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For purposes of reference, all Proclamations, Government Notices, General Notices and Board Notices published are included in the following table of contents which thus forms a weekly index. Let yourself be guided by the gazette numbers in the righthand column:

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NOTICE SUBMISSION DEADLINES FOR ORDINARY GAZETTES

Government Gazette Type	Publication Frequency	Publication Date	Submission Deadline	Cancellations Deadline
National Gazette	Weekly	Friday	Friday 15h00 for next Friday	Tuesday, 12h00 - 3 days prior to publication
Regulation Gazette	Weekly	Friday	Friday 15h00, to be published the following Friday	Tuesday, 12h00 - 3 days prior to publication
Petrol Price Gazette	As required	First Wednesday of the month	One week before publication	3 days prior to publication
Road Carrier Permits	Weekly	Friday	Thursday 15h00, to be published the following Friday	3 days prior to publication
Unclaimed Monies (justice, labour or lawyers)	January / As required 2 per year	Any	15 January / As required	3 days prior to publication
Parliament (acts, white paper, green paper)	As required	Any		3 days prior to publication
Manuals	As required	Any	None	None
Legal Gazettes A, B and C	Weekly	Friday	One week before publication	Tuesday, 12h00 - 3 days prior to publication
Tender Bulletin	Weekly	Friday	Friday 15h00 for next Friday	Tuesday, 12h00 - 3 days prior to publication
Gauteng	Weekly	Wednesday	Two weeks before publication	3 days after submission deadline
Eastern Cape	Weekly	Monday	One week before publication	3 days prior to publication
Northern Cape	Weekly	Monday	One week before publication	3 days prior to publication
North West	Weekly	Tuesday	One week before publication	3 days prior to publication
KwaZulu-Natal	Weekly	Thursday	One week before publication	3 days prior to publication
Limpopo	Weekly	Friday	One week before publication	3 days prior to publication
Mpumalanga	Weekly	Friday	One week before publication	3 days prior to publication
Gauteng Liquor License Gazette	Monthly	Wednesday before the First Friday of the month	Two weeks before publication	3 days after submission deadline
Northern Cape Liquor License Gazette	Monthly	First Friday of the month	Two weeks before publication	3 days after submission deadline
National Liquor License Gazette	Monthly	First Friday of the month	Two weeks before publication	3 days after submission deadline
Mpumalanga Liquor License Gazette	2 per month	Second & Fourth Friday	One week before	3 days prior to publication

GOVERNMENT PRINTING WORKS CONTACT INFORMATION**Physical Address:**

Government Printing Works
149 Bosman Street
Pretoria

Postal Address:

Private Bag X85
Pretoria
0001

GPW Banking Details:

Bank: ABSA Bosman Street
Account No.: 405 7114 016
Branch Code: 632-005

For Gazette and Notice submissions: Gazette Submissions:
For queries and quotations, contact: Gazette Contact Centre:

E-mail: submit.egazette@gpw.gov.za
E-mail: info.egazette@gpw.gov.za
Tel: 012-748 6200

Contact person for subscribers: Mrs M. Toka:

E-mail: subscriptions@gpw.gov.za
Tel: 012-748-6066 / 6060 / 6058
Fax: 012-323-9574

LIST OF TARIFF RATES FOR PUBLICATION OF NOTICES

COMMENCEMENT: 1 APRIL 2016

NATIONAL AND PROVINCIAL

Notice sizes for National, Provincial & Tender gazettes 1/4, 2/4, 3/4, 4/4 per page. Notices submitted will be charged at R1000 per full page, pro-rated based on the above categories.

Pricing for National, Provincial - Variable Priced Notices		
Notice Type	Page Space	New Price (R)
Ordinary National, Provincial	1/4 - Quarter Page	250.00
Ordinary National, Provincial	2/4 - Half Page	500.00
Ordinary National, Provincial	3/4 - Three Quarter Page	750.00
Ordinary National, Provincial	4/4 - Full Page	1000.00

EXTRA-ORDINARY

All Extra-ordinary National and Provincial gazette notices are non-standard notices and attract a variable price based on the number of pages submitted.

The pricing structure for National and Provincial notices which are submitted as **Extra ordinary submissions** will be charged at **R3000** per page.

GOVERNMENT PRINTING WORKS BUSINESS RULES

Government Printing Works has established rules for submitting notices in line with its electronic notice processing system, which requires the use of electronic Adobe Forms. Please ensure that you adhere to these guidelines when completing and submitting your notice submission.

1. No hand written notices will be accepted for processing, this includes Adobe forms which have been completed by hand.
2. Notices can only be submitted in Adobe electronic form format, to the email submission address submit.egazette@gpw.gov.za. All notice submissions not on Adobe electronic forms will be rejected.
3. When submitting your notice request, please ensure that a purchase order (GPW Account customer) or proof of payment (non-GPW Account customer) is included with your notice submission. All documentation relating to the notice submission must be in a single email and must be attached separately. (In other words, your email should have an Adobe Form plus proof of payment/purchase order as 2 separate attachments. Where notice content is applicable, it should also be a 3rd separate attachment).
4. Notices brought to GPW by "walk-in" customers on electronic media can only be submitted in Adobe electronic form format.
5. All "walk-in" customers with notices that are not on electronic Adobe forms will be routed to the Contact Centre where they will be assisted to complete the forms in the required format. Where a customer walks into GPW with a stack of hard copy notices delivered by a messenger on behalf of any organisation e.g. newspaper publisher, the messenger will be referred back to the sender as the submission does not adhere to the submission rules.
6. For National or Provincial gazette notices, the following applies:
 - 6.1 These notices must be accompanied by an electronic Z95 or Z95Prov Adobe form
 - 6.2 The notice content (body copy) MUST be a separate attachment.
7. The current cut-off of all Gazette's remains unchanged for all channels. (Refer to the GPW website for submission deadlines – www.gpwonline.co.za)
8. Incorrectly completed forms and notices submitted in the wrong format will be rejected to the customer to be corrected and resubmitted. Assistance will be available through the Contact Centre should help be required when completing the forms. (012-748 6200 or email info.egazette@gpw.gov.za)
9. All re-submissions will be subject to the standard cut-off times.
10. All submissions and re-submissions that miss the cut-off will be rejected to the customer to be submitted with a new publication date.
11. The electronic Adobe form will be taken as the primary source for the notice information to be published. Instructions that are on the email body or covering letter that contradicts the notice form content will not be considered.
12. Requests for Quotations (RFQs) should be received by the Contact Centre at least 24 hours before the submission deadline for that specific publication.

APPROVAL OF NOTICES

13. Any notices other than legal notices are subject to the approval of the Government Printer, who may refuse acceptance or further publication of any notice.

GOVERNMENT PRINTER INDEMNIFIED AGAINST LIABILITY

The Government Printer indemnified against liability

14. The Government Printer will assume no liability in respect of—
 - 14.1 any delay in the publication of a notice or publication of such notice on any date other than that stipulated by the advertiser;

- 14.2 erroneous classification of a notice, or the placement of such notice in any section or under any heading other than the section or heading stipulated by the advertiser;
- 14.3 any editing, revision, omission, typographical errors or errors resulting from faint or indistinct copy.

LIABILITY OF ADVERTISER

15. Advertisers will be held liable for any compensation and costs arising from any action which may be instituted against the Government Printer in consequence of the publication of any notice.

COPY

16. Copy of notices must be submitted using the relevant Adobe PDF form for the type of notice to be placed and may not constitute part of any covering letter or document.
17. Where the copy is part of a separate attachment document for **Z95**, **Z95Prov** and **TForm03**
- 17.1 Copy of notices must be supplied in a separate document and may not constitute part of any covering letter, purchase order, proof of payment or other attached documents.
- The content document should contain only one notice. (You may include the different translations of the same notice in the same document).
- 17.2 The notice should be set on an A4 page, with margins and fonts set as follows:
- Page size = A4 Portrait with page margins: Top = 40mm, LH/RH = 16mm, Bottom = 40mm;
Use font size: Arial or Helvetica 10pt with 11pt line spacing;
- Page size = A4 Landscape with page margins: Top = 16mm, LH/RH = 40mm, Bottom = 16mm;
Use font size: Arial or Helvetica 10pt with 11pt line spacing;

PAYMENT OF COST

18. The Request for Quotation for placement of the notice should be sent to the Gazette Contact Centre as indicated above, prior to submission of notice for advertising.
19. Payment should then be made, or Purchase Order prepared based on the received quotation, prior to the submission of the notice for advertising as these documents i.e. proof of payment or Purchase order will be required as part of the notice submission, as indicated earlier.
20. Where there is any doubt about the cost of publication of a notice, and in the case of copy, an enquiry, accompanied by the relevant copy, should be addressed to the Gazette Contact Centre, Government Printing Works, PrivateBag X85, Pretoria, 0001 email: info.egazette@gpw.gov.za before publication.
21. Overpayment resulting from miscalculation on the part of the advertiser of the cost of publication of a notice will not be refunded, unless the advertiser furnishes adequate reasons why such miscalculation occurred. In the event of underpayments, the difference will be recovered from the advertiser, and future notice(s) will not be published until such time as the full cost of such publication has been duly paid in cash or electronic funds transfer into the Government Printing Works banking account.
22. In the event of a notice being cancelled, a refund will be made only if no cost regarding the placing of the notice has been incurred by the Government Printing Works.
23. The Government Printer reserves the right to levy an additional charge in cases where notices, the cost of which has been calculated in accordance with the List of Fixed Tariff Rates, are subsequently found to be excessively lengthy or to contain overmuch or complicated tabulation.

PROOF OF PUBLICATION

24. Copies of the Government Gazette which may be required as proof of publication, may be ordered from the Government Printer at the ruling price. The Government Printer will assume no liability for any failure to post such Government Gazette(s) or for any delay in despatching it them

IMPORTANT ANNOUNCEMENT**Closing times** **PRIOR TO PUBLIC HOLIDAYS** *for*
**GOVERNMENT NOTICES, GENERAL NOTICES,
REGULATION NOTICES AND PROCLAMATIONS** **2016**

The closing time is 15:00 sharp on the following days:

- **16 March**, Wednesday for the issue of Thursday **24 March 2016**
- **23 March**, Wednesday for the issue of Friday **1 April 2016**
- **21 April**, Thursday for the issue of Friday **29 April 2016**
- **28 April**, Thursday for the issue of Friday **6 May 2016**
- **9 June**, Thursday for the issue of Friday **17 June 2016**
- **4 August**, Thursday for the issue of Friday **12 August 2016**
- **8 December**, Thursday for the issue of Thursday **15 December 2016**
- **22 December**, Thursday for the issue of Friday **30 December 2016**
- **29 December**, Thursday for the issue of Friday **6 January 2017**

BELANGRIKE AANKONDIGING**Sluitingstye** **VOOR VAKANSIEDAE** *vir*
**GOEWERMENTS-, ALGEMENE- & REGULASIE-
KENNISGEWINGS ASOOK PROKLAMASIES** **2016**

Die sluitingstyd is stiptelik 15:00 op die volgende dae:

- **16 Maart**, Woensdag vir die uitgawe van Donderdag **24 April 2016**
- **23 Maart**, Woensdag vir die uitgawe van Vrydag **1 April 2016**
- **21 April**, Donderdag vir die uitgawe van Vrydag **29 April 2016**
- **28 April**, Donderdag vir die uitgawe van Vrydag **6 Mei 2016**
- **9 Junie**, Donderdag vir die uitgawe van Vrydag **17 Junie 2016**
- **4 Augustus**, Donderdag vir die uitgawe van Vrydag **12 Augustus 2016**
- **8 Desember**, Donderdag vir die uitgawe van Donderdag **15 Desember 2016**
- **22 Desember**, Donderdag vir die uitgawe van Vrydag **30 Desember 2016**
- **29 Desember**, Donderdag vir die uitgawe van Vrydag **6 Januarie 2017**

GOVERNMENT NOTICES • GOEWERMENTSKENNISGEWINGS

DEPARTMENT OF AGRICULTURE, FORESTRY AND FISHERIES**NO. 570****27 MAY 2016****AGRICULTURAL PRODUCT STANDARDS ACT, 1990 (ACT No. 119 OF 1990)****PROHIBITION REGARDING THE REMOVAL OF IMPORTED REGULATED AGRICULTURAL PRODUCTS
INTENDED FOR SALE IN THE REPUBLIC OF SOUTH AFRICA FROM THE PRESCRIBED PORTS OF
ENTRY**

1. I, Senzeni Zokwana, Minister of Agriculture, Forestry and Fisheries --

- (1) acting under section 4A(1)(b) of the Agricultural Product Standards Act, 1990 (Act No. 119 of 1990), hereby prohibit the removal of regulated agricultural products imported for sale in the Republic of South Africa from the ports of entry specified in the Table hereto, or any other place as determined by the Executive Officer, unless --
 - (a) each consignment of such product has been inspected, graded, sampled for quality control and approved by the Executive Officer or designated assignee for such purpose; or
 - (b) written permission for the removal of a particular quantity of such product has been granted by the Executive Officer on the conditions which he or she deems necessary; and
- (2) hereby exempt the below-mentioned imported regulated agricultural products from the prohibition referred to in subitem (1) above:
 - (a) Products intended for personal use or personal consumption only.
 - (b) Products intended for use in the manufacture of another product or for the purpose of further processing or repackaging: Provided that each consignment shall --
 - (i) be clearly marked with the expression "for processing purposes only", "for repacking purposes only", or any other wording having a similar meaning, as the case may be; or
 - (ii) on the accompanying documentation clearly declare the intended use.
 - (c) Individual products that have established a history of compliance based on the inspection frequency as determined by the Executive Officer.
 - (d) Products in transit to a neighbouring country: Provided that the accompanying documentation shall clearly reflect the name of the destination country.

2. An application for --

- (a) the inspection, approval and subsequent removal of a consignment of imported regulated agricultural products; or
- (b) the removal of a particular quantity of a consignment of imported regulated agricultural products

from the ports of entry specified in the Table hereto, or any other place as determined by the Executive Officer, shall be made in the manner prescribed in the Annex hereto.

Senzeni Zokwana
Minister: Agriculture, Forestry and Fisheries

ANNEX**PROCEDURE FOR AN APPLICATION FOR INSPECTION AND/OR REMOVAL*****Definitions***

1. In this Annex any word or expression to which a meaning has been assigned in the Act, shall have that meaning, and --

“**assignee**” means a person, undertaking body, institution, association or board designated as such under section 2(3) of the Act;

“**consignment**” means a quantity of regulated agricultural products of the same grade, class, kind, cultivar, type or type group, size group or colour group belonging to the same owner and which is delivered at any one time under cover of the same consignment note, delivery note or receipt note, or is delivered by the same conveyance, or if such a quantity is subdivided into different batches, production groups or lots, packing sizes, portions or cuts, grades, classes, kinds, cultivars, types or type groups, sizes or size groups, colour groups, counts or count groups each quantity of each of the different batches, grades, production groups or lots, packing sizes, portions or cuts, grades, classes, kinds, cultivars, types or type groups, sizes or size groups, colour groups, counts or count groups;

“**Director General**” means the Director-General: Agriculture, Forestry and Fisheries;

“**Executive Officer**” means the officer designated under section 2(1) of the Act;

“**inspector**” means the Executive Officer or an officer under his control, or an assignee or an employee of an assignee;

“**processing**” means any process which will significantly change the nature of the imported regulated agricultural product;

“**regulated agricultural products**” means products regulated in terms of sections 15 and 3(1) of the Act; and

“**the Act**” means the Agricultural Product Standards Act, 1990 (Act No. 119 of 1990).

Application for inspection and/or removal

2. (1) An application for –

(a) the inspection, approval and subsequent removal of a consignment of imported regulated agricultural products; or

(b) the removal of a particular quantity of a consignment of imported regulated agricultural products

from a port of entry specified in the Table hereto, or any other place as determined by the Executive Officer, shall be directed in writing to the Executive Officer or the designated assignee concerned, as the case may be.

(2) Such application shall be made at least 48 hours, or as otherwise arranged with the Executive Officer or designated assignee, before arrival of the consignment at the port of entry or any other place as determined by the Executive Officer.

- (3) The following particulars shall be provided when such an application is made:
- (a) Date of arrival at point of entry and name of port of entry, or any other place as determined by the Executive Officer.
 - (b) Mode of transport.
 - (c) Comprehensive description of the commodity.
 - (d) The number of containers in and the mass of the consignment concerned.
 - (e) Name and address of applicant, and where applicable, of his or her agent.
 - (f) The intended use and final destination of the consignment concerned.
 - (g) Name(s) of the country(ies) of import.
 - (h) The date and time when the consignment will be available/ready for inspection.
 - (i) Any other pertinent information concerning the consignment.

Presentation for inspection

3. (1) Each consignment of imported regulated agricultural products shall be presented for inspection and shall, prior to its removal from the port of entry, or any other place as determined by the Executive Officer, be approved by an inspector.

(2) A consignment of imported regulated agricultural products referred to in subitem (1) above, shall be submitted for inspection in such a manner that --

- (a) access to each container therein can be obtained readily; and
- (b) the marks, printing or writing on such containers can readily be read.

Procedure at inspection

4. (1) An inspector shall sample and inspect a consignment of imported regulated agricultural products in accordance with the procedures prescribed in the regulations relevant to the product concerned.

(2) An inspector's finding by virtue of the inspection carried out in subitem (1) above, shall apply as a finding in respect of the whole consignment presented for inspection.

(3) An inspector may at his/her own discretion re-inspect a consignment of imported regulated agricultural products which has already been approved for import, and may confirm or withdraw any previous approval with regard to the consignment concerned: Provided that no inspection fee shall be payable in respect of a re-inspection carried out on demand of an inspector.

Approvals and Rejections

5. (1) If an inspector is satisfied after his/her inspection in terms of item 4 that the consignment of imported regulated agricultural products -

- (a) comply with the requirements of the regulations concerned, he/she shall approve such consignment for import by issuing a certificate which indicates such approval; or

- (b) do not comply with the requirements of the regulations concerned, he/she shall prohibit such consignment for import by issuing a certificate which indicates such prohibition.

(2) In the case of a prohibition referred to in paragraph (b) above, the importer, owner or other person, whoever is in control of the consignment concerned, may --

- (a) rectify any shortcomings identified during inspection and resubmit the consignment concerned for inspection;
- (b) return the consignment concerned to the port of shipment or country of origin;
- (c) apply in writing to the Executive Officer for the removal of the consignment concerned from the port of entry on the conditions he/she deems necessary; or
- (d) lodge an appeal against the decision of the inspector in the manner set out in item 7.

Fees payable for inspection and analysis

6. (1) All handling of and dealing with imported regulated agricultural products shall, in terms of section 3A(4) of the Act, be performed at the expense of the importer, owner or other person, whoever is in control of the consignment concerned.

(2) The following fees shall be payable:

- (a) The prescribed inspection fee when imported regulated agricultural products are presented for inspection.
- (b) The laboratory analysis fee when samples of imported regulated agricultural products are analysed chemically, physically or microbiologically.
- (c) The courier (transport) fee when samples are dispatched to the laboratory.

(3) The Minister or the Executive Officer shall in no case be liable in respect of any claim arising from the detention or examination of imported regulated agricultural products or for costs of such detention or examination.

Appeal

7. (1) Any person who appeals in terms of section 10(1) of the Act against a decision or direction of an inspector, shall submit a written notice of appeal to an inspector within one day after he/she has been notified of the said decision or direction unless that day falls on a Saturday, Sunday or public holiday in which case the appeal shall be submitted on the first following working day.

(2) Such person shall pay the prescribed fee with the inspector or at any office of the Executive Officer, as the case may be: Provided that such fee shall be paid in respect of each separate consignment, and provided further that if the notice of appeal and the fee are not submitted and paid within the period specified in subitem (1), the appellant shall lose his/her right of appeal.

(3) An inspector may apply any mark or marks which he/she may deem necessary for identification purposes to the processed products in respect of which an appeal has been submitted, or to the containers thereof, and such processed products shall not without his consent, be removed from the place where they were inspected or where they are stored.

(4) The Director-General shall designate at least three persons to serve as an appeal board.

(5) Such an appeal board shall give the appellant or his representative a reasonable notice of the time and place determined for the hearing of the appeal and may, after the processed products concerned have

been produced and identified and all interested parties have been heard, instruct all persons to leave the place where the appeal is being considered: Provided that the appeal board may make use of persons to assist in an advisory capacity.

(6) An appeal board shall decide an appeal within 48 hours (excluding Sundays and public holidays) after it was submitted, and its decision shall be final.

(7) If the processed products concerned are not produced at the time and place determined by the appeal board, the amount paid in respect thereof shall be forfeited.

TABLE**SPECIFIED PORTS OF ENTRY**

Name of port of entry	Location & Province
A. Seaports	
1. Cape Town harbour	Cape Town, Western Cape
2. East London harbour	East London, Eastern Cape
3. Mossel Bay harbour	Mossel Bay, Western Cape
3. Point (Durban harbor)	Durban, Kwa-Zulu Natal
4. Port Elizabeth harbour	Port Elizabeth, Eastern Cape
5. Port of Ngqura	Port Elizabeth, Eastern Cape
6. Richards Bay harbour	Richards Bay, Kwa-Zulu Natal
7. Saldanha Bay harbour	Saldanha Bay, Western Cape
B. Airports	
1. Bram Fischer International airport	Bloemfontein, Free State
2. Cape Town International airport	Cape Town, Western Cape
3. King Shaka International airport	La Mercy, Kwa-Zulu Natal
4. Lanseria International airport	Lanseria, Gauteng
5. O.R. Tambo International airport	Johannesburg, Gauteng
6. Polokwane International airport	Polokwane, Limpopo
7. Port Elizabeth International airport	Port Elizabeth, Eastern Cape
C. Land Border Posts	
1. Alexander Bay	RSA/Namibia border, Northern Cape
2. Beitbridge	RSA/Zimbabwe border, Limpopo
3. Ficksburg Bridge	RSA/Lesotho border, Free State
4. Golela	RSA/Swaziland border, Kwa-Zulu Natal
5. Grobler's Bridge	RSA/Botswana border, Limpopo
6. Jeppe's Reef	RSA/Swaziland border, Mpumalanga
7. Kopfontein	RSA/Botswana border, North West
8. Kosi Bay	RSA/Swaziland border, Kwa-Zulu Natal
9. Lebombo	RSA/Swaziland border, Mpumalanga
10. Mahamba	RSA/Swaziland border, Mpumalanga
11. Mananga	RSA/Swaziland border, Mpumalanga
12. Maseru Bridge	RSA/Lesotho border, Free State
13. Nakop	RSA/Namibia border, Northern Cape
14. Oshoek	RSA/Swaziland border, Mpumalanga
15. Pont Drift	RSA/Botswana border, Limpopo
16. Ramatlabama	RSA/Botswana border, North West
17. Skilpadshek	RSA/Botswana border, North West
18. Vioolsdrift	RSA/Namibia border, Northern Cape

DEPARTMENT OF ARTS AND CULTURE

NO. 571

27 MAY 2016

NOTICE IN TERMS OF SECTION 12 (1) OF THE USE OF OFFICIAL LANGUAGES ACT, 2012 (ACT NO. 12 OF 2012) AND REGULATION 9 OF THE REGULATIONS PUBLISHED ON THE 28TH OF FEBRUARY 2014 IN THE GOVERNMENT GAZETTE UNDER NOTICE No.10140: NOTICE OF EXEMPTION OF THE COMPANIES TRIBUNAL FROM ESTABLISHING A LANGUAGE UNIT

In terms of Section 12(1) of the Use of Official Languages Act, 2012 (Act No. 12 of 2012) (to be referred to hereinafter as “the Act”) and Regulation 9 of the Regulations published on the 28th of February 2014 in the Government Gazette under Notice No. 10140 (to be referred to hereinafter as “the Regulations”), I hereby -

- (i) exempt in part the Companies Tribunal from the application of section 7 of the Act; and
- (ii) require Companies Tribunal in accordance with section 12(4) of the Act to assign a senior employee to perform the functions of a language unit.

In terms of Regulation 9 of the Regulations to the Act, I may at any time review an exemption granted in terms of this Act and may-

- a) withdraw the exemption;
- b) amend or remove any condition to which the exemption is subject to; or add the conditions that may be necessary;
- c) amend the scope of the exemption; or
- d) take any other step in regard to the exemption.

Given under my Hand at Pretoria on this..... day of2016.

MR NATHI MTHETHWA, MP
MINISTER OF ARTS AND CULTURE

DEPARTMENT OF ARTS AND CULTURE

NO. 572

27 MAY 2016

NOTICE IN TERMS OF SECTION 12 (1) OF THE USE OF OFFICIAL LANGUAGES ACT, 2012 (ACT NO. 12 OF 2012) AND REGULATION 9 OF THE REGULATIONS PUBLISHED ON THE 28TH OF FEBRUARY 2014 IN THE GOVERNMENT GAZETTE UNDER NOTICE No.10140: NOTICE OF EXEMPTION OF THE COUNCIL ON HIGHER EDUCATION FROM ESTABLISHING A LANGUAGE UNIT

In terms of Section 12(1) of the Use of Official Languages Act, 2012 (Act No. 12 of 2012) (to be referred to hereinafter as “the Act”) and Regulation 9 of the Regulations published on the 28th of February 2014 in the Government Gazette under Notice No. 10140 (to be referred to hereinafter as “the Regulations”), I hereby -

- (i) exempt in part the Council on Higher Education from the application of section 7 of the Act; and
- (ii) require Council on Higher Education in accordance with section 12(4) of the Act to assign a senior employee to perform the functions of a language unit.

In terms of Regulation 9 of the Regulations to the Act, I may at any time review an exemption granted in terms of this Act and may-

- a) withdraw the exemption;
- b) amend or remove any condition to which the exemption is subject to; or add the conditions that may be necessary;
- c) amend the scope of the exemption; or
- d) take any other step in regard to the exemption.

Given under my Hand at Pretoria on this..... day of2016.

MR NATHI MTHETHWA, MP
MINISTER OF ARTS AND CULTURE

DEPARTMENT OF ARTS AND CULTURE

NO. 573

27 MAY 2016

CALL FOR NOMINATIONS OF CANDIDATES TO SERVE ON THE BOARD OF THE SOUTH AFRICAN LIBRARY FOR THE BLIND

The South African Library for the Blind is a Schedule 3A public entity and established in terms of The South African Library for the Blind Act 91 of 1998 to provide national library and information service to serve the blind and print-handicapped readers in South Africa.

The Minister of Arts and Culture, Mr Nathi Mthethwa hereby invites nominations for suitable candidates to serve as Board Members of the South African Library for the Blind in accordance to Section 6(1) of the South African Library for the Blind Act 91 of 1998.

Requirements:

Nominated persons should have leadership qualities and be committed to the primary object and mandate of the South African Library for the Blind. Possess knowledge and expertise in: strategic, business, public finance, human resources and reputation management; research and braille management, information and communication technology in the matters affecting blind and print-handicapped readers; fund-raising and marketing; legal expertise, corporate governance as well as willingness to render community service.

Terms and Conditions:

The term of office for Board members is three (3) years effective from 01 October 2016 to 30 September 2019. The appointed nominees will serve on a **part-time** basis. Remuneration of appointed nominees will be in line with the rates prescribed by the National Treasury.

Nomination Particulars:

Nominations of persons to serve on the SALB Board must be submitted to the Department of Arts and Culture on the **official nomination form** (available on request) and must contain the following annexures:

- A signed motivation for the appointment by the nominator (containing full names, address and contact details), explaining the nominee's suitability for appointment in terms of the criteria stated above;
- A brief and recently updated curriculum vitae of the nominee, including three (3) contactable references and
- Certified copies of the nominee's qualifications and identity document.

No nomination will be considered unless all of the above are included. Correspondence will only be entered into with shortlisted candidates.

Nominations must be sent to:

**Postal Address: The Acting Director General
Attention: Mr Kgaogelo Phasha
Department of Arts and Culture
Private Bag X897
Pretoria
0001**

**Hand Delivered: Kingsley Centre Building, 1st Floor
Cnr Stanza Bopape and Steve Biko Streets
Arcadia, Pretoria**

Email Address: kgaogelop@dac.go.za

Enquiries may be directed to Mr Kgaogelo Phasha, Telephone: 012 441 3029

The closing date for nominations is Monday, 06 June 2016

DEPARTEMENT VAN KUNS EN KULTUUR

NO. 573

27 MEI 2016

**OPROEP OM NOMINASIES VAN KANDIDATE OM TE DIEN OP DIE RAAD VAN
BIBLIOTEEK VIR BLINDES**

Die Suid-Afrikaanse Biblioteek vir Blindes (SALB) is 'n Bylae 3A- openbare entiteit wat ingevolge die Wet op die Suid-Afrikaanse Biblioteek vir Blindes, 1998 (Wet No. 91 van 1998) ("die Wet"), ingestel is om nasionale biblioteek- en inligtingsdienste aan blinde en leesgestremde lesers in Suid-Afrika te voorsien.

Die Minister van Kuns en Kultuur, mnr. Nathi Mthethwa, versoek hierby die benoeming van geskikte kandidate om ooreenkomstig artikel 6(1) van die Wet as lede van die Raad van die Biblioteek vir Blindes te dien.

Vereistes:

Die benoemdes moet oor leierseienskappe beskik en hulle verbind tot die hoofoogmerk en die mandaat van die SALB. Hulle moet beskik oor kennis van en kundigheid in strategiese, sake-, mensehulpbron-, reputasie- en openbare finansiële bestuur; navorsing en braillebestuur; inligting- en kommunikasietegnologie rakende blinde en leesgestremde lesers; fondsinsameling en bemarking; regsangeleenthede en korporatiewe bestuur; asook 'n bereidheid om gemeenskapsdiens te lewer.

Bepalings en voorwaardes:

Die ampstermyn van Raadslede is drie jaar – van 1 Oktober 2016 tot 30 September 2019. Die Raadslede dien **deeltyds** en word vergoed ooreenkomstig die tariewe wat deur die Nasionale Tesourie voorgeskryf word.

Benoemingsbesonderhede:

Die benoemings vir persone om te dien op die Raad van die SALB moet by die Departement van Kuns en Kultuur ingedien word op die **amptelike benoemingsvorm** (wat op versoek verkrygbaar is) en moet die volgende aanhangsels bevat:

- 'n Motivering geteken deur die benoemer wat die volle naam, adres en die volledige kontakbesonderhede van die benoemer en van die benoemde bevat, en 'n verduideliking van die benoemde se geskiktheid vir aanstelling ingevolge die vereistes hierbo genoem;
- 'n Kort, bygewerkte curriculum vitae van die benoemde, ook die name en kontakbesonderhede van drie referente; en
- Gewaarmerkte afskrifte van die benoemde se kwalifikasies en identiteitsdokument.

Benoemings word slegs oorweeg as al bogenoemde ingesluit is. Daar word slegs met kandidate op die kortlys gekorrespondeer.

Die benoemings en navrae moet gerig word aan mnr. Kgaogelo Phasha:

Posadres: Die Waarnemende Direkteur-generaal
Vir aandag: Mnr. Kgaogelo Phasha
Departement van Kuns en Kultuur
Privaat Sak X897
Pretoria
0001

Per hand afgelewer: Kingsleysentrum, Eerste Verdieping
H/v Stanza Bopape- en Steve Biko-straat
Arcadia, Pretoria

E-posadres: kgaogelop@dac.go.za

Die sluitingsdatum vir benoemings is Mandag, 06 Junie 2016.

**ISIMEMO SOKONYULWA KWABAGQATSWA UKUBA BASEBENZE KWIBHODI
YETHALA LEENCWADI LESIZWE LABANGABONIYO LOMZANTSI AFRIKA
(SOUTH AFRICAN LIBRARY FOR THE BLIND) (SALB)**

IThala eeNcwadi labaNgaboniyo loMzantsi Afrika, liziko likarhulumente leShedyuli 3A kwaye lisekwe ngomThetho wama-91 ka-1998 ukuba libonelele ngenkonzo yamathala encwadi yesizwe kunye neyolwazi lincede abafundi abangaboniyo kunye nabo bakhubazekileyo ekufundeni okubhaliweyo eMzantsi Afrika.

UMphathiswa wezobuGcisa neNkcubeko, uMnu Nathi Mthethwa ngale ndlela umema ukonyulwa kwabagqatswa abafanelekileyo ukuba basebenze njengamaLungu eBhodi yamaThala eeNcwadi abangaBoniyo oMzantsi Afrika ngokungqinelana neCandelo 6(1) lomThetho wama-91 ka-1998 wamaThala eeNcwadi abangaBoniyo oMzantsi Afrika.

Iimfuneko:

Abantu abonyuliweyo kufuneka babe neempawu zobunkokeli kwaye bazibophelele kwinjongo engundoqo kunye negunya lamaThala eeNcwadi abangaBoniyo oMzantsi Afrika. Babe nolwazi kunye nobugcisa ku: cwangciso, ushishino, imali karhulumente, imicimbi enxulumene nabasebenzi kunye nolawulo olunesidima, ulawulo lophando kunye nombhalo wamaqhuquva, ubuchwepheshe bolwazi nonxibelelwano kwimicimbi echaphazela abangaboniyo kunye nabakhubazekileyo ekufundeni okubhaliweyo; ukufumana imali nopapasho; ubugcisa bezomthetho, ulawulo lwequmrhu ngokunjalo nokuvuma ukunika inkonzo yoluntu.

Imiqathango ebekiweyo:

Ixesha lokubamba i-ofisi kumalungu eBhodi yiminyaka emithathu (3) eqala ngowo-01 Oktobha 2016 ukuya kowama-30 Septemba 2019. Abo bonyuliweyo baya kusebenza ngokusekelwe **kwixesha elingaphelelanga**. Umvuzo wabo bonyuliweyo uya kungqinelana namazinga amiselwe nguNondyebo weSizwe.

IiNkcukacha zoNyulo:

Ulonnyulo lwabantu abaza kusebenza kwiBhodi ye-SALB kufuneka lungeniswe kwiSebe lezobuGcisa neNkcubeko **lukwifom yonyulo esemthethweni** (efumaneka ngesicelo) kwaye kufuneka iqulathe ezi zihlomelo zilandelayo:

- Isindululo esisayiniweyo sonyulo somonyuli (esiqulethe amagama apheleleyo, idilesi kunye neenkukacha zoqhagamshelano), echaza ukufaneleka komntu owonyuliweyo ukuba onyulwe ngokwendlela esetyenziswayo yokonyulwa ekhankanywe ngasentla;
- Imbali emfutshane (CV) eshwankathelweyo yomntu owonyuliweyo, kuquka nabantu ekunokungqiniswa kubo abathathu (3) ekunokuqhagamshelwana nabo kunye
- Neekopi eziqinisekisiweyo zeziqinisekiso zomonyulwa kunye noxwebhu lwesazisi.

Akukho nyulo luya kuthathelwa ingqalelo ngaphandle kokuba konke okungasentla kuqukiwe. Kuya kungenwa kwimbalelwano kuphela nabo bafakwe kuluhlu olufinyeziweyo

Unyulo kufuneka luthunyelwe ku:

**IDilesi yePosi: The Acting Director General
Attention: Mr Kgaogelo Phasha
Department of Arts and Culture
Private Bag 897
Pretoria
0001**

**Eziswa ngeSandla: Kingsley Centre Building, 1st Floor
Cnr Stanza Bopape and Steve Biko Streets
Arcadia, Pretoria**

IDilesi ye-Imeyile: kgaogelop@dac.gov.za

**Imibuzo mayisiwe kuMnu Kgaogelo Phasha, Umnxeba: 012 441 3029
Umhla wokuvala wonyulo nguMvulo, ku 06Juni 2016.**

—oOo—

isiXhosa

TALETŠO YA DITŠHIŠINYO TŠA BONKGETHENG BAO BA TLA HLANKELAGO GO BOTO YA BOKGOBAPUKU BJA BATHO BA GO SE BONE BJA AFRIKA BORWA

Bokgobapuku bja Batho ba go se bone bja Afrika Borwa ke sehlongwa sa setšhaba sa Šetule ya 3A seo se hlomilwego go ya ka Molao wa Bokgobapuku bja Batho ba go se bone bja Afrika Borwa wa 91 wa 1998 go abela tirelo ya bosetšhaba ya bokgobapuku le tshedimošo go direla babadi ba go se bone le ba go se kgone go bala dikgatišo gabotse ka Afrika Borwa.

Tona ya Bokgabo le Setšo, Mna Nathi Mthethwa o laletša ditšhišinyo tša maina a batho bao ba nago le maswanedi go hlankela bjalo ka Maloko a Boto ya Bokgobapuku bja Batho ba go se bone bja Afrika Borwa go ya ka karolo ya 6(1) ya Molao wa Bokgobapuku bja Batho ba go se bone bja Afrika Borwa wa 91 wa 1998.

Dinyakwa:

Batho bao ba šišinywago ba swanetše go ba le mabokgoni a boetapele gomme ba ineele go dinepokgolo le taolelo ya Boto ya Bokgobapuku bja Batho ba go se bone bja Afrika Borwa Ba swanetše go ba le tsebo le maitemogelo a : taolo ya togamaano, kgwebo, matlotlo a setšhaba, merero ya bašomi le tumo; dinyakišišo le taolo ya preile le theknolotši ya tshedimošo le kgokagano ka ga merero yeo e amago babadi ba go se bone le bao ba sa kgonego go ba la dikgatišo, kgoboketšo ya matlotlo le papatšo, bokgoni bja molao, taolo ya kgoro gammogo le kabo ya tirelo ya setšhaba .

Dipeano le mabaka:

Paka ya ofisi ya maloko a boto ke mengwaga ye meraro (3) go tloga ka la 01 Diphlane 2016 go fihla ka la 30 Lewedi 2019. Bašišinywa bao ba thwetšwego ba tla hlankela ka **dinako tšeo e sego tša mehleng**. Moputso wa bašišinywa bao ba thwetšwego o tla sepelelana le dikelo tšeo di laeditšwego ke kgoro ya matlotlo ya bosetšhaba

Dintlha tša tšhišinyo:

Ditšhišinyo tša batho bao ba tlogo direla Bokgobapuku bja Batho ba go se bone bja Afrika Borwa di swanetše go romelwa go Kgoro ya Bokgabo le Setšo go **foromo ya tšhišinyo ya semmušo** (yeo e hwetšagalago ka kgopelo) gomme e swanetše go akaretša dikoketšo tše di latelago:

- Tšhišinyo ye e saennwego ya go thwalwa ka mošišinywa (yeo e nago le maina ka botlalo, aterese le dintlha tša boikgokaganyo), e hlalošago go ba le maswanedi a go thwalwa go ya ka dinyakwa tše go boletšwego ka tšona ka godimo.
- Taodišophelo (CV) e kopana ya moragorago ya mošišinywa, go akaretšwa le maina le dintlha tša boikgokaganyo tša batho ba bararo (3) bao ba hlatselago mošišinywa le
- Dikhopi tše di netefaditšwego tša mangwalo a thuto a mošišinywa le pukwana ya boitsebišo

Ditšhišinyo di swanetše go romelwa go:

Aterese ya Poso: Molaodipharephare wa Motšwaoswere
E lebišitšwe go: Mna Kgaogelo Phasha
Kgoro ya Bokgabo le Setšo
Mokotlana wa Poso X897
PRETORIA
0001

Ka seatla di ka tlišwa go: Moago wa Kinsley Centre, Lebato la 1
Khona ya Mmila wa Stanza Bopape le Steve Biko
Arcadia, Pretoria

Aterese ya Imeile: kgaogelop@dac.gov.za

Dipotšišo di ka lebišwa go Mna Kgaogelo Phasha, Mogala: 012 441 3029

Letšatšikgwedi la go tswalela ditšhišinyo ke Mošupulogo wa di 06 Ngwatobošego 2016

AUDITOR-GENERAL OF SOUTH AFRICA**NO. 574****27 MAY 2016****DIRECTIVE ISSUED IN TERMS OF THE PUBLIC AUDIT ACT, 2004**

Under the powers vested in me by section 13(3) (b) of the Public Audit Act, 2004 (Act No. 25 of 2004) (hereafter referred to as the PAA), I, Thembekile Kimi Makwetu, Auditor-General of the Republic of South Africa (hereafter referred to as the AGSA), hereby issue the following directive.

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AUDIT FUNCTIONS PERFORMED IN TERMS OF THE PAA

Annual audit

1. Financial and performance management and compliance with legislation are audited as part of the annual audit process. The auditor's report reflects an opinion or material findings on the following:
 - Financial information, through the auditor's opinion on the financial statements or similar financial reporting.
 - Reported information on performance against predetermined objectives, if applicable.
 - Compliance with applicable legislation relating to financial matters, financial management and other related matters.
 - Internal control deficiencies that resulted in:
 - qualifications of the opinion on the financial statements
 - findings on the reported information on performance against predetermined objectives
 - findings on compliance with legislation.

Auditing standards – section 13(1)(a) of the PAA

2. The *International quality control, auditing, review, other assurance, and related services pronouncements* issued by the International Auditing and Assurance Standards Board (IAASB)¹ of the International Federation of Accountants (IFAC), as well as the *Code of ethics for professional accountants* issued by IFAC's International Ethics Standards Board for Accountants (IESBA)² are applied in the audits.
3. In addition, relevant principles contained in:
 - the International Standards of Supreme Audit Institutions (ISSAIs)
 - the INTOSAI Guidance for Good Governance (INTOSAI GOVs), published by the International Organisation of Supreme Audit Institutions (INTOSAI)³, are applied.

Auditing of reported information on performance against predetermined objectives – sections 20(2)(c) and 28(1)(c) of the PAA

4. In terms of sections 20(2)(c) and 28(1)(c) of the PAA, the auditor's report must reflect an opinion or conclusion on the auditee's reported information on performance against predetermined objectives. Assurance in the form of an audit conclusion on the usefulness and reliability of the reported information on performance against predetermined objectives is currently included in the report to management, with material findings being reported in the auditor's report.
5. Material findings on the usefulness of the information reported by universities will not be reported in the auditor's report.
6. The audit of the reported information on performance against predetermined objectives is performed in accordance with the International Standard on Assurance Engagements (ISAE) 3000 *Assurance engagements other than audits or reviews of historical financial*

¹ <http://www.ifac.org/IAASB>

² <https://www.ifac.org/ethics>

³ <http://www.intosai.org> and <http://www.issai.org>

information for adherence to the *Performance management and reporting framework*, consisting of the following:

- Applicable legislation
- The *Framework for the managing of programme performance information*, issued by the National Treasury
- The *Framework for strategic plans and annual performance plans*, issued by the National Treasury. This framework is applicable to all national and provincial departments, constitutional institutions and those public entities listed in parts A and C of schedule 3 of the Public Finance Management Act, 1999 (Act No. 1 of 1999) (PFMA).
- Circulars and guidance issued by the National Treasury and Department of Planning Monitoring and Evaluation regarding the planning, management, monitoring and reporting of performance against predetermined objectives

Auditing of compliance with applicable legislation relating to financial matters, financial management and other related matters – sections 20(2)(b) and 28(1)(b) of the PAA

7. In terms of sections 20(2)(b) and 28(1)(b) of the PAA, the auditor's report must reflect an opinion or conclusion on the auditee's compliance with any applicable legislation relating to financial matters, financial management and other related matters. Currently, the auditor's report only reflects material findings that come to the attention of the auditor.
8. The audit of compliance with legislation is performed in accordance with principles in the applicable ISSAIs.
9. The auditor's report reflects material findings on compliance with relevant legislation in respect of the following subject matters, as applicable:
 - Strategic planning and performance management
 - Budgets
 - Financial statements, performance and annual reports
 - Procurement and contract management – including procurement and contract management functions performed on behalf of another organ of state (e.g. as procurement or implementing agents)
 - Human resource management and compensation (local government only)
 - Expenditure management
 - Transfer of funds
 - Conditional grants received
 - Revenue management
 - Asset management (local government only)
 - Liability management (local government and public entities only)
 - Consequence management
 - Other matters which, in the auditor's professional judgement, are of sufficient importance to merit inclusion in the auditor's report for communication to those charged with governance or oversight
10. The criteria used to evaluate the above subject matters are derived from the applicable legislation, with specific focus on the following:

- PFMA and regulations and instructions issued in terms of the act
- Municipal Finance Management Act, 2003 (Act No. 56 of 2003) (MFMA) and regulations issued in terms of the act
- Division of Revenue Act
- Appropriation Act
- Municipal Structures Act, 1998 (Act No. 117 of 1998) and regulations and instructions issued in terms of the act
- Municipal Systems Act, 2000 (Act No. 32 of 2000) and regulations and instructions issued in terms of the act
- Municipal Property Rates Act, 2004 (Act No. 6 of 2004) and regulations and instructions issued in terms of the act
- Companies Act, 2008 (Act No. 71 of 2008) and regulations and instructions issued in terms of the act
- Public Service Act, 1994 (Act No. 103 of 1994) and regulations issued in terms of the act
- Preferential Procurement Policy Framework Act, 2000 (Act No. 5 of 2000) and regulations and instructions issued in terms of the act
- Construction Industry Development Board Act, 2000 (Act No. 38 of 2000) and regulations issued in terms of the act
- State Information Technology Agency Act, 1998 (Act No. 88 of 1998) and regulations issued in terms of the act
- Prevention and Combating of Corrupt Activities Act, 2004 (Act No. 12 of 2004)
- Auditee-specific enabling legislation

Internal control, as indicated by the reference to financial management in section 4(1) and (3) of the PAA

11. In terms of section 4(1) and (3) of the PAA, financial management must be audited and reported on. Deficiencies in internal control that resulted in qualification of the opinion on the financial statements and in material findings on the reported information on performance against predetermined objectives and compliance with legislation are included in the auditor's report.
12. The criteria used to evaluate internal control are set out in addendum A.

Focus areas – section 13(1)(b) of the PAA

13. Additional specific audit focus areas are identified based on an annual risk assessment and are included in the AGSA's *R3: Reporting guide*. Significant findings arising from the audits are included in the reports to management and in the AGSA's general reports.

Discretionary engagements – section 5(1)(a) and (d) of the PAA

14. The AGSA may, at its discretion, perform audit related services and special audits, these include, performance audits, investigations, and other defined types of engagements. In addition to the International Standard on Quality Control (ISQC) 1, *Quality control for firms that perform audits and reviews of financial statements, and other assurance and related services engagements*, the standards that guide these audits are as follows:

- Performance audits

These audits are conducted in accordance with ISSAI 300 – *Fundamental principles of performance auditing* and the *performance audit manual* developed by the AGSA.

- Investigations

Investigations are conducted in accordance with *Standards and guidelines: Investigations* developed by the AGSA.

- Other defined engagement

These audits are conducted in accordance with International Standard on Auditing (ISA) 805 *Audits of single financial statements and specific elements, accounts or items of a financial statement*, ISAE 3000 *Assurance engagements other than audits or reviews of financial information* or ISRS 4400 *Engagements to perform agreed-upon procedures regarding financial information*, as appropriate.

Complaints against the AGSA

15. The AGSA's complaints mechanism as per section 13(1)(c) of the PAA, accommodates complaints pertaining to the following:

- The exercising of powers, the performance of duties and the administration of the AGSA pertaining to the performance of audits and any other functions in terms of section 11 of the PAA.
- Work performed during an audit by the AGSA, authorised auditors and other personnel where it is alleged that such work does not meet professional standards and regulatory and legal requirements.
- Complaints of non-compliance by the AGSA, authorised auditors and other personnel with the AGSA's internal system of quality control.
- Complaints pertaining to the auditor-general as a person.

16. Complaints against the AGSA should be addressed in writing to the:

Complaints manager, Auditor-General of South Africa

Physical address: 300 Middel Street, New Muckleneuk, Pretoria

Postal address: PO Box 446, Pretoria, 0001.

AUDITS OF PUBLIC ENTITIES AND OTHER INSTITUTIONS NOT PERFORMED BY THE AGSA – SECTION 4(3) OF THE PAA

Audits that the AGSA has opted not to perform – section 25(1)(a) of the PAA

17. In terms of section 4(3)(a) and (b) of the PAA, the AGSA may audit and report on the accounts, financial statements and financial management of any public entity listed in the PFMA and any other institution not mentioned in section 4(1) of the PAA and which is:

- funded from the National Revenue Fund or a provincial revenue fund or by a municipality or
- authorised in terms of any legislation to receive money for a public purpose.

18. In terms of section 25(1)(a) of the PAA, the AGSA opts not to perform the audits of any auditees referred to in section 4(3) of the PAA, which are not already being audited by the AGSA for the 2016-17 and following financial years, unless the auditee is advised otherwise before the start of its financial year.

Appointment of registered auditors – section 25(1)(b), (2), (3) and (4) of the PAA

19. An auditee should proceed to appoint an audit firm registered with the Independent Regulatory Board for Auditors (IRBA) as stipulated by section 25(1)(b), read with section 25(4) of the PAA, if not advised before the start of the financial year that the AGSA will perform the audit.
20. Before appointing the auditor, the auditee must, in terms of section 25(2) of the PAA, notify the AGSA via email to section4@agsa.co.za of the suggested appointment including information on the extent of other services that will be provided during the period of the appointment. In this regard, the document *Consultation with the Auditor-General of South Africa on the appointment or discharge of the registered auditor*, attached as addendum B, must be completed and the required supporting documentation supplied. The AGSA may consult with the responsible executive authority on the appointment of the audit firm.
21. If the AGSA, within 14 days of receiving a notice by the auditee of the suggested appointment of an auditor, or such longer period as may be agreed to, rejects the auditee's appointment, the auditee must in terms of section 25(3) of the PAA recommence the process to appoint another person as its auditor.
22. If an audit firm is contracted by the auditee for a period longer than one financial year, the appointment must be re-affirmed with the AGSA for each financial year in terms of section 25(4) of the PAA.
23. The auditee may not appoint alternative auditors if the AGSA has opted to perform the audit or if auditee-specific legislation prescribes that the audit should be conducted by the AGSA.

Discharge of registered auditors – section 26 of the PAA

24. In terms of section 26(1) of the PAA, an auditee may discharge an auditor before the term of appointment expires with the consent of the AGSA and the relevant executive authority, where applicable.
25. Before discharging the auditor, the auditee must provide the auditor with:
 - a written notice setting out the reasons for the discharge
 - an opportunity to make written representations to the AGSA within 20 days of receipt of the notice.
26. The auditee must at the same time notify the AGSA of its intention to discharge the appointed auditor by completing the document *Consultation with the Auditor-General of South Africa on the appointment or discharge of the registered auditor*, attached as addendum B, and submitting it to the responsible AGSA business executive.
27. The AGSA considers the document and communicates its consent or otherwise to the auditee. The AGSA may consult with the relevant executive authority on this matter.
28. The AGSA reports any discharge of an audit firm to the relevant legislature.

Responsibilities of registered auditors – part 2 of chapter 3 of the PAA

29. When auditing in the public sector, the auditor must do so in accordance with the requirements, duties and responsibilities as legislated and assigned to him/her in part 2 of chapter 3 of the PAA. The auditor must take cognisance of the content of the PAA and must adhere to the following requirements when auditing auditees where the AGSA has opted not to perform the audit:

- Appointment of auditors – section 25 of the PAA
 - Discharge of auditors – section 26 of the PAA
 - Duties and powers of auditors – section 27 of the PAA
 - The format and content of the auditor's report, as set out in the AGSA's R3: *Reporting guide* and any other guidance that may be published by the AGSA from time to time in order to conduct audits in the public sector – section 28(1) and (2) of the PAA
 - Submission of the auditor's report to the AGSA – section 28(3)(c) of the PAA
 - The requirements of this notice, as applicable
30. To assist auditors in conducting audits in the public sector, auditors should consider the following documents made available by IRBA that provide a perspective on auditing in the public sector:
- *A guide for registered auditors: Auditing in the public sector*
 - *A guide for registered auditors: Audit of predetermined objectives*
 - *Guide for registered auditors: Guidance on performing audits on behalf of the AGSA*
 - *Guide for registered auditors: Guidance on performing audits where the AGSA has opted not to perform the audit*
 - South African Auditing Practice Statement (SAAPS) 2: *Financial reporting frameworks and the auditor's report*
 - SAAPS 3: *Illustrative reports*

Reference may also be made to the AGSA's website⁴ for additional information.

31. Compliance with the provisions of the PAA and this notice in conducting an audit in terms of section 25(1)(b) of the PAA is monitored by the AGSA. In this regard, the appointed auditor must complete the *Monitoring checklist for audits not conducted by the AGSA*, attached as addendum C.

Request for information – sections 27(5) and 28(3)(c) of the PAA

32. The AGSA interacts proactively with executive authorities and oversight bodies, such as the parliamentary portfolio and accounts committees. The aim of these engagements is to promote and encourage clean audit outcomes and enhance effective public governance.
33. The audit firm may be invited to such meetings and in terms of section 27(5) of the PAA, the AGSA may further request the audit firm to submit any information regarding the audit relevant to such meetings, including the auditor's communications with those charged with governance. The invitation to meetings and/or request for information will be communicated by the contact person at the AGSA business unit responsible for the audit of the controlling department to which the auditee reports.
34. Due to the role of the AGSA in establishing the duties and powers of appointed auditors in the public sector, the AGSA may, in addition to the above, request to attend meetings with those charged with governance of the auditee.
35. In terms of the requirements of section 28(3)(c) of the PAA, read with section 55(1)(d) of the PFMA, and in order to facilitate reporting on the full ministerial portfolio and reporting and analysis in the AGSA's general reports, the audit firm must furnish the responsible contact person, either in hard copy or electronically, with the following as soon as the

⁴ <http://www.agsa.co.za>

annual report has been finalised but not later than five months after the financial year-end or as otherwise agreed with the responsible contact person:

- A copy of the auditor's report, together with a copy of the audited financial statements of the auditee
- Three copies of the auditee's annual report
- The completed monitoring checklist (addendum C)

Complaints against registered auditors

36. Should a registered auditor appointed in terms of section 25(1)(b) of the PAA be found to be in contravention of the requirements in this notice or any provision of the PAA, the Auditing Profession Act, 2005 (Act No. 26 of 2005) (APA) or any act with which it is his/her duty to comply in his/her capacity as a registered auditor, the AGSA may lodge a complaint of improper conduct against such auditor with IRBA.
37. In addition, a complaint of improper conduct may be lodged with IRBA against a registered auditor appointed in terms of section 25(1)(b) of the PAA if it comes to the attention of the AGSA that the auditor has conducted himself/herself in a manner that is improper, discreditable, unprofessional, dishonourable or unworthy or which brings the accounting profession into disrepute.

AUDITEES FOR WHICH LEGISLATION IS NOT PRESCRIPTIVE IN RESPECT OF THE FINANCIAL STATEMENTS – SECTION 14(2)(b) OF THE PAA

38. The financial statements of an auditee, as defined in section 1(1) of the PAA, which is not subject to the PFMA, MFMA or any other legislation that is prescriptive in respect of the financial statements, must:
- be prepared in accordance with the Generally Recognised Accounting Practice (GRAP) reporting framework issued by the Accounting Standards Board (ASB)⁵
 - comply with the PFMA requirements applicable to entities as they pertain to the information to be contained in the financial statements, as well as the period within which the financial statements are to be submitted for audit.
39. The above requirement regarding the application of the GRAP reporting framework is not applicable where the auditee is not required to prepare full financial statements comprising a statement of financial position, a statement of financial performance, a statement of changes in net assets, a cash flow statement and notes, including a summary of significant accounting policies and other explanatory notes.
40. Where an entity is not listed in the PFMA, even though they appear to comply with the criteria of a public entity, they should comply with the above paragraphs.

TIMING AND SUBMISSION OF INFORMATION FOR AUDIT PURPOSES – SECTION 15(2)(b) OF THE PAA

41. In compliance with applicable legislated submission, auditing and tabling deadlines in the PFMA and MFMA, as well as to allow adequate time for, and the conducting of, the audit in accordance with the relevant auditing standards, auditees must adhere to the following:
- The annual performance reports must be submitted not later than the legislated submission date for the financial statements.
 - The trial balance and general ledger that agree to the financial statements, together with the supporting asset register, inventory register, and subsidiary-ledgers for receivables and payables, must be submitted together with the financial statements.

⁵ <http://www.asb.co.za>

If this information is not provided it will be regarded as a limitation on the audit which could result in a modification of the audit opinion.

- As agreed in the audit engagement letter, the other financial and non-financial information, to be included in the annual report should be made available on or before the date contained therein. If this other information is not provided before the end of the audit, management will be requested to provide written representation that the information will be provided as soon as possible and before the annual report is published. The fact that the other information is not provided before the end of the audit does not prevent the auditor from issuing the auditor's report, but the other information will be read and considered when it becomes available, which may require amendments to the auditor's report if inconsistencies are identified.
- All documentation and information in support of the financial statements and performance report must be available on request and be retrievable within a reasonable time, as agreed per audit engagement. If this information is not provided in the time agreed, it will be regarded as a limitation on the audit which could result in a modification of the audit opinion.
- Withdrawal and re-submission of financial statements and performance reports submitted for audit are not permitted; the financial statements and performance reports may only be adjusted for matters identified during the audit.

ASSESSMENT AND RECOGNITION OF THE FINANCIAL REPORTING FRAMEWORKS APPLICABLE IN THE PUBLIC SECTOR – SECTION 20(2)(a) OF THE PAA

42. The applicable financial reporting framework provides the criteria against which the auditor audits the financial statements. As one of the preconditions for an audit, the auditor is required to determine whether the financial reporting framework applied in preparing the financial statements is acceptable. This is done by considering the requirements of the ISAs and the guidance set out in *SAAPS 2: Financial reporting frameworks and the auditor's report*. The following financial reporting frameworks are recognised in the public sector and are considered fair presentation frameworks:
- International Financial Reporting Standards (IFRS)
 - South African Statements of Generally Accepted Accounting Practice (SA GAAP), until such time as they are withdrawn from application in the public sector by the ASB
 - Standards of Generally Recognised Accounting Practice (GRAP)
 - The Modified Cash Standard (MCS) prescribed by the National Treasury
43. Departures or exemptions from the applicable financial reporting framework are granted in terms of sections 79 and 92 of the PFMA, respectively, and sections 170 and 177 of the MFMA, respectively.
44. Should an auditee be granted a departure or exemption from the applicable financial reporting framework in accordance with the requirements of the PFMA or MFMA, additional disclosure of the nature and reasons for, and the period of, and an indication of the items affected by the departure or exemption from the applicable financial reporting framework is required in the financial statements to mitigate any possible misunderstanding by the users of the financial statements.
45. The departure or exemption may affect the acceptability of the financial reporting framework and as a consequence the wording of our audit opinion. This is assessed on a case-by-case basis in terms of the ISAs.

REPEAL OF PREVIOUS GOVERNMENT GAZETTES

46. *General notice 125*, issued in *Government gazette No. 38464 of 11 February 2015*, is hereby withdrawn and replaced by the requirements as set out in this notice.

EFFECTIVE DATE

47. This notice is effective for financial periods beginning on or after 1 April 2015 and is applicable until further notice. A similar notice will not necessarily be issued annually.

ENQUIRIES

48. Any enquiry related to this notice should be addressed to the following office:

Business executive: Audit Research and Development, Auditor-General of South Africa

Telephone: 012 426 8000

Fax: 012 426 8333

Email: ARDSupport@agsa.co.za

Signed and approved:

TK Makwetu
Auditor-General

ADDENDUM A: CRITERIA USED TO EVALUATE INTERNAL CONTROL**LEADERSHIP**

- Provide effective leadership based on a culture of honesty, ethical business practices and good governance, protecting and enhancing the best interests of the auditee.
- Exercise oversight responsibility regarding financial and performance reporting and compliance and related internal controls.
- Implement effective human resource management to ensure that adequate and sufficiently skilled resources are in place and that performance is monitored.
- Establish and communicate policies and procedures to enable and support understanding and execution of internal control objectives, processes and responsibilities.
- Develop and monitor the implementation of action plans to address internal control deficiencies.
- Establish an IT governance framework that supports and enables the business, delivers value and improves performance.

FINANCIAL AND PERFORMANCE MANAGEMENT

- Implement proper record keeping in a timely manner to ensure that complete, relevant, and accurate information is accessible and available to support financial and performance reporting.
- Implement controls over daily and monthly processing and reconciling of transactions.
- Prepare regular, accurate and complete financial and performance reports that are supported and evidenced by reliable information.
- Review and monitor compliance with applicable legislation.
- Design and implement formal controls over IT systems to ensure the reliability of the systems and the availability, accuracy and protection of information.

GOVERNANCE

- Implement appropriate risk management activities to ensure that regular risk assessments, including consideration of IT risks and fraud prevention, are conducted and that a risk strategy to address the risks is developed and monitored.
- Ensure that there is an adequately resourced and functioning internal audit unit that identifies internal control deficiencies and recommends corrective action effectively.
- Ensure that the audit committee promotes accountability and service delivery through evaluating and monitoring responses to risks and overseeing the effectiveness of the internal control environment, including financial and performance reporting and compliance with legislation.

**ADDENDUM B: CONSULTATION WITH THE AUDITOR-GENERAL OF SOUTH AFRICA
ON THE APPOINTMENT OR DISCHARGE OF THE REGISTERED
AUDITOR IN TERMS OF SECTIONS 25 AND 26 OF THE PAA**

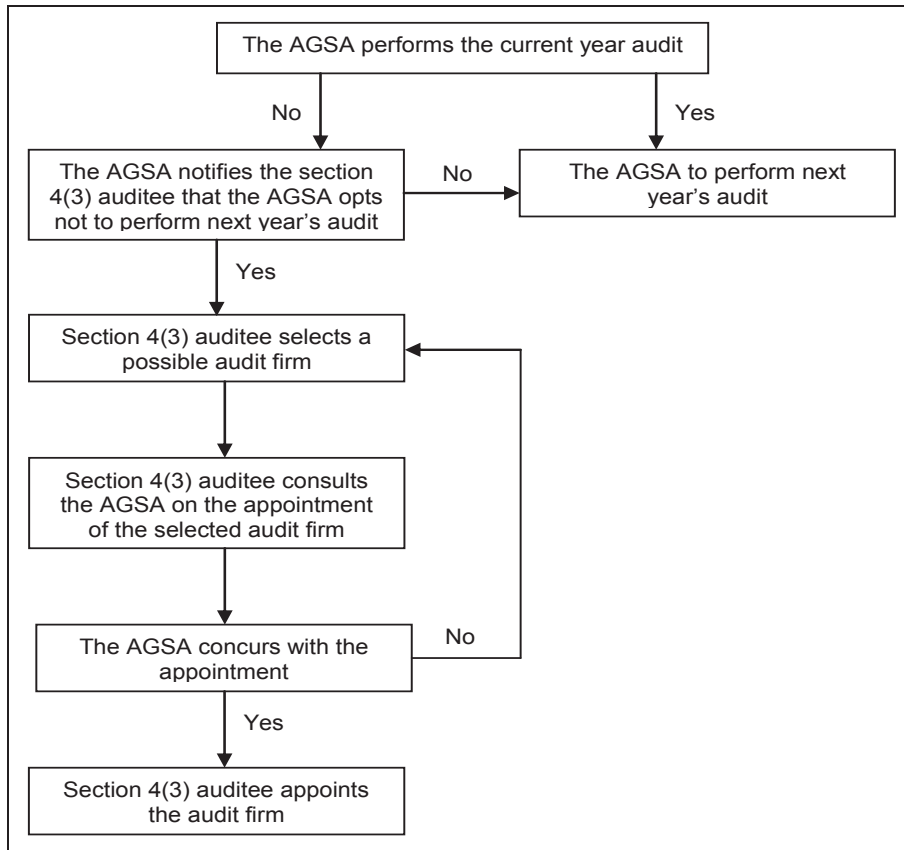
INSTRUCTIONS FOR COMPLETION

1. This checklist should be completed and submitted with supporting documentation to the AGSA business executive responsible for the audit of the controlling department to which the auditee reports.
2. The checklist should be accompanied by a copy of the auditee's policy on the appointment of auditors and the allocation of non-audit services to auditors.

PARTICULARS OF AUDITEE

Name		
Postal address		
Physical address		
Fax number		
Telephone number		
Email address of chief financial officer		
Accounting authority chairperson	Name	
	Contact details	
Responsible minister (executive authority)	Name	
	Contact details	
Responsible department		
Contact person at department		
Financial year in question		
PFMA schedule (2, 3A, 3B, 3C or 3D)		
Name of holding entity (if applicable)		

SCHEMATIC ILLUSTRATION OF THE AUDITOR APPOINTMENT PROCESS



APPOINTMENT OF NEW AUDITORS

3. Name of the new audit firm:

Insert details

4. Contact details of engagement partner responsible for audit:

Insert details

5. Anticipated date of appointment:

Insert details

6. Nature of other services to be performed:

Insert details

7. Details of any prior involvement with the auditee, including the costs:

Insert details

8. Details of how the quality of the audit firm's work has been assessed, e.g. results of IRBA reviews; as well as confirmation from IRBA that the appointed audit firm is in good standing at IRBA and is registered to practice:

Insert details

9. Matters that may influence a decision regarding the independence or objectivity or perceived independence of the audit firm:

Insert details

10. Confirmation from the accounting authority/board that a procurement process was followed and no exceptions were noted:

Insert details

11. Costs of audit and non-audit services provided by the audit firm during the last three years:

Financial year			
Audit fees			
Fees for other services			
Total fees			
Non-audit fees as a percentage of total fees			
Nature of services performed			

REAPPOINTMENT OF AUDITORS

12. Name of audit firm to be reappointed:

Insert details

13. Contact details of engagement partner responsible for audit:

Insert details

14. Financial year(s) previously appointed:

Insert details

15. Provide details of the audit committee's assessment of the effectiveness and efficiency of the performance of the external auditors, including IRBA review results:

Insert details

16. Provide details of significant disagreements between the external auditors and the accounting authority during the preceding financial year, if any:

Insert details

17. Indicate any matter that may influence a decision regarding the independence or objectivity or perceived independence of the auditors:

Insert details

18. Name of the partner in charge of the audit for the last five years:

Year	Name of partner
1	
2	
3	
4	
5	

19. Name of the senior audit manager in charge of the audit for the last five years:

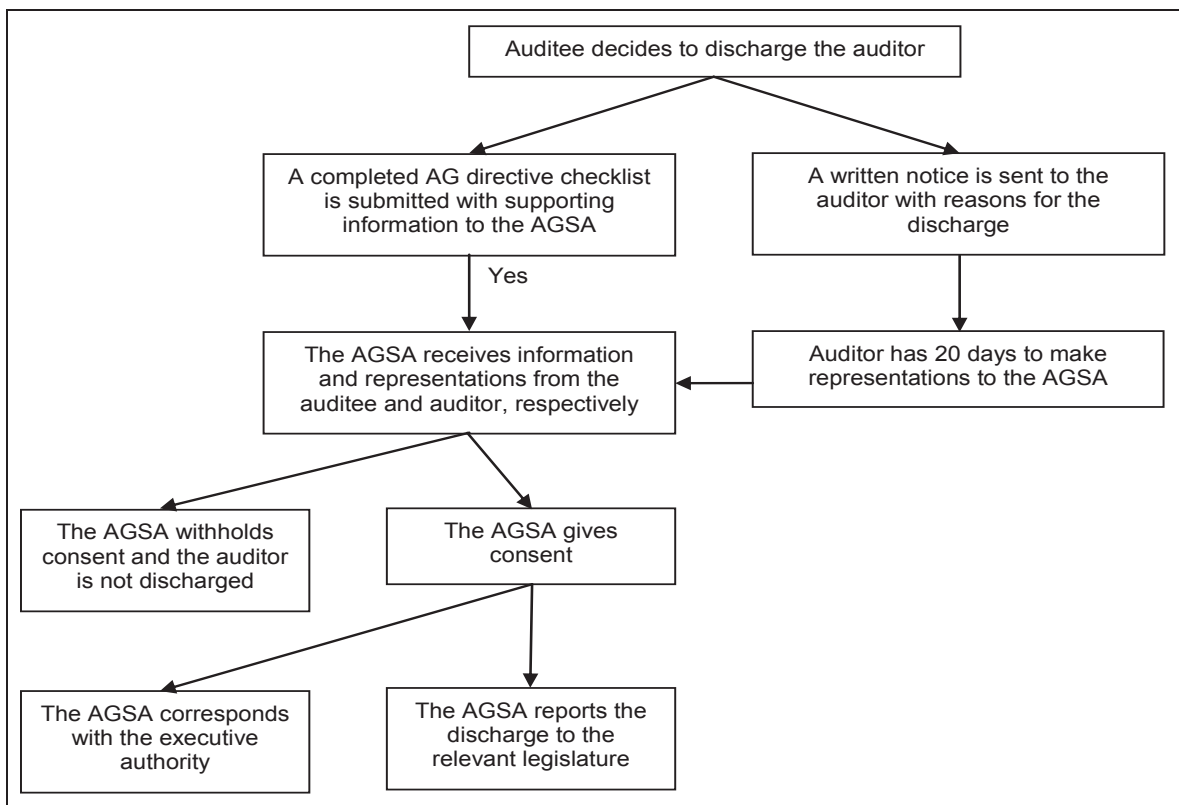
Year	Name of senior audit manager
1	
2	
3	
4	

Year	Name of senior audit manager
5	

20. Costs of audit and non-audit services provided by the audit firm during the last three years:

Financial year			
Audit fees			
Fees for other services			
Total fees			
Non-audit fees as a percentage of total fees			
Nature of services performed			

SCHEMATIC ILLUSTRATION OF THE AUDITOR DISCHARGE PROCESS



DISCHARGE OF AUDITOR

21. Name of the audit firm discharged:

Insert details

22. Number of years engaged on the audit to date:

Insert details

23. Costs of audit and non-audit services provided by the audit firm during the last three years:

Financial year			
Audit fees			
Fees for other services			
Total fees			
Non-audit fees as a percentage of total fees			
Nature of services performed			

24. Provide the notice to the auditor, giving the reasons for the impending discharge.

25. Provide written concurrence by the executive authority for the planned discharge.

Completed by:

(signature)

Completed by:

(name)

Designation:

Date:

ADDENDUM C: MONITORING CHECKLIST FOR AUDITS NOT CONDUCTED BY THE AGSA

INSTRUCTIONS

1. This checklist should be completed by the appointed audit firm for each audit it has conducted and should be submitted to the contact person at the AGSA business unit responsible for the audit of the controlling department to which the auditee reports within five months of the financial year-end, i.e. 31 August.

INFORMATION REQUIRED

Name of the auditee	
Controlling department	
Type of auditee (schedule number)	
Holding company (if applicable)	
Subsidiaries (if applicable)	
Audit business unit (ABU)	
Business executive	
Engagement firm	
Engagement firm's address	
Engagement firm's contact details	
Engagement partner	
Engagement partner's contact details	

No.	Requirements	Complied Yes/no*/not applicable	Remarks/comments
Public Audit Act, 2004 (Act No. 25 of 2004) (PAA)			
1.	All the requirements of the PAA and this general notice were complied with		
2.	The auditor's report to the accounting authority was submitted within the time frame prescribed by the PFMA		
3.	A copy of the auditor's report, together with a copy of the financial statements, was submitted to the AGSA by 31 August		
4.	Three copies of the annual report were submitted to the AGSA by 31 August		
Auditor's report			

No.	Requirements	Complied Yes/no*/not applicable	Remarks/comments
5.	The auditor's report was addressed to the appropriate addressee as per the AGSA guidance		
6.	The auditor's report distinguished between the supplementary information that has not been audited and the financial statements that have been audited by indicating the page numbers relating to the financial statements		
7.	The auditor's report correctly referred to the accounting authority as the party responsible for the preparation of the financial statements or consolidated financial statements		
8.	The auditor's report made reference to the correct financial reporting framework for the type of auditee		
9.	<p>The auditor's report complied with the <i>AG directive</i> and the <i>Reporting guide</i> of the AGSA on matters to be included in the auditor's report:</p> <ul style="list-style-type: none"> • legal and regulatory requirements • findings on performance against predetermined objectives • findings on compliance with applicable legislation • a narrative discussion on the internal control deficiencies identified during the audit as they relate to the qualifications on the financial statements, as well as the findings on the reported information on performance against predetermined objectives and findings on compliance with applicable legislation • Information on the following other reports: <ul style="list-style-type: none"> • Investigations • Performance audits • Agreed upon procedures engagements • Special audits 		

No.	Requirements	Complied Yes/no*/not applicable	Remarks/comments
	<ul style="list-style-type: none"> Donor funding 		
10.	Separate financial statements were prepared and audited for all subsidiaries		
* Where a "no" answer is provided, comments must be included below.			

11. General comments by the appointed auditor:

<i>Insert details</i>

Engagement partner:

_____ (signature)

Completed by:

_____ (name)

Date:

CONCLUSION (to be completed by the audit business unit)

No.	Requirements	Complied Yes/no*	Remarks/comments
1.	Did the auditors and auditee satisfy the requirements of sections 25 to 27 of the PAA, relating to the following:		
	<ul style="list-style-type: none"> Appointment of auditors 		
	<ul style="list-style-type: none"> Discharge of auditors 		
	<ul style="list-style-type: none"> Duties and powers of auditors 		
2.	Has the engagement firm satisfied the reporting requirements of the following:		
	<ul style="list-style-type: none"> PAA 		
	<ul style="list-style-type: none"> This general notice 		
	<ul style="list-style-type: none"> AGSA's R3: Reporting guide 		
* Where a "no" answer is provided, comments must be included below.			

3. General comments:

Insert details

4. Recommended further action in terms of this notice:

Insert details

Evaluated by BE/SM:

(signature)

Completed by:

(name)

Date:

ADDENDUM D: RELEVANT EXTRACTS FROM THE PUBLIC AUDIT ACT**2. Objects of this act**

The objects of this Act are -

- (b) to provide for the auditing of institutions and accounting entities in the public sector;

4. Constitutional functions

- (1) The Auditor-General must audit and report on the accounts, financial statements and financial management of -
 - (a) all national and provincial state departments and administrations;
 - (b) all constitutional institutions;
 - (c) the administration of Parliament and of each provincial legislature;
 - (d) all municipalities;
 - (e) all municipal entities; and
 - (f) any other institution or accounting entity required by other national or by provincial legislation to be audited by the Auditor-General.
- (2) The Auditor-General must audit and report on the consolidated financial statements of -
 - (a) the national government as required by section 8 of the PFMA;
 - (b) all provincial governments as required by section 19 of the PFMA; and
 - (c) a parent municipality and all municipal entities under its sole or effective control as required by section 122 (2) of the MFMA.
- (3) The Auditor-General may audit and report on the accounts, financial statements and financial management of -
 - (a) any public entity listed in the PFMA; and
 - (b) any other institution ... which is -
 - (i) funded from the National Revenue Fund or a Provincial Revenue Fund or by a municipality; or
 - (ii) authorised in terms of any legislation to receive money for a public purpose.

5. Other functions

- (1) The Auditor-General may, at a fee, and without compromising the role of the Auditor-General as an independent auditor, provide -
 - (a) audit-related services to an auditee ... or other body, which is commonly performed by a supreme audit institution on condition that -
 - (i) no services may be provided in respect of any matter that may subsequently have to be audited by the Auditor-General;
 - (ii) such service will not directly result in the formulation of policy; and
 - (iii) there must be full and proper disclosure of (the categories of) such services (in the report annually submitted by the Auditor-General to the National Assembly).

- (d) carry out an appropriate investigation or special audit of any institution ..., if the Auditor-General considers it to be in the public interest or upon the receipt of a complaint or request.
- (3) The Auditor-General may, in the public interest, report on any matter within the functions of the Auditor-General and submit such a report to the relevant legislature and to any other organ of state with a direct interest in the matter.

11. Application of this part

This part applies to all audits of auditees which the Auditor-General -

- (a) must perform in terms of section 4 (1) or (2); or
- (b) opts to perform in terms of section 4 (3).

13. Standards for audits

- (1) The Auditor-General, after consulting the oversight mechanism, must determine -
 - (a) the standards to be applied in performing audits ...
 - (b) the nature and scope of such audits; and
 - (c) procedures for the handling of complaints when performing such audits.
- (3) The Auditor-General may -
 - (a) make different determinations on the matters mentioned in subsection (1) for different categories of audits based on recognised best practice; or
 - (b) issue specific directives on those matters in any specific case.

14. Submission of financial statements

- (2) Financial statements submitted by an auditee which is not subject to the PFMA or the MFMA must be submitted within the period, be in a format, contain the information and otherwise comply with any requirements determined -
 - (a) by any legislation applicable to that auditee; or
 - (b) in the absence of such legislation, by the Auditor-General.

15. General auditing powers

- (2) The Auditor-General or an authorised auditor may for the purpose of an audit -
 - (b) direct a person to produce or to deliver at a specified place and time and in a specified format -
 - (i) any such document, book or written or electronic record or information ...

20. Audit reports

- (2) An audit report must reflect such opinions and statements as may be required by any legislation applicable to the auditee which is the subject of the audit, but must reflect at least an opinion or conclusion on –
 - (a) whether the annual financial statements of the auditee fairly present, in all material respects, the financial position at a specific date and results of its operations and cash flow for the period which ended on that date in accordance with the applicable financial framework and legislation;
 - (b) the auditee's compliance with any applicable legislation relating to financial matters, financial management and other related matters; and
 - (c) the reported information relating to the performance of the auditee against predetermined objectives.
- (3) In addition, the Auditor-General may report on whether the auditee's resources were procured economically and utilised efficiently and effectively.

