

THE COMPETITION TRIBUNAL
PERFORMANCE INFORMATION REPORT
YEAR TO DATE
1st APRIL 2019 – 31st MARCH 2020

Reviewed for submission by :

Tebogo Mputle (Registrar/Head of Registry)

Signature:

Date:

Reviewed and verified for approval by :

Janeen de Klerk (Chief Operating Officer)

Signature:

Date:

Approved by

Mondo Mazwai (Chairperson)

Signature:

M. Mazwai

Date:

1/6/2020

STRATEGIC FOCUS AREA 1 - 1 APRIL 2019 - 31 MARCH 2020

| STRATEGIC FOCUS AREA 1: | | ADJUDICATIVE EXCELLENCE | | | | | QUARTER 1 | QUARTER 2 | QUARTER 3 | QUARTER 4 | YEAR TO DATE | REASON FOR DEVIATIONS |
|-------------------------------|---|--|--|----------------|-------------------------------|-------------------------------|--------------------------|-------------------------------|-------------------|--------------------|--------------|--|
| | | CURRENT BUDGET | R 33,366,795.00 | R 8,686,065.00 | R 7,962,813.00 | R 7,994,817.00 | R 8,723,100.00 | R 33,366,795.00 | | | | The underspend is related to less case volume than budgeted for and two vacancies with regard to full-time member positions budgeted for but not filled. |
| | | ACTUAL EXPENDITURE | R 27,027,357.66 | R 6,755,875.51 | R 7,580,071.29 | R 6,418,080.20 | R 6,273,330.66 | R 27,027,357.66 | | | | |
| GOAL STATEMENT | | TO ENSURE EFFECTIVE AND EFFICIENT ADJUDICATION ON MATTERS BROUGHT BEFORE THE TRIBUNAL. | | | | | | | | | | |
| STRATEGIC OUTCOME | | | | | | | | | | | | |
| STRATEGIC OBJECTIVE | STRATEGIC OBJECTIVE STATEMENT | OUTCOME | PERFORMANCE INDICATORS | ANNUAL TARGET | PRIOR YEAR ANNUAL PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | ANNUAL PERFORMANCE | | EXPLANATIONS FOR DEVIATIONS |
| | | | | | | Q1 | Q2 | Q3 | Q4 | YEAR TO DATE | | |
| CASE MANAGEMENT EFFICIENCY | Matters brought before the Tribunal are heard within the adopted delivery time frames | Hearings are set down within required time frames | % of large mergers to be set down for the beginning of a hearing or a pre-hearing, within 10 business days of filing of the merger referral | 80% | 67.33% | 100% | 76% | 100% | 86% | 88% | | The target has been exceeded for the year to date. Finalisation of set down dates is determined by the availability of parties and Tribunal members and they were mostly available. 75 of the 85 matters were set down within 10 business days. With regard to the 10 matters not set down within the required 10 days - 4 were late by one day, one was late by 3 days, 3 were late by 14 days and the remaining 2 were out by 15 and 23 days respectively. No corrective action is required |
| | | | % of intermediate and small merger considerations to be set down for the beginning of a hearing or a pre-hearing within 10 business days of the receipt of the Commission's record. (A business rule has been established and is reflected in the technical indicator description to use "receipt of the Commission's record" as the point of departure for measurement as opposed to "filing of request for consideration" as indicated in the Act) | 70% | 25% | 0% | No matters were set down | No matters were set down | 0% | 0% | | Target not met for the year to date. Two matters were set down and they were both set down outside the required time. One was set down 12 days outside the required time due to an internal administrative oversight. This matter has been addressed internally. The other was set down 7 days outside the required time due to the unavailability of parties. No action is planned because if parties are not ready for a hearing on the proposed date the hearing cannot be held. |
