84 (12.94%)
Not Completed And Overdue	93 (14.33%)
Not Completed And Not Overdue	322 (49.61%)
Total:	649 (100%)

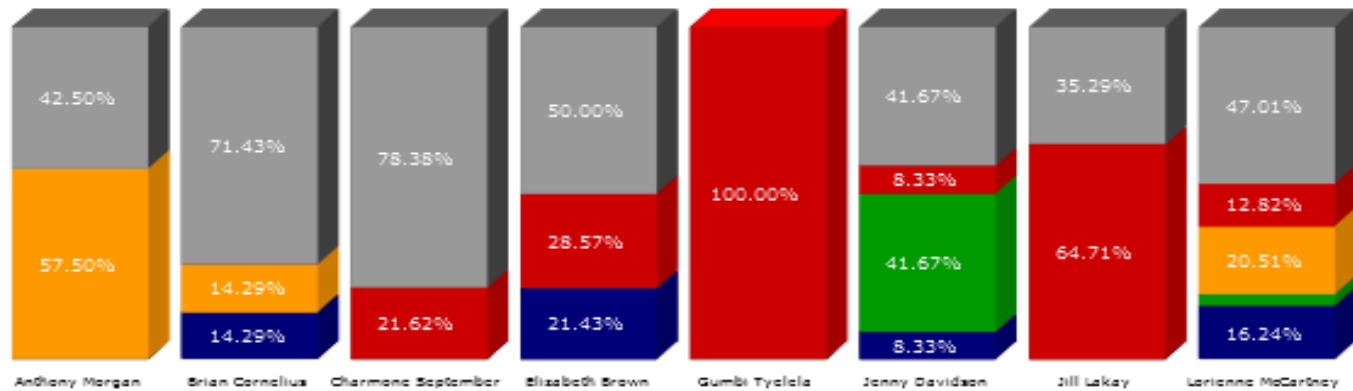


REPORT PER PERSON (MUNICIPAL OFFICIAL)

EXAMPLE OF REPORT PER MUNICIPAL OFFICIAL

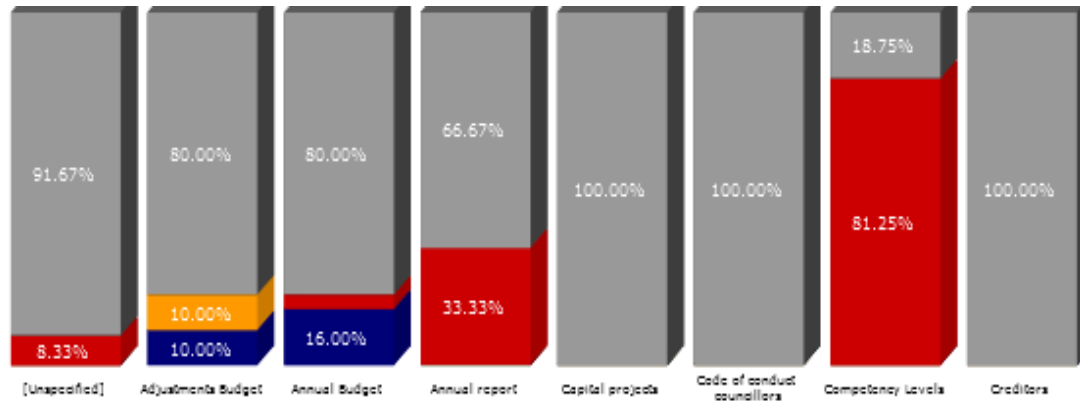


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REPORT PER CATEGORY

EXAMPLE OF REPORT PER CATEGORY



	[Unspecified]	Adjustments Budget	Annual Budget	Annual report	Capital projects	Code of conduct councillors	Competency Levels	Creditors
Completed Before Deadline Date	0 (0.00%)	1 (10.00%)	4 (16.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)
Completed On Deadline Date	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)
Completed After Deadline	0 (0.00%)	1 (10.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	0 (0.00%)
Not Completed And Overdue	1 (8.33%)	0 (0.00%)	1 (4.00%)	4 (33.33%)	0 (0.00%)	0 (0.00%)	13 (81.25%)	0 (0.00%)
Not Completed And Not Overdue	11 (91.67%)	8 (80.00%)	20 (80.00%)	8 (66.67%)	1 (100.00%)	1 (100.00%)	3 (18.75%)	1 (100.00%)
Total:	12 (3.30%)	10 (2.75%)	25 (6.87%)	12 (3.30%)	1 (0.27%)	1 (0.27%)	16 (4.40%)	1 (0.27%)



MUNICIPALITIES IMPLEMENTED COMPLIANCE MODEL OR IN PROCESS

Municipalities

- Ⓜ Cape Agulhas – implemented
- Ⓜ Matzikama – implemented
- Ⓜ Hessequa – implemented
- Ⓜ Laingsburg – implemented
- Ⓜ Knysna – implemented
- Ⓜ Mossel Bay – implemented
- Ⓜ Theewaterskloof - implemented
- Ⓜ Overstrand – implemented
- Ⓜ Bergrivier Municipality – in process

For 2013/2014 financial year, the Department may assist 7 Municipalities to implement the Compliance Model



Thank you