25. Appointment of auditors

- (1) If the Auditor-General has opted not to perform the audit of an auditee ...
 - (a) the Auditor-General must give notice of his or her decision to that auditee before the start of the auditee's financial year for which the appointment is to be made; and
 - (b) the auditee must appoint as its auditor a person registered in terms of the Public Accountants' and Auditors' Act as an accountant and auditor and engaged in public practice as such.
- (2) Before appointing an auditor in terms of subsection (1), the auditee must give notice of the suggested appointment to the Auditor-General, including information on the extent to which the auditor would provide other services than audit services during the duration of the appointment, and any other information required by the Auditor-General.
- (3) If the Auditor-General, within 14 days of receiving a notice in terms of subsection (2) or such longer period as may be agreed to, rejects the auditee's appointment, the auditee must in terms of that subsection recommence the process to appoint another person as its auditor.
- (4) Appointments in terms of this section may not be for a longer period than one financial year of the auditee.

26. Discharge of auditors

- (1) An auditee ... may discharge an auditor ... before the expiry of that auditor's term of appointment, but only with the consent of the Auditor-General and, if that auditee has an executive authority within the meaning of the PFMA, also of the relevant executive authority.
- (2) If such an auditee intends discharging an auditor in terms of subsection (1), it must -
 - (a) give the auditor notice, in writing, setting out the reasons for the discharge; and
 - (b) give the auditor an opportunity to make representations, in writing, to the Auditor-General within 20 days of receipt of the notice.

- (3) The Auditor-General must report any discharge of an auditor in terms of subsection (1) to the relevant legislature.

27. Duties and powers of auditors

- (1) An auditor ... must perform the functions of office as auditor in terms of section 20 of the Public Accountants' and Auditors' Act.
- (2) In performing those functions as the auditor of an auditee, the auditor has the powers assigned to the Auditor-General in terms of section 15 (of the PAA).
- (3) An auditor may consult the Auditor-General or a person designated by the Auditor-General concerning any matter relating to the auditing of the auditee concerned.
- (4) An auditor -
- (a) must be given notice of every meeting of the auditee's audit committee, if the auditee has such a committee; and
 - (b) may attend, and participate in, any meeting of such an audit committee at the expense of the auditee.
- (5) The Auditor-General or a person designated by the Auditor-General may request information regarding the audit from an auditor ...

28. Audit reports and other reports

- (1) The report of an auditor ... must reflect such opinions and statements as may be required by any legislation applicable to the auditee which is the subject of the audit, but must reflect at least an opinion or conclusion on -
- (a) whether the financial statements of the auditee fairly present, in all material respects, the financial position at a specific date and results of its operations and cash flow for the period which ended on that date in accordance with the applicable financial framework and legislation;
 - (b) the auditee's compliance with any applicable legislation relating to financial matters, financial management and other related matters; and
 - (c) the reported information relating to the performance of the auditee against predetermined objectives.
- (3) The auditor must submit copies of the audit report referred to in subsection (1) -
- (a) to the auditee;
 - (b) if the auditee has an executive authority within the meaning of the PFMA, to that executive authority for submission to the relevant legislature;
 - (c) to the Auditor-General; and
 - (d) to the National Treasury or the relevant provincial treasury, as may be appropriate.

DEPARTMENT OF ENVIRONMENTAL AFFAIRS

NO. 575

27 MAY 2016

**NATIONAL ENVIRONMENTAL MANAGEMENT: BIODIVERSITY ACT, 2004
(ACT NO. 10 OF 2004)**

NON-DETRIMENT FINDINGS

I, Bomo Edith Edna Molewa, Minister of Environmental Affairs, hereby publish the non-detriment findings made by the Scientific Authority in terms of section 62(1) of the National Environmental Management: Biodiversity Act, 2004 (Act No. 10 of 2004) and set out in the Schedule hereto.



**BOMO EDITH EDNA MOLEWA
MINISTER OF ENVIRONMENTAL AFFAIRS**

SCHEDULE**NON-DETRIMENT FINDINGS****Non-detriment finding for *Encephalartos aemulans***

Reference Number: Enc_aem_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos aemulans (Ngotshe cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. aemulans* and is based on the best available information, current as of May 2015.

Encephalartos aemulans is listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. The species is located on a hill in KwaZulu-Natal in a single population of an estimated 600 adult plants. Overuse/exploitation for horticultural purposes is the major factor threatening the survival of *E. aemulans* and although the rate of population decline is uncertain, adult plants continue to be lost from the wild due to poaching.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly issued for the wild harvest of *E. aemulans* plants or seed since its description in 1990, except to allow for the once-off collection of seed for research purposes in 2005. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of

wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. aemulans* started in 1995 just five years after its description, and coinciding with the weakening of cycad protection measures in Gauteng. By 2011, 869 specimens (with an estimated total value of R695 000 and an average annual value of around R48 000 + R45 000) had been exported from South Africa. No conservation benefit for the species or its habitat is derived from the trade in *E. aemulans*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

In 2004 a management plan was developed for all cycads in KwaZulu-Natal, but it is now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. aemulans* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the ongoing poaching pressure, the capacity and budgetary constraints that prevent conservation authorities from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. aemulans* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. aemulans* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. aemulans* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

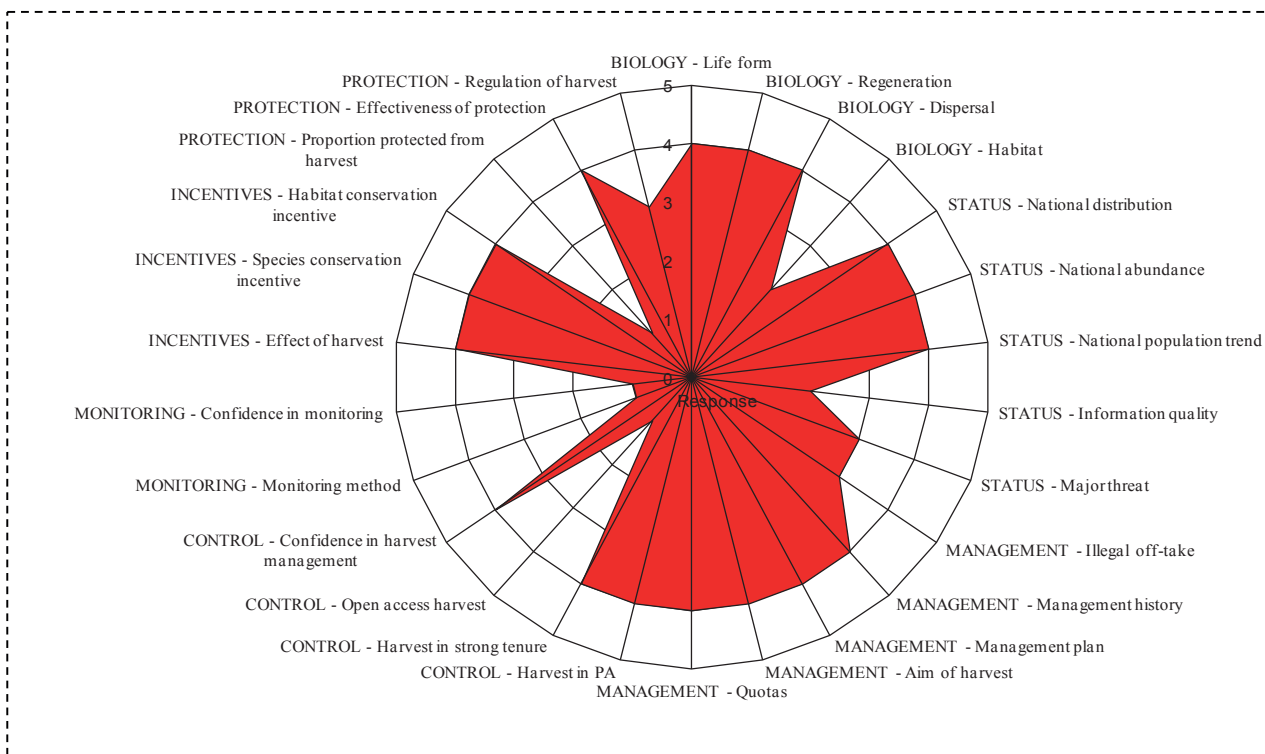


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos aemulans* in accordance with the CITES NDF checklist. Explanations of scores given

are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

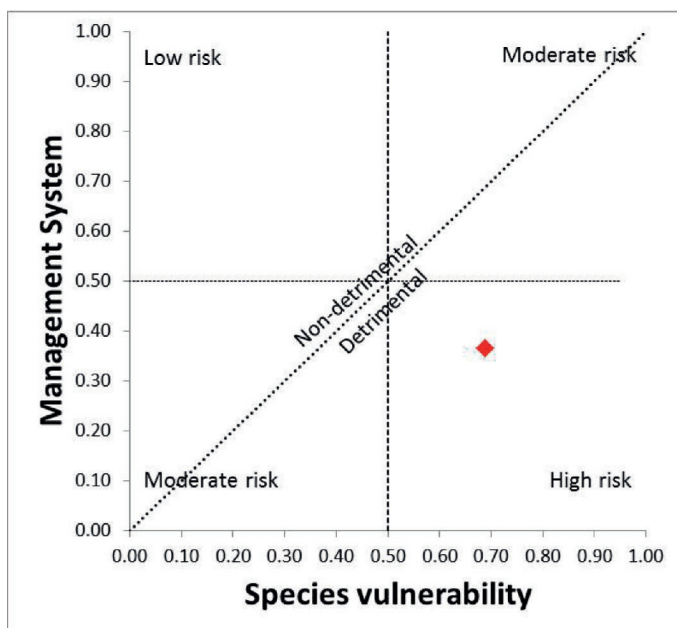


Figure 2. The risk of trading in *Encephalartos aemulans* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos aemulans* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad</i>		

<i>populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive. The numerous seedlings in the wild population of E. aemulans indicate that recruitment is healthy.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The location of E. aemulans on a single hill is evidence of its poor dispersal abilities. The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>The plants preferentially grow on south facing sandstone cliffs in short grassland, but also occur below the cliffs in humus-rich scree under shadier conditions. The occasional natural fire characterizes the habitat of E. aemulans and although recruitment is absent under disturbance, the species is fairly tolerant of disturbance.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>E. aemulans is located on a single hill in KwaZulu-Natal. The landowner is supportive towards the conservation of this species.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>An aerial survey in 2012 indicated that there are approximately 600 E. aemulans adult plants in the wild. The species is not commonly found in private collections and gardens but this may be due to difficulties with identification. Encephalartos aemulans is currently listed in the IUCN Red List category of Critically Endangered (B1ab(v)+2ab(v);C2a(ii) (IUCN version 3.1)).</i>		
7. National population trend: What is the recent national population	Increasing	1
	Stable	2

trend?	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>Although the rate of population decline is uncertain, adult plants continue to be lost from the wild due to poaching. A very small part of the population occurs in a private nature reserve, but many of these plants have been poached and only about five remain.</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
<i>The population size estimate is based on an aerial survey carried out in 2012 and not on ground counts. GPS positions of some plants were recorded in 2011.</i>		
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ invasive species/ other :) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Overuse/exploitation for horticultural purposes is the major factor threatening the survival of E. aemulans. Wild E. aemulans plants bear no evidence of bark stripping relating to medicinal use. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>According to the landowner, poaching of wild plants is ongoing but it is difficult to apprehend the poachers. In a recent incident, 50 plants were illegally harvested from the wild and plants (of an unknown number) were also recently found for sale on the side of a road in KwaZulu-Natal. Cases involving illegal plants of E. aemulans are seldom encountered in Gauteng or Mpumalanga.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Apart from a permit issued to collect seed for research purposes in 2005, reportedly no permits were ever issued for the wild harvest of E. aemulans. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act</i>		

<i>(NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>In 2004 a management plan was developed for all cycads in KwaZulu-Natal with a poster that was disseminated to District Conservation Officers and to some police stations and prosecutors. The management plan is however now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		

17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There is currently no management plan for E. aemulans. The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>Ezemvelo KwaZulu-Natal Wildlife is aiming to monitor E. aemulans every second year.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation	High	1
	Medium	2
	Low	3

benefit is derived from harvesting?	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<p><i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. <i>Encephalartos aemulans</i> is also listed as Specially Protected in the KwaZulu-Natal Nature Conservation Ordinance (No. 15 of 1974).</i></p>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. (Identification of <i>E. aemulans</i> is particularly problematic.) Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i></p> <p><i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (<i>Encephalartos latifrons</i> and <i>E. arenarius</i> were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the</i></p>		

possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. Since 2002, and most notably in 2005 and 2008, Ezemvelo KwaZulu-Natal Wildlife has issued possession permits for approximately 150 adult *E. aemulans* plants, but the origin of these plants is dubious as harvesting of this species was never allowed in the province. Possession permits were apparently erroneously issued for illegally harvested *E. aemulans* plants which were then moved into Gauteng on export permits. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. In 2008 a record number of 177 *E. aemulans* seedlings were exported from South Africa (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK), almost double the previous high of 94 seedlings exported in 2000. International trade in *E. aemulans* started in 1995, coinciding with the weakening of cycad protection measures in Gauteng. By 2011, 869 specimens (estimated total value of R695 000) had been exported from South Africa. The average annual value of *E. aemulans* exports is estimated at around R48 000 + R45 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos aemulans*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.

3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos cerinus*

Reference Number: Enc_cer_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos cerinus (waxen cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. cerinus* and is based on the best available information, current as of May 2015.

A rare species restricted to central KwaZulu-Natal, *E. cerinus* has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Within 6 months of *E. cerinus* being described in 1989, most of the population (a couple of hundred plants) was illegally harvested for horticultural/ornamental purposes. The species may now be extinct, although some reports indicate that there are four or five plants remaining in the wild.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly issued for the wild harvest of *E. cerinus* plants or seed since its description in 1989, except to allow for the once-off collection of seed for research purposes in 2005. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. In 1996, approximately 6 years after the wild population of *E. cerinus* had been decimated by poachers, the international trade in this species started with the highest number of specimens exported in 1997. The inception of trade in *E. cerinus* coincided with the weakening of cycad protection measures in Gauteng and a total of 1800 specimens (with an estimated total value of R1 296 000 and an average annual value of around R46 000 ± R23 000) had been exported from South Africa by 2011. No conservation benefit for the species or its habitat is derived from the trade in *E. cerinus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

In 2004 a management plan was developed for all cycads in KwaZulu-Natal, but it is now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. cerinus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the capacity and budgetary constraints that prevent Ezemvelo KwaZulu-Natal Wildlife from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. cerinus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In fact trade in the 1990s followed the decimation of the wild population approximately 6 years earlier. In order to decrease the risk to this species and bring about an improvement in its conservation status, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. cerinus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. cerinus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 7 cm) is prohibited (Government Notice 371, May 2012).

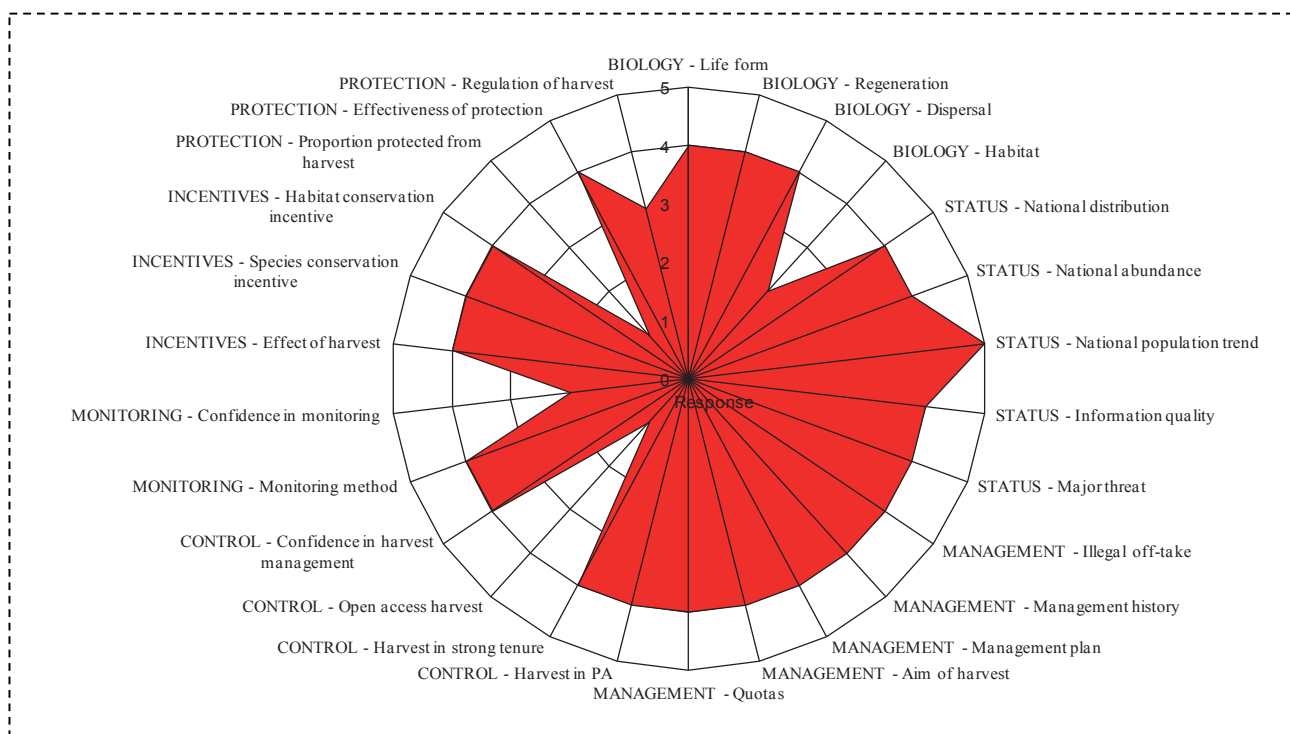


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos cerinus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

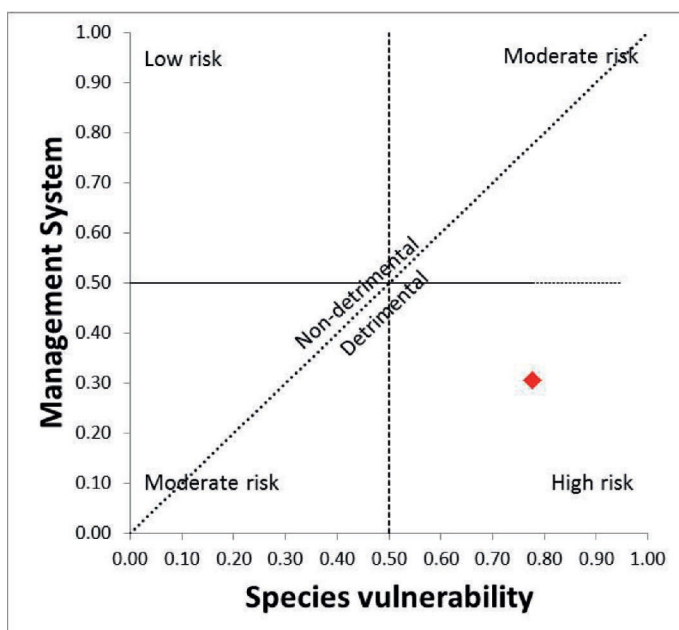


Figure 2. The risk of trading in *Encephalartos cerinus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos cerinus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<p><i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive. Relative to other Encephalartos species, E. cerinus grows well and cones rapidly.</i></p>		

3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species. The isolated occurrence of E. cerinus may be evidence of its poor dispersal abilities.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Plants of E. cerinus grow predominantly on east-facing sheer cliffs in valleys with dry savanna vegetation.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>The species is restricted to central KwaZulu-Natal.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>The species is extremely rare and may even be extinct, although some reports indicate that there are four or five plants remaining in the wild.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>Within 6 months of E. cerinus being described in 1989, most of the population (a couple of hundred plants) was illegally harvested. The current status of the remaining plants is uncertain. Encephalartos cerinus is currently listed in the IUCN Red List category of Critically Endangered (A2abcd;B1ab(i,ii,iv,v)+2ab(i,ii,iv,v);C2a(ii) (IUCN version 3.1)).</i>		

8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Severe poaching in the past for horticultural/ornamental purposes has caused the possible extinction of E. cerinus. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>The poaching pressure on the wild population of this species has been severe and these cycads are now stolen from private collections and ex situ botanical gardens. This is one of the smaller cycads to be targeted by poachers in recent times (in the last 20 years).</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Apart from a permit issued to collect seed for research purposes in 2005, reportedly no permits were ever issued for the wild harvest of E. cerinus. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>In 2004 a management plan was developed for all cycads in KwaZulu-Natal with a poster that was</i>		

<i>disseminated to District Conservation Officers and to some police stations and prosecutors. The management plan is however now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

There is currently no management plan for E. cerinus. The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.

Monitoring of harvest

19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5

Ezemvelo KwaZulu-Natal Wildlife intends monitoring all cycad populations on a 5 year basis.

20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

Incentives and benefits from harvesting

21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5

22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

Protection from harvest

24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5

Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos cerinus is also listed as Specially Protected in the KwaZulu-Natal Nature Conservation Ordinance (No. 15 of 1974).

25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.

Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. Encephalartos cerinus was not exported from South Africa until 1996 and in 1997, approximately 7

years after the wild population had been decimated by poachers, 853 specimens were exported (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK), the highest number ever when compared with the average number of specimens exported in subsequent years (61 ± 33). In total 1800 specimens of *E. cerinus* have been exported between 1996 and 2011 (estimated total value of R1 296 000). The average annual value of *E. cerinus* exports is estimated at around R46 000 \pm R23 000 (assuming exports of 3-year old seedlings at 2012-2013 prices). The inception of trade in *E. cerinus* coincided with the weakening of cycad protection measures in Gauteng.

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos cerinus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos cupidus*

Reference Number: Enc_cup_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos cupidus (Blyde River cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. cupidus* and is based on the best available information, current as of May 2015.

A rare and localized species, *E. cupidus* has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Despite occurring on a provincial nature reserve in Mpumalanga, severe declines have been observed for this species from estimates of 1110 plants in 1984, to 861 plants in 1999 to approximately 50 plants today. In 2004 the species was confirmed extinct in Limpopo. These declines have been caused by poaching for horticultural/ornamental and medicinal purposes. The recovery of large numbers of illegally harvested *E. cupidus* plants between 2004 and 2010 are further evidence of the severity of the poaching pressure on this species.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. cupidus* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation and seedlings were also available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in

the 2011/2012 financial year. The Mpumalanga Tourism and Parks Agency is primarily responsible for the *in situ* protection and management of *E. cupidus*. However 2011/2012 vacancy rates within this agency were reported to be 51% and 64% within the Wildlife Protection Services and the Scientific Services divisions, respectively. Furthermore, reportedly 73% of the field ranger posts for the nature reserve on which *E. cupidus* occurs were vacant in 2011/2012. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. cupidus* started in 1986 and 1180 specimens (with an estimated total value of R850 000 and an average annual value of around R57 000 ± R36 000) had been exported from South Africa by 2011, the trade showing an increasing trend after 1998, the same time period over which the severe decline in the wild population was observed. The bulk of the trade (92%) occurred after 1995 when cycad protection measures in Gauteng were particularly weak. No conservation benefit for the species or its habitat is derived from the trade in *E. cupidus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

Outdated (20 years old) conservation plans exist for all Mpumalanga's cycad species. Although some of these plans are currently being implemented, parts have collapsed altogether and they are in dire need of major revision. None of these plans address harvest management. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. While regular monitoring of *E. cupidus* does take place, continuation of monitoring programmes is uncertain due to the severe capacity constraints facing the Mpumalanga Tourism and Parks Agency.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. cupidus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the severe ongoing poaching pressure, the outdated conservation plan, the capacity and budgetary constraints that prevent the Mpumalanga Tourism and Parks Agency from effectively managing and monitoring the species, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. cupidus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. cupidus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. cupidus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 7 cm) is prohibited (Government Notice 371, May 2012).

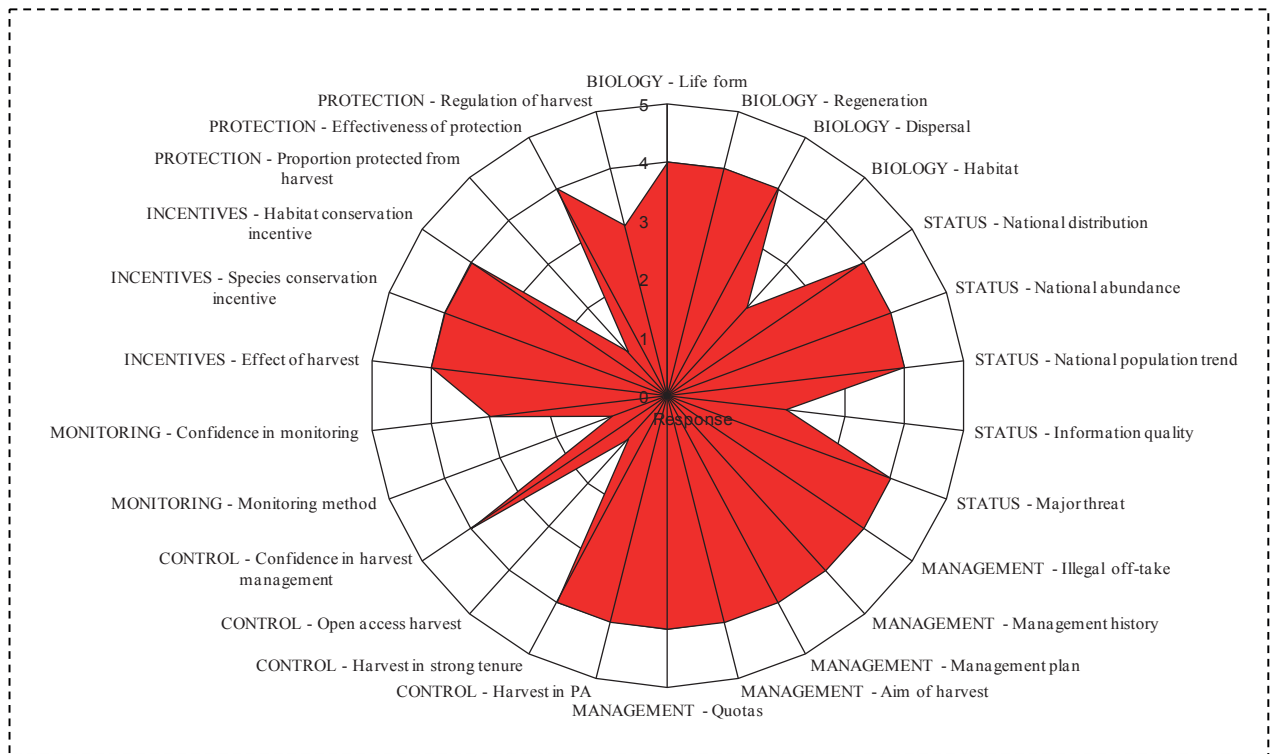


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos cupidus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

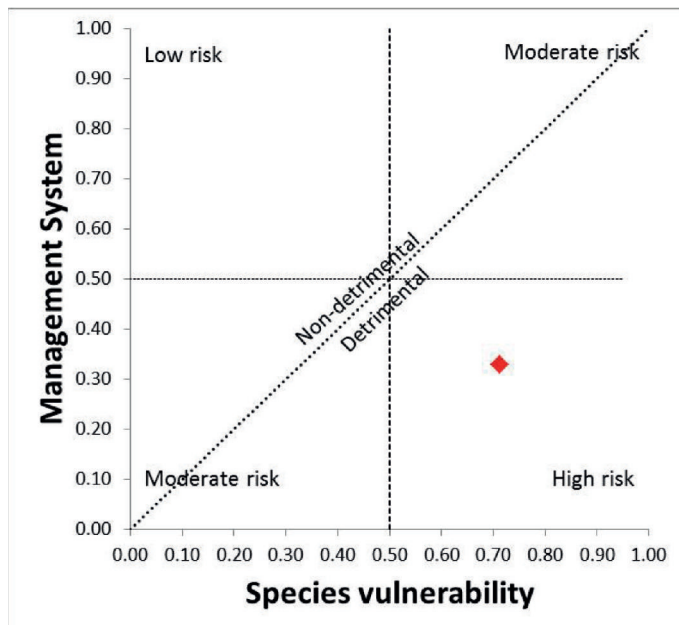


Figure 2. The risk of trading in *Encephalartos cupidus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives)

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos cupidus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos cupidus grows in open grassy positions on steep to precipitous rocky slopes or cliffs. Plants are also sometimes found along seepage areas bordering gallery forest as well as in dry forest.</i>		
National status		

5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Approximately 50 E. cupidus plants remain in the wild, all within a provincial protected area in Mpumalanga.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>In 1984 the Transvaal Provincial Administration reported approximately 1110 E. cupidus plants growing on a provincial nature reserve. Surveys in 1999 indicated that the number of plants had declined to approximately 861. Known localities of E. cupidus were recently visited by officials of the Mpumalanga Tourism and Parks Agency (MTPA). Although formal surveys were not undertaken, evidence of further declines was apparent, e.g. holes in the ground where plants had been removed. At two separate localities where there were approximately 200 and 61 plants in 1999, only 19 plants (comprising of 9 juveniles and 10 adults) and 30 plants (comprising of 21 juveniles and 9 adults) respectively, were recently counted. A visit by the South African National Biodiversity Institute's Threatened Species Programme in October 2010 similarly yielded only two juveniles in a search of 5 hours in duration and signs of continued harvesting were evident. The few plants which historically occurred outside the nature reserve were poached many years ago. The species was confirmed to be extinct in Limpopo in 2004. Encephalartos cupidus is currently listed in the IUCN Red List category of Critically Endangered (A2acd;B1ab(ii,iii,iv,v)+2ab(ii,iii,iv,v) (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse</u> / habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Poaching for horticultural/ornamental purposes has had a severe impact on wild populations of this species. It is estimated that hundreds of E. cupidus plants have also been illegally harvested for medicinal purposes. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		

10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<p><i>An undercover operation lasting 3 years and ending in 2007 recovered 548 illegally harvested E. cupidus plants. These plants are now in the possession of MTPA and the Lowveld National Botanical Garden. A breeding colony was created within a protected area in Mpumalanga to generate seed but since the plants are quite young and are not yet reproductive, the production of seed is yet to be realized. Plants in this colony are slowly being pilfered by corrupt officials. The plants in possession of the Lowveld National Botanical Garden yield approximately 1000 seed per year. A case in 2007 recovered 35 E. cupidus plants worth R350 000, which all later died at the Walter Sisulu National Botanical Garden, and a case in 2009 recovered 11 plants. Encephalartos cupidus plants are often encountered during routine inspections of cycad collections and in late 2010 seven illegal plants were found.</i></p>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<p><i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. cupidus plants or seed. Plants may however have been harvested from the wild prior to the enactment of provincial legislation or obtained from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i></p>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<p><i>Outdated (20 years old) conservation plans do exist for all Mpumalanga's cycad species. These plans are all very similar, having being based on the same template, and address propagation and restoration but not harvest. Although components of the plans have collapsed altogether (e.g. ex situ propagation at the Hartebeesthoek nursery), some of the conservation plans are still being implemented. The plans are however in dire need of major revision, especially as the situation pertaining to cycads has changed significantly since they were drafted. These revisions would however be hampered by a lack of human resources within the Mpumalanga Tourism and Parks</i></p>		

Agency. The 2011/2012 vacancy rate within the Scientific Services division for example was reportedly 64% and not a single botanist is currently employed in the province.

A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.

13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5

There are no quotas for any of South Africa's cycad species – all harvesting is illegal.

Control of harvest

15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

Harvesting of wild cycads is illegal throughout South Africa.

16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

Harvesting of wild cycads is illegal throughout South Africa.

17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5

The harvest of wild cycads is prohibited throughout South Africa.

18. Confidence in harvest management: Do budgetary and other factors allow effective	High confidence	1
	Medium confidence	2
	Low confidence	3

implementation of management plan(s) and harvest controls?	No confidence	4
	Uncertain	5
<p><i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. The nature reserve on which E. cupidus occurs has 26 field ranger posts, and only 7 of these were reported to be filled in the 2011/2012 financial year, a vacancy rate of 73%. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas (e.g. E. cupidus) are not secure from poaching activities.</i></p>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<p><i>Due to the difficulty of traversing the terrain, regular monitoring has been underway in stages since 2010.</i></p>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The Mpumalanga Tourism and Parks Agency is currently experiencing severe budgetary constraints as well as a lack of human resources. In the 2011/2012 financial year, the Scientific Services division reportedly had a vacancy rate of 64%, and from 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.</i></p>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		

24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<p><i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos cupidus is also listed as Specially Protected in the Mpumalanga Nature Conservation Act (No. 10 of 1998). The largest population of E. cupidus occurs in a state-controlled protected area.</i></p>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. The 2011/2012 vacancy rate within the Wildlife Protection Services of the Mpumalanga Tourism and Parks Agency was reported to be 51% and from 2011 to 2014 the Agency had no operational budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas (e.g. E. cupidus) are not secure from poaching activities, with protected areas often understaffed (e.g. the nature reserve on which E. cupidus occurs reportedly with a vacancy rate of 73%). Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i></p> <p><i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the</i></p>		

possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. Trade statistics (derived from the CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK) indicate an increasing trend ($R^2 = 0.38$; $P = 0.03$) in the international trade of *E. cupidus* since 1998, the same time period over which the severe decline in the wild population was observed. International trade in *E. cupidus* started in 1986 and 1180 specimens (estimated total value of R850 000) had been exported from South Africa by 2011, the bulk of the trade (92%) taking place after 1995 when cycad protection measures in Gauteng were particularly weak. The average annual value of *E. cupidus* exports is estimated at around R57 000 \pm R36 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos cupidus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Flora Conservation Plan. *Encephalartos cupidus* (1984). Transvaal Provincial Administration. Nature Conservation Division. Compiled by S. Fourie (Head of Flora and Environmental Conservation Subsection).

4. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos dolomiticus*

Reference Number: Enc_dol_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos dolomiticus (Wolkberg cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. dolomiticus* and is based on the best available information, current as of May 2015.

Encephalartos dolomiticus has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. It is a rare species localized in the southeastern region of Limpopo province. An aerial survey conducted in 2012 verified the presence of a very small population of <250 individuals. It is presumed that the wild population of this species is declining and the threat of illegal harvesting for horticultural and medicinal purposes is severe, as the population is bordered by poor rural communities and all cycads in the Drakensberg mountain range within Limpopo are targeted by poachers. *Encephalartos dolomiticus* is a highly sought after and expensive cycad in the horticultural trade.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. dolomiticus* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation and seedlings were also available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in

the 2011/2012 financial year. The Limpopo Department of Economic Development, Environment and Tourism is primarily responsible for the *in situ* protection and management of *E. dolomiticus*. However this department is experiencing severe capacity constraints, for example vacancy rates for the 2011/2012 financial year were reported to be 65% for the Biodiversity Management division and 68% for the Enforcement division. There is furthermore no botanist in this province to provide strategic direction for the conservation of the species.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. As owners of *E. dolomiticus* plants are typically able to provide documentary proof of legal possession (the sole legal requirement in Gauteng between 1994 and 2001), wild-sourced plants have been and continue to be legalized and incorporated into private collections. Their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. dolomiticus* started in 1996 when the cycad protection measures in Gauteng were particularly weak and by the end of 2011 a total of 477 specimens (with an estimated total value of R2 862 000 and an average annual value of around R160 000 ± R105 000) had been exported from South Africa. No conservation benefit for the species or its habitat is derived from the trade in *E. dolomiticus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

There is an outdated conservation plan for *E. dolomiticus* that is in considerable need of revision. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. The wild population of this species was not monitored between 2004 and 2011 due to capacity constraints, although a monitoring programme has very recently been re-initiated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. dolomiticus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the presumed ongoing poaching pressure, the capacity and budgetary constraints that prevent the Limpopo Department of Economic Development, Environment and Tourism from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. dolomiticus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. dolomiticus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. dolomiticus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

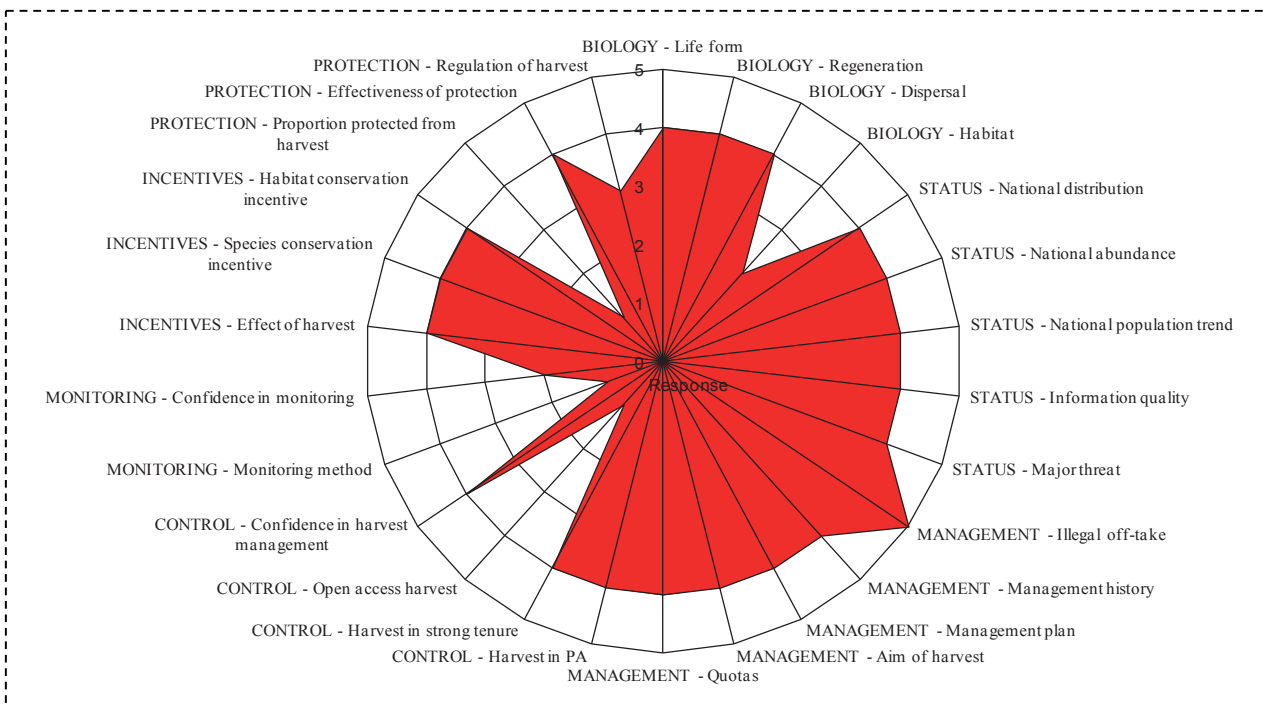


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos dolomiticus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

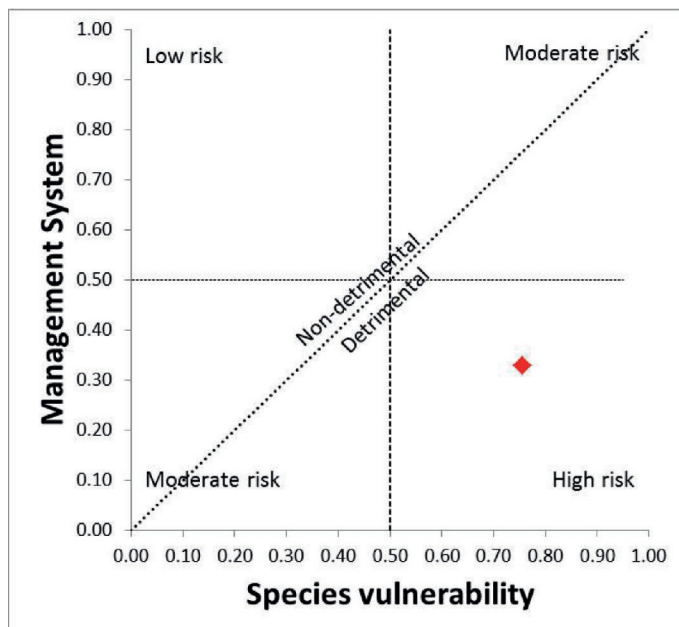


Figure 2. The risk of trading in *Encephalartos dolomiticus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives)

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos dolomiticus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos dolomiticus grows in grassland on shallow soils over dolomite ridges.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2

	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Encephalartos dolomiticus is localized in the southeastern region of Limpopo province.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Results of a 2012 survey, which involved an aerial count of visible crowns combined with ground counts in places where time and accessibility of plants permitted, verified the presence of a very small population of <250 individuals.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>It is presumed that the wild population of this species is declining as all cycads in the Drakensberg mountain range within Limpopo have been and continue to be targeted by poachers. In 1997 the size of the population was estimated to be between 175 and 250 plants. Aerial surveys undertaken in 2004 and 2012 indicated that the population had since declined. Some of the E. dolomiticus plants originally mapped by the former Transvaal Provincial Administration could not be located again, but this may have been due to mapping inaccuracies. There has been a significant increase in the prices of E. dolomiticus and there may therefore be an increased demand for wild plants. Encephalartos dolomiticus is currently listed in the IUCN Red List category of Critically Endangered (A2d;C1 (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Poaching for ornamental/horticultural and medicinal purposes is considered to be the major threat facing E. dolomiticus. Based on the observed poaching pressure on other cycad species in the Drakensberg mountain range within Limpopo, it is presumed that this threat is severe, especially as the population of E. dolomiticus is bordered by poor rural communities and these cycads are extremely expensive and highly desirable in the horticultural trade. This species is rarely encountered in nurseries. Seedlings are difficult to produce as seed germination success is around 5%, in spite of high seed viabilities. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		

10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>Encephalartos dolomiticus is a highly sought after cycad, but the scale of illegal removal from wild populations has not been established.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. dolomiticus plants or seed. Plants may have however been harvested from the wild as E. eugene-maraisii (prior to its description in 1988, E. dolomiticus was considered to be part of the E. eugene-maraisii complex) prior to the enactment of provincial legislation or obtained from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>There is an outdated conservation plan for E. dolomiticus that is in considerable need of revision. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2

	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There is an outdated conservation plan for E. dolomiticus that is in considerable need of revision. The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Reportedly 65% and 68% of posts within the Biodiversity Management and Enforcement divisions respectively of the Limpopo Department of Economic Development, Environment and Tourism were vacant in 2011/2012, and there is no botanist in this province to provide strategic direction for the conservation of the species. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal	Direct population estimates	1
	Quantitative indices	2

method used to monitor the effects of the harvest?	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>There has been no monitoring of wild cycad populations in Limpopo province between 2004 and 2011. The Limpopo Department of Economic Development, Environment and Tourism has however very recently re-initiated a monitoring programme for E. dolomiticus, involving aerial surveys on an annual basis.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>Sixty-five percent of posts within the Biodiversity Management division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in 2011/2012. There is no botanist currently employed in Limpopo and this vacant post is unlikely to be filled soon.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos dolomiticus is also listed as Specially Protected in the Limpopo Environmental Management Act (No. 7 of 2003).</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in	High confidence	1
	Medium confidence	2
	Low confidence	3

the effectiveness of measures taken to afford strict protection?	No confidence	4
	Uncertain	5
<p><i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-eight percent of posts within the Enforcement division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in the 2011/2012 financial year. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i></p> <p><i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).</i></p> <p><i>Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. (Officials seldom encounter E. dolomiticus plants during inspections but when they do, the owners are able to provide documentary proof of legal possession.) The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in E. dolomiticus started in 1996 when cycad protection measures in Gauteng were particularly weak and by 2011</i></p>		

altogether 477 specimens (estimated total value of R2 862 000) had been exported from South Africa (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). The average annual value of *E. dolomiticus* exports is estimated at around R160 000 ± R105 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort:	Very effective	1
How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Cousins, S. 2012. The trade in South African *Encephalartos* species for traditional medicine: Added pressure to the cycad extinction crisis. *Encephalartos*, 107, 39-43.
3. Donaldson, J.S. 2010. *Encephalartos dolomiticus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
4. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos dyerianus*

Reference Number: Enc_dye_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos dyerianus (Lowveld cycad / Lillie cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. dyerianus* and is based on the best available information, current as of May 2015.

Encephalartos dyerianus has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. The species is confined to a single granite mountain in Limpopo province and the wild population is small (<500 adult plants). Despite its occurrence within a provincial nature reserve, limited poaching of wild plants for horticultural/ornamental purposes is resulting in a continuing decline of the population. Because of the small size of the population, any illegal harvest of this species will have a severe impact on its survival in the wild.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. dyerianus* plants or seed, but seedlings were available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year. The Limpopo Department of Economic Development, Environment and

Tourism is primarily responsible for the *in situ* protection and management of *E. dyerianus*. However this department is experiencing severe capacity constraints, for example vacancy rates for the 2011/2012 financial year were reported to be 65% for the Biodiversity Management division and 68% for the Enforcement division. There is furthermore no botanist in this province to provide strategic direction for the conservation of the species. All of the field ranger posts for the nature reserve on which *E. dyerianus* occurs are reportedly vacant, although the *E. dyerianus* population is currently guarded by field rangers deployed from a neighbouring protected area.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections. Their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. dyerianus* started in 1995, coinciding with the weakening of cycad protection measures in Gauteng. Altogether 1359 specimens (with an estimated total value of R3 262 000 and an average annual value of around R200 000 ± R188 000) had been exported from South Africa by 2011, with trade levels peaking in 1999 and then again in 2007/2008. No conservation benefit for the species or its habitat is derived from the trade in *E. dyerianus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

There is currently no management plan for *E. dyerianus*. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. The wild population of this species is monitored regularly.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. dyerianus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the continuing incidences of poaching, the capacity and budgetary constraints that prevent the Limpopo Department of Economic Development, Environment and Tourism from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. dyerianus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. dyerianus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases

of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. dyerianus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

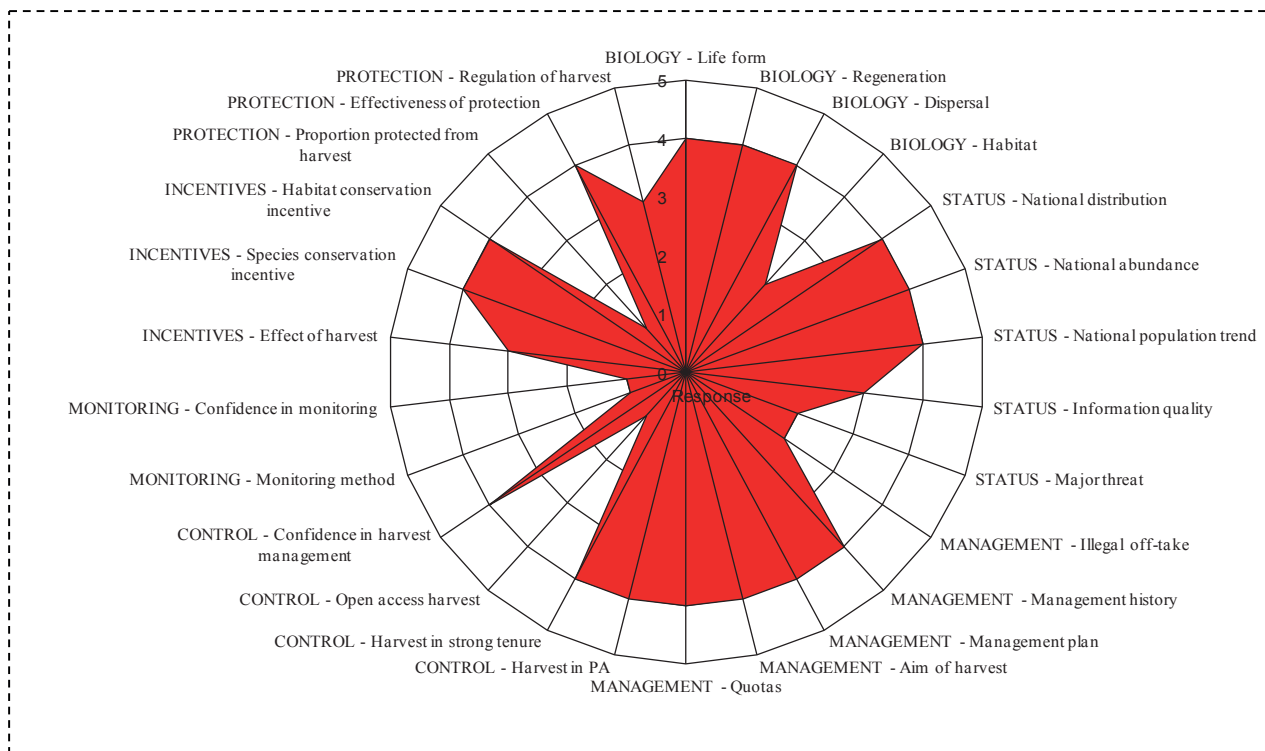


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos dyerianus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

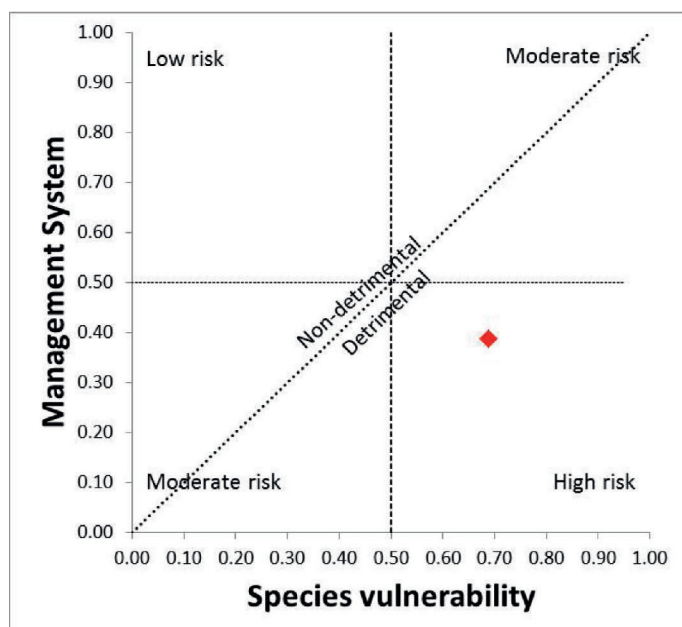


Figure 2. The risk of trading in *Encephalartos dyerianus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos dyerianus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4

	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos dyerianus plants grow in open shrubland and grassland on the slopes of a single low granite hill.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Encephalartos dyerianus is known from a single granite mountain in Limpopo province, occupying an area of about 10 ha. Most of the population is confined within a provincial nature reserve, although a few plants do occur outside. Encephalartos dyerianus is currently listed in the IUCN Red List category of Critically Endangered (B1ab(v)+2ab(v) (IUCN version 3.1)).</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Less than 500 adult plants were counted during a survey in 2008.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4

	Uncertain	5
<i>Some poaching of wild plants is taking place, resulting in a continuing decline in the population.</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>The poaching that is taking place is limited and, since the species occurs in a nature reserve, is also reversible provided that the nature reserve is afforded adequate protection. Possible reproductive failure due to the small size of the population is an additional potential threat.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>In 2008, between 78 and 107 plants were illegally harvested. A permanent guard has since been placed at the site. The plants that were stolen were re-introduced plants originating from the Hartebeesthoek nursery and therefore may not have been genetically pure. Two plants have been encountered in the illegal trade in Gauteng, while E. dyerianus plants are seldom encountered in Mpumalanga and in the Eastern Cape. Changes in ownership of these plants occur frequently and the plants are relatively inexpensive. Because of the small size of the population, any illegal harvest of this species will have a severe impact on its survival in the wild.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. dyerianus plants or seed. As the species was only described in 1988, it is unlikely that plants were harvested from the wild prior to the enactment of provincial legislation. However, seedlings were available from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the</i>		

<i>Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control,	None	1
	Low	2
	Medium	3
	High	4

giving <i>de facto</i> or actual open access?	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Reportedly 65% and 68% of posts within the Biodiversity Management and Enforcement divisions respectively of the Limpopo Department of Economic Development, Environment and Tourism were vacant in 2011/2012, and there is no botanist in this province to provide strategic direction for the conservation of the species. In 2011/2012 all of the 10 field ranger posts for the nature reserve on which <i>E. dyerianus</i> occurs were vacant. Two rangers deployed from a neighbouring nature reserve are however always present. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities (e.g. <i>E. dyerianus</i>). There is currently no management plan for <i>E. dyerianus</i>.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>Three surveys have been completed since 1999.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>Sufficient budget is allocated towards the monitoring of <i>E. dyerianus</i>. There is no botanist currently employed in Limpopo and this vacant post is unlikely to be filled soon.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this	High	1
	Medium	2
	Low	3

species accrues from harvesting?	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos dyerianus is also listed as Specially Protected in the Limpopo Environmental Management Act (No. 7 of 2003). The only known population of E. dyerianus occurs in a state-controlled protected area.</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-eight percent of posts within the Enforcement division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in the 2011/2012 financial year. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas (e.g. E. dyerianus) are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i>		
<i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary</i>		

proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (*Encephalartos latifrons* and *E. arenarius* were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (*Threatened or Protected Species Regulations*).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. dyerianus* started in 1995, coinciding with the weakening of cycad protection measures in Gauteng. Since then 1359 specimens (estimated total value of R3 262 000) had been exported from South Africa up until the end of 2011 (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). After an initial peak in trade in 1999, exports of *E. dyerianus* dropped to low levels, subsequently increasing again ($R^2 = 0.41$; $P < 0.05$) and peaking in 2007 and 2008 with the export of 172 and 169 specimens, respectively. The illegal harvesting of 107 wild plants in 2008 thus coincided with peak trade levels for *E. dyerianus*. The average annual value of *E. dyerianus* exports is estimated at around R200 000 + R188 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos dyerianus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos heenanii*

Reference Number: Enc_hee_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos heenanii (woolly cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. heenanii* and is based on the best available information, current as of May 2015.

Encephalartos heenanii has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. The ongoing poaching pressure on this species in order to supply plants to the horticultural trade and private collections is severe, and a 2013 aerial survey indicated that the population has apparently been reduced to only one surviving plant on a provincial nature reserve in Mpumalanga. According to a survey conducted in 1995, this population numbered approximately 115 plants (comprising of 326 stems) 20 years ago. Despite its occurrence on a protected area owned and controlled by the state, poaching has resulted in a rapid decline in this population, as observed through regular surveys.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required a permit in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. heenanii* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation and seedlings were also available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity

Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year. The Mpumalanga Tourism and Parks Agency is primarily responsible for the *in situ* protection and management of *E. heenanii*, however 2011/2012 vacancy rates within this agency were reported to be 51% and 64% within the Wildlife Protection Services and Scientific Services divisions, respectively. Furthermore, 43% of the field ranger posts for the nature reserve on which *E. heenanii* grows were reportedly vacant in 2011/2012. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. heenanii* started in 1988 and 216 specimens (with an estimated total value of R1 555 000 and an average annual value of around R106 000 ± R91 000) had been exported from South Africa by the end of 2011, the bulk of the trade (93%) showing an increasing trend after 1995, the same time period over which the decline in the wild population was observed and coinciding with the weakening of cycad protection measures in Gauteng. No conservation benefit for the species or its habitat is derived from the trade in *E. heenanii*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

Outdated (20 years old) conservation plans exist for all Mpumalanga's cycad species. Although some of these plans are currently being implemented, parts have collapsed altogether and they are in dire need of major revision. None of these plans address harvest management. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. While regular monitoring of *E. heenanii* does take place, continuation of monitoring programmes is uncertain due to the severe capacity constraints facing the Mpumalanga Tourism and Parks Agency.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. heenanii* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the severe poaching pressure, the outdated conservation plan, the capacity and budgetary constraints that prevent the Mpumalanga Tourism and Parks Agency from effectively managing and monitoring the species, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. heenanii* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In fact the species has already been exploited to the brink of extinction. In order

to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. heenanii* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. heenanii* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA, or
- iii. The seedlings have been grown from legal (TOPS possession permits issued prior to May 2012) wild origin parental plants and a portion of the seed / seedlings are made available for the recovery of the species within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and, with the exception of scenario (iii) above, affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin, with the exception of wild origin parental plants considered in scenario (iii) above. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

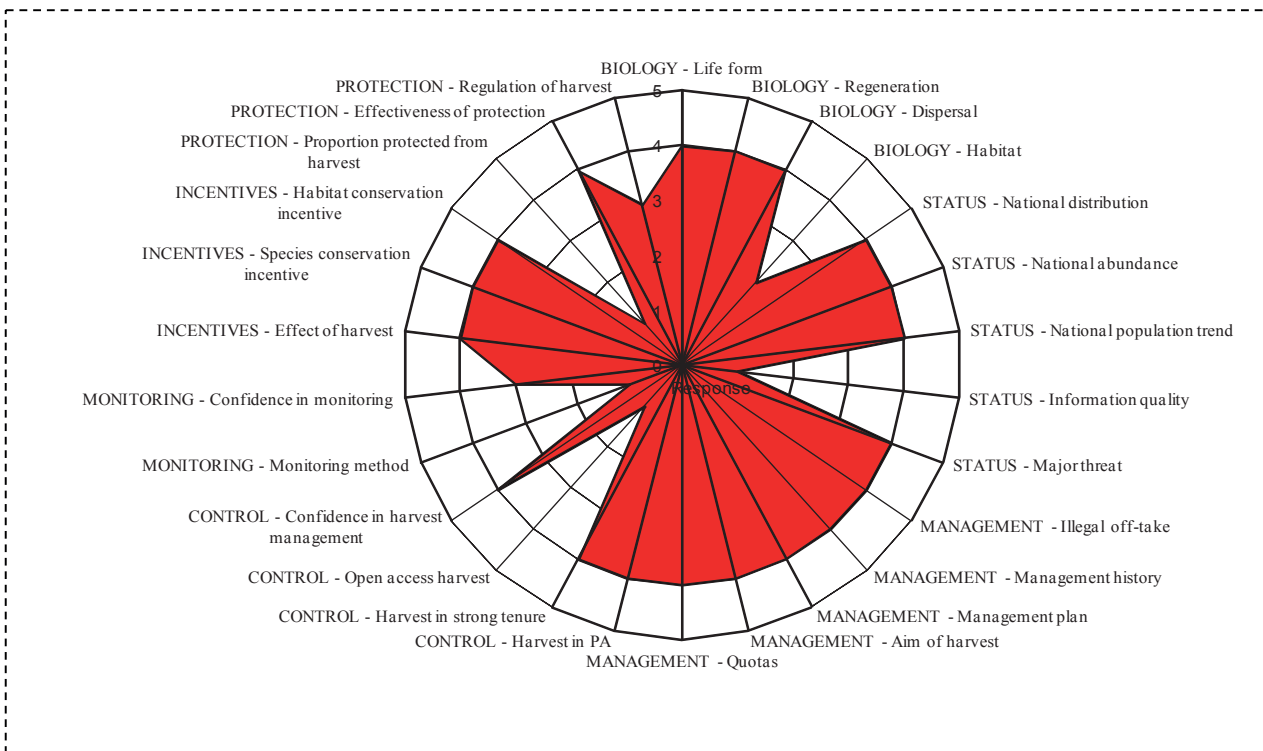


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos heenanii* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

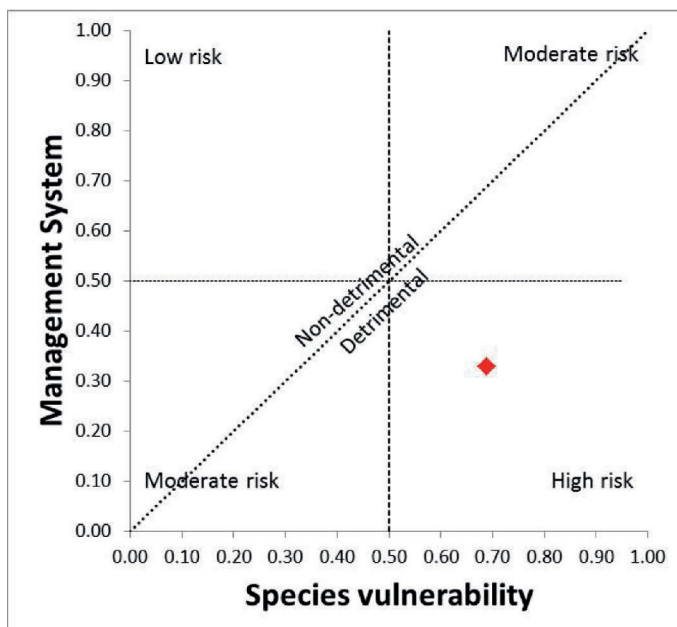


Figure 2. The risk of trading in *Encephalartos heenanii* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the

management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos heenanii* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos heenanii plants grow on very steep slopes in short grassland in deep valleys between indigenous forests.</i>		
National status		

5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>The last surviving population of this species occurs on a provincial nature reserve in Mpumalanga. Encephalartos heenanii is currently listed in the IUCN Red List category of Critically Endangered (B1ab(ii,iv,v)+2ab(ii,iv,v) (IUCN version 3.1)).</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Less than 30 plants, and possibly only one, survive in the wild.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>In 1995, 115 plants altogether comprising 326 stems were counted. A survey conducted in 2006 revealed that the population had declined to approximately 24 plants comprising of 45 stems, and an aerial survey in 2013 yielded only one plant. Encephalartos heenanii plants have also disappeared from the few known sites in Swaziland.</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
<i>Regular surveys are undertaken, often by means of a helicopter. The last survey was conducted in 2013.</i>		
9. Major threats: What major threat is the species facing (underline following: <u>overuse</u> / habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Encephalartos heenanii is threatened by illegal harvesting for horticultural/ornamental purposes. As the short-leaved form of this species is more desirable, plants exhibiting this form have been preferentially targeted by poachers and the 24 plants remaining in 2006 were all representative of the long-leaved form. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or	None	1
	Small	2
	Medium	3

trade?	Large	4
	Uncertain	5
<p><i>Poaching of this species for horticultural purposes is a massive problem. The poachers responsible for harvesting at least 100 stems of E. heenanii were arrested and jailed after an investigation lasting many years. In a 2006 case involving three plants, the perpetrators had attempted to remove fire scars from the plants with an angle grinder (fire scars are characteristic of wild sourced plants). A case involving two plants is currently before the court.</i></p>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<p><i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. heenanii plants or seed. Plants may however have been harvested from the wild prior to the enactment of provincial legislation or obtained from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i></p>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<p><i>Outdated (20 years old) conservation plans do exist for all Mpumalanga's cycad species. These plans are all very similar, having being based on the same template, and address propagation and restoration but not harvest. Although components of the plans have collapsed altogether (e.g. ex situ propagation at the Hartebeesthoek nursery), some of the conservation plans are still being implemented. The plans are however in dire need of major revision, especially as the situation pertaining to cycads has changed significantly since they were drafted. These revisions would however be hampered by a lack of human resources within the Mpumalanga Tourism and Parks Agency. The 2011/2012 vacancy rate within the Scientific Services division for example was reportedly 64% and not a single botanist is currently employed in the province. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i></p>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3

	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. The provincial nature reserve on which E. heenanii occurs currently has 40 field ranger posts and only 23 of these were reportedly filled in 2011/2012, a vacancy rate of 43%. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas (e.g. E. heenanii) are not secure from poaching activities.</i>		

Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>Formal surveys are undertaken relatively frequently.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The Mpumalanga Tourism and Parks Agency is currently experiencing severe budgetary constraints as well as a lack of human resources. In the 2011/2012 financial year, the Scientific Services division reportedly had a vacancy rate of 64%, and from 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
<i>It is anticipated that the few remaining plants could suffer from reproductive failure. Fire is suppressed in the area due to the presence of pine plantations. As <i>E. heenanii</i> is possibly fire adapted, this may further threaten the survival of the last remaining plants.</i>		
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads</i>		

throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos heenanii is also listed as Specially Protected in the Mpumalanga Nature Conservation Act (No. 10 of 1998). The only remaining population of E. heenanii occurs in a state-controlled protected area.

25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. The 2011/2012 vacancy rate within the Wildlife Protection Services of the Mpumalanga Tourism and Parks Agency was reported to be 51% and from 2011 to 2014 the Agency had no operational budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas (e.g. E. heenanii) are not secure from poaching activities, with protected areas often understaffed (e.g. the provincial nature reserve on which E. heenanii occurs with reportedly a vacancy rate of 43%). Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.

Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

*Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. Trade statistics (derived from the CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK) indicate an increasing trend ($R^2 = 0.42$; $P < 0.01$) in the international trade of *E. heenanii* since 1995, the same time period over which the decline in the wild population was observed. International trade in *E. heenanii* started in 1988 and by 2011 altogether 216 specimens (estimated total value of R1 555 000) had been exported from South Africa, the bulk of the trade (93%) taking place after 1995 when the cycad protection measures in Gauteng were particularly weak. The average annual value of *E. heenanii* exports is estimated at around R106 000 \pm R91 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).*

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos heenanii*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Feedback: Survey of *Encephalartos heenanii*, Nov 2006. Mpumalanga Tourism and Parks Agency. (Confidential)
4. Status report on *Encephalartos heenanii* R. A. Dyer in Transvaal (1984). Transvaal Provincial Administration.
5. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos hirsutus*

Reference Number: Enc_hir_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos hirsutus (Venda cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. hirsutus* and is based on the best available information, current as of May 2015.

Encephalartos hirsutus has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. When the species was first described in 1996, there were three known localities in the Soutpansberg region of the Limpopo province and the size of the wild population was estimated to number between 400 and 500 plants. But the impact of poaching on *E. hirsutus* to supply the horticultural trade and private collections has been so severe that it has resulted in the near extinction of the species. By 2004 the monitored wild population had declined to 219 plants and today only one individual apparently remains in an inaccessible location on a private nature reserve.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. hirsutus* plants or seed since its description in 1996, and it is highly likely that all *E. hirsutus* plants in collections originate from illegally sourced wild plants. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development

were vacant in the 2011/2012 financial year. The Limpopo Department of Economic Development, Environment and Tourism is primarily responsible for the *in situ* protection and management of *E. hirsutus*. However this department is experiencing severe capacity constraints, for example vacancy rates for the 2011/2012 financial year were reported to be 65% for the Biodiversity Management division and 68% for the Enforcement division. There is furthermore no botanist in this province to provide strategic direction for the conservation of the species.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections. Their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out, and it is unlikely that the original parental stock for *E. hirsutus* was obtained legally prior to the enactment of provincial legislation. International trade in *E. hirsutus* started in 1999, just three years after the species had been described and during the years when the cycad protection measures in Gauteng were particularly weak. By the end of 2011, 224 specimens (with an estimated total value of R2 688 000 and an average annual value of around R210 000 ± R207 000) had been exported from South Africa. The trade has shown an increasing trend since its inception in parallel with the observed decline of the wild population. No conservation benefit for the species or its habitat is derived from the trade in *E. hirsutus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

There is currently no management plan for *E. hirsutus* and the wild population of this species is not regularly monitored. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. hirsutus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the severe poaching pressure, the capacity and budgetary constraints that prevent the Limpopo Department of Economic Development, Environment and Tourism from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. hirsutus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In fact with apparently only one plant remaining in the wild, the species has already been exploited to the brink of extinction. In order to decrease the risk to this species and bring about its recovery, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. hirsutus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. hirsutus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA, or
- iii. The seedlings have been grown from legal (TOPS possession permits issued prior to May 2012) wild origin parental plants and a portion of the seed / seedlings are made available for the recovery of the species within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and, with the exception of scenario (iii) above, affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin, with the exception of wild origin parental plants considered in scenario (iii) above. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

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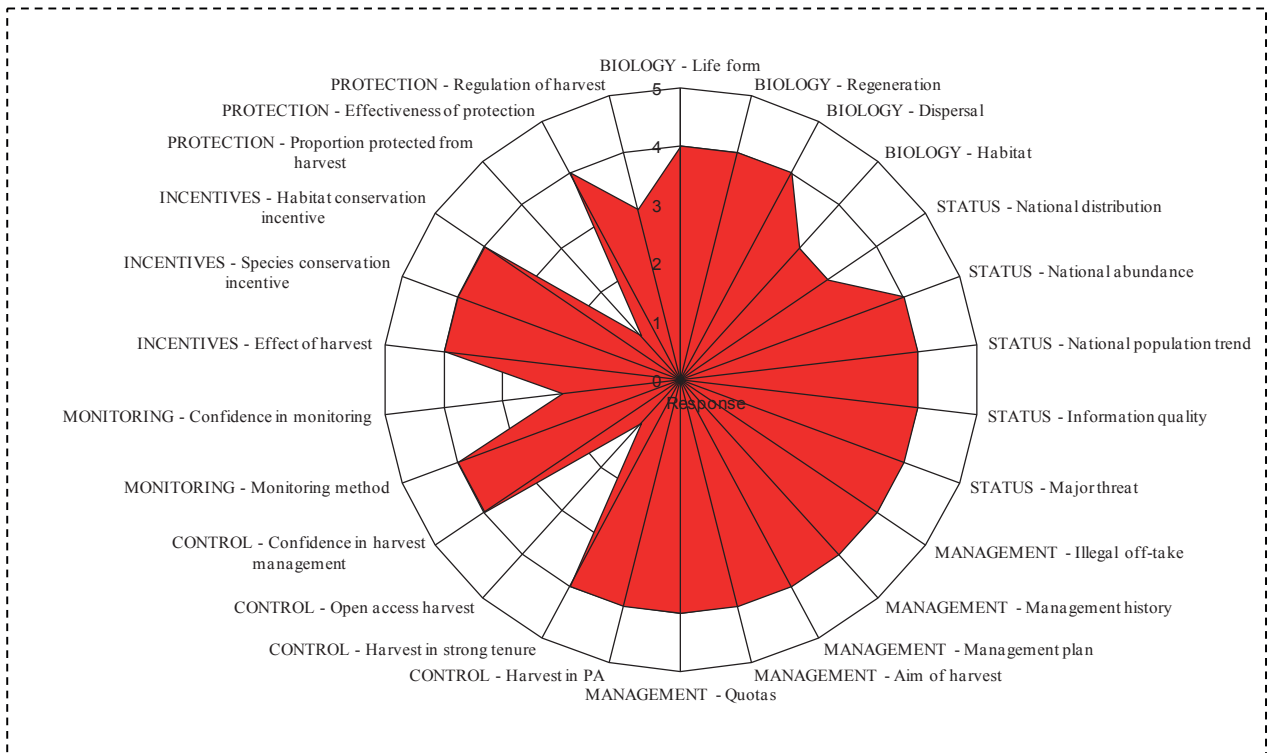


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos hirsutus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

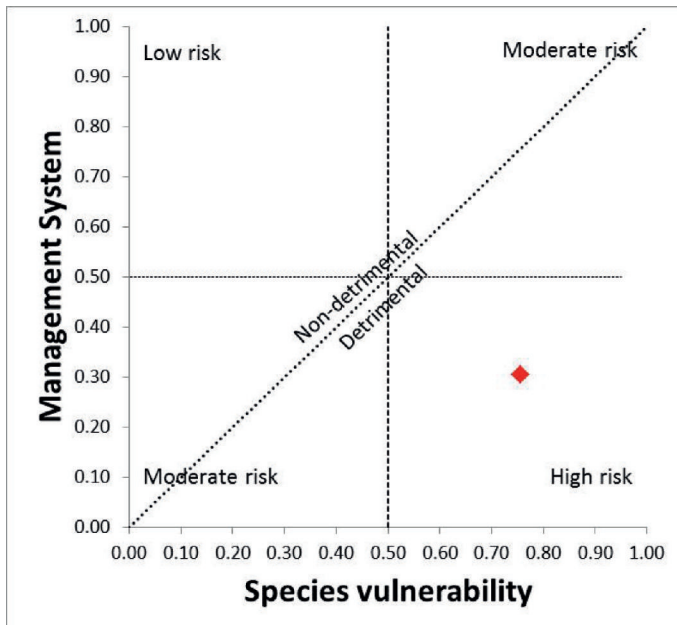


Figure 2. The risk of trading in *Encephalartos hirsutus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos hirsutus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos hirsutus plants grow in exposed positions on south-east facing quartzite cliffs, in moist semi-deciduous mixed scrub.</i>		
National status		
5. National distribution: How is the	Widespread, contiguous in country	1

species distributed nationally?	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Originally there were three known localities for this species in the Soutpansberg region of the Limpopo province.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>There is only one verifiable plant with four stems remaining in an inaccessible location on the edge of a cliff in a private nature reserve in Limpopo, although additional plants that were not targeted by monitoring efforts cannot be discounted.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>When the species was first described in 1996, the size of the wild population was estimated to number between 400 and 500 plants. By 2004 the monitored wild population had declined to 219 plants and today only one individual apparently remains. <i>Encephalartos hirsutus</i> is currently listed in the IUCN Red List category of Critically Endangered (A4acd;B2ab(iii,iv,v);C1 (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
<i>The information on abundance and trend is based on anecdotal reports from field officials. A helicopter survey in 2012 yielded no plants in the wild except the individual previously mentioned.</i>		
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/irreversible	4
	Uncertain	5
<i>The impact of poaching on <i>E. hirsutus</i> has been severe and has resulted in the near extinction of the species. These cycads are highly desirable in the horticultural trade. They are very expensive and can only be observed in elite private collections. Hacking marks on wild plants have been attributed in the literature to medicinal use, but it is more likely that the damage was caused by poachers chopping off suckers for sale into the horticultural trade. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How	None	1

significant is the national problem of illegal or unmanaged off-take or trade?	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>The first E. hirsutus to be poached were removed by undermining entire clusters of plants. A large consignment of illegal E. hirsutus plants was discovered in the United States of America and 17 plants are currently being held at a secure site in the USA. Illegal off-take and trade has resulted in the near extinction of E. hirsutus.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. hirsutus plants or seed, and since this species was discovered and described relatively recently, there is a high likelihood that all plants in collections originate from illegally sourced wild plants that were legalized in other provinces. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>There is no management plan for E. hirsutus. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3

	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There is no management plan for E. hirsutus. The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-five percent of posts within the Biodiversity Management division of the Limpopo Department of Economic Development, Environment and Tourism were vacant in 2011/2012, and there is no botanist in this province to provide strategic direction for the conservation of the species. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4

	No monitoring or uncertain	5
<i>There has been no monitoring of wild cycad populations in Limpopo province between 2004 and 2011.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>Sixty-five percent of posts within the Biodiversity Management division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in 2011/2012. There is no botanist currently employed in Limpopo and this vacant post is unlikely to be filled soon.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. <i>Encephalartos hirsutus</i> is also listed as Specially Protected in the Limpopo Environmental Management Act (No. 7 of 2003).</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to</i>		

this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-eight percent of posts within the Enforcement division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in the 2011/2012 financial year. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.

Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. No permit has ever been issued for the harvest of E. hirsutus plants or seed and all plants in collections therefore originate from wild sourced plants that were legalized in other provinces. One garden in Pretoria has more than 7 E. hirsutus plants, all of which were legalized after the owner provided documentary proof of legal possession. Similarly in KwaZulu-Natal, a permit application was received from a member of the public who had purchased five E. hirsutus plants. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. For example, a female E. hirsutus plant was recently legalized for a Gauteng-based exporter and the seedlings are now traded

on the international market. International trade in *E. hirsutus* started in 1999, just three years after the species was described and during the years when the cycad protection measures in Gauteng were particularly weak. The trade has shown an increasing trend since its inception ($R^2 = 0.39$; $P < 0.05$) (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK) in parallel with the observed decline of the wild population. Altogether 224 *E. hirsutus* specimens (estimated total value of R2 688 000) had been exported from South Africa up until the end of 2011. The average annual value of *E. hirsutus* exports is estimated at around R210 000 \pm R207 000 (assuming exports of 3-year old seedlings at 2012-2013 prices). As no permit has ever been issued to allow for the harvest of *E. hirsutus* plants or seed from the wild and the species was only discovered and described recently, it is unlikely that the original parental stock was obtained legally prior to the enactment of the provincial legislation.

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos hirsutus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos inopinus*

Reference Number: Enc_ino_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos inopinus (Lydenburg cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. inopinus* and is based on the best available information, current as of May 2015.