| TIMEOUS ISSUING OF JUDGEMENTS | Improvement in the issuing of judgments/decisions in line with adopted time frames | Expeditious conclusion of matters | % of large merger orders issued to parties within 10 business days of last hearing date. (A business rule has been established where "hearing day" can refer for any one of the following: actual hearing, telephonic hearing, paper hearing (date on which required documents are submitted - currently referred to as "last submission date")) | 95% | 96.97% | 100% | 100% | 100% | 100% | 100% | | The target has been exceeded for the quarter and for the year. All 87 matters decided were decided within 10 business days. No corrective action is required |
| | | | % of large merger reasons issued to parties within 20 business days of the date the order was issued on | 80% | 75.00% | 70% | 62% | 76% | 77% | 71% | | The target was not met for the year to date. 62 of the 87 reasons issued in time within 20 business days. Out of the 25 out of time, 16 were out by less than 10 days, five did not meet the target by between 11 and 19 days, one by 29 days, two by 61 and 63 days and one by 107 days. Delays can occur for any one or a combination of the following reasons (i) more complex matters require more time to draft reasons, (ii) lack of Tribunal member capacity - in many instances Tribunal members are sitting on matters and simultaneously are required to draft reasons. The capacity issue is exacerbated by the fact that there is currently a shortage of Tribunal members. The Tribunal is unable to implement an action plan that addresses delays caused by the complexity of a matter. We can however implement action where delays are related to lack of Tribunal member capacity and we have engaged with the DTIC to secure more Tribunal members to address this issue. |
| TIMEOUS ISSUING OF JUDGEMENTS | Improvement in the issuing of judgments/decisions in line with adopted time frames | Expeditious conclusion of matters | % of intermediate and small merger consideration orders issued to parties within 10 business days of last hearing date. (A business rule has been established where "hearing day" can refer for any one of the following: actual hearing, telephonic hearing, paper hearing (date on which required documents are submitted - currently referred to as "last submission date")) | 80% | 100.00% | No orders issued this quarter | 50% | No orders issued this quarter | No orders issued | 50% | | Target not met for the year to date as the panel was comprised part-time members with other work commitments. One of the two orders issued was issued late by 160 days. The Tribunal is engaging with the DTIC to secure more Tribunal members in order to address the capacity issues. |
| | | | % of intermediate and small merger considerations reasons issued to parties within 20 business days of the date the order was issued on | 60% | 0.00% | 0% | 100% | 0% | No reasons issued | 25% | | Target not met for the year to date. Three of the four reasons issued were issued out of time. In one there was a change in case managers, in the other two issues to be considered were complex thus delaying the finalisation of the reasons. The three reasons issued late were late by 53, 89 and 281 business days respectively. The Tribunal is unable to implement an action plan that addresses delays caused by the complexity of a matter. We can however implement action where delays are related to lack of Tribunal member capacity and we have engaged with the DTIC to secure more Tribunal members to address this issue |