Encephalartos inopinus has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Formerly localized in Limpopo province, this species may in fact already be extinct in the wild. An aerial survey over the species' locality in 2008 and then again in 2012 failed to locate any plants. Poaching of plants to supply the horticultural trade as well as private collections has had a severe impact on the wild population of *E. inopinus*, causing a dramatic decline of 83% in the time period between 1992 and 2001, and then a further decline of 28% between 2001 and 2004.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. inopinus* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation and seedlings were also available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in

the 2011/2012 financial year. The Limpopo Department of Economic Development, Environment and Tourism is primarily responsible for the *in situ* protection and management of *E. inopinus*. However this department is experiencing severe capacity constraints, for example vacancy rates for the 2011/2012 financial year were reported to be 65% for the Biodiversity Management division and 68% for the Enforcement division. There is furthermore no botanist in this province to provide strategic direction for the conservation of the species.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections. Their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. inopinus* started in 1986, but the bulk of the trade (96%) occurred after 1995 when the cycad protection measures in Gauteng were particularly weak. Peak trade levels between 1995 and 2001 coincided with the massive decline observed in the wild population. By the end of 2011, altogether 2149 specimens (with an estimated total value of R3 868 000 and an average annual value of around R126 000 ± R63 000) had been exported from South Africa. No conservation benefit for the species or its habitat is derived from the trade in *E. inopinus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

There is an outdated conservation plan for *E. inopinus* that is in considerable need of revision. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. inopinus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the severe poaching pressure, the capacity and budgetary constraints that prevent the Limpopo Department of Economic Development, Environment and Tourism from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. inopinus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In fact illegal off-take to supply the cycad trade may already have caused the extinction of this species. In order to decrease the risk to this species and bring about its recovery, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. inopinus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. inopinus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA, or
- iii. The seedlings have been grown from legal (TOPS possession permits issued prior to May 2012) wild origin parental plants and a portion of the seed / seedlings are made available for the recovery of the species within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and, with the exception of scenario (iii) above, affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin, with the exception of wild origin parental plants considered in scenario (iii) above. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

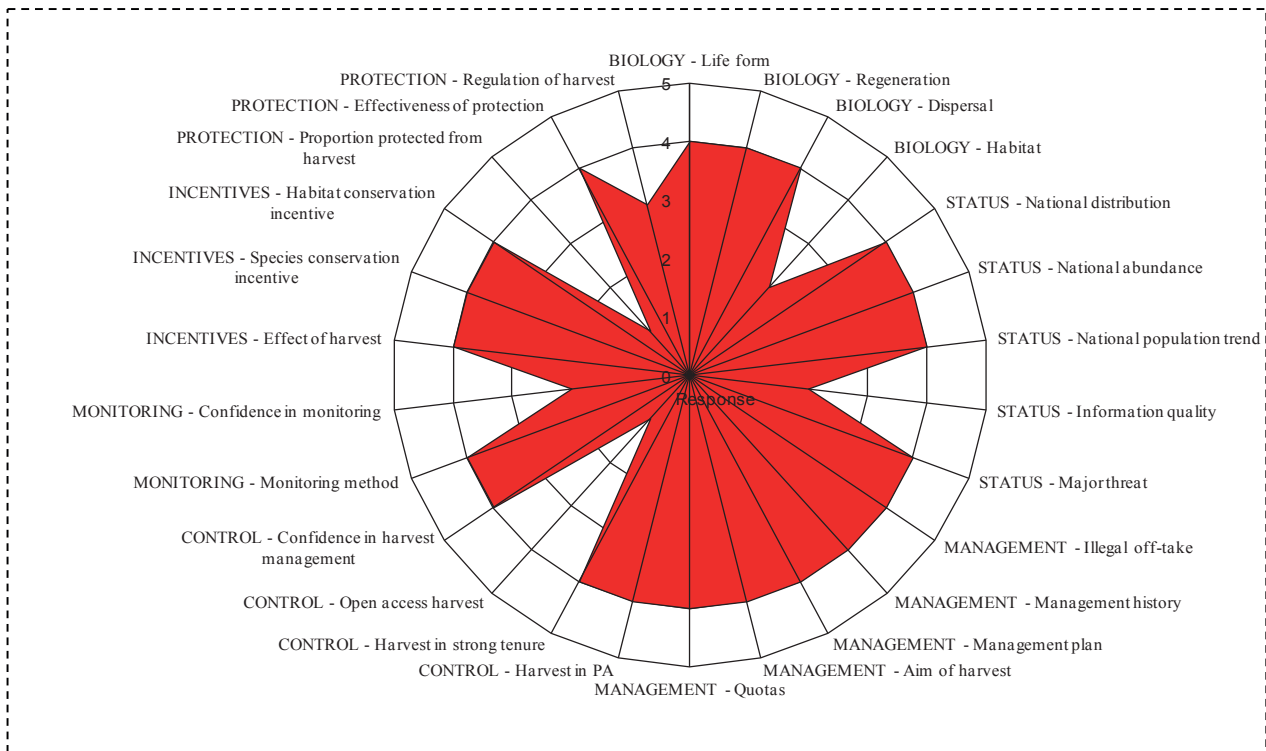


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos inopinus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

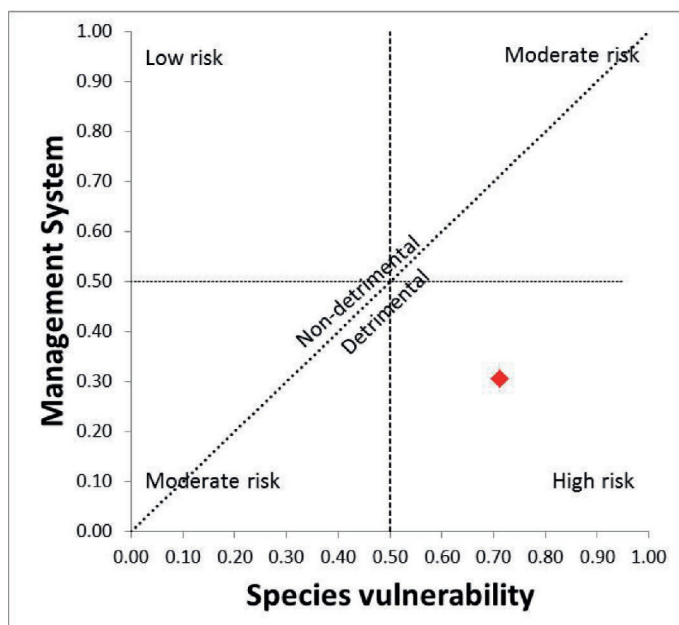


Figure 2. The risk of trading in *Encephalartos inopinus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos inopinus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos inopinus plants grow mainly in thick bush in skeletal soil or no soil on north-facing steep slopes or rocky outcrops in gorges.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2

	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>This species was formerly localized in the Limpopo province.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Encephalartos inopinus may be extinct in the wild.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>Results of helicopter surveys show a dramatic decline in the wild population of this species from 677 plants counted in 1992, to 113 in 2001 and 81 in 2004. An aerial survey over the species' locality in 2008 and then again in 2012 failed to locate any plants and it is suspected that the species may now be extinct in the wild. Encephalartos inopinus is currently listed in the IUCN Red List category of Critically Endangered (A2acd;B2ab(i,ii,iv,v);C1+2a(i) (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Poaching of plants to supply the horticultural trade as well as private collections has had a severe impact on this species and may have resulted in its extinction. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>Illegal off-take has caused the possible extinction of E. inopinus.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3

	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<p><i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. inopinus plants or seed. Plants may however have been harvested from the wild prior to the enactment of provincial legislation or obtained from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i></p>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<p><i>There is an outdated conservation plan for E. inopinus that is in considerable need of revision. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i></p>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<p><i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i></p>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-five percent of posts within the Biodiversity Management division of the Limpopo Department of Economic Development, Environment and Tourism were vacant in 2011/2012, and there is no botanist in this province to provide strategic direction for the conservation of the species. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>There has been no monitoring of wild cycad populations in Limpopo province between 2004 and 2011.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>Sixty-five percent of posts within the Biodiversity Management division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in 2011/2012. There is no</i>		

<i>botanist currently employed in Limpopo and this vacant post is unlikely to be filled soon.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos inopinus is also listed as Specially Protected in the Limpopo Environmental Management Act (No. 7 of 2003).</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. Sixty-eight percent of posts within the Enforcement division of the Limpopo Department of Economic Development, Environment and Tourism were reportedly vacant in the 2011/2012 financial year. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify</i>		

the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.

Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in E. inopinus started in 1986, but the bulk of the trade (96%) occurred after 1995 when the cycad protection measures in Gauteng were particularly weak. Trade levels peaked between 1995 and 2001 (71% of the total trade), coinciding with the dramatic 83% decline observed in the wild population, and a record number of 881 specimens was exported in 1997 (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). By 2011, altogether 2149 E. inopinus specimens (estimated total value of R3 868 000) had been exported from South Africa. The average annual value of E. inopinus exports is estimated at around R126 000 ± R63 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort:	Very effective	1
How effective are any restrictions on	Effective	2
harvesting (such as age or size,	Ineffective	3

season or equipment) for preventing overuse?	None	4
	Uncertain	5
<i>Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.</i>		

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos inopinus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos laevifolius*

Reference Number: Enc_lae_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos laevifolius (Kaapsehoop cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. laevifolius* and is based on the best available information, current as of May 2015.

Encephalartos laevifolius has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Its distribution is restricted and fragmented, the species occurring predominantly in Mpumalanga, with the main populations growing in the Kaapsehoop mountain range. Available data to date suggest that the few known and monitored populations in South Africa number approximately 26 plants, 54 plants and 15 plants. The population in the Kaapsehoop area, formerly numbering approximately 1700 plants, has experienced a severe decline of 97% between 1997 and 2010 due to poaching to supply the horticultural trade and private collections. Also due to poaching, *E. laevifolius* no longer occurs in the Blyderivierspoort Nature Reserve in Mpumalanga or in the provinces of KwaZulu-Natal and Eastern Cape.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. laevifolius* plants or seed but plants may have been harvested from the wild prior to the enactment of provincial legislation. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity

Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year. The Mpumalanga Tourism and Parks Agency is primarily responsible for the *in situ* protection and management of *E. laevifolius*, however 2011/2012 vacancy rates within this agency were reported to be 51% and 64% within the Wildlife Protection Services and Scientific Services divisions, respectively. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. The bulk of the international trade (75%) in *E. laevifolius* occurred after 1997, coinciding with the observed dramatic decline in the wild population and taking place in the same time period when the cycad protection measures in Gauteng were particularly weak. Altogether 960 *E. laevifolius* specimens (with an estimated total value of R1 728 000 and an average annual value of around R88 000 ± R65 000) had been exported from South Africa by the end of 2011, the trade steadily increasing since its inception in 1986. No conservation benefit for the species or its habitat is derived from the trade in *E. laevifolius*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. All but 54 of the 1700 plants micro-chipped in the Kaapsehoop area had been poached by 2010 and numerous *E. laevifolius* plants exhibiting evidence of removed micro-chips have been encountered in Gauteng. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

Outdated (20 years old) conservation plans exist for all Mpumalanga's cycad species. Although some of these plans are currently being implemented, parts have collapsed altogether and they are in dire need of major revision. None of these plans address harvest management. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. While regular monitoring of *E. laevifolius* does take place, continuation of monitoring programmes is uncertain due to the severe capacity constraints facing the Mpumalanga Tourism and Parks Agency.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. laevifolius* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the severe ongoing poaching pressure, the outdated conservation plan, the capacity and budgetary constraints that prevent the Mpumalanga Tourism and Parks Agency from effectively managing and monitoring the species, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. laevifolius* in the wild and the species is at an extremely high risk of unsustainable

utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. laevifolius* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. laevifolius* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

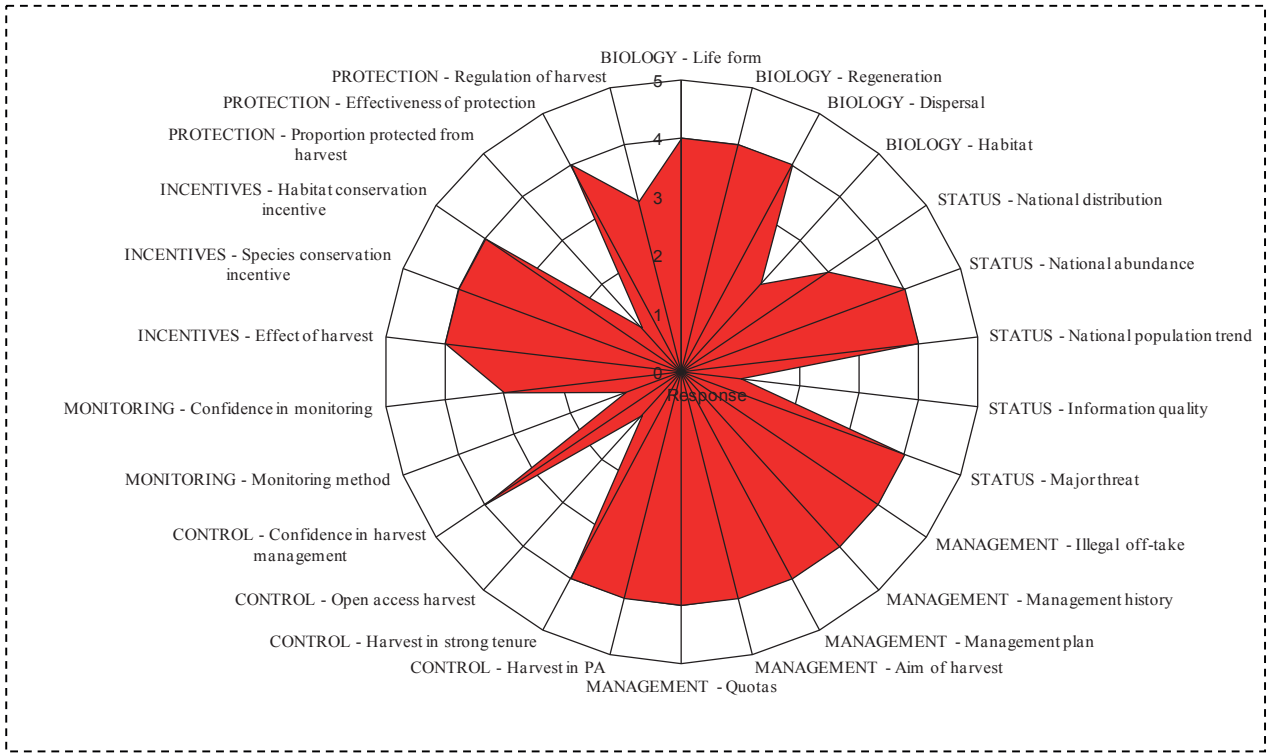


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos laevifolius* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

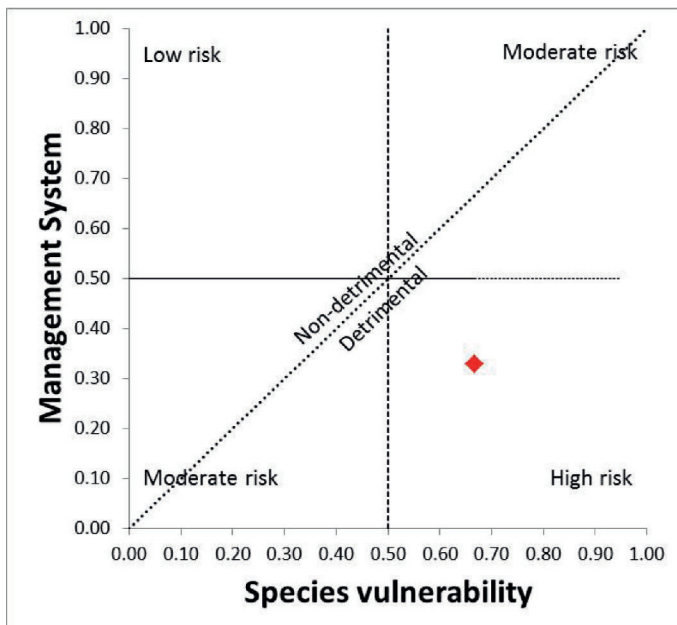


Figure 2. The risk of trading in *Encephalartos laevifolius* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos laevifolius* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos laevifolius plants grow in full sunlight in grassland or scrub on steep rocky slopes. Most localities are high altitude sites with frequent mists.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2

	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<p><i>Encephalartos laevifolius</i> occurs predominantly in Mpumalanga in the Kaapsehoop mountain range and there is an isolated colony further north. It also used to occur in the KwaZulu-Natal and Eastern Cape provinces. The species is not endemic to South Africa, also occurring in Swaziland.</p>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<p>Available data to date suggests that the few known and monitored populations in South Africa number approximately 26 plants, 54 plants and 15 plants.</p>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<p>An isolated population partially growing within the Blyderivierspoort Nature Reserve declined from 26 plants to 7 plants and after some time the remaining 7 plants were all poached during one incident in 2007/2008. In the Kaapsehoop area 1700 E. <i>laevifolius</i> plants were micro-chipped in 1997. In the last count undertaken in 2010, only 54 plants were found to be remaining. A small number of E. <i>laevifolius</i> plants occurred in KwaZulu-Natal but were illegally harvested at some stage. The species has also been extirpated from the Eastern Cape. There are reports from Swaziland that E. <i>laevifolius</i> is being depleted by poachers there too. <i>Encephalartos laevifolius</i> is currently listed in the IUCN Red List category of Critically Endangered (A2acde+4acde (IUCN version 3.1)).</p>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse</u> / habitat loss and alteration/ <u>invasive species</u> / other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<p>Poaching in order to supply the horticultural trade and private collections has had a severe impact on this species. <i>Encephalartos laevifolius</i> is a popular species in the cycad trade and large plants are often seen in private garden collections. The growth rates of these cycads are particularly slow and traders may not want to wait until plants grow to a tradable size. Unfortunately these cycads do not transplant well and about 60% of E. <i>laevifolius</i> plants removed from the wild die within a few years. Medicinal use of E. <i>laevifolius</i> is also recorded in the literature.</p>		

Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>The impact of poaching on E. laevifolius has been severe. The syndicate responsible for the demise of the Kaapesehoop population was highly organized and knowledgeable and comprised of 57 members. They have since been arrested and are now serving jail sentences, while the head of the syndicate has died. Plants poached by this syndicate were customarily sold to nurseries. Eighteen micro-chipped plants were recovered during an investigation in Gauteng in 2008. Fifty-nine plants were recovered in Nelspruit of which 14 were micro-chipped. Numerous E. laevifolius plants have been encountered in Gauteng with their micro-chips removed.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. laevifolius plants or seed. Plants may however have been harvested from the wild prior to the enactment of provincial legislation. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>Outdated (20 years old) conservation plans do exist for all Mpumalanga's cycad species. These plans are all very similar, having being based on the same template, and address propagation and restoration but not harvest. Although components of the plans have collapsed altogether (e.g. ex situ propagation at the Hartebeesthoek nursery), some of the conservation plans are still being implemented. The plans are however in dire need of major revision, especially as the situation pertaining to cycads has changed significantly since they were drafted. These revisions would however be hampered by a lack of human resources within the Mpumalanga Tourism and Parks Agency. The 2011/2012 vacancy rate within the Scientific Services division for example was reportedly 64% and not a single botanist is currently employed in the province. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in</i>		

<i>terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human</i>		

resources and budget. Blyderivierspoort Nature Reserve has 26 field ranger posts and only 7 of these were reportedly filled in 2011/2012, a vacancy rate of 73%. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas (e.g. *E. laevifolius*) are not secure from poaching activities.

Monitoring of harvest

19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5

Formal surveys are undertaken relatively frequently, budget permitting.

20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

The Mpumalanga Tourism and Parks Agency is currently experiencing severe budgetary constraints as well as a lack of human resources. In the 2011/2012 financial year, the Scientific Services division reportedly had a vacancy rate of 64%, and from 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.

Incentives and benefits from harvesting

21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5

22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

Protection from harvest

24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5

Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. *Encephalartos laevifolius* is also listed as Specially Protected in the Mpumalanga Nature Conservation Act (No. 10 of 1998) and in the Limpopo Environmental Management Act (No. 7 of 2003) and it used to occur within a protected area.

25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5

*The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. The 2011/2012 vacancy rate within the Wildlife Protection Services of the Mpumalanga Tourism and Parks Agency was reported to be 51% and from 2011 to 2014 the Agency had no operational budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas (e.g. *E. laevifolius*) are not secure from poaching activities, with protected areas often understaffed (e.g. Blyderivierspoort Nature Reserve with a vacancy rate of 73%). Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.*

*Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (*Encephalartos latifrons* and *E. arenarius* were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to*

the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

*Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. Trade statistics (derived from the CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK) indicate an increasing trend ($R^2 = 0.25$; $P < 0.02$) in the international trade of *E. laevifolius* since its inception in 1986, the bulk of the trade (75%) coinciding with the observed dramatic decline in the wild population after 1997 and taking place in the same time period when the cycad protection measures in Gauteng were particularly weak. Altogether 960 *E. laevifolius* specimens (estimated total value of R1 728 000) had been exported from South Africa up until the end of 2011. The average annual value of *E. laevifolius* exports is estimated at around R88 000 ± R65 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).*

*Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching. All but 54 of the 1700 plants micro-chipped in the Kaapsehoop area had been illegally harvested by 2010 and numerous *E. laevifolius* plants exhibiting evidence of removed micro-chips have been encountered in Gauteng.*

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos laevifolius*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Flora Conservation Plan. *Encephalartos laevifolius* (1984). Transvaal Provincial Administration. Nature Conservation Division. Compiled by S. Fourie (Head of Flora and Environmental Conservation Subsection).
4. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos latifrons*

Reference Number: Enc_lat_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos latifrons (Albany cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. latifrons* and is based on the best available information, current as of May 2015.

Encephalartos latifrons has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Historically scattered through the Albany and Bathurst districts of the Eastern Cape, *E. latifrons* has declined by more than 80% over the past 100 years and today numbers approximately 45 wild plants equally divided between the two major localities where the species is still extant. The species continues to decline in the wild due to poaching for horticultural/ornamental purposes, and illegal harvesting of suckers, pollen, seed and cones from the remaining wild plants, as well as limited bark harvesting, is also occurring. It is anticipated that the proposed wind farms and a lime mine in close proximity to *E. latifrons* plants will increase opportunities for poaching. *Encephalartos latifrons* is a popular cycad amongst collectors and is encountered in private collections as well as in some cycad nurseries primarily in the Eastern Cape, Western Cape and Gauteng.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. Apart from one permit issued in 1997 and another in 2000 to allow for the once-off collection of seed, no permits were reportedly ever issued for the wild harvest of *E. latifrons* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a

countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year. The Special Investigations unit within the Eastern Cape Department of Economic Development, Environmental Affairs and Tourism is reportedly constrained by a limited operational budget.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. The number of *E. latifrons* specimens exported from South Africa has increased over the years since the inception of international trade in this species in 1980. In total, 1125 specimens (with an estimated total value of R5 850 000 and an average annual value of around R276 000 ± R188 000) had been exported from South Africa up until the end of 2011, the bulk of the trade (83%) having taken place after 1995 when the cycad protection measures in Gauteng were particularly weak.

Micro-chips have been inserted into all known wild *E. latifrons* plants. Micro-chips have however proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

A Biodiversity Management Plan (BMP) for *E. latifrons*, the aim of which is to secure the existing wild plants and execute a restoration and monitoring programme, was published in June 2011 in terms of section 43 of the National Environmental Management: Biodiversity Act (NEMBA) of 2004. Harvesting of wild seed for propagation and subsequent trade is allowed in accordance with this BMP provided all permits are in place and on condition a percentage of the seedlings are set aside for restoration purposes. This harvesting model is designed to increase the value of wild *E. latifrons* plants, thereby incentivizing landowners to protect them from poaching. The effectiveness of the BMP has however been questioned as it is reliant on landowner willingness and is therefore unenforceable. At present mismanagement of wild plants and illegal harvesting of seed are occurring, potentially negatively affecting recruitment, while monitoring is difficult due to poor landowner cooperation and hence limited access to properties with *E. latifrons* plants. Further research is required to advise on a quota for the harvest of *E. latifrons* seed. The existence of the BMP and the anticipated potential conservation benefits to the species nevertheless places *E. latifrons* at a lower risk of overutilization than other Critically Endangered cycad species, and it is hoped that the species' conservation status will be improved and ultimately its extinction will be prevented through the implementation of the BMP.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. latifrons* particularly vulnerable to overutilization. It is therefore imperative that the effectiveness of the existing strict protection measures be improved significantly on a national basis in order to curtail the continuing poaching activities. Until

such time as these improvements are realized, the current trade in artificially propagated specimens is considered to be detrimental (Figures 1 and 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. latifrons* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

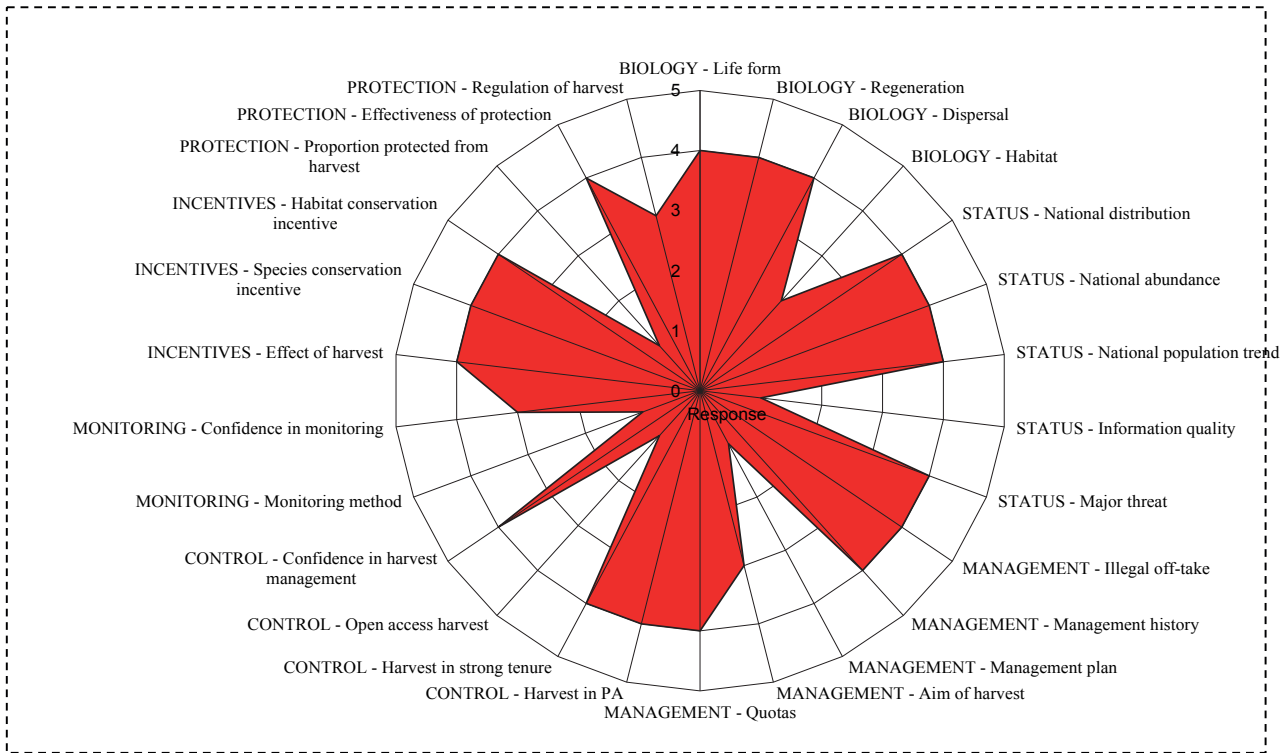


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos latifrons* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

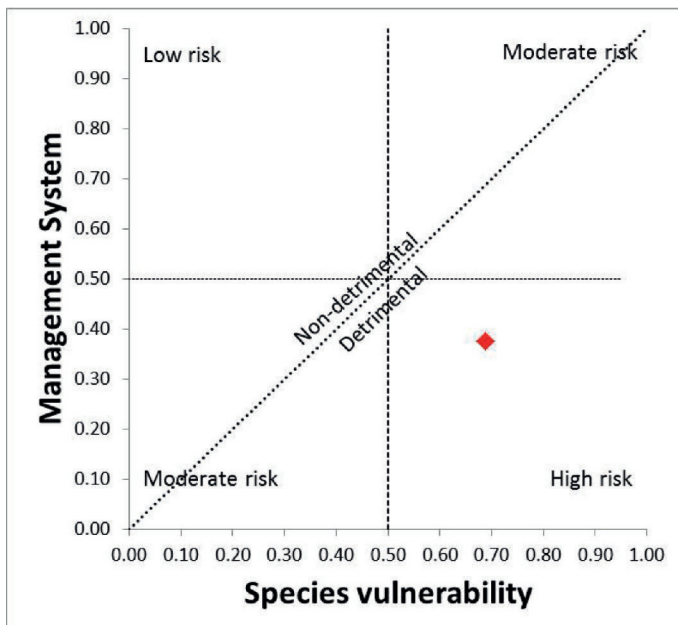


Figure 2. The risk of trading in *Encephalartos latifrons* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the

management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos latifrons* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive. Encephalartos latifrons plants cone infrequently and sex ratios in the wild are strongly skewed in favour of males in a ratio of 4:1.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos latifrons plants grow on rocky outcrops and hill slopes, usually amongst scrub bush vegetation but also in open grassland. The species also occurs along dry river courses.</i>		

National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Encephalartos latifrons is restricted to two major localities in the Eastern Cape.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>A total of 45 E. latifrons plants remain in the wild, approximately equally divided between the two major localities where the species is still extant. In addition to this, 17 confiscated E. latifrons plants have been replanted in the wild, 14 of which have survived and of which some have started to produce suckers and cones.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>It is uncertain how widespread or abundant E. latifrons was historically, but there are records of populations being scattered through the Albany and Bathurst districts of the Eastern Cape. Based on plants in collections and studies of matched photographs, the wild population of E. latifrons has declined by more than 80% over the past 100 years. The species continues to decline in the wild due to poaching for horticultural/ornamental purposes, and the illegal harvest of suckers, pollen, seed and cones from the remaining wild plants has been observed. Limited bark harvesting is also occurring. The re-introduced / replanted population is not increasing. Encephalartos latifrons is currently listed in the IUCN Red List category of Critically Endangered (A2acd;B2ab(ii,iii,v);C1+2a(i) (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Poaching to supply the horticultural trade and private collections is the predominant threat to this species. Encephalartos latifrons is an attractive and therefore very popular cycad amongst collectors and is commonly encountered in private cycad collections in the Eastern Cape and is also owned by at least one nursery in that province. There is one private collection in the Western Cape numbering 10 plants. Although inspectors rarely encounter this species in collections in Gauteng, quite a</i>		

number have been imported into the province. At least 10 *E. latifrons* plants are present in one garden in Gauteng and another 10 belong to a well-known cycad nursery in the province. It is almost impossible to obtain seedlings of *E. latifrons* and traders generally wait for plants to grow larger before selling them at a high price.

Harvest management

10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5

Poaching of wild plants over many years has had a severe impact on this species. A case in 2009 involving the illegal possession and transportation of 25 adult and 151 seedlings of *E. latifrons* was reported by the Eastern Cape Department of Economic Development, Environmental Affairs and Tourism. In general around 30-50% of cycads removed from the wild die within a few years.

11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5

Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). A permit was issued in 1997 and again in 2000 (both valid for one year) to allow for the artificial pollination of *E. latifrons* plants and subsequent collection of seed. A condition of the permit was that 50% of the resulting seedlings were to be planted back into the wild, however the landowner subsequently refused to honour this permit condition and only 12 plants were reintroduced. Other than this, reportedly no permits were ever issued for the wild harvest of *E. latifrons* plants or seed. Plants may however have been harvested from the wild prior to the enactment of provincial legislation. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.

12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5

A Biodiversity Management Plan (BMP) for *E. latifrons* was published in June 2011 in terms of section 43 of the National Environmental Management: Biodiversity Act (NEMBA) of 2004. A forum comprising of conservation officials and landowners has been established to implement this BMP. The aim of the BMP is to secure the existing wild plants and execute a restoration and monitoring programme. The effectiveness of the BMP has however been questioned as it is reliant on

<i>landowner willingness and is therefore unenforceable. The recovery of the species is nevertheless anticipated once the management and control of utilization is improved through implementation of the BMP.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
<i>In terms of the BMP, a percentage of seedlings grown from wild harvested seed must be set aside for restoration purposes while the remainder can be traded. This harvesting model is aimed at increasing the value of the wild plants, thereby incentivizing landowners to protect them from poaching. Intensive harvesting of seed from wild E. latifrons plants has been taking place since 2006 in anticipation of the BMP's publication, and approximately 3000 seedlings are now available. This harvesting has however been associated with mismanagement of wild plants (e.g. use of poisons and removal of cones), potentially negatively affecting recruitment, and has been conducted in the absence of the required permits. There has also been some disagreement regarding the percentage of seedlings that should be set aside for restoration purposes.</i>		
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>It is difficult to set a quota for the harvest of E. latifrons seed as it would be dependent upon the number of coning plants. Plants of this species cone infrequently and natural recruitment is absent. Further research is required to advise on a quota.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>In terms of the published BMP, harvesting of E. latifrons seed is proposed for privately owned land under the relevant TOPS permits. All seed harvesting currently taking place on private land is however illegal.</i>		

17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i></p> <p><i>There has been some delay in implementing the BMP for E. latifrons.</i></p>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<p><i>Although current monitoring of wild populations is unstructured and irregular, it should improve in accordance with the recently published BMP. The Eastern Cape Parks & Tourism Agency is currently monitoring the re-introduced / replanted population of E. latifrons.</i></p>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>Monitoring is difficult due to poor landowner cooperation and hence limited access to properties with E. latifrons plants.</i></p>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
<p><i>A new threat is the possible establishment of a lime mine in the area, which will result in an increase in traffic and opportunities for poaching. Encephalartos latifrons plants in close proximity to wind farms will also be more susceptible to poachers.</i></p>		

22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>In terms of the BMP, a percentage of the seedlings grown from wild harvested seed must be set aside for restoration purposes. The harvesting model is aimed at increasing the value of the wild plants, thereby incentivizing landowners to protect them from poaching. However, the BMP has yet to be effectively implemented. Around 20% of the seedlings grown from illegally harvested seed have died or are dying due to lack of care, and to date very few of the seedlings have been used for restoration.</i>		
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. <i>Encephalartos latifrons</i> is also listed on Schedule 3 (Endangered Flora) of the Eastern Cape Nature and Environmental Conservation Ordinance (No. 19 of 1974).</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. The Special Investigations unit within the Eastern Cape Department of Economic Development, Environmental Affairs and Tourism is reportedly constrained by a limited operational budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are</i>		

therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.

Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. Trade statistics (derived from the CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK) indicate an increasing trend ($R^2 = 0.21$; $P = 0.01$) in the international trade of E. latifrons since its inception in 1980. In total 1125 specimens (estimated total value of R5 850 000) had been exported from South Africa up until the end of 2011, the bulk of the trade (83%) having taken place after 1995 when the cycad protection measures in Gauteng were particularly weak. The domestic demand for E. latifrons seedlings is largely unmet and seedlings seem to be preferentially traded internationally. The average annual value of E. latifrons exports is estimated at around R276 000 ± R188 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

All known wild E. latifrons plants have been micro-chipped. However, micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort:	Very effective	1
How effective are any restrictions on	Effective	2
harvesting (such as age or size,	Ineffective	3

season or equipment) for preventing overuse?	None	4
	Uncertain	5
<i>It is premature to ascertain whether the restrictions introduced in terms of the BMP are effective. There has been some delay in implementing the BMP.</i>		

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos latifrons*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Biodiversity Management Plan for Albany cycad, *Encephalartos latifrons*. Notice 416 of 2011. Department of Environmental Affairs.
4. Population and habitat viability assessment for the Albany cycad (*Encephalartos latifrons*). Workshop report. 17 – 21 July 2006.
5. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos middelburgensis*

Reference Number: Enc_mid_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos middelburgensis (Middelburg cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. middelburgensis* and is based on the best available information, current as of May 2015.

Encephalartos middelburgensis has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. The species has a restricted and fragmented distribution, confined to the Witbank and Middelburg districts of Mpumalanga and marginally in Gauteng. It is estimated that the wild population of this species numbers no more than 350 plants in total, with a large population of between 100 and 200 plants occurring on a provincial nature reserve in Mpumalanga and approximately 150 plants occurring on private land. Resurveys of some of the plants originally recorded in 1983 indicate a loss of approximately 59% of the population, predominantly from poaching activities to supply the horticultural trade and private collections. During 2006 and 2007, illegal harvesting of suckers was particularly rife, while large consignments of illegally possessed *E. middelburgensis* plants were recovered in 2011.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. middelburgensis* plants or seed, but plants may have been harvested from the wild prior to the enactment of provincial legislation and seedlings were also available from the Hartebeesthoek nursery which operated between 1975 and 1998. In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing

illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year. The Mpumalanga Tourism and Parks Agency is primarily responsible for the *in situ* protection and management of *E. middelburgensis*, however 2011/2012 vacancy rates within this agency were reported to be 51% and 64% within the Wildlife Protection Services and Scientific Services divisions, respectively. Furthermore, 52% of the field ranger posts for the nature reserve on which *E. middelburgensis* occurs were reportedly vacant in 2011/2012. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. International trade in *E. middelburgensis* started in 1995 very soon after Gauteng relaxed its regulatory requirements for cycads and 1810 specimens (with an estimated total value of R3 620 000 and an average annual value of around R174 000 + R87 000) had been exported from South Africa by 2011, 63% of the total trade occurring between 1994 and 2001 when the cycad protection measures in Gauteng were particularly weak. No conservation benefit for the species or its habitat is derived from the trade in *E. middelburgensis*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. Many wild *E. middelburgensis* plants have nevertheless been micro-chipped. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

Outdated (20 years old) conservation plans exist for all Mpumalanga's cycad species. Although some of these plans are currently being implemented, parts have collapsed altogether and they are in dire need of major revision. None of these plans address harvest management. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated. While monitoring of *E. middelburgensis* does take place, continuation of monitoring programmes is uncertain due to the severe capacity constraints facing the Mpumalanga Tourism and Parks Agency.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. middelburgensis* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the ongoing population decline due to poaching activities, the outdated conservation plan, the capacity and budgetary constraints that prevent the Mpumalanga Tourism and Parks Agency from effectively managing and monitoring the species, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a

scenario that is unfavourable for the survival of *E. middelburgensis* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. middelburgensis* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. middelburgensis* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or
- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

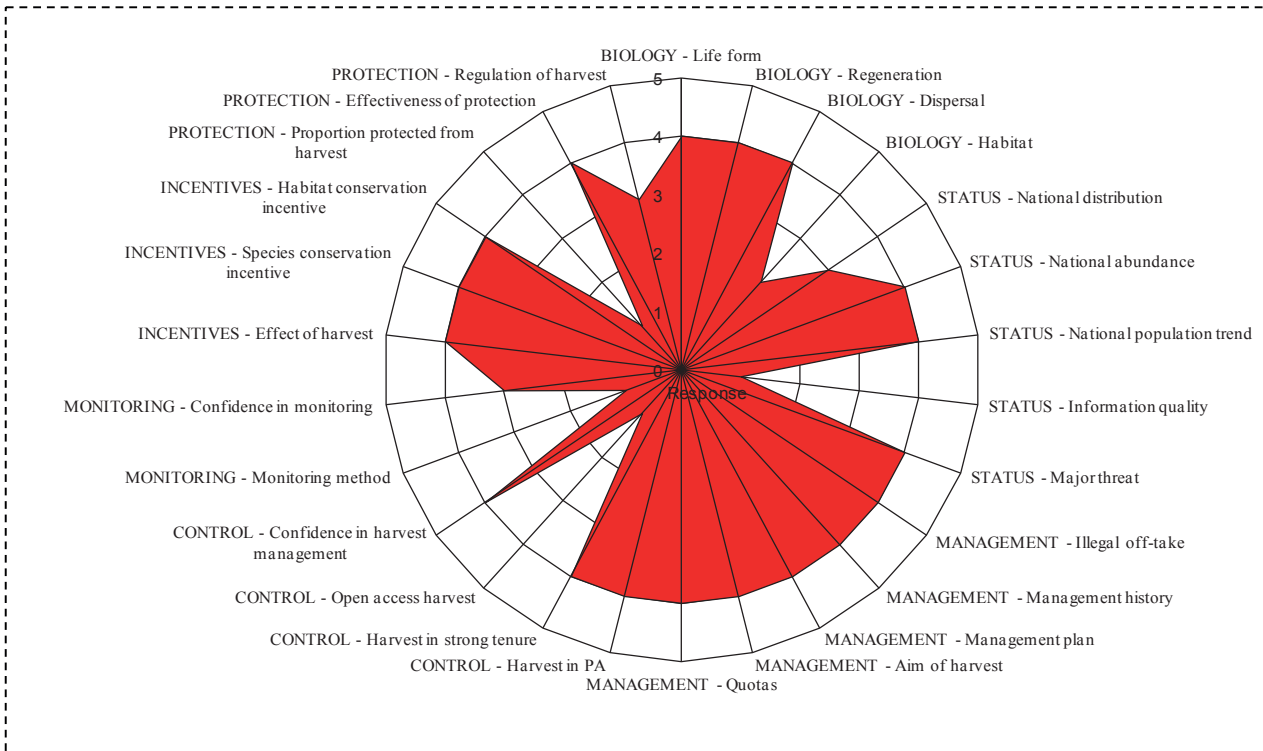


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos middelburgensis* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

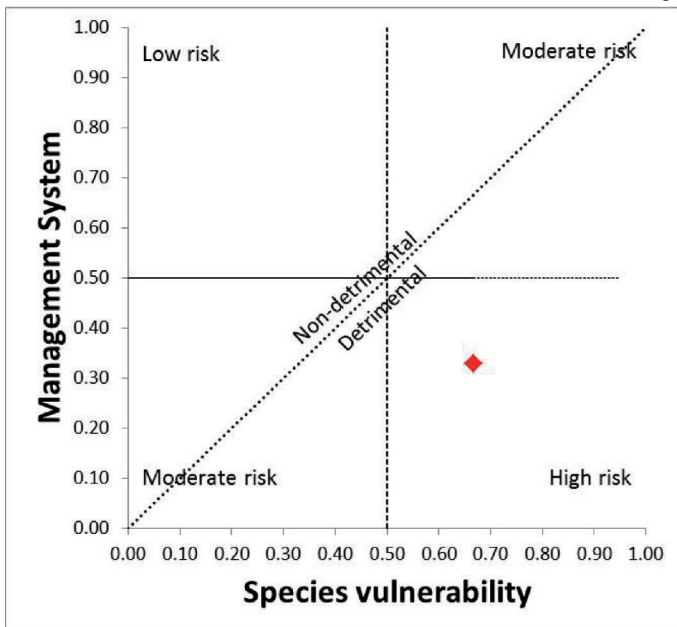


Figure 2. The risk of trading in *Encephalartos middelburgensis* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives)

and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos middelburgensis* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Encephalartos middelburgensis plants grow on sandstone outcrops in open grassland and sheltered valleys.</i>		
National status		
5. National distribution: How is the	Widespread, contiguous in country	1

species distributed nationally?	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>This species is confined to the Witbank and Middelburg districts in the upper catchment areas of the Olifants River in Mpumalanga and marginally in Gauteng.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>The largest known population of E. middelburgensis, numbering an estimated 100 to 200 plants, occurs on a provincial nature reserve in Mpumalanga. A ground survey of this species is currently being conducted on private land in Mpumalanga and 102 plants comprising altogether 218 stems have been counted at 13 localities. An additional 5 localities, where a total of 34 plants were recorded in 1983, are still to be surveyed. A total of 7 wild E. middelburgensis plants occur in Gauteng. It is estimated that the wild population of this species numbers no more than 350 plants in total.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>Current resurveys of some of the plants originally recorded through aerial and ground surveys in 1983 indicate a loss of approximately 59% of the population. Of the 9 plants recorded in Gauteng in 2004, 2 have since died, possibly from a disease, while the stems of the remaining plants have been damaged (small holes observed, assumed to be damage from porcupines). Encephalartos middelburgensis is currently listed in the IUCN Red List category of Critically Endangered (A2acd;C1 (IUCN version 3.1)).</i>		
8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
<i>A ground survey is currently underway for this species.</i>		
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Poaching of wild plants for horticultural/ornamental purposes is the major threat to the survival of this species. Encephalartos middelburgensis plants are quite expensive and in high demand as a garden plant. During 2006 and 2007, illegal harvesting of suckers from plants on private land was rife, with large plants often dying after being hacked away by poachers in an attempt to access the suckers.</i>		

<i>Entire large plants were also poached during this period and it is thought that the Avontuur form of this species is now extinct. There are also fewer plants remaining on the cycad hiking trail. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>Poaching of wild E. middelburgensis plants has had and continues to have a substantial impact on this species. In 2011, 20 illegally harvested E. middelburgensis plants were recovered and in another case 3 plants with stems in excess of 5 m were recovered. Fifteen 80 kg bags containing illegally harvested suckers were transported into Gauteng but never recovered. Twenty-four wild cones pollinated with ex situ pollen were also stolen in 2008 (although baboons had removed some cones prior to the poaching incident, as evidenced by a few new seedlings in the area).</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Reportedly no permits were ever issued for the wild harvest of E. middelburgensis plants or seed. Plants may however have been harvested from the wild as E. eugene-maraisii prior to the enactment of provincial legislation or obtained from the Hartebeesthoek nursery which operated in the former Transvaal province between 1975 and 1998. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>Outdated (20 years old) conservation plans do exist for all Mpumalanga's cycad species. These plans are all very similar, having being based on the same template, and address propagation and restoration but not harvest. Although components of the plans have collapsed altogether (e.g. ex situ propagation at the Hartebeesthoek nursery), some of the conservation plans are still being implemented. The plans are however in dire need of major revision, especially as the situation</i>		

pertaining to cycads has changed significantly since they were drafted. These revisions would however be hampered by a lack of human resources within Mpumalanga Tourism and Parks Agency. The 2011/2012 vacancy rate within the Scientific Services division for example was reportedly 64% and not a single botanist is currently employed in the province. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.

13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	None	1
	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and	High confidence	1
	Medium confidence	2

other factors allow effective implementation of management plan(s) and harvest controls?	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. The provincial nature reserve on which E. middelburgensis occurs has 31 field ranger posts, and only 15 of these were reportedly filled in 2011/2012, a vacancy rate of 52%. From 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i></p>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<p><i>The species was first surveyed through a combination of ground and aerial surveys between 1979 and 1983 and an aerial survey was undertaken in 2002. A ground survey is currently underway.</i></p>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The Mpumalanga Tourism and Parks Agency is currently experiencing severe budgetary constraints as well as a lack of human resources. In the 2011/2012 financial year, the Scientific Services division reportedly had a vacancy rate of 64%, and from 2011 to 2014 the Mpumalanga Tourism and Parks Agency had no operational budget.</i></p>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
<p><i>Baboons may pose an additional threat to the remaining plants as they frequently break off the cones. Diseased and damaged wild plants in Gauteng are also a concern.</i></p>		
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation	High	1
	Medium	2
	Low	3

benefit is derived from harvesting?	None	4
	Uncertain	5
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<p><i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. <i>Encephalartos middelburgensis</i> is also listed as Specially Protected in the Mpumalanga Nature Conservation Act (No. 10 of 1998) and the Gauteng Nature Conservation Ordinance (No. 12 of 1983). A large population of <i>E. middelburgensis</i> occurs in a state-controlled protected area.</i></p>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. The 2011/2012 vacancy rate within the Wildlife Protection Services of the Mpumalanga Tourism and Parks Agency was reported to be 51% and from 2011 to 2014 the Agency had no operational budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed (e.g. the provincial nature reserve on which <i>E. middelburgensis</i> occurs reportedly had a vacancy rate of 52% in 2011/2012). Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i></p> <p><i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31</i></p>		

March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (*Encephalartos latifrons* and *E. arenarius* were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province (the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international trade cannot be ruled out. International trade in *E. middelburgensis* started in 1995 very soon after Gauteng relaxed its regulatory requirements for cycads and 1810 specimens (estimated total value of R3 620 000) had been exported from South Africa by 2011 (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK), 63% of the total trade occurring between 1994 and 2001 when the cycad protection measures in Gauteng were particularly weak. The average annual value of *E. middelburgensis* exports is estimated at around R174 000 ± R87 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Altogether 60 wild *E. middelburgensis* plants in Mpumalanga and all of the wild *E. middelburgensis* plants in Gauteng have been micro-chipped. An additional 67 stems were micro-chipped during the current ground surveys. However, micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.

2. Donaldson, J.S. 2010. *Encephalartos middelburgensis*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Middelburg cycad resurvey project. Monthly progress report June 2012. Mpumalanga Tourism and Parks Agency / South African National Biodiversity Institute. (Confidential)
4. Flora Conservation Plan. *Encephalartos eugene-maraisii* (1984). Transvaal Provincial Administration. Nature Conservation Division. Compiled by S. P. Fourie (Head of Flora and Environmental Conservation Subsection).
5. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Encephalartos msinganus*

Reference Number: Enc_msi_May2015

Date: 28 May 2015

Issued by the Scientific Authority of South Africa

Summary of finding

Encephalartos msinganus (Msinga cycad) is included in Appendix I of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). As an Appendix I species, the export of specimens for commercial purposes is prohibited (Article III). However, specimens artificially propagated for commercial purposes are deemed to be specimens of species included in Appendix II (Article VII) of CITES and therefore may be traded. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *E. msinganus* and is based on the best available information, current as of May 2015.

Localized to a small area in the Msinga district of KwaZulu-Natal, *E. msinganus* has been listed as Critically Endangered by the IUCN (the International Union for Conservation of Nature), meaning that it is considered to be facing an extremely high risk of extinction in the wild. Poaching of wild plants to supply the horticultural trade and private collections (and possibly also for medicinal purposes) has had a severe impact on the species. It is estimated that there are less than 200 adult *E. msinganus* plants occurring in a few scattered supopulations. Field visits in 2011 confirmed that the plants are still targeted by poachers and all the cycads from one site had been reportedly removed.

The harvest of wild cycads has been prohibited throughout South Africa since February 2007. Prior to this, any harvesting, possession or conveyance of cycads required permits in terms of provincial legislation enacted in the 1970s. No permits were reportedly ever issued for the wild harvest of *E. msinganus* plants or seed since its description in 1996, except for the once-off collection of seed for research purposes in 2005 (although plants may have been harvested from the wild as the Msinga form of *E. natalensis* prior to the enactment of provincial legislation). In general there has been an exponential increase in *ex situ* cultivated cycads, which are regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (Act 10 of 2004) (NEMBA): Threatened or Protected Species (TOPS) Regulations. Enforcement of the strict protection measures afforded to cycads has been hampered by the human resource and budgetary constraints facing the provincial conservation authorities that are mandated to enforce provincial and national environmental legislation, and ongoing illegal harvest of wild cycads is a countrywide problem. In Gauteng for example, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 40% of posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year.

Past ineffective implementation of conservation legislation in the provinces of KwaZulu-Natal, the Eastern Cape and particularly Gauteng, where the requirements for cycad possession permits have not been consistently enforced, has facilitated the entry of illegally harvested cycads into the legal trade. Wild-sourced plants have been and continue to be legalized and incorporated into private collections and their use as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. The international trade in *E. msinganus* started in 1983 (then the Msinga form of *E. natalensis*) and by 2011 a total of 523 specimens (with an estimated total value of R418 000 and an average annual value of around R14 000 ± R11 000) had been exported from South Africa, the bulk of the trade (80%) having had occurred after 1994 when the cycad protection measures in Gauteng were particularly weak. No conservation benefit for the species or its habitat is derived from the trade *E. msinganus*.

Micro-chips inserted into wild plants have proven to be largely ineffective for establishing wild origins of cycads and have failed to deter poachers. The failure of the legal protection measures has been further exacerbated by prosecutors and magistrates who are not well informed about South Africa's cycad extinction crisis and the small fines issued and minimal jail sentences passed for cycad related offenses are ineffective deterrents.

In 2004 a management plan was developed for all cycads in KwaZulu-Natal, but it is now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will soon be published in terms of section 43 of the NEMBA, however it will be a while before its effectiveness can be evaluated.

The species' biology, which is characterized by a poor dispersal ability and slow growing long-lived adults that regenerate predominantly from seed, renders *E. msinganus* particularly vulnerable to overutilization. This, together with the species' extremely poor conservation status, the continued poaching pressure, the capacity and budgetary constraints that prevent Ezemvelo KwaZulu-Natal Wildlife from curbing poaching, the lack of conservation incentives and the continuing ineffective implementation of the existing strict protection measures for cycads on a national basis, presents a scenario that is unfavourable for the survival of *E. msinganus* in the wild and the species is at an extremely high risk of unsustainable utilization (Figure 1). In order to decrease the risk to this species and prevent its imminent extinction, a concerted effort to address all of these factors is essential.

Current trade in artificially propagated specimens of *E. msinganus* is detrimental (Figure 2). The Scientific Authority, in reviewing the factors presented above, is unable to state with any confidence that parental stock is cultivated (as defined in the CITES Resolution Conf. 11.11 (Rev. CoP15)) in all cases of export since (1) evidence of legal acquisition is dubious and (2) the data at hand suggest that some parental stock has been obtained in a manner detrimental to the wild population. It is therefore recommended that *E. msinganus* seedlings may only be exported if the nursery is registered in accordance with the CITES Resolution Conf. 9.19 (Rev. CoP15), and

- i. The seedlings are artificially propagated in accordance with the CITES Resolution Conf. 11.11 (Rev. CoP15), or

- ii. The seedlings have been grown from wild harvested seed in accordance with the conditions specified in the CITES Resolution Conf. 11.11 (Rev. CoP15) and within the framework of a Biodiversity Management Plan published in terms of section 43 of the NEMBA.

Each nursery applying for CITES registration must be audited in accordance with a decision tree to be developed by the Scientific Authority within 3 months of the publication of this NDF, and regular follow up audits must be conducted in order to monitor seedling propagation. All parental plants must

- i. Be accompanied by TOPS possession permits and affidavits from the owner stating that the plants are not of wild origin, and
- ii. Not exhibit any characteristics typical of wild origin. Guidelines for the identification of wild characteristics will be developed by the Scientific Authority within 3 months of the publication of this NDF.

The export of large artificially propagated specimens (with a stem diameter of more than 15 cm) is prohibited (Government Notice 371, May 2012).

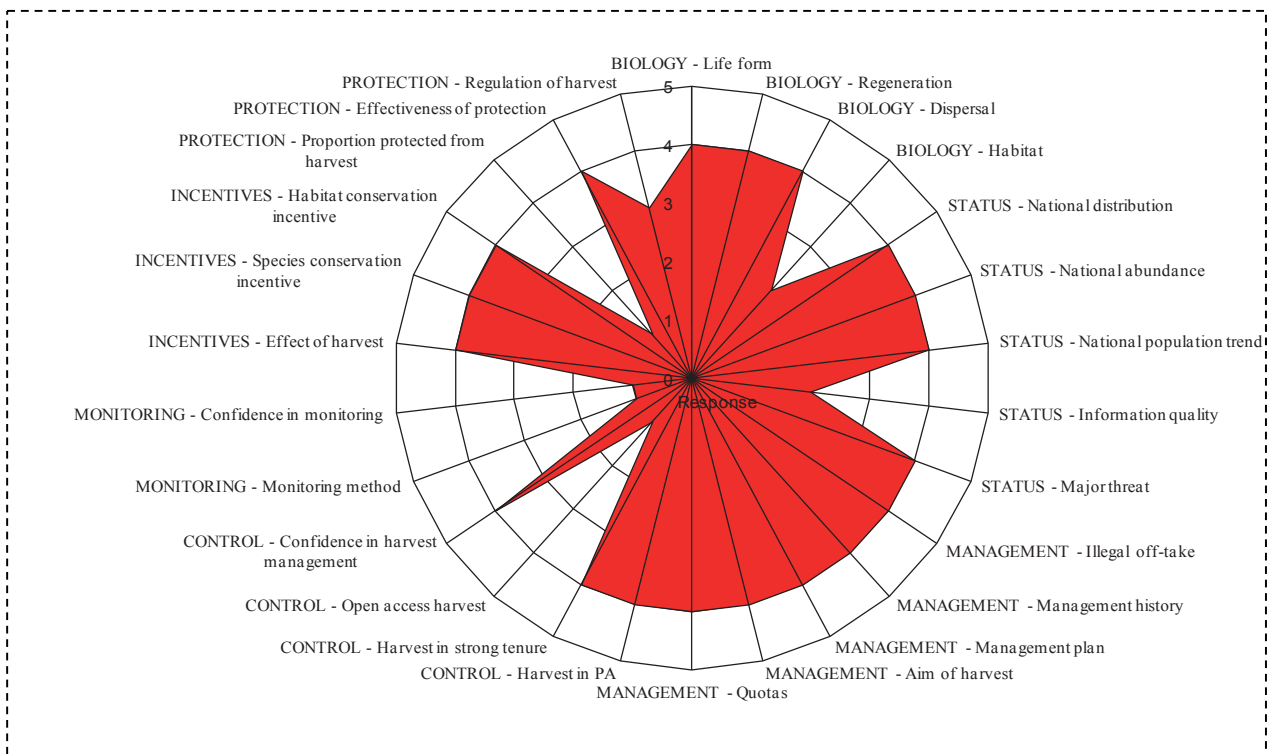


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Encephalartos msinganus* in accordance with the CITES NDF checklist. Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The extensive shaded area in the radar chart demonstrates an overall high risk to the species.

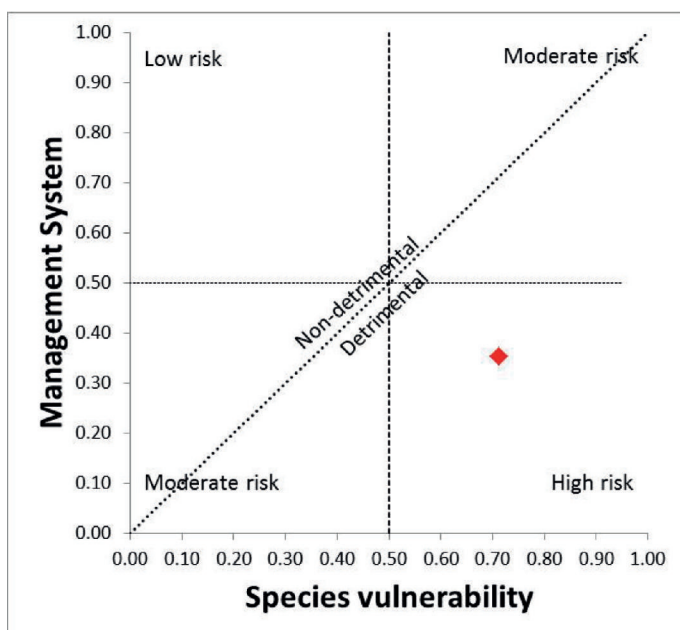


Figure 2. The risk of trading in *Encephalartos msinganus* as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at high risk and trade is detrimental.

Table 1. Non-detriment finding assessment for *Encephalartos msinganus* undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life form: What is the life form of the species?	Annual	1
	Biennial	2
	Perennials (herbs)	3
	Shrub and small trees (max. 12m.)	4
	Trees	5
2. Regeneration potential: What is the regenerative potential of the species concerned?	Fast vegetatively	1
	Slow vegetatively	2
	Fast from seeds	3
	Slow or irregular from seeds or spores	4
	Uncertain	5
<p><i>The cycad life history is characterized by long-lived adults that regenerate predominantly from seed. Plants do produce suckers, but they are relatively unimportant for the regeneration of cycad populations, with 95% of species regenerating from seed only. Suckers remaining behind after the main plant has been harvested do sometimes survive.</i></p>		

3. Dispersal efficiency: How efficient is the species' dispersal mechanism?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>The dispersal abilities of cycads are not well understood but are generally regarded as poor. Even if seed were dispersed to new sites, the concomitant dispersal of species-specific pollinators would be highly unlikely thus rendering population recovery after local extirpation impossible. Colonization of new sites is improbable due to a number of reproductive limitations, such as limited seed production or non-viable seeds, irregular coning and male biases in populations. There has been no observed change / expansion in the distribution of any cycad species.</i>		
4. Habitat: What is the habitat preference of the species?	Disturbed open	1
	Undisturbed open	2
	Pioneer	3
	Disturbed forest	4
	Climax	5
<i>Plants of E. msinganus grow in short grassland on steep north-facing slopes, usually amongst boulders in scrub clumps.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Encephalartos msinganus occurs in a small area in the Msinga district of KwaZulu-Natal.</i>		
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Less than 200 adults were successfully located during an aerial survey in 2012, while a number of adults were found at houses and at a school nearby. Encephalartos msinganus is currently listed in the IUCN Red List category of Critically Endangered (B1ab(iii,v)+2ab(iii,v);C1+2a(ii) (IUCN version 3.1)).</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>It is estimated that less than 200 E. msinganus plants occur in the wild in a small number of scattered subpopulations. Field visits in 2011 confirmed that the plants are targeted by poachers. (A recently removed adult and a few juveniles all with badly damaged roots were found at a house nearby the wild population.)</i>		

8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse/</u> habitat loss and alteration/ <u>invasive species/</u> other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<i>Despite this species growing in very high mountains that are practically inaccessible, poaching of wild plants for horticultural/ornamental purposes (and possibly also for medicinal purposes) has had a severe impact on E. msinganus. Since ex situ plants come infrequently and the original wild population was small, this species is uncommon ex situ. Encephalartos msinganus plants are sometimes encountered in garden collections (particularly large ones) and in nurseries, but selling prices are generally low. Ezemvelo KwaZulu-Natal Wildlife has received one registration application for a nursery that has six adult E. msinganus plants. In general around 30-50% of cycads removed from the wild die within a few years.</i>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<i>Poaching of wild plants to supply the horticultural trade and private collections has had a detrimental impact on E. msinganus. The chief of the communal area confirmed that all the cycads had been removed from an area in the vicinity.</i>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<i>Illegal harvesting of wild cycads has been occurring in South Africa for the past 40 years, becoming more prevalent from the 1990s onwards in spite of various legislative interventions. Since the 1970s all cycad species have been protected in provincial nature conservation ordinances, with the harvest of any plants or seed requiring a permit (in addition to other activities such as possessing, conveying, selling, etc.). Apart from a permit issued to collect seed for research purposes in 2005, reportedly no permits have been issued for the wild harvest of E. msinganus plants or seed. Plants may however have been harvested from the wild as the Msinga form of E. natalensis prior to the enactment of provincial legislation. In general there has been an exponential increase in ex situ cultivated cycads, which are currently regulated by provincial conservation ordinances/Acts and the National Environmental Management: Biodiversity Act (NEMBA): Threatened or Protected Species Regulations (TOPS). In February 2007 the harvest of cycads from the wild was prohibited nationally in terms of Regulation 25 of the Threatened or Protected Species Regulations (subsequently replaced by Government Notice 371 in May 2012). Poaching is nevertheless ongoing.</i>		
<i>Conservation measures to protect E. msinganus included the removal (air lifting) of 31 adult plants</i>		

<i>from the Msinga area to a nursery in Eshowe as part of an ex situ conservation programme. At the time it was believed that this was the only way to protect these plants. This 'rescue' was conducted by the KwaZulu-Natal Nature Conservation Department.</i>		
12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>In 2004 a management plan was developed for all cycads in KwaZulu-Natal with a poster that was disseminated to District Conservation Officers and to some police stations and prosecutors. The management plan is however now obsolete. A Biodiversity Management Plan for the Critically Endangered and Endangered cycads will be published in 2015 in terms of section 43 of the NEMBA.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There are no quotas for any of South Africa's cycad species – all harvesting is illegal.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>Harvesting of wild cycads is illegal throughout South Africa.</i>		
17. Harvesting in areas with open	None	1

access: What percentage of the legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	Low	2
	Medium	3
	High	4
	Uncertain	5
<i>The harvest of wild cycads is prohibited throughout South Africa.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There is currently no management plan for E. msinganus. The provincial conservation authorities that are mandated to protect wild cycad populations from illegal harvesting are currently experiencing capacity constraints relating to shortages of human resources and budget. Frequent arrests and confiscations are indicative that the system intended to protect wild cycad populations is inadequate. Most cycad populations occur outside of state-controlled protected areas, but even those within protected areas are not secure from poaching activities.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>Regular aerial surveys are conducted for this species.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4

	Uncertain	5
Protection from harvest		
24. Proportion strictly protected:	>15%	1
What percentage of the species' natural range or population is legally excluded from harvest?	5-15%	2
	<5%	3
	None	4
	Uncertain	5
	<p><i>Government Notice 371 published in May 2012 in terms of section 57(2) of the National Environmental Management: Biodiversity Act (NEMBA) of 2004 prohibits the harvest of wild cycads throughout South Africa, unless required for conservation or enforcement purposes. Encephalartos msinganus is also listed as Specially Protected in the KwaZulu-Natal Nature Conservation Ordinance (No. 15 of 1974).</i></p>	
25. Effectiveness of strict protection measures:	High confidence	1
Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
	<p><i>The cycad trade is very complex and in order to monitor all the legal and illegal activities related to this trade, substantial resources would be required. Although providing for a solid legal framework, the Threatened or Protected Species Regulations have been difficult to implement by resource constrained provinces. The provincial conservation authorities that are mandated to enforce the strict protection measures pertaining to cycads are currently experiencing capacity constraints relating to shortages of human resources and budget. In Gauteng, where the demand for illegally harvested wild cycads is ultimately centered, reportedly 4 out of 10 posts within the Biodiversity Enforcement division of the Gauteng Department of Agriculture and Rural Development were vacant in the 2011/2012 financial year, a vacancy rate of 40%. Even cycads within state-controlled protected areas are not secure from poaching activities, with protected areas often understaffed. Enforcement of the legislation is further weakened by inexperienced officials without the necessary skills to identify the different species. (Identification of E. msinganus is particularly problematic.) Prosecutors and magistrates are infrequently exposed to cycad related cases and are therefore not well informed about South Africa's cycad extinction crisis. Consequently cases relating to cycads seldom result in large fines and/or jail sentences.</i></p> <p><i>Provincial conservation legislation pertaining to cycads has been ineffectively implemented in the past in both Gauteng and KwaZulu-Natal. Neither province consistently enforced the requirements for possession permits, although all adult ("size-determined") cycads exported from KwaZulu-Natal had to be micro-chipped. In Gauteng, where most cycad enthusiasts live (50% of the Cycad Society's members reside in Gauteng with between 10% and 12% of members residing in each of the Western Cape, KwaZulu-Natal and Mpumalanga provinces), possession permits were not required for cycads between 1994 and 2001, with the regulatory authority only requiring the presentation of documentary proof of legal possession. Similarly, the legal requirement for cycad possession permits was only strictly enforced in the Eastern Cape from 1 April 2004 and property owners in possession of unpermitted cycads after this date were instead issued with cycad site registration letters. Up until 31 March 2004, people in possession of unpermitted cycads were given amnesty based on submission of affidavits and documentary proof of legal origin. (Encephalartos latifrons and E. arenarius were excluded from this amnesty.) Conservation legislation in three out of the four provinces that were designated out of the former Transvaal province is weak, providing for adequate control over the possession and movement of only those cycad species indigenous to the former Transvaal province</i></p>	

(the exception being Limpopo where all South African cycads are Specially Protected). This ineffective implementation of legislation has allowed the entry of illegally harvested plants into the legal trade. In the past, a number of syndicates involved in poaching activities moved illegally harvested cycads into Gauteng where possession permits were not required, laundering them into the trade with the required documentary proof. Such operations apparently continue until today due to the delayed implementation of new national legislation (Threatened or Protected Species Regulations).

Due to the impossibility of tracing the origin of these cycads and/or proving wild origin to the satisfaction of a court (proof of wild origin over and above a reasonable suspicion is required), these plants have been and continue to be legalized through the issuing of possession permits and are subsequently incorporated into private collections. The use of these plants as parental stock for the propagation of seedlings for both the domestic and international cycad trade cannot be ruled out. The international trade in *E. msinganus* started in 1983 (then the *Msinga* form of *E. natalensis*) and by 2011 a total of 523 specimens (estimated total value of R418 000) had been exported from South Africa (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK), the bulk of the trade (80%) having had occurred after 1995 when the cycad protection measures in Gauteng were particularly weak. The trade in this species peaked in 1998 and 1999 (when 60 and 88 specimens were exported, respectively) then decreased steadily ($R^2 = 0.37$; $P < 0.04$), perhaps reflecting a decline in the demand for *E. msinganus* commensurate with the very low prices currently observed. The average annual value of *E. msinganus* exports is estimated at around R14 000 \pm R11 000 (assuming exports of 3-year old seedlings at 2012-2013 prices).

Micro-chips inserted into wild cycads as a measure of proving wild origin are often destroyed or removed and it has been suggested that they are even sometimes replaced with legal micro-chips previously inserted into legally owned ex situ cycads, effectively laundering plants of wild origin. It has also been suggested that legal micro-chips are inserted into un-chipped wild plants to prove legal ownership. Suckers are seldom micro-chipped and are therefore particularly vulnerable to poaching.

26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5

Harvesting of wild cycads is prohibited throughout South Africa, yet this restriction remains ineffective.

Supporting documents

1. The IUCN Species Survival Commission Guidance for CITES Scientific Authorities. Checklist to assist in making non-detriment findings for Appendix II exports. Occasional Paper of the IUCN Species Survival Commission No. 27 (2002). A. Rosser and M. Haywood.
2. Donaldson, J.S. 2010. *Encephalartos msinganus*. In: IUCN 2012. IUCN Red List of Threatened Species. Version 2012.1. <www.iucnredlist.org>. Downloaded on 30 August 2012.
3. Hugo, C. 2012. Identification of indigenous cycads of South Africa. p. 142. 4 images. Totiusdal. South Africa.

Non-detriment finding for *Hippopotamus amphibius* (Hippopotamus)

Reference Number: Hip_amp_Jul2015

Date: 23 July 2015

Issued by the Scientific Authority of South Africa

Summary of findings

Hippopotamus amphibius (hippopotamus) is included in Appendix II of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES). In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) assessment for the hippopotamus and is based on the best available information, current as of June 2014.

A long-lived species with a low reproductive rate compared to some other larger mammals, hippos are generally tolerant of human activities and are regarded as a pest species outside of protected areas, particularly in communal lands. Although restricted to areas in proximity to water, individuals are able to disperse efficiently between water sources. The species is reasonably adaptable to different environments and hippos are known to forage in agricultural lands.

The national status of *Hippopotamus amphibius* favours sustainable utilization. The species is regionally listed in the IUCN Red List category of Least Concern and there are currently no major threats facing the species. Although the regional population is fragmented, the species is widespread in the country, occurring in all provinces but most numerous in Limpopo, Mpumalanga, North West Province and KwaZulu-Natal. Hippos are regarded as common in South Africa, with recent quantitative data indicating that the regional population is comprised of more than 6300 individuals. The national population is increasing, especially within the Kruger National Park but also within protected areas in North West Province. Animals emigrating out of these protected areas have resulted in a significant increase in hippo numbers in surrounding lands where they are often regarded as pests. The removal of problem hippos is however offset by the introduction of hippos onto private land in Gauteng, North West Province and KwaZulu-Natal.

The weakest area of the non-detriment finding for *Hippopotamus amphibius* relates to the absence of a system of quotas for regulating harvest (Figure 1). However, the legal harvest of hippos, which includes harvesting for hunting trophies and killing of damage causing animals, is minimal, with population management and control being the predominant aim of the harvest. Legal harvest takes place predominantly in protected areas and on commercial farms, the latter characterized by strong local control over resource use. Illegal off-take is of minor concern. The species is furthermore well managed and there are sufficient controls in place to ensure sustainability in the event of an increase in harvesting pressure or a proposal to harvest large numbers of individuals from the population.

Mpumalanga has a policy for handling damage causing animals and there is a framework for regulating damage causing animals in KwaZulu-Natal. Hunting on game farms in all provinces is regulated by permitting systems and culling of hippos on protected areas is undertaken in accordance with the goals and objectives of approved local management plans. Monitoring of the effects of harvest is based on direct population estimates. There are budgetary, manpower and logistical constraints for the implementation of management plans and monitoring programmes. Most culling operations for hippos are nevertheless effectively implemented and regular monitoring of hippo numbers does take place.

Compared to other large animals such as the white rhino, the conservation of this species has not benefited significantly from the hunting and game farming industries, and likewise there is a low benefit with respect to habitat conservation. This lack of conservation incentives, however, does not affect the overall low risk outcome of the non-detriment finding (Figures 1 and 2). The effective protection of the species from harvest also contributes to the low risk that international trade poses to the species (Figure 2). Around 75% of the South African hippo population is legally excluded from harvest, which is regarded as effective since a very small percentage of the hippo population is lost to poaching.

The non-detriment finding undertaken for *Hippopotamus amphibius* (hippopotamus) demonstrates that international trade poses a low risk to this species in South Africa. The species is well managed and the Scientific Authority does not have any current concerns relating to the harvest of the species.

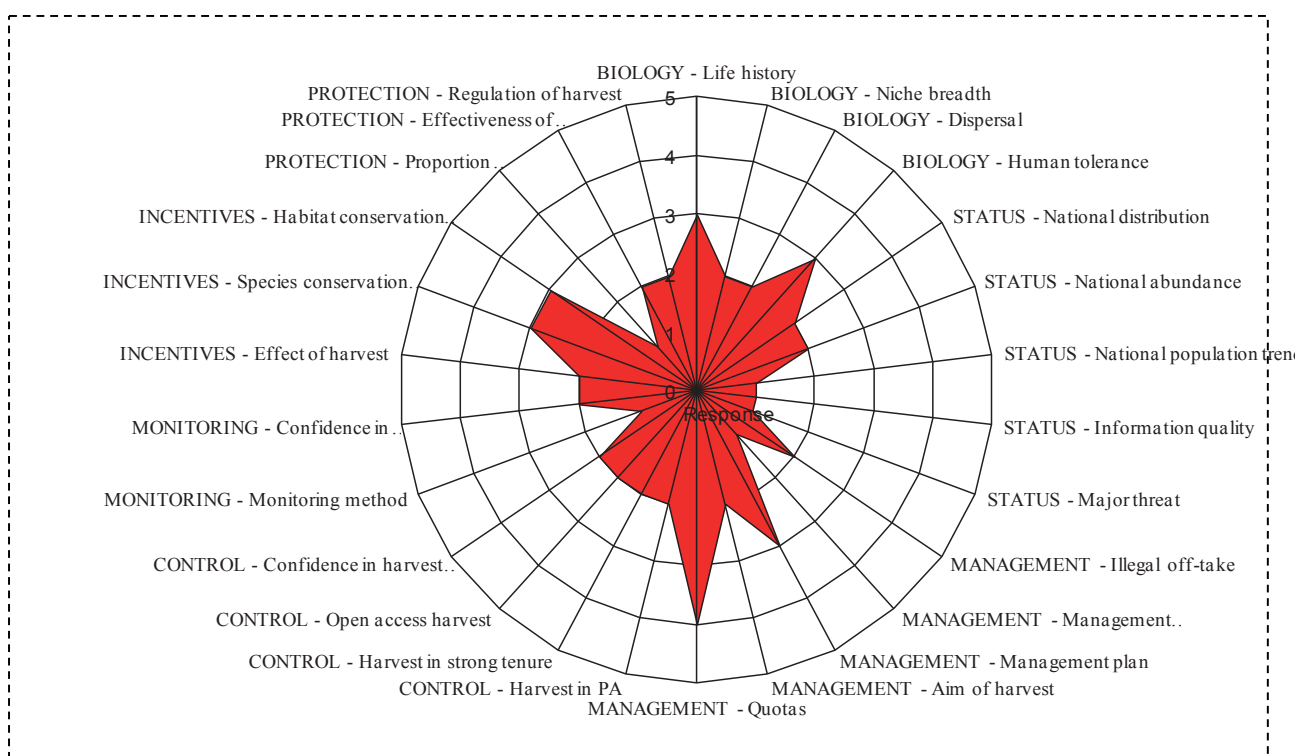


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Hippopotamus amphibius* (hippopotamus) in accordance with the CITES NDF checklist. Explanations

of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The limited shaded area in the radar chart demonstrates an overall low risk to the species.

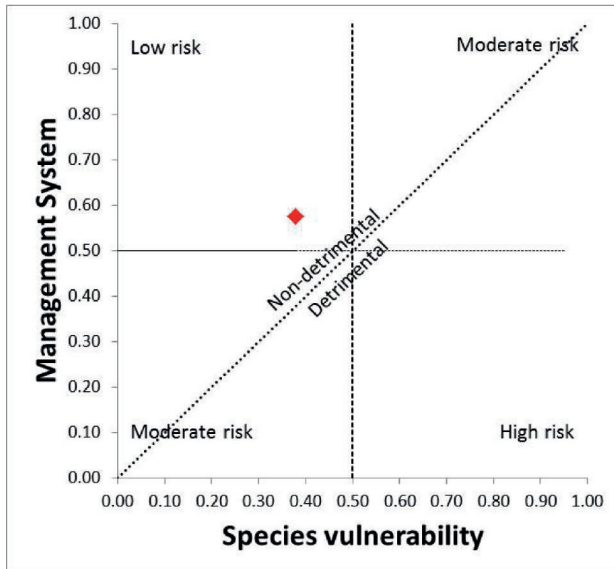


Figure 2: The risk of trading in *Hippopotamus amphibius* (hippopotamus) as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at low risk and trade is not detrimental.

Table 1. Non-detriment finding assessment for *Hippopotamus amphibius* (hippopotamus) undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life history: What is the species' life history?	High reproductive rate, long-lived	1
	High reproductive rate, short-lived	2
	Low reproductive rate, long-lived	3
	Low reproductive rate, short-lived	4
	Uncertain	5
<i>Individuals reproduce on average every 2 years and every 18 months at optimum levels. The intrinsic rate of increase of populations ranges between 8% and 10%. This is a K-selected species that has a low reproductive rate compared to some other larger mammals.</i>		
2. Ecological adaptability: To what extent is the species adaptable (habitat, diet, environmental tolerance etc.)?	Extreme generalist	1
	Generalist	2
	Specialist	3
	Extreme specialist	4
	Uncertain	5

<i>The species is reasonably adaptable to different environments, tolerating semi-arid to very mesic conditions. Individuals do not appear to be susceptible to poor water quality, for example in Gauteng they are able to survive in water with a pH of less than 4. Although hippos graze on both long and short grass, they are regarded as specialist grazers and are also habitat engineers in that they create grazing lawns. When individuals escape from protected areas, their feeding behaviour alters and they have been found foraging in lucerne and maize fields. In the Sabie area, hippos are known to occasionally feed on banana trees. As hippos are restricted to areas in proximity of water, they cannot be considered extreme generalists.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism at key life stages?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>Individuals move up and down rivers in times of drought and are able to move easily between water sources. They may walk up to 35 km during their nocturnal foraging activities. General fences do not hinder the movement of hippos.</i>		
4. Interaction with humans: Is the species tolerant to human activity other than harvest?	No interaction	1
	Pest / Commensal	2
	Tolerant	3
	Sensitive	4
	Uncertain	5
<i>Individuals that have escaped from protected areas are regarded as pests, particularly in agricultural lands. Citrus orchards provide good grazing habitat and some citrus farmers in the Lowveld actually regard hippos on their land as an extra security measure and have consequently adapted their farming practices. Crops are protected with electric fencing, but farmers only protect sugar cane until it reaches a height of 1.5 m (hippos do not venture into sugar cane taller than this). In communal areas hippos are considered a pest or problem animal, particularly in the Maputaland area of KwaZulu-Natal where hippos are regularly shot or snared. Hippos are also regarded as problem animals in the communal areas of North West Province in land bordering on dams and rivers. Although regarded as a pest by humans, hippos are generally tolerant of human activities.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
<i>Historically the species occurred in all provinces with available water. Today there are numerous populations in Limpopo, Mpumalanga and North West Province. In KwaZulu-Natal hippos occur at eight localities within protected areas and in 18 localities on communal and private land. In the Free State, there is one small population in a protected area and two small populations on private land. There is one small population on private land in the Northern Cape and in the Western Cape hippos occur in about four localities within protected areas, both private and state owned. In Gauteng, hippos occur naturally in the Dinokeng area but have also been introduced into the Cradle of Humankind World Heritage Site.</i>		
6. National abundance: What is the	Very abundant	1

abundance nationally?	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<p><i>There are between 3000 and 4000 hippos in the Kruger National Park. In Mpumalanga, in open rivers outside the Kruger National Park, approximately 413 hippos were counted during a 2009 survey. According to a 2003 survey in Limpopo, approximately 295 hippos occur in that province. There are approximately 1650 hippos in KwaZulu-Natal, both within protected areas and on private land (2009 figures), while approximately 300 hippos occur both on private land and within protected areas in North West Province. The hippo population in the Eastern Cape is around 100 (about 30 occurring on state land and 70 occurring on private land in the Cacadu Region). There are no more than 20 hippos in each of the provinces of Gauteng, Western Cape and Free State and only 3 individuals in the Northern Cape. Thus altogether the total hippo population of South Africa is estimated at 6300 individuals. Hippos are not expected to be present in the arid areas of the country (approximately two thirds of South Africa), except perhaps in rivers in low numbers. As the figures provided for the Kruger National Park are results of river counts only, there may be many more hippos that weren't counted, while in Mpumalanga and Limpopo many individuals on private land are not counted. The total figure of 6300 is therefore conservative and may be regarded as an underestimate.</i></p>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<p><i>In Mpumalanga, in the permanently flowing rivers outside of the Kruger National Park, the numbers of hippo are increasing significantly, sometimes at a rate of between 25% and 30% per annum as animals emigrate out of the park. Historically, hippo numbers were managed in the Kruger National Park but are now increasing in the absence of any population control. For example, in 1988 there were approximately 370 hippos in the Crocodile River, which almost doubled to 700 in 2002 and again to 1133 in 2009. In the Sabie River, the hippo population was maintained at between 600 and 900 individuals, but had increased to 1138 by 2009. Numbers of hippo in the Olifants River are reasonably stable at between 800 and 900 individuals. A population of 1119 hippo now occurs in the Letaba River, where between 700 and 800 hippos occurred in the past. Stable populations of approximately 200 animals occur in the seasonal rivers (Limpopo and Levuvhu). In Limpopo province, numbers of hippo in the Limpopo River and Olifants River outside of Kruger have also increased from 50 to 100 and from 150 in 1994 to 186 in 2003, respectively. These figures may be underestimates and concern has been expressed for the growing problem of human wildlife conflict. In the North West Province, hippo numbers are definitely increasing significantly due to a range expansion of the species into areas where rainfall is favourable and habitat suitable. Private landowners are introducing hippos into dams. Populations within protected areas such as Madikwe and Pilanesberg have become too large, resulting in animals emigrating out of these areas. Hippos in the Crocodile River migrate between the North West and Limpopo provinces. In KwaZulu-Natal, populations have remained stable on protected areas since 2004, however the numbers of hippo on private land are increasing as farmers introduce hippos into rivers and dams. There is however a definite decline in communal areas where animals are poached, but overall the population in KwaZulu-Natal has remained stable at around 1600 individuals over the last 6 years. In the Eastern Cape, the small hippo population in the Great Fish River Nature Reserve is counted from a helicopter every third year and in 2006 14 hippos were counted and in 2009 22 hippos were counted. In Gauteng, there is growing public interest in introducing hippo onto private land for aesthetic reasons.</i></p>		

8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: overuse/ habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5
<p><i>In KwaZulu-Natal, habitat for this species is being lost as a result of human population growth and expansion, particularly in the Maputaland area, but this is not considered a major threat currently as the species is adequately protected within protected areas. Any losses of hippo in communal areas are offset by the introduction of hippo onto private land and game farms. Another minor threat to the species is the poaching of individuals for their fat (utilized as muthi) and hides (for making sjamboks). In North West Province, hippos now occur in areas where they didn't before. Due to the cessation of culling in protected areas, hippos have emigrated from protected areas into crop lands where food is abundant. Similarly in Mpumalanga, habitat for this species is being lost as a result of human population growth and expansion. Hippos are however moving out of protected areas into areas with a variety of agricultural activities, including citrus orchards where irrigation and mowing of grass has resulted in attractive grazing lawns. Furthermore, seasonal rivers have become permanent, further favouring range expansion of this species. There are thus no major threats facing the species in Mpumalanga or the North West Province.</i></p>		
Harvest management		
10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<p><i>Incidences of illegal off-take have not been noted in the North West, Gauteng, Western Cape, Free State or Northern Cape provinces. Low levels of illegal off-take however do occur in Mpumalanga, the Eastern Cape, and KwaZulu-Natal and illegal off-take in KwaZulu-Natal is on the increase.</i></p>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<p><i>There is a formal framework for regulating the control of damage causing animals in KwaZulu-Natal, where incidences are investigated first to determine if the problem animal can be contained. Mpumalanga manages hippo complaints according to a policy on the handling of damage causing animals. Since management of problem / damage causing hippos is based on complaints received, it is largely reactive. In the Eastern Cape, the culling of damage causing hippos is regulated through a permitting system. In North West Province, KwaZulu-Natal and Limpopo, hippos are hunted on game farms under the control of a permitting system. Generally hippos are culled in protected areas in accordance with the goals contained in ecological management plans.</i></p>		

12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5
<i>There are approved local management plans for protected areas and also some local management plans for private land outside of protected areas.</i>		
13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5
14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5
<i>There is no hunting quota for this species. Within protected areas, hippos are harvested / culled in order to meet the biological objectives of those protected areas.</i>		
Control of harvest		
15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>The legal harvest of hippos is minimal and includes harvesting for hunting trophies, harvesting for biological control and killing of damage causing animals. In KwaZulu-Natal, legal harvest occurs predominantly in protected areas, with some hunting of hippos on game ranches.</i>		
16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>In Mpumalanga, all of the legal harvest occurs outside of protected areas (including killing of damage causing animals), but there is local control over resource use on private land. The killing of damage causing hippos takes place on commercial farms and on communal lands.</i>		
17. Harvesting in areas with open access: What percentage of the	None	1
	Low	2

legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	Medium	3
	High	4
	Uncertain	5
<i>The killing of damage causing hippos takes place on commercial farms and on communal lands.</i>		
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There are budgetary, manpower and logistical constraints for the implementation of management plans in all provinces, although most culling operations for hippos are nevertheless effectively implemented. Targets for population control off-takes are often not met because hippos are difficult to remove, particularly as these operations are not well funded.</i>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<i>Monitoring in the provinces with the largest hippo populations (i.e. KwaZulu-Natal, Mpumalanga and Limpopo) involves direct population estimates.</i>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>There are budgetary, manpower and logistical constraints in all provinces, but generally regular monitoring of hippo numbers takes place.</i>		
Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>There has not been a large uptake of this species onto game farms. Due to the nature of boundaries, rivers are often fenced out of private land and hippos are consequently introduced into dams instead of rivers, thus providing limited opportunities for conservation of the species. Compared to other large animals such as the white rhino, the conservation of this species has not benefited significantly</i>		

<i>from the hunting and game farming industries.</i>		
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<i>There is a low benefit for habitat conservation. Stocking hippo on game farms is often regarded as an "add on" and ideal hippo habitat is limited.</i>		
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5
<i>The population of +3500 hippo in Kruger National Park is strictly protected, representing almost 60% of the South African hippo population. Seventy-five percent of the hippo population in KwaZulu-Natal alone occurs within protected areas. It is therefore fair to say that about 75% of the South African hippo population is legally excluded from harvest.</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>A very small percentage of the hippo population is lost to poaching.</i>		
26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5
<i>The off-take target established for the ecological management of protected areas in terms of the goals and objectives of management plans is the main mechanism for restricting harvest. Management of damage causing animals outside of protected areas is effective, particularly in KwaZulu-Natal.</i>		

List of participants

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7. Theresa Frantz – Director: Applied Biodiversity Research (South African National Biodiversity Institute)
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17. Elsabe Swart – Assistant Director (Northern Cape Department of Environment and Nature Conservation)
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Non-detriment finding for *Ceratotherium simum simum* (white rhinoceros)

Reference Number: Cer_sim_May2015

Date: 29 May 2015

Issued by the Scientific Authority of South Africa

Summary of findings

The South African population of *Ceratotherium simum simum* (white rhinoceros) is included in Appendix II of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) for the exclusive purpose of allowing international trade in live animals to appropriate and acceptable destinations and the export of hunting trophies. In terms of Article IV of the Convention, an export permit shall only be granted for an Appendix II species when a Scientific Authority of the State of export has advised that such export will not be detrimental to the survival of that species. This document details the undertaking of a non-detriment finding (NDF) for *C. simum simum* and is based on the best available information, current as of December 2014.

The white rhinoceros is a long-lived species with a low reproductive rate. It is relatively adaptable, being able to survive in a variety of grassland and savannah habitats. Individuals disperse rapidly into new areas and in unfenced areas can move over very large distances. The species is conservation dependent, occurring solely in protected areas and on game farms, but it is tolerant to human activity.

The distribution of the white rhinoceros in South Africa is fragmented. However, it is widespread and common in the country, and in 2012 the national population was estimated to number approximately 18,910 individuals. Analyses undertaken by the IUCN African Rhino Specialist Group (AfRSG) indicate that the national average growth rate of the white rhino population was just over 7% from 1991 to 2012. A number of key events apparently contributed to the exponential increase in the national population of white rhino since the late 1800s when no more than 50 white rhinos survived in the iMfolozi Game Reserve in Natal, such as the advent of chemical capture drugs, translocations and policy changes both locally and internationally that created economic incentives for the private ownership, sustainable use (e.g. trophy hunting) and protection of rhinos. However due to poaching, the national white rhino population is currently growing at about 1-2% per annum. There is some uncertainty about the future national population trend since population models indicate that the white rhino population in the Kruger National Park, which represents just over 50% of the national herd, may be expected to fluctuate non-directionally between 8,000 and 10,000 animals.

The continuing loss of rhinos to poaching for their horn is currently the major threat to South Africa's white rhino population. In 2014, approximately 5.7% of the national population was poached, effectively representing 70% of the potential annual population increment. The rate of poaching has increased exponentially nationwide from 0.03 rhinos per day prior to 2007 to 3.32 in 2014. Nevertheless, the off-take from poaching is still at levels that are sustainable (total births still exceed

total deaths) and are not yet causing a population decline at the national scale. But if the rate of poaching continues to increase at the average of 35% year on year, there will be a detectable negative national population growth rate by 2016 if the underlying biological growth remains below 7% per year. The Kruger National Park has started to show a sign of a decline in the white rhino population size.

Due to rising security costs associated with the threat of poaching, private rhino owners are showing an increasing willingness to disinvest in rhinos, especially in the provinces of Limpopo, Mpumalanga and KwaZulu-Natal. Since approximately 23% of the national herd is kept on 22,274 km² of privately owned land, the loss of private sector interest in keeping white rhinos is a significant concern for the conservation of the species. The reduced introduction of rhinos to new areas is expected to result in a decline in the metapopulation growth rate, the total population size and the financial income to the conservation authorities that rely upon funds generated from rhino sales to conserve and protect rhinos. Income of the three largest rhino sellers earned from the sale of white rhino has reduced from a total of ~R100 million in 2009 when 370 rhinos were sold to R20 million in 2014 when only 60 were sold. Furthermore, between 2009 and 2012 there was a reduction in the average price of white rhino, from R365 000 per animal in 2009 to R258 000 in 2012. Total loss of revenue is estimated at R373 million.

A high proportion (73%) of the white rhino population in South Africa is well managed within protected areas, with off-takes (primarily translocations of surplus animals) managed in terms of ecological management plans. The white rhino population in the Kruger National Park (just over 50% of the national population) is managed in accordance with an adaptive management plan. In KwaZulu-Natal, a management strategy and a status reporting framework currently supports constant harvest management for the species. There are no provincial plans in the remaining 8 provinces. A national biodiversity management plan for white rhino that was drafted by the SADC Rhino Management Group (RMG) in accordance with the format for Biodiversity Management Plans (section 43 of the National Environmental Management: Biodiversity Act (NEMBA) of 2004) has been submitted to the Minister.

An estimated 1.4% of the national herd is translocated from protected areas annually. Although the removal of live animals for translocation purposes is not considered to be a form of harvest as these animals are not permanently removed from the national population, there are some international exports of live animals. Between 2002 and 2012 a total of 810 live white rhinos were exported from South Africa, this constituting 29% of the total exports during this time period (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). The main destination countries were China (30% of exports), Namibia (17% of exports) and Botswana (8% of exports), the latter two countries importing live white rhinos mainly for re-introduction purposes, and China mainly for zoos and breeding facilities. Between 1 January 2010 and October 2014, 424 white rhino were exported from South Africa. The main destinations were Namibia (>200) (range State), China (76), Botswana (>40) (range State) and Vietnam (37).

Legal hunting of white rhinos, mostly on private land, is economically motivated and is regulated through a system of permits. Prior to 2005, the number of white rhinos hunted was generally a function of market forces, with the market supporting the hunting of an average of 36 – 70 animals annually. After 2005 the number of rhinos hunted increased, and by 2011 an average of 116 animals (0.6% of the national population) were hunted, with the vast majority of these hunts being undertaken by non-

traditional hunters (“pseudo-hunters”). Importantly, “pseudo-hunting” only removed surplus male rhinos and was therefore sustainable. Through better regulation, the occurrence of “pseudo-hunts” has reduced considerably and is no longer a major issue, and 73 and 91 rhinos were hunted in 2012 and 2013 respectively (0.4-0.5% of the national population). White rhino hunting trophies exported from South Africa between 2002 and 2012 were primarily imported by the United States of America (33% of trophies), Vietnam (18% of trophies), Spain (10% of trophies) and the Russian Federation (10% of trophies); in total 1629 hunting trophies (although this figure is an overestimate due to the intricacies of data capture) (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). Setting a hunting quota has been unnecessary to date as the off-take has been well within sustainable levels. Trophy hunting removes surplus adult males, whilst generating important revenue for private and state conservation (while poaching targets animals of all ages and sexes). Legal hunting, combined with the impact of poaching, has not yet reached a level where it has caused a cessation in population growth.

The amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (published in April 2012) require that all rhino hunts are attended by conservation officials. Provinces indicate that this legal requirement is being complied with. High confidence can be placed in the monitoring of illegal and legal harvest in the Kruger National Park and KwaZulu-Natal as a whole, which together make up 70% of the national herd. Monitoring of the remainder of the national herd is variable with many private land owners monitoring their rhinos closely, although provision of the information remains an issue of trust between parties.

The revenue generated by the state and the private sector from owning, selling, translocating, viewing via ecotourism and legal hunting of white rhino has greatly contributed to the conservation of this species in South Africa. The white rhino population is now 10 times larger since sport hunting was introduced in 1968. Due to the significant economic benefits of hunting to game farmers (worth approximately \$19 million over the period 2004 – 2008), together with live sales and ecotourism, the private sector has increasingly stocked these animals, effectively maintaining rapid metapopulation growth and contributing to the expansion of the species’ range with a further 22,274 km² added to the conservation estate in South Africa. Live sales of surplus animals to the private sector have also been highly beneficial to conservation agencies, generating vital conservation revenue and preventing overstocking in established populations. Interestingly, in 2012 suggestions that South Africa would consider submitting a trade in rhino horn proposal to CITES saw a recovery in the average price for a white rhino.

The 77% of the national herd that is kept in state controlled protected areas is strictly protected from excessive hunting, with on average only 10 animals legally hunted annually. However, the increasing poaching rate is indicative of the limited effectiveness of the current protection measures, despite the significant resources that have been deployed towards gaining control over illegal activities. Nevertheless there may be signs that these measures are having a positive impact, as evidenced by a reduction in the rate of increase in poaching from an average of 35% year on year to 21%. Poaching has occurred in most protected areas with some protected areas, notably the Kruger National Park, struggling to combat these illegal activities. This primarily arises from the long permeable border with Mozambique and that country’s inadequate legal and wildlife protection systems. Improved protection

measures (enhanced intelligence gathering and effective prosecution with deterrent sentences), as well as active regional cooperation (especially from Mozambique), are required to combat poaching.

In conclusion, the non-detriment finding undertaken for the white rhinoceros as summarized in the analyses of the key considerations above, demonstrates that legal international trade in live animals and the export of hunting trophies poses a low risk to the survival of this species in South Africa (Figures 1 and 2) and should be allowed to continue, provided that the amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (April 2012) are effectively enforced. In fact, continued legal hunting of white rhinoceros is essential for the conservation and protection of the species in South Africa. Currently legal and illegal harvests combined are still within sustainable levels. Between 73 and 91 white rhinos are currently legally hunted annually (0.4-0.5% of the national population), while approximately 5.7% of the national population is currently lost to poachers, remaining below the net 7.1% rate of increase in the white rhino population. The population is thus currently growing at about 1-2% per annum.

It has been argued that a quota system for hunting of white rhino is unnecessary at this stage because legal hunting, even factoring in the animals lost to poaching, is currently of insignificant impact on the population and is sustainable and is market driven. However, due to the increasing poaching rate it is anticipated that this situation will change and a quota system may need to be developed for future implementation.

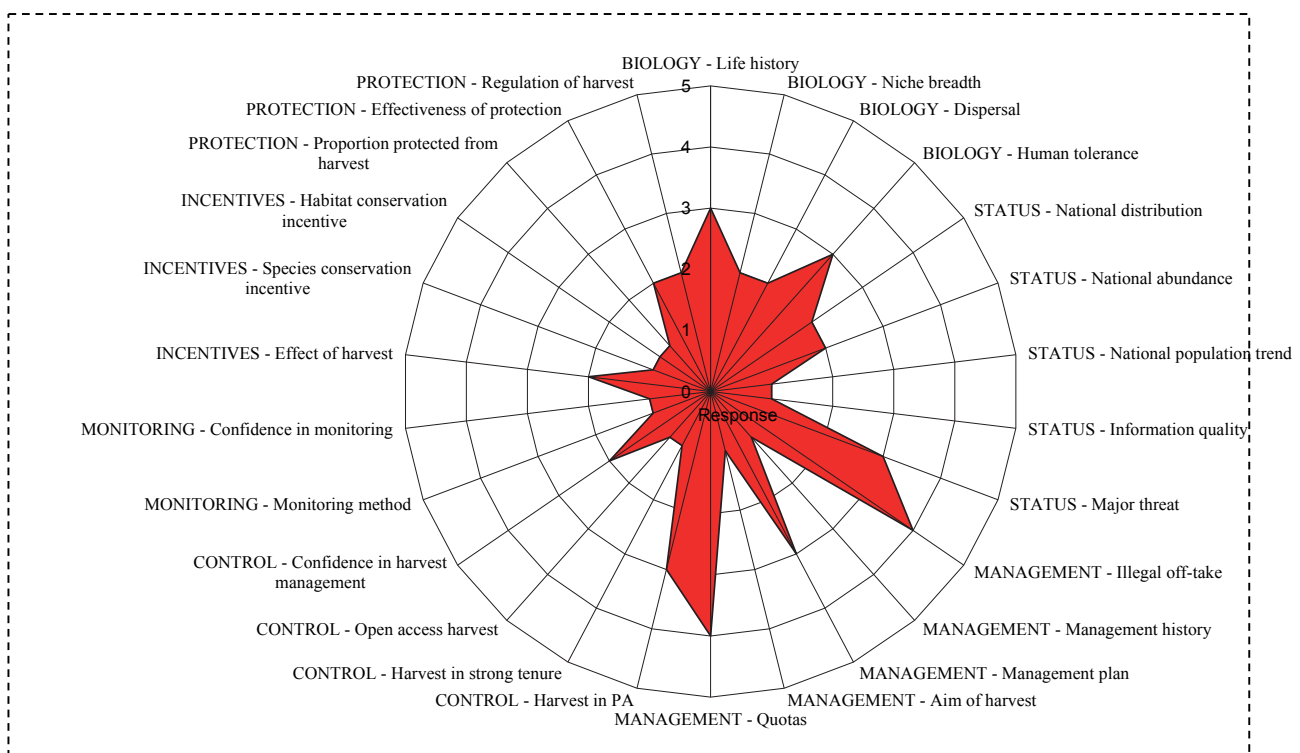


Figure 1. Radar chart summarizing the non-detriment finding assessment undertaken for *Ceratotherium simum simum* (white rhinoceros) in accordance with the CITES NDF checklist.

Explanations of scores given are detailed in Table 1. Higher scores are indicative of higher risks to the species. The limited shaded area in the radar chart demonstrates an overall low risk to the species.

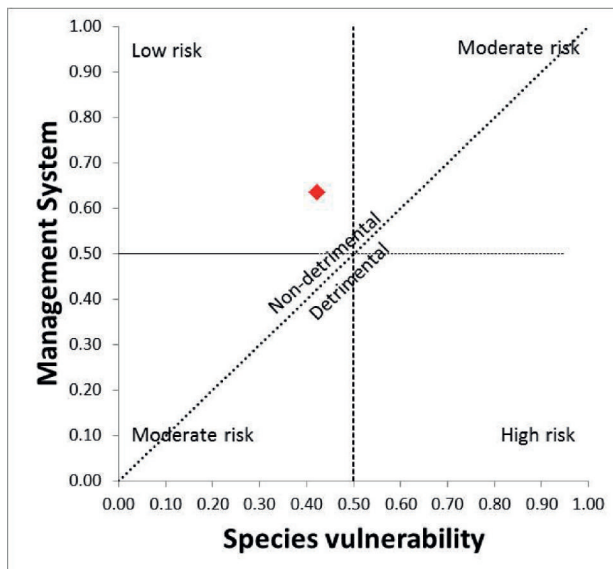


Figure 2: The risk of trading in *Ceratotherium simum simum* (white rhinoceros) as represented by the relationship between species vulnerability (biology and status) (0 = low vulnerability; 1 = high vulnerability) and the management system to which the species is subjected (management, control, monitoring, incentives and protection) (0 = weak management system; 1 = strong management system). The figure shows that the species is at low risk and trade is not detrimental.

Table 1. Non-detriment finding assessment for *Ceratotherium simum simum* (white rhinoceros) undertaken in accordance with the CITES NDF checklist. Scores assigned to each question are indicated (bold text and shaded blocks) along with detailed explanations/justifications where relevant. Higher scores are indicative of higher risks to the species.

Biological characteristics		
1. Life history: What is the species' life history?	High reproductive rate, long-lived	1
	High reproductive rate, short-lived	2
	Low reproductive rate, long-lived	3
	Low reproductive rate, short-lived	4
	Uncertain	5
2. Ecological adaptability: To what extent is the species adaptable (habitat, diet, environmental tolerance etc.)?	Extreme generalist	1
	Generalist	2
	Specialist	3
	Extreme specialist	4
	Uncertain	5
<i>The white rhinoceros is a relatively adaptable species and is able to survive in a variety of habitats from grassland to savannah, and inhabits areas with rainfall averages ranging from 350 mm per year to 1500 mm per year. Due to the low temperatures and poor grazing quality during the winter</i>		

<i>months, juvenile mortality rates on the Highveld are however high. Although animals are able to survive in low nutrient coarse grasslands, grass of a higher nutrient content is the preferred diet.</i>		
3. Dispersal efficiency: How efficient is the species' dispersal mechanism at key life stages?	Very good	1
	Good	2
	Medium	3
	Poor	4
	Uncertain	5
<i>Individuals are generally limited to medium-sized home ranges and dispersal is a process that takes place at the juvenile stage. White rhino calves generally leave their mothers from 2.5 – 3.5 years of age to form groupings with other adult females and/or other sub-adults, subsequently dispersing into new areas. White rhinos in the Kruger National Park are encountered in new landscapes at a rate of 6% per annum. Individuals move over distances of 40 – 50 km during drought conditions. In unfenced areas white rhinos can move over very large distances as they did in the past in the Garamba National Park and as the white rhinos do in Botswana today.</i>		
4. Interaction with humans: Is the species tolerant to human activity other than harvest?	No interaction	1
	Pest / Commensal	2
	Tolerant	3
	Sensitive	4
	Uncertain	5
<i>White rhinos are conservation dependent, occurring solely in protected areas and on game farms.</i>		
National status		
5. National distribution: How is the species distributed nationally?	Widespread, contiguous in country	1
	Widespread, fragmented in country	2
	Restricted and fragmented	3
	Localized	4
	Uncertain	5
6. National abundance: What is the abundance nationally?	Very abundant	1
	Common	2
	Uncommon	3
	Rare	4
	Uncertain	5
<i>Although uncommon in Africa, the white rhinoceros is certainly not uncommon in South Africa. According to data gathered from a survey of rhinos on private and state land by the IUCN African Rhino Specialist Group (AfRSG), the total South African white rhino population consists of approximately 18,910 individuals (as at the end of 2012). This estimate takes into account animals lost to poaching. A new national survey is currently underway.</i>		
7. National population trend: What is the recent national population trend?	Increasing	1
	Stable	2
	Reduced, but stable	3
	Reduced and still decreasing	4
	Uncertain	5
<i>According to analyses undertaken by the AfRSG, the national average growth rate of the white rhino population was 7.1% from 1991 to 2012. This figure takes poaching related mortalities into account and is based on an assessment of population data gathered between 1999 and 2010 that assumes</i>		

exponential growth. In 1991 there were less than 6,000 white rhinos in South Africa. By 2012 the population had increased threefold to an estimated 18,910 animals. Approximately 5.7% of the national population is currently lost to poachers, remaining below the net 7.1% rate of increase. The population is thus currently growing at about 1-2% per annum.

A number of key events apparently contributed to the exponential increase in the national population of white rhino since the late 1800s, a time when no more than 50 white rhinos survived in the iMfolozi Game Reserve in Natal, such as (1) the first successful translocation of white rhino in 1961, followed by many subsequent translocations; (2) the advent of chemical capture drugs; (3) the commencement of the first sport hunting of white rhino in 1968; (4) the translocation of over 500 white rhino into the Kruger National Park in the early 1980s from the Hluhluwe iMfolozi Park due to a record drought there; (5) a change in policy by the Natal Parks Board that allowed the auctioning of white rhino at their true economic value, effectively increasing the numbers and protection of rhinos on private land from the late 1980s onwards; and (6) a CITES annotated Appendix II listing in 1995 that allowed for live sales and continued exports of hunting trophies.

There is some uncertainty with respect to the future national population trend for white rhinos since SANParks's best population model (which includes estimates of various biases in the data such as observer and detection biases) indicates that the white rhino population in the Kruger National Park may fluctuate non-directionally between 8,000 and 10,000 animals (95% CI: 8,092 – 9,154), although these numbers will be verified in a survey planned for 2015. The population size in the Kruger National Park is an estimated 25% lower than it would have been in the absence of poaching and management removals. As the white rhino population in the Kruger National Park comprises just over 50% of the national population, trends in the Kruger National Park population will directly affect the national population trend. Current mortality rates for males in the Kruger National Park are estimated to be 2.7% (1% due to poaching and 1.7% due to natural mortality), while mortality rate estimates for females are 1.7% (1% mortality due to poaching).

Although the off-take from poaching is still at levels that are sustainable and are not yet causing a population decline, if the rate of poaching continues to increase at the average of 35% year on year, there will be a detectable negative national population growth rate by 2016 if the underlying biological growth remains below 7% per year. However, if, through active biological management, underlying population growth was increased to 9%, this tipping point when deaths exceed births would be pushed back to 2017/2018. The intrinsic rate of increase of white rhino populations ranges between 8% and 9% on average, although the rate of increase will vary among individual populations. The population growth rate can be as much as 11 – 13% for recently introduced young populations that are skewed towards females.

8. Quality of information: What type of information is available to describe abundance and trend in the national population?	Quantitative data, recent	1
	Good local knowledge	2
	Quantitative data, outdated	3
	Anecdotal information	4
	None	5
9. Major threats: What major threat is the species facing (underline following: <u>overuse</u> / habitat loss and alteration/ invasive species/ other:) and how severe is it?	None	1
	Limited/Reversible	2
	Substantial	3
	Severe/Irreversible	4
	Uncertain	5

The current major threat to South Africa's white rhino population is the continuing loss of individuals

to poaching for their horn. During 2014, approximately 1,150 white rhinos (approximately 6% of the national population) were lost to poaching, with approximately 785 poached in the Kruger National Park alone. The rate of poaching has increased exponentially nationwide over the last five years. Prior to 2007 the rate of poaching was 0.03 rhinos per day, increasing to 0.23 per day in 2008, to 0.91 per day in 2010, to 1.83 per day in 2012 and to 3.2 rhinos per day in 2014. In 2014 the year on year increase in poaching had declined to 21% from the average of 35%. Annually there appears to be a variation in poaching rates with peaks in the first and last quarter of each year and a decline in the two mid-year quarters. The primary driver of the increasing poaching rate is the exponential increase in the black market price for rhino horn and new uses and demand from south-east Asia and especially Vietnam. Compounding this is the threat posed by organized crime. Based on recent trends, an exponential model constructed by SANParks predicts that the number of white rhinos poached in the Kruger National Park will soon approximate the surplus number that managers would have wanted to remove in order to prevent overstocking.

Due to rising security costs, private rhino owners are showing an increasing willingness to disinvest in rhinos, a further negative consequence of poaching. Auctioning patterns indicate that there may be a decline in interest in keeping rhinos on private land, particularly in the provinces of Limpopo and Mpumalanga. In 2014 in KwaZulu-Natal a total of 20% (i.e. seven) of the original 37 private land owners had sold their white rhinos. Considering that approximately 23% of the national herd (4,300 animals) is kept on 22,274 km² of privately owned land, the loss of private sector interest in keeping white rhinos is a significant concern for the conservation of the species.

Income of the three largest white rhino sellers (SANParks, Ezemvelo KZN Wildlife and Vleissentraal auctioneers) earned from the sale of white rhino has reduced from a total of approximately R100 million in 2009 when 370 rhinos were sold, to R20 million in 2014 when only 60 were sold. Between 2009 and 2012 there was a 43% year on year reduction in rhino sales, with a reduction in the average price from R365 000 per white rhino in 2009 to R258 000 in 2012. This equated to a direct loss to these institutions during this period of approximately R100 million. With the total number of rhinos being sold declining from the peak of 370 in 2009 to 60 in 2014, a further loss of revenue of about R273 million is estimated, bringing the total revenue loss to R373 million. Turnover from the 1,750 white rhino sold by SANParks, Ezemvelo KZN Wildlife and Vleissentraal auctioneers over the 2008 – 2014 period totalled R500 million, averaging R63 million per year. Interestingly, in 2012 suggestions that South Africa would consider submitting a trade in horn proposal to CITES saw the average price for a white rhino increase back to R305 000 per animal.

The loss of revenue to both state and private sector owners generated from the sale of surplus rhinos will translate into reduced funds for new conservation land and anti-poaching measures. Active involvement of the private sector in the acquisition of rhinos since 2005 was estimated to generate R290 million for conservation authorities. A further consequence of the decline in the sale and subsequent introduction of rhinos to new areas is the expected decline in the metapopulation growth rate. Increased poaching also means there will be fewer surplus rhino that could be sold to maintain productive densities.

Nevertheless, the off-take from poaching is still at levels that are sustainable (total births still exceed total deaths) and are not yet causing a population decline at the national scale, although Kruger National Park has started to show a sign of a decline in the white rhino population size.

Habitat loss is not a threat to the white rhino and the species' range has in fact expanded.

Harvest management

10. Illegal off-take or trade: How significant is the national problem of illegal or unmanaged off-take or trade?	None	1
	Small	2
	Medium	3
	Large	4
	Uncertain	5
<p><i>Approximately 5.7% of the white rhino population is currently poached, effectively representing 70% of the potential annual population increment. Although the current poaching levels are considered to be sustainable, they are certainly not insignificant. Six percent less growth over a period of 10 years equates to approximately 17,670 fewer white rhinos; animals that could be sold to generate conservation revenue and/or translocated to increase the metapopulation and expand the species' range (assuming that there is sufficient land to accommodate these additional animals) (figures based on a starting population size of 18,800 and an intrinsic rate of increase of 8%). The sale of surplus white rhinos from the Kruger National Park has been reduced substantially since rhinos are now lost to poachers instead of being removed for management purposes. Management removals of surplus animals preferentially target subadult females, while poachers remove many more adults than are proportionally represented in the population. This effectively represents a R6 billion loss in asset value for the country and will impact significantly on the generation of revenue for conservation and the expansion of the white rhino range.</i></p> <p><i>At the predicted increasing poaching rate, there appears to have already been a detectable negative population growth rate in the Kruger National Park. A similar national trend is anticipated as poaching is occurring nationwide at almost the same rate. However, in 2014 the year on year increase in poaching had declined to 21% from the average of 35%, which may indicate a positive response to the anti-poaching interventions.</i></p> <p><i>The sophistication of the poaching methods employed is a concern, especially as poaching is taking place throughout the country in both protected areas and privately owned land. The occurrence of "pseudo-hunts", the legal hunting of trophies for the purpose of obtaining rhino horn, has reduced considerably and is no longer a major issue. This activity importantly removed surplus male rhinos while illegal poaching removes all sexes and ages, a greater matter of concern since it heavily impacts the breeding potential of the population.</i></p>		
11. Management history: What is the history of harvest?	Managed harvest: ongoing with adaptive framework	1
	Managed harvest: ongoing but informal	2
	Managed harvest: new	3
	Unmanaged harvest: ongoing or new	4
	Uncertain	5
<p><i>A high proportion (73%) of the white rhino population is generally well managed within protected areas, with off-takes managed in terms of ecological management plans. The white rhino population in the Kruger National Park (just over 50% of the national population) is managed in accordance with an adaptive management plan. Management of white rhino on private land is quite variable.</i></p> <p><i>Harvest (hunting) is regulated through a system of permits, mostly on private land, this harvest in general being economically motivated. Legal hunting of white rhinoceros commenced in South Africa when the size of the rhino population was 1,800. Prior to 2005, the number of white rhinos hunted was generally a function of market forces, with the market supporting the hunting of an average of 36 – 70 animals. Since 2005 the number of rhinos hunted increased, and by 2011 an average of 116 animals were hunted, with the vast majority of these hunts being undertaken by non-traditional</i></p>		

hunters (“pseudo-hunters”). Greater regulation of this has resulted in a rapid decline in the number of applications by hunters from non-traditional hunting countries. Despite translocation of significant numbers of white rhino out of the country to stock other African countries and zoos and safari parks worldwide, the white rhino population in South Africa is now 10 times larger since sport hunting was introduced in 1968, clearly demonstrating that this harvest has been sustainable and positive for conservation.

12. Management plan or equivalent: Is there a management plan related to the harvest of the species?	Approved and co-ordinated local and national management plans	1
	Approved national/state/provincial management plan(s)	2
	Approved local management plan	3
	No approved plan: informal unplanned management	4
	Uncertain	5

A national white rhino strategy was approved in 2000 and in early 2015 a national biodiversity management plan (BMP) for white rhino was submitted to the Minister for consideration. This plan was developed by the SADC Rhino Management Group in accordance with the format for Biodiversity Management Plans (section 43 of the National Environmental Management: Biodiversity Act (NEMBA) of 2004) and will form the basis for greater coordination between existing and future plans. In KwaZulu-Natal, a management strategy and a status reporting framework currently supports harvest management for the species, however, there are no provincial plans in the remaining 8 provinces. Some of the state owned protected areas have approved management plans that take white rhinos into account, while there are also management plans for the larger privately owned areas. SANParks’s management strategy for its rhino populations was updated in 2014.

13. Aim of harvest regime in management planning: What is harvest aiming to achieve?	Generate conservation benefit	1
	Population management/control	2
	Maximize economic yield	3
	Opportunistic, unselective harvest, or none	4
	Uncertain	5

The white rhino population in South Africa is generally subjected to two forms of off-take, including management removals of surplus animals and hunting. The majority of management removals are not considered in this NDF to be a form of harvest as animals are not permanently removed from the national population but are sold and then moved to new areas (although there are international exports of live animals). This generates a conservation benefit through ensuring rapid growth in numbers and expansion of the species’ range, while at the same time generating conservation revenue. Since 1986 about 3,000 white rhinos have been sold into the private sector. Removals of white rhinos from Kruger National Park are set to continue as a strategy to place animals in safer habitats.

A total of 810 live white rhinos were exported from South Africa between 2002 and 2012, this constituting 29% of the total exports during this time period (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK). Live animals were exported primarily to zoos (48% of exports) and breeding facilities (23% of exports) and for re-introduction purposes (22%). The main destination countries were China (30% of exports), Namibia (17% of exports) and Botswana (8% of exports), the latter two countries importing live white rhinos mainly for re-introduction purposes, and China mainly for zoos and breeding facilities. Between 1 January 2010 and October 2014, 424 white rhino were exported from South Africa. The main destinations were Namibia (>200 (range State), China (76), Botswana (>40) (range State) and Vietnam (37).

Permanent removal of white rhinos from the national population through hunting is economically motivated and justified (about 0.6% of the national population). Sustainable hunting aims to generate a conservation benefit through incentivizing the private sector to keep rhino and to purchase land in order to stock rhino. Trophy hunting removes surplus adult males, whilst generating important revenue for private and state conservation (while poaching removes all ages and sexes, having a greater impact on rhino production). Fifty-nine percent of the total exports of white rhino specimens between 2002 and 2012 were hunting trophies (CITES Trade Database, UNEP World Conservation Monitoring Centre, Cambridge, UK); 1629 trophies in total. (Note that this figure is an overestimate due to the way in which data are captured into the CITES Trade Database.) The main destination countries included the United States of America (33%), Vietnam (18%), Spain (10%) and the Russian Federation (10%).

14. Quotas: Is the harvest based on a system of quotas?	Ongoing national quota: based on biologically derived local quotas	1
	Ongoing quotas: "cautious" national or local	2
	Untried quota: recent and based on biologically derived local quotas	3
	Market-driven quota(s), arbitrary quota(s), or no quotas	4
	Uncertain	5

The number of white rhinos hunted annually is market driven. Setting a quota has been unnecessary to date as the off-take has been well within sustainable levels (by 2011 an average of 116 rhinos were hunted annually equating to approximately 0.6% of the national population, while 73 and 91 rhinos were hunted in 2012 and 2013 respectively (0.4-0.5% of the national population)).

Control of harvest

15. Harvesting in Protected Areas: What percentage of the legal national harvest occurs in State-controlled Protected Areas?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

An estimated 1.4% of the national herd is translocated from protected areas annually. The removal of live animals for translocation purposes is not considered to be a form of harvest in terms of this NDF as these animals are not permanently removed from the national population. On average 116 white rhinos are legally hunted annually (0.6% of the national population) (recently reduced to between 73 and 91 animals (0.4-0.5% of the national population)). Of these less than 10 are hunted from state controlled protected areas.

16. Harvesting in areas with strong resource tenure or ownership: What percentage of the legal national harvest occurs outside Protected Areas, in areas with strong local control over resource use?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5

On average 116 white rhinos are legally hunted annually (0.6% of the national population), but this has been reduced recently to 73 and 91 rhinos hunted in 2012 and 2013 respectively (0.4-0.5% of the national population). Most of these animals are hunted on private land.

17. Harvesting in areas with open access: What percentage of the	None	1
	Low	2

legal national harvest occurs in areas where there is no strong local control, giving <i>de facto</i> or actual open access?	Medium	3
	High	4
	Uncertain	5
18. Confidence in harvest management: Do budgetary and other factors allow effective implementation of management plan(s) and harvest controls?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>Since the introduction of the amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (published in April 2012), all rhino hunts are attended by conservation officials, a legal requirement of the norms and standards. In at least two provinces the numbers of white rhino kept on private land is inadequately known (although estimates exist), and therefore sustainability of hunting, particularly in smaller populations, cannot be adequately assessed, while management plans for ensuring sustainable harvest are lacking. Through better regulation, the occurrence of "pseudo-hunts" has reduced considerably and is no longer a major issue. The issuing of many permits by one province and many hunts on some properties is indicative of possible problems with the implementation and enforcement of the hunting permit system. There are also concerns that in some cases young animals or prime breeding females have been hunted.</i></p>		
Monitoring of harvest		
19. Methods used to monitor the harvest: What is the principal method used to monitor the effects of the harvest?	Direct population estimates	1
	Quantitative indices	2
	Qualitative indices	3
	National monitoring of exports	4
	No monitoring or uncertain	5
<p><i>Monitoring methods employed in the Kruger National Park involve distance sampling techniques and block counts. Formal distance sampling and aerial survey methods are also employed in the Hluhluwe iMfolozi Park in KwaZulu-Natal. Together these populations make up about 70% of the national herd. Monitoring of the remainder of the national herd is variable with many private land owners monitoring their rhinos closely, although provision of the information remains an issue of trust between parties. The amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (published in April 2012) require that all hunts are monitored by conservation officials. A survey is currently being undertaken of white rhino on private land.</i></p>		
20. Confidence in harvest monitoring: Do budgetary and other factors allow effective harvest monitoring?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<p><i>Monitoring of harvest (illegal and legal) in the Kruger National Park and provincial protected areas in KwaZulu-Natal, which together represents 70% of the national herd, can be regarded with high confidence. The amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (published in April 2012) require that all rhino hunts are attended by conservation officials. Provinces indicate that this legal requirement is being complied with.</i></p>		

Incentives and benefits from harvesting		
21. Utilization compared to other threats: What is the effect of the harvest when taken together with the major threat that has been identified for this species?	Beneficial	1
	Neutral	2
	Harmful	3
	Highly negative	4
	Uncertain	5
<p><i>Legal hunting of white rhino has been beneficial to the conservation of the species. Due to the significant economic benefits of hunting to game farmers (worth approximately \$19 million over the period 2004 – 2008), together with live sales and ecotourism, the private sector has increasingly stocked these animals, contributing to the expansion of the species' range and maintaining rapid metapopulation growth. Live sales of surplus animals to the private sector have been highly beneficial to conservation agencies, generating vital conservation revenue (e.g. sales by SANParks, and Ezemvelo KZN Wildlife as well as Vleissentraal from 2007 to end 2014 totalled R507 million) and preventing overstocking in established populations. However, the increase in poaching is starting to limit this positive impact as private sector interest in buying and keeping rhinos continues to decline due to the rising costs of security. Legal hunting, combined with the impact of poaching, has however not yet reached a level where it has caused a cessation in population growth.</i></p>		
22. Incentives for species conservation: At the national level, how much conservation benefit to this species accrues from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<p><i>The ability for the state and the private sector to gain financially from owning, selling, translocating, viewing via ecotourism and hunting white rhino has greatly contributed to the conservation of this species in South Africa. Only 1,800 white rhino remained in the 1960s. Today the population is estimated to be three times larger (18,910 animals). Privately owned game farms have contributed significantly to white rhino conservation. Twenty-three percent of the national herd (approximately 4,300 animals) is kept on approximately 22,274 km² of privately owned land. The speculation that South Africa may submit a proposal to CITES to trade in horn has seen the average price paid for white rhino increase from a low R255 000 per animal in 2011 to R305 000 in 2013.</i></p>		
23. Incentives for habitat conservation: At the national level, how much habitat conservation benefit is derived from harvesting?	High	1
	Medium	2
	Low	3
	None	4
	Uncertain	5
<p><i>Private game reserves contribute significantly to the conservation estate in South Africa. It is estimated that private game farms with white rhinos have added a further 22,274 km² to the conservation footprint.</i></p>		
Protection from harvest		
24. Proportion strictly protected: What percentage of the species' natural range or population is legally excluded from harvest?	>15%	1
	5-15%	2
	<5%	3
	None	4
	Uncertain	5

<i>On average 116 white rhinos are legally hunted annually (0.6% of the national population) (recently reduced to between 73 and 91 animals (0.4-0.5% of the national population)). Of these less than 10 are hunted from state controlled protected areas, which altogether accommodate 77% of the national herd.</i>		
25. Effectiveness of strict protection measures: Do budgetary and other factors give confidence in the effectiveness of measures taken to afford strict protection?	High confidence	1
	Medium confidence	2
	Low confidence	3
	No confidence	4
	Uncertain	5
<i>The white rhino is a well-managed species and its legal utilization in fact benefits its conservation. Strict protection measures (enhanced intelligence gathering and effective prosecution with deterrent sentences) are however required to both combat and prevent poaching. Measures are being taken but their long-term effectiveness is unknown at this stage. Poaching has occurred in most protected areas and some protected areas (notably the Kruger National Park) are struggling to combat these illegal activities. This primarily arises from the long permeable border with Mozambique and that country's inadequate legal and wildlife protection systems. A policy decision by SANParks will see the translocation of white rhinos to other protected areas in the former range and the selling of rhinos to the private sector in order to reduce the threat to the Kruger National Park white rhino population. This intervention aims to place rhinos in safer areas, and vital conservation revenue will also be generated. Protection measures in KwaZulu-Natal appear to be more effective than in other provinces.</i>		
<i>Despite the significant resources that have been deployed towards gaining control over illegal activities, the increasing poaching rate is indicative of the limited effectiveness of the current protection measures. These measures only address the symptoms and fail to address the cause of the escalating poaching levels (high demand for black market horn at high prices i.e. the low supply to demand ratio). Nevertheless there may be signs that enhanced protection measures are beginning to have a positive impact, as evidenced by a reduction in the year on year increase in the poaching rate that was observed in 2014.</i>		
26. Regulation of harvest effort: How effective are any restrictions on harvesting (such as age or size, season or equipment) for preventing overuse?	Very effective	1
	Effective	2
	Ineffective	3
	None	4
	Uncertain	5
<i>Hunting affects only a very small proportion (0.4-0.6%) of the national population. Provinces have indicated that the amended norms and standards for the marking of rhinoceros and rhinoceros horn and for the hunting of rhinoceros for trophy hunting purposes (published in April 2012) are being implemented effectively.</i>		

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DEPARTMENT OF HIGHER EDUCATION AND TRAINING

NO. 576

27 MAY 2016

**CONTINUING EDUCATION AND TRAINING ACT, 2006(ACT NO. 16 OF 2006)
CALL FOR COMMENTS ON THE DRAFT POLICY ON STAFFING NORMS FOR
COMMUNITY EDUCATION AND TRAINING (CET) COLLEGES**

I, Bonginkosi Emmanuel Nzimande, Minister of Higher Education and Training, in terms of the Continuing Education and Training Act, 2006 (Act No. 16 of 2006), hereby invite public comments on the Draft Staffing Norms for the Community Education and Training (CET) Colleges as set out in the Schedule.

All interested persons and organisations are invited to comment on the draft policy on staffing norms for Community Education and Training (CET) Colleges in writing and direct their comments to:

The Director –General, Private Bag X174, Pretoria, 0001 for Attention: Ms T Masondo, email: masondo.t@dhet.gov.za, Fax: 086 690 4643.

Kindly provide name, address, telephone number, fax number and email address of the person or organisation when submitting comments.

The comments on the draft policy on staffing norms for the Community Education and Training (CET) Colleges should reach the Department within 21 calendar days after publication of this Notice.



Dr BE Nzimande, MP

Minister of Higher Education and Training

Date: 30/03/2016

SCHEDULE 01



higher education
& training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

**DRAFT POLICY ON STAFFING NORMS FOR
COMMUNITY EDUCATION AND TRAINING
(CET) COLLEGES**

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ACRONYMS

AAAT	Applied , Agriculture and Agricultural Technology
AET	Adult Education and Training
A&C	Arts and Culture
AHC	Ancillary Health Care
CET Act	Continuing Education and Training Act
CET Colleges	Community Education and Training Colleges
CLC	Community Learning Centre
DHET	Department of Higher Education and Training
ECD	Early Childhood Development
EMIS	Education Management Information System
EMS	Economics and Management Sciences
ETDP	Education Training and Development Practices
FTE	Full Time Equivalent
HET	Higher Education and Training
HRD	Human Resources Development
HSS	Human and Social Sciences
LTSM	Learning and Teaching Support Material
ICT	Information and Computer Technology
MTEF	Medium Term Expenditure Framework
NASCA	National Senior Certificate for Adults
NGO	Non- Governmental Organisation
NQF	National Qualifications Framework
OSD	Occupational Special Dispensation
PALC	Public Adult Learning Centre
PED	Provincial Education Department
RPL	Recognition of Prior Learning
SAQA	South African Qualifications Authority
SETA	Sector Education and Training Authority
SMME	Small , Medium and Micro Enterprise
T & T	Travel and Tourism
TVET	Technical and Vocational Education and Training
US	Unit Standard
W& R	Wholesale and Retail
VCET	Vocational and Continuing Education and Training

GLOSSARY OF TERMS

TERM	MEANING
ACADEMIC STAFF	Staff who offer and/or facilitate classes for the students enrolled in a College. Used interchangeably with the terms Lecturer, Core Staff and Professional Staff
ACADEMIC YEAR	A College period that begins on 1 January and ends on 31 December of each year
COLLEGE	A public college that is established or declared as a Community Education and Training (CET) college
COMMUNITY LEARNING CENTRE/CAMPUS	Has a minimum of 200 and a maximum of 599 FTE students. This definition is restricted to a three year cycle beginning 2016.
CONSTANT ADDITIONAL NUMBER OF WEIGHTED STUDENTS	Is that which occurs within the CET College that shows a progressive enrolment pattern sustained over a period of three years
CONTINUING EDUCATION AND TRAINING	All learning and training programmes leading to qualifications or part qualification at levels 1 to 4 of the NQF framework contemplated in the NQF Act, 67 of 2008 provided for in the college in terms of the Principal Act.
DEPARTMENT	Department of Higher Education and Training
FINANCIAL YEAR	A period that commences on 1 April and ends on 31 March of the following year
FULL TIME EQUIVALENT	The total number of students counted in terms of the number of learning areas or subjects that sum up to full qualifications (i.e. 120 US credits for a GETC or 5 subjects combinations for Senior Certificate) for the full duration of the academic year. For example if five (5) students enrol for one subject each for a Senior Certificate, they will be counted as one (1) FTE student
INSTITUTIONAL LANDSCAPE FOR CET	The distribution model institutional tier of learning sites administered and managed by a particular college for the

COLLEGES	purpose of ensuring access to a learning institution
LECTURER	Any person who teaches or trains other persons or provides professional educational services at any college, and who is appointed in a post on any lecturer establishment under the Principal Act.
MANAGEMENT STAFF	The principal and the vice principals of a public college”
MODEL	Refers to the Post Provisioning Norms Model
SATELLITE CENTRE/SATELLITE CAMPUS	Has a minimum of 75 and a maximum of 199 FTE students.
STAFF	All persons employed at a CET college
STUDENT	Any person registered as a student at a CET college
SUPPORT STAFF	Staff who render generic and shared support services in a College for example Human Resources
VERIFICATION	A process whereby the student enrolment is audited (through head count and otherwise) and verified as per FTE enrolments

SECTION 1: INTRODUCTION

The Community Education and Training (CET) Colleges, as part of the Post-School Education and Training (PSET) system requires that a balance be reached amongst the following competing immediate priorities within the next three years as namely:

- standardization and stabilisation of the sub system – post migration to the DHET;
- growth and sustainability of human resources within the sub-system to cope with a competitive post schooling sector; and
- streamlining of the current available human resources to ensure teaching and learning continues, improves and is not compromised in any way.

The draft policy on the staffing norms for CET Colleges as a proposal identifies the following core elements as the main drivers of the Staffing Norms Model for the CET Sector.

1. Equitable CET College budget allocation and distribution;
2. Programme Offerings as per approved Programme and Qualification Mix (PQM);
3. Verified Full Time Equivalent (FTE) student enrolments that lead up to NQF level 4; and
4. CET College Medium Term Expenditure Framework(MTEF) Post Establishment

It should be noted that this draft policy on staffing norms for CET Colleges does not include any promotional posts at this stage, but introduces a standardised model for the compensation of employees, (the lecturers in the 9 CET Colleges) as transferred from the PED's to the DHET.

The draft policy introduces the support staff in the Community Learning Centres as an important element to assist the professional staff.

The draft policy also proposes a normed rationalised institutional landscape with normed class sizes.

SECTION 2: BACKGROUND

1. Presidential Minute No. 690 of 2009 abolished the Department of Education and the Department of Higher Education and Training and the Department of Basic Education were created.
2. Following this re-organisation of government, Proclamation No. 44 of 2009, published in Government Gazette. No. 32367 of 1 July 2009, transferred the administration of the Adult Basic Education and Training Act, 2000 (Act No. 52 of 2000), and the Further Education and Training Colleges Act, 2006 (Act No. 16 of 2006), to the Minister of Higher Education and Training.
3. The legislative responsibility for Adult Education and Training was transferred to the Minister of Higher Education and Training through the Higher Education and Training Amendment Laws, 2010 (Act No. 25 of 2010).
4. The Further Education and Training (FET) Colleges Amendment Act, 2013 proposed a repeal of the Adult Education and Training (AET) Act 52 of 2000.
5. The Department of Higher Education and Training published the White Paper for Post School Education and Training System, in November 2013. The White Paper states that Public Adult Learning Centres (PALC's) are to be absorbed into a category of institutions named Community Colleges, which cater for the provision of second-chance learning opportunities for out-of-school youth and adults.
6. The Continuing Education and Training Act, 2006 (Act No. 16 of 2006) establishes the Community Education and Training Colleges (CETCs) as another institutional type within the Post- School Education and Training (PSET) system.
7. In April 2014 the Minister of Higher Education and Training established the first nine (9) CETCs as Administrative and Management Centres for the 3276 former Public Adult Learning Centres (PALCs).
8. The nine Colleges are now the juristic persons in terms of the CET Act, 2006 (Act No. 16 of 2006), and the National Policy on Community Colleges provides a framework for the establishment of Community Colleges.

9. The proposed staffing norms for the CET Colleges is a first step towards the standardization of the inherited diverse staffing models.
10. Section 20(1)(a) of the CET Act as amended reads: *"The staff of public colleges consist of persons appointed by the Minister in terms of the Public Service Act in posts established on the organisational structure of the Department and identified as posts to the respective colleges"*
11. The staffing norms comply with the objectives of the White Paper for Post- School Education and Training and provide for the following:
- a) **Access, flexibility, differentiation and expansion:** CET Colleges are arguably operating at different times and levels. The staffing norms take into consideration the instructional times, the diversified learning programmes, curriculum delivery models and phasing in of the expansion of the Community College sector; all of which have an impact on the post distribution per College.
 - b) **Programme Offerings:** CET Colleges offer qualifications or part-qualifications that are registered on Levels 1 to 4 of the National Qualifications Framework (NQF). CET Colleges should be flexible in their programme offerings and should include programmes that respond to local community developmental priorities, as well as the priorities of the State.
 - c) **Funding and distribution variables:** The staffing norms for CET Colleges recognises that the current costing is budget driven at this stage. No programme costing exercise has been undertaken in the past, to accurately determine the actual costs for each programme offering.
 - d) **Model Benchmarks:** A Ministerial Task Team is working on a funding model for CET Colleges. It is envisaged that the model will be benchmarked against international trends for CET Colleges in order to determine the most flexible and differentiated variables relevant to the sector.
 - e) **Nature of operation:** CET Colleges differ in the nature of their operations in that some operate on full time basis, whilst others operate on part time basis.

SECTION 3: LEGISLATIVE FRAMEWORK

- a) Basic Conditions of Employment Act, 1997(Act No. 75 of 1997) (as amended);

- b) Continuing Education and Training Colleges Act, 2006(Act No. 16 of 2006) (as amended);
- c) Labour Relations Act, 1995(Act No. 95 of 1995) (as amended); and
- d) Public Service Act, 1994(Act No. 103 of 1994) (as amended).

SECTION 4: POLICY STATEMENT

- 12. The staff of a public college consists of persons appointed by the Minister in terms of the Public Service Act in posts established on the organisational structure of the Department and identified as posts to the respective colleges.
- 13. The staff referred to in Section 4, paragraph 12 are remunerated from the funds allocated to the respective colleges in accordance with budget allocations of CET Colleges per Full Time Enrolments (FTEs).
- 14. The Compensation of employees' budget shall be capped at 75% of the total budget; of which 80% is allocated for lecturing staff and 20% for support services. This translate to a ratio of 1: 0.75.
- 15. 40% the total remaining 25% of the total budget should be reserved for goods and services for the CET Colleges.
- 16. Depending on the demand for and the nature (formal or informal) of programmes, posts in the CET Colleges should accommodate part-time, fixed term contracts and permanent posts.
- 17. All CET College staff are appointed under the Public Service Act, with Occupational Special Dispensation (OSD) applicable to professional staff with approved and relevant professional qualifications.
- 18. The CET Colleges will ring-fence the portion of posts for permanent appointments and remaining portion for part- time, fixed term contracts. The Standard Operating Procedure for the implementation of staffing norms will give full guidance on the proposed distribution.

19. Experience for lecturers (former AET practitioners) who have long service in the AET sector should be considered when they are recommended for appointments under the new staffing norms provided there is substantive proof.
20. Where overstaffing exists due to decline in learner enrolments redeployment process should apply provided the lecturer is appointed on permanent basis and avenues for reskilling where needs exists have been explored .
21. Appointments in the CET Colleges should be in line with instructional times and therefore will vary from shared posts i.e. full time equivalents to full time posts.
22. Implementation of the staffing norms should be done in line with the approved protocols and the policy on Standard Operating Procedure for implementation of the Staffing Norms for CET Colleges.

SECTION 5: PROPOSAL FOR INSTITUTIONAL CONFIGURATION MODEL

23. The ultimate institutional landscape model for the CET Colleges is 52 Colleges distributed per municipality district. However, the reconfiguration process of the 3276 Community Learning Centres (CLCs), will determine the number of CLCs as per the approved norms.

COLLEGE

- 23.1. The size of a CET College will be classified as small, medium or large according to the number of enrolled FTEs as follows:
 - Small: 700- 1500 FTEs
 - Medium: 1501 -2500 FTEs
 - Large: 2501 and above FTEs
- 23.2. For the purpose of promoting access to learning the subsidiary sites of a College will include Community Learning Centres and Satellites. The CLC will be classified as follows:

COMMUNITY LEARNING CENTRES

- Small: 201- 350 FTEs
- Medium: 351 -500 FTEs
- Large: 551- 699 FTEs

SATELLITE CENTRES

- The Satellite Centres must have between a minimum of 75 to a maximum of 200 students FTEs.
- These figures will be restricted to a three year cycle whereupon a similar grading exercise will be conducted to determine a new classification.

SECTION 6: CLASS SIZE NORMS

24. The student enrolment for the sub levels (AET level 1-3) programmes shall be not smaller than 1:20.
25. Student enrolment for NQF level 1 shall not be less than 1:25.
26. Depending on the nature of a particular skills programme, head count enrolment shall be a minimum of 15 and maximum of 30.
27. The class sizes for the (National) Senior Certificate (for Adults) NASCA shall not be less than 1:30.
28. These class size norms shall apply to enrolment for full qualifications and part qualifications.

SECTION 7: GUIDELINES FOR OPERATIONAL TIMES

29. CLCs must be flexible to operate on full time basis as well as on part-time basis.
30. Centres with dedicated buildings must operate between 8:00 until 21:00 and should cater for learners that cannot attend during the day. The time table of a college must be sufficiently flexible to include Saturday classes.

31. The model is based on the principle that available posts are distributed amongst CET Colleges proportionally to their number of weighted students.

SECTION 8: CET COLLEGS DRAFT POLICY ON STAFFING NORMS MODEL

MODEL PRINCIPLES

32. The concept of “weighted student”, instead of actual students, is used to enable the College to compete on an equal footing for posts. As some students and some learning areas/programs require more favorable post allocations than others, each student is given a certain weighting that reflects its relative need in respect of the staffing norms.

33. A weighted student enrolment for each CET College is determined, which, in relation to the total student enrolment, reflects its relative claim to the total pool of available posts.

34. 75% of the CET Branch budget allocation is reserved for lecturer and support staff of the Community Learning Centres in the 9 CET Colleges.

CORE ELEMENTS OF THE STAFFING NORMS FORMULA

FIXED ELEMENTS

- a) CET Branch budget allocation
- b) 75% of the total budget is ring-fenced for CET Colleges compensation of lecturer Employee staff
- c) The budget allocation to each CET College
- d) Programme offering/curriculum that each Campus(CLC) will pursue

VARIABLE ELEMENTS

- FTE student enrolments for each academic year as verified and audited

SECTION 9: WEIGHTING NORMS

Student Enrolments Weightings

Programme	Sub-Level	Weight	Ideal Class Size
GETC	1	1.15	20
	2	1.15	20

	3	1.15	20
	NQF 1	1.125	25
NSC	NSC	1.05	30
SKILLS	NQF 1	1.125	30

Learning Area Weightings

Learning Programme	Level	Weight	Stream
Home Language	4	0.245	Compulsory
Additional Language	4	0.245	
Maths Literacy	4	0.245	
Life Orientation	4	0.245	
AHC	4	0.235	Science
Natural Science	4	0.235	
Technology	4	0.235	
AAAT	4	0.235	
ICT	4	0.235	
SMME	4	0.235	Commercial
EMS	4	0.235	
W&R	4	0.235	
T&T	4	0.235	General
A&C	4	0.235	
ECD	4	0.235	
HSS	4	0.235	
Communication	1 - 3	0.345	GETC
Numeracy	1 - 3	0.345	
Integrated Studies	3	0.345	

Formulae for professional posts Allocation

a. $CWS = LWS + LAWS + CRW$

b. $Constant\ Ratio = \frac{National\ Weighted\ Student}{National\ Post\ Basket}$

c. $College\ Post\ Establishment\ (Lecturers) = \frac{College\ Weighted\ Student}{National\ Post\ Basket}$

- *CWS = College Weighted Students*
- *LAWS = (AET)Level Average Weighted Students*
- *CRW = Classroom Weighted Students*
- *CR = Constant Ratio*
- *NWS = National Weighted Students*
- *NPB = National Post Basket*
- *CPE = College Post Establishment*

SECTION 10: CET COLLEGES STAFFING NORMS CALCULATIONS (USING 2016 BUDGET)

The staffing norms proposed the following budget split:

Compensation of employees (COE) – 75%

- 80% of the 75% is reserved for Academic Staff
- 20% of the 75% is reserved for Support Staff

Other Services – 25%

CET Total Allocated Budget	
R	1 900 000 000,00
COE(75% Nett Split results of Equitable Share)	
R	1 425 000 000,00
Other Services (25% Nett Split results of Equitable Share)	
R	475 000 000,00
Core (80% Nett Split of COE)	
R	1 140 000 000,00
Non-Core (20% Nett Split of COE)	
R	285 000 000,00

SECTION 11: CET COLLEGES INDICATIVE BUDGET ALLOCATIONS

2016 ACADEMIC STAFF BUDGET ALLOCATION

Post Allocation	3871
Average Unit Cost per Post	R 294 466,58
Financial Equivalent (80% Nett split Results)	R 1 140 000 000,00

Region	FET Enrolments	Post allocation	Rounded Post allocation	Financial Equivalent	Number of Hours
Eastern Cape	33000	408,571	409	R 120 310 466,24	3272
Free State	25000	309,523	310	R 91 144 292,61	2480
Gauteng	86904	1075,953	1076	R 316 832 144,19	8608
KZN	50500	625,237	625	R 184 111 471,07	5000
Limpopo	29537	365,696	366	R 107 685 158,83	2928
Mpumalanga	24000	297,142	297	R 87 498 520,90	2376
Northern Cape	7500	92,857	93	R 27 343 287,78	744
North West	35000	433,333	433	R 127 602 009,65	3464
Western Cape	21250	263,095	263	R 77 472 648,72	2104
	312691	3871	3872	R 1 140 000 000,00	30976

SUPPORT STAFF BUDGET ALLOCATION

Post Allocation	1548
Average Unit Cost per Post	R 184
Financial Equivalent (80% Nett split Results)	107,43
	R 285 000
	000,00

Region	FET Enrolments	Post allocation	Rounded Post allocation	Financial Equivalent	Number of Hours
Eastern Cape	33000	163,370	163	R 30 077 616,56	1304
Free State	25000	123,765	124	R 22 786 073,15	992
Gauteng	86904	430,227	430	R 79 208 036,05	3440
KZN	50500	250,005	250	R 46 027 867,77	2000
Limpopo	29537	146,226	146	R 26 921 289,71	1168
Mpumalanga	24000	118,814	119	R 21 874 630,23	952
Northern Cape	7500	37,130	37	R 6 835 821,95	296
North West	35000	173,271	173	R 31 900 502,41	1384

Western Cape	21250	105,200	105	R 19 368 162,18	840
	312691	1548	1548	R 285 000 000,00	12376

DRAFT

SECTION 12: CONCLUSION AND RECOMMENDATIONS

35. It should be noted that the FTEs in CET Colleges will undergo a process of verification before correct budget allocations are issued. Section 11 is an example of indicative allocations.

36. The draft policy on staffing norms for CET Colleges will go through a process of consultation to relevant stakeholders.

37. It is the desire of the Department to implement this policy not later than September 2016 and Regional Offices will assist the CET Colleges to set up systems for the implementation of the staffing norms.

DRAFT

DEPARTMENT OF INTERNATIONAL RELATIONS AND COOPERATIONS**NO. 577****27 MAY 2016**

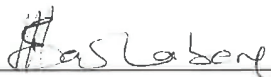
It is hereby published for general information that the Minister of International Relations and Cooperation has, in terms of section 6(2) of the Diplomatic Immunities and Privileges Act, 2001 (Act No. 37 of 2001), recognised the Seventeenth meeting of the Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora, and the 67th and 68th meetings of the CITES Standing Committee, scheduled to take place in Sandton, Johannesburg from 24 September 2016 to 5 October 2016 for the purposes of granting the immunities and privileges as set out in the Schedule hereto.



MINUTE

In accordance with section 6(2) of the Diplomatic Immunities and Privileges Act 37 of 2001 ("the Act"), I hereby recognise the Seventeenth Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), and the 67th and 68th meetings of the CITES Standing Committee, scheduled to take place in Sandton, Johannesburg from 24 September to 5 October 2016, for the purposes of section 6(1) of the Act.

In accordance with section 7(1) of the Act, the immunities and privileges conferred for the duration of the Meeting is provided for in the Agreement between the Government of the Republic of South Africa and the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) regarding the Hosting of the Seventeenth Meeting of the Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora and the 67th and 68th Meetings of the CITES Standing Committee that entered into force on 2 March 2016.



MAITE NKOANA-MASHABANE

Minister of International Relations and Cooperation

Date: 11 May 2016

ARTICLE 5
PRIVILEGES AND IMMUNITIES

- (1) In all matters relating to CoP17, including SC67 and SC68, the Government of South Africa shall apply, *mutatis mutandis*, the relevant provisions of the Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly on 13 February 1946¹ with regard to –
- (a) representatives of States referred to in paragraph (1)(a) and (b) of Article 3 of this Agreement, who shall enjoy the privileges and immunities provided under Article IV of the 1946 Convention.
- (b) observers from the bodies referred to in paragraph (1)(b) of Article 3 of this Agreement, who shall enjoy the privileges and immunities provided under Articles V, VI and VII of the 1946 Convention.
- (2) The observers referred to in paragraph (1)(c) of Article 3 of this Agreement, who are authorized to participate in the meeting by the Conference of the Parties, shall enjoy immunity from legal process in respect of words spoken or written and any act performed by them necessary for their participation.
- (3) All participants entitled under provisions of the text of the Convention to attend CoP17, including SC67 and SC68, shall be granted visas and entry permits where required free of charge and as speedily as possible so as to permit them to participate without hindrance.
- (4) The personnel provided by the Government under paragraph (7) of Article 4 shall enjoy immunity from legal process in respect of words spoken or written and any act performed by them in their official capacity in connection with the meeting.

¹ Provisions contained in the Convention as set out in Schedule 3 of the Diplomatic Immunities and Privileges Act, Act No 37 of 2001

- (5) Pursuant to Article II, Section 7 of the Convention on the Privileges and Immunities of the United Nations, the Government shall allow, free of prohibitions and restrictions, the temporary importation and exportation of all documents, publications and equipment. The Government shall waive any import or other duties and taxes on equipment and supplies required for the CoP17, including SC67 and SC68 and shall issue without delay any necessary import and export permits for this purpose.
- (6) All persons referred to in paragraph (1) of Article 3 shall have the right to take out of South Africa at the time of their departure, without any restriction, any unexpended portions of the funds they brought into South Africa in connection with CoP17 including SC67 and SC68.
- (7) Without prejudice to the preceding paragraphs, all persons performing functions in connection with CoP17, including SC67 and SC68, and all persons invited to the meetings, shall enjoy the privileges, immunities and facilities necessary for the independent exercise of their functions in connection with these meetings.
- (8) For the purpose of the Convention on the Privileges and Immunities of the United Nations, the premises for CoP17 specified in paragraph (3) of Article 4 shall be deemed to constitute premises of the United Nations in the sense of Article II, Section 3, of the 1946 Convention, and access thereto shall be subject to the authority and control of the Secretariat. The premises shall be inviolable for the duration of CoP17, including SC67 and SC68, including the whole period for which the premises are at the disposal of the Secretariat in accordance with paragraph (3) of Article 4.

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 578

27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF KAGISO

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) establish a Small Claims Court for the adjudication of claims for the area of Kagiso, consisting of the district of Kagiso;
- (b) determine Kagiso to be the seat of the said Court; and
- (c) determine Kagiso to be the place in that area for the holding of sessions of the said Court.



MR J H JEFFERY, MP
DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 579

27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF SMALL CLAIMS COURTS FOR THE AREAS OF POTCHEFSTROOM AND VENTERSDORP AND WITHDRAWAL OF GOVERNMENT NOTICE NO. 18 OF 2 JANUARY 1987

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Constitutional Development, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) (i) establish a Small Claims Court for the adjudication of claims for the area of Potchefstroom, consisting of the district of Potchefstroom;
- (ii) determine Potchefstroom to be the seat of the said Court; and
- (iii) determine Potchefstroom to be the place in that area for the holding of sessions of the said Court.
- (b) (i) establish a Small Claims Court for the adjudication of claims for the area of Ventersdorp, consisting of the district of Ventersdorp;
- (ii) determine Ventersdorp to be the seat of the said Court; and
- (iii) determine Ventersdorp to be the place in that area for the holding of sessions of the said Court.
- (c) withdraw Government Notice No. 18 of 2 January 1987.

Despite the withdrawal of Government Notice No. 18 of 2 January 1987, any claim emanating from the district of Ventersdorp which has already been instituted in the Small Claims Court of Potchefstroom prior to the publication of this Government Notice, shall be continued and concluded in the Small Claims Court of Potchefstroom as if this Government Notice has not been published.



MR J H JEFFERY, MP

DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 580

27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF
MALAMULELE

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) establish a Small Claims Court for the adjudication of claims for the area of Malamulele, consisting of the district of Malamulele;
- (b) determine Malamulele to be the seat of the said Court;
- (c) determine Malamulele, Punda-Maria and Saselemani to be the places in that area for the holding of sessions of the said Court;



MR J.H. JEFFERY, MP

DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 581

27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF PHILIPSTOWN

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) establish a Small Claims Court for the adjudication of claims for the area of Philipstown, consisting of the district of Philipstown;
- (b) determine Philipstown to be the seat of the said Court; and
- (c) determine Philipstown to be the place in that area for the holding of sessions of the said Court.

**MR J H JEFFERY, MP****DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT**

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 582

27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF SMALL CLAIMS COURTS FOR THE AREAS OF KURUMAN AND KUDUMANE AND WITHDRAWAL OF GOVERNMENT NOTICE NO. 1686 OF 3 NOVEMBER 1995

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Constitutional Development, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) (i) establish a Small Claims Court for the adjudication of claims for the area of Kuruman, consisting of the district of Kuruman;
(ii) determine Kuruman to be the seat of the said Court; and
(iii) determine Kuruman to be the place in that area for the holding of sessions of the said Court.
- (b) (i) establish a Small Claims Court for the adjudication of claims for the area of Kudumane, consisting of the district of Kudumane;
(ii) determine Mothibistad to be the seat of the said Court; and
(iii) determine Mothibistad to be the place in that area for the holding of sessions of the said Court.
- (c) withdraw Government Notice No. 1686 of 3 November 1995.

Despite the withdrawal of Government Notice No. 1686 of 3 November 1995, any claim emanating from the district of Kudumane which has already been instituted in the Small Claims Court of Kuruman prior to the publication of this Government Notice, shall be continued and concluded in the Small Claims Court of Kuruman as if this Government Notice has not been published.



MR J H JEFFERY, MP
DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 583

27 MAY 2016

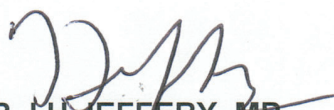
SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF SMALL CLAIMS COURTS FOR THE AREAS OF SCHWEIZER-RENEKE AND MAQUASSI HILLS AND WITHDRAWAL OF GOVERNMENT NOTICE NO. 1573 OF 13 JULY 1990: ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF MAQUASSI HILLS

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) (i) establish a Small Claims Court for the adjudication of claims for the area of Schweizer-Reneke, consisting of the district of Schweizer-Reneke;
- (ii) determine Schweizer-Reneke to be the seat of the said Court; and
- (iii) determine Schweizer-Reneke to be the place in that area for the holding of sessions of the said Court.
- (b) (i) establish a Small Claims Court for the adjudication of claims for the area of Maquassi Hills, consisting of the district of Maquassi Hills;
- (ii) determine Wolmaransstad to be the seat of the said Court; and
- (iii) determine Wolmaransstad to be the place in that area for the holding of sessions of the said Court.
- (c) withdraw Government Notice No. 1573 of 13 July 1990.

Despite the withdrawal of Government Notice No. 1573 of 13 July 1990, any claim emanating from the district of Maquassi Hills which has already been instituted in the Small Claims Court of Schweizer-Reneke prior to the publication of this Government Notice, shall be continued and concluded in the Small Claims Court of Schweizer-Reneke as if this Government Notice has not been published.


MR J H JEFFERY, MP
DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NO. 584

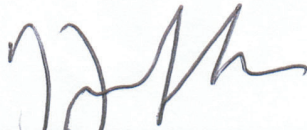
27 MAY 2016

SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)

ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF ORKNEY

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) establish a Small Claims Court for the adjudication of claims for the area of Orkney, consisting of the district of Orkney;
- (b) determine Orkney to be the seat of the said Court; and
- (c) determine Orkney to be the place in that area for the holding of sessions of the said Court.

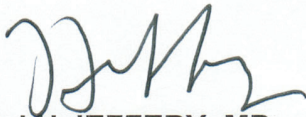


MR J H JEFFERY, MP
DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT**NO. 585****27 MAY 2016****SMALL CLAIMS COURTS ACT, 1984 (ACT NO. 61 OF 1984)****ESTABLISHMENT OF A SMALL CLAIMS COURT FOR THE AREA OF NOUPOORT**

I, John Harold Jeffery, Deputy Minister of Justice and Constitutional Development, acting under the power delegated to me by the Minister of Justice and Correctional Services, under section 2 of the Small Claims Courts Act, 1984 (Act No. 61 of 1984), hereby -

- (a) establish a Small Claims Court for the adjudication of claims for the area of Noupoort, consisting of the district of Noupoort;
- (b) determine Noupoort to be the seat of the said Court; and
- (c) determine Noupoort to be the place in that area for the holding of sessions of the said Court.