| STRATEGIC FOCUS AREA 1: | | ADJUDICATIVE EXCELLENCE | | | | QUARTER 1 | QUARTER 2 | QUARTER 3 | QUARTER 4 | YEAR TO DATE | REASON FOR DEVIATIONS |
|-------------------------------|---|---|---|---|--|-------------------|-------------------|-------------------|--|--|---|
| | | CURRENT BUDGET | R 33,366,795.00 | R 8,686,065.00 | R 7,962,813.00 | R 7,994,817.00 | R 8,723,100.00 | R 33,366,795.00 | The underspend is related to less case volume than budgeted for and two vacancies with regard to full-time member positions budgeted for but not filled. | | |
| | | ACTUAL EXPENDITURE | R 27,027,357.66 | R 6,755,875.51 | R 7,580,071.29 | R 6,418,080.20 | R 6,273,330.66 | R 27,027,357.66 | | | |
| GOAL STATEMENT | | TO ENSURE EFFECTIVE AND EFFICIENT ADJUDICATION ON MATTERS BROUGHT BEFORE THE TRIBUNAL | | | | | | | | | |
| STRATEGIC OUTCOME | | | | | | | | | | | |
| STRATEGIC OBJECTIVE | STRATEGIC OBJECTIVE STATEMENT | OUTCOME | PERFORMANCE INDICATORS | ANNUAL TARGET | PRIOR YEAR ANNUAL PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | ANNUAL PERFORMANCE | EXPLANATIONS FOR DEVIATIONS |
| | | | | | | Q1 | Q2 | Q3 | Q4 | YEAR TO DATE | |
| TIMEOUS ISSUING OF JUDGEMENTS | Improvement in the issuing of judgements/decisions in line with adopted time frames | Expeditious conclusion of matters | Reasons for prohibited practices cases (Prohibited practice cases refer to all complaints from the commission, the complainant and the High Court) issued to parties in accordance with the delivery timeframes per category: A, B or C from last hearing date. (Prohibited practice cases refer to all complaints from the Commission, the complainant and the High Court - A refers to a simple matter, B to a complex matter and C to a very complex matter) | A (A refers to Simple matter, B to complex matter and C to Very Complex matter) - 100 business days | No reasons issued | No reasons issued | No reasons issued | No reasons issued | No reasons issued | No reasons issued | Target cannot be measured for the quarter or the year to date as there were no reasons issued. No corrective action required |
| | | | B - 125 business days | 50.00% | 0% | 100% | 0% | 0% | 33% | Target not met for the year to date. Reasons were issued in six matters and four issued late by 2, 37, 52 and 78 days respectively The delays were caused as Tribunal members are simultaneously sitting on panels and therefore find it difficult to draft reasons. The Tribunal has engaged the DTIC to secure more Tribunal members to address the issue of Tribunal Members capacity. | |
| | | | C- 150 business days | 50% | 50% | No reasons issued | No reasons issued | No reasons issued | 50% | Target not met for the year to date. Reasons were issued in two matters and one was out of time by 130 business days. Members were unavailable to review the draft set of reasons timeously as they were sitting on other panels and/or writing reasons for other matters simultaneously. The Tribunal has engaged with the DTIC to secure more Tribunal members to address the issue of Tribunal Members capacity. | |
| TIMEOUS ISSUING OF JUDGEMENTS | Improvement in the issuing of judgements/decisions in line with adopted time frames | Expeditious conclusion of matters | % of procedural matter (Procedural matters includes interlocutory applications) orders issued to parties within 45 business days of last hearing date. (A business rule has been established where "hearing day" can refer for any one of the following: actual hearing, telephonic hearing, paper hearing (date on which required documents are submitted - currently referred to as "last submission date")) | 85% | 90.63% | 48% | 100% | 56% | 75% | 55% | Target was not met for the year to date. The drafting of reasons take longer because of complexity of matters and also because of Tribunal Members capacity. The total out for the year to date were 20 cases out by between 31 and 167 days. The Tribunal is unable to implement an action plan that addresses delays caused by the complexity of a matter. We can however implement action where delays are related to lack of Tribunal member capacity and we have engaged with the DTIC to secure more Tribunal members to address this issue |
| | | | % of orders for consent orders and settlement agreements issued to parties within 10 business days of last hearing date. (A business rule has been established where "hearing day" can refer for any one of the following: actual hearing, telephonic hearing, paper hearing (date on which required documents are submitted - currently referred to as "last submission date")) | 95% | 97.92% | 100% | 83% | 100% | 100% | 96% | Target exceeded for the quarter and for the year to date. The target was exceeded as the matters were not as complex and there was no substantial deliberation required in drafting the orders. No corrective action required |
| | | | % of interim relief reasons issued to parties within 20 business days of last hearing date (A business rule has been established where "hearing day" can refer for any one of the following: actual hearing, telephonic hearing, paper hearing (date on which required documents are submitted - currently referred to as "last submission date")) | 90% | No reasons issued in interim cases therefore the target cannot be measured | No reasons issued | 0% | No reasons issued | 0% | 0% | Target not met for the year to date. Reasons were issued in two matters and were out because of capacity issues. The reasons were out by 23 and 63 days. The Tribunal have engaged with the DTIC to secure more Tribunal members to address the issue of Tribunal Members capacity. |