MR J H JEFFERY, MP
DEPUTY MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT

NATIONAL TREASURY

NO. 586

27 MAY 2016

**PUBLICATION OF GOVERNMENT GAZETTE
REQUIRED IN TERMS OF SECTION 16 (1) OF
THE DIVISION OF REVENUE ACT, 2016
(ACT NO. 3 OF 2016)**

I, Pravin Gordhan, in my capacity as the Minister of Finance, hereby publish, in accordance with section 16(1) of the Division of Revenue Act, 2016 (Act No.X of 2016), the allocations per municipality for each Schedule 3; 4, Part B; 5, Part B; 6, Part B; and 7, Part B grant to local government and Schedule 6, Part A grants to provinces, and the provincial and local government frameworks for each Schedule 4, 5, 6, and 7 grant.

Part 1: Local government conditional grant allocations and appendix to Schedule 5, Part A; and Schedule 6, Part, A for provinces

Part 2: Frameworks for conditional grants to provinces

Part 3: Frameworks for conditional grants to municipalities



**PRAVIN GORDHAN, MP
MINISTER OF FINANCE**

PART 1

LOCAL GOVERNMENT CONDITIONAL GRANT ALLOCATIONS
Schedules 3, 4B, 5B, 6B and 7B

(National and Municipal Financial Years)

PROVINCIAL GOVERNMENT CONDITIONAL GRANT ALLOCATIONS
Appendix to Schedules 5A and 6A

(National and Municipal Financial Years)

ANNEXURE W4

**SPECIFIC PURPOSE ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B; SCHEDULE 5, PART B AND
SCHEDULE 7, PART B): CURRENT GRANTS**

(National and Municipal Financial Years)

ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B AND SCHEDULE 7, PART B): CURRENT GRANTS

Category	Municipality	Municipal Demarcation Transkathu Grant		Energy Efficiency and Demand Side Management		Infrastructure Skills Development Grant		Local Government Finances Management Grant		Expanded Public Works Programme (Integrated Grant for Urban Districts)		SI (TOTAL): CURRENT	
		2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE													
A	BEF												
	SAWA												
	Barlote City	3 000	3 000	5 000	5 000	9 000	9 000	11 000	11 000	12 000	12 000	1 188	1 188
	Nelson Mandela Bv			5 248	15 024	14 500	14 500	14 500	14 500	15 200	15 200	24 046	24 046
B	EC101	20 143	6 847	3 000								31 704	12 792
B	EC102											6 455	6 455
B	EC103											2 633	1 700
B	EC104											1 000	1 000
B	EC105											2 825	1 985
B	EC106											2 345	2 155
B	EC107											3 010	2 600
B	EC108											2 682	1 700
B	EC109											1 980	1 980
B	EC110											2 740	2 740
	Kouga											2 740	1 000
	Kei											1 000	1 000
	King William District Municipality											2 550	2 550
	DC10											1 000	1 000
	Total: Sarah Baartman Municipalities	20 143	6 847	3 000	15 024	17 430	17 430	17 430	17 430	18 885	20 675	50 739	25 732
B	EC121											7 500	7 500
B	EC122											2 625	1 700
B	EC123											2 625	2 625
B	EC124											3 010	2 345
B	EC125											1 000	1 000
B	EC126											2 687	1 700
B	EC127											1 000	1 000
B	EC128											19 245	8 366
B	EC129											3 517	3 517
	Albany District Municipality											36 893	19 406
	Total: Amathole Municipalities	13 428	4 566	13 795	14 840	13 795	14 840	13 795	14 840	15 866	15 866	36 893	19 406
B	EC131											3 289	2 145
B	EC132											2 400	2 400
B	EC133											3 121	2 145
B	EC134											3 425	2 345
B	EC135											2 887	2 600
B	EC136											1 000	1 000
B	EC137											1 000	1 000
B	EC138											2 742	1 700
B	EC139											32 482	15 592
B	EC140											9 297	9 000
	Chris Hani District Municipality											57 291	27 122
	Total: Chris Hani District Municipality	20 143	6 847	2 800	2 800	2 800	2 800	2 800	2 800	2 800	2 800	57 291	27 122
B	EC141											3 173	1 700
B	EC142											3 122	1 700
B	EC143											2 724	1 700
B	EC144											2 724	2 230
	Josiah District Municipality											28 720	19 461
	Total: Joe Goldi District Municipality	13 428	4 566	8 335	8 335	8 335	8 335	8 335	8 335	9 406	9 406	28 720	19 461
B	EC151											2 801	1 700
B	EC152											2 825	1 900
B	EC153											2 886	1 700
B	EC154											3 242	2 345
B	EC155											4 493	2 600
B	EC156											2 345	2 345
B	EC157											2 345	2 600
B	EC158											2 045	2 300
B	EC159											33 276	16 335
	O.R. Tambo District Municipality											33 276	16 335
	Total: O.R. Tambo District Municipality	20 143	6 847	8 000	8 000	8 000	8 000	8 000	8 000	12 855	12 855	33 276	16 335
B	EC161											3 145	1 700
B	EC162											3 251	1 700
B	EC163											2 884	2 145
B	EC164											3 056	1 900
B	EC165											1 980	2 155
	Nelson Mandela District Municipality											33 082	19 801
	Total: Alfred Nzo District Municipality	67 142	22 856	19 000	19 000	19 000	19 000	19 000	19 000	20 260	20 260	33 082	19 801
	Total: Eastern Cape Municipalities	67 142	22 856	19 000	19 000	19 000	19 000	19 000	19 000	20 260	20 260	276 225	165 948

ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B AND SCHEDULE 7, PART B): CURRENT GRANTS

Category	Municipal Demarcation Transition Grant		Energy Efficiency and Demand Side Management		Infrastructure Skills Development Grant		Local Government Financial Management Grant		Expanded Public Works Programme Integrated		SUB-TOTAL: CURRENT	
	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
FREE STATE												
A. MAN. Mankame	13 423	4 566		5 000			3 310	3 645	3 345	5 151	28 889	8 211
B. FS161 Leseteng							1 825	1 900	2 155	1 000	2 825	1 900
B. FS162 Kopong							1 825	1 700	1 155	1 000	2 780	1 700
B. FS163 Molekane							1 825	1 900	2 155	1 000	2 825	1 900
Total: Free State Municipalities							6 525	6 750	7 515	4 208	10 233	6 750
B. FS181 Mankopeng			6 000				1 825	1 900	2 155	1 147	8 972	1 900
B. FS182 Mankopeng				5 000			1 825	1 900	2 155	1 000	2 825	1 900
B. FS183 Tsoepale							1 810	2 145	2 400	1 131	2 941	2 145
B. FS184 Mankopeng			6 000				2 010	2 345	2 600	1 000	9 010	2 345
B. FS185 Nala							1 825	1 900	2 155	1 000	2 825	1 900
Total: Limpopo Municipalities			12 000	5 000			10 545	11 440	12 465	6 310	28 855	16 440
B. FS191 Seiso							1 625	1 700	1 700	1 908	3 233	1 700
B. FS192 Seiso							1 625	1 700	1 955	1 023	2 648	1 700
B. FS193 Seiso							1 625	1 700	1 955	1 023	2 648	1 700
B. FS194 Mankopeng			6 000				1 810	2 145	2 400	7 650	9 460	8 145
B. FS195 Mankopeng							2 010	2 345	2 600	1 000	3 010	2 345
B. FS200 Mankopeng							1 825	1 900	2 155	1 000	2 825	1 900
Total: Free State Municipalities			6 000	6 000			11 355	12 985	14 515	14 701	26 456	18 985
B. FS201 Mankopeng							1 810	2 145	2 400	1 090	2 410	2 145
B. FS203 Mankopeng							1 810	2 145	2 400	1 078	2 488	2 145
B. FS204 Mankopeng							1 625	1 700	1 955	1 060	2 685	1 955
B. FS205 Mankopeng			5 000				2 010	2 345	2 600	1 000	8 010	2 345
Total: Free State Municipalities			5 000	6 000			8 305	9 595	10 355	4 138	17 643	15 585
Total: Free State Municipalities	13 423	4 566	24 000	17 000	5 000		40 240	44 405	48 195	34 508	112 576	66 971
GAUTENG												
A. EKU Ekurhuleni			15 000	20 000	15 000		1 050	1 050	1 000	22 125	38 175	21 050
A. JHB City of Johannesburg			10 000	10 000	15 000		1 050	1 050	1 000	47 613	66 363	9 250
A. TSH City of Tshwane					15 000		2 375	2 650	2 400	50 247	53 122	2 650
B. GT421 Fochel							1 475	1 550	1 550	2 528	4 003	1 550
B. GT422 Mookal							1 475	1 550	1 550	1 279	2 754	1 550
B. GT423 Lesedi							1 475	1 550	1 550	1 238	2 713	1 550
Total: Gauteng Municipalities							6 025	6 800	6 100	6 045	11 230	5 900
B. GT481 Mogale City							1 475	1 550	1 550	1 089	2 864	1 550
B. GT482 Orangeburg							1 475	1 550	1 550	1 089	2 864	1 550
B. GT485 West Rand District Municipality	9 714	4 566		10 000	5 000		2 550	3 100	3 356	2 927	18 801	20 966
Total: West Rand District Municipality	9 714	4 566		10 000	5 000		7 300	7 600	7 600	6 745	27 859	28 466
Total: Gauteng Municipalities	9 714	4 566	25 000	30 000	50 000		17 590	18 250	17 906	132 775	196 439	64 316

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ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B) AND SCHEDULE 7, PART B); CURRENT GRANTS

Category	Municipal Demarcation Transition Grant		Energy Efficiency and Demand Side Management Grant		Infrastructure, Skills Development Grant		Local Government Financial Management Grant		Expanded Public Works Programme Integrated Grant for Municipalities		SUB-TOTAL: CURRENT		
	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2018/19 (R'000)	
KWAZULU-NATAL													
A. ETHEKweni				16 000	27 000	26 700	1 050	1 000	49 478		79 028	44 050	37 700
B. KZN212 KZN212	9 714	4 566					3 835	4 501	2 038		15 837	8 811	4 501
B. KZN213 Umzimbe							1 825	1 900	1 083		2 908	1 900	1 900
B. KZN214 ukhaxwaha		4 566					1 460	1 600	2 286		2 954	1 900	1 900
B. KZN216							1 460	1 600	2 286		3 264	1 900	1 900
Total: Uyo Municipalities	19 428	9 132					12 395	13 440	8 698		40 521	22 573	13 951
B. KZN221 uMhlabathini							1 625	1 800	1 131		3 138	1 900	1 900
B. KZN222 uMhlabathini							1 625	1 800	1 131		2 943	1 900	1 900
B. KZN223 Mpholoni							1 825	1 900	1 000		2 825	1 900	2 155
B. KZN224 Impendle							1 825	1 900	1 443		3 268	1 900	1 900
B. KZN225 Mzimba							1 825	1 900	1 443		3 074	1 900	1 900
B. KZN227 Richmond							1 825	1 900	1 277		3 102	1 900	1 900
Total: Umgungahlovo Municipalities							12 625	14 150	16 500		28 131	14 150	14 920
B. KZN235 Obhaliamba							1 825	1 900	2 934		4 759	1 900	1 900
B. KZN237 KZN237	9 714	4 566					3 450	3 600	2 328		15 492	8 166	3 856
B. KZN238 KZN238	9 714	4 566					3 450	3 600	4 906		18 070	8 166	3 600
Total: Umtsheni Municipalities	19 428	9 132					10 188	10 995	13 337		42 950	20 027	10 901
B. KZN241 Enkamen							1 625	1 700	1 955		2 752	1 700	1 955
B. KZN242 Mthatha							1 825	1 900	1 900		3 520	1 900	1 900
B. KZN244 Mafisa							1 725	1 800	2 055		4 098	1 800	2 055
B. KZN245 Umvoti							1 825	1 900	2 373		3 600	1 900	1 900
Total: Umzimvubu Municipalities							8 250	8 650	9 283		17 552	8 250	9 283
B. KZN232 Newcastle				8 000			1 625	1 700	3 173		4 798	9 700	6 700
B. KZN233 Enslindgeni							1 825	1 900	1 284		3 109	1 900	2 155
B. KZN234 uMhlabathini							1 500	1 500	1 977		2 997	1 500	1 755
Total: Amathaba Municipalities				8 000			6 775	7 000	7 073		13 848	15 000	12 510
B. KZN261 eDunbe							1 825	1 900	2 155		3 825	1 900	2 155
B. KZN262 uPhongolo							1 825	1 900	2 155		4 846	1 900	2 155
B. KZN263 Abaqulusi							1 625	1 700	1 398		3 023	1 700	1 955
B. KZN265 Nongoma							1 825	1 900	1 002		2 927	1 900	2 155
B. KZN266 Ntshongomiso							1 250	1 250	3 624		4 874	1 250	1 000
Total: Zulu District Municipalities							10 075	10 450	11 475		21 220	10 450	11 475
B. KZN271 Umkhayesingam							1 825	1 900	2 277		4 102	1 900	1 900
B. KZN272 Jozi							1 825	1 900	3 338		5 163	1 900	2 155
B. KZN275 Mthunba				5 000			1 825	1 900	1 408		3 233	6 900	2 155
B. KZN276							1 650	3 800	3 545		16 999	8 366	4 086
Total: Umkhayesingam Municipalities				5 000			10 375	10 750	11 861		31 950	20 316	11 266
B. KZN281 Mhlabi					6 500		1 625	1 900	1 649		3 174	1 900	1 900
B. KZN282 Mhlabi							2 825	2 600	5 649		21 336	12 524	9 150
B. KZN284 uMlalazi					6 500		1 625	1 700	2 924		4 549	1 700	1 955
B. KZN285 KZN285							2 738	2 850	2 161		12 185	6 274	2 850
B. KZN286 Ntshona							1 625	1 900	1 446		6 174	1 900	2 155
Total: Umtshingaeni Municipalities					6 500		11 800	12 510	19 410		52 282	25 598	19 010
B. KZN291 Mkheleni							1 625	1 900	2 055		3 800	1 900	1 900
B. KZN292 Mkheleni							1 825	1 900	2 285		3 016	1 900	1 900
B. KZN293 Ndlovu							1 825	1 900	1 791		3 616	1 900	2 155
B. KZN294 Maphumulo							1 825	1 900	1 261		3 086	1 900	1 900
Total: Hlabisa Municipalities							8 450	8 750	8 241		16 602	8 750	9 755
B. KZN433 Greater Kokstad				6 000			1 725	1 800	1 619		3 344	7 800	1 800
B. KZN434 uMhlabathini							1 825	1 900	1 900		3 123	1 900	1 900
B. KZN435 Umtshingaeni							1 825	1 900	1 289		15 555	8 366	4 086
B. KZN436 KZN436							3 650	3 800	4 056		12 614	1 250	1 000
Total: Harry Gwaha District Municipalities				6 000			1 250	1 250	1 000		38 447	21 216	10 911
Total: KwaZulu-Natal Municipalities				16 000	35 000	33 500	102 255	107 035	112 514		397 601	210 679	160 714

ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B) AND SCHEDULE 7, PART B); CURRENT GRANTS

Category	Municipality	Municipal Demarcation Transition Grant		Energy Efficiency and Demand Side Management		Infrastructure Skills Development Grant		Local Government Financial Management Grant		Expanded Public Works Programme Integrated		SUB-TOTAL: CURRENT ¹		
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)	2016/17 (R'000)
		2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)
LIMPOPO														
B	LM0331 Greater Ghaat													
B	LM0332 Greater Jansen													
B	LM0333 Greater Tzaneen													
B	LM0334 Bas-Paarlshoek													
B	LM0335 Maribong													
B	LM0336 Mafikeng District Municipality													
Total: Limpopo Municipalities		40 285	11 693	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
B	LM0341 LIM041	6 714	2 282											
B	LM0342 LIM042	2 282	2 282											
B	LM0344 Mafikeng	6 714	2 282											
B	LM0345 LIM045	20 143	6 847											
C	DC-31 Vhembe District Municipality													
Total: Vhembe Municipalities		40 285	11 693	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
B	LM0351 LIM051	8 952	3 044											
B	LM0353 LIM053	8 952	3 044											
B	LM0354 LIM054	8 952	3 044											
B	LM0355 Limpies-Nampoi													
C	DC-35 Capricorn District Municipality													
Total: Capricorn Municipalities		26 856	9 132	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
B	LM0361 Thabamahi													
B	LM0362 Lephalale													
B	LM0366 Bhelelela													
B	LM0368 Limpies-Nampoi													
C	DC-36 Waterberg District Municipality													
Total: Waterberg Municipalities		13 428	4 566	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
B	LM0471 Ephraim Mogale													
B	LM0472 Elias Motswagole													
B	LM0473 Mochudi/Hongang													
C	DC-37 Sekake District Municipality													
Total: Sekake Municipalities		13 428	4 566	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
Total: Limpopo Municipalities		93 997	31 957	25 000	25 000	8 855	9 413	10 510	50 930	56 335	59 152	48 807	229 214	112 705
MPUMALANGA														
B	MP01 Albert Luthuli													
B	MP02 Mankgwa													
B	MP03 Mooko													
B	MP04 Mofokeng													
B	MP05 Lerwa													
B	MP06 Dvabweng													
B	MP07 Gona/Mphahlele													
C	DC-20 Gert Sibande District Municipality													
Total: Gert Sibande Municipalities		13 428	4 566	5 000	5 000	14 090	21 065	24 539	1 250	1 750	1 750	1 750	14 240	12 116
Total: Limpopo Municipalities		93 997	31 957	25 000	25 000	8 855	9 413	10 510	50 930	56 335	59 152	48 807	229 214	112 705
B	MP011 Albert Luthuli													
B	MP012 Mankgwa													
B	MP013 Mooko													
B	MP014 Mofokeng													
B	MP015 Lerwa													
B	MP016 Gona/Mphahlele													
C	DC-31 Nkangala District Municipality													
Total: Nkangala Municipalities		31 957	10 629	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	11 665	6 955
B	MP011 Victor Khamye													
B	MP012 Steve Tshwete													
B	MP013 Enkhuzweni													
B	MP014 Enkhuzweni													
B	MP015 Enkhuzweni													
B	MP016 D.F. Malibonzi													
C	DC-31 Nkangala District Municipality													
Total: Nkangala Municipalities		31 957	10 629	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	11 665	6 955
B	MP021 Thabo Chweni													
B	MP024 Nkomazi													
B	MP025 Bushbuckridge													
B	MP026 Bushbuckridge													
C	DC-31 Ehlanzeni District Municipality													
Total: Ehlanzeni Municipalities		13 428	4 566	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
Total: Limpopo Municipalities		13 428	4 566	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000	5 000
Total: Mpumalanga Municipalities		13 428	4 566	5 000	5 000	19 500	28 500	30 539	34 575	37 325	40 301	53 447	138 950	75 840

ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B); CURRENT GRANTS

Category	Municipality	Municipal Demarcation / Transition Grant		Energy Efficiency and Demand Side Management		Infrastructure, Skills Development Grant		Local Government Financial Management Grant		Expanded Public Works Programme Integrated Grant for Municipalities		SUB-TOTAL, CURRENT ¹	
		2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
NORTHERN CAPE													
B	NC061 Richtersveld												
B	NC062 Nama-Khoi												
B	NC063 Namakwa												
B	NC065 Hantam												
B	NC066 Karoo Hoogland												
B	NC067 Knersvlakte												
B	NC068 Namaqualand District Municipality												
Total: Namaqualand Municipalities													
B	NC071 Uitenhage												
B	NC072 Uitenhage												
B	NC073 East London												
B	NC074 Kaniemans												
B	NC075 Kaniemans												
B	NC076 Kaniemans												
B	NC077 Siyathamba												
B	NC078 Siyathamba												
B	NC079 Siyathamba												
Total: Port Elizabeth District Municipality													
B	NC082 Hani-Garib												
B	NC083 Hani-Garib												
B	NC085 Kaniemans												
B	NC086 Kaniemans												
B	NC087 Kaniemans												
B	NC088 Kaniemans												
Total: Siyathamba District Municipality													
Total: Northern Cape Municipalities													
B	NC091 Sol Plaatje												
B	NC092 Sol Plaatje												
B	NC093 Sol Plaatje												
B	NC094 Phokwane												
C	DC9 Frances Baard District Municipality												
Total: Frances Baard District Municipality													
B	NC451 Joe Molebete												
B	NC452 Joe Molebete												
B	NC453 Joe Molebete												
B	NC454 Joe Molebete												
B	NC455 Joe Molebete												
Total: John Tama Gatswe District Municipality													
Total: Northern Cape Municipalities													
NORTH WEST													
B	NW371 Moretele												
B	NW372 Moretele												
B	NW373 Moretele												
B	NW375 Moretele												
C	DC37 Bojanala Platinum District Municipality												
Total: Bojanala Platinum District Municipality													
B	NW381 Roshan												
B	NW382 Tswaing												
B	NW383 Mafikeng												
B	NW385 Roshan												
B	NW386 Roshan												
B	NW387 Roshan												
B	NW388 Roshan												
B	NW389 Roshan												
B	NW390 Roshan												
B	NW391 Roshan												
B	NW392 Roshan												
B	NW393 Roshan												
B	NW394 Roshan												
B	NW397 Roshan												
C	DC39 Dr. Ruth Segamane Memorial District Municipality												
Total: Dr. Ruth Segamane Memorial District Municipality													
B	NW403 City of Mafikeng												
B	NW404 Mmasekela												
B	NW405 Mmasekela												
B	NW406 Mmasekela												
Total: Dr. Kooamekela District Municipality													
Total: North West Municipalities													

ANNEXURE W4
SPECIFIC PURPOSE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 5, PART B AND SCHEDULE 7, PART B); CURRENT GRANTS

Category	Municipality	Municipal Demarcation Transition Grant		Energy Efficiency and Demand Side Management		Infrastructure Skills Development Grant		Local Government Financial Management Grant		Expanded Public Works Programme Integrated		SUB-TOTAL: CURRENT ¹			
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)		
WESTERN CAPE															
A	CPT - City of Cape Town			15 000	10 000	9 416	9 300	10 500	1 050	1 000	31 240		57 206	20 350	21 500
B	WC011 Matieland								1 475	1 550	1 119		2 594	1 550	1 550
B	WC012 Cederberg								1 475	1 550	1 000		2 475	1 550	1 805
B	WC013 Bergvliet								1 475	1 550	1 141		2 616	1 550	1 550
B	WC014 Swartkops								1 475	1 550	1 460		2 935	1 550	1 550
B	WC015 Swartland								1 475	1 550	1 460		2 935	1 550	1 550
C	DC1 - West Coast District Municipality				10 000				1 250	1 250	1 056		2 286	1 250	1 000
	Total: West Coast Municipalities				10 000				8 625	9 005	6 827		15 452	9 005	19 005
B	WC022 Wierberg								1 475	1 550	1 336		2 811	1 550	1 550
B	WC023 Driekantstein								1 475	1 550	1 352		2 811	1 550	1 550
B	WC024 Skerriesbosch			5 000	10 000				1 475	1 550	1 758		7 827	1 550	11 550
B	WC025 Brakke Valley			4 000					1 475	1 550	1 336		4 286	1 550	1 550
B	WC026 Oudoussendal								1 475	1 550	1 250		2 925	1 550	1 550
C	DC2 - Cape Winelands District Municipality				15 000				1 250	1 250	1 000		2 500	1 250	1 000
	Total: Cape Winelands Municipalities				15 000				8 625	8 750	8 406		34 121	19 000	21 750
B	WC031 Theewaterskloof								1 625	1 700	1 048		2 729	1 700	1 700
B	WC032 Overstrand								1 475	1 550	1 922		3 397	1 550	1 550
B	WC033 Cape Agulhas				2 000				1 475	1 550	1 210		2 685	1 550	1 550
B	WC034 Garden of Eden District Municipality								1 475	1 550	1 000		2 925	1 550	1 550
C	DC3 - Overberg District Municipality				2 000				1 250	1 250	1 000		2 500	1 250	1 000
	Total: Overberg Municipalities				2 000				7 450	7 750	6 413		13 863	7 750	9 755
B	WC041 Kennelkop								1 810	1 810	1 000		2 810	1 810	2 400
B	WC042 Mossel Bay								1 475	1 550	1 088		2 860	1 550	1 550
B	WC043 Mossel Bay								1 475	1 550	1 839		3 314	1 550	6 550
B	WC044 George					3 700	4 000	4 500	1 475	1 550	4 014		9 189	5 500	6 050
B	WC045 Knysna								1 475	1 550	1 475		2 950	1 550	1 550
B	WC046 Garden of Eden District Municipality								1 475	1 550	1 869		3 342	1 550	1 550
B	WC047 Knysna								1 475	1 550	1 292		2 767	1 550	1 550
C	DC4 - Eden District Municipality				10 000				1 250	1 250	1 000		2 500	1 250	1 000
	Total: Eden Municipalities				10 000				11 910	12 495	14 500		30 100	20 495	27 855
B	WC051 Langsburg								1 725	1 800	1 000		2 725	1 800	1 800
B	WC052 Prince Albert								1 625	1 700	1 000		2 625	1 700	1 700
B	WC053 Prince Albert								1 475	1 550	1 000		2 925	1 550	1 550
C	DC5 - Central Karoo District Municipality				5 000				1 250	1 250	1 000		2 500	1 250	1 000
	Total: Central Karoo Municipalities				5 000				6 225	6 450	6 200		10 842	16 450	11 200
	Total: Western Cape Municipalities				34 000				43 885	45 945	72 643		161 644	93 245	112 625
Unallocated					52 900										
National Total					297 422										
					111 856										
					185 625										

¹ Includes unallocated amounts for the Municipal Demarcation Grant. This schedule 2 grant is allocated R269.9 million in 2016/17, R300.3 million in 2017/18 and R317.7 million in 2018/19.

ANNEXURE W5

**INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B)
(National and Municipal Financial Years)**

ANNEXURE WS
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 1 OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Electrification Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
EASTERN CAPE													
A	BUF Buffalo City												
	NDA Nelson Mandela Bay												
B	EC101 EC101	37 623	21 012										
B	EC102 EC102	13 866	15 581										
B	EC103 EC103	24 581	15 134										
B	EC104 EC104	26 054	27 872										
B	EC105 EC105	29 289	27 872										
B	EC106 EC106	26 145	27 456										
B	EC107 EC107	30 236	32 463										
B	EC108 EC108	15 665	16 256										
B	EC109 EC109	15 665	16 256										
C	DC10 - Sarah Baartman District Municipality												
	Total: Sarah Baartman Municipalities	183 107	162 619										
B	EC121 Mthatha	55 715	61 414										
B	EC122 Mquma	59 727	64 099										
B	EC123 Great Kei	12 072	11 415										
B	EC124 Namakulu	20 877	22 857										
B	EC125 Nquthu	39 869	40 118										
B	EC129	412 716	475 598										
C	DC12 - Amatole District Municipality												
	Total: Amatole Municipalities	632 250	674 654										
B	EC131 Inxhaya Yethimba	15 369	17 097										
B	EC135 Inxhaya Yethimba	39 895	44 003										
B	EC137 Enjambaneni	50 431	54 525										
B	EC138 Sabhile/owe	17 539	18 541										
B	EC139	55 668	58 505										
C	DC13 - The Garden Route District Municipality												
	Total: Garden Route Municipalities	484 483	507 674										
B	EC141 Elundini	37 250	41 984										
B	EC142 Port St Johns	19 231	20 119										
B	EC145	21 452	19 231										
C	DC14 - Joe Gqabi District Municipality												
	Total: Joe Gqabi Municipalities	247 132	276 702										
B	EC153 Ngqozu Hill	52 025	55 786										
B	EC154 Port St Johns	32 781	35 004										
B	EC155 Nyandeni	58 050	62 288										
B	EC157 King Sabata Dalindyebo	82 913	88 381										
C	DC15 - O.R. Tambo District Municipality												
	Total: O.R. Tambo Municipalities	875 828	944 184										
B	EC441 Matielack	47 012	50 400										
B	EC442 Umzimvubu	44 261	50 114										
B	EC443 Ntshona	46 159	49 483										
C	DC44 - Alfred Nzo District Municipality												
	Total: Alfred Nzo Municipalities	534 809	598 550										
	Total: Eastern Cape Municipalities	2 956 779	3 115 479										

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) I OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Identification Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
FREE STATE													
A	MAN, Manguag												
B	FS161 Leremeng	16 635	17 754	18 544		65 000	70 000						
B	FS162 Kopong	19 977	21 346	22 860		25 702	25 000						
B	FS163 Moshare	28 429	18 606	19 450		30 365	48 500						
	Total: Ntshong District Municipality	65 041	57 706	60 854		13 436	183 500						
B	FS181 Mchobanyama	22 500	22 898	25 069									
B	FS182 Mchobanyama	16 422	16 422	16 422									
B	FS183 Tsoelike	15 736	16 735	17 515		37 000							
B	FS184 Makhubung	113 363	122 020	129 272									
B	FS185 Nala	28 299	30 283	31 849									
	Total: Leretseba District Municipality	205 696	209 838	231 292		37 000							
B	FS191 Sechiso	45 691	48 294	50 977									
B	FS192 Mphahlele	20 218	22 899	24 192		45 000							
B	FS193 Nkomo	154 870	166 843	176 873		55 000							
B	FS194 Mkhul-a-Phoding	20 090	21 463	22 484		26 638							
B	FS195 Phumela	19 681	20 338	21 310									
	Total: Tlokoetse District Municipality	300 222	322 375	340 495		152 000							
B	FS201 Mochulus	38 240	41 088	43 234									
B	FS203 Nyarhe	40 070	42 927	45 277									
B	FS204 Motemaholo	42 623	45 677	48 198									
B	FS205 Maitheba	21 422	22 895	24 004									
	Total: Ficksburg District Municipality	142 464	152 587	160 803									
	Total: Free State Municipalities	714 423	742 506	782 944		124 656	302 546	130 967	152 500	183 500	156 500	8 572	9 864
GAUTENG													
A	EK1 Ebenezer												
A	JHB City of Johannesburg												
A	TSH City of Tshwane												
B	GT421 Enkelaeni	160 762	173 207	183 422									
B	GT422 Mafyal	30 339	32 478	34 181									
B	GT423 Lessel	25 204	26 957	28 118									
	Total: Sediberg District Municipality	216 306	232 642	246 131									
B	GT481 Mogale City	97 514	104 905	111 097									
B	GT484 Maiteng City	55 283	59 300	62 666		20 000	30 000						
B	GT485 Maiteng City	81 496	85 666	87 941		20 000	20 000						
	Total: West Rand District Municipality	240 295	249 873	261 744		70 000	125 000	32 000	33 000	40 000	2 484	2 449	
	Total: Gauteng Municipalities	456 601	479 515	507 375		70 000	100 000	171 000	180 000	187 000	4 834	5 357	

ANNEXURE WS
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 1 OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Electrification Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
KWAZULU-NATAL													
A	ETH - eThekweni												
B	KZN212 KZN212	35 870	31 342	32 975									
B	KZN213 Umzimbe	34 829	36 677	32 975									
B	KZN214 Umzimbe	24 980	23 814	24 980									
B	KZN215 Umzimbe	251 610	266 894	251 610									
Total: Ugu District Municipality		404 608	428 154	428 154	12 776	12 776	73 213	130 372	145 000	145 000	24 000	27 000	2 811
B	KZN221 uMhlabathi	26 329	28 175	29 612									
B	KZN222 uMhlabathi	21 866	23 506	24 653									
B	KZN223 uMhlabathi	11 680	12 213	12 660									
B	KZN224 uMhlabathi	10 862	11 422	11 982									
B	KZN225 uMhlabathi	208 852	219 254	229 656									
B	KZN226 uMhlabathi	15 626	16 363	17 067									
B	KZN227 uMhlabathi	18 790	19 644	20 498									
Total: Umpumalane District Municipality		409 280	434 234	444 234									
B	KZN235 Okhahlamba	27 014	28 907	30 388									
B	KZN237 Okhahlamba	38 547	38 506	40 852									
B	KZN238 Okhahlamba	128 506	129 327	130 148									
Total: Umkhathini District Municipality		304 420	322 928	331 470	80 000	102 419	197 906	81 807	152 500	93 000	93 000	11 500	9 000
B	KZN241 eMsimeni	14 517	15 021	16 121									
B	KZN242 eMsimeni	29 778	31 879	33 541									
B	KZN244 eMsimeni	35 800	40 322	40 322									
B	KZN245 eMsimeni	30 444	32 020	32 020									
Total: Umzimvubu District Municipality		187 470	202 246	202 246	106 437	29 245	144 342	84 111	139 764	108 000	108 000	7 000	8 000
B	KZN252 Newcastle	109 214	117 539	124 514									
B	KZN253 Newcastle	20 608	22 199	23 265									
Total: Amathole District Municipality		178 402	191 856	202 507	49 000	49 000	78 000	90 013	89 500	133 000	16 000	18 000	25 000
B	KZN261 eDumbe	17 221	18 384	19 213									
B	KZN262 uPhongolo	28 805	30 386	30 386									
B	KZN263 Abaqulusi	37 966	40 009	40 009									
B	KZN264 uMhlabathi	31 570	33 217	33 217									
Total: Zululand District Municipality		218 314	233 355	249 631	108 011	60 322	23 200	109 071	133 653	104 000	104 000	95 000	81 000
B	KZN271 Umhlabuyaligan	33 325	35 692	37 594									
B	KZN272 Jozini	35 689	38 231	40 291									
B	KZN275 Mthunzi	32 442	34 442	34 442									
Total: Uthungulu District Municipality		207 522	223 701	232 255	130 000	55 953	102 000	70 371	55 953	102 000	72 000	66 000	66 000
B	KZN281 Mkhosi	24 049	26 773	28 122									
B	KZN282 KZN282	99 817	111 843	118 467									
B	KZN284 uMhlazi	41 295	43 544	43 544									
B	KZN285 KZN285	18 809	18 379	19 199									
Total: Uthungulu District Municipality		165 170	177 866	188 685	211 224	173 602	182 527	83 369	115 500	73 000	73 000	43 500	61 000
B	KZN291 Mcedini	33 757	36 154	38 085									
B	KZN292 KwaDukuza	49 330	52 891	55 859									
B	KZN293 Ndlewe	28 451	30 450	32 027									
Total: Lembedi District Municipality		319 823	343 785	363 542	130 000	130 000	98 500	63 500	107 165	107 165	43 500	50 000	55 000
B	KZN433 Greater Kokstad	31 525	17 637	18 050									
B	KZN434 Umzimkhulu	41 399	44 366	46 805									
B	KZN436 KZN436	29 213	27 722	29 130									
Total: Harry Goniwe District Municipality		317 467	336 051	344 232	60 000	100 000	38 718	86 118	98 000	118 400	61 000	56 000	60 000
Total: KwaZulu-Natal Municipalities		3 273 827	3 462 540	3 660 608	578 388	645 548	487 713	800 450	1 180 448	1 287 265	554 100	558 500	23 212
													24 399
													25 809

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) I OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Electrification Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
LIMPOPO													
B	LM331 Greater Giyani	57 902	62 128										
B	LM332 Greater Tzaneen	46 668	50 804										
B	LM333 Greater Tzaneen	89 797	96 571										
B	LM334 Bas-Panahobwa	30 568	32 725										
B	LM335 Marburg	25 418	27 377										
B	LM336 Marburg District Municipality	6 266	6 737										
Total Limpopo Municipalities		497 508	751 341										
B	LM341 LM341	38 814	29 637										
B	LM342 LM342	11 164	10 765										
B	LM343 LM343	85 346	97 142										
B	LM344 Makhado	10 765	10 765										
B	LM345 LM345	88 177	84 023										
B	LM346 Bala-Bala	49 287	53 615										
C	DC34 Vhembe District Municipality	497 287	536 615										
Total Limpopo Municipalities		801 285	893 864										
B	LM351 LM351	44 381	45 367										
B	LM353 LM353	48 642	35 930										
B	LM354 LM354	29 877	37 847										
B	LM355 LM355	39 969	43 463										
B	LM356 Lepelle-Nkomo	51 466	53 343										
C	DC35 Capricorn District Municipality	243 872	240 225										
Total Limpopo Municipalities		683 304	772 511										
B	LM361 Thabamphi	28 714	30 736										
B	LM362 Lephalale	36 535	40 796										
B	LM366 Bala-Bala	22 571	24 130										
B	LM367 Mookgweetsen	19 856	21 316										
B	LM368 LM368	36 255	37 416										
C	DC36 Waterberg District Municipality	36 255	37 416										
Total Limpopo Municipalities		262 381	281 783										
B	LM471 Erbraam Mqale	31 917	35 987										
B	LM472 Ehis Mookwadi	52 419	59 386										
B	LM473 Makhadithanga	59 210	63 399										
B	LM474 Makhadithanga	67 230	72 300										
C	DC47 Sekake District Municipality	457 984	491 172										
Total Limpopo Municipalities		682 415	754 885										
Total Limpopo Municipalities		3 126 953	3 340 381										
MPUMALANGA													
B	MP101 Albert Luthuli	89 194	94 412										
B	MP102 Mookgwa	60 442	56 977										
B	MP103 Mookgwa	74 666	80 232										
B	MP104 Mookgwa	34 859	37 416										
B	MP105 Mookgwa	38 531	39 977										
B	MP106 Diphakeng	17 959	19 174										
B	MP107 Govan Mbeki	55 161	59 168										
Total Mpumalanga Municipalities		362 176	388 151										
B	MP111 Victor Khanye	30 377	25 426										
B	MP112 Victor Khanye	12 466	12 466										
B	MP113 Steve Tshete	47 457	50 872										
B	MP114 Enkhazeni	25 404	18 577										
B	MP115 Thembisile Hani	119 504	128 492										
B	MP116 Thembisile Hani	119 504	128 492										
C	DC31 Nkomagala District Municipality	155 864	163 317										
Total Mpumalanga Municipalities		451 067	472 533										
B	MP231 Thabo Chwen	46 035	53 089										
B	MP234 Nkomazi	216 355	233 239										
B	MP235 Bushbuckridge	358 773	387 035										
B	MP236 Mphahlele	330 659	346 957										
Total Mpumalanga Municipalities		951 812	1 016 571										
Total Mpumalanga Municipalities		1 766 055	1 847 255										

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE S, PART B) OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Education Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
NORTHERN CAPE													
B	NC001 Rieteveld	7 001	7 547										
B	NC002 Kaniemba	14 118	15 711					1 500	2 000				
B	NC004 Kaniemba	8 406	7 781						3 000				
B	NC005 Hanam	10 386	19 494						2 000				
B	NC006 Kaniemba	9 272	24 426	30 000				1 600	2 000				
B	NC007 Kaniemba	7 744	8 303	26 379					1 000				
B	NC008 Kaniemba	5 187	6 621						2 000				
C	DC5 Naniama District Municipality	61 780	57 349	40 426	56 479			3 100	9 000	2 667	2 800	2 941	
FRANCIS BAARD MUNICIPALITIES													
B	NC071 Uitenhage	9 514	10 414										
B	NC072 Uitenhage	17 464	12 070						2 000				
B	NC073 Uitenhage	11 602	12 342	10 000				2 500	2 000				
B	NC074 Kaniemba	7 999	7 100	15 000	40 100			3 000	2 000				
B	NC075 Kaniemba	7 037	7 544					1 000	1 000				
B	NC076 Kaniemba	9 018	9 847					1 000	1 000				
B	NC077 Kaniemba	9 379	9 954					5 000	500				
B	NC078 Kaniemba	15 851	16 908					4 000	4 000				
C	DC7 Siyanda District Municipality	87 654	86 184	30 000	40 300			16 500	10 000	2 973	3 122	3 263	
FRANCIS BAARD MUNICIPALITIES													
B	NC082 Kaniemba	29 566	29 566										
B	NC084 Kaniemba	10 205	10 890					2 000	2 000				
B	NC085 Kaniemba	14 833	15 815					1 500	2 000				
B	NC086 Kaniemba	7 673	8 314					1 500	2 000				
C	DC8 Z. M. Goniwe District Municipality	27 177	25 610					5 000	5 000	2 684	2 822	2 963	
FRANCIS BAARD MUNICIPALITIES													
B	NC091 Kaniemba	81 280	83 250	20 000				8 500	5 000	2 684	2 822	2 963	
B	NC092 Kaniemba	18 552	19 052					2 500	2 000				
B	NC093 Kaniemba	18 487	19 000					2 500	2 000				
B	NC094 Kaniemba	11 323	11 715					3 000	1 000				
B	NC095 Kaniemba	25 064	26 815					1 500	1 000				
C	DC9 Z. M. Goniwe District Municipality	101 756	108 992	20 000				14 400	11 900	2 427	2 548	2 669	
FRANCIS BAARD MUNICIPALITIES													
B	NC451 Joe Mollobo	57 839	62 069										
B	NC452 Joe Mollobo	12 164	12 309										
C	DC55 John F. G. Steyn District Municipality	21 566	22 762	10 000				20 000	30 000	1 823	1 914	2 065	
FRANCIS BAARD MUNICIPALITIES													
B	NC453 John F. G. Steyn District Municipality	130 929	129 613	10 000	69 330			140 984	290 761	1 823	1 914	2 065	
NORTH WEST													
B	NW371 Moseke	463 379	463 792	64 494	166 409			140 984	290 761	12 574	13 206	13 921	
B	NW372 Moseke	110 842	117 402										
B	NW373 Moseke	248 907	284 717					45 095	74 000				
B	NW374 Moseke	25 800	26 800					30 000	74 000				
B	NW375 Moseke	23 915	25 710					38 699	84 135				
C	DC37 Beaufort West District Municipality	133 507	143 773					123 304	230 135	2 175	2 284	2 425	
FRANCIS BAARD MUNICIPALITIES													
B	NW381 Rieteveld	762 995	808 734										
B	NW382 Rieteveld	30 031	31 582										
B	NW383 Rieteveld	29 901	31 445										
B	NW384 Rieteveld	37 355	39 360										
B	NW385 Rieteveld	40 030	40 030										
C	DC38 Namaqualand District Municipality	290 197	332 068					4 000	4 500	2 381	2 534	2 675	
FRANCIS BAARD MUNICIPALITIES													
B	NW392 Naniama	16 204	17 289										
B	NW393 Naniama	19 979	19 979										
B	NW394 Naniama	15 046	15 046										
B	NW397 Kaniemba	25 677	30 716										
B	NW398 Kaniemba	32 310	32 310										
C	DC39 Dr. Ruth Sisonke District Municipality	134 713	145 080	116 859	136 433			102 000	111 557				
C	DC40 Dr. Ruth Sisonke District Municipality	270 600	272 809	112 339	136 433			77 700	77 700	2 290	2 439	2 580	
B	NW403 City of Matieland	83 362	89 622					16 800	15 000				
B	NW404 Matieland Hills	26 925	28 809					2 060	15 000				
B	NW405 Matieland Hills	64 813	68 245										
C	DC40 Dr. Kenneth Kaunda District Municipality	175 099	186 716					18 600	30 000	2 242	2 354	2 495	
FRANCIS BAARD MUNICIPALITIES													
B	NW406 Matieland Hills	1 624 349	1 733 459	113 339	116 859			204 904	326 635	9 083	9 611	10 175	

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 1 OF 2

Category	Municipality	Municipal Infrastructure Grant		Regional Bulk Infrastructure Grant		Water Services Infrastructure Grant		Integrated National Identification Programme		Rural Roads Asset Management Systems Grant		Municipal Disaster Recovery Grant	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
WESTERN CAPE													
A	GPT - City of Cape Town												
B	WC011 Matieland	20 337	21 729	22 766					5 000	9 000			
B	WC012 Oos-Karoo	22 631	15 943	16 621	21 047	7 426			3 000	2 500			
B	WC013 Bergvliet	13 884	14 795	15 402					3 000	3 000			
B	WC014 Mossel Bay	17 725	17 725	18 342					2 000	2 000			
B	WC015 Swartland	20 330	21 722	22 759					5 000	5 000			
C	DCL - West Coast District Municipality								6 000				
	Total West Coast Municipalities	95 714	93 977	98 253	21 047	7 426			16 000	11 500	2 424	2 545	2 686
B	WC022 Witsand	21 389	22 861	23 968	27 841	559			5 000	6 000			
B	WC023 Dikenskrin	33 542	35 921	37 837					5 000	4 000			
B	WC024 Stellenbosch	34 147	36 575	38 531	32 809				5 000	4 000			
B	WC025 Beesde Valley	32 883	35 214	37 087					2 000	2 000			
B	WC026 Swellendam	20 793	22 422	23 962					1 221	1 000			
C	DCL - Cape Winelands District Municipality								16 221	17 000	2 683	2 817	2 958
	Total Cape Winelands Municipalities	147 946	153 993	160 925	60 650	559			14 500	15 000	2 427	2 548	2 689
B	WC031 Theewaterskloof	25 204	26 984	28 346					6 500	7 000			
B	WC032 Overstrand	21 030	22 450	23 531					5 000	4 000			
B	WC033 Cape Agulhas	10 500	11 160	11 842					1 000	2 000			
C	DCL - South West District Municipality	18 191	12 116	12 537					2 000	2 000			
	Total Overberg Municipalities	75 126	72 710	75 976					14 500	16 000	2 427	2 548	2 689
B	WC041 Kommandeur	9 003	10 407	10 545					16 000	11 000			
B	WC042 Mossel Bay	13 024	14 874	14 254					3 000	2 000			
B	WC043 Mossel Bay	23 004	24 599	25 814					10 000	9 947			
B	WC044 George	38 283	41 012	43 244					9 500	12 000			
B	WC045 Knysna	16 000	16 000	16 000					5 000	5 000			
B	WC046 Plettenberg	19 251	20 585	21 530					8 000	8 000			
B	WC048 Knysna	23 891	25 549	26 823					3 001	4 000			
C	DCL - Edenburg District Municipality								4 000	3 000			
	Total Eden Municipalities	148 013	158 196	165 924					57 501	56 743	2 364	2 482	2 623
B	WC051 Langsburg	6 316	6 663	6 766					1 999	4 000			
B	WC052 Prince Albert	7 212	7 628	7 790					1 000	4 000			
C	DCL - Karoo District Municipality	25 835	14 204	14 774					4 500				
	Total Central Karoo Municipalities	39 363	28 495	29 330					7 499	8 000	1 866	1 959	2 110
	Total Western Cape Municipalities	501 162	506 541	530 307	81 697	7 985			111 721	111 500	11 764	12 351	13 066
Unallocated													
	National Total	14 914 028	15 991 252	16 893 085	1 850 000	1 865 000	2 060 000	2 844 982	3 959 056	3 729 844	101 514	107 309	113 533

ANNEXURE W 5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 2 OF 2

Category	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capital) Grant		Integrated City Development Grant		SUB-TOTAL: INFRASTRUCTURE		
	30/06/2015 (R'000)	30/06/2016 (R'000)	30/06/2015 (R'000)	30/06/2016 (R'000)	30/06/2015 (R'000)	30/06/2016 (R'000)	30/06/2015 (R'000)	30/06/2016 (R'000)	30/06/2015 (R'000)	30/06/2016 (R'000)	
EASTERN CAPE											
A	BUFF	731 499	774 202	813 335	166 309	19 246	24 039	6 089	817 214	890 177	1 070 310
A	MMA	868 283	918 970	965 421	370 079	21 476	36 133	9 276	934 034	1 241 719	1 427 478
B	EC101								42 623	31 012	37 004
B	EC102								18 666	24 561	30 154
B	EC104								40 288	32 901	36 134
B	EC105								2 289	1 628	1 573
B	EC106								33 446	41 145	47 586
B	EC108								36 326	42 463	49 165
B	EC109								14 694	19 665	20 326
C	DC10								2 261	2 374	2 315
Town: Sarah Baartman District Municipality											
B	EC121								219 858	240 993	262 045
B	EC122								72 745	86 414	94 910
B	EC123								64 727	92 969	102 762
B	EC124								16 072	16 415	18 812
B	EC125								35 147	28 737	30 208
B	EC126								2 105	1 889	2 020
B	EC129								44 969	45 118	51 295
C	DC12								534 732	613 272	621 719
Town: Amathole District Municipality											
B	EC131								794 246	905 882	943 775
B	EC132								24 369	26 301	27 007
B	EC135								56 385	69 003	76 420
B	EC136								41 075	39 202	36 075
B	EC137								80 431	59 392	71 524
B	EC138								19 539	18 541	19 380
B	EC139								61 668	63 382	70 305
C	DC13								659 810	743 191	803 559
Town: Chris Hani District Municipality											
B	EC141								867 409	876 294	862 457
B	EC142								51 750	59 826	61 984
B	EC143								39 728	39 351	41 480
C	DC14								238 311	303 577	335 155
Town: Joe Gqabi District Municipality											
B	EC153								356 541	421 945	479 032
B	EC154								59 057	67 786	73 934
B	EC155								52 781	60 104	65 970
B	EC156								54 600	63 265	67 761
B	EC157								107 213	103 381	108 548
C	DC15								1 064 794	1 157 158	1 186 727
Town: O.R. Tambo District Municipality											
B	EC441								1 405 055	1 529 982	1 579 778
B	EC442								127 012	130 400	133 713
B	EC443								59 261	77 482	80 114
B	EC444								71 159	74 483	82 240
C	DC14								75 960	77 738	88 147
Town: Alfred Nzo District Municipality											
B	EC445								464 525	544 017	571 276
B	EC446								729 317	794 181	904 270
Town: Eastern Cape Municipalities											
		1 509 781	1 693 172	1 778 756	536 472	40 822	61 112	15 356	6 192 574	7 110 112	7 530 763

ANNEXURE W.5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 2 OF 2

Category	Municipality	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capital) Grant		Integrated City Development Grant		SUB-TOTAL INFRASTRUCTURE		
		National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	
FREE STATE												
A	MAN - Mankgale	725 003	767 226	806 113	200 042	215 049	60 543	74 543	55 482	10 912	10 718	1 112 963
B	FS161 - Leribe											88 544
B	FS162 - Kapanong											92 360
B	FS163 - Molebare											86 386
C	DC16 - Xhariep District Municipality											2 200
Total Xhariep Municipalities												
B	FS181 - Maseru											25 069
B	FS182 - Tokologo											63 587
B	FS183 - Tswelopele											17 515
B	FS184 - Matjhabeng											137 272
C	DC18 - Lejolele District Municipality											5 420
C	DC18 - Lejolele District Municipality											2 435
Total Lejolele District Municipality												
B	FS191 - Senofo											56 477
B	FS192 - Diale											45 674
B	FS193 - Mafisa-Phofung											35 934
B	FS194 - Phumelela											203 501
B	FS195 - Mantsopa											238 873
B	FS196 - Mantsopa											32 484
C	DC19 - Thabo Mofutsanyana District Municipality											28 310
C	DC19 - Thabo Mofutsanyana District Municipality											2 222
Total Thabo Mofutsanyana Municipalities												
B	FS201 - Mopohaka											44 088
B	FS202 - Nquthu											52 324
B	FS203 - Mestmaholo											46 920
B	FS204 - Mestmaholo											60 677
B	FS205 - Mestmaholo											6 666
C	DC20 - Daku District Municipality											2 325
C	DC20 - Daku District Municipality											2 325
Total Daku District Municipality												
Total Free State Municipalities												
		725 003	767 226	806 113	200 042	215 049	60 543	74 543	55 482	10 912	10 718	1 112 963
GAUTENG												
A	EKU - Ekurhuleni	1 890 352	2 000 706	2 104 836	500 002	800 017	41 234	39 250	51 234	38 078	45 577	3 031 308
A	JHB - City of Johannesburg	1 775 809	1 879 478	1 974 478	1 102 932	1 177 000	60 730	43 000	28 470	64 746	63 592	3 129 000
A	ESH - City of eThekweni	1 539 334	1 629 136	1 711 588	950 011	1 000 141	48 500	44 784	45 305	42 653	41 892	2 626 497
B	GH421 - Emfuleni						12 240	20 198	19 562			218 194
B	GH422 - Midvaal											39 339
B	GH423 - Lesedi											41 478
C	DC12 - Sediberg District Municipality											31 204
C	DC12 - Sediberg District Municipality											36 957
Total Sediberg District Municipality												
B	GH481 - Mogale City						12 240	20 198	19 562			218 194
B	GH484 - Merafong City						46 910	41 721	40 781			181 626
B	GH485 - Merafong City											95 300
B	GH485 - Merafong City						10 000	10 000	10 000			134 498
B	GH485 - Merafong City						56 210	51 721	50 781			144 668
Total West Rand District Municipality												
Total Gauteng Municipalities												
		5 205 498	5 509 578	5 787 862	2 165 521	2 377 158	219 614	198 913	195 352	148 576	151 061	9 401 908
TOTAL												
		8 738 541	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908	9 401 908

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 2 OF 2

Municipality	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capital) Grant		Integrated City Development Grant		SUB-TOTAL: INFRASTRUCTURE			
	National and Municipal Financial Year 2016/17 (R'000)	2015/16 (R'000)	National and Municipal Financial Year 2016/17 (R'000)	2015/16 (R'000)	National and Municipal Financial Year 2016/17 (R'000)	2015/16 (R'000)	National and Municipal Financial Year 2016/17 (R'000)	2015/16 (R'000)	National and Municipal Financial Year 2016/17 (R'000)	2015/16 (R'000)		
KWAZULU-NATAL												
A. ETIH - eThekweni	1 885 685	1 995 766	2 096 646	950 078	1 000 023	1 000 023	51 100	50 000	56 100	50 256	49 361	52 224
B. KZN212 KZN212												
B. KZN213 Umzimbe												
B. KZN214 uMtwabantu												
B. KZN216 KZN216												
Total: Uthmaniyah District Municipality												
B. KZN221 uMkhawathi												
B. KZN222 uMngeni												
B. KZN223 iPhondo												
B. KZN224 iNqololo												
B. KZN225 Mankosi												
B. KZN226 Mkhambathini												
B. KZN227 Richmond												
Total: Umgamoozweni District Municipality												
B. KZN235 Okhahlamba												
B. KZN237 KZN237												
B. KZN238 KZN238												
Total: Uthukela District Municipality												
B. KZN241 Endamoni												
B. KZN242 Nqutu												
B. KZN244 Msinga												
B. KZN245 Umvoti												
Total: Umzimvubu District Municipality												
B. KZN252 Newcastle												
B. KZN253 Emolalngeni												
B. KZN254 iNdlu												
Total: Amathole District Municipality												
B. KZN261 eDunbe												
B. KZN262 uPhongolo												
B. KZN263 Nqongolosi												
B. KZN265 Nongoma												
B. KZN266 Ulundi												
Total: Zululand District Municipality												
B. KZN271 Umhlabiyalingana												
B. KZN272 Jozi												
B. KZN275 Mthunuba												
B. KZN276 KZN276												
Total: Umhlabontata District Municipality												
B. KZN281 Mfobazi												
B. KZN282 KZN282												
B. KZN284 uMhlati												
B. KZN285 KZN285												
B. KZN286 Ntshongweni												
Total: Uthungulu District Municipality												
B. KZN291 Mankeni												
B. KZN292 Gqolomzi												
B. KZN293 Nkwenkwe												
B. KZN294 Maphumulo												
Total: I Lembe Municipality												
B. KZN433 Greater Kokstad												
B. KZN434 Ukhahlamba												
B. KZN435 Umzimkhulu												
B. KZN436 KZN436												
Total: Hlabisa District Municipality												
Total: KwaZulu-Natal Municipalities	1 885 685	1 995 766	2 096 646	1 150 009	1 212 056	1 212 056	123 533	113 742	134 879	50 256	49 361	52 224
Total: KwaZulu-Natal Municipalities	1 885 685	1 995 766	2 096 646	1 150 009	1 212 056	1 212 056	123 533	113 742	134 879	50 256	49 361	52 224

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 7 OF 2

Category	Municipality	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capital) Grant		Integrated City Development Grant		SUB-TOTAL: INFRASTRUCTURE	
		National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)	National and Municipal Financial Year 2015/16 (R'000)	2016/17 (R'000)
LIMPOPO											
B	LIM331 Greater Giyani									64 902	72 128
B	LIM332 Greater Tzaneen									106 541	116 871
B	LIM333 Greater Tzaneen									114 797	116 871
B	LIM334 Bap-Phephelaborwa									30 568	35 725
B	LIM335 Mandeng									25 418	27 377
C	DC333 Mopani District Municipality									638 257	681 938
	Total Limpopo Municipalities									847 965	939 527
B	LIM341 LIM341									38 814	31 664
B	LIM343 LIM343									136 661	141 824
B	LIM344 Makhado									101 346	113 765
B	LIM345 LIM345									91 177	96 920
	Total Vhembe Municipalities									375 278	404 191
B	LIM351 LIM351									53 381	52 367
B	LIM353 LIM353									43 846	39 930
B	LIM354 LIM354			200 026	200 026	34 538	30 358	45 235		739 666	765 648
B	LIM355 Mopani									55 821	58 881
C	DC355 Capricorn District Municipality									348 919	368 161
	Total Capricorn Municipalities			200 026	200 026	34 538	30 358	45 235		1 257 278	1 311 449
B	LIM361 Thabazimbi									48 714	72 736
B	LIM362 Middelburg									86 916	86 916
B	LIM366 Bhebe									80 571	80 130
B	LIM367 Mopani									178 486	218 230
B	LIM368 LIM368									89 255	97 901
C	DC366 Waterberg District Municipality									1 897	1 992
	Total Waterberg Municipalities									462 278	548 695
B	LIM471 Ephraim Mogale									31 917	34 179
B	LIM472 Elias Mosenledi									65 419	66 212
B	LIM473 Makhaditlanga									66 210	63 599
B	LIM476 LIM476									160 885	166 423
C	DC476 Sekake District Municipality									1 897	2 133
	Total Sekake Municipalities									348 535	331 545
	Total Limpopo Municipalities			200 026	200 026	34 538	30 358	45 235		4 392 274	4 712 507
MPUMALANGA											
B	MP301 Albert Luthuli									106 655	95 194
B	MP302 Msabeni									72 442	63 944
B	MP303 Mhondeni									78 666	87 232
B	MP304 Mkhondo									35 648	35 648
B	MP305 Kwa-Sene									45 531	35 461
B	MP306 Dpalaseng									24 959	26 174
B	MP307 Govan Mbeki									60 161	64 168
C	DC300 Gert Sibande District Municipality									99 464	91 710
	Total Gert Sibande Municipalities									520 998	499 861
B	MP311 Vitor Khanye									34 777	36 426
B	MP312 Enahlaheni					33 081	40 360	37 024		191 304	176 309
B	MP313 Steve Tshwete									47 457	58 872
B	MP314 Emakuzeni									33 404	25 566
B	MP315 Mankweng									191 082	191 082
B	MP316 D. R. Masala									119 082	131 217
C	DC311 Sekamela District Municipality									2 076	2 321
	Total Sekamela Municipalities					33 081	40 360	37 024		564 624	559 284
B	MP321 Thaba Chweu									66 025	64 540
B	MP322 Mankweng									329 542	321 711
B	MP325 Bushbuckridge									633 723	453 055
B	MP326 MP326			200 058	200 058	48 637	57 782	47 110		705 726	770 200
C	DC322 Ehlanzeni District Municipality									1 958	40 810
	Total Ehlanzeni Municipalities			200 058	200 058	48 637	57 782	47 110		1 737 029	1 897 893
	Total Mpumalanga Municipalities			200 058	200 058	81 718	98 142	84 134		2 821 751	2 750 479

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 2 OF 2

Category	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capital) Grant		Integrated City Development Grant		SUB-TOTAL: INFRASTRUCTURE		
	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2018/19 (R'000)	
NORTHERN CAPE											
B	NC061	Richardsd								8 501	9 398
B	NC062	Nama-Khoi								13 927	17 841
B	NC064	Kamiesberg								8 406	7 619
B	NC065	Hantam								28 766	36 309
B	NC066	Karoo Hoogland								9 344	24 167
B	NC067	Stellenbosch								15 461	16 865
C	DC06	Northern Cape District Municipality								5 627	2 880
		Total: Northern Cape Municipalities								87 041	107 979
B	NC071	Uitenhage								9 514	13 098
B	NC072	Umsobomvu								19 064	13 578
B	NC073	George								25 600	25 600
B	NC074	Kareeberg								23 669	28 117
B	NC075	Renosterberg								8 137	8 544
B	NC076	Thembelille								9 018	9 564
B	NC077	Siyathemba								14 379	9 954
B	NC078	St. Francis								15 855	10 761
C	DC07	Port Elizabeth District Municipality								9 973	3 172
		Total: Port Elizabeth District Municipality								137 107	129 306
B	NC082	Ikai Gxweb								23 395	24 866
B	NC084	Ikheis								10 202	10 839
B	NC085	Ikheis								14 200	11 200
B	NC086	Kamshabane								9 173	10 120
B	NC087	Kamshabane								32 177	26 610
C	DC08	Z.F. Mkhawana District Municipality								2 684	2 822
		Total: Z.F. Mkhawana District Municipality								92 464	91 872
B	NC091	Sid Phahle								77 452	99 799
B	NC092	Dikgatlong								20 987	21 902
B	NC093	Magareng								13 653	12 323
B	NC094	Phokwane								26 564	27 815
C	DC09	Franses Baard District Municipality								2 427	2 548
		Total: Franses Baard District Municipality								141 085	148 367
B	NC451	Joe Morolong								143 023	171 265
B	NC452	Ga-Segonyana								107 321	147 022
B	NC453	Gumagan								41 569	144 087
C	DC45	John Radebe District Municipality								2 427	2 548
		Total: John Radebe District Municipality								293 736	464 288
NORTH WEST											
B	NW371	Moretele								146 505	179 842
B	NW372	Madibeng								261 211	280 393
B	NW373	Rustenburg								52 418	617 282
B	NW374	Sigatsoevier								24 416	24 416
B	NW375	Ngodong								173 116	227 908
C	DC37	Bojanala Platinum District Municipality								2 175	2 284
		Total: Bojanala Platinum District Municipality								1 136 840	1 332 210
B	NW381	Ratlou								45 059	50 031
B	NW382	Madibeng								29 441	31 382
B	NW383	Madibeng								70 417	62 685
B	NW384	Dusobola								39 875	44 355
B	NW385	Ramotshere Motloutse								35 460	42 986
C	DC38	Njala Mediri Motloutse District Municipality								296 578	320 015
		Total: Njala Mediri Motloutse District Municipality								514 828	552 973
B	NW392	Naledi								34 204	26 289
B	NW393	Mamusa								19 979	15 972
B	NW394	Greater Tlangu								45 436	48 706
B	NW396	Lekwa-Isimane								40 617	23 046
B	NW397	Wessiesburg								30 676	30 676
C	DC39	Dr Ruth Segamotse Mompati District Municipality								328 046	306 378
		Total: Dr Ruth Segamotse Mompati District Municipality								496 979	517 107
B	NW403	City of Mafeteng								136 224	132 622
B	NW404	City of Mafeteng								66 872	66 872
B	NW405	City of Mafeteng								83 289	87 207
C	DC40	Dr Kenneth Kaunda District Municipality								2 242	2 354
		Total: Dr Kenneth Kaunda District Municipality								222 253	247 070
		Total: North West Municipalities								2 370 900	2 629 360

ANNEXURE W5
INFRASTRUCTURE GRANT ALLOCATIONS TO MUNICIPALITIES (SCHEDULE 4, PART B AND SCHEDULE 5, PART B) 2 OF 2

Category	Municipality	Urban Settlements Development Grant		Public Transport Network Grant		Neighbourhood Development Partnership (Capitol) Grant		Integrated City Development Grant		SUB-TOTAL - INFRASTRUCTURE		
		2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	
WESTERN CAPE												
A	CPM City of Cape Town	1 423 504	1 506 605	1 582 760	1 000 152	12 215	44 805	53 629	56 740	2 430 587	2 540 273	2 648 652
B	WC011 Matieland									23 337	24 229	25 766
B	WC012 Cederberg									46 678	26 369	19 621
B	WC013 Bergriver									15 884	17 795	20 402
B	WC014 Saldanha Bay									20 332	22 288	25 705
B	WC015 West Coast District Municipality									2 424	2 545	2 686
	Total: West Coast Municipalities									115 185	115 448	116 939
B	WC022 Wizenberg									54 230	29 420	30 968
B	WC023 Dakenstein									38 542	39 921	41 837
B	WC024 Stellenbosch									4 006	4 006	4 006
B	WC025 Breede Valley									12 885	17 214	40 087
B	WC026 Langeberg									22 204	23 422	23 502
C	DC2 Cape Winelands District Municipality									2 683	2 817	2 938
	Total: Cape Winelands Municipalities									222 500	173 369	184 883
B	WC031 Theewaterskloof									31 704	33 984	34 346
B	WC032 Overstrand									26 030	26 450	29 531
B	WC033 Cape Agulhas									11 501	13 160	13 542
B	WC034 Swellendam									20 391	14 116	14 557
C	DC3 Overberg District Municipality									2 427	2 548	2 689
	Total: Overberg Municipalities									94 053	99 258	94 065
B	WC041 Kamalands									25 803	23 407	19 539
B	WC042 Hessequa									46 023	15 874	16 424
B	WC043 Mossel Bay									33 004	31 599	35 761
B	WC044 George			106 444	115 275					154 267	168 289	153 529
B	WC045 Plettenberg Bay									27 252	28 565	28 565
B	WC047 Baviaan									27 252	28 565	28 565
B	WC048 Knysna									36 892	39 549	39 823
C	DC4 Eden District Municipality									2 364	2 482	2 623
	Total: Eden Municipalities									354 322	340 943	320 484
B	WC051 Langesburg									8 315	10 663	8 766
B	WC052 Prince Albert									8 212	11 628	10 790
B	WC053 Beaufort West									30 335	14 204	14 774
C	DC5 Central Karoo District Municipality									1 866	1 959	2 110
	Total: Central Karoo Municipalities									48 728	38 454	36 440
	Total: Western Cape Municipalities	1 423 504	1 506 605	1 582 760	1 005 447	22 215	44 805	53 629	56 740	3 282 375	3 298 745	3 402 003
	Unallocated										300 000	300 000
	National Total	10 839 468	11 472 247	12 052 137	6 793 269	624 000	2 668 805	292 119	309 062	39 119 734	42 588 124	45 087 086

ANNEXURE W6

**ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)
(National and Municipal Financial Years)**

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)

Category	Integrated National Electrification Programme (Ekohm) Grant		Neighbourhood Development Partnership Grant (Technical Assistance)		Bucket Evaluation Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SI-R-TOTAL: INDIRECT	
	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)	2016/17 (R200)	2017/18 (R200)
EASTERN CAPE														
Municipality														
A	19 850	21 546	1 509	1 509									21 546	23 044
B	2 153	2 339	4 348	4 348									23 044	2 367
B	3 782	4 110	553	553									51 523	82 109
B	481	522	9 020	9 020									76 655	120 553
B	7 847	8 526	1 768	1 768									17 291	9 620
B	1 435	1 561	2 033	2 033									10 755	3 686
C	1 768	1 922											2 033	2 033
Total: Sarah Bathurst District Municipality														
	17 412	18 940	20 017	20 017									208 497	228 539
B	45 462	49 153	55 005	55 005									45 462	49 153
B	65 172	70 813	74 920	74 920									65 172	70 813
B	9 956	10 818	11 445	11 445									9 956	10 818
B	6 791	7 379	7 886	7 886									6 791	7 379
B	17 161	18 645	19 726	19 726									17 161	18 645
Total: Amathole District Municipality														
	144 542	156 808	166 902	166 902									144 542	156 808
B	38 570	41 905	34 336	34 336									38 570	41 905
B	20 080	21 816	21 081	21 081									20 080	21 816
B	12 927	14 045	14 869	14 869									12 927	14 045
B	8 067	8 765	9 275	9 275									8 067	8 765
Total: Chris Hani Municipality														
	94 737	102 929	98 910	98 910									94 737	102 929
B	65 400	71 055	55 178	55 178									65 400	71 055
B	24 811	26 950	25 519	25 519									24 811	26 950
Total: Joe Gqabi District Municipality														
	90 211	98 011	85 697	85 697									90 211	98 011
B	84 810	82 143	87 487	87 487									84 810	82 143
B	31 210	33 909	38 876	38 876									31 210	33 909
B	25 248	27 348	30 284	30 284									25 248	27 348
B	25 779	28 141	30 284	30 284									25 779	28 141
B	40 452	43 849	46 498	46 498									40 452	43 849
Total: O.F. Ficks District Municipality														
	189 478	195 860	207 800	207 800									189 478	195 860
B	52 392	56 923	60 224	60 224									52 392	56 923
B	74 683	82 007	87 342	87 342									74 683	82 007
B	40 008	42 886	45 806	45 806									40 008	42 886
B	121 098	129 281	137 631	137 631									121 098	129 281
Total: Alfred Nzo District Municipality														
	268 820	315 200	324 733	324 733									268 820	315 200
Total: Eastern Cape Municipalities														
	828 000	909 383	923 877	923 877	3 900	1 440	3 405	24 534					1 441 901	1 400 610
WESTERN CAPE														
Municipality														
B	1 041	1 041	1 637	1 637									1 041	1 637
B	750	750	788	788									750	788
B	1 300	1 300	1 365	1 365									1 300	1 365
B	2 340	2 340	3 001	3 001									2 340	3 001
Total: O.R. Tambo District Municipality														
	5 431	5 431	5 591	5 591									5 431	5 591
B	65 400	70 055	55 178	55 178									65 400	70 055
B	24 811	26 950	25 519	25 519									24 811	26 950
Total: Joe Gqabi District Municipality														
	90 211	98 011	85 697	85 697									90 211	98 011
B	84 810	82 143	87 487	87 487									84 810	82 143
B	31 210	33 909	38 876	38 876									31 210	33 909
B	25 248	27 348	30 284	30 284									25 248	27 348
B	25 779	28 141	30 284	30 284									25 779	28 141
B	40 452	43 849	46 498	46 498									40 452	43 849
Total: O.F. Ficks District Municipality														
	189 478	195 860	207 800	207 800									189 478	195 860
B	52 392	56 923	60 224	60 224									52 392	56 923
B	74 683	82 007	87 342	87 342									74 683	82 007
B	40 008	42 886	45 806	45 806									40 008	42 886
B	121 098	129 281	137 631	137 631									121 098	129 281
Total: Alfred Nzo District Municipality														
	268 820	315 200	324 733	324 733									268 820	315 200
Total: Western Cape Municipalities														
	1 441 901	1 400 610	1 423 217	1 423 217	10 460	10 460	10 460	10 460	10 460	10 460	10 460	10 460	1 441 901	1 400 610

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)

Category	Municipality	Integrated National Electrification Programme (Isibomi) Grant		Neighbourhood Development Partnership Grant (Technical Assistance)		Bucket Eradication Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SUB-TOTAL: INDIRECT		
		(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)	(R2000)
FREE STATE																
A	MANU Mangeneng	643	699	740	700	600	2 567							1 343	1 299	3 207
B	FS161 Leribe	64	69	73										64	69	73
B	FS162 Koppies	31	33	35										31	33	35
B	FS163 Koppies	94	102	108										94	102	108
C	DC16 - Xhaxha District Municipality													1 001	1 036	1 068
		189	204	216										51 930	17 340	28 216
B	FS181 Molekane	81	88	93										45 264	56 453	66 829
B	FS182 Tsoelike	80	87	92										140 741	180 877	220 922
B	FS183 Tsoelike	46	50	53										24 216	30 050	36 884
B	FS184 Tsoelike	50	54	58										15 287	19 686	24 085
B	FS185 Tsoelike	45	49	52										15 287	19 686	24 085
B	FS186 Tsoelike	21	24	26										6 093	7 615	9 138
C	DC18 - Lesotho District Municipality													233 091	128 809	156 986
		4 745	5 381	5 600										175 306	4 055	4 290
B	FS191 Senoos	3 732	4 055	4 290										29 556	33 819	4 031
B	FS192 Dhlsheng	2 259	2 454	2 597										77 241	69 906	41 160
B	FS193 Nkwenam	24 941	16 756	17 727										36 789	34 301	35 884
B	FS194 Mankopong	1 172	1 211	1 250										39 912	34 301	35 884
B	FS195 Phomphom	1 172	1 211	1 250										39 912	34 301	35 884
B	FS196 Mantsopa	159	64	88										36 619	19 889	3 068
C	DC19 - Thabo Mofutsanyane District Municipality													414 023	109 763	98 002
		46 958	33 489	35 430										175 306	4 055	4 290
B	FS201 Molekane	3 156	3 429	3 686										43 156	18 429	37 493
B	FS203 Nqwenam	24	26	28										99 533	45 860	80 402
B	FS204 Mankopong	12	13	14										16 671	16 671	16 671
B	FS205 Mankopong	12	13	14										16 671	16 671	16 671
C	DC20 - Ficksburg District Municipality													184 013	150 000	174 629
		3 204	3 481	3 662										882 400	467 381	461 150
		58 739	43 254	46 531										6 882	9 802	6 768
GAUTENG														13 799	16 086	16 843
A	EKLU Ekurhuleni	3 333	3 623	3 832										14 073	16 126	14 653
A	JHB City of Johannesburg	12 299	14 137	14 137										229 704	210 812	318 482
A	ESH City of Ekurhuleni	10 479	11 388	12 046										82 442	45 000	30 000
B	GT1421 Midvaal	15 801	17 167	18 102										1 300	1 305	3 123
B	GT1422 Midvaal	15 801	17 167	18 102										1 300	1 305	3 123
C	DC52 - Sediberg District Municipality													213 446	287 177	350 038
		15 801	17 167	18 102										1 000	1 005	2 377
B	GT1481 Mamello City	832	893	945										2 122	2 238	2 278
B	GT1484 Mamello City	832	893	945										51 000	108 000	150 000
B	GT1485 Mamello City	832	893	945										51 000	108 000	150 000
C	DC14 - West Rand District Municipality													50 000	100 000	150 000
		1 644	1 786	1 890										50 000	100 000	150 000
C	DC14 - West Rand District Municipality													50 000	100 000	150 000
		1 644	1 786	1 890										50 000	100 000	150 000
C	DC14 - West Rand District Municipality													50 000	100 000	150 000
		41 556	47 324	50 007										402 262	412 038	543 039

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE G, PART B)

Category	Municipality	Integrated National Electrification Programme (Eskom) Grant		Neighbourhood Development Partnership Grant (Technical Assistance)		Biodetritus Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SUB-TOTAL: INDIRECT	
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)
KWAZULU-NATAL															
A	ETHL eThekweni	27 286	29 666	31 376	2 543	4 800	2 893							29 839	34 456
B	KZN212 KZN212	23 547	30 890	32 681										23 547	30 890
B	KZN213 Umzimbe	55 978	69 837	73 888										55 978	69 837
B	KZN216 KZN216	26 507	28 799	30 470										26 507	28 799
Total: Ugu District Municipality		106 022	129 526	137 009										107 073	131 162
B	KZN221 uMkhosi	2 443	1 201	1 270										2 443	1 201
B	KZN222 uMgani	10 256	11 142	11 789										10 256	11 142
B	KZN223 Mphahle	29 573	43 128	35 630	400	600	1 237							29 973	43 728
B	KZN226 Mkhumbhoni														
B	KZN227 Richmond														
Total: Umpumulo District Municipality		42 272	55 471	48 689	400	600	1 237							43 713	57 708
B	KZN235 Okhahlamba	1 432	1 556	1 646										1 432	1 556
B	KZN236 Umhlabini	20 525	21 069	21 615										20 525	21 069
B	KZN238 KZN238	20 423	52 646	49 305										20 423	52 646
Total: Uthukela District Municipality		49 222	65 223	60 115										51 563	68 724
B	KZN241 Edendale	39 383	42 789	65 271										39 383	42 789
B	KZN242 Ngqana	2 840	3 086	3 265										2 840	3 086
B	KZN244 Mqunga	8 846	11 272	1 346										8 846	11 272
B	KZN245 Umzimvubu														
Total: Umzimvubu District Municipality		51 069	57 147	69 882										52 110	58 784
B	KZN242 Ngqana	28 598	38 410	40 638	400	600	1 200							28 998	39 010
B	KZN255 Ermatomi	3 223	3 501	3 704										3 223	3 501
B	KZN254 Damaheiser				400	600	1 200							400	600
Total: Amathole District Municipality		31 821	41 911	44 342										32 262	41 117
B	KZN246 eDumbe	6 714	7 294	7 717										6 714	7 294
B	KZN242 ePhongolo	10 609	20 645	21 855										10 609	20 645
B	KZN245 Ngqana	30 648	44 163	46 725										30 648	44 163
B	KZN246 Umtali	10 365	11 914	11 914										10 365	11 914
Total: Zululand District Municipality		66 222	83 361	88 208										68 098	86 363
B	KZN271 Umhlabiyalingana	137 881	149 934	138 630										137 881	149 934
B	KZN272 Jozini	99 887	108 525	94 819										99 887	108 525
B	KZN273 Mthatha	14 000	14 000	14 000										14 000	14 000
B	KZN276 KZN276	24 489	26 543	24 082										24 489	26 543
Total: Umhlabuyaland District Municipality		281 016	305 199	292 388										281 016	305 199
B	KZN281 Mlotshi	12 427	13 502	14 285										12 427	13 502
B	KZN282 KZN282	43 248	46 095	48 768										43 248	46 095
B	KZN284 uMlalazi	17 253	18 745	19 832										17 253	18 745
B	KZN286 Ntandatho														
Total: Umhlabuyaland District Municipality		73 481	78 942	83 529										73 481	78 942
B	KZN291 Maudeni	69 196	62 239	77 588	300	300								69 496	62 239
B	KZN292 KwaDukuza	3 327	3 615	3 825										3 327	3 615
B	KZN293 Ntshabane	74 522	80 966	85 663										74 522	80 966
B	KZN294 uMhlabuyalingana	73 376	79 938	84 375										73 376	79 938
Total: iLembe District Municipality		201 621	216 758	251 651	600	600	1 560 094							201 621	216 758
B	KZN433 Greater KwaZulu	3 061	3 326	3 519										3 061	3 326
B	KZN434 Umhlabuyaland	17 590	19 111	20 219										17 590	19 111
B	KZN435 Umzimvubu	14 661	15 799	16 716										14 661	15 799
Total: iLembe District Municipality		35 312	38 246	40 454										35 312	38 246
Total: KwaZulu-Natal Municipalities		964 870	1 111 291	1 138 164	3 943	6 000	5 330				316 241	30 140		1 318 163	1 479 043