| STRATEGIC FOCUS AREA 1: | | ADJUDICATIVE EXCELLENCE | | | QUARTER 1 | QUARTER 2 | QUARTER 3 | QUARTER 4 | YEAR TO DATE | REASON FOR DEVIATIONS | |
|---------------------------------|--|---|--|--|---|---|---|---|--|--|--|
| | | CURRENT BUDGET | R 33,366,795.00 | R 8,686,065.00 | R 7,962,813.00 | R 7,994,817.00 | R 8,723,100.00 | R 33,366,795.00 | The underspend is related to less case volume than budgeted for and two vacancies with regard to full-time member positions budgeted for but not filled. | | |
| | | ACTUAL EXPENDITURE | R 27,027,357.66 | R 6,755,875.51 | R 7,580,071.29 | R 6,418,080.20 | R 6,273,330.66 | R 27,027,357.66 | | | |
| GOAL STATEMENT | | TO ENSURE EFFECTIVE AND EFFICIENT ADJUDICATION ON MATTERS BROUGHT BEFORE THE TRIBUNAL | | | | | | | | | |
| STRATEGIC OUTCOME | | | | | | | | | | | |
| STRATEGIC OBJECTIVE | STRATEGIC OBJECTIVE STATEMENT | OUTCOME | PERFORMANCE INDICATORS | ANNUAL TARGET | PRIOR YEAR ANNUAL PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | ANNUAL PERFORMANCE | EXPLANATIONS FOR DEVIATIONS |
| | | | | | | Q1 | Q2 | Q3 | Q4 | YEAR TO DATE | |
| EFFECTIVE BUSINESS APPLICATIONS | Enhancing record keeping, performance and case flow management by harnessing facility and functionality of business applications | Improved management information to inform strategic decision making and access to historical data | CMS deemed to be sustainable | CMS assessed to determine period of sustainability. Action plan implemented if sustainability limited to less than 5 years | Sustainability of the system being determined and measures taken to ensure its sustainability with the implementation of current available updates. | The current sustainability of the system is less than five years. It is anticipated that an update will be implemented in quarter 4 of the current financial year and that this will increase the sustainability of the system. Progress reported in IT Quarterly Report | The CMS was upgraded with a new patch however the current sustainability of the system remains at less than five years. It is anticipated that an update will be implemented in quarter 4 that will extend the sustainability of the system. Progress is reported on a quarterly basis in IT Quarterly Report | The current sustainability of the system remains at less than five years. OpenText will release a major update in quarter 4 of the current financial year which will extend the sustainability of the system. The progress of patches and updates is reported on a quarterly basis in IT Quarterly Report | The sustainability of the system still remains at less than five years. A major upgrade released in February 2020 is currently being testing before being implemented. The progress of patches and updates is reported on a quarterly basis in IT Quarterly Report | The sustainability of the system remains at less than five years. However, an action plan has been developed to ensure that the system remains sustainable for a further five years. | Target has been met as an action plan to ensure sustainability beyond 5 years has been drafted and currently being finalised. <i>No corrective action required but action plan in place and to be implemented</i> |
| | | | Review CMS to determine if any additional enhancements required | A decision approving/not approving enhancements is made by the COO/ITSC and enhancements implemented as approved. | Enhancements planned have been implemented and new enhancements identified are planned for implementation. | System enhanced to update Tribunal's case information and documents directly to the website. Changes being made in order to upload Higher Court documents directly to website on page for higher courts. All changes approved as change requests or scopes of work before implementation. Enhancements reported on in IT Quarterly Report | Various system enhancements and changes are being investigated and will be implemented in quarter three and quarter four of the current financial year. Changes and enhancements are being done through approved scopes