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)

Category	Municipality	Integrated National Electrification Programme (€50m) Grant		Neighbourhood Development Partnership Grant (Technical Assistance)		Baker Education Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SUB-TOTAL: INDIRECT	
		2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)
LIMPOPO															
B	LM31 Greater Giyani	86 138	93 586	79 014										86 138	93 586
B	LM32 Greater Letaba	22 411	24 350	25 762										22 411	24 350
B	LM33 Greater Tzaneen	48 800	53 020	56 095										48 800	53 020
B	LM34 Inyanga	15 805	17 757	18 937										15 805	17 757
B	LM35 Mopani District Municipality	19 180	20 321	21 499										19 180	20 321
Total: Limpopo Municipalities		191 545	208 544	208 639										191 545	208 544
B	LM31 Mopani District Municipality	28 278	31 267	33 088										28 278	31 267
B	LM34 Mopani District Municipality	24 897	27 050	28 619										24 897	27 050
B	LM34 Mopani District Municipality	34 868	37 884	40 981										34 868	37 884
Total: Limpopo Municipalities		88 043	96 201	101 288										88 043	96 201
B	LM351 Mopani District Municipality	29 397	31 928	33 766										29 397	31 928
B	LM352 Mopani District Municipality	22 712	24 627	26 409										22 712	24 627
B	LM353 Mopani District Municipality	89 706	97 464	103 117	400	600	1 200							89 706	97 464
B	LM354 Mopani District Municipality	18 715	20 332	21 511										18 715	20 332
Total: Limpopo Municipalities		160 530	174 411	184 827	400	600	1 200							160 530	174 411
B	LM361 Thabamphi	3 749	4 074	4 310										3 749	4 074
B	LM362 Thabamphi	1 688	1 842	1 982										1 688	1 842
B	LM366 Mopani District Municipality	105 269	120 814	127 822										105 269	120 814
B	LM367 Mopani District Municipality	3 357	3 645	3 867										3 357	3 645
Total: Limpopo Municipalities		106 909	119 600	126 981										106 909	119 600
B	LM471 Ephantu Mogale	8 110	8 812	9 323										8 110	8 812
B	LM472 Ephantu Mogale	67 917	71 866	75 815										67 917	71 866
B	LM473 Mkhambathanga	36 280	39 418	41 784										36 280	39 418
Total: Limpopo Municipalities		112 407	120 096	127 922										112 407	120 096
Total: Limpopo Municipalities		115 464	124 400	132 715										115 464	124 400
Total: Limpopo Municipalities		743 261	824 196	851 449	400	600	1 200							743 261	824 196
MPUMALANGA															
B	MP001 Albert Luthuli	17 188	18 675	19 758										17 188	18 675
B	MP002 Mkhambathanga	38 687	42 033	44 471										38 687	42 033
B	MP003 Mkhambathanga	3 116	3 385	3 581										3 116	3 385
B	MP004 Phakya Ka Senne	301	328	347										301	328
B	MP005 Lekelele	4 288	4 583	4 878										4 288	4 583
B	MP006 Mkhambathanga	5 085	5 523	5 843										5 085	5 523
Total: Limpopo Municipalities		76 346	82 951	87 761										76 346	82 951
B	MP011 View Klipspruit	4 171	4 532	4 795										4 171	4 532
B	MP012 Emahlweni	3 287	3 571	3 778	400	600	1 200							3 287	3 571
B	MP013 Steve Tshwete	46 374	50 385	53 397										46 374	50 385
B	MP015 Thembisile Hani	20 453	22 220	23 899										20 453	22 220
Total: Limpopo Municipalities		75 491	81 703	86 775	400	600	1 200							75 491	81 703
B	MP021 Thaba Chweu	9 449	10 266	10 861										9 449	10 266
B	MP024 Nkomazweni	23 800	26 020	27 529	300	600	1 200							23 800	26 020
B	MP026 Mphahlele	10 747	11 564	12 381										10 747	11 564
B	MP026 Mphahlele	50 747	55 136	58 334										50 747	55 136
Total: Limpopo Municipalities		243 274	274 420	297 556	700	1 400	2 800							243 274	274 420
Total: Limpopo Municipalities		395 311	429 380	454 292	1 100	1 200	2 700							395 311	429 380

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)

Category	Integrated National Electrification Programme (Eskom) Grant		Neighbourhood Development Partnership Grant (Technical Assistance)		Biodiversity Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SUB-TOTAL: INDIRECT	
	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)	2018/19 (R,000)	2019/20 (R,000)
NORTHERN CAPE														
Municipality														
B NC061 Richtersveld														
B NC062 Nama-Karoo														
B NC064 Kamiesberg	2 426	2 637	2 790										15 857	19 857
B NC065 Hanam													2 426	2 637
B NC067 Kwa-Matieland														761
B NC068 Kwa-Adams														761
C DCC Namakwa District Municipality	2 426	2 637	2 790										18 283	22 494
Total: Namakwa District Municipality													3 123	4 645
B NC071 Uitenhage	412	449	475										412	449
B NC072 Uitenhage													22 903	5 307
B NC073 Uitenhage														14 237
B NC075 Beaufort West														787
B NC076 Thebeville														787
B NC077 Thebeville	1 356	1 473	1 559										5 716	787
B NC078 Thebeville													10 750	787
C DCC Plettenberg Bay District Municipality	1 356	1 473	1 559										15 256	1 473
C DCC Plettenberg Bay District Municipality	1 768	1 922	2 034										55 137	8 016
Total: Plettenberg Bay District Municipality													604	49 923
B NC082 Kwa-Carol	634	694	730										634	49 923
B NC084 Kwa-Carol													9 799	10 619
B NC085 Tzanebe	9 849	9 832	10 402										52 889	192
B NC086 Kogelberg	176	192	203											703
C DCC Z.F. Mvelase District Municipality	9 859	10 718	11 335										64 063	61 521
Total: Z.F. Mvelase District Municipality													1 700	1 965
B NC091 Sol Plaatje	8 221	8 932	9 459	600	600								31 355	10 932
B NC092 Dikgatong													21 034	6 531
B NC093 Maseru													750	787
B NC094 Phokwane														787
C DCC Z.F. Mvelase District Municipality	8 221	8 932	9 459	600	600								54 859	20 215
Total: Frances Baard Municipality													1 859	15 880
B NC051 Joe Motshagole	11 859	12 800	13 628										69 250	75 195
B NC052 Joe Motshagole	68 406	74 463	79 123										1 051	1 637
C DCC John Tlokweng District Municipality	80 345	87 288	92 351										82 136	89 712
Total: John Tlokweng District Municipality													274 458	201 958
Total: Northern Cape Municipalities	102 619	111 977	117 909	600	600								274 458	201 958
NORTH WEST														
B NW371 Moretele	16 687	18 331	19 182										64 687	70 326
B NW372 Moretele	6 800	7 371	7 811										26 132	28 714
B NW373 Moretele	132	141	151										64 200	69 731
B NW374 Kgalega/Oranje	13 104	14 237	15 063										26 132	28 714
B NW375 Moes-Komane													14 404	15 602
Total: Kgalega-Oranje District Municipality	152 480	172 165	182 518	600	600								446 812	501 326
B NW381 Rietbos	13 479	14 645	15 494										13 479	14 645
B NW382 Rietbos	6 656	7 141	7 566										6 656	7 141
B NW383 Rietbos	14 434	15 593	16 593										15 184	16 472
B NW384 Ditsobotla	6 485	7 046	7 454										7 785	8 411
B NW385 Ramothole-Moiboa	7 835	8 513	9 007										7 835	8 513
Total: Ramothole-Moiboa District Municipality	47 595	51 712	54 711										216 456	252 260
Total: North West Municipalities	279 646	304 091	332 946	900	1 200	1 000	1 000	143 000	161 175	437 565	427 312	244 215	818 134	888 360
NORTH WEST														
B NW392 Naledi	2 214	2 406	2 545										3 514	3 771
B NW393 Naledi	14 404	15 347	16 660										14 404	15 347
B NW394 Greater Tzanebe	113	107	113										30 078	32 879
B NW396 Letlamo-Tsemane	3 078	3 478	3 748										71 241	77 741
B NW397 Kgaisano-Moiloa													3 514	3 771
Total: Kgaisano-Moiloa District Municipality	68 250	73 982	78 432										3 514	3 771
B NW403 City of Mafeseng	3 026	3 287	3 478	500	600								3 526	3 887
B NW404 City of Mafeseng	2 286	2 510	2 708										21 636	23 874
B NW405 City of Mafeseng													21 636	23 874
C DCC Dr. Kenneth Kaunda District Municipality	6 321	6 867	7 265	500	600								83 546	45 031
Total: Dr. Kenneth Kaunda District Municipality													83 546	45 031
Total: North West Municipalities	279 646	304 091	332 946	900	1 200	1 000	1 000	143 000	161 175	437 565	427 312	244 215	818 134	888 360

ANNEXURE W6
ALLOCATIONS-IN-KIND TO MUNICIPALITIES (SCHEDULE 6, PART B)

Category	Municipality	Integrated National Electrification Programme (Eskom) Grant		Neighbourhood Development Partnership Grant (Cathedral Assistance)		Bucket Foundation Programme Grant		Water Services Infrastructure Grant		Regional Bulk Infrastructure Grant		Municipal Systems Improvement Grant		SUB-TOTAL: INDIRECT	
		2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)	2015/16 (R'000)	2016/17 (R'000)
WESTERN CAPE															
A	CPT - City of Cape Town	41 855	37 646	50 409	300	1 200	500							44 155	38 846
B	WC011 Matieland	60	66	69										60	66
B	WC012 Gqeberha	25 823	25 881	27 389										23 823	25 881
B	WC013 Saldanha Bay	60	66	69										60	66
B	WC015 Swardkruis	746	810	857										746	810
	Total: West Coast District Municipality	24 776	26 021	28 400										24 776	26 021
B	WC022 Wierberg	113	123	130										113	123
B	WC023 Stormvlei													3 200	1 365
B	WC025 Breede Valley	20 590	22 371	23 669						1 900				20 590	22 371
B	WC026 Langberg	24	25	26										24	25
	Total: Cape Winelands District Municipality	20 727	22 519	23 825						1 900				23 927	23 884
B	WC031 Theewaterskloof	4 515	4 905	5 191										4 515	4 905
B	WC032 Overstrand													23	25
B	WC034 Swellendam	23	25	27										23	25
	Total: Overberg District Municipality	4 538	4 930	5 218										4 538	4 930
B	WC041 Kammankoud	113	123	130										29 167	46 654
B	WC042 Heerugaard	1 459	1 585	1 677										113	123
B	WC045 Mossel Bay	297	323	342										1 459	1 585
B	WC046 Oudshoorn													20 248	30 346
B	WC047 Bhebe													5 000	30 000
B	WC048 Knysna													54 415	107 000
	Total: Eden District Municipality	1 900	2 120	2 283						54 415	107 000			54 415	107 000
B	WC051 Langsburg	24	25	26										24	25
B	WC053 Beaufort West	279	302	320										279	302
	Total: Central Karoo District Municipality	303	327	346										303	327
	Total: Western Cape Municipalities	96 182	94 497	110 556	300	1 200	500			56 315	123 000	1 300	1 365	154 097	220 062
	National Total	3 526 334	3 676 154	3 995 031	22 200	27 744	29 353			3 478 829	2 806 279	84 249	103 249	7 773 266	7 679 118

ANNEXURE W7

EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES
(National and Municipal Financial Years)

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE							
A	BUF Buffalo City	678 197	703 602	760 226	1 528 249	1 643 465	1 870 880
A	NMA Nelson Mandela Bay	798 043	843 509	921 857	1 757 623	2 206 614	2 383 426
B	EC101 EC101	84 241	78 096	83 220	220 669	173 423	129 154
B	EC102 Blue Crane Route	44 713	45 793	48 298	66 012	72 054	80 407
B	EC104 Makana	77 008	80 465	86 244	234 422	190 454	206 887
B	EC105 Ndlambe	76 824	83 298	89 683	189 553	198 725	251 680
B	EC106 Sundays River Valley	59 318	65 608	71 249	118 368	126 389	130 325
B	EC108 Kouga	91 622	103 959	114 565	132 011	149 643	167 273
B	EC109 Kou-Kamma	39 760	42 981	46 102	68 034	68 152	70 616
C	DC10 Sarah Baartman District Municipality	82 014	84 890	87 985	86 525	88 514	94 623
Total: Sarah Baartman Municipalities		555 500	585 090	627 346	1 115 594	1 067 354	1 130 965
B	EC121 Mbhashe	210 060	223 148	233 352	331 036	360 415	382 222
B	EC122 Mquma	221 906	232 277	242 148	354 430	397 759	421 530
B	EC123 Great Kei	39 457	34 267	35 616	58 539	53 027	57 028
B	EC124 Amahlathi	113 780	98 507	102 403	161 570	139 762	146 011
B	EC126 Ngqushwa	76 828	75 545	78 487	112 483	108 226	112 962
B	EC129 EC129	147 445	151 530	158 177	228 820	223 659	234 015
C	DC12 Amathole District Municipality	730 990	780 614	845 394	1 388 874	1 431 092	1 488 669
Total: Amathole Municipalities		1 540 466	1 595 888	1 695 577	2 635 752	2 713 940	2 842 437
B	EC131 Inxuba Yethemba	39 424	38 565	40 889	67 832	67 889	70 386
B	EC135 Intsika Yethu	145 314	153 925	161 037	243 400	266 978	274 193
B	EC136 Emalahleni	114 599	121 843	127 950	174 192	179 848	183 974
B	EC137 Engcobo	130 882	139 012	145 476	235 018	221 920	241 781
B	EC138 Sakhisizwe	57 906	60 843	63 522	93 114	95 129	99 471
B	EC139 EC139	167 232	165 668	175 285	270 199	254 195	264 065
C	DC13 Chris Hani District Municipality	485 308	529 946	573 337	1 079 577	1 133 405	1 136 043
Total: Chris Hani Municipalities		1 140 665	1 209 802	1 287 496	2 163 332	2 219 364	2 269 913
B	EC141 Elundini	129 070	137 811	144 722	249 393	270 392	263 584
B	EC142 Senqu	129 802	136 745	143 348	197 463	204 752	215 047
B	EC145 EC145	51 948	49 452	52 683	98 201	83 494	78 058
C	DC14 Joe Gqabi District Municipality	223 621	244 055	264 128	465 897	550 479	621 088
Total: Joe Gqabi Municipalities		534 441	568 063	604 881	1 010 954	1 109 117	1 177 777
B	EC153 Ngqaza Hill	195 945	208 426	218 193	343 003	360 055	381 314
B	EC154 Port St Johns	117 662	124 989	130 753	205 528	221 690	225 754
B	EC155 Nyandeni	213 070	226 424	237 439	309 283	333 960	355 181
B	EC156 Mhlontlo	154 313	161 607	167 789	218 444	234 528	245 885
B	EC157 King Sabata Dalindyebo	249 468	265 719	280 838	414 942	421 059	449 718
C	DC15 O.R.Tambo District Municipality	669 303	733 445	792 645	1 741 360	1 895 649	1 983 106
Total: O.R.Tambo Municipalities		1 599 761	1 720 610	1 827 657	3 232 560	3 466 941	3 640 958
B	EC441 Matatiele	170 266	179 725	187 547	353 085	368 748	382 684
B	EC442 Umzimvubu	162 992	170 765	177 467	300 187	341 954	346 878
B	EC443 Mbizana	175 910	185 021	192 873	291 921	306 910	326 160
B	EC444 Ntabankulu	93 327	97 382	101 010	272 430	298 118	320 593
C	DC44 Alfred Nzo District Municipality	387 047	417 686	448 072	1 085 628	1 211 288	1 250 656
Total: Alfred Nzo Municipalities		989 542	1 050 579	1 106 969	2 303 251	2 527 018	2 626 971
Total: Eastern Cape Municipalities		7 836 615	8 277 143	8 832 009	15 747 315	16 953 813	17 943 327

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
FREE STATE							
A	MAN Mangaung	629 731	644 493	709 316	1 665 063	1 731 632	1 833 951
B	FS161 Letsemeng	47 402	45 691	48 269	121 926	130 414	139 041
B	FS162 Kopanong	70 650	63 453	66 846	139 840	149 032	188 941
B	FS163 Mohokare	54 472	55 601	59 560	151 085	141 709	148 209
C	DC16 Xhariep District Municipality	29 739	30 821	32 032	35 044	35 766	35 737
Total: Xhariep Municipalities		202 263	195 566	206 707	447 895	456 921	511 928
B	FS181 Masilonyana	83 362	82 724	87 491	160 098	164 975	181 544
B	FS182 Tokologo	43 424	43 086	45 581	212 820	94 925	111 415
B	FS183 Tswelopele	59 589	57 728	60 911	102 366	111 463	100 634
B	FS184 Matjhabeng	385 851	373 021	400 033	517 422	540 882	604 898
B	FS185 Nala	108 273	97 238	102 251	157 185	139 479	150 396
C	DC18 Lejweleputswa District Municipality	111 727	114 789	118 760	116 162	118 333	125 318
Total: Lejweleputswa Municipalities		792 226	768 586	815 027	1 266 053	1 170 057	1 274 205
B	FS191 Setsoto	158 775	155 327	165 239	419 511	256 376	227 706
B	FS192 Dihlabeng	124 304	126 276	136 743	202 377	206 313	246 386
B	FS193 Nketoana	79 054	79 656	85 568	183 161	177 161	210 877
B	FS194 Maluti-a-Phofung	458 097	492 281	526 299	700 726	711 291	774 518
B	FS195 Phumelela	59 830	60 669	64 597	122 842	124 407	135 065
B	FS196 Mantsopa	67 748	67 920	72 602	128 238	114 312	106 380
C	DC19 Thabo Mofutsanyana District Municipality	97 724	101 663	105 705	102 401	105 335	112 896
Total: Thabo Mofutsanyana Municipalities		1 045 532	1 083 792	1 156 753	1 859 256	1 695 195	1 813 828
B	FS201 Moqhaka	158 519	160 019	171 963	249 834	224 681	264 180
B	FS203 Ngwathe	157 639	161 424	173 705	309 980	256 356	310 784
B	FS204 Metsimaholo	125 978	140 738	155 882	199 298	254 128	255 985
B	FS205 Mafube	77 214	77 900	83 448	143 958	151 518	138 723
C	DC20 Fezile Dabi District Municipality	142 178	144 270	148 875	145 547	147 745	155 364
Total: Fezile Dabi Municipalities		661 528	684 351	733 873	1 048 617	1 034 428	1 125 036
Total: Free State Municipalities		3 331 280	3 376 788	3 621 676	6 286 884	6 088 233	6 558 948
GAUTENG							
A	EKU Ekurhuleni	2 381 367	2 662 137	2 950 523	4 936 090	5 518 556	6 004 599
A	JHB City of Johannesburg	3 182 318	3 607 991	4 017 148	6 219 273	6 762 327	7 335 720
A	TSH City of Tshwane	1 864 838	2 148 143	2 404 418	4 552 530	4 897 811	5 282 772
B	GT421 Emfuleni	608 581	628 257	684 683	1 019 291	1 042 024	1 219 909
B	GT422 Midvaal	76 401	86 719	96 825	200 936	174 747	174 556
B	GT423 Lesedi	92 186	104 537	116 468	127 403	144 409	162 769
C	DC42 Sedibeng District Municipality	250 882	256 414	264 770	255 482	260 131	271 751
Total: Sedibeng Municipalities		1 028 050	1 075 927	1 162 746	1 603 112	1 621 311	1 828 985
B	GT481 Mogale City	285 456	320 490	355 627	454 344	505 159	541 432
B	GT484 Merafong City	162 952	159 408	173 714	258 406	258 666	290 458
B	GT485 GT485	216 728	233 219	255 651	421 117	506 853	589 688
C	DC48 West Rand District Municipality	188 872	194 034	200 923	204 951	209 528	214 672
Total: West Rand Municipalities		854 008	907 151	985 915	1 338 818	1 480 206	1 636 250
Total: Gauteng Municipalities		9 310 581	10 401 349	11 520 750	18 649 823	20 280 211	22 088 326

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
KWAZULU-NATAL							
A	ETH eThekweni	2 319 380	2 576 367	2 829 662	5 396 366	5 781 697	6 141 624
B	KZN212 KZN212	121 144	116 787	124 276	234 148	195 830	205 433
B	KZN213 Umzumbe	119 488	123 267	127 910	229 996	239 833	250 375
B	KZN214 uMuziwabantu	76 377	81 848	86 301	101 606	107 562	113 181
B	KZN216 KZN216	165 774	180 940	195 507	275 261	289 918	306 186
C	DC21 Ugu District Municipality	384 729	426 030	466 113	711 390	814 113	882 868
Total: Ugu Municipalities		867 512	928 872	1 000 107	1 552 401	1 647 256	1 758 043
B	KZN221 uMshwathi	83 479	89 253	94 699	120 389	130 529	137 736
B	KZN222 uMngeni	49 326	54 910	60 244	80 134	87 116	86 852
B	KZN223 Mpozana	27 693	28 818	30 313	60 454	62 073	64 917
B	KZN224 Impendle	31 349	32 128	33 615	53 999	60 270	57 835
B	KZN225 Msunduzi	432 307	480 046	527 315	936 193	1 004 253	1 107 498
B	KZN226 Mkhambathini	50 183	51 099	54 184	78 887	79 362	81 406
B	KZN227 Richmond	55 625	60 619	64 690	100 386	93 309	98 234
C	DC22 Umkungundlovu District Municipality	428 362	468 036	512 298	584 996	643 647	752 199
Total: Umkungundlovu Municipalities		1 158 324	1 264 909	1 377 358	2 015 438	2 161 209	2 386 677
B	KZN235 Okhahlamba	96 932	102 293	107 030	141 637	134 656	140 964
B	KZN237 KZN237	134 763	142 700	150 620	226 361	209 871	217 224
B	KZN238 KZN238	183 739	189 339	200 109	342 394	319 321	326 764
C	DC23 Uthukela District Municipality	332 370	361 841	392 513	682 030	816 454	893 048
Total: Uthukela Municipalities		747 804	796 173	850 272	1 392 422	1 480 302	1 578 000
B	KZN241 Endumeni	36 413	36 906	39 936	63 682	64 080	72 014
B	KZN242 Nqutu	110 256	116 695	122 462	200 579	214 260	246 174
B	KZN244 Msinga	131 035	138 537	146 554	198 595	206 784	215 802
B	KZN245 Umvoti	94 786	105 514	113 165	159 041	174 030	165 586
C	DC24 Umzinyathi District Municipality	265 532	292 854	320 683	641 908	713 217	786 047
Total: Umzinyathi Municipalities		636 022	690 506	742 800	1 263 805	1 372 371	1 485 623
B	KZN252 Newcastle	306 952	324 247	350 776	525 898	574 558	632 280
B	KZN253 Emadlangeni	23 572	25 281	26 447	44 594	46 635	54 093
B	KZN254 Dannhauser	75 694	80 181	83 977	102 559	107 781	112 846
C	DC25 Amajuba District Municipality	129 160	139 337	150 938	224 239	231 838	278 033
Total: Amajuba Municipalities		535 378	569 046	612 138	897 290	960 812	1 077 252
B	KZN261 eDumbe	57 900	61 387	64 417	102 660	109 965	108 502
B	KZN262 uPhongolo	97 800	104 530	110 401	162 782	148 335	157 942
B	KZN263 Abaqulusi	107 884	115 710	123 222	184 985	196 019	207 038
B	KZN265 Nongoma	121 046	128 549	134 781	199 038	219 179	232 937
B	KZN266 Ulundi	124 460	131 159	136 958	193 342	192 155	195 577
C	DC26 Zululand District Municipality	347 834	380 691	413 855	791 374	815 263	794 202
Total: Zululand Municipalities		856 924	922 026	983 634	1 634 181	1 680 916	1 696 198
B	KZN271 Umhlabyalingana	122 458	133 785	142 392	317 766	336 311	339 277
B	KZN272 Jozini	134 845	144 859	152 832	293 584	308 515	308 097
B	KZN275 Mtubatuba	120 328	132 738	141 977	186 623	205 267	209 631
B	KZN276 KZN276	79 379	83 025	87 821	164 577	162 714	162 779
C	DC27 Umkhanyakude District Municipality	292 146	327 467	359 612	636 386	632 824	702 684
Total: Umkhanyakude Municipalities		749 156	821 874	884 634	1 598 936	1 645 631	1 722 468
B	KZN281 Mfolozi	98 724	107 868	114 489	146 674	160 043	169 796
B	KZN282 KZN282	263 487	291 465	319 112	435 609	490 421	544 729
B	KZN284 uMlalazi	148 417	159 664	168 611	242 753	256 754	272 878
B	KZN285 KZN285	63 687	67 763	70 547	103 824	101 007	103 231
B	KZN286 Nkandla	79 169	82 877	86 010	140 191	151 817	147 426
C	DC28 Uthungulu District Municipality	433 405	464 457	506 461	905 304	936 944	954 346
Total: Uthungulu Municipalities		1 086 889	1 174 094	1 265 230	1 974 355	2 096 986	2 192 406
B	KZN291 Mandeni	122 874	134 039	143 306	240 007	249 332	279 640
B	KZN292 KwaDukuza	116 642	132 042	146 463	193 609	212 215	217 947
B	KZN293 Ndwedwe	108 709	116 578	122 741	234 298	238 894	254 586
B	KZN294 Maphumulo	71 404	74 451	77 236	184 467	192 057	202 580
C	DC29 iLembe District Municipality	373 996	420 163	463 652	785 889	856 388	787 917
Total: iLembe Municipalities		793 625	877 273	953 398	1 638 270	1 748 886	1 742 670
B	KZN433 Greater Kokstad	45 887	44 006	46 219	80 756	69 443	66 439
B	KZN434 Ubuhlebezwe	90 491	97 558	102 551	151 419	161 268	162 103
B	KZN435 Umzinkhulu	152 393	163 981	173 501	239 506	239 358	262 425
B	KZN436 KZN436	94 288	99 474	104 242	166 017	166 361	169 144
C	DC43 Harry Gwala District Municipality	260 069	284 205	308 451	613 004	696 191	690 443
Total: Harry Gwala Municipalities		643 128	689 224	734 964	1 250 702	1 332 621	1 350 554
Total: KwaZulu-Natal Municipalities		10 394 142	11 310 364	12 234 197	20 614 166	21 908 687	23 131 515

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
LIMPOPO							
B	LIM331 Greater Giyani	219 308	234 487	247 581	373 316	402 346	400 169
B	LIM332 Greater Letaba	206 299	219 352	231 224	293 901	304 816	321 444
B	LIM333 Greater Tzaneen	291 141	312 958	333 719	465 497	489 694	524 205
B	LIM334 Ba-Phalaborwa	110 235	119 502	127 315	160 806	176 004	187 861
B	LIM335 Maruleng	91 329	97 904	103 437	138 275	147 502	155 599
C	DC33 Mopani District Municipality	686 633	760 874	832 073	1 457 902	1 508 481	1 582 494
Total: Mopani Municipalities		1 604 945	1 745 077	1 875 349	2 889 697	3 028 843	3 171 772
B	LIM341 LIM341	87 434	99 288	107 938	165 444	164 374	174 082
B	LIM343 LIM343	337 132	362 797	385 202	518 015	535 653	573 345
B	LIM344 Makhado	275 985	296 533	315 879	427 444	457 164	485 563
B	LIM345 LIM345	247 247	306 392	324 347	360 577	406 607	423 612
C	DC34 Vhembe District Municipality	743 976	830 185	910 167	1 432 424	1 602 800	1 728 837
Total: Vhembe Municipalities		1 691 774	1 895 195	2 043 533	2 903 904	3 166 598	3 385 439
B	LIM351 LIM351	155 178	164 476	172 603	251 149	254 358	263 795
B	LIM353 LIM353	118 756	124 652	130 555	197 881	194 636	200 099
B	LIM354 LIM354	675 714	757 286	830 052	1 599 032	1 803 356	1 956 967
B	LIM355 Lepele-Nkumpi	202 533	215 623	226 945	275 819	293 443	309 064
C	DC35 Capricorn District Municipality	522 710	536 271	582 579	931 841	907 318	1 023 917
Total: Capricorn Municipalities		1 674 891	1 798 308	1 942 734	3 255 722	3 453 111	3 753 842
B	LIM361 Thabazimbi	61 051	62 830	68 436	118 694	148 150	158 910
B	LIM362 Lephalele	94 514	104 374	115 258	234 625	273 002	283 693
B	LIM366 Bela-Bela	68 411	76 060	83 392	153 387	159 735	188 121
B	LIM367 Mogalakwena	348 115	374 756	400 616	781 318	828 288	913 112
B	LIM368 LIM368	92 547	94 268	101 220	222 824	205 790	211 627
C	DC36 Waterberg District Municipality	113 277	117 310	121 822	118 566	122 188	124 955
Total: Waterberg Municipalities		777 915	829 598	890 744	1 629 414	1 737 153	1 880 418
B	LIM471 Ephraim Mogale	117 556	127 003	135 210	161 401	172 927	182 920
B	LIM472 Elias Motsoaledi	210 385	226 153	240 397	287 077	303 358	322 331
B	LIM473 Makhuduthamaga	225 123	240 496	254 456	356 974	373 712	395 497
B	LIM476 LIM476	307 760	335 688	360 690	524 859	550 928	578 163
C	DC47 Sekhukhune District Municipality	600 889	675 180	743 764	1 580 149	1 777 376	1 988 894
Total: Sekhukhune Municipalities		1 461 713	1 604 520	1 734 517	2 910 460	3 178 301	3 467 805
Total: Limpopo Municipalities		7 211 238	7 872 698	8 486 877	13 589 197	14 564 006	15 659 276
MPUMALANGA							
B	MP301 Albert Luthuli	233 446	252 915	269 960	363 518	369 849	394 263
B	MP302 Msukaligwa	121 443	132 341	145 011	205 758	207 821	246 312
B	MP303 Mkhondo	166 350	183 804	198 712	287 965	315 214	338 478
B	MP304 Pixley Ka Seme	91 996	94 143	99 914	130 659	135 206	141 790
B	MP305 Lekwa	86 239	91 625	99 329	136 008	130 479	137 041
B	MP306 Dipaleseng	54 345	58 169	62 746	88 523	92 589	98 656
B	MP307 Govan Mbeki	199 430	210 061	231 674	282 867	309 452	332 036
C	DC30 Gert Sibande District Municipality	275 755	280 414	289 248	385 082	378 874	430 943
Total: Gert Sibande Municipalities		1 229 004	1 303 472	1 396 594	1 880 380	1 939 484	2 119 519
B	MP311 Victor Khanye	72 949	81 159	89 261	165 962	161 227	132 136
B	MP312 Emalahleni	255 989	291 115	326 355	503 019	495 826	555 259
B	MP313 Steve Tshwete	136 037	157 665	178 776	190 509	221 808	240 969
B	MP314 Emakhazeni	51 837	57 026	62 041	90 239	86 589	88 000
B	MP315 Thembisile Hani	313 317	343 875	370 908	523 394	542 929	636 299
B	MP316 Dr JS Moroka	314 608	335 539	356 458	460 045	490 676	520 776
C	DC31 Nkangala District Municipality	333 667	341 509	352 641	379 311	394 939	419 085
Total: Nkangala Municipalities		1 478 404	1 607 888	1 736 440	2 312 479	2 393 994	2 592 524
B	MP321 Thaba Chweu	115 054	129 268	142 895	216 321	232 384	264 677
B	MP324 Nkomazi	447 689	494 138	534 377	808 728	895 029	938 586
B	MP325 Bushbuckridge	647 298	701 918	752 721	1 546 734	1 443 096	1 616 076
B	MP326 MP326	556 020	621 740	683 247	1 345 257	1 455 642	1 584 920
C	DC32 Ehlanzeni District Municipality	221 660	230 632	239 970	367 311	345 884	410 161
Total: Ehlanzeni Municipalities		1 987 721	2 177 696	2 353 210	4 284 351	4 372 035	4 814 420
Total: Mpumalanga Municipalities		4 695 129	5 089 056	5 486 244	8 477 210	8 705 513	9 526 463

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
NORTHERN CAPE							
B	NC061 Richtersveld	13 498	14 121	15 228	40 681	45 276	26 691
B	NC062 Nama Khoi	38 318	40 620	43 792	55 055	60 606	62 643
B	NC064 Kamiesberg	18 175	19 424	20 555	29 591	29 388	31 936
B	NC065 Hantam	20 774	21 123	22 656	54 918	61 969	68 787
B	NC066 Karoo Hoogland	16 678	17 976	19 342	28 847	44 043	57 200
B	NC067 Khâi-Ma	15 552	16 753	18 053	33 807	28 498	29 229
C	DC6 Namakwa District Municipality	35 436	36 038	37 303	40 353	40 088	44 872
Total: Namakwa Municipalities		158 431	166 055	176 929	283 252	309 868	321 358
B	NC071 Ubuntu	25 817	27 867	29 807	38 156	42 865	43 876
B	NC072 Umsobomvu	36 658	39 317	42 376	67 859	65 323	63 576
B	NC073 Emthanjeni	36 197	36 886	39 607	91 327	68 235	69 342
B	NC074 Kareeberg	18 919	20 539	22 002	45 413	50 556	72 767
B	NC075 Renosterberg	18 733	19 936	21 212	29 880	30 825	32 514
B	NC076 Thembelihle	19 367	20 676	21 982	37 111	32 585	34 429
B	NC077 Siyathemba	25 732	27 709	29 818	53 871	40 795	43 179
B	NC078 Siyancuma	39 977	40 622	42 724	78 194	63 348	65 529
C	DC7 Pixley Ka Seme District Municipality	35 824	37 353	38 849	41 047	41 725	46 741
Total: Pixley Ka Seme Municipalities		257 224	270 905	288 377	482 858	436 257	471 953
B	NC082 !Kai !Garib	54 787	57 965	62 559	84 826	135 099	90 863
B	NC084 !Kheis	20 223	21 359	22 524	33 435	39 543	41 324
B	NC085 Tsantsabane	30 151	32 515	35 639	57 793	61 294	65 126
B	NC086 Kgatelopele	17 858	19 385	21 210	30 791	32 637	32 624
B	NC087 NC087	69 707	70 917	77 173	180 828	111 329	110 564
C	DC8 Z.F. Mgcawu District Municipality	51 034	52 765	54 726	55 968	56 837	61 813
Total: ZF Mgcawu Municipalities		243 760	254 906	273 831	443 641	436 739	402 314
B	NC091 Sol Plaatje	144 171	146 972	159 833	234 222	254 436	262 040
B	NC092 Dikgatlong	60 379	64 768	69 100	115 731	99 947	102 985
B	NC093 Magareng	35 300	36 883	38 948	72 812	57 637	53 818
B	NC094 Phokwane	79 307	83 288	88 002	109 468	114 035	119 569
C	DC9 Frances Baard District Municipality	105 416	112 225	115 790	110 093	116 023	122 603
Total: Frances Baard Municipalities		424 573	444 136	471 673	642 326	642 078	661 015
B	NC451 Joe Morolong	115 068	123 042	129 952	272 810	309 332	341 917
B	NC452 Ga-Segonyana	117 413	130 941	143 078	296 780	355 303	367 559
B	NC453 Gamagara	25 352	28 577	32 601	69 546	174 364	171 648
C	DC45 John Taolo Gaetsewe District Municipality	66 326	69 303	74 709	74 440	77 304	81 274
Total: John Taolo Gaetsewe Municipalities		324 159	351 863	380 340	713 576	916 303	962 398
Total: Northern Cape Municipalities		1 408 147	1 487 865	1 591 150	2 565 653	2 741 245	2 819 038
NORTH WEST							
B	NW371 Moretele	263 905	284 189	300 583	481 135	536 502	633 627
B	NW372 Madibeng	506 149	576 167	638 352	1 046 878	1 150 034	1 072 074
B	NW373 Rustenburg	451 980	521 872	585 878	1 044 442	1 221 635	1 337 069
B	NW374 Kgetlengrivier	62 494	68 606	74 308	124 788	165 660	102 769
B	NW375 Moses Kotane	333 265	356 936	378 817	524 145	602 146	627 387
C	DC37 Bojanala Platinum District Municipality	302 943	314 955	327 482	313 966	320 126	340 907
Total: Bojanala Platinum Municipalities		1 920 736	2 122 725	2 305 420	3 535 354	3 996 103	4 113 833
B	NW381 Ratlou	96 861	101 654	106 254	156 657	148 230	155 230
B	NW382 Tswaing	85 712	90 202	94 890	124 603	132 060	138 098
B	NW383 Mafikeng	178 390	191 051	202 578	269 473	282 351	292 831
B	NW384 Ditsobotla	89 941	94 228	99 879	140 449	149 139	153 526
B	NW385 Ramotshere Moiloa	126 139	134 073	141 077	172 348	187 717	194 514
C	DC38 Ngaka Modiri Molema District Municipality	551 315	602 830	655 044	1 016 995	1 117 249	1 189 893
Total: Ngaka Modiri Molema Municipalities		1 128 358	1 214 038	1 299 722	1 880 525	2 016 746	2 124 092
B	NW392 Naledi	41 201	43 350	46 003	82 428	75 110	77 987
B	NW393 Mamusa	45 162	48 260	51 186	90 344	90 577	94 997
B	NW394 Greater Taung	164 554	174 128	181 984	227 846	240 526	252 660
B	NW396 Lekwa-Teemane	39 260	42 003	44 677	82 786	67 301	64 858
B	NW397 Kagisano-Molopo	99 646	104 763	109 346	162 195	177 434	182 295
C	DC39 Dr Ruth Segomotsi Mompati District Municipality	282 287	311 460	336 816	614 897	680 725	742 752
Total: Dr Ruth Segomotsi Mompati Municipalities		672 110	723 964	770 012	1 260 496	1 331 673	1 415 549
B	NW403 City of Matlosana	342 855	352 222	381 749	476 061	490 876	523 118
B	NW404 Maquassi Hills	94 022	98 632	104 790	185 523	132 856	151 834
B	NW405 NW405	187 990	210 644	232 712	296 682	338 414	363 822
C	DC40 Dr Kenneth Kaunda District Municipality	169 319	173 593	179 390	174 290	177 197	186 009
Total: Dr Kenneth Kaunda Municipalities		794 186	835 091	898 641	1 132 556	1 139 343	1 224 783
Total: North West Municipalities		4 515 390	4 895 818	5 273 795	7 808 931	8 483 865	8 878 257

**ANNEXURE W7
EQUITABLE SHARE AND TOTAL ALLOCATIONS TO MUNICIPALITIES**

Category	Municipality	EQUITABLE SHARE ¹			TOTAL ALLOCATIONS TO MUNICIPALITIES		
		National and Municipal Financial Year			National and Municipal Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
WESTERN CAPE							
A	CPT City of Cape Town	2 012 945	2 283 323	2 512 279	4 544 893	4 882 792	5 233 340
B	WC011 Matzikama	44 100	47 521	51 433	70 091	73 366	98 549
B	WC012 Cederberg	37 173	40 782	44 122	110 153	94 589	92 937
B	WC013 Bergrivier	33 341	37 095	40 634	51 924	56 531	63 442
B	WC014 Saldanha Bay	62 832	71 386	78 880	85 970	95 790	106 204
B	WC015 Swartland	59 275	69 364	77 708	89 286	93 446	112 874
C	DC1 West Coast District Municipality	82 194	84 904	87 900	86 904	88 699	94 710
Total: West Coast Municipalities		318 915	351 052	380 677	494 328	502 421	568 716
B	WC022 Witzenberg	59 734	66 184	72 400	116 888	97 277	105 048
B	WC023 Drakenstein	106 240	118 687	130 011	155 809	161 523	184 831
B	WC024 Stellenbosch	95 982	110 707	122 558	179 171	162 832	174 639
B	WC025 Breede Valley	88 524	97 573	106 043	148 765	158 708	172 109
B	WC026 Langeberg	60 461	64 381	69 413	85 923	89 378	94 491
C	DC2 Cape Winelands District Municipality	220 870	224 336	231 221	225 803	228 403	238 303
Total: Cape Winelands Municipalities		631 811	681 868	731 646	912 359	898 121	969 421
B	WC031 Theewaterskloof	69 861	76 742	83 058	108 809	117 331	124 295
B	WC032 Overstrand	72 950	83 030	91 433	102 377	111 030	122 514
B	WC033 Cape Agulhas	23 075	25 256	27 334	37 261	39 966	42 426
B	WC034 Swellendam	24 012	26 156	28 424	47 228	41 997	47 723
C	DC3 Overberg District Municipality	52 163	54 179	56 194	56 840	57 977	63 007
Total: Overberg Municipalities		242 061	265 363	286 443	352 515	368 301	399 965
B	WC041 Kannaland	22 940	23 893	25 178	80 720	96 099	81 054
B	WC042 Hessequa	34 558	37 736	40 850	83 257	55 283	58 954
B	WC043 Mossel Bay	70 874	79 267	86 544	108 651	114 001	130 532
B	WC044 George	109 872	122 075	134 007	273 379	296 010	293 700
B	WC045 Oudtshoorn	58 194	63 037	67 635	111 418	130 436	151 787
B	WC047 Bitou	64 235	74 567	83 036	94 832	104 682	111 116
B	WC048 Knysna	62 982	71 037	77 629	107 641	142 136	159 002
C	DC4 Eden District Municipality	142 094	146 043	150 876	146 708	149 775	157 623
Total: Eden Municipalities		565 749	617 655	665 755	1 006 606	1 088 422	1 143 768
B	WC051 Laingsburg	12 526	13 360	14 178	23 590	30 848	25 529
B	WC052 Prince Albert	16 192	17 634	18 923	27 052	30 987	31 439
B	WC053 Beaufort West	46 569	50 393	53 988	80 425	87 599	88 314
C	DC5 Central Karoo District Municipality	19 416	20 412	21 258	23 532	23 621	27 492
Total: Central Karoo Municipalities		94 703	101 799	108 347	154 599	173 055	172 774
Total: Western Cape Municipalities		3 866 184	4 301 060	4 685 147	7 465 300	7 913 112	8 487 984
Unallocated					269 922	1 316 708	1 428 576
National Total		52 568 706	57 012 141	61 731 845	101 204 479	107 638 685	115 093 134

1. Includes equitable share formula allocations, RSC levies replacement and special contribution towards Councillor remuneration, but excludes the sharing of the general fuel levy with metropolitan municipalities. (See Appendix W1)

APPENDIX W1

APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES

(EQUITABLE SHARE FORMULA ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCILLOR
REMUNERATION AND WARD COMMITTEES + BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL
MUNICIPALITY PER SERVICE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)

(National and Municipal Financial Years)

APPENDIX VI
APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES
(EQUITABLE SHARE FORMULA ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCILLOR REMUNERATION AND WARD COMMITTEES +
BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL MUNICIPALITY + SPECIAL SUPPORT FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)

Category	Municipality	Equitable Share Formula				RSC Levies Replacement				Special Support for Councillor Remuneration and Ward Committees				BREAKDOWN OF EQUITABLE SHARE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES			
		2016/17 (R'000)		2017/18 (R'000)		2016/17 (R'000)		2017/18 (R'000)		2016/17 (R'000)		2017/18 (R'000)		2016/17 (R'000)		2017/18 (R'000)	
		National	Municipal	National	Municipal	National	Municipal	National	Municipal	Water	Sanitation	Refuse	Water	Sanitation	Refuse		
EASTERN CAPE																	
A	BUF - Rofibia City	678 197	703 602	760 226													
A	NMA - Nelson Mandela Bay	798 043	843 599	921 857													
B	EC101	79 083	72 687	77 546													
B	EC102	42 470	45 831	48 441					5 158	2 243	2 352						
B	EC103	73 025	70 314	75 046					3 799	3 984	4 181						
B	EC106	56 279	62 421	67 905					3 039	3 187	3 344						
B	EC108	86 084	98 152	108 473					5 538	5 807	6 092						
B	EC109	37 517	40 629	43 635					2 243	2 352	2 467						
C	DC10 - Sarah Baartman District Municipality	21 430	22 206	23 005	60 534	62 184	64 080										
	Total: Sarah Baartman Municipalities	46 728	494 406	533 267	60 534	62 184	64 080		27 178	28 500	29 899						
B	EC121	198 064	210 568	220 153					11 996	12 580	13 199						
B	EC122	210 130	219 926	229 188					11 776	12 351	12 960						
B	EC123	36 812	31 493	32 705					2 645	2 774	2 911						
B	EC124	108 082	92 531	96 132					5 698	5 976	6 271						
B	EC126	138 829	142 346	148 525					8 012	8 338	8 673						
B	EC129	138 708	142 346	148 525					8 737	9 164	9 618						
C	DC12 - Amathole District Municipality	415 874	440 697	474 360	315 116	339 917	371 014										
	Total: Amathole Municipalities	1 180 099	1 208 514	1 274 760	315 116	339 917	371 014		46 251	47 457	49 794						
B	EC131	36 005	34 979	37 127					3 419	3 586	3 762						
B	EC132	108 147	115 079	122 011					6 458	6 773	7 107						
B	EC135	108 147	115 079	122 011					6 458	6 773	7 107						
B	EC137	123 007	130 759	136 804					7 875	8 262	8 672						
B	EC138	54 647	57 426	59 939					3 259	3 417	3 583						
B	EC139	167 232	165 668	175 285													
C	DC13 - Chris Hani District Municipality	415 232	457 580	494 351	67 086	72 366	78 986										
	Total: Chris Hani Municipalities	1 044 591	1 107 031	1 176 607	67 086	72 366	78 986		28 988	30 405	31 905						
B	EC141	122 612	131 038	137 615					6 458	6 773	7 107						
B	EC142	123 344	129 972	136 241					6 458	6 773	7 107						
B	EC145	47 523	44 888	47 808					4 425	4 644	4 875						
C	DC14 - Joe Gqabi District Municipality	203 304	221 061	239 059	21 317	22 994	25 098										
	Total: Joe Gqabi Municipalities	495 783	528 879	560 694	21 317	22 994	25 098		17 341	18 190	19 089						
B	EC153	183 949	195 846	204 994					11 996	12 580	13 199						
B	EC154	110 224	117 190	122 571					7 438	7 799	8 182						
B	EC155	201 074	213 844	224 240					11 996	12 580	13 199						
B	EC156	144 596	151 417	157 099					9 717	10 190	10 690						
B	EC157	205 468	208 719	212 838													
C	DC15 - King Shikama District Municipality	268 719	275 064	281 838	89 439	92 942	99 439										
	Total: O.R. Tambo Municipalities	1 483 650	1 595 519	1 692 948	75 064	81 942	89 439		41 147	43 149	45 270						
B	EC441	160 549	169 535	176 857					9 717	10 190	10 690						
B	EC442	152 895	160 177	166 359					10 097	10 588	11 088						
B	EC443	164 134	172 690	179 913					11 776	12 351	12 960						
B	EC444	166 826	175 666	184 466					6 839	7 177	7 534						
C	DC24 - Alfred Nzo District Municipality	350 508	378 271	405 051	36 539	39 415	43 021										
	Total: Alfred Nzo Municipalities	914 574	976 858	1 021 656	36 539	39 415	43 021		36 429	40 306	42 292						
	Total: Eastern Cape Municipalities	7 061 665	7 450 318	7 982 124	576 616	618 818	671 638		198 334	208 007	218 247						

APPENDIX W1
APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES
(EQUITABLE SHARE FORMULA ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCILLOR REMUNERATION AND WARD COMMITTEES +
BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL MUNICIPALITY PER SERVICE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)

Category	Municipality	Equitable Share Formula			RSC Levies Replacement			Special Support for Councillor Remuneration and Ward Committees			BREAKDOWN OF EQUITABLE SHARE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES							
		National and Municipal Financial Year			National and Municipal Financial Year			National and Municipal Financial Year			2017/18 (R'000)		2018/19 (R'000)		2017/18 (R'000)		2018/19 (R'000)	
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Water	Sanitation	Water	Sanitation	Water	Sanitation	Water	Sanitation
FREE STATE																		
A.	MANN - Mngamang	629 731	644 493	709 316														
B.	FS161 Letsameg	45 159	43 339	45 802				2 243	2 352	2 467								
B.	FS162 Kopanong	67 603	60 257	63 492				3 047	3 196	3 354								
B.	FS163 Mphahlele	52 229	53 249	57 093				2 243	2 352	2 467								
C.	DC16 - Xhuthi District Municipality	173 924	172 226	182 454	12 467	12 733	13 121	10 092	10 407	10 824								
Total: Free State Municipalities																		
B.	FS181 Mashepanyana	79 723	78 909	83 489				3 639	3 815	4 002								
B.	FS182 Tokologo	41 815	41 397	43 808				1 609	1 689	1 773								
B.	FS183 Tsoelike	56 542	54 532	57 557				3 047	3 196	3 354								
B.	FS184 Mafjabeling	38 851	37 021	40 033				4 538	4 781	5 017								
C.	DC18 - Lejalelatsi District Municipality	29 027	29 019	31 302	82 700	84 870	87 458											
Total: Lejalelatsi District Municipality																		
B.	FS191 Sesoso	152 477	148 723	158 311				6 298	6 604	6 928								
B.	FS192 Dlinabeng	74 304	72 726	76 782				3 419	3 586	3 762								
B.	FS193 Mafisa	458 097	452 281	472 299				3 047	3 196	3 354								
B.	FS194 Mafisa-Ploeding	56 783	57 473	61 243				3 047	3 196	3 354								
B.	FS195 Phumela	64 489	64 503	69 019				3 259	3 417	3 583								
B.	FS196 Mantsopa	42 259	44 743	47 050				55 465	56 920	58 655								
C.	DC19 - Thabo Mofemane District Municipality	974 044	1 010 069	1 080 471	55 465	56 920	58 655											
Total: Thabo Mofemane District Municipality																		
B.	FS201 Mophaka	158 519	160 019	171 963				16 021	16 883	17 627								
B.	FS203 Nwabe	157 639	161 424	173 705														
B.	FS204 Metsimholo	125 978	140 738	155 882				3 259	3 417	3 583								
B.	FS205 Mafube	73 955	74 483	79 865														
C.	DC20 - Fozile Daba District Municipality	2 200	2 338	2 438	152 438	154 912	160 627											
C.	DC21 - Fozile Daba District Municipality	52 821	54 622	59 233	124 428	128 912	134 627											
Total: Fozile Daba District Municipality																		
Total: Free State Municipalities																		
GAUTENG																		
A.	EKUR - Ekurhuleni	2 381 367	2 662 137	2 890 523														
A.	JHB - City of Johannesburg	3 182 318	3 607 991	4 017 148														
A.	TSH - City of Tshwane	1 864 838	2 148 143	2 404 418														
B.	GT421 Emfuleni	606 581	628 257	668 683														
B.	GT422 Mamelodi	87 248	99 357	111 033														
B.	GT423 Lesedi	19 146	18 599	19 703														
C.	DC32 - Sedibeng District Municipality	785 838	827 125	906 152	231 736	237 815	245 067											
Total: Sedibeng District Municipality																		
B.	GT481 Mogale City	285 456	320 490	355 627														
B.	GT482 Tlokweng City	216 738	232 091	245 651														
B.	GT485 West Rand District Municipality	30 273	31 275	33 200	158 599	162 759	167 723											
C.	DC38 - West Rand District Municipality	695 409	744 392	818 192	158 599	162 759	167 723											
Total: West Rand District Municipality																		
Total: Gauteng Municipalities																		

APPENDIX W1
APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES
(EQUITABLE SHARE FORMULA ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCIL OR REMUNERATION AND WARD COMMITTEES +
BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL MUNICIPALITY PER SPECIAL SUPPORT FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)

Municipality	Equitable Share Formula			RSC Levies Replacement			Special Support for Councilor Remuneration and Ward Committees			BREAKDOWN OF EQUITABLE SHARE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES					
	National and Municipal Financial Year			National and Municipal Financial Year			National and Municipal Financial Year			2016/17 (R'000)		2017/18 (R'000)		2018/19 (R'000)	
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Water	Sanitation	Refuse	Water	Sanitation	Refuse
KWAZULU-NATAL															
A. ETH. eThekweni	2 319 380	2 576 367	2 532 662												
B. KZN212 KZN212	114 086	109 386	116 512				7 058	7 401	7 764	37 217	29 088		41 409	31 862	
B. KZN213 Umzonbe	111 613	115 005	119 238				8 252	8 262	8 672	35 564	27 797		38 297	29 449	
B. KZN214 uMziwathu	72 578	77 864	82 120				3 799	3 984	4 181	22 414	19 402		27 237	20 900	
B. KZN216 uMthatha District Municipality	106 826	108 556	110 831	63 873	68 900	75 204				58 460	64 848		52 823	71 379	
Total: Uthungulu Municipalities	384 907	380 325	380 286	63 873	68 900	75 204				162 654	128 714		199 826	153 600	
B. KZN221 uMhlabathini	78 321	83 844	89 025				5 158	5 409	5 674	28 654	24 384		34 449	26 400	
B. KZN222 uMngeni	44 927	50 298	55 406				4 399	4 612	4 838	25 546	22 282		32 332	25 247	
B. KZN223 uMthatha District Municipality	106 826	108 556	110 831	63 873	68 900	75 204				58 460	64 848		52 823	71 379	
B. KZN224 Mthatha	29 802	30 805	31 912				1 547	1 623	1 700	7 765	6 630		9 308	7 078	
B. KZN225 Mthatha	432 307	480 046	527 315				2 659	2 789	2 926	13 643	10 816		16 856	12 962	
B. KZN226 Mhlabathini	47 524	48 310	51 258				2 659	2 789	2 926	17 129	13 605		21 461	16 803	
B. KZN227 Richmond	52 966	57 830	61 764				2 659	2 789	2 926	17 129	13 605		21 461	16 803	
B. KZN228 uMgungulu District Municipality	202 282	224 320	248 468	224 060	241 710	263 830				100 985	80 145		125 270	96 330	
Total: Umgungulu Municipalities	915 982	1 004 941	1 093 437	224 060	241 710	263 830				112 831	88 180		167 842	129 066	
B. KZN235 Okhahlamba	91 394	96 486	100 938				5 538	5 807	6 092	27 461	21 813		32 419	25 337	
B. KZN237 KZN237	126 026	133 536	141 005				8 737	9 164	9 615	40 321	32 025		49 254	37 875	
B. KZN238 KZN238	183 739	189 339	200 109				5 118	5 415	5 729	71 015	56 405		85 769	65 954	
Total: Uthukela District Municipality	680 474	724 077	772 995	47 937	51 710	56 441				138 999	110 243		167 842	129 066	
B. KZN241 Edendale	33 914	34 286	37 189				2 409	2 620	2 747	14 346	11 394		18 154	13 960	
B. KZN242 Ntunin	103 958	110 091	115 534				6 208	6 604	6 928	31 250	24 821		43 439	32 678	
B. KZN244 Mafinga	123 794	130 938	138 577				7 241	7 599	7 977	39 403	31 296		48 382	37 205	
B. KZN245 Umvoti	89 628	100 105	107 491				5 158	5 409	5 674	32 345	25 691		40 890	31 444	
Total: Umzimvubu District Municipality	314 800	361 862	386 855	28 731	30 925	33 828				117 344	93 292		148 110	111 587	
B. KZN252 Newcastle	306 952	324 247	350 776				2 243	2 352	2 467	5 164	4 101		6 147	4 727	
B. KZN253 Emmaadami	21 329	22 929	23 980				4 778	5 010	5 256	19 922	15 823		23 927	18 399	
B. KZN254 Dumbhauser	70 916	75 171	78 721				65 938	71 128	77 635	18 922	15 823		23 927	18 399	
Total: Amathole District Municipality	68 232	68 209	73 301	65 938	71 128	77 635				25 866	19 921		30 074	23 146	
Total: Amathole Municipalities	48 419	490 556	526 780	65 938	71 128	77 635	7 021	7 362	7 723	25 866	19 921		30 074	23 146	
B. KZN261 eDumbe	54 861	58 200	61 073				3 039	3 187	3 344	15 784	12 516		18 908	14 609	
B. KZN262 uPhongolo	92 262	98 723	104 390				5 538	5 807	6 092	28 917	22 968		35 394	27 217	
B. KZN263 Abqulisi	107 884	115 710	123 222				7 977	8 367	8 779	41 147	32 681		50 723	39 004	
B. KZN265 Nongoma	113 069	120 182	126 002				9 393	9 854	10 315	31 964	25 388		38 611	29 690	
B. KZN266 Ulundi	115 503	121 766	127 104				8 957	9 393	9 854	30 071	24 520		36 953	28 416	
Total: Zululand District Municipality	782 938	843 982	898 440	48 475	52 290	57 024	25 511	26 754	28 060	148 083	118 093		180 679	138 046	
B. KZN271 Umhlabuyalingana	115 780	126 783	135 046				6 678	7 002	7 346	37 312	29 635		46 410	35 862	
B. KZN272 Jozi	127 248	136 890	144 471				7 597	7 969	8 361	39 532	31 399		48 346	37 177	
B. KZN275 Mthabatha	112 731	124 789	133 616				5 059	5 307	5 570	34 623	27 300		44 028	33 856	
B. KZN280 Umhlabuyalingana District Municipality	262 854	285 870	305 125				5 059	5 307	5 570	20 370	16 179		25 192	19 372	
Total: Umhlabuyalingana District Municipality	692 933	763 030	820 569	29 292	31 997	34 487	26 931	28 247	29 635	131 837	104 713		164 176	126 347	
B. KZN281 Mbilizi	92 056	100 872	107 147				6 668	6 996	7 342	26 712	21 216		33 371	25 961	
B. KZN282 KZN282	268 487	291 465	319 112				10 257	10 757	11 267	45 559	34 697		62 413	47 023	
B. KZN283 Mthatha	112 731	124 789	133 616				5 059	5 307	5 570	15 273	11 658		18 039	13 871	
B. KZN285 KZN285	58 628	62 456	64 975				5 158	5 409	5 674	20 305	16 127		23 759	18 270	
B. KZN286 Nandeda	74 011	77 468	80 336				5 158	5 409	5 674	20 305	16 127		23 759	18 270	
Total: Uthungulu District Municipality	203 714	216 688	236 026	229 691	247 769	270 415				105 849	84 071		128 581	98 874	
Total: Uthungulu Municipalities	830 056	897 856	964 922	229 691	247 769	270 415				105 849	84 071		128 581	98 874	
B. KZN291 Makhosi	116 196	127 037	135 046				6 678	7 002	7 346	39 532	31 399		48 346	37 177	
B. KZN292 KwaDukuza	116 642	124 042	130 442				6 678	7 002	7 346	39 532	31 399		48 346	37 177	
B. KZN293 Ndwedwe	101 236	108 738	114 513				5 059	5 307	5 570	15 273	11 658		22 734	17 769	
B. KZN294 Mphahlele	67 225	70 068	72 637				5 158	5 409	5 674	20 305	16 127		23 759	18 270	
Total: Hlabisa District Municipality	301 217	341 656	377 963	72 779	78 507	85 689				131 837	104 713		164 176	126 347	
Total: Hlabisa Municipalities	702 516	779 541	847 566	72 779	78 507	85 689				131 837	104 713		164 176	126 347	
B. KZN433 Greater KwaDukuza	42 248	40 191	42 217				3 639	3 815	4 002	15 077	12 852		18 529	14 549	
B. KZN434 Ushubobwe	85 333	92 149	96 877				5 158	5 409	5 674	26 320	20 905		31 842	24 485	
B. KZN435 Umhlabathi	144 196	155 385	164 483				8 197	8 596	9 018	41 638	37 360		57 793	44 441	
B. KZN436 KZN436	88 425	93 323	97 786				5 863	6 151	6 456	26 310	20 897		31 584	24 287	
Total: Hlabisa District Municipality	234 044	256 131	272 609	26 025	28 074	30 642				115 345	91 614		139 248	107 463	
Total: Hlabisa Municipalities	594 246	637 179	679 172	26 025	28 074	30 642				115 345	91 614		139 248	107 463	
Total: KwaZulu-Natal Municipalities	9 351 946	10 192 236	11 022 346	836 821	902 683	985 245	203 375	215 445	226 095	1 201 854	954 387		1 477 617	1 136 245	

**APPENDIX W1
APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES
(EQUITABLE SHARE ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCILLOR REMUNERATION AND WARD COMMITTEES +
BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL MUNICIPALITY PER SERVICE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)**

Category	Municipality	Equitable Share Formula						RSC Levies Replacement						Special Support for Councillor Remuneration and Ward Committees						Breakdown of Equitable Share for District Municipalities Authorised for Services					
		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year			
		2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2016/17 (R'000)	2017/18 (R'000)		
LIMPOPO																									
B	LIM331 Greater Glynn	207 532	222 136	234 621	244 621	11 776	12 351	12 551	12 960	11 776	12 351	12 551	12 960	11 776	12 351	12 551	12 960	53 755	58 696	82 740	82 740	63 625	63 625		
B	LIM332 Greater Letaba	194 903	207 399	218 682	218 682	11 396	11 953	11 953	12 542	11 396	11 953	11 953	12 542	11 396	11 953	11 953	12 542	63 510	50 444	77 889	77 889	54 955	54 955		
B	LIM333 Greater Janzen	291 141	312 958	333 719	333 719	7 058	7 401	7 401	7 764	7 058	7 401	7 401	7 764	7 058	7 401	7 401	7 764	88 051	96 716	137 145	137 145	96 716	96 716		
B	LIM334 BophaPhawona	100 177	112 101	119 551	119 551	5 158	5 409	5 409	5 674	5 158	5 409	5 409	5 674	5 158	5 409	5 409	5 674	28 111	30 998	44 126	44 126	33 931	33 931		
B	LIM335 Mankweng	86 750	94 765	100 315	100 315	4 764	5 015	5 015	5 266	4 764	5 015	5 015	5 266	4 764	5 015	5 015	5 266	21 054	23 024	32 505	32 505	24 996	24 996		
C	LIM336 Mankweng District Municipality	809 978	867 625	919 303	919 303	35 388	37 114	37 114	38 940	35 388	37 114	37 114	38 940	35 388	37 114	37 114	38 940	241 415	264 889	373 805	373 805	287 445	287 445		
Total Limpopo Municipalities		1 473 852	1 644 726	1 723 727	1 723 727	95 705	103 337	103 337	112 682	95 705	103 337	103 337	112 682	95 705	103 337	103 337	112 682	338 270	364 889	430 880	430 880	331 335	331 335		
B	LIM341 LIM341	82 876	94 507	102 921	102 921	4 558	4 781	4 781	5 017	4 558	4 781	4 781	5 017	4 558	4 781	4 781	5 017	33 264	29 709	43 127	43 127	33 164	33 164		
B	LIM352 LIM352	112 678	115 277	123 866	123 866	15 415	16 166	16 166	16 961	15 415	16 166	16 166	16 961	15 415	16 166	16 166	16 961	104 893	101 391	143 449	143 449	110 808	110 808		
B	LIM344 Mhlabho	232 785	259 313	281 879	281 879	67 086	71 224	71 224	74 871	67 086	71 224	71 224	74 871	67 086	71 224	71 224	74 871	104 893	91 084	129 647	129 647	89 233	89 233		
B	LIM355 Lepelle-Nkumpi	191 137	204 670	214 403	214 403	13 515	14 174	14 174	14 871	13 515	14 174	14 174	14 871	13 515	14 174	14 174	14 871	59 383	51 637	74 640	74 640	55 815	55 815		
C	LIM358 Capricorn District Municipality	327 211	325 386	352 403	352 403	195 499	210 885	210 885	230 178	195 499	210 885	210 885	230 178	195 499	210 885	210 885	230 178	195 499	188 720	203 821	240 880	240 880	188 720	188 720	
Total Limpopo Municipalities		1 458 561	1 560 330	1 684 128	1 684 128	62 192	67 086	67 086	73 224	62 192	67 086	67 086	73 224	62 192	67 086	67 086	73 224	388 720	403 821	430 880	430 880	331 335	331 335		
B	LIM461 Thabamphi	58 652	58 218	63 598	63 598	4 399	4 612	4 612	4 838	4 399	4 612	4 612	4 838	4 399	4 612	4 612	4 838	47 854	37 091	57 057	57 057	43 875	43 875		
B	LIM366 Bhebe-Beja	65 152	73 643	79 809	79 809	3 259	3 417	3 417	3 583	3 259	3 417	3 417	3 583	3 259	3 417	3 417	3 583	6 375	6 089	8 323	8 323	6 375	6 375		
B	LIM367 Magoalobona	348 115	374 756	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616	400 616		
B	LIM368 LIM368	92 547	94 268	101 230	101 230	79 315	81 935	81 935	84 878	79 315	81 935	81 935	84 878	79 315	81 935	81 935	84 878	81 935	78 720	107 400	122 826	122 826	81 935	81 935	
C	LIM369 Walterburg District Municipality	28 364	29 993	31 678	31 678	2 602	2 731	2 731	2 862	2 602	2 731	2 731	2 862	2 602	2 731	2 731	2 862	2 602	2 731	2 862	2 862	2 862	2 862		
Total Limpopo Municipalities		688 344	741 252	792 179	792 179	79 315	81 935	81 935	84 878	79 315	81 935	81 935	84 878	79 315	81 935	81 935	84 878	142 860	113 238	157 148	157 148	132 255	132 255		
B	LIM471 Ephraim Mosele	111 478	120 628	128 521	128 521	6 078	6 375	6 375	6 689	6 078	6 375	6 375	6 689	6 078	6 375	6 375	6 689	40 166	31 394	44 727	44 727	34 893	34 893		
B	LIM472 Elias Mosenale	198 769	213 971	227 616	227 616	11 616	12 182	12 182	12 781	11 616	12 182	12 182	12 781	11 616	12 182	12 182	12 781	62 614	49 732	70 170	70 170	54 844	54 844		
B	LIM473 Makhadhangana	213 347	228 145	241 496	241 496	11 776	12 351	12 351	12 960	11 776	12 351	12 351	12 960	11 776	12 351	12 351	12 960	69 525	55 221	77 349	77 349	60 401	60 401		
B	LIM476 LIM476	307 760	335 688	360 690	360 690	20 660	21 411	21 411	22 162	20 660	21 411	21 411	22 162	20 660	21 411	21 411	22 162	102 550	81 452	116 042	116 042	85 444	85 444		
C	LIM477 Sakhshaba District Municipality	526 289	594 720	635 943	635 943	24 560	25 311	25 311	26 062	24 560	25 311	25 311	26 062	24 560	25 311	25 311	26 062	27 490	23 792	33 428	33 428	26 098	26 098		
Total Limpopo Municipalities		1 357 653	1 451 152	1 514 540	1 514 540	74 590	77 606	77 606	80 821	74 590	77 606	77 606	80 821	74 590	77 606	77 606	80 821	308 727	237 392	338 428	338 428	260 395	260 395		
Total Limpopo Municipalities		6 566 504	7 185 448	7 747 760	7 747 760	507 301	543 063	543 063	587 783	507 301	543 063	543 063	587 783	507 301	543 063	543 063	587 783	1 065 242	846 085	1 187 865	1 187 865	1 011 430	1 011 430		
MPUMALANGA																									
B	MP301 Albert Lutuli	224 109	243 124	259 688	259 688	9 337	9 791	9 791	10 272	9 337	9 791	9 791	10 272	9 337	9 791	9 791	10 272	121 443	132 341	145 011	145 011	104 011	104 011		
B	MP302 Mankweng	121 443	132 341	145 011	145 011	7 218	7 570	7 570	7 943	7 218	7 570	7 570	7 943	7 218	7 570	7 570	7 943	40 166	31 394	44 727	44 727	34 893	34 893		
B	MP303 Mkhondo	159 132	176 234	190 769	190 769	4 019	4 213	4 213	4 420	4 019	4 213	4 213	4 420	4 019	4 213	4 213	4 420	8 977	89 930	95 494	95 494	66 704	66 704		
B	MP304 Pixley Ka Seme	86 239	91 625	99 329	99 329	2 414	2 533	2 533	2 659	2 414	2 533	2 533	2 659	2 414	2 533	2 533	2 659	19 430	16 616	23 066	23 066	16 616	16 616		
B	MP305 Teyateyaneng	199 430	210 066	231 674	231 674	20 660	21 411	21 411	22 162	20 660	21 411	21 411	22 162	20 660	21 411	21 411	22 162	102 550	81 452	116 042	116 042	85 444	85 444		
B	MP307 Coen Msheli	12 494	10 247	10 842	10 842	2 602	2 731	2 731	2 862	2 602	2 731	2 731	2 862	2 602	2 731	2 731	2 862	2 602	2 731	2 862	2 862	2 862	2 862		
C	LIM370 Gert Sibande District Municipality	942 735	1 009 198	1 092 894	1 092 894	263 261	270 167	270 167	278 406	263 261	270 167	270 167	278 406	263 261	270 167	270 167	278 406	263 261	270 167	278 406	278 406	25 291	25 291		
Total Limpopo Municipalities		6 566 504	7 185 448	7 747 760	7 747 760	507 301	543 063	543 063	587 783	507 301	543 063	543 063	587 783	507 301	543 063	543 063	587 783	1 065 242	846 085	1 187 865	1 187 865	1 011 430	1 011 430		
B	MP311 Victor Khanye	69 690	77 742	85 678	85 678	3 259	3 417	3 417	3 583	3 259	3 417	3 417	3 583	3 259	3 417	3 417	3 583	6 375	6 089	8 323	8 323	6 375	6 375		
B	MP312 Mankweng	136 037	157 665	178 776	178 776	11 396	11 953	11 953	12 542	11 396	11 953	11 953	12 542	11 396	11 953	11 953	12 542	63 510	50 444	77 889	77 889	54 955	54 955		
B	MP313 Enkhoseni	48 790	51 830	58 687	58 687	3 047	3 196	3 196	3 354	3 047	3 196	3 196	3 354	3 047	3 196	3 1									

APPENDIX W1
APPENDIX TO SCHEDULE 3: EQUITABLE SHARE ALLOCATIONS TO MUNICIPALITIES
(EQUITABLE SHARE FORMULA ALLOCATIONS + RSC LEVIES REPLACEMENT + SPECIAL SUPPORT FOR COUNCIL OR REMUNERATION AND WARD COMMITTEES +
BREAKDOWN OF EQUITABLE SHARE ALLOCATIONS PER LOCAL MUNICIPALITY PER SERVICE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES)

Category	Municipality	Equitable Share Formula		RSC Levies Replacement		Special Support for Councilor Remuneration and Ward Committees		BREAKDOWN OF EQUITABLE SHARE FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES						
		National and Municipal Financial Year		National and Municipal Financial Year		National and Municipal Financial Year		2016/17 (R000)		2017/18 (R000)		2018/19 (R000)		
		2016/17 (R000)	2017/18 (R000)	2016/17 (R000)	2017/18 (R000)	2016/17 (R000)	2017/18 (R000)	Water	Sanitation	Refuse	Water	Sanitation	Refuse	
NORTHERN CAPE														
B	NC061 Richtersveld	12 060	12 613	13 647				1 438	1 508					
B	NC062 Nama-Khoi	34 868	37 002	39 995				3 450	3 618					
B	NC064 Kamiesberg	16 737	18 974	18 974				1 438	1 508					
B	NC065 Hanam	18 934	19 193	20 632				1 840	1 930					
B	NC066 Karoo Hoogland	15 131	16 353	17 639				1 547	1 623					
B	NC067 Namaqualand District Municipality	5 845	6 312	6 829				5 464	5 850					
B	NC068 Namaqualand District Municipality	5 988	6 403	6 812				5 599	5 928					
Total: Namaqualand Municipalities		117 832	124 463	133 372	27 049	28 605	14 233	13 550	14 952					
B	NC071 Umtata	24 379	26 359	28 226				1 438	1 508					
B	NC072 Unothobvu	34 415	36 965	39 909				2 243	2 352					
B	NC073 Umtata	17 481	18 600	19 954				1 508	1 584					
B	NC074 Kamatjane	17 481	18 600	20 421				1 438	1 508					
B	NC075 Bontebok	17 820	18 313	19 509				1 547	1 623					
B	NC076 Thembelille	17 820	19 053	20 279				1 547	1 623					
B	NC077 Syntemba	23 892	25 779	27 794				1 840	1 930					
B	NC078 Sphingomon	37 332	37 848	39 813				2 645	2 774					
B	NC079 Sphingomon	37 332	37 848	39 813				2 645	2 774					
Total: Peka-Ka-Senge District Municipality		220 369	232 631	248 540	18 071	18 445	19 111	18 784	19 729	20 782				
B	NC082 Ikhe Iqarib	50 935	53 925	58 319				3 852	4 040					
B	NC084 Ikheis	18 676	19 736	20 821				1 547	1 623					
B	NC085 Tsamabane	27 506	29 741	32 728				2 645	2 774					
B	NC086 Kgetlhoppe	19 870	21 121	22 493				1 840	1 930					
B	NC087 Z. A. Mngoma District Municipality	48 770	51 629	54 796				3 659	3 815					
B	NC088 Z. A. Mngoma District Municipality	48 770	51 629	54 796				3 659	3 815					
Total: Z. A. Mngoma Municipalities		189 699	198 973	215 793	35 302	36 229	37 333	37 333	38 513	39 760				
B	NC091 Soli Platjye	144 171	146 972	159 833				11 196	11 845					
B	NC092 Dighabong	44 341	46 599	50 492				4 179	4 383					
B	NC093 Dighabong	33 446	34 859	37 492				3 018	3 165					
B	NC094 Phokwane	75 668	79 473	84 000				6 270	6 572					
B	NC095 Phokwane	75 668	79 473	84 000				6 270	6 572					
Total: Frances Baard District Municipality		319 991	331 568	355 814	96 458	104 049	107 222	8 124	8 519	8 937				
B	NC043 Joe-Mooring	169 735	176 113	185 891				15 932	16 821					
B	NC045 Joe-Mooring	169 735	176 113	185 891				15 932	16 821					
B	NC046 Joe-Mooring	169 735	176 113	185 891				15 932	16 821					
B	NC048 Gamaan	22 853	25 957	29 854				2 499	2 620					
B	NC045 John Joubert District Municipality	22 853	25 957	29 854				2 499	2 620					
B	NC048 John Joubert District Municipality	22 853	25 957	29 854				2 499	2 620					
Total: John Joubert District Municipality		272 445	298 367	322 685	34 383	35 385	36 513	35 385	36 513	37 640				
Total: Northern Cape Municipalities		1 120 336	1 185 402	1 275 990	211 263	221 027	229 284	76 548	80 396	84 462				
NORTH WEST														
B	NW071 Moretele	254 028	273 830	289 714				9 877	10 359					
B	NW072 Mafabeng	506 149	570 167	638 352				2 879	3 018					
B	NW073 Mafabeng	506 149	570 167	638 352				2 879	3 018					
B	NW074 Krugerpoort	50 615	55 888	61 161				12 916	13 546					
B	NW075 Moses Kone	320 349	343 390	364 603				11 196	11 845					
Total: Botswana Platinum Municipalities		1 652 300	1 846 314	2 019 750	231 568	237 643	244 890	36 868	38 768	40 780				
B	NW031 Bofelo	91 239	95 744	100 049				5 632	5 910					
B	NW032 Tsoelike	80 174	84 395	88 798				5 538	5 807					
B	NW033 Matleng	178 390	191 051	202 578				7 218	7 570					
B	NW034 Ditsobotla	89 941	94 228	99 879				18 051	18 888					
B	NW035 Ramothore Molea	118 921	126 503	133 134				15 475	16 208					
B	NW037 Molea District Municipality	395 843	435 122	471 991				18 051	18 888					
B	NW038 Molea District Municipality	395 843	435 122	471 991				18 051	18 888					
Total: North West Municipalities		2 942 486	3 192 043	3 406 428	284 473	297 708	305 051	218 388	228 000	237 232				
B	NW032 Naledi	37 402	39 366	41 822				3 799	3 984					
B	NW033 Mamasu	41 743	44 674	47 424				3 419	3 586					
B	NW034 Greater Tlany	155 437	164 566	171 951				9 117	9 562					
B	NW036 Lekwa-lesame	38 042	38 626	41 132				2 218	2 377					
B	NW037 Mmabatho District Municipality	140 400	146 544	152 744				5 118	5 348					
B	NW038 Mmabatho District Municipality	140 400	146 544	152 744				5 118	5 348					
Total: Dr. Ruth Segamont Mmabatho District Municipality		606 302	653 832	694 756	35 599	38 011	41 914	30 209	31 731	33 342				
B	NW043 City of Mafikeng	342 835	352 222	361 749				4 179	4 383					
B	NW044 Mafikeng Hills	89 843	94 249	100 191				153 637	158 323					
B	NW045 Mafikeng Hills	89 843	94 249	100 191				153 637	158 323					
Total: Dr. Kenneth Kaunda District Municipality		10 669	11 002	11 345	149 710	153 637	158 323	4 179	4 383	4 597				
Total: North West Municipalities		3 853 397	4 201 260	4 546 651	572 549	597 389	628 178	89 644	94 109	98 960				

APPENDIX W2

APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: MUNICIPAL INFRASTRUCTURE GRANT (MIG) AND
WATER SERVICES INFRASTRUCTURE GRANT (WSIG)

(BREAKDOWN OF MIG AND WSIG ALLOCATIONS PER LOCAL MUNICIPALITY FOR DISTRICT MUNICIPALITIES
AUTHORISED FOR SERVICES)

(National and Municipal Financial Years)

APPENDIX W2
 APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: MUNICIPAL INFRASTRUCTURE GRANT (MIG) AND WATER SERVICES INFRASTRUCTURE GRANT (WSIG)
 BREAKDOWN OF MIG AND WSIG ALLOCATIONS PER LOCAL MUNICIPALITY FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES

	SCHEDULE 5, PART B				SCHEDULE 6, PART B			
	Breakdown of MIG allocations for district municipalities authorised for services				Breakdown of WSIG allocations for district municipalities authorised for services			
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Total	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Total
EASTERN CAPE								
B EC121 Mbashe	151 696	163 815	173 968	509 479	13 000	24 500	30 000	67 500
B EC122 Mquma	141 261	152 546	162 001	455 808	13 000	24 500	25 000	62 500
B EC123 Great Kei	8 682	9 376	9 957	27 015	17 000	15 982	12 000	45 000
B EC124 Amahlathi	34 055	36 775	39 055	110 000	31 000	40 000	22 000	93 000
B EC126 Ngushwa	27 856	30 081	31 946	89 883	20 000	35 000	29 000	84 000
B EC129	44 185	47 715	50 673	142 573	25 190	25 000	28 000	78 190
C DC12 Amathole District Municipality								
Total Amathole Municipalities	407 735	440 308	467 600	1 315 643	119 190	164 982	146 000	430 172
B EC131 Inxuba Yethemba	5 053	5 591	5 937	16 581	30 000	25 000	23 000	78 000
B EC135 Intsika Yethu	83 453	92 317	98 039	273 809	25 000	23 000	26 000	74 000
B EC136 Emalahleni	42 124	46 598	49 486	138 208	18 000	29 000	24 000	71 000
B EC137 Engcobo	77 255	85 461	90 758	253 474	15 000	31 000	27 264	73 264
B EC138 Sakhisizwe	18 738	20 728	22 013	61 479	10 000	34 000	28 000	72 000
B EC139	39 919	44 159	46 895	130 973	3 597	26 639	29 000	60 236
C DC13 Chris Hani District Municipality								
Total Chris Hani Municipalities	266 542	294 854	313 128	874 524	101 597	168 639	157 264	427 500
B EC141 Elundini	80 421	86 846	92 228	259 495	33 000	25 400	38 000	96 400
B EC142 Senqu	55 506	59 941	63 655	179 102	26 000	27 000	41 200	94 200
B EC145	10 674	11 527	12 242	34 443	12 828	32 000	44 200	89 028
C DC14 Joe Gqabi District Municipality								
Total Joe Gqabi Municipalities	146 601	158 314	168 125	473 040	71 828	84 400	123 400	280 628
B EC153 Nguzwa Hill	136 436	147 335	156 466	439 237	22 000	24 000	20 000	66 000
B EC154 Port St Johns	77 550	83 745	88 935	250 230	19 739	20 000	17 000	56 739
B EC155 Nyandeni	139 701	150 861	160 211	450 773	22 000	23 000	21 000	66 000
B EC156 Mhlonito	87 782	94 795	100 670	283 247	27 000	25 000	24 000	76 000
B EC157 King Sabata Dalindyebo	162 631	175 623	186 507	524 761	19 000	17 837	18 000	54 837
C DC15 O.R. Tambo District Municipality								
Total O.R. Tambo Municipalities	604 100	652 359	692 789	1 959 248	109 739	109 837	100 000	319 576
B EC441 Matatiele	86 780	93 712	99 520	280 012	26 000	38 000	28 000	92 000
B EC442 Umzimvubu	88 035	95 068	100 960	284 063	23 000	39 000	20 000	82 000
B EC443 Mbizana	127 572	137 763	146 301	411 636	22 171	38 000	29 000	89 171
B EC444 Ntabankulu	54 111	58 434	62 055	174 600	30 000	36 741	28 000	94 741
C DC44 Alfred Nzo District Municipality								
Total Alfred Nzo Municipalities	356 498	384 977	408 836	1 150 311	101 171	151 741	105 000	457 912
Total Eastern Cape Municipalities	1 781 476	1 930 812	2 050 478	5 762 766	503 525	679 599	631 664	1 814 788

APPENDIX W2
APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: MUNICIPAL INFRASTRUCTURE GRANT (MIG) AND WATER SERVICES INFRASTRUCTURE GRANT (WSIG)
BREAKDOWN OF MIG AND WSIG ALLOCATIONS PER LOCAL MUNICIPALITY FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES

	SCHEDULE 5, PART B				SCHEDULE 6, PART B			
	Breakdown of MIG allocations for district municipalities authorised for services				Breakdown of WSIG allocations for district municipalities authorised for services			
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Total (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	Total (R'000)
KWAZULU-NATAL								
A ETH eThekweni								
B KZN212	41 868	45 115	47 911	134 894	24 213	32 000	34 000	90 213
B KZN213	73 924	79 656	84 593	238 173	8 000	31 000	36 000	75 000
B KZN214	33 250	35 828	38 049	107 127	12 000	27 372	37 000	76 372
B KZN216	79 821	86 011	91 341	257 173	29 000	40 000	38 000	107 000
C DC21 Ugu District Municipality								
Total: Ugu Municipalities	228 863	246 610	261 894	737 367	73 213	130 372	145 000	348 585
B KZN221 uMshwathi	26 441	28 553	30 323	85 317	14 735	30 000	23 000	67 735
B KZN222 uMngeni	17 786	19 207	20 397	57 390	7 000	6 000	18 000	31 000
B KZN223 Mpolana	7 023	7 586	8 055	22 664	6 000	7 800	19 500	33 300
B KZN224 Impendle	10 088	10 894	11 569	32 751	9 000	6 000	22 500	37 500
B KZN225 Msunduzi								
B KZN226 Mkhambathini	17 132	18 500	19 647	55 279	8 700	7 698	18 700	35 098
B KZN227 Richmond	16 159	17 450	18 532	52 141	4 800	5 500	21 000	31 300
C DC22 Umhlangululu District Municipality								
Total: Umhlangululu Municipalities	94 629	102 190	108 523	305 342	50 235	62 998	122 700	215 933
B KZN235 Okhahlamba	41 691	45 022	47 812	134 525	22 000	43 000	23 000	88 000
B KZN237 KZN237	56 363	60 865	64 637	181 865	27 807	34 500	24 000	86 307
B KZN238 KZN238	75 452	81 480	86 530	243 462	32 000	75 000	46 000	153 000
C DC23 Uthukela District Municipality								
Total: Uthukela Municipalities	173 506	187 367	198 979	559 852	81 807	152 500	93 000	327 307
B KZN241 Endumeni	8 784	9 537	10 128	28 449	13 111	34 000	29 000	76 111
B KZN242 Nqutu	45 254	49 133	52 178	146 565	23 000	39 000	27 000	89 000
B KZN244 Msinga	74 470	80 852	85 862	241 184	27 000	37 764	29 000	93 764
B KZN245 Umvoti	47 583	51 660	54 862	154 105	21 000	29 000	23 000	73 000
C DC24 Umzimnyathi District Municipality								
Total: Umzimnyathi Municipalities	176 091	191 182	203 030	570 303	84 111	139 764	108 000	331 875
B KZN252 Newcastle								
B KZN253 Emadlangeni	9 619	10 466	11 115	31 200	28 013	28 000	43 000	79 013
B KZN254 Dannhauser	24 996	27 198	28 884	81 078	21 387	26 500	38 000	85 887
C DC25 Amajuba District Municipality								
Total: Amajuba Municipalities	34 615	37 664	39 999	112 278	49 400	54 500	81 000	164 900

APPENDIX W2
 APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: MUNICIPAL INFRASTRUCTURE GRANT (MIG) AND WATER SERVICES INFRASTRUCTURE GRANT (WSIG)
 BREAKDOWN OF MIG AND WSIG ALLOCATIONS PER LOCAL MUNICIPALITY FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES

	SCHEDULE 5, PART B				SCHEDULE 6, PART B				
	Breakdown of MIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
Municipality	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
B KZN261 eDumbe	14 948	16 142	17 142	19 000	29 000	21 097			
B KZN262 UPhongolo	42 300	45 679	48 510	19 000	26 633	16 871			
B KZN263 Abaqulusi	45 720	49 373	52 433	18 071	24 000	13 932			
B KZN265 Nongoma	66 174	71 460	75 889	22 000	25 000	30 618			
B KZN266 Ulundi	44 172	47 700	50 657	31 000	29 000	21 482			
C DC26 Zululand District Municipality									
Total: Zululand Municipalities	213 314	230 354	244 631	109 071	133 633	104 000			
B KZN271 Umhlabuyalingana	56 859	61 401	65 207	15 000	11 253	23 000			
B KZN272 Jozini	67 993	73 425	77 976	15 371	12 000	19 200			
B KZN275 Mtharaba	51 184	55 274	58 699	13 000	14 700	29 000			
B KZN276 KZN276	26 485	28 601	30 374	27 000	18 000	30 800			
C DC27 Umkhanyakude District Municipality									
Total: Umkhanyakude Municipalities	202 521	218 701	232 256	70 371	55 953	102 000			
B KZN281 Mbozi	30 743	33 199	35 256	33 569	41 412	21 000			
B KZN282 KZN282	69 644	75 208	79 869	16 800	42 054	17 000			
B KZN284 uMlalazi	26 687	28 819	30 605	35 000	32 034	35 000			
B KZN285 KZN285	33 096	35 740	37 955						
B KZN286 Nkandla									
C DC28 uThungulu District Municipality									
Total: Uthungulu Municipalities	160 170	172 966	183 685	85 369	115 500	73 000			
B KZN291 Mandeni	39 804	42 984	45 647	21 500	28 000	35 000			
B KZN292 Kwabukuba	59 938	64 726	68 737	21 000	19 500	23 000			
B KZN293 Ndwebwe	41 438	44 748	47 521	13 000	17 000	26 000			
B KZN294 Maphumulo	40 805	44 065	46 796	7 000	35 000	23 105			
C DC29 iLembe District Municipality									
Total: iLembe Municipalities	181 985	196 523	208 701	62 500	99 500	107 105			
B KZN433 Greater Kokstad	9 952	10 899	11 575	20 000	29 000	25 000			
B KZN434 Ubulhebezwe	43 839	48 014	50 990	25 000	19 000	33 400			
B KZN435 Unzimkhulu	89 921	98 485	104 588	14 000	19 000	23 000			
B KZN436 KZN436	42 426	46 467	49 346	27 118	31 000	37 000			
C DC43 Harry Gwala District Municipality									
Total: Harry Gwala Municipalities	186 138	203 865	216 499	86 118	98 000	118 400			
Total: KwaZulu-Natal Municipalities	1 651 832	1 787 422	1 898 197	752 195	1 042 720	1 054 205			
LIMPOPO									
B LIM331 Greater Giyani	108 526	117 196	124 459	8 000	4 000	36 000	10 000	38 000	23 500
B LIM332 Greater Letaba	86 100	92 979	98 741	8 000	4 000	27 000		12 000	9 100
B LIM333 Greater Tzaneen	171 342	185 030	196 498	48 000	50 000	46 000		14 000	8 700
B LIM334 Baa-Phekoorwa	31 049	33 530	35 608	29 000	52 000	42 000		13 000	11 700
B LIM335 Marabeng	36 889	39 837	42 305	16 288	43 000	26 000		11 000	12 000
C DC33 Mopani District Municipality									
Total: Mopani Municipalities	433 906	468 572	497 611	109 288	153 000	177 000	20 000	88 000	65 000

APPENDIX W2
APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: MUNICIPAL INFRASTRUCTURE GRANT (MIG) AND WATER SERVICES INFRASTRUCTURE GRANT (WSIG)
BREAKDOWN OF MIG AND WSIG ALLOCATIONS PER LOCAL MUNICIPALITY FOR DISTRICT MUNICIPALITIES AUTHORISED FOR SERVICES

	SCHEDULE 5, PART B				SCHEDULE 6, PART B				
	Breakdown of MIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		Breakdown of WSIG allocations for district municipalities authorised for services		
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
Municipality									
B	26 913	29 065	30 865	20 000	38 000	50 000			
B	179 410	193 743	205 749	35 000	48 000	45 000			
B	153 361	165 612	175 876	25 000	38 500	30 000			
B	132 602	143 196	152 070	28 000	42 000	59 000			
C									
Total: Vhembe Municipalities	492 286	531 616	564 560	108 000	166 500	184 000			
B	83 959	82 841	87 975	26 000	33 542	31 000			
B	56 141	55 393	58 826	26 000	38 000	36 000			
B				25 000	29 000	32 000			
B	98 301	96 992	103 003	25 800	25 000	34 000			
C									
Total: Capricorn Municipalities	238 401	235 226	249 804	102 800	125 542	133 000			
B	45 111	48 715	51 734	11 000	11 000	11 000			
B	108 500	117 168	124 429	16 000	16 000	16 000			
B	123 749	133 635	141 917	19 000	19 000	19 800			
B	175 623	189 654	201 407	18 000	4 500	17 000			
C									
Total: Sekhukhune Municipalities	452 983	489 172	519 487	64 000	4 500	112 000			
Total: Limpopo Municipalities	1 617 576	1 724 586	1 831 462	384 088	449 542	494 000			
NORTH WEST									
B	46 600	50 322	53 441	4 000	4 500	23 500			
B	36 245	39 140	41 566			21 000			
B	104 710	113 075	120 083			13 000			
B	43 543	47 021	49 936			14 000			
B	54 100	58 422	62 043			19 000			
C						8 000			
Total: Ngaka Modiri Molema Municipalities	285 198	307 980	327 069	4 000	4 500	98 000			
B	11 369	12 277	13 038						
B	9 673	10 446	11 094						
B	69 176	74 702	79 332						
B	4 129	4 460	4 735						
B	35 369	38 195	40 562						
C									
Total: Dr Ruth Segomotsi Mompati District Municipality	129 716	140 080	148 761						
Total: North West Municipalities	414 914	448 060	475 830	4 000	4 500	103 175			
WESTERN CAPE									
National Total	5 465 798	5 890 880	6 255 967	1 643 808	2 176 361	2 179 869	65 000	98 000	103 175
							165 000	264 000	280 175

APPENDIX W3

**APPENDIX TO SCHEDULE 5, PART B: MUNICIPAL INFRASTRUCTURE GRANT
RING-FENCED FUNDING FOR SPORT INFRASTRUCTURE - BREAKDOWN PER MUNICIPALITY
(National and Municipal Financial Years)**

**APPENDIX W3
APPENDIX TO SCHEDULE 5, PART B: MUNICIPAL INFRASTRUCTURE GRANT
RING-FENCED FUNDING FOR SPORT INFRASTRUCTURE - BREAKDOWN PER MUNICIPALITY**

Category	Municipality	Project Name	Ring-fenced Municipal Infrastructure Grant allocations for sport infrastructure		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE					
B EC104	Makana Local Municipality	Makana Local Municipality - multi-purpose indoor facilities	13 000		
Total: Sarah Baartman Municipalities			13 000		
B EC137	Engobo Local Municipality	Engobo Local Municipality - Construction of four sport facilities	13 661		
Total: Chris Hani Municipalities			13 661		
B EC157	King Sabatha Dalindyebo Local Municipality		10 000		
Total: OR Tambo Municipalities			10 000		
B EC444	Ntabankulu Local Municipality	Ntabankulu Local Municipality - Mantlani sports field, Bhakubha Sports Field, Mbangwe	10 000		
Total: Alfred Nzo Municipalities			10 000		
Total: Eastern Cape Municipalities			46 661		
FREE STATE					
B FS163	Mohokare Local Municipality	Zastron/Itumeleng: Upgrading of Sports facility Zastron/Itumeleng: Upgrading of Sports facility	11 000		
Total: Xhariep Municipalities			11 000		
B FS182	Tokologo Local Municipality	Tokologo Local Municipality - Tshwaraganang township, upgrading of stadium	10 000		
Total: Lejweleputswa Municipalities			10 000		
Total: Free State Municipalities			21 000		
GAUTENG					
B GT485	GT485	GT485 - Construction of a sport facility in Badirile within the Mothlakeng township	10 000		
Total: West Rand Municipalities			10 000		
Total: Gauteng Municipalities			10 000		
KWAZULU-NATAL					
B KZN227	Richmond Local Municipality	Richmond Local Municipality - Construction of the multi-purpose sport center in Richmond Local Municipality	15 000		
Total: Umgungundlovu Municipalities			15 000		
B KZN262	Phongola Local Municipality	Phongola Local Municipality - Construction of Ncotshane sport field	15 000		
Total: Zululand Municipalities			15 000		
B KZN433	Greater Kokstad Local Municipality	Greater Kokstad Local municipality - Construction of sport field	15 000		
Total: Harry Gwala Municipalities			15 000		
Total: KwaZulu-Natal Municipalities			45 000		
LIMPOPO					
B LIM331	Greater Giyani Local Municipality	Greater Giyani Local Municipality - Construction of 3 sport facilities	15 000		
B LIM335	Maruleng Local Municipality	Maruleng Local Municipality - Construction of Finale Balloon Village	4 000		
Total: Mopani Municipalities			19 000		
B LIM353	LIM353	LIM353 - Construction of a sport facility in Ramokgopa	9 000		
Total: Capricon Municipalities			9 000		
B LIM472	Elias Motsoaledi Local Municipality	Elias Motsoaledi Local Municipality - Upgrading of Hlogotlou Stadium	10 000		
Total: Sekhukhune Municipalities			10 000		
Total: Limpopo Municipalities			38 000		

MPUMALANGA				
B	MP301	Albert Luthuli Local Municipality	Chief Albert Luthuli Local Municipality - construction of the Silobela sport field	7 232
B	MP302	Msukaligwa Local Municipality	Msukaligwa Local Municipality - Refurbishment of the Mpumalanga Stadium in Wesselton township and the combi courts	10 128
B	MP305	Lekwa Local Municipality	Lekwa Local Municipality - Upgrading of the Sakhile combined sport facility	11 000
Total: Gert Sibande Municipalities				28 360
B	MP311	Victor Khanye Local Municipality	Victor Khanye Local Municipality - Upgrading of existing municipal facilities	6 600
B	MP312	Emalahleni Local Municipality	Emalahleni Local Municipality - Construction of multi-purpose sports field	8 000
Total: Nkangala Municipalities				14 600
Total: Mpumalanga Municipalities				42 960
NORTHERN CAPE				
B	NC064	Kamiesberg Local Municipality	Kamiesberg Local Municipality - Building a multi-purpose sport center	1 200
B	NC067	Khai Ma Local Municipality	Khai Ma Local Municipality - Construction of a multi-purpose sport field	8 000
Total: Namakwa Municipalities				9 200
B	NC072	Umsobomvu Local Municipality	Umsobomvu Local Municipality - Noupoot Community Indoor Gym	6 500
Total: Pixley ka Seme Municipalities				6 500
B	NC453	Gamagara Local Municipality	Gamagara Local Municipality - Upgrading of Kathu multi-purpose sport facility	10 000
Total: John Taolo Gaetsewe Municipalities				10 000
Total: Northern Cape Municipalities				25 700
NORTH WEST				
B	NW381	Ratlou Local Municipality	Ratlou Local Municipality - Upgrading of the Setlagole sport facility	15 000
B	NW383	Mafikeng Local Municipality	Mafikeng Local Municipality - Lotlhakane community - new soccer field, combination-courts and athletic track	12 000
Total: Ngaka Modiri Molema Municipalities				27 000
B	NW293	Mamusa Local Municipality	Mamusa Local Municipality - Upgrading of Itelegeng sport facility	5 000
B	NW396	Lekwa Teamane Municipality	Lekwa Teamane Municipality - Upgrade of Cristiana stadium, athletics track, combination-courts, tennis courts and indoor gym	11 500
Total: Dr Ruth Segomotsi Mompati Municipalities				16 500
Total: North West Municipalities				43 500
WESTERN CAPE				
B	WC012	Cederberg Local Municipality	Cederberg Local Municipality - Construction and upgrading of Clanwilliam sport fields	7 679
Total: West Coast Municipalities				7 679
B	WC034	Swellendam Local Municipality	Swellendam Local Municipality - Upgrading of Railton sport facility	7 000
Total: Eden Municipalities				7 000
B	WC053	Beaufort West Local Municipality	Beaufort West Local Municipality - Upgrading of Merweville Sport Grounds	12 500
Total: Central Karoo Municipalities				12 500
Total: Western Cape Municipalities				27 179
Unallocated				300 000
National Total				300 000

APPENDIX W4

APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED GRANT FOR MUNICIPALITIES
(National and Municipal Financial Years)

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE					
A	BUF Buffalo City	1 512	1 188		
A	NMA Nelson Mandela Bay	1 842	8 496		
B	EC101 EC101	83	3 101		
B	EC102 Blue Crane Route	36	1 008		
B	EC104 Makana	56	1 000		
B	EC105 Ndlambe	62	1 000		
B	EC106 Sundays River Valley	59	1 000		
B	EC108 Kouga	71	1 057		
B	EC109 Kou-Kamma	38	1 000		
C	DC10 Sarah Baartman District Municipality	7	1 000		
Total: Sarah Baartman Municipalities		412	10 166		
B	EC121 Mbhashe	126	1 144		
B	EC122 Mquma	137	1 000		
B	EC123 Great Kei	34	1 000		
B	EC124 Amahlathi	74	1 062		
B	EC126 Ngqushwa	56	1 000		
B	EC129 EC129	105	2 167		
C	DC12 Amathole District Municipality	934	2 297		
Total: Amathole Municipalities		1 466	9 670		
B	EC131 Inxuba Yethemba	42	1 479		
B	EC135 Intsika Yethu	93	1 311		
B	EC136 Emalahleni	76	1 415		
B	EC137 Engcobo	91	2 000		
B	EC138 Sakhisizwe	44	1 117		
B	EC139 EC139	154	4 079		
C	DC13 Chris Hani District Municipality	625	7 797		
Total: Chris Hani Municipalities		1 125	19 198		
B	EC141 Elundini	89	1 548		
B	EC142 Senqu	88	1 497		
B	EC145 EC145	64	2 438		
C	DC14 Joe Gqabi District Municipality	333	1 474		
Total: Joe Gqabi Municipalities		574	6 957		
B	EC153 Ngquza Hill	118	1 266		
B	EC154 Port St Johns	76	1 000		
B	EC155 Nyandeni	131	1 261		
B	EC156 Mhlontlo	96	1 232		
B	EC157 King Sabata Dalindyebo	186	1 699		
C	DC15 O.R. Tambo District Municipality	1 316	3 213		
Total: O.R. Tambo Municipalities		1 923	9 671		
B	EC441 Matatiele	111	1 790		
B	EC442 Umzimvubu	105	1 626		
B	EC443 Mbizana	105	1 084		
B	EC444 Ntabankulu	63	1 231		
C	DC44 Alfred Nzo District Municipality	808	6 006		
Total: Alfred Nzo Municipalities		1 192	11 737		
Total: Eastern Cape Municipalities		10 046	77 083		

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
FREE STATE					
A	MAN Mangaung	1 526	5 151		
B	FS161 Letsemeng	42	1 000		
B	FS162 Kopanong	50	1 155		
B	FS163 Mohokare	44	1 000		
C	DC16 Xhariep District Municipality	7	1 053		
Total: Xhariep Municipalities		143	4 208		
B	FS181 Masilonyana	57	1 147		
B	FS182 Tokologo	40	1 032		
B	FS183 Tswelopele	40	1 000		
B	FS184 Matjhabeng	248	1 131		
B	FS185 Nala	67	1 000		
C	DC18 Lejweleputswa District Municipality	7	1 000		
Total: Lejweleputswa Municipalities		459	6 310		
B	FS191 Setsoto	109	1 908		
B	FS192 Dihlabeng	85	1 000		
B	FS193 Nketoana	58	1 023		
B	FS194 Maluti-a-Phofung	380	7 650		
B	FS195 Phumelela	49	1 000		
B	FS196 Mantsopa	47	1 000		
C	DC19 Thabo Mofutsanyana District Municipality	8	1 120		
Total: Thabo Mofutsanyana Municipalities		736	14 701		
B	FS201 Moqhaka	88	1 000		
B	FS203 Ngwathe	92	1 078		
B	FS204 Metsimaholo	97	1 060		
B	FS205 Mafube	52	1 000		
C	DC20 Fezile Dabi District Municipality				
Total: Fezile Dabi Municipalities		329	4 138		
Total: Free State Municipalities		3 193	34 508		
GAUTENG					
A	EKU Ekurhuleni	4 031	22 125		
A	JHB City of Johannesburg	3 971	47 613		
A	TSH City of Tshwane	3 501	50 247		
B	GT421 Emfuleni	358	2 528		
B	GT422 Midvaal	73	1 279		
B	GT423 Lesedi	61	1 238		
C	DC42 Sedibeng District Municipality	7	1 000		
Total: Sedibeng Municipalities		499	6 045		
B	GT481 Mogale City	214	1 089		
B	GT484 Merafong City	127	1 424		
B	GT485 GT485	192	2 927		
C	DC48 West Rand District Municipality	9	1 305		
Total: West Rand Municipalities		542	6 745		
Total: Gauteng Municipalities		12 544	132 775		

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
KWAZULU-NATAL					
A	ETH eThekweni	4 213	49 478		
B	KZN212 KZN212	94	2 038		
B	KZN213 Umzambe	79	1 083		
B	KZN214 uMuziwabantu	55	1 129		
B	KZN216 KZN216	152	2 660		
C	DC21 Ugu District Municipality	534	1 788		
Total: Ugu Municipalities		914	8 698		
B	KZN221 uMshwathi	65	1 313		
B	KZN222 uMngeni	55	1 317		
B	KZN223 Mpofana	32	1 000		
B	KZN224 Impendle	35	1 443		
B	KZN225 Msunduzi	449	6 809		
B	KZN226 Mkhambathini	43	1 253		
B	KZN227 Richmond	46	1 277		
C	DC22 Umgungundlovu District Municipality	236	2 094		
Total: Umgungundlovu Municipalities		961	16 506		
B	KZN235 Okhahlamba	77	2 934		
B	KZN237 KZN237	101	2 328		
B	KZN238 KZN238	168	4 906		
C	DC23 Uthukela District Municipality	401	3 169		
Total: Uthukela Municipalities		747	13 337		
B	KZN241 Endumeni	39	1 127		
B	KZN242 Nqutu	72	1 337		
B	KZN244 Msinga	93	2 095		
B	KZN245 Umvoti	71	2 373		
C	DC24 Umzinyathi District Municipality	399	2 350		
Total: Umzinyathi Municipalities		674	9 282		
B	KZN252 Newcastle	253	3 173		
B	KZN253 Emadlangeni	28	1 284		
B	KZN254 Dannhauser	51	1 119		
C	DC25 Amajuba District Municipality	94	1 497		
Total: Amajuba Municipalities		426	7 073		
B	KZN261 eDumbe	43	1 000		
B	KZN262 uPhongolo	78	3 021		
B	KZN263 Abaqulusi	83	1 398		
B	KZN265 Nongoma	71	1 102		
B	KZN266 Ulundi	69	1 000		
C	DC26 Zululand District Municipality	488	3 624		
Total: Zululand Municipalities		832	11 145		
B	KZN271 Umhlabuyalingana	85	2 277		
B	KZN272 Jozini	97	3 338		
B	KZN275 Mtubatuba	73	1 408		
B	KZN276 KZN276	78	3 545		
C	DC27 Umkhanyakude District Municipality	450	1 293		
Total: Umkhanyakude Municipalities		783	11 861		
B	KZN281 Mfolozi	62	1 649		
B	KZN282 KZN282	244	5 061		
B	KZN284 uMlalazi	102	2 924		
B	KZN285 KZN285	36	2 161		
B	KZN286 Nkandla	57	2 149		
C	DC28 uThungulu District Municipality	404	5 466		
Total: Uthungulu Municipalities		905	19 410		
B	KZN291 Mandeni	85	2 055		
B	KZN292 KwaDukuza	113	1 285		
B	KZN293 Ndwedwe	72	1 791		
B	KZN294 Maphumulo	53	1 261		
C	DC29 iLembe District Municipality	409	1 850		
Total: iLembe Municipalities		732	8 242		
B	KZN433 Greater Kokstad	46	1 619		
B	KZN434 Ubuhlebezwe	64	1 985		
B	KZN435 Umzimkhulu	97	1 299		
B	KZN436 KZN436	81	2 191		
C	DC43 Harry Gwala District Municipality	23	3 364		
Total: Harry Gwala Municipalities		311	10 458		
Total: KwaZulu-Natal Municipalities		11 498	165 490		

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
LIMPOPO					
B	LIM331 Greater Giyani	131	1 158		
B	LIM332 Greater Letaba	125	1 405		
B	LIM333 Greater Tzaneen	204	1 949		
B	LIM334 Ba-Phalaborwa	72	1 000		
B	LIM335 Maruleng	61	1 000		
C	DC33 Mopani District Municipality	946	1 943		
Total: Mopani Municipalities		1 539	8 455		
B	LIM341 LIM341	79	1 879		
B	LIM343 LIM343	324	2 986		
B	LIM344 Makhado	244	1 281		
B	LIM345 LIM345				
C	DC34 Vhembe District Municipality	1 080	3 462		
Total: Vhembe Municipalities		1 727	9 608		
B	LIM351 LIM351	119	1 808		
B	LIM353 LIM353	96	1 382		
B	LIM354 LIM354	641	5 975		
B	LIM355 Lepele-Nkumpi	118	1 295		
C	DC35 Capricorn District Municipality	565	2 922		
Total: Capricorn Municipalities		1 539	13 382		
B	LIM361 Thabazimbi	75	2 070		
B	LIM362 Lephahale	85	1 215		
B	LIM366 Bela-Bela	55	1 082		
B	LIM367 Mogalakwena	314	2 073		
B	LIM368 LIM368	97	2 302		
C	DC36 Waterberg District Municipality	7	1 102		
Total: Waterberg Municipalities		633	9 844		
B	LIM471 Ephraim Mogale	76	1 258		
B	LIM472 Elias Motosaledi	118	1 095		
B	LIM473 Makhuduthamaga	135	1 505		
B	LIM476 LIM476	196	2 121		
C	DC47 Sekhukhune District Municipality	984	1 539		
Total: Sekhukhune Municipalities		1 509	7 518		
Total: Limpopo Municipalities		6 947	48 807		
MPUMALANGA					
B	MP301 Albert Luthuli	198	3 304		
B	MP302 Msukaligwa	115	1 376		
B	MP303 Mkhondo	174	2 452		
B	MP304 Pixley Ka Seme	64	1 702		
B	MP305 Lekwa	65	1 012		
B	MP306 Dipaleseng	48	1 510		
B	MP307 Govan Mbeki	134	2 568		
C	DC30 Gert Sibande District Municipality	21	3 113		
Total: Gert Sibande Municipalities		819	17 037		
B	MP311 Victor Khanye	64	2 040		
B	MP312 Emalahleni	261	2 891		
B	MP313 Steve Tshwete	114	2 103		
B	MP314 Emakhazeni	45	1 217		
B	MP315 Thembisile Hani	264	2 244		
B	MP316 Dr JS Moroka	282	4 257		
C	DC31 Nkangala District Municipality	16	2 318		
Total: Nkangala Municipalities		1 046	17 070		
B	MP321 Thaba Chweu	108	1 683		
B	MP324 Nkomazi	500	5 917		
B	MP325 Bushbuckridge	792	3 780		
B	MP326 MP326	727	5 686		
C	DC32 Ehlanzeni District Municipality	15	2 274		
Total: Ehlanzeni Municipalities		2 142	19 340		
Total: Mpumalanga Municipalities		4 007	53 447		

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED
GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
NORTHERN CAPE					
B	NC061 Richtersveld	22	1 000		
B	NC062 Nama Khoi	36	1 000		
B	NC064 Kamiesberg	36	1 000		
B	NC065 Hantam	28	1 127		
B	NC066 Karoo Hoogland	23	1 000		
B	NC067 Khâi-Ma	23	1 000		
C	DC6 Namakwa District Municipality	7	1 000		
Total: Namakwa Municipalities		175	7 127		
B	NC071 Ubuntu	27	1 000		
B	NC072 Umsobomvu	30	1 000		
B	NC073 Emthanjeni	32	1 000		
B	NC074 Kareeberg	23	1 000		
B	NC075 Renosterberg	22	1 000		
B	NC076 Thembelihle	26	1 000		
B	NC077 Siyathemba	27	1 000		
B	NC078 Siyancuma	41	1 000		
C	DC7 Pixley Ka Seme District Municipality	7	1 000		
Total: Pixley Ka Seme Municipalities		235	9 000		
B	NC082 !Kai !Garib	52	1 000		
B	NC084 !Kheis	29	1 000		
B	NC085 Tsantsabane	38	1 000		
B	NC086 Kgatelopele	23	1 000		
B	NC087 NC087	61	2 000		
C	DC8 Z.F. Mgeawu District Municipality	7	1 000		
Total: Siyanda Municipalities		210	7 000		
B	NC091 Sol Plaatjie	138	5 574		
B	NC092 Dikgatlong	46	1 000		
B	NC093 Magareng	30	1 000		
B	NC094 Phokwane	60	1 037		
C	DC9 Frances Baard District Municipality	7	1 000		
Total: Frances Baard Municipalities		281	9 611		
B	NC451 Joe Morolong	129	1 050		
B	NC452 Ga-Segonyana	116	1 000		
B	NC453 Gamagara	31	1 000		
C	DC45 John Taolo Gaetsewe District Municipality	7	1 000		
Total: John Taolo Gaetsewe Municipalities		283	4 050		
Total: Northern Cape Municipalities		1 184	36 788		
NORTH WEST					
B	NW371 Moretele	242	4 228		
B	NW372 Madibeng	543	1 545		
B	NW373 Rustenburg	453	4 219		
B	NW374 Kgetlengrivier	60	1 737		
B	NW375 Moses Kotane	2 852	2 735		
C	DC37 Bojanala Platinum District Municipality	10	1 557		
Total: Bojanala Platinum Municipalities		4 160	16 021		
B	NW381 Ratlou	69	1 433		
B	NW382 Tswaing	68	1 330		
B	NW383 Mafikeng	149	3 672		
B	NW384 Ditsobotla	81	1 038		
B	NW385 Ramotshere Moiloa	82	1 104		
C	DC38 Ngaka Modiri Molema District Municipality	628	1 601		
Total: Ngaka Modiri Molema Municipalities		1 077	10 178		
B	NW392 Naledi	47	1 884		
B	NW393 Mamusa	39	1 078		
B	NW394 Greater Taung	105	1 352		
B	NW396 Lekwa-Teemane	37	1 000		
B	NW397 Kagisano-Molopo	68	1 025		
C	DC39 Dr Ruth Segomotsi Mompati District Municipality	301	2 273		
Total: Dr Ruth Segomotsi Mompati Municipalities		597	8 612		
B	NW403 City of Matlosana	188	1 656		
B	NW404 Maquassi Hills	64	1 083		
B	NW405 NW405	168	3 421		
C	DC40 Dr Kenneth Kaunda District Municipality	10	1 479		
Total: Dr Kenneth Kaunda Municipalities		430	7 639		
Total: North West Municipalities		6 264	42 450		

APPENDIX W4
APPENDIX TO SCHEDULE 5, PART B: TARGETS FOR EXPANDED PUBLIC WORKS PROGRAMME INTEGRATED
GRANT FOR MUNICIPALITIES

Category	Municipality	Expanded Public Works Programme Integrated Grant for Municipalities			
		2016/17 FTE Performance Target	National and Municipal Financial Year		
			2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
WESTERN CAPE					
A	CPT City of Cape Town	3 140	31 740		
B	WC011 Matzikama	50	1 119		
B	WC012 Cederberg	39	1 000		
B	WC013 Bergrivier	37	1 141		
B	WC014 Saldanha Bay	46	1 071		
B	WC015 Swartland	53	1 460		
C	DC1 West Coast District Municipality	7	1 036		
Total: West Coast Municipalities		232	6 827		
B	WC022 Witzenberg	54	1 336		
B	WC023 Drakenstein	80	1 352		
B	WC024 Stellenbosch	84	1 758		
B	WC025 Breede Valley	79	1 291		
B	WC026 Langeberg	56	1 759		
C	DC2 Cape Winelands District Municipality	7	1 000		
Total: Cape Winelands Municipalities		360	8 496		
B	WC031 Theewaterskloof	60	1 104		
B	WC032 Overstrand	57	1 922		
B	WC033 Cape Agulhas	30	1 210		
B	WC034 Swellendam	32	1 177		
C	DC3 Overberg District Municipality	7	1 000		
Total: Overberg Municipalities		186	6 413		
B	WC041 Kannaland	28	1 000		
B	WC042 Hessequa	35	1 088		
B	WC043 Mossel Bay	61	1 839		
B	WC044 George	108	4 014		
B	WC045 Oudtshoorn	60	2 448		
B	WC047 Bitou	54	1 869		
B	WC048 Knysna	60	1 292		
C	DC4 Eden District Municipality	7	1 000		
Total: Eden Municipalities		413	14 550		
B	WC051 Laingsburg	20	1 000		
B	WC052 Prince Albert	22	1 000		
B	WC053 Beaufort West	39	1 617		
C	DC5 Central Karoo District Municipality	7	1 000		
Total: Central Karoo Municipalities		88	4 617		
Total: Western Cape Municipalities		4 419	72 643		
Unallocated:				716 427	757 980
National Total		60 102	663 991	716 427	757 980

APPENDIX W5

**APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: REGIONAL BULK INFRASTRUCTURE GRANT
BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER
PROJECT**

(National and Municipal Financial Years)

**APPENDIX W5
BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT**

Project Code	Project Name	Category	Water Service Authority	Benefiting Municipality	SCHEDULE 5, PART B			SCHEDULE 6, PART B		
					30/06/17 (R'000)	30/06/18 (R'000)	30/06/19 (R'000)	30/06/17 (R'000)	30/06/18 (R'000)	30/06/19 (R'000)
EASTERN CAPE										
ECR038	Great-Reinet Emergency Water Supply Scheme	B	EC101	EC101						
ECR047	James Kleythans Bulk Water Supply	B	DC10	Makana Local Municipality				23 440	15 392	
ECR037	Ndlambe Dam/ Albany Coast BWS (Grahanstown& Port Alfred Augmentation)	B	EC105	Ndlambe Local Municipality				41 000	13 360	
ECR024	Sundays River - Paterson Bulk Water Supply	B	EC106	Sundays River Valley Local Municipality				77 869	76 133	120 000
ECR039	Steydeville Water Supply Scheme	B	EC107	EC101				5 450		
ECR042	Ikwezi Bulk Water Supply	B	EC101	Sundays River Valley Local Municipality				23 893	33 792	
ECR043	Kirkwood Water Treatment Works	B	EC106	Sundays River Valley Local Municipality				12 615	7 978	
ECR041	Mogstad Bulk Water Supply	B	EC109	Koukamma Local Municipality				8 547	1 684	
EC NEW	Belmont WWTW	B	EC104	Makana Local Municipality				17 500	30 000	62 000
EC NEW	Mayfield WWTW	B	EC104	Makana Local Municipality				2 500	2 500	2 500
Total: Sardinia Bayman Municipalities								246 801	265 812	197 000
ECR005	Xhosa East Water Supply	C	DC12	Amathole District Municipality				115 264	32 955	19 121
ECR006	Ibika Water Supply	C	DC12	Amathole District Municipality				2 000		
Total: Amathole Municipalities								117 264	32 955	19 121
ECR033	Cluster 4 CHDM Bulk Water Supply	C	DC13	Chris Hani District Municipality				58 303	18 582	
ECR028	Cluster 6 CHDM Bulk Water Supply	C	DC13	Chris Hani District Municipality				63 262	26 397	
ECR029	Cluster 9 CHDM Bulk Water Supply	C	DC13	Chris Hani District Municipality				15 000	20 186	
ECR002	Xosha Bulk Water Supply	C	DC13	Chris Hani District Municipality				58 013		
ECI 29	Middleburg Ground Water Supply	C	DC13	Chris Hani District Municipality				6 390		
ECR005	Heimeyer Ground Water Supply	C	DC13	Chris Hani District Municipality				6 848		
Total: Chris Hani Municipalities								207 816	82 638	
ECR046	Lady Grey BWS	C	DC13	Joe Gqabi District Municipality				10 445	30 000	
ECR046	Stekfontein Waste Water Treatment Works	C	DC14	Joe Gqabi District Municipality				32 445	63 600	
Total: Joe Gqabi Municipalities								42 890	93 600	
ECR019	Coffee Bay Water Treatment Works	C	DC15	O.R. Tambo District Municipality				12 728	73 271	
ECR045	O.R. Tambo, Mthatha, King Sabato Dalinyebo Water Supply	C	DC15	O.R. Tambo District Municipality				234 000	340 284	
ECR045	O.R. Tambo, Mthatha, King Sabato Dalinyebo Sanitation	C	DC15	O.R. Tambo District Municipality				96 454	16 731	
Total: O.R. Tambo Municipalities								343 182	387 015	385 851
ECR001	Matatiele Bulk Water Supply Scheme	C	DC44	Alfred Nzo District Municipality				66 000	36 209	8 319
ECR036	Mount Ayliff Bulk Water Supply Scheme	C	DC44	Alfred Nzo District Municipality				40 000	30 642	53 102
EC NEW	Kimra Regional BWS	C	DC44	Alfred Nzo District Municipality				1 500	16 000	17 000
ECR 044	Ntabankulu Bulk Water Supply	C	DC44	Alfred Nzo District Municipality				1 500	11 000	19 000
EC NEW	Mount Ayliff Bulk Peri Urban Water Supply	C	DC44	Alfred Nzo District Municipality				20 000	38 000	52 000
EC NEW	Mkemanie Regional Bulk WSS	C	DC44	Alfred Nzo District Municipality				2 500	10 000	40 000
ECR008	Mbizana Regional Bulk Water Supply	C	DC44	Alfred Nzo District Municipality				80 000	62 578	79 838
Total: Alfred Nzo Municipalities								211 500	234 801	269 259
Total: Eastern Cape Municipalities								563 943	525 001	473 570

APPENDIX W5
 APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: REGIONAL BULK INFRASTRUCTURE GRANT
 BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT

Project Code	Project Name	Category	Water Service Authority	SCHEDULE 5, PART B					SCHEDULE 6, PART B					
				Benefiting Municipality					National and Municipal Financial Year					
				2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2019/20 (R'000)	2020/21 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2019/20 (R'000)	2020/21 (R'000)	2021/22 (R'000)	
FREE STATE														
FSR002	Jagersfontein / Fauresmith Bulk Water Supply	B	Kopanong Local Municipality											
FSR005	Rouxville / Smintfield / Zastron Bulk Water Supply	B	Mobarene Local Municipality											
FSR022	Fransburg Bulk Water	B	Kopanong Local Municipality											
	Total: Xhalezi Municipalities													
FSR011	Masilonyana Bulk Water Supply	B	Masilonyana Local Municipality											
FSR008	Tokologo Regional Water Supply 2	B	Tokologo Local Municipality											
	Tswelopele Bulk Water Supply	B	Tswelopele Local Municipality											
FS038	Nala Bulk Sewer	B	Nala Local Municipality											
	Muthabeng Bulk Sewer (Welkom)	B	Muthabeng Local Municipality											
FS040	Masilonyana Bulk Sewer (Brandfontein/Wurburg)	B	Masilonyana Local Municipality											
	Total: Legweteputswa Municipalities													
FSR013	Seisoto Bulk Water Supply	B	Seisoto Local Municipality											
FSR003	Dhlabeng Bulk Water Supply	B	Dhlabeng Local Municipality											
FSR012	Nketoana Regional Water Supply	B	Nketoana Local Municipality											
FSR007	Sterkfontein Dam Bulk Water Supply	B	Mthunzi-Pholung Local Municipality											
FSR006	Phumelela Bulk Water Supply	B	Phumelela Local Municipality											
FSR015	Mantsopa-Tweespruit, Excelsior, Hobhouse Bulk Water Supply	B	Mantsopa Local Municipality											
FSR041	Water upgrading WWTP	B	Nketoana Local Municipality											
FSR031	Mantsopa Bulk Sewer (Labbrand)	B	Nketoana Local Municipality											
	Total: Dhabo Mantsavanya Municipalities													
FSR010	Mogalakga Bulk Water Supply	B	Mogalakga Local Municipality											
FSR009	Mogalakga Bulk Sewer	B	Mogalakga Local Municipality											
	Ngwathe Bulk Water Supply Phase 2	B	Ngwathe Local Municipality											
FSR021	Frankfort Bulk Sewer	B	Ngwathe Local Municipality											
FSR039	Upgrading of Depressure WW/TW	B	Mafibe Local Municipality											
	Total: Fezile Dabi Municipalities													
	Total: Free State Municipalities													
GAUTENG														
GPR001	Seiberg Waste Water Treatment Works	B	Seiberg District Municipality											
GPR005	Robdene Waste Water Treatment Works	B	Midvaal Local Municipality											
GPR008	Robdene pump station and raising main	B	Midvaal Local Municipality											
GPR006	Meyerton Waste Water Treatment Works	B	Midvaal Local Municipality											
	Total: Seiberg Municipalities													
GPR002	Westonaria Regional Bulk Sanitation (Zaunbekom)	B	GT485											
GPR009	Mohlakeng pump station and sewer outfall	B	GT485											
	Total: West Rand Municipalities													
	Total: Gauteng Municipalities													

APPENDIX W5
 APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: REGIONAL BULK INFRASTRUCTURE GRANT
 BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT

Project Code	Project Name	Category	Water Service Authority	Benefiting Municipality	SCHEDULE 5, PART B			SCHEDULE 6, PART B		
					2016/17 (R'000)	2017/18 (R'000)	2017/18 (R'000)	2017/18 (R'000)	2017/18 (R'000)	2018/19 (R'000)
	KWAZULU-NATAL									
KNR013	Mhlabathshane Bulk Water Supply	C, DC21	Ugu District Municipality	Unzambe Local Municipality	12 776					
		Total: Ugu Municipalities			12 776					
KNR006	Greater Eston Water Scheme	C, DC22	Umhlanguluze District Municipality	Mhambathini Local Municipality						
		Total: Umhlanguluze Municipalities								
KNR020	Spokenkop to Ladismith BWS	C, DC22	Uthukela District Municipality	KZN238	22 791					
KNR010	Driefontein Indakha Bulk Water Supply	C, DC23	Uthukela District Municipality	KZN238	80 000	79 629	197 906			
		Total: Uthukela Municipalities			80 000	102 420	197 906			
KNR008	Greystown Regional Bulk Scheme	C, DC24	Umzimvathi District Municipality	Unyati Local Municipality	106 377	79 206	145 362			
		Total: Umzimvathi Municipalities			106 377	79 206	145 362			
KNR001	Nongoma Bulk Water Scheme	C, DC26	Zululand District Municipality	Nongoma Local Municipality	80 357	60 322	23 200			
KNR002	Mandlazazi Bulk Water Supply	C, DC26	Zululand District Municipality	uPhengolo & Nongoma Local Municipalities	27 654					
		Total: Zululand Municipalities			108 011	60 322	23 200			
KNR015	Pongolapoort Bulk Water Scheme	C, DC27	Umkhanyake District Municipality	Jozini Local Municipality			45 000			
KNR014	Dukaluku Resettlement	C, DC27	Umkhanyake District Municipality	Mthunzwa KZN276 Local Municipalities			15 247			
		Total: Umkhanyake Municipalities					60 247			20 140
KNR005	Neszi Bulk Water Scheme	C, DC28	uThungulu District Municipality	Mfobozi Local Municipality			63 716			
KNR016	Greater Mthonjeni Bulk Water Supply	C, DC28	uThungulu District Municipality	KZN287/Nkandla Local Municipalities	162 227	56 409	138 811			
		Total: uThungulu Municipalities			162 227	112 818	182 527			
KNR011	Ngesho Regional Water Bulk (Lower Tugela)	C, DC29	ifembe District Municipality	Maphumulo Local Municipality	211 224	173 601	130 000			
KNR011	Ngesho Regional Water Bulk (Lower Tugela)	C, DC29	ifembe District Municipality	Maphumulo Local Municipality			156 093			
		Total: ifembe Municipalities					156 093			
KNR007	Greater Bulwer Donnybrook Water Scheme	C, DC43	Harry Gwala District Municipality	KZN436 and Ukhahlamba Local Municipalities	60 000	100 000	38 718			
		Total: Harry Gwala Municipalities			60 000	100 000	38 718			
		Total: KwaZulu-Natal Municipalities			578 388	645 549	216 340			20 140

APPENDIX W5
 BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT

Project Code	Project Name	Category	Water Service Authority	SCHEDULE 5, PART B					SCHEDULE 6, PART B					
				Benefiting Municipality	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2019/20 (R'000)	2020/21 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2019/20 (R'000)	2020/21 (R'000)
LIMPOPO														
LPR018	Givani Bulk Water Supply Drought relief	C	Mopani District Municipality	Greater Givani Local Municipality								19 882		
LPR027	Givani Water Services	C	Mopani District Municipality	Greater Givani Local Municipality								140 400		
LPR017	Manuleku	C	Mopani District Municipality	Manuleku Local Municipality								35 000		26 054
		Total: Mopani Municipalities										195 282		26 054
LPR020	Provincial High Catalytic Projects - Mutshu Hub	C	Vhembe District Municipality	LIM341								19 600		59 953
LPR005	Makhado West and Extension to Nandoni Dam	C	Vhembe District Municipality	Makhado Local Municipality								52 000		50 000
LPR016	Sitshumale Kutama Bulk Water Supply	C	Vhembe District Municipality	Makhado Local Municipality								71 600		59 953
		Total: Vhembe Municipalities										143 600		119 906
LPR023	Potokwane Waste Water Treatment Works	B	Capricorn District Municipality	LIM354	50 000	72 264	100 000							20 000
LPR001	Potokwane Bulk Water Supply	B	Capricorn District Municipality	LIM354	130 159	100 000	149 050					40 000		30 000
LPR022	Mankosi Regional Water Scheme	B	Capricorn District Municipality	LIM353								15 000		50 000
		Total: Capricorn Municipalities			180 159	172 264	249 050					55 000		80 000
LPR004	Mogalakwena Water to Waterberg	B	Mogalakwena Local Municipality	LIM368								17 000		136 488
LPR015	Mogalakwena Bulk Water Supply	B	Mogalakwena Local Municipality	LIM367								140 000		112 000
		Total: Waterberg Municipalities										157 000		136 488
LPR019	Mouse Bulk Water Supply	C	Sekhukhune District Municipality	Ephraim Mogale/ Elias Motsoaledi LMs								17 228		162 400
LPR011	Nebo Bulk Water Supply	C	Sekhukhune District Municipality	LIM476								145 000		100 000
LPR021	Lebalalo Central & North Regional Water Scheme	C	Sekhukhune District Municipality	LIM476								20 617		70 000
		Total: Sekhukhune Municipalities										378 845		332 400
LPR012	De Hoop Water Treatment Works	C	Sekhukhune District Municipality	LIM476								120 000		262 645
LPR021	Sekhukhune DM Regional Bulk Water Supply (De Hoop)	C	Sekhukhune District Municipality	Various								28 481		41 499
		Total: Sekhukhune Municipalities										371 226		604 296
		Total: Limpopo Municipalities			180 159	172 264	249 050					850 208		718 384
		Total: Limpopo Municipalities			180 159	172 264	249 050					850 208		718 384
MPUMALANGA														
MPR002	Empul/Methu/Ander Bulk Water Supply	C	Albert Luthuli Local Municipality	Albert Luthuli Local Municipality								20 000		
MPR006	Emalahleni Water Scheme	C	Albert Luthuli Local Municipality	Albert Luthuli Local Municipality								32 000		
MPR001	Arnsford and Shepperson Bulk Water Scheme	C	Albert Luthuli Local Municipality	Albert Luthuli Local Municipality								25 621		23 000
MPR003	Balfour Waste Water Treatment Works	C	Dphaleng Local Municipality	Dphaleng Local Municipality								32 508		
MPR004	Balfour/Grey/Willem/Nhor Bulk Water Supply	C	Dphaleng Local Municipality	Dphaleng Local Municipality								16 600		
		Total: Gert Sibande Municipalities			97 264	89 400	129 621					52 000		23 000
MPR008	Upgrade of Delmas Waste Water	B	Victor Khanye Local Municipality	Victor Khanye Local Municipality								23 100		33 403
MPR028	Upgrade of Boteng Waste Water	B	Emalahleni Local Municipality	Emalahleni Local Municipality								18 000		2 642
MPR019	Emalahleni Water Scheme	B	Emalahleni Local Municipality	Emalahleni Local Municipality								4 699		19 870
MPR017	Thembelele Water Scheme (Lokop)	B	Thembelele Hami Local Municipality	Thembelele Hami Local Municipality								12 230		15 700
MPR005	Western Highveld (Rest de Winter) Bulk Water Scheme	B	Dr JS Moroka Local Municipality	Dr JS Moroka Local Municipality								51 100		102 347
		Total: Nkangala Municipalities			140 000	38 754	63 438					154 208		134 292
MPR009	Bushbuckridge Water Services	B	Bushbuckridge Local Municipality	Bushbuckridge Local Municipality								50 000		15 266
MPR004	MP Lethabo Water Supply Phase 3 Extension	B	Bushbuckridge Local Municipality	Bushbuckridge Local Municipality								42 520		27 003
MPR019	Northern Nkangala Bulk Water Supply	B	Nkomazi Local Municipality	Nkomazi Local Municipality								66 000		3 280
MPR018	Druk-empies Upgrading	C	Nkomazi Local Municipality	Nkomazi Local Municipality								13 150		22 522
MPR020	Shange Bulk Water Supply	C	Nkomazi Local Municipality	Nkomazi Local Municipality								15 208		45 512
		Total: Ehlanzeni Municipalities			140 000	38 754	63 438					188 878		71 305
		Total: Mpumalanga Municipalities			237 264	128 154	193 050					343 183		205 097
		Total: Mpumalanga Municipalities			237 264	128 154	193 050					343 183		205 097

**APPENDIX WS
APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: REGIONAL BULK INFRASTRUCTURE GRANT
BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT**

Project Code	Project Name	Category	Water Service Authority	Benefiting Municipality	SCHEDULE 5, PART B				SCHEDULE 6, PART B			
					National and Municipal Financial Year							
					2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)		
NORTHERN CAPE												
NCR017	Bulk Water Supply to Porth Nolloth	B	NC061	Richtersveld Local Municipality								
NCR012	Loeriesfontein Bulk Water Supply	B	NC065	Hantam Local Municipality	14 212	11 988	16 000	26 579	15 857	19 857	19 857	
NCR027	Wolfsfontein Bulk Water Supply	B	NC066	Karoo Hoogland	5 282	12 438	30 000					
NCR016	Bulk Water Supply to Brandvlei (Hantam)	B	NC065	Hantam Local Municipality	19 494	40 426	56 579					
Total: Namakwa Municipalities												
NCR015	De Aar Borehole Development	B	NC073	Erasmusburg Local Municipality								
NCR024	Van der Stroom Bulk Water Supply	B	NC074	Erasmusburg Local Municipality								
NCR026	Middelburg Bulk Water Supply	B	NC077	Stuurman Local Municipality	15 000	20 000	40 300					14 237
NCR038	Dundas WTW Upgrade	B	NC078	Stuurman Local Municipality								
NCR023	Stredenburg Groundwater Development	B	NC076	Thembulthe Local Municipality								
Total: Pletstroom Municipalities												
NCR028	Kalahari East to Meter pipeline	B	NC087	NC087								
NCR029	Kakama Wastewater works	B	NC082	!Kat 1 Garib Local Municipality								
	Upington Wastewater treatment works	B	NC087	NC087								
Total: Z.F. Macevu Municipalities												
NCR020	Bristown Oxidation Ponds	B	NC092	Sol Plaatje Local Municipality	15 000	10 000						
NCR020	Riethe Bulk Water Scheme	B	NC093	Sol Plaatje Local Municipality	15 000	20 000						
NCR030	Windserton to Hoopan Bulk Water Supply	B	NC092	Dikgatlong Local Municipality								
	Warrenton Water Treatment Works	B	NC093	Magaeng Local Municipality								
Total: Frances Baard Municipalities												
NCR031	Kathu Bulk Water Supply	B	NC453	Gannagana	30 000	10 000	69 329					
NCR018	Stuurman Bulk Water Supply	B	NC452	Gn. Segavana Local Municipality								
Total: John Taba Gereke Municipalities												
					64 494	100 426	166 208	164 597	82 137	14 237		
NORTH WEST												
NWR005	Moretele Bulk Water Supply	B	NW371	Moretele Local Municipality								
NWR013	Madibeng Bulk Water Supply	B	NW372	Madibeng Local Municipality								
NWRNEW	Moretele North Bulk Water Supply	B	NW371	Moretele Local Municipality								
NWRNEW	Koster Waste Water Treatment Works upgrade	B	NW374	Kgetlengriver Local Municipality								
Total: Bojanala Platinum Municipalities												
NWR002	Ratou Bulk Water Supply	C	DC38	Nyaka Modiri Molema								
NWR014	Mafikeng South Bulk Water Supply	C	DC38	Nyaka Modiri Molema								
Total: Ngaka Modiri Molema Municipalities												
NWR018	Kagisano Molepo Bulk Water Supply	C	DC38	Dr Ruth Segomotsi Mompati District Municipality	9 721	30 000						
NWR009	Tsingi Naledi Bulk Water Supply	C	DC39	Dr Ruth Segomotsi Mompati District Municipality	64 339	52 424	10 533					
MWR008	Greater Mmusa Bulk Water Supply	C	DC39	Dr Ruth Segomotsi Mompati District Municipality	40 000	54 813	96 000					
Total: Dr Ruth Segomotsi Mompati Municipalities												
NWR016	Pochefstroom Waste Water Treatment Works upgrade	B	NW405	NW405								
NWR010	Versersburg Bulk Water Supply	B	NW405	NW405								
NWR015	Wolmaranstad Waste Water Treatment Works	B	NW404	Maganasi Hills Local Municipality								
Total: Dr. Kenneth Kaunda Municipalities												
					113 339	116 858	136 533	437 565	427 312	244 215		

APPENDIX W5
 APPENDIX TO SCHEDULE 5, PART B AND SCHEDULE 6, PART B: REGIONAL BULK INFRASTRUCTURE GRANT
 BREAKDOWN OF REGIONAL BULK INFRASTRUCTURE GRANT ALLOCATIONS PER LOCAL MUNICIPALITY PER PROJECT

Project Code	Project Name	Category	Water Service Authority	Benefiting Municipality	SCHEDULE 5, PART B				SCHEDULE 6, PART B			
					2016/17 (R'000)	2017/18 (R'000)	2017/18 (R'000)	2017/18 (R'000)	2018/19 (R'000)	2018/19 (R'000)	2017/18 (R'000)	2017/18 (R'000)
WESTERN CAPE												
WCR018	Vanlidsdorp Raw Water	B	WC011	Matzokama Local Municipality								
WCR019	Klaver Bulk Water	B	WC011	Matzokama Local Municipality								15 158
WCR020	Citrusdal Waste Water Treatment Plant	B	WC012	Cederberg Local Municipality	2 660							4 573
WCR003	Clanwilliam/Lambertsbaai Regional Water Supply and Desalination	B	WC012	Cederberg Local Municipality	14 388							
WCR021	Clanwilliam Water Treatment Works	B	WC012	Cederberg Local Municipality	4 090	7 426						
			Total: West Coast Municipalities		21 048	7 426						19 731
WCR022	Pearl Bulk Sewer	B	WC023	Drakenstein Local Municipality						1 900		
WCR023	Stellenbosch Waste Water Treatment Works	B	WC024	Stellenbosch Local Municipality	32 809					1 900		
			Total: Cape Winelands Municipalities		32 809							
WCR003	Tulbagh Bulk Water Supply	B	WC022	Witzenberg Local Municipality	27 841	559						
WCR009	Graaoban Waste Water Treatment Plant	B	WC031	Thesauruskloof Local Municipality								
			Total: Overberg Municipalities		27 841	559						
WCR015	Kamaland Dam Relocation	B	WC041	Kamaland Local Municipality						19 166	26 654	
WCR014	Calitzdorp & Ladismith Waste Water Treatment Works	B	WC041	Kamaland Local Municipality						10 000	20 000	33 937
WCR017	Outdshoorn Groundwater	B	WC045	Outdshoorn Local Municipality						20 247	30 346	50 000
WCR016	Blitou Cross Border Bulk	B	WC047	Blitou Local Municipality						5 000	30 000	40 000
			Total: Eden Municipalities							54 413	107 000	123 937
WCR024	B	WC053	Beaufort West Local Municipality							16 000	11 772	
			Total: Central Karoo Municipalities								16 000	11 772
			Total: Western Cape Municipalities		81 698	7 985				56 313	123 000	155 440
National Total					1 850 000	1 865 000	2 060 000	3 478 825	2 806 279	2 931 443		

APPENDIX W6

APPENDIX TO SCHEDULE 5, PART A: BREAKDOWN OF EPWP INTEGRATED GRANT FOR PROVINCES: TARGETS AND ALLOCATIONS PER PROVINCIAL DEPARTMENTS

APPENDIX W6

ANNEXURE TO SCHEDULE 5A: BREAKDOWN OF EPWP INTEGRATED GRANT FOR PROVINCES:
TARGETS AND ALLOCATIONS PER PROVINCIAL DEPARTMENT

Public Works (Vote 11) Province/Provincial Department	EPWP Integrated Grant to Provinces			
	Number of FTEs to be created from allocations in 2016/17	Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE				
Cooperative Governance and Traditional Affairs	13	2 000		
Economic Development, Environmental Affairs and Tourism	14	2 026		
Education	14	2 144		
Health	700	3 826		
Human Settlements	19	2 865		
Roads and Public Works	3 892	52 848		
Rural Development and Agrarian Reform	43	2 000		
Social Development	13	2 000		
Sport, Recreation, Arts and Culture	13	2 000		
Transport	38	5 661		
Total: Eastern Cape	4 759	77 370	81 564	86 295
FREE STATE				
Agriculture and Rural Development	29	2 145		
Economic, Small Business development, Tourism and Environmental Affairs	18	2 629		
Education	17	2 567		
Health	249	2 000		
Human Settlement	13	2 000		
Police, Roads and Transport	3 278	5 366		
Public Works and Infrastructure	44	6 530		
Sports, Arts, Culture and Recreation	16	2 404		
Total: Free State	3 664	25 641	27 031	28 599
GAUTENG				
Agriculture and Rural Development	32	2 836		
Cooperative Governance and Traditional Affairs	13	2 000		
Human Settlement	15	2 205		
Education	14	2 139		
Health	311	2 000		
Infrastructure Development	115	17 167		
Roads and Transport	1 309	2 449		
Sport, Arts, Culture and Recreation	14	2 024		
Total: Gauteng	1 823	32 820	34 599	36 606
KWAZULU-NATAL				
Agriculture and Rural Development	56	3 840		
Arts and Culture	13	2 000		
Co-operative Governance and Traditional Affairs	25	3 667		
Economic Development, Tourism and Environmental Affairs	46	6 927		
Education	19	2 790		
Health	1 202	7 122		
Human Settlements	102	15 194		
Public Works	30	4 471		
Sport and Recreation	13	2 000		
Transport	6 186	56 055		
Total: KwaZulu-Natal	7 692	104 066	109 708	116 071
LIMPOPO				
Agriculture	58	4 476		
Cooperative Governance, Human Settlement and Traditional Affairs	13	2 000		
Economic Development, Environment and Tourism	23	3 443		
Education	13	2 000		
Public Works, Roads and Infrastructure	2 864	4 826		
Sports, Arts and Culture	13	2 000		
Total: Limpopo	2 984	18 745	19 761	20 907

APPENDIX W6

ANNEXURE TO SCHEDULE 5A: BREAKDOWN OF EPWP INTEGRATED GRANT FOR PROVINCES:
TARGETS AND ALLOCATIONS PER PROVINCIAL DEPARTMENT

Public Works (Vote 11)	EPWP Integrated Grant to Provinces			
	Province/Provincial Department	Number of FTEs to be created from allocations in 2016/17	Financial Year	
2016/17 (R'000)			2017/18 (R'000)	2018/19 (R'000)
MPUMALANGA				
Agriculture, Rural Development, Land and Environmental Affairs	45	4 215		
Co-operative Governance and Traditional Affairs	19	2 762		
Culture, Sport and Recreation	13	2 000		
Economic Development and Tourism	26	3 911		
Education	21	3 066		
Health	203	2 311		
Human Settlements	13	2 012		
Public Works, Roads & Transport	4 576	20 504		
Social Development	14	2 074		
Total: Mpumalanga	4 930	42 855	45 178	47 798
NORTHERN CAPE				
Agriculture, Land Reform and Rural Development	33	2 000		
Cooperative Governance, Human Settlement and Traditional Affairs	13	2 000		
Economic Development and Tourism	14	2 030		
Education	13	2 000		
Environment and Nature Conservation	14	2 043		
Health	303	2 000		
Roads and Public Works	2 358	3 803		
Sport, Arts and Culture	13	2 000		
Total: Northern Cape	2 761	17 876	18 845	19 939
NORTH WEST				
Education and Sports Development	13	2 000		
Health	227	2 000		
Local Government and Human Settlement	13	2 000		
Public Works and Roads	2 441	30 740		
Rural, Environment and Agricultural Development	104	12 281		
Social Development	13	2 000		
Total: North West	2 811	51 021	53 787	56 906
WESTERN CAPE				
Agriculture	25	2 068		
Cultural Affairs and Sport	19	2 771		
Education	17	2 520		
Environmental Affairs and Development Planning	26	3 815		
Health	418	2 324		
Human Settlements	23	3 426		
Transport and Public Works	2 394	14 691		
Total: Western Cape	2 922	31 615	33 329	35 262
Unallocated		-	423 802	448 383
Grand Total	34 346	402 009	423 802	448 383

APPENDIX W7

APPENDIX TO SCHEDULE 5, PART A: BREAKDOWN OF SOCIAL SECTOR EPWP INCENTIVE GRANT FOR PROVINCES: ALLOCATIONS PER
PROVINCIAL DEPARTMENT

APPENDIX W7

APPENDIX TO SCHEDULE 5A: BREAKDOWN OF SOCIAL SECTOR EPWP INCENTIVE GRANT FOR PROVINCES: ALLOCATIONS PER PROVINCIAL DEPARTMENT

Province/Provincial Department	Social Sector Expanded Public Works Programme Incentive Grant for Provinces			
	Number of FTEs to be created from allocations in 2016/17	Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
EASTERN CAPE				
Education	443	10 160		
Health	183	4 200		
Safety and Liaison	78	1 800		
Social Development	152	3 500		
Sport, Recreation, Arts and Culture	78	1 800		
Total: Eastern Cape	934	21 460	22 673	23 988
FREE STATE				
Education	131	3 000		
Health	131	3 000		
Social Development	619	14 179		
Sport, Arts, Culture and Recreation	78	1 800		
Total: Free State	959	21 979	23 337	24 690
GAUTENG				
Community Safety	78	1 800		
Education	1 251	28 661		
Health	183	4 200		
Social Development	572	13 108		
Sport, Recreation, Arts and Culture	96	2 200		
Total: Gauteng	2 180	49 969	53 454	56 555
KWAZULU-NATAL				
Community Safety and Liaison	482	11 043		
Education	1 192	27 318		
Health	567	13 000		
Social Development	172	3 958		
Sport and Recreation	272	6 234		
Total: KwaZulu-Natal	2 685	61 553	65 503	69 303
LIMPOPO				
Education	152	3 500		
Health	963	22 060		
Social Development	490	11 242		
Total: Limpopo	1 605	36 802	39 207	41 481

APPENDIX W7

APPENDIX TO SCHEDULE 5A: BREAKDOWN OF SOCIAL SECTOR EPWP INCENTIVE GRANT FOR PROVINCES: ALLOCATIONS PER PROVINCIAL DEPARTMENT

Province/Provincial Department	Social Sector Expanded Public Works Programme Incentive Grant for Provinces			
	Number of FTEs to be created from allocations in 2016/17	Financial Year		
		2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
MPUMALANGA				
Community Safety, Security and Liason	188	4 307		
Culture, Sport and Recreation	126	2 888		
Education	682	15 627		
Health	131	3 000		
Social Development	1 473	33 732		
Total: Mpumalanga	2 600	59 554	64 375	68 109
NORTHERN CAPE				
Education	127	2 925		
Health	665	15 230		
Social Development	152	3 500		
Sport, Arts and Culture	96	2 200		
Transport, Safety and Liaison	127	2 914		
Total: Northern Cape	1 167	26 769	28 974	30 654
NORTH WEST				
Education and Sport Developmet	595	13 637		
Health	547	12 542		
Social Development	693	15 874		
Total: North West	1 835	42 053	46 687	49 394
WESTERN CAPE				
Community Safety	137	3 144		
Cultural Affairs and Sport	177	4 054		
Education	815	18 677		
Health	162	3 732		
Social Development	433	9 916		
Total: Western Cape	1 724	39 523	41 373	43 773
Unallocated		-	385 583	407 947
Grand Total	15 689	359 662	385 583	407 947

APPENDIX W8

**APPENDIX TO SCHEDULE 6, PART A: BREAKDOWN OF NATIONAL HEALTH GRANT: ALLOCATIONS PER GRANT COMPONENT
PER PROVINCE**

APPENDIX W8

**APPENDIX TO SCHEDULE 6, PART A: BREAKDOWN OF NATIONAL HEALTH
INSURANCE INDIRECT GRANT: ALLOCATIONS PER GRANT COMPONENT PER
PROVINCE**

Health (Vote 16)	National Health Insurance Indirect Grant		
	2016 MTEF		
Province/Components/Sub-components	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
Total Per Province			
Eastern Cape	168 411	391 031	107 727
Free State	125 356	152 901	98 200
Gauteng	44 519	53 480	55 952
KwaZulu-Natal	58 531	61 134	8 553
Limpopo	77 303	151 458	383 189
Mpumalanga	25 654	47 318	124 826
Northern Cape	14 671	2 905	2 368
North West	19 257	20 310	2 632
Western Cape	26 876	28 534	4 145
Unallocated	700 653	753 967	977 267
Total	1 261 230	1 663 037	1 764 859
<i>of which:</i>			
Health Facility Revitalisation Grant Component			
Eastern Cape	127 383	346 187	98 188
Free State	107 075	132 699	93 397
Gauteng	26 091	33 157	51 215
KwaZulu-Natal	818		
Limpopo	61 911	132 803	375 032
Mpumalanga	14 586	34 224	119 760
Northern Cape	12 713		
North West			
Western Cape			
Unallocated	442 505	269 914	250 767
Total	793 082	948 984	988 359
Human Papillomavirus Vaccine Grant Component			
Eastern Cape	39 120	39 120	
Free State	17 320	17 320	
Gauteng	17 481	17 481	
KwaZulu-Natal	56 002	56 002	
Limpopo	13 760	13 760	
Mpumalanga	10 055	10 055	
Northern Cape	1 484	1 484	
North West	18 731	18 731	
Western Cape	26 047	26 047	
Unallocated			
Total	200 000	200 000	

APPENDIX W8

**APPENDIX TO SCHEDULE 6, PART A: BREAKDOWN OF NATIONAL HEALTH
INSURANCE INDIRECT GRANT: ALLOCATIONS PER GRANT COMPONENT PER
PROVINCE**

Health (Vote 16)	National Health Insurance Indirect Grant		
	2016 MTEF		
Province/Components/Sub-components	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
Health Professionals Contracting Component			
Eastern Cape			
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo			
Mpumalanga			
Northern Cape			
North West			
Western Cape			
Unallocated	258 148	318 053	336 500
Total	258 148	318 053	336 500
Information Systems Component			
Eastern Cape			
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo			
Mpumalanga			
Northern Cape			
North West			
Western Cape			
Unallocated		166 000	390 000
Total		166 000	390 000
Ideal Clinics Component			
Eastern Cape	1 908	5 724	9 539
Free State	961	2 882	4 803
Gauteng	947	2 842	4 737
KwaZulu-Natal	1 711	5 132	8 553
Limpopo	1 632	4 895	8 157
Mpumalanga	1 013	3 039	5 066
Northern Cape	474	1 421	2 368
North West	526	1 579	2 632
Western Cape	829	2 487	4 145
Unallocated			
Total	10 000	30 000	50 000

APPENDIX W9

APPENDIX TO SCHEDULE 6, PART A: BREAKDOWN OF SCHOOL INFRASTRUCTURE BACKLOGS GRANT: ALLOCATIONS PER PROVINCE

APPENDIX W9

APPENDIX TO SCHEDULE 6, PART A: BREAKDOWN OF SCHOOL INFRASTRUCTURE
BACKLOGS GRANT: ALLOCATIONS PER PROVINCE

Basic Education (Vote 14)	School Infrastructure Backlogs Grant		
Province	Financial Year		
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
Eastern Cape	1 543 664		
Free State	237 487		
Gauteng			
KwaZulu-Natal	106 869		
Limpopo	83 120		
Mpumalanga	83 120		
Northern Cape	23 749		
North West	35 623		
Western Cape	142 492		
Unallocated	118 743		
Total	2 374 867		

APPENDIX W10

APPENDIX TO SCHEDULE 4, PART A AND SCHEDULE 5, PART A: BREAKDOWN OF RING-FENCED DISASTER ALLOCATION FOR PROVINCES PER GRANT

APPENDIX W10

APPENDIX TO SCHEDULE 4, PART A AND SCHEDULE 5, PART A: BREAKDOWN OF RING-FENCED DISASTER ALLOCATION FOR PROVINCES PER GRANT

GRANT NAME	RING-FENCED DISASTER ALLOCATION PER PROVINCE		
	Final Amounts		
	2016/17 (R'000)	2017/18 (R'000)	2018/19 (R'000)
COMPREHENSIVE AGRICULTURE SUPPORT PROGRAMME GRANT			
Eastern Cape			
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo	15 555	10 001	
Mpumalanga	20 326	10 326	
Northern Cape			
North West			
Western Cape	40 853	40 000	
Total: COMPREHENSIVE AGRICULTURE SUPPORT GRANT	76 734	60 327	
EDUCATION INFRASTRUCTURE GRANT			
Eastern Cape	61 550		
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo			
Mpumalanga			
Northern Cape			
North West	51 431		
Western Cape			
Total: EDUCATION INFRASTRUCTURE GRANT	112 981		
HEALTH FACILITY REVITALISATION GRANT			
Eastern Cape			
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo			
Mpumalanga			
Northern Cape			
North West			
Western Cape			
Total: HEALTH FACILITY REVITALISATION GRANT			
HUMAN SETTLEMENTS DEVELOPMENT GRANT			
Eastern Cape	100 000	134 261	
Free State			
Gauteng	47 379		
KwaZulu-Natal			
Limpopo	29 678		
Mpumalanga	17 952		
Northern Cape			
North West			
Western Cape			
Total: HUMAN SETTLEMENTS DEVELOPMENT GRANT	195 009	134 261	
PROVINCIAL ROADS MAINTENANCE GRANT			
Eastern Cape	90 000	90 000	80 000
Free State			
Gauteng			
KwaZulu-Natal			
Limpopo	100 000	130 000	130 000
Mpumalanga	50 000	50 000	
Northern Cape			
North West			
Western Cape	58 123		
Total: PROVINCIAL ROADS AND MAINTENANCE GRANT	298 123	270 000	210 000
Grand Total	682 847	464 588	210 000

Part 2: Frameworks for Conditional Grants to Provinces

Detailed frameworks on Schedule 4, Part A; Schedule 5 Part A; Schedule 6, Part A; and Schedule 7, Part A grants to provinces

Introduction

This annexure provides a brief description of the framework for the grants set out in Schedule 4, Part A; Schedule 5, Part A; Schedule 6, Part A; and Schedule 7, Part A of the 2016 Division of Revenue Bill. The following are key areas considered for each grant:

- Strategic goal and purpose of the grant
- Outcome statements and outputs of the grant
- Priority outcome(s) of government that the grant primarily contributes to
- Conditions of the grant (additional to what is required in the Bill)
- Criteria for allocation between provinces
- Rationale for funding through a conditional grant
- Past performance
- The projected life of the grant
- 2016 MTEF allocations
- The payment schedule
- Responsibilities of transferring national department and receiving provincial departments
- Process for approval of business plans for 2017/18

The attached frameworks are not part of the Division of Revenue Bill, but are published in order to provide more information on each grant to parliament, legislatures, municipal councils, officials in all three spheres of government and the public. Once the 2016 Division of Revenue Bill is enacted, these frameworks will be gazetted in terms of the Act.