of work and change requests. | A number of system enhancements and changes are being investigated and will be implemented in quarter three and quarter four of the current financial year. Changes and enhancements are being done through approved scopes of work and change requests. | Three enhancements approved through scopes of work and change requests as approved by COO or as discussed in an ITSC meeting | Five substantial enhancements to the functionality of the system were implemented during the current financial year. These included enhancements to the process for "pushing" documents to the case file in the Tribunal's website, validations within the system with regard to referrals to the CAC, processes to record non-hearing activities on a case and therefore update a case status, approval processes for access to information requests and changing the default status for new cases from pending hearing to filing in process. The Tribunal is currently working on a change where due dates for reasons will automatically be calculated based on regulations in the Act or internal rules. | While no indicator is set with regard to number of enhancements this has been set so as to ensure that the system is constantly assessed to ensure better functionality and to facilitate better and more accurate data capturing. The enhancements implemented have achieved this and those planned (including updates) are such that the system can track due dates for reasons. Thus enabling effective monitoring of reasons that may be near due date or overdue. All enhancements effected through change requests or scopes of work are noted in an ITSC meeting. <i>No corrective action required but we continue to look at ways to enhance the system</i> |
| EFFECTIVE BUSINESS APPLICATIONS | Enhancing record keeping, performance and case flow management by harnessing facility and functionality of business applications | Improved management information to inform strategic decision making and access to historical data | Models developed and implemented that generate statistics pertaining to the adjudicative process | Assess models for enhancements and determine if any new models need to be implemented | Useful statics model developed that contains various reports on case data including status of prohibited practice cases and timeframes regarding writing and issuing of reasons | Models are currently being assessed and reviewed. Enhancements are being effected on cost model and models providing information on prohibited practices | We continue to test and review models and make enhancements where required. The current focus is on the cost model and the prohibited practices model. | We continue to test and review models and make enhancements where required. The current focus has been on reasons turnaround times, the cost model and the prohibited practices model. | Testing on enhancements to models were completed in this quarter and the models were made "live" and two enhancements relating to the case cost model and the performance information model are being tested. In addition we are testing moving the models to Qlikview (upgraded Qlikview) which will enable more dynamic and customised dashboards (for individual users) | Models were finalised that amongst other enable us to more effectively assess the status of prohibited practices and procedural matters and therefore more accurately determined the number of cases deemed to be "active". We also used the system to develop a model on our accounting system that extracts spend by BBB-EE status quickly and more accurately | As indicated above we have not set targets to develop or enhance models that extract data from the Tribunal's CMS as we are constantly assessing areas where reporting can be enhanced/refined or new reports developed that enable us to provide the kind of statistical information we do or want to include in our annual integrated report or reports to our line department. <i>No corrective action required but we continue to look at enhancing the system</i> |

STRATEGIC FOCUS AREA 2 - 1 APRIL 2019 - 31 MARCH 2020

| STRATEGIC FOCUS AREA 2: | | STAKEHOLDER RELATIONSHIPS | | | | QUARTER 1 | QUARTER 2 | QUARTER 3 | QUARTER 4 | YEAR TO DATE | REASON FOR DEVIATIONS | |
|-------------------------|---|---|---|---|---|--|---|--|--|---|--|---|
| | | CURRENT BUDGET | | | | R 1,449,561.68 | R 343,377.66 | R 343,377.67 | R 343,377.66 | R 419,428.69 | R 1,449,561.68 | The variance is primarily related to underspend on website development as there was no need for further development during the year |
| | | ACTUAL EXPENDITURE | | | | R 1,258,804.58 | R 321,146.11 | R 281,018.60 | R 292,648.39 | R 363,991.48 | R 1,258,804.58 | |
| GOAL STATEMENT | | TO BUILD AND DEVELOP EFFECTIVE STAKEHOLDER RELATIONSHIPS | | | | | | | | | | |
| STRATEGIC OUTCOME | | | | | | | | | | | | |
| STRATEGIC OBJECTIVE | STRATEGIC OBJECTIVE STATEMENT | OUTCOME | PERFORMANCE INDICATORS | ANNUAL TARGET | PRIOR YEAR ANNUAL PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | ANNUAL PERFORMANCE | EXPLANATIONS FOR DEVIATIONS | |
| | | | | | | Q1 | Q2 | Q3 | Q4 | YEAR TO DATE | | |
| STAKEHOLDER AWARENES | Ensure that an integrated communication plan is developed and implemented | A structured and focussed process to create and enhance awareness of the work of the Tribunal | E-newsletter developed and placed on website | Service provider sourced to develop e-newsletter that is fully implemented and available on website | Service provider appointed, website to go live in April. E-newsletter being distributed | Facility on website has been developed to allow for publication on the website | External newsletter still being finalised and will be posted on the website in Q3 | Internal and external e-newsletters produced and distributed | No external newsletter distributed this quarter being finalised for distribution early in the new financial year | External e-newsletter developed internally with assistance of website service provider and uploaded on website | Target met during the year under review. <i>No corrective action required.</i> | |
| | | | Communication framework reviewed annually and quarterly communication report on strategy and media coverage presented to EXCO | Annually review framework and report quarterly on communication strategy and media coverage | Progress is being made with regard to finalising framework (Being workshopped with staff before final approval). Quarterly reports are in place | Framework workshopped with Tribunal staff, final amendments made, signed off by Chairperson. Quarter report also completed | Annual target but communication reports presented quarterly | Annual target but communication reports presented quarterly | Annual target but communication reports presented quarterly | Communication reports produced and distributed quarterly. Reports address media coverage and strategy. Communication Framework reviewed and approved in first quarter | Target met during the year under review. <i>No corrective action required.</i> | |
| | Ensure communication pertaining to the Tribunal's adjudicative process is issued to stakeholders within adopted delivery timeframes | Timely and compliant communication of adjudication outcomes | % of press releases of final merger decisions communicated within two business days of order date | 95.00% | 96.97% | 100.00% | 87.10% | 100.00% | 100.00% | 95.45% | Target exceeded for quarter and year to date. 84 of the 88 press releases issued for final merger decisions were issued within the required two business days. <i>No corrective action required.</i> | |
| | | | % of press releases of final prohibited practice decisions communicated within two business days of order date | 90% | 60% | 100% | 100% | 50% | 100% | 85.71% | Target for the year not met. 1 of the 7 press releases issued was issued out of time due to a lack of effective communication internally. <i>A process with regard to communication regarding decisions has been developed in order to prevent reoccurrence.</i> | |
| | Identify and address stakeholder needs and expectations in order to meet or exceed requirements | Level of stakeholder satisfaction | Stakeholder satisfaction survey results | No target set for this period | No stakeholder survey was undertaken | No target set for this year | | | | | | |