The financial statements and annual reports for 2016/17 will report against the Division of Revenue Act, Division of Revenue Amendment Act and their schedules, and the grant frameworks as gazetted in terms of the Act. Such reports must cover both financial and non-financial performance, focusing on the outputs achieved.

AGRICULTURE, FORESTRY AND FISHERIES GRANTS

Comprehensive Agricultural Support Programme Grant	
Transferring department	<ul style="list-style-type: none"> • Agriculture, Forestry and Fisheries (Vote 24)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To create a favourable and supportive agricultural services environment for the farming community, in particular subsistence, smallholder and black commercial farmers
Grant purpose	<ul style="list-style-type: none"> • To provide effective agricultural support services, promote and facilitate agricultural development by targeting beneficiaries of land reform, restitution and redistribution and other black producers who have acquired land through private means and are engaged in value-adding enterprises domestically, or involved in exports • To address damage to infrastructure caused by floods
Outcome statements	<ul style="list-style-type: none"> • Broadened access to agricultural support for subsistence, smallholder and black commercial farmers • Improved household and national food security • Improved farming efficiency • Increased wealth creation and sustainable employment in rural areas • Increased access to markets by beneficiaries of Comprehensive Agriculture Support Programme (CASP) • Reliable and accurate agricultural information available for management decision making
Outputs	<ul style="list-style-type: none"> • Farmers supported per category (subsistence, smallholder and black commercial farmers) • Youth, women and farmers with disabilities supported through CASP • On - and off - farm infrastructure provided and repaired • Land under agricultural production (crop and livestock) • Yields per unit area • Beneficiaries of CASP trained on farming methods or opportunities along the value chain • Beneficiaries of CASP accessing markets • Jobs created • Extension personnel recruited and maintained in the system • Extension officers upgrading qualifications at various institutions • Agriculture Information Management System (AIMS) implemented in all 9 provinces
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 4: Decent employment through inclusive economic growth • Outcome 5: A skilled and capable workforce to support an inclusive growth path • Outcome 7: Comprehensive rural development and land reform
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Outputs indicators • Inputs • Key activities • Monitoring framework • Risks and mitigation strategies
Conditions	<ul style="list-style-type: none"> • The funding for this grant can be spent using the following prescription: <ul style="list-style-type: none"> ○ at most 20 per cent of project allocation to support Fetsa Tlala initiatives ○ at most 55 per cent of project allocation to support the Agriculture Policy Action Plan (APAP) ○ at most 5 per cent of project allocation on Agricultural Information Management System (AIMS) ○ at least 10 per cent of project allocation on market access and development ○ at most 10 per cent of project allocation on training and capacity building of farmers • A central (AIMS) to be implemented by eight provinces (Western Cape is already implementing the system) to ensure a harmonised system that integrates and collates information to the national and provincial level (vice versa). The following contribution per province will be made to the National Agricultural Marketing Council (coordinating the development of the system) for the implementation of AIMS <ul style="list-style-type: none"> ○ Eastern Cape R9 million ○ Free State R9 million ○ Gauteng R9 million ○ KwaZulu-Natal R9 million ○ Limpopo R9 million ○ Mpumalanga R9 million ○ Northern Cape R4.5 million (R4.5 million contribution already made) ○ North West (full contribution made) • Provinces must adhere to the CASP standard operating procedure (SOP) framework when implementing projects • Only business plans approved by established committees and authorities will receive funds from the CASP grant • All assisted farmers should be listed in the provincial and national farm registers • The provincial departments must confirm human resources capacity to implement CASP business plan by 28 March 2016 • All receiving departments must abide by the Public Finance Management Act (PFMA), Treasury Regulations and the 2016 Division of Revenue Act (DoRA) when executing projects and for reporting purposes

Comprehensive Agricultural Support Programme Grant	
	<ul style="list-style-type: none"> • Funds will be transferred as per the disbursement schedule approved by National Treasury • Provinces to inform the national transferring officer of any changes from plans and allocations approved by the transferring officer of the Department of Agriculture, Forestry and Fisheries (DAFF), within seven days of such change, and such changes must be approved by the transferring officer before they are implemented • The provincial business plans must be signed off by the Heads of Departments of the provincial agriculture department in collaboration with Chief Financial Officers or their representatives • The signed business plan for CASP must be submitted to DAFF for approval • Allocation for agricultural colleges must only be used to revitalise infrastructure and equipment at these colleges as determined in the master plan • Allocations for natural disasters must only be used for the repair of infrastructure damaged by natural disasters declared in the Government Gazette and as assessed by the National Disaster Management Centre (NDMC). The allocations for 2016/17, for infrastructure damaged by floods are as follows: <ul style="list-style-type: none"> ○ Limpopo: R16 million ○ Mpumalanga: R20 million ○ Western Cape: R41 million • Business plans for the allocated disaster funds must be in line with the post disaster verification assessment reports, and must be submitted to the NDMC and DAFF for approval • Quarterly performance reports on disaster allocations must be submitted to the NDMC and DAFF • The CASP grant will be top sliced by R60 million over the 2016 MTEF (R10 million 2016/17 R20 million 2017/18, and R30 million 2018/19) in order for DAFF to provide an oversight and monitoring function for the grant
Allocation criteria	<ul style="list-style-type: none"> • The formula used to allocate funds is a weighted average of the following variables: previous CASP performance, agricultural land area, restituted and redistributed land delivered, households involved in agriculture (General Household Survey 2014), and current benchmarks on production and national policy imperatives
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Agriculture is identified as a game changer and investment in agriculture must be guided under strict conditions to achieve aspirations of the National Development Plan • The responsibility for the programme rests with DAFF while provincial departments of agriculture are implementing agents
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Allocated and transferred R1.9 billion to provinces, of which R1.8 billion (96.6 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 114 102 beneficiaries were supported from 783 implemented projects • 5 673 jobs created • 19 204 farmers trained in targeted training programmes • A total of 101 extension officers were recruited nationally • A total of 437 extension officers registered for qualification upgrading • 11 agricultural colleges with ongoing infrastructure upgrading • 155 farmers benefited from repair of infrastructure damaged by flood disasters (114 agricultural infrastructure, 6 soil rehabilitation and 35 production inputs) • 211 jobs created through implementation of flood disaster scheme
Projected life	<ul style="list-style-type: none"> • Grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R1.6 billion; 2017/18: R1.7 billion; and 2018/19: R1.8 billion
Payment schedule	<ul style="list-style-type: none"> • Four instalments: 25 April 2016, 22 August 2016, 24 October 2016 and 23 January 2017
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Agree on outputs and targets with provincial departments in line with grant objectives for 2016/17 • Provide the guidelines and criteria for the development and approval of business plans • Provide template for project registration and reporting • Monitor monthly financial expenditure by provinces and conduct sampled project site visits quarterly • Submit monthly financial reports to National Treasury 20 days after the end of the month • Submit quarterly performance reports to National Treasury within 45 days after the end of each quarter • Submit annual evaluation of performance report to National Treasury within four months after the end of the financial year • Oversee and monitor implementation of the grant during ministerial technical committee on agriculture and quarterly review meetings <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Provinces to adhere to the conditions of this framework and DORA • Provinces to submit detailed project list as per DAFF's project list template • Provinces to report monthly (financial) 15 days after the end of each month, and quarterly (non-financial) 20 days after the end of each quarter, and annually two months after the end of the financial year on the progress and achievements of the programme • Provinces to implement the approved CASP business plans • All receiving departments must abide by the PFMA, Treasury Regulations and the 2016 DoRA when executing projects as well as for reporting purposes

Comprehensive Agricultural Support Programme Grant	
	<ul style="list-style-type: none"> • Provinces to inform the transferring officer of any changes from plans and allocations approved by the Director-General for DAFF, within seven days of such a change, and such changes must be approved by the transferring officer before they are implemented • Assign and delegate officials to manage and monitor the implementation of the programme before April 2017 • Keep record of projects supported and a farmer register • Monitor project implementation on a quarterly basis and evaluate the impact of projects in achieving CASP goals • Submit quarterly performance reports on disaster allocations to the provincial disaster management centres and DAFF, within 20 days after the end of each quarter • Submit quarterly project performance reports to DAFF
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Provide provincial departments with business plan format, guidelines, criteria and outputs as prescribed by National Treasury by 30 May 2016 • Submission of provincial CASP business plans by provinces on 30 September 2016 • Engagement with provinces (pre-national assessment panel) on submitted business plans between October and November 2016 prior to final national assessment panel meeting • Evaluation and recommendation of business plans by the national assessment panel between November 2016 and February 2017 • Send funding agreements to provinces between February and March 2017 to be signed by Heads of Departments, Chief Financial Officers and CASP coordinators • Approval of business plans by the transferring officer before 31 March 2017 • Inform provinces of approval of the business plans in March or April 2017 • Approval by the transferring officer regarding 2017 business planning process compliance during April 2017, and send to National Treasury by end April 2017

Ilima/Letsema Projects Grant	
Transferring department	<ul style="list-style-type: none"> • Agriculture, Forestry and Fisheries (Vote 24)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To reduce poverty through increased food production initiatives
Grant purpose	<ul style="list-style-type: none"> • To assist vulnerable South African farming communities to achieve an increase in agricultural production and invest in infrastructure that unlocks agricultural production
Outcome statements	<ul style="list-style-type: none"> • Increased agricultural production at both household and national level • Improved household and national food security • Improved farm income • Maximised job opportunities • Reduced poverty • Rehabilitated and expanded irrigation schemes
Outputs	<ul style="list-style-type: none"> • Land under agricultural production (crop and livestock) • Yields per hectares of land planted • Jobs created • Beneficiaries/farmers supported by the grant per category • Hectares of rehabilitated and expanded irrigation schemes
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 4: Decent employment through inclusive economic growth • Outcome 7: Comprehensive rural development and land reform • Outcome 10: Protect and enhance our environmental assets and natural resources
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Outputs indicators • Inputs • Key activities • Monitoring framework • Risks and mitigation strategies
Conditions	<ul style="list-style-type: none"> • 100 per cent of this grant should be allocated to support food production (crop and livestock production) in support of the Fetsa Tlala initiative, this will also include infrastructure that unlocks production e.g. rehabilitation of irrigation schemes in Northern Cape, Taung, and KwaZulu-Natal • Only vulnerable households, subsistence, smallholder and black commercial farmers not qualifying for a loan should be supported by this grant • Provincial departments to confirm human resources capacity to implement Ilima/Letsema business plans on or before 28 March 2016 • All receiving departments must abide by the Public Finance Management Act (PFMA), Treasury Regulations and the 2016 Division of Revenue Act (DoRA) when executing projects as well as for reporting purposes • All assisted farmers should be listed in the provincial and national farm registers • Provinces to inform the transferring officer of any changes from plans and allocations approved by the Director-General of Agriculture, Forestry and Fisheries, within seven days of such change and such changes must be approved by the transferring officer before they are implemented • The provincial business plans must be signed off by the Head of Department of the provincial agriculture department in collaboration with the Chief Financial Officer or their representative and co-signed by the Head of provincial treasuries • The business plans must be submitted to the Department of Agriculture, Forestry and Fisheries (DAFF)
Allocation criteria	<ul style="list-style-type: none"> • The formula used to allocate funds is a weighted average of the following variables: agricultural land available, previous homeland areas, households involved in agriculture (General Household Survey 2014), food insecure areas and national priority areas targeted for increased food production
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • The funding originated with the special poverty allocations made by national government for a specific purpose and requires tight conditionality to achieve the goals of the programme • The responsibility for the programme rests with DAFF while provincial departments of agriculture are implementing agents
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Allocated and transferred R461 million, of which R484 million (99.2 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 22 335 jobs were created • 191 396 beneficiaries were supported by the programme • 56 939 households were supported with starter packs and production inputs • 128 080 hectares ploughed and 136 252 hectares of land planted
Projected life	<ul style="list-style-type: none"> • Grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R491 million; 2017/18: R522 million; and 2018/19: R552 million
Payment schedule	<ul style="list-style-type: none"> • Four instalments: 25 April 2016, 22 August 2016, 24 October 2016 and 23 January 2017

Ilima/Letsema Projects Grant	
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Agree on outputs and targets with provincial departments in line with grant objectives for 2016/17 • Monitor implementation of the grant during ministerial technical committee on Agriculture and quarterly review meetings • Provide the guidelines and criteria for the development and approval of business plans • Monitor monthly financial expenditure by provinces and conduct sampled project site visits quarterly • Submit monthly financial reports to the National Treasury 20 days after the end of the month • Submit quarterly performance reports to the National Treasury within 45 days after the end of each quarter • Submit annual performance reports to the National Treasury within four months after the end of the financial year <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Provinces to adhere to the conditions of this framework and DoRA • Provinces to report monthly (financial) 15 days after the end of each month, and quarterly (non-financial) 30 days after the end of each quarter, and annually two months after the end of the financial year on the progress and achievements of the programme • Provinces to implement the Ilima/Letsema business plans as approved • All receiving departments must abide by the Public Finance Management Act, Treasury regulations and the DoRA when executing projects as well as for reporting purposes • Provinces to inform the transferring officer of any changes from plans and allocations approved by the Director-General for Agriculture, Forestry and Fisheries, within seven days of such a change, and such changes must be approved by the transferring officer before they are implemented • Assign and delegate officials to manage and monitor the implementation of the programme • Monitor project implementation and evaluate the impacts of projects in achieving Ilima/Letsema goals
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Submission of provincial and individual Ilima/Letsema business plans by provinces on 30 September 2016 • Engagement with provinces on submitted business plans during October 2016 prior to national assessment panel • Evaluation and recommendation of business plans by national assessment panel between November 2016 and February 2017 • Send funding agreements to provinces by February/March 2017 to be signed by Head of Departments, Chief Financial Officers, and Ilima/Letsema coordinators • Approval of business plans by the Director-General before 31 March 2017 • Inform provinces of approval of the business plans in March or April 2017 • Approval by the transferring officer regarding 2017 business planning process compliance during April 2017, and send to National Treasury by end April 2017

Land Care Programme Grant: Poverty Relief and Infrastructure Development	
Transferring department	<ul style="list-style-type: none"> • Agriculture, Forestry and Fisheries (Vote 24)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To optimise productivity and sustainability of natural resources leading to greater productivity, food security, job creation and better quality of life for all
Grant purpose	<ul style="list-style-type: none"> • To promote sustainable use and management of natural resources by engaging in community based initiatives that support the pillars of sustainability (social, economic and environmental), leading to greater productivity, food security, job creation and better well-being for all
Outcome statements	<ul style="list-style-type: none"> • Improved veld carrying capacity and livestock productivity • Improved production potential of arable land leading to increased yield • Improved quantity and quality of South Africa's water resources by mitigating disaster risks for the sector • Improved youth participation in the agricultural sector and intergenerational transfer of skills • Improved custodianship and stewardship of natural resources through community based ownership • Improved livelihoods of rural communities within the ambit of the green economy • Improved partnerships with private, public and community sectors that are responsible for natural resources • Improved knowledge and skills base in the sustainable use and management of natural resources • Enhanced ecosystem services for current and future generations
Outputs	<ul style="list-style-type: none"> • Hectares of rangeland protected and rehabilitated • Hectares of land protected and rehabilitated • Number of Junior Care participants involved in the programme • Number of hectares of land where water resources are protected and rehabilitated • Number of capacity building initiatives conducted for Junior Care • Number of capacity building initiatives conducted for Land Carers • Number of awareness campaigns conducted and attended by Land Carers • Number of Land Care committees/Land Care groups established • Hectares of land where weeds and invader plants are under control • Number of kilometres of fence erected • Number of green jobs created expressed as Full Time Equivalents (FTEs)
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 4: Decent employment through inclusive economic growth • Outcome 7: Comprehensive rural development and land reform • Outcome 10: Protect and enhance our environmental assets and natural resources
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Outputs indicators • Inputs • Cash flow projections and statement of work • Key activities/implementation plan • Monitoring and evaluation • Risk and mitigation • Exit strategy
Conditions	<ul style="list-style-type: none"> • Provinces must confirm capacity to implement projects and operational funding before funds can be transferred • Provincial departments' annual performance plans for 2016/17 must clearly indicate measurable objectives and performance targets as per business plans approved by the Department of Agriculture, Forestry and Fisheries (DAFF) • The impact of the Land Care programme should also be quantified (before and after) during initiation, implementation and handing over phases of the projects • Provinces should report their financial performance per project on a monthly basis as per Division of Revenue Act (DoRA) deadlines • Provinces should on a monthly basis report on the number of jobs created in line with Expanded Public Works Programme (EPWP) reporting requirements. The report should, amongst other requirements, indicate for each participant their name, surname, identity number, gender, project name, wage and duration of employment • Projects should adhere to the reporting dates as stipulated in the DoRA, and furthermore adhere to the agreed dates as approved by the natural resource management working group (NRMWG) and provide beneficiary evidence on work done
Allocation criteria	<ul style="list-style-type: none"> • Allocations are based on an index comprising of nodes, land capability, poverty, degradation and land size derived from the following sources: <ul style="list-style-type: none"> ○ nodes of the most deprived wards in comprehensive rural development programme ○ land capability = total hectares class I, II and III (spatial analysis - land capability data) ○ size = hectares (new boundaries from the Municipal Demarcations Board) ○ poverty = poverty gap based on food poverty line (Statistics South Africa Living Conditions Survey 2008/9) ○ degradation = hectares (National Land Cover 2000)

Land Care Programme Grant: Poverty Relief and Infrastructure Development	
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> The funding originated with the special poverty allocations made by national government for a specific purpose
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> Allocated R68 million and transferred R68 million (100 per cent) to provinces, of which provinces spent R67 million (98.7 per cent) by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 13 761 youth participated in the Junior Care management sub-programme 11 661 hectares of land on which alien invasive plants were eradicated 27 603 hectares of grazing area improved 103 hectares of wetlands protected 35 water sources developed or protected against over-utilisation 69 gabion structures constructed 374 hectares of farm land improved through conservation measures in all nine provinces 11 974 beneficiaries have improved capacity and skill levels via capacity building initiatives 1 068 Full Time Equivalent jobs created through Land Care programme
Projected life	<ul style="list-style-type: none"> This grant will be reviewed when and if the need arises to align it with changes in the EPWP, outcome approach, national planning report and any policy development within government
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R69 million; 2017/18: R74 million; and 2018/19: R78 million
Payment schedule	<ul style="list-style-type: none"> 10 per cent, 25 April 2016; 35 per cent, 22 August 2016; 35 per cent, 24 October 2016 and 20 per cent: 23 January 2017
Responsibilities of the transferring and receiving officers	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Agree on outputs and targets with provincial departments in line with grant objectives for 2016/17 Review norms and standards for the implementation of the grant during the NRMWG meeting held quarterly Provide the guidelines and criteria for the development and approval of business plans Monitor implementation through project site visits and provide support to provinces Submit quarterly performance reports to the National Treasury within 45 days after the end of each quarter Submit evaluation reports to the National Treasury within four months after the end of the financial year <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Provincial departments to report monthly (financial) and quarterly (non-financial) on the progress of the projects as prescribed by DoRA. Provinces should further adhere to agreements approved by the NRMWG on performance reporting and any other matter related to natural resource management Provincial departments to report monthly jobs created as part of the EPWP. These reports should be submitted to the Department of Public Works using the approved reporting system Provinces should further report jobs created to the DAFF using the prescribed Department of Public Works reporting template/format on or before the 15th of every month Provincial departments to implement the projects according to the approved business plans. Any deviation should first be communicated to DAFF in writing and approved by DAFF before implementation Provinces must hold provincial assessment panels that are inclusive of relevant partners before submission of preliminary individual and provincial business plans to DAFF by 30 September 2016 Provincial departments should monitor project implementation and evaluate the impacts of projects in achieving Land Care goals Provinces to submit evaluation reports to DAFF two months after the end of the financial year
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> DAFF provides provincial departments with business plan format, guidelines, criteria and outputs as prescribed by National Treasury and DAFF by June 2016 Submission of signed preliminary provincial and individual Land Care business plans by provinces on or before 30 September 2016 Engagement by DAFF with provinces on business plans submitted before provincial assessment panel and prior to the national assessment panel Evaluation and recommendation of business plans by national assessment panel before end of February 2017 Interactions with provinces on national assessment panel comments and final submission of signed individual and provincial business plans by the provinces prior to approval by the transferring officer of DAFF Approval of business plans by the DAFF transferring officer before end of March 2017 Notify provinces of the approval of business plans before 31 March 2017 Send funding agreements to provinces by March 2017 to be signed by the Heads of Departments, Chief Financial Officers and Land Care coordinators

ARTS AND CULTURE GRANT

Community Library Services Grant	
Transferring department	<ul style="list-style-type: none"> Arts and Culture (Vote 37)
Grant schedule	<ul style="list-style-type: none"> Schedule 5A
Strategic goal	<ul style="list-style-type: none"> To enable the South African society to gain access to knowledge and information that will improve their socio-economic status
Grant purpose	<ul style="list-style-type: none"> To transform urban and rural community library infrastructure, facilities and services (primarily targeting previously disadvantaged communities) through a recapitalised programme at provincial level in support of local government and national initiatives
Outcome statements	<ul style="list-style-type: none"> Improved coordination and collaboration between national, provincial and local government on library services Equitable access to transformed library and information services delivered to all rural and urban communities Improved library infrastructure and services that reflect the specific needs of the communities they serve Improved staff capacity at urban and rural libraries to respond appropriately to community knowledge and information needs Improved culture of reading
Outputs	<ul style="list-style-type: none"> 410 000 items of library materials (books, periodicals, toys etc) purchased Library Information and Communication Technology (ICT) infrastructure and systems using open source software in all provinces Library material and services for the visually impaired at community libraries in five provinces (Eastern Cape, KwaZulu-Natal, Mpumalanga, North West and Western Cape) 23 new library structures completed 15 new library services established for dual-purpose libraries 55 upgraded and maintained library structures 1 676 existing contract library staff maintained in all provinces 40 new staff appointed for dual-purpose libraries 80 new staff appointed at public libraries to support the shifting of the function to provinces Capacity building programmes for public librarians
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 1: Quality basic education Outcome 14: Nation building and social cohesion
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> The provincial business plans must be developed in accordance with identified priority areas To qualify for allocations from the grant in 2017/18 provinces must submit progress reports that detail a phased approach towards the full funding of the function, either by assignment to municipalities, or preparation of provinces to take over the function, or a combination of both. This must be done by the end of the 2016 MTEF. Grant funding must not be used to replace funding for items that provinces have previously allocated to community libraries Provinces may use a maximum of five per cent of the total amount allocated to them for capacity building and provincial management of the grant The details of how these funds will be used must be included in the respective business plans Funds added to the grant to address the Schedule 5 function shift imperative in category B municipalities, may only be used to support the function shift and to establish dual purpose facilities. Provinces may use up to 80 per cent of the ring-fenced allocations in the 2016/17 financial year but this funding cannot replace funding for items that provinces have previously allocated to community libraries At least 20 per cent of the additional allocations must be used to establish dual purpose service points in collaboration with provincial departments of Basic Education. The detail of how these funds will be used by provinces must be included in their respective business plans. The total additional allocations per provinces are as follows: <ul style="list-style-type: none"> o Eastern Cape: R61 million o Free State: R77 million o Gauteng: R83 million o KwaZulu-Natal: R74 million o Limpopo: R26 million o Mpumalanga: R58 million o Northern Cape: R63 million o North West: R52 million o Western Cape: R74 million Service level agreements (SLAs) determining reporting protocols must be signed with receiving municipalities within two months after the 2016 Division of Revenue Act (DoRA) takes effect The SLAs must include financial commitments over the MTEF in addition to the payment schedules to

Community Library Services Grant	
	municipalities and reporting protocols which outline measurable performance targets for each municipality
Allocation criteria	<ul style="list-style-type: none"> The allocation criteria is based on an evaluation report for 2014/15 conducted by the national Department of Arts and Culture (DAC) which identified community library needs and priorities
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> This funding is intended to address backlogs and disparities in the ongoing provision and maintenance of community library services across provinces, and enable the DAC to provide strategic guidance and alignment with national priorities
Past performance	2014/15 audited financial outcomes <ul style="list-style-type: none"> Allocated R1 billion, R1.1 billion (100 per cent of allocation) was transferred to provinces inclusive of provincial roll-overs, of which R906 million (86.2 per cent) was spent by provinces by the end of the national financial year
	2014/15 service delivery performance <ul style="list-style-type: none"> 20 libraries upgraded 17 libraries built 255 new staff appointed 54 bursaries maintained
Projected life	<ul style="list-style-type: none"> The projected life will be informed by evaluation reports and should become part of the provincial equitable share in 2018/19 if provinces have completed the function shift and completed a process that leads to the full funding of the service
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R1.4 billion; 2017/18: R1.4 billion; and 2018/19: R1.5 billion
Payment schedule	<ul style="list-style-type: none"> Four instalments: 22 April 2016; 15 July 2016; 14 October 2016 and 31 January 2017
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> Finalise a framework for planning the allocation of library funding at the provincial level by 31 March 2017 that must prescribe minimum norms and standards for the provision of public libraries Establish an intergovernmental forum with provinces that meets at least twice a year to discuss issues related to the provision of community library services Participate in at least one intergovernmental forum meeting per province between provinces and municipalities Identify challenges and risks and prepare mitigation strategies Monitor and evaluate implementation Evaluate annual performance of the grant for the previous financial year, for submission to National Treasury within four months after the end of the financial year Submit monthly financial and quarterly reports to the National Treasury Determine outputs and targets for 2017/18 with provincial departments
	Responsibilities of the provincial departments <ul style="list-style-type: none"> Provinces must establish intergovernmental forums with municipalities within their province that are funded through this grant, that meet at least three times a year to discuss issues related to the provision of community library services Provincial departments must establish capacity to monitor and evaluate SLAs with municipalities Submit evaluation reports to the DAC within two months after the end of the financial year Submit signed monthly financial reports including the quarterly expenditure reports of municipalities to the DAC Submit quarterly performance reports to the DAC within 30 days after the end of the quarter
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> Provinces must submit a draft progress report for comment to DAC by 5 August 2016. A final report must be submitted by 3 October 2016 Progress reports must detail at least the following: <ul style="list-style-type: none"> criteria that will be used to evaluate the capacity of municipalities to administer the function on behalf of the province a policy framework for funding municipalities that administer the service this framework must provide for funding the service over a six year time horizon Provinces to submit draft business plans to DAC by 7 September 2016. Business plans must be aligned to their strategies for full funding of the function DAC to evaluate provincial business plans and provide feedback to provinces by 28 October 2016 Provinces to submit final provincial business plans to DAC by 13 January 2017 DAC approves business plans and submits them to National Treasury by 31 March 2017

BASIC EDUCATION GRANTS

Education Infrastructure Grant	
Transferring department	<ul style="list-style-type: none"> • Basic Education (Vote 14)
Grant schedule	<ul style="list-style-type: none"> • Schedule 4A
Strategic goal	<ul style="list-style-type: none"> • To supplement provinces to fund provincial education infrastructure
Grant purpose	<ul style="list-style-type: none"> • To help accelerate construction, maintenance, upgrading and rehabilitation of new and existing infrastructure in education including district and circuit accommodation • To enhance capacity to deliver infrastructure in education • To address damage to infrastructure caused by natural disasters • To address achievement of the targets set out in the minimum norms and standards for school infrastructure
Outcome statements	<ul style="list-style-type: none"> • Improved quality education service delivery by provincial departments as a result of an improved and increased stock of schools infrastructure • Aligned and coordinated approach to infrastructure development at the provincial sphere • Improved education infrastructure expenditure patterns • Improved response to the rehabilitation of school infrastructure affected by natural disasters • Improved rates of employment and skills development in the delivery of infrastructure
Outputs	<ul style="list-style-type: none"> • Number of new schools, additional education spaces, education support spaces and administration facilities constructed as well as equipment and furniture provided • Number of existing schools' infrastructure upgraded and rehabilitated • Number of new and existing schools maintained • Number of work opportunities created • Number of new special schools provided and existing special and full service schools upgraded and maintained
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 1: Quality basic education
Documents to be assessed as per the Performance Based Approach System guidelines	<ul style="list-style-type: none"> • This grant uses a user asset management plan (U-AMP): <ul style="list-style-type: none"> ○ the infrastructure programme management plan (IPMP) ○ the construction procurement strategy (CPS) ○ the capacitation strategy ○ the Infrastructure Reporting Model (IRM) ○ the year-end evaluation report ○ the project proposals and concept reports
Conditions	<ul style="list-style-type: none"> • Provinces may use a maximum of R38 million of this grant in 2016/17 for the appointment of public servants to their infrastructure units in line with the human resource capacitation circular published by National Treasury • The flow of the first instalment of the grant depends upon receipt by the national Department of Basic Education (DBE) and provincial treasuries of: <ul style="list-style-type: none"> ○ approved and signed-off U-AMP with prioritised project lists for the 2016 medium term expenditure framework (MTEF) and a comprehensive maintenance plan by no later than 31 March 2016. The U-AMP must also include the implementation plans for schools affected by natural disasters • The flow of the second instalment depends upon receipt by DBE and provincial treasuries of the approved and signed-off: <ul style="list-style-type: none"> ○ monthly infrastructure reports in a format determined by the National Treasury and DBE ○ National Education Infrastructure Management System (NEIMS) assessment forms for the fourth quarter of the 2015/6 financial year no later than 22 April 2016 ○ submit a report on the filling of posts on the approved establishment for the infrastructure unit in the format approved by National Treasury for the fourth quarter of the 2015/16 financial year no later than 22 April 2016 ○ submit quarterly performance reports on disaster allocations, to the relevant Provincial Disaster Management Centre (PDMC) and DBE • The flow of the third instalment is dependent upon receipt by DBE, the relevant provincial treasuries and the National Treasury, on a date and in a format determined by National Treasury, of the approved and signed-off: <ul style="list-style-type: none"> ○ U-AMP for all infrastructure programmes for a period of at least 10 years (including the initial list of prioritised projects and a comprehensive maintenance plan). The 2016/17 project list must be drawn from the prioritised project list for the MTEF tabled in 2015/16 not later than 30 June 2016 ○ monthly infrastructure reports in the format determined by National Treasury and the DBE ○ NEIMS assessment forms for the first quarter of 2016/17 by 27 July 2016 ○ submit a report on the filling of posts on the approved establishment for the infrastructure unit in the format approved by National Treasury for the first quarter of the 2016/17 financial year no later than 22 July 2016 ○ the conditional grant year-end evaluation report on financial and non-financial performance no later than 31 May 2016 ○ submission of quarterly performance reports on disaster allocations for the first quarter of 2016/17 to the PDMC and DBE

Education Infrastructure Grant	
	<ul style="list-style-type: none"> • The flow of the fourth instalment is conditional upon receipt by the DBE and relevant provincial treasuries of the approved and signed off: <ul style="list-style-type: none"> ○ monthly infrastructure reports in the format determined by National Treasury and the DBE ○ NEIMS assessment forms for the second quarter of 2016/17 by 26 October 2016 ○ Infrastructure Programme Management Plan (IPMP) for infrastructure programmes envisaged to commence within the period for the medium term expenditure framework not later than 31 August 2016 ○ construction procurement strategy for infrastructure programmes envisaged to commence within the period of the medium term expenditure framework not later than 31 August 2016 ○ submit a report on the filling of posts on the approved establishment for the infrastructure unit in the format approved by National Treasury for the second quarter of the 2016/17 financial year not later than 21 October 2016 ○ submission of quarterly performance reports on disaster allocations for the second quarter of 2016/17 to the PDMC and DBE • The flow of the fifth instalment is conditional upon receipt by the DBE and the relevant provincial treasuries, on a date determined by National Treasury, of the approved and signed-off: <ul style="list-style-type: none"> ○ monthly infrastructure reports in the format determined by National Treasury and the DBE ○ NEIMS assessment forms for the third quarter of 2016/17 to DBE not later than 23 January 2017 ○ submit a report on the filling of posts on the approved establishment for the infrastructure unit in the format approved by National Treasury for the third quarter of the 2016/17 financial year not later than 20 January 2017 ○ submission of quarterly performance reports on disaster allocations for the second quarter of 2016/17 to the PDMC and DBE • Provincial Education Departments (PEDs) must provide school governing bodies with maintenance guidelines to conduct minor maintenance. This should be in accordance with the sector maintenance strategy • PEDs must: <ul style="list-style-type: none"> ○ establish and maintain updated immovable asset registers ○ provide all the necessary equipment and furniture in the spaces provided when constructing new projects ○ seek approval from DBE, in consultation with the National Treasury, for the procurement of any mobile classrooms to be funded by this grant ○ seek approval from the DBE, in consultation with the National Treasury, for the use this grant for any purpose other than what it is intended for as prescribed in this framework • Minor maintenance functions must be budgeted and planned for at the provincial level and carried out through the district offices for non-section 21 schools. A monitoring and evaluation tool must be developed by PEDs for maintenance in section 21 schools that receive a budget through the section 21 allocation for maintenance • Funds have been earmarked within this grant for the reconstruction and rehabilitation of infrastructure damaged by natural disasters. The following amounts per province must be used for the repair of infrastructure damaged by natural disasters declared in the Government Gazette and as assessed by the National Disaster Management Centre (NDMC): <ul style="list-style-type: none"> ○ Eastern Cape: R61.6 million ○ North West: R51.4 million • Business plans for the allocated disaster funds must be in line with the post disaster verification assessment reports submitted to the NDMC • Disaster reconstruction and rehabilitation funds may only be utilised for approved projects as listed in the post disaster verification assessment reports and approved business plans • Quarterly performance reports on disaster allocations must be submitted to the NDMC • PEDs must adhere to the prescripts of the National Treasury Instruction number 2 of 2015/16 on the implementation of the school cost norms • Compliance with the conditions of this grant framework and the relevant clauses within the stipulated timeframes of the Division of Revenue Act (DoRA) • Non-compliance with any of the above conditions may result in the withholding and subsequent stopping of this grant

Education Infrastructure Grant	
Allocation criteria	<ul style="list-style-type: none"> • Allocations for 2016/17 are based on historical allocations for this grant • Allocations also include incentive based allocations as described in annexure W1 for the 2016 Division of Revenue Bill
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • Funding infrastructure through a conditional grant enables the national department to ensure the delivery and maintenance of education infrastructure in a coordinated and efficient manner, and consistent with national norms and standards for school buildings
Past performance	2014/15 audited financial outcomes <ul style="list-style-type: none"> • Transferred R7.3 billion to provinces (including R398 million Accelerated Schools Infrastructure Delivery Initiatives converted allocation for the Western Cape), of which R7 billion (93 per cent) was spent by the end of the national financial year
	2014/15 service delivery performance <ul style="list-style-type: none"> • 2 395 teaching spaces, 856 administrative spaces, 605 maintenance or upgrading projects • 640 water, 643 sanitation, 175 electricity and 238 fencing infrastructure projects • 41 sports facilities were provided • The sector has provided a total of 121 new and replacement schools in respective provinces
Projected life	<ul style="list-style-type: none"> • Grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R9.6 billion; 2017/18: R12.8 billion; and 2018/19 R13.5 billion
Payment schedule	<ul style="list-style-type: none"> • Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> • DBE will visit selected infrastructure sites in provinces • DBE and National Treasury will support provinces to improve infrastructure delivery capacity and systems • DBE must provide guidance to provinces in planning and prioritisation • DBE must issue guidelines on the capacitation process of infrastructure units as well as the conditions attached to the utilisation of the funding • DBE and National Treasury must jointly evaluate progress with the capacitation of Provincial Infrastructure Units and provide feedback to all provinces in terms of the guidelines • DBE and National Treasury must jointly evaluate and provide feedback to all provinces on the assessment of all documents as outlined on the Performance Based Approach system guidelines • Submit quarterly performance reports on disaster allocations to NDMC and National Treasury within 45 days after the end of each quarter • DBE needs to assess the reports submitted by PEDs and provide feedback before transferring the instalment. • Submit reports to the National Treasury in terms of quarterly achievements by PEDs • Comply with the conditions of this grant framework and the relevant clauses within the stipulated timeframes of the DoRA
	Responsibilities of the provincial departments <ul style="list-style-type: none"> • PEDs must submit a signed-off monthly provincial infrastructure report on infrastructure programmes within 22 days after the end of each month to the relevant provincial treasury and DBE • Submit quarterly performance reports on disaster allocations, to the PDMC and DBE • Comply with the conditions of this grant framework and the relevant clauses within the stipulated timeframes in DoRA • PEDs must submit quarterly capacitation reports within 45 days after the end of each quarter
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> • The process for approval for the 2017 MTEF allocation will be in line with the performance based incentive approach guidelines published by National Treasury

HIV and AIDS (Life Skills Education) Grant	
Transferring department	<ul style="list-style-type: none"> • Basic Education (Vote 14)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To enhance awareness programmes offered by schools to prevent and mitigate the impact of human immunodeficiency virus (HIV) and tuberculosis (TB) • To increase knowledge, skills and confidence amongst learners and educators to take self-appropriate sexual and reproductive health decisions • To increase access to sexual and reproductive health services including HIV as well as TB services for learners and educators, with a specific focus on schools that are located in or near peri-mining and coastal areas
Grant purpose	<ul style="list-style-type: none"> • To support South Africa's HIV prevention strategy by increasing sexual and reproductive health knowledge, skills and appropriate decision making among learners and educators • To mitigate the impact of HIV and TB by providing a caring, supportive and enabling environment for learners and educators • To ensure the provision of a safe, rights-based environment in schools that is free of discrimination, stigma and any form of sexual harassment/abuse • To reduce the vulnerability of children to HIV, TB and sexually transmitted infections (STIs), with a particular focus on orphaned and vulnerable children
Outcome statements	<ul style="list-style-type: none"> • Increased HIV, STI and TB knowledge and skills amongst learners, educators and officials • Decrease in higher risk sexual behaviour among learners, educators and officials • Decreased barriers to retention in schools, in particular for vulnerable learners
Outputs	<ul style="list-style-type: none"> • 1 200 master trainers trained in the integration of sexual and reproductive health (SRH) and TB programmes into the school curriculum. Specific focus will be on the prevention of learner pregnancy, reduction of the burden of the twin epidemics of HIV and TB • 19 500 educators trained to implement SRH and TB programmes for learners to be able to protect themselves from HIV and TB, and their associated key drivers including alcohol and drug use, leading to unsafe sex, learner pregnancy and HIV infection, prioritising schools located in or near peri-mining and coastal areas with a high burden of HIV and TB infections • 6 900 school management teams and governing bodies trained to develop policy implementation plans focusing on keeping mainly young girls in school, ensuring that SRH and TB education is implemented for all learners in schools, and ensuring access to SRH and TB services. A component of training will also address multiple sexual partners among boys • Co-curricular activities on SRH and TB implemented in schools including a focus on prevention of alcohol and drug use, learner pregnancy, targeting 210 950 learners. Priority will be in the 8 education collaboration framework districts as well as schools located in or near peri-mining and coastal areas • Care and support programmes implemented to reach 186 500 learners and 19 450 educators. Expand the appointment of learner support agents to support vulnerable learners, with a specific focus on keeping girls in school, using the Care and Support for Teaching and Learning framework • 550 000 copies of curriculum and assessment policy statement compliant material, including material for learners with barriers to learning, printed and distributed to schools • Advocacy and social mobilisation events hosted with 526 250 learners, educators and school communities to review and change societal norms and values on SRH and TB including a focus on key risk behaviours such as alcohol and drug use, learner pregnancy, inter-generational and transactional sex amongst girls and to advocate for the integrated school health programmes including HIV testing and improved understanding of the transformative nature of education
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 1: Quality basic education • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Inputs • Key activities
Conditions	<ul style="list-style-type: none"> • Provincial Education Departments (PEDs) must distribute the grant allocation in accordance with the following weights for the key performance areas: <ul style="list-style-type: none"> ○ training and development (15 per cent) ○ co-curricular activities (20 per cent) ○ care and support (25 per cent) ○ learning and teaching support material (15 per cent) ○ advocacy and social mobilisation (10 per cent) ○ monitoring and support (8 per cent) ○ management and administration (7 per cent) • PEDs must report on expenditure according to the above seven key performance areas per quarter • Instalments are dependent on the Department of Basic Education (DBE) receiving these reports, adherence to approved business plans and attendance at the biannual inter-provincial meetings • The above percentages are guidelines and may be deviated from in accordance with provincial needs with the approval of the national transferring officer. However, provinces must prioritise areas with high rates of HIV, TB, and learner pregnancy • These deviations should be informed and motivated by achievements and/or critical challenges relating to the trends in the epidemic as relevant to respective provinces and PEDs • PEDs must ensure that they have the necessary capacity and skills to manage the implementation of the grant

HIV and AIDS (Life Skills Education) Grant	
Allocation criteria	<ul style="list-style-type: none"> The education component of the provincial equitable share formula, as explained in Annexure W1 of the 2016 Division of Revenue Bill, is used to allocate the grant amongst provinces
Reason not incorporated in equitable share	<ul style="list-style-type: none"> To enable the DBE to provide overall guidance, to ensure congruency, coherence and alignment with: <ul style="list-style-type: none"> the National Strategic Plan for HIV, STIs and TB (2012–2016) DBE's Integrated Strategy on HIV, STIs and TB (2012–2016) draft National Policy on HIV, STIs and TB This enables DBE to exercise an oversight role in the implementation of the HIV and AIDS Life Skills Education programme in schools
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> From the total allocation of R252 million (including provincial roll-overs: R21 million), provinces spent R225 million (89.1 per cent) of the 91.9 per cent of the transferred funds by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 425 master trainers, 18 950 life orientation educators and 8 907 educators were trained in the integration of life skills in the curriculum 84 053 functional peer education programmes were undertaken, 79 475 learners enrolled on the learner retention and learner pregnancy programme, 44 703 learners enrolled in the substance use programme and 8 405 educators trained to mentor peer education in primary schools 14 520 school based support teams established, 8 028 school management teams trained to develop policy implementation plans, and 157 340 vulnerable learners identified and referred for services 673 647 sets of learning and teaching support material delivered to 16 905 schools and 11 118 first aid kits distributed to 2 070 schools Advocacy reached 277 623 learners and educators as well as 259 109 members of the school communities and 25 190 schools reaching 106 244 learners through advocacy activities focusing on the prevention of TB 11 712 schools reached through monitoring and support visits and 632 meetings held
Projected life	<ul style="list-style-type: none"> The grant will be reviewed on an ongoing basis to respond to the nature and trends in the HIV and TB epidemics
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R231 million; 2017/18: R245 million; and 2018/19: R260 million
Payment schedule	<ul style="list-style-type: none"> Four instalments: 18 April 2016; 25 July 2016; 31 October 2016; and 30 January 2017
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Identify risks and challenges impacting on provincial implementation Develop risk management strategies to address these risks Ensure synergy with national strategies and processes aimed at reducing HIV and the related chronic illnesses such as TB infection in the country together with their risk factors such as alcohol and drug use Agree on outputs and targets with PEDs in line with grant objectives and national imperatives for 2017/18 by 30 September 2016 Provide evidence-based guidance for the development of business plans based on monitoring and findings from international and national research Monitor implementation of the programme and provide support to provinces Develop partnerships with key stakeholders Submit quarterly performance reports to National Treasury within 45 days after the end of each quarter <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Ensure synergy with national strategies and processes aimed at reducing HIV and TB infections and all other related issues including their risk factors such as alcohol and drug use Identify risks and challenges impacting on implementation Develop risk management strategies and implementation plans to address these risks Submit monthly expenditure reports and quarterly and annual performance reports to the DBE in line with the Division of Revenue Act (DoRA) and Public Finance Management Act Agree with the DBE on outputs and targets to ensure effective implementation of the programme Monitor implementation of the programme and provide support to districts and schools PEDs to implement the projects according to the approved business plans Any deviation should first be communicated, in writing, and approved by DBE before implementation Evaluate and submit a provincial evaluation report on the performance of the conditional grant to the DBE by 30 May 2016
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Communication and meeting with provinces to inform targets for the next financial year by 13 October 2016 PEDs submit draft business plans to DBE for evaluation by 28 November 2016 DBE evaluates provincial business plans from 7 December 2016 Comments sent to PEDs to amend the plans by 12 January 2017 PEDs submit amended and signed plans to DBE by 27 February 2017 DBE approves provincial business plans by 31 March 2017

Maths, Science and Technology Grant	
Transferring Department	<ul style="list-style-type: none"> Basic Education (Vote 14)
Grant schedule	<ul style="list-style-type: none"> Schedule 5A
Strategic Goal	<ul style="list-style-type: none"> To strengthen the implementation of the National Development Plan (NDP) and the Action Plan 2019 by increasing the number of learners taking Mathematics, Sciences and Technology subjects, improving the success rates in the subjects and improving teachers' capabilities
Grant Purpose	<ul style="list-style-type: none"> To improve access, equity, efficiency and quality Mathematics, Science and Technology (MST) education in the country by providing support and resources to schools, teachers and learners for the improvement of MST teaching and learning at selected public schools
Outcome Statements	<ul style="list-style-type: none"> Improved access, equity, efficiency and quality Mathematics, Sciences and Technology education in the country
Outputs	<ul style="list-style-type: none"> School Support Information, Communication and Technology (ICT) resources: <ul style="list-style-type: none"> 1000 schools supplied, with computer hardware in accordance with the minimum specifications 1000 schools supplied with subject related software in accordance with the minimum specifications 50 schools supplied with broadcasting equipment in accordance with the minimum specifications 50 schools supplied with internet connectivity infrastructure (Local Area Network and or Wide Area Network) in accordance with the minimum specifications Workshop Equipment, Machinery and Tools: <ul style="list-style-type: none"> 200 Technical Schools' workshops supplied with equipment for technology subjects in accordance with the minimum specifications 200 Technical Schools' workshops supplied with machinery for technology subjects in accordance with the minimum specifications 200 Technical Schools' workshops supplied with tools for technology subjects in accordance with the minimum specifications 500 schools supplied with Mathematics and Science kits for each phase Laboratories and workshop equipment, apparatus and consumables: <ul style="list-style-type: none"> 500 laboratories supplied with apparatus for Mathematics and Science subjects in accordance with the minimum specifications 371 laboratories supplied with CAT and IT computer hardware, software and supporting accessories 1000 laboratories and workshops supplied with consumables for Mathematics, Sciences and Technology subjects in accordance with the minimum specifications Learner Support <ul style="list-style-type: none"> 90 000 learners registered for participation in Mathematics, Science and Technology Olympiads/Fairs/Expos and other competitions Teacher Support <ul style="list-style-type: none"> 1 500 participants attending specific training and orientation for teachers and subject advisors in subject content and teaching methodologies on CAPS for Electrical, Civil and Mechanical Technology, Technical Mathematics, and Technical Sciences 500 participants attending targeted training in teaching methodologies and subject content for Mathematics, Physical, Life, Natural and Agricultural Sciences, Technology, Computer Applications Technology, Information Technology, Agricultural Management and Technology subjects 1000 participants in training and support in integrating ICT in the learning and teaching environment
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 1: Quality basic education
Details contained in the Business Plan	<ul style="list-style-type: none"> Outcome Indicators Output Indicators Inputs Key Activities Annual Budget and Resource Allocation Schedules Monitoring and Reporting Risk Management Plan Cash flow projections Participating schools list (separate annexure)
Conditions	<p>Grant Structure and Allocation</p> <ul style="list-style-type: none"> The grant is utilised on an interventional basis and is not a general roll-out for all schools Schools' needs and allocation of funds shall be identified through a criteria indicated in the framework in partnership with Provinces and Districts in the preceding financial period The grant will support a total of 1000 schools across all provinces, which are based on the previous financial period allocation The provincial funds allocation should be divided in accordance with the following guideline: <ul style="list-style-type: none"> 20 per cent for ICT resources 15 per cent for workshop equipment, machinery and tools

Maths, Science and Technology Grant	
	<ul style="list-style-type: none"> ○ 15 per cent for laboratories and workshop apparatus and consumables ○ 10 per cent for learner support ○ 15 per cent for Technical schools CAPS teachers and subject advisors training and orientation ○ 15 per cent for targeted teacher training in teaching methodologies and subject content ○ 10 per cent for training and support in ICT integration for end-users ○ provinces may deviate from the prescribed guidelines provided the transferring officer approves all deviations <ul style="list-style-type: none"> ● The subjects' coverage for support through the grant in MST include all MST subjects from grades R-12 ● The transferring and receiving departments must appoint or identify a qualified and experienced person/s to administer, manage and co-ordinate the activities of the grant in accordance with the provisions of the framework and compliance certificates <p>Business Planning Process</p> <ul style="list-style-type: none"> ● Provinces shall submit lists of schools to Department of Basic Education (DBE) as per the timeframes set by the grant framework <p>Monitoring</p> <ul style="list-style-type: none"> ● The national and provincial grant managers shall conduct monitoring at all levels on a monthly and quarterly basis or as and when required <p>Priorities</p> <ul style="list-style-type: none"> ● All the grant outputs are prioritised in accordance with the allocation percentages unless the province has requested a deviation <p>Outputs</p> <ul style="list-style-type: none"> ● Information, Communication and Technology (ICT) resources items should be procured as per the minimum specifications defined by the DBE and in line with CAPS. The grant also support the training of all end-users in the utilisation of all ICT resources provided to a school ● Workshop equipment, machinery and tools items should be procured as per the minimum specifications defined by the DBE and in line with CAPS ● Laboratories and workshop equipment, apparatus and consumables: these items should be procured as per the minimum specifications as defined by the DBE and in line with CAPS ● Learner support items should be procured and provided to all identified learners in line with provincial needs in support of curriculum delivery ● Teacher support items should be procured and provided to all identified teachers in line with provincial needs in support of curriculum delivery. The training of teachers in preparation for the implementation of CAPS for technical schools forms part of teacher support during the Medium-Term Expenditure Framework (MTEF) ● The grant does not include any output for compensation of employees <p>Procurement Matters</p> <ul style="list-style-type: none"> ● Transversal tenders will be developed and entered into with multiple suppliers and provinces will be invited to participate in such procurement contracts. In the absence of a DBE transversal tender, provinces must continue to procure on their own ● The grant funds and implementation (procurement, delivery and payment) to be managed at provincial level unless a transversal tender has been issued or the school has demonstrated capacity, systems and controls to efficiently manage the processes of the grant ● Before funds can be transferred to schools, there should be assurance that systems, controls and capacity to manage the implementation and delivery processes of the grant are in place
Allocation criteria	<ul style="list-style-type: none"> ● Participating schools should be identified according to the following criteria: <ul style="list-style-type: none"> ○ the schools must be classified between quintile 1-3 ○ provinces may include schools in quintile 4 and 5 subject to the approval of the transferring officer ○ the average learner performance in all subjects including MST at the level below 60 per cent at Grade 8-12 ○ primary schools will be supported as feeder schools to secondary schools participating in the grant based on the provincial needs analysis in line with the outputs of the grant ○ at least 30 learners are enrolled for each grade in Mathematics and Sciences subjects at General Education and Training and Further Education and Training band and 15 learners are enrolled for Technology subjects in Further Education and Training band ○ 50 per cent of all learners in the school must be enrolled for Mathematics or Technical Mathematics in the case of technical school
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> ● The grant is a targeted systemic capacity improvement programme. It should therefore be noted that the number of schools requiring support is not proportionally distributed across the provinces. The level of support required by schools differs across provinces
Past performance	<ul style="list-style-type: none"> ● New Grant
Projected life	<ul style="list-style-type: none"> ● Grant continues until 2018/19 thereafter subject to review
MTEF allocations	<ul style="list-style-type: none"> ● 2016/17: R362 million; 2017/18: R385 million; and 2018/19: R407 million
Payment schedule	<ul style="list-style-type: none"> ● 13 May 2016; 19 August 2016; 18 November 2016; and 10 February 2017

Maths, Science and Technology Grant	
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Identify and analyse areas requiring support in Mathematics, Science and Technology • Evaluate, approve and submit provincial business plans to National Treasury • Provide the administrative services for the grant (manage, coordinate, monitor and support programme implementation at all levels) • Develop and provide capacity building programmes for provincial implementation teams to assist them in implementing the grant • Develop and distribute planning, implementation, monitoring and evaluation guidelines and/or templates including minimum specifications for school resource • Ensure compliance with reporting requirements in line with the provisions of the 2016 Division of Revenue Act (DoRA), as amended • Monitor implementation at provincial, district and school level on a monthly and quarterly basis or as and when required in line with the grant framework • Evaluate the performance of the conditional grant and submit an evaluation report to National Treasury as per the requirements of the 2016 DoRA • Establish and strengthen partnerships with relevant stakeholders in Mathematics, Science and Technology • Ensure that focus schools are improved and increased and they deliver on value for money on an annual basis <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Identify and analyse areas requiring support in Mathematics, Science and Technology • Provinces to submit targeted schools lists and their needs to DBE • Develop and submit approved business plans to DBE • Ensure compliance with reporting requirements by providing consolidated monthly expenditure reports, 15 days after the end of the month, and quarterly reports 30 days after the end of the quarter including other monitoring or diagnostic reports and reviews as required from time to time • Manage and implement the programme in line with the 2016 DoRA and the Public Finance Management Act • Where applicable, participate in transversal tenders issued by the DBE or other provinces in order to procure goods and services related to the outputs of the grant • Monitor and provide support to districts/regions, circuits and schools on a monthly basis or as and when required • Provide human resource capacity at all relevant levels including the appointment or identification of a qualified and experienced person/s to administer, manage and co-ordinate the activities of the grant in accordance with the provisions of the framework and compliance certificates • Evaluate the performance of the grant and submit evaluation reports to DBE within two months after the end of the financial period • Provincial departments to implement the projects according to the approved business plans. Any deviation should first be communicated, in writing, and approved by DBE's transferring officer before implementation
	<p>Responsibilities of the schools</p> <ul style="list-style-type: none"> • Submit schools needs on Mathematics, Science and Technology to the districts based on the performance of the school in all grades • Submit annual operational plans for selected schools to the provincial department of education • Ensure that capacity, systems and controls are in place to implement the grant, to receive funds where a transfer to school has been agreed upon • Receive funds from provincial departments of education and manage the procurement, delivery and payment processes where necessary • Participate in relevant structures that have been put in place to support implementation of the grant • Report to the province on the implementation of the grant on a monthly and quarterly basis and to the DBE (as and when necessary) • Monitor and ensure quality of work of the service providers and sign-off on the completeness of the service delivery processes
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • DBE to collate and distribute to provinces the list of areas requiring support in Mathematics, Science and Technology by 22 July 2016 • The first draft of the consolidated provincial business plans and school lists to be submitted to DBE for appraisal by 31 October 2016 • The DBE team will meet to evaluate the consolidated business plans by 16 November 2016 • The comments on the business and procurement plans will be sent to provinces for amendments by 14 December 2016 • Provinces will be required to submit the provincially approved amended business and procurement plans to DBE by 02 February 2017 • DBE will approve the final business plans by 10 March 2017 • DBE's transferring officer approves business plans to be submitted to the National Treasury by 20 March 2017

National School Nutrition Programme Grant	
Transferring department	<ul style="list-style-type: none"> • Basic Education (Vote 14)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To enhance learning capacity and improve access to education
Grant purpose	<ul style="list-style-type: none"> • To provide nutritious meals to targeted schools
Outcome statements	<ul style="list-style-type: none"> • Enhanced learning capacity and improved access to education
Outputs	<ul style="list-style-type: none"> • Number of schools that prepare nutritious meals for learners
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 1: Quality basic education
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Inputs • Key activities • Risk Management Plan
Conditions	<ul style="list-style-type: none"> • Spending must be in line with national and provincial business plans • The budget allocation must be distributed in terms of the following weightings for both secondary and primary schools: <ul style="list-style-type: none"> ○ school feeding (inclusive of cooking utensils): minimum of 96 per cent ○ administration: maximum of 3.5 per cent ○ nutrition education and de-worming: minimum of 0.5 per cent • Minimum feeding requirements: <ul style="list-style-type: none"> ○ provide nutritious meals to all learners in quintile 1 - 3 primary and secondary schools (as per gazetted national quintiles) as well as identified special schools on all school days ○ annual meal costs per learner will increase at a minimum of four per cent in all benefiting primary schools and two per cent for all benefiting secondary schools, far-flung farm and rural schools that are receiving funds directly should be allocated a higher meal cost to cover higher transport costs ○ pay an honorarium of a minimum of R1 000 per person per month, in line with a food handler to learner ratio of 1:200. A ratio of 1:120 is recommended for schools where learner enrolment is 250 or fewer ○ comply with recommended food specifications and approved menu consisting of meals containing starch, protein and fresh vegetable/fruit ○ fresh fruit/vegetables should be served daily and vary between green and yellow/red vegetables/fruits ○ a variety of protein-rich foods should be served per week in line with approved menu options. Raw sugar beans should be packed separately from samp, not mixed in one packet ○ Soya mince should not be served more than twice a week ○ pilchards should be served at least once a week. High quality protein products can replace pilchards in areas where these are not socially acceptable ○ Ultra High Temperature (UHT) pasteurised milk or maas should be served once a week. Milk should be approved in line with dairy standards set by Milk South Africa ○ provinces should promote sustainable food production and nutrition education • Provinces that are transferring funds for meals to schools (Eastern Cape, Free State, Limpopo, Northern Cape and North West) are required to reconcile expenditure by schools against budget transfers on a quarterly basis • The 11 May 2016 budget transfer (as per payment schedule) is for cooking facilities, equipment and utensils as per equipment specifications provided by the Department of Basic Education (DBE) • Provincial business plans will be approved in line with the above minimum requirements and available resources. The following variations may be approved by the transferring officer based on achievements and/or critical challenges in each province: <ul style="list-style-type: none"> ○ feeding days reduced to a minimum of 196 days ○ feeding cost below the above-stated minimum requirements, provided the quality of meals is not compromised ○ number of learners that exceed the gazetted quintiles ○ serving of processed vegetables or fruit in remote areas ○ targeting of learners in quintile 4 and quintile 5 schools ○ quintile 1 - 3 schools that do not feed all learners (Gauteng, KwaZulu-Natal and Western Cape). Letters from schools requesting a deviation from whole school feeding must be provided to the provincial office and kept on record
Allocation criteria	<ul style="list-style-type: none"> • The distribution formula is poverty-based in accordance with the poverty distribution table used in the National Norms and Standards for School Funding as gazetted by the Minister of Education on 17 October 2008 • The new allocation criteria will be phased in, starting with the 2016 MTEF, due to the updated poverty distribution table
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • The National School Nutrition Programme (NSNP) is a government programme for poverty alleviation, specifically initiated to uphold the rights of children to basic food and education • The conditional grant framework enables the DBE to play an oversight role in the implementation of all NSNP activities in schools

National School Nutrition Programme Grant	
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> Allocated and transferred R5.3 billion of which provinces spent R5.3 billion (99.8 per cent) by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> The programme reached 21 025 schools and provided meals to 9.3 million learners nationwide A total of 517 workshops were conducted to enhance programme implementation. The workshops were on financial management, meal planning, nutrition education and basic horticulture
Projected life	<ul style="list-style-type: none"> It is envisaged that, given the levels of poverty in the country and the impact of various health conditions such as HIV and Aids, diabetes and debilitating chronic conditions, the need for such a grant will persist for at least another 10 years. The programme ensures learners from the poorest communities have decent opportunities to learn
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R6 billion; 2017/18: R6.3 billion; and 2018/19: R6.7 billion
Payment schedule	<ul style="list-style-type: none"> The payment schedule will be in line with respective provincial procurement models as follows: <ul style="list-style-type: none"> provinces that transfer funds directly to all schools (Eastern Cape, Free State, North West and Northern Cape) receive five instalments: (7 April 2016, 11 May 2016, 14 June 2016, 8 September 2016, and 8 December 2016) provinces that procure from service providers on behalf of schools receive five instalments: (7 April 2016, 11 May 2016, 4 August 2016, 20 October 2016, and 26 January 2017)
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Develop and submit approved national business plans to the National Treasury Evaluate, approve and submit provincial business plans to the National Treasury Manage, monitor and support programme implementation in provinces Ensure compliance with reporting requirements and NSNP guidelines Consolidate and submit quarterly performance reports to the National Treasury within 45 days after the end of each quarter Evaluate performance of the conditional grant and submit an evaluation report to the National Treasury four months after the end of the financial year <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Develop and submit approved business plans to DBE. The business plans should include databases reflecting distribution of volunteer food handlers and cooking fuel per school Monitor and provide support to districts/regions/area project officers and schools Manage and implement the programme in line with the Division of Revenue Act and the Public Finance Management Act Implement monitoring and evaluation plans Provide human resource capacity at all relevant levels Evaluate the performance of the conditional grant annually and submit evaluation reports to the DBE two months after the end of the financial year Submit quarterly financial and performance reports to DBE after the end of each quarter Provinces that are transferring funds to schools are required to reconcile expenditure by schools against budget transfers on a quarterly basis. Reports on actual expenditure should be submitted a month after the quarter being reported upon. Develop and submit transfer schedules reflecting actual dates on which funds will be transferred to schools <p>Responsibilities of the school districts</p> <ul style="list-style-type: none"> Monitoring and supporting schools Submitting monthly and quarterly reports (narrative and expenditure reports to the provincial department, as well as reports on expenditure by schools, where applicable) Coordinate all NSNP activities in the district
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> Planning meeting by 14 July 2016 Consultation with district officials, provincial treasuries, provincial finance sections and National Treasury Provinces submit first draft business plans to DBE by 31 October 2016 Inter-provincial meeting held in October 2016 to consult provinces on the 2017/18 conditional grant framework DBE evaluates first draft business plans and sends comments to provinces by 25 November 2016 Provinces submit final business plans to DBE by 27 January 2017 The Director-General approves national and provincial business plans by 3 April 2017

School Infrastructure Backlogs Grant	
Transferring department	<ul style="list-style-type: none"> • Basic Education (Vote 14)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • The eradication of inappropriate education structures and backlogs in basic services
Grant purpose	<ul style="list-style-type: none"> • Eradication of all inappropriate school infrastructure • Provision of water, sanitation and electricity to schools
Outcome statements	<ul style="list-style-type: none"> • Improved access to enabling learning and teaching environments • Build the capacity of provinces benefiting from an indirect grant (Schedule 6A) allocation to carry out this function themselves in future
Outputs	<ul style="list-style-type: none"> • Sub-programme 1: eradication and replacement of 510 inappropriate schools and provision of related school furniture • Sub-programme 2: 1120 schools provided with water • Sub-programme 3: 741 schools provided with sanitation • Sub-programme 4: 916 schools provided with electricity
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 1: Quality basic education
Details contained in the infrastructure programme management plan	<ul style="list-style-type: none"> • This grant uses an Infrastructure Programme Management Plan (IPMP) that includes the following: <ul style="list-style-type: none"> ○ institutional framework ○ procurement and contract management plan ○ scope management ○ time management plan ○ cost management plan ○ risk management plan ○ quality management plan ○ monitoring and reporting details ○ budgeting and programme accounting details ○ performance management plan ○ communication management plan
Conditions	<ul style="list-style-type: none"> • This is an in-kind grant administered by the national Department of Basic Education (DBE) that may be transferred to a province through the education infrastructure grant if the province is able to demonstrate, through a proven track record, that it has the capacity to implement the projects • DBE must submit an IPMP • Programme governance will be conducted by the following committees established to ensure that various processes are initiated within the programme: <ul style="list-style-type: none"> ○ national steering committee ○ technical committee ○ project steering committee ○ infrastructure bid specification and evaluation committee ○ infrastructure bid adjudication committee • The provincial planning and monitoring teams (PPMTs) or equivalent in each province should meet monthly to: ensure information flows between the stakeholders; unblock processes; monitor progress; and enhance cooperation • DBE must submit monthly project reports with cash flow to National Treasury 15 days after the end of each month, that show how actual payments and cash flow reconcile with the projected cash flow schedule and explain any deviations from the original projected cash flow • Assets will be transferred to custodians in the respective provinces at final completion. Provincial Education Departments (PEDs) must report in their annual, describe how the schools have been considered in their future maintenance plans • The DBE must agree in writing with the provinces on projects that the DBE will administer on behalf of the province • The department and/or implementing agents must ensure skills transfer takes place as part of the implementation of projects
Allocation criteria	<ul style="list-style-type: none"> • The grant allocation is based on the distribution of inappropriate structures and schools without access to water, sanitation and electricity across provinces • Final allocations will be based on the finalised IPMP of the DBE as approved by the Director-General
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • This is a specific purpose grant to eradicate the basic safety norms backlogs in schools without water, sanitation and electricity, and to replace those schools constructed from inappropriate material including mud schools to contribute towards improved learning and teaching. The grant will be administered by the DBE to achieve maximum impact in the shortest time possible
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Allocated and transferred R2.5 billion of which R2.5 billion (100 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 53 new schools built, 169 schools provided with water, 114 schools provided with sanitation, and 292 schools provided with electricity

School Infrastructure Backlogs Grant	
Projected life	<ul style="list-style-type: none"> • Grant will merge with the Education Infrastructure Grant in 2017/18. In order for the transition to take place, the following documents are needed: <ul style="list-style-type: none"> ○ Submission to National Treasury by DBE of the IPMP ○ The skills transfer and capacity building plans must be submitted to National Treasury before the start of the financial year
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R2.4 billion
Payment schedule	<ul style="list-style-type: none"> • Payments will be made according to professional service provider's verified invoices or advance payments in line with approved memoranda of agreement, implementation programme implementation plans and reviewed monthly cash flow projections from implementing agents
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Undertake planning of the processes, activities, and Accelerated School Infrastructure Delivery Initiative (ASIDI) programme policies required to realise the outputs and identify required resources • Undertake the necessary procurement to secure the services of implementing agents, professional service providers, contractors and secondary procurement objectives to respond to the scope of work identified in the IPMP • Monitor and evaluate performance of the programme support unit, implementing agents, conduct project site inspections at selected sites to verify progress and quality of the works to secure programme outputs and deliverables • Harness the opportunities offered through the programme to contribute towards skills development • The DBE must submit a draft skills transfer and capacity building plan for Schedule 6A allocations to National Treasury by 1 July 2016; a final plan must be submitted to National Treasury by 1 September 2016. The skills transfer and capacity building plan must set out how the capacity of benefiting provinces will be developed so that they can continue to perform the function after the schedule 6A funded project ends. The plan must set measurable targets that will be achieved over the 2016 medium term expenditure framework. The plan must set out how existing and new capacity building initiatives will be used to achieve these targets • The DBE must submit an annual assessment of progress against its skills transfer and capacity building plan to National Treasury two months after the end of the national financial year • DBE will convene and chair meetings of the national steering committee which will: <ul style="list-style-type: none"> ○ provide strategic direction to the ASIDI programme ○ provide general oversight on the programme ○ ensure that the management of the programme brings together those players responsible for different elements of project success and ensure a holistic approach in support of the programme ○ ensure that standards are in line with different prescripts e.g. norms and standards for school infrastructure are adhered to ○ facilitate the establishment of sub-programme management, their membership, reporting modalities and their interaction with the steering committee ○ establish the modalities linking the targeted PEDs with DBE ○ supervise the programme and ensure appropriate coordination and cooperation between different agencies and departments involved ○ facilitate the linkages between national stakeholders such as the National Treasury (infrastructure delivery improvement plan), Construction Industry Development Board, and the national departments of Human Settlements, Water and Sanitation, Energy, and Public Works ○ ensure ASIDI strategies and targets are in line with national goals and targets ○ monitor progress in terms of national goals and targets ○ assist the management of the programme in solving particular issues that may arise and that may require the intervention of the committee ○ report to the Minister of Basic Education, Council for Education Ministers, Heads of Education Departments Committee, and senior management • Develop a sector procurement strategy and procurement strategy for this grant in terms of the practice guide prescribed by the infrastructure delivery management toolkit • The DBE will develop a procurement strategy for this grant that will lead to the quickest possible achievement of the grant objectives which may require the clustering of projects across provincial boundaries • Submit an approved IPMP including projects list to the National Treasury • Ensure compliance with reporting requirements and adherence to projected cash flow schedules • Consolidate and submit quarterly reports to National Treasury and National Council of Provinces within 45 days after the end of each quarter • Conduct site visits to selected projects to assess performance • Create the necessary organisational structures and build capacity within the department to oversee and monitor the implementation of the grant • The DBE must ensure that the Heads of Education Departments Committee meets at least once a month and is provided with sufficient detailed reports to assess project implementation and projected cash flow schedules reconciled at the end of the month preceding the monthly meeting • Provide an operations and maintenance manual to the PEDs

School Infrastructure Backlogs Grant	
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Provide the list of schools to be included in the ASIDI programme • Ensure that the list of schools identified includes all the schools in their entirety that were not constructed of appropriate materials in their entirety • Ensure that the list of schools identified includes all the schools that never had basic sanitation, water and electricity • Ensure that, where schools are identified for rationalisation and mergers, DBE is made aware on time, in writing, and that all necessary supporting documents are provided • Establish PPMTs that will provide support to the DBE when implementing projects funded by this grant • Convene the PPMTs and report to the national steering committee • Generate a maintenance plan from the provided operations and maintenance manual
Process for approval of the 2017/18 infrastructure programme management plan	<ul style="list-style-type: none"> • Not applicable

COOPERATIVE GOVERNANCE GRANT

Provincial Disaster Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 7A
Strategic goal	<ul style="list-style-type: none"> To enable a timely response to immediate needs after a disaster has occurred
Grant purpose	<ul style="list-style-type: none"> To provide for the immediate release of funds for disaster response
Outcome statements	<ul style="list-style-type: none"> Immediate consequences of disasters are mitigated
Outputs	<ul style="list-style-type: none"> Emergency repair of critical infrastructure Emergency provision of goods and services
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 12: An efficient, effective and development-oriented public service
Details contained in the business plan	<ul style="list-style-type: none"> Applications for funding from this grant use the National Disaster Management Centre (NDMC) disaster grant guideline which includes the following: <ul style="list-style-type: none"> copy of the classification letter in terms of the Disaster Management Act copy of declaration of disaster in terms of the Disaster Management Act number of people affected and the extent of damages and losses sectors affected total funds required for disaster response resources (both financial and in-kind) allocated by the province to respond and mitigate the effects of the disaster resources (both financial and in-kind) committed by other role players, including municipalities, national departments and non-government organisations funding contribution request from Provincial Disaster Grant costed project and implementation plan, including a consolidated projects cash flow as an annexure, detail, over a three month period, to start upon receipts of funds, on how the funds will be spent An initial application for a funding contribution from the Provincial Disaster Grant may be based on the initial disaster assessment and verification (draft versions of the supporting documentation required above may be accepted for the initial application). The further final application/s must be based on the final disaster assessment and verification
Conditions	<ul style="list-style-type: none"> A copy of the classification letter and declaration of disaster in terms of the Disaster Management Act must be submitted to the NDMC This grant may only be used to fund the following expenditure as per written request for funding from the Provincial Disaster Management Centres (PDMCs): <ul style="list-style-type: none"> temporary structures and/or shelters that can be fully assembled within three months, which may be required to ensure continued basic services as a result of damage caused by a declared disaster to critical infrastructure that provinces are responsible for mobile classrooms or temporary structures during a declared disaster in the event that the Department of Basic Education is unable to provide these Large scale humanitarian and other relief required that the national sector departments are not responsible for providing or are unable to provide. Proof must be obtained from the relevant department Provision of temporary access roads and bridges in the event the relevant sector is unable to provide the services. Proof must be presented by the relevant sector The relevant provincial treasury must authorise expenditure on this grant through an adjustments budget if the expenditure occurs prior to the tabling of the province's adjustment budget or through a finance bill following the tabling of the annual report of the province for 2015/16 Funds from this grant may be utilised to reimburse provinces for expenditure incurred which could not be accommodated within the province's own budget. In case provinces require reimbursement of funds spent, provinces are to consult NDMC for approval prior to spending the funds. Proof on expenditure in the form of invoices must be availed to PDMCs and NDMC in case reimbursement is required. Funds from this grant must be utilised within three calendar months following the date of the transfer of the funds Emergency procurement system provided for in the National Treasury Regulation should be invoked to ensure immediate assistance to the affected area
Allocation criteria	<ul style="list-style-type: none"> The grant is allocated according to declared disasters and reports from assessments conducted by NDMC, PDMCs and affected sectors assessed for immediate disaster relief needs. Funding may however be released in tranches, with the first tranche based on an initial assessment and verification of the immediate disaster relief needs
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> This grant caters for response and relief from unforeseen and unavoidable disasters
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> Of R197 million allocated, R90 million (46 per cent) was transferred by the end of the national financial year to the following sectors: <ul style="list-style-type: none"> R35.7 million to Mpumalanga Department of Public Works, Roads and Transport R14.7 million to Mpumalanga Department of Agriculture, Rural Development and Land Administration R560 000 to Limpopo Department of Cooperative Governance, Human Settlements and Traditional Affairs

Provincial Disaster Grant	
	<ul style="list-style-type: none"> o R8.9 million to Limpopo Department of Public Works, Roads and Infrastructure o R15.7 million to Free State Department of Agriculture and Rural Development o R10.2 million to the KwaZulu-Natal Department of Agriculture, Environmental Affairs and Rural Development
	<p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • Grants for immediate relief from disasters included transfers to the following sectors: <ul style="list-style-type: none"> o Mpumalanga Department of Transport to provide access roads and temporary bridges after flooding o Mpumalanga Department of Agriculture, Rural Development and Administration to repair agricultural related infrastructure o Limpopo Department of Human Settlements to provide emergency shelter o Department of Roads and Transport to provide access roads after flooding o Free State Department of Agriculture and Rural Development to provide relief to farmers who were affected by veld fire o KwaZulu-Natal Department of Agriculture and Environmental Affairs to provide relief to farmers who were affected by veld fire
Projected life	<ul style="list-style-type: none"> • This grant is expected to continue over the 2016 medium term expenditure framework, but will be subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R112 million; 2017/18: R123 million; and 2018/19: R131 million
Payment schedule	<ul style="list-style-type: none"> • Transfers are made subject to approval by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the National Disaster Management Centre:</p> <ul style="list-style-type: none"> • Advise PDMCs and relevant national sector departments of the existence of the grant and application process for grant funding • Circulate an updated guideline on the items that qualify for funding through this grant by end June 2016. This guideline must be consistent with the disaster response funding request template agreed to with the National Treasury • Establish procedures for funding items already purchased by provinces • Conduct a preliminary cost verification and submit an initial request to the National Treasury within 14 days of receiving a written funding request or a submission from the PDMC • Conduct full assessments of disaster impacts, within 35 days of receipt of a written funding request, to verify the final funding application. Assessments are done with affected provinces and should follow requirements of the Disaster Management Act • Confirm support to be provided by national sector departments to ensure no duplication of support • Seek approval from National Treasury for the final disbursement of funds to provincial sector departments within 35 days of receipt of the written final funding request and submission of the preliminary report from the PDMC • Provide written advice on the timing of disbursements to the relevant PDMC and provincial treasury, and transfer these funds to provinces within five days of drawing the funds from the National Revenue Fund • Notify the relevant PDMC and provincial treasury of a transfer at least one day before transfer. Funds must be transferred no later than five days after notification • Build relationships and establish the necessary communication channels with relevant national and provincial departments to ensure the country has a coordinated approach to disaster response • Provide National Treasury with written notification of the transfer within 14 days of a transfer of the grant • Submit financial and non-financial reports to national treasury within 20 days of the end of each month • Provide a performance report, within 45 days of the end of the quarter in which the funds were spent, to National Treasury using the disaster allocation monitoring template agreed to with the National Treasury <p>Responsibilities of Provincial Disaster Management Centres</p> <ul style="list-style-type: none"> • Advise provincial sector departments and municipalities of the existence of the grant, including funding application processes • Together with the affected provincial departments, conduct initial assessments of disaster impacts to verify the applications for initial funding within 14 days following the occurrence of the incident • Conduct assessments of disaster impacts together with NDMC and the affected provincial departments, to verify final applications for funding, within 35 days of the incident while adhering to the requirements of the Disaster Management Act • Submit requests for disaster funding, monitor the projects and provide reports to the NDMC and Provincial Treasury • Provide financial and non-financial reports to NDMC within 15 days of the end of each month • Provide a performance report which includes evidence on progress implementation of the projects to the NDMC within 30 days of the end of the quarter in which funds are spent <p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Provide support and guidance to provincial sector departments and NDMC regarding line function related matters in assessments and costing verifications • Provide support and guidance to provincial sector departments and NDMC in the preparation of funding requests • Provide support and guidance to provincial sector departments in the preparation of reports and ensure compliance to the guidelines • Monitor