STRATEGIC FOCUS AREA 3 - 1 APRIL 2019 - 31 MARCH 2020

| STRATEGIC FOCUS AREA 3: | | ACCOUNTABLE, TRANSPARENT AND SUSTAINABLE ENTITY | | | | QUARTER 1 | QUARTER 2 | QUARTER 3 | QUARTER 4 | YEAR TO DATE | REASON FOR DEVIATIONS |
|------------------------------------|--|--|---|--|--|--|--|--|---|--|---|
| | | CURRENT BUDGET | R 10,155,848.24 | R 2,428,327.26 | R 2,547,011.26 | R 2,188,681.26 | R 2,991,828.46 | R 10,155,848.24 | The underspend is primarily related to significantly reduced expenditure on training and on certain personnel expenses due to vacancies during the year | | |
| | | ACTUAL EXPENDITURE | R 8,811,540.99 | R 2,205,125.31 | R 2,329,624.87 | R 1,679,554.11 | R 2,597,236.70 | R 8,811,540.99 | | | |
| GOAL STATEMENT | | TO ENSURE THE TRIBUNAL HAS EFFECTIVE STRATEGIC LEADERSHIP, ADMINISTRATION AND MANAGEMENT THROUGH ADHERENCE TO GOOD GOVERNANCE AND SOUND BUSINESS PRACTICE. | | | | | | | | | |
| STRATEGIC OUTCOME | | | | | | | | | | | |
| STRATEGIC OBJECTIVE | STRATEGIC OBJECTIVE STATEMENT | OUTCOME | PERFORMANCE INDICATORS | ANNUAL TARGET | PRIOR YEAR ANNUAL PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | PERFORMANCE | ANNUAL PERFORMANCE | EXPLANATIONS FOR DEVIATIONS |
| | | | | | | Q1 | Q2 | Q3 | Q4 | YEAR TO DATE | |
| GOOD GOVERNANCE | Increase the level of compliance with the prescripts of good governance | Accountable and transparent Public Entity | Achieve an unqualified audit outcome year on year | Unqualified audit – no issues of governance raised | Final audit report - clean audit opinion - no governance issues raised. | The draft audit report indicates we will receive a clean audit - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The target was exceeded. We aimed for an unqualified report and received a clean audit <i>No corrective action required</i> |
| EFFECTIVE OVERSIGHT STRUCTURES | Maintain effective oversight structures that promote solid business practice | Sound Business Practice | Achieve an unqualified audit outcome year on year | Unqualified audit – no issues of governance raised | Final audit report - clean audit opinion - no governance issues raised. | The draft audit report indicates we will receive a clean audit - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The final audit report indicates we achieved a clean audit opinion - no issues of governance raised | The target was exceeded. We aimed for an unqualified report and received a clean audit <i>No corrective action is required</i> |
| EFFECTIVE MANAGEMENT OF THE BUDGET | Ensure financial management that promotes effective and efficient use of resources | Optimal financial resource allocation and utilisation | Achieve an unqualified audit outcome year on year | Unqualified audit-no findings of fruitless /wasteful expenditure | Final audit report - clean audit opinion - no findings on fruitless and wasteful expenditure. | The draft audit report indicates we will receive a clean audit - no issues on fruitless and wasteful expenditure | The final audit report indicates we will receive a clean audit - no issues on fruitless and wasteful expenditure | The final audit report indicates we will receive a clean audit - no issues on fruitless and wasteful expenditure | The final audit report indicates we will receive a clean audit - no issues on fruitless and wasteful expenditure | The final audit report indicates we will receive a clean audit - no issues on fruitless and wasteful expenditure | The target was exceeded. We aimed for an unqualified report and received a clean audit <i>No corrective action required</i> |
| FINANCIAL GOVERNANCE AND REPORTING | Ensure a sound control environment and monitor and maintain compliance and ensure that all reporting requirements are met | Compliance to requirements as an accountable, transparent institution | No material misstatements for May submission | No material misstatement on May submission | No material misstatements in May submission. | The draft audit report indicates we will receive a clean audit - no material misstatements | The final audit report indicates we will receive a clean audit - no material misstatements | The final audit report indicates we will receive a clean audit - no material misstatements | The final audit report indicates we will receive a clean audit - no material misstatements | The final audit report indicates we will receive a clean audit - no material misstatements | The target was exceeded. We aimed for an unqualified report and received a clean audit <i>No corrective action is required</i> |
| | | | Submission against annual deadline | Annual reporting submission dates met May and July | May and July 2018 deadlines were met. | May deadline met. July target is in next quarter | The May and July deadlines were both met | The May and July deadlines were both met | The May and July deadlines were both met | The May and July deadlines were both met | The May and July deadlines were both met |
| | | Integrated risk management processes and combined assurance | Achieve an unqualified audit outcome year on year | Unqualified audit – no issues of risk management raised | Final audit report - clean audit opinion - no issues on risk. | The draft audit report indicates we will receive a clean audit - no issues on risk | The final audit report indicates we will receive a clean audit - no issues on risk | The final audit report indicates we will receive a clean audit - no issues on risk | The final audit report indicates we will receive a clean audit - no issues on risk | The final audit report indicates we will receive a clean audit - no issues on risk | The final audit report indicates we will receive a clean audit - no issues on risk |
| SUSTAINABLE CAPACITY | Ensure that the Tribunal effectively leverages employee skills by recruiting, retaining and developing high quality people | Strengthen the Tribunal's organisational capacity and performance to deliver on its legislative mandate | Implementation of case management graduate internships against plan | Minimum of two graduate interns (one-year internship) appointed | 2 LT interns appointed for period. 3 vacation interns employed in the Tribunal during the July vacation | 2 graduate interns appointed in January for a year | 2 graduate interns appointed in January for a year (to end December 2019) | 2 graduate interns appointed in January for a year (to end December 2019) | 2 graduate interns appointed in January for a year (to end December 2019) | 2 graduate interns appointed in January for a year (to end December 2019) | Graduate internship targets meet plan requirements <i>No corrective action is required</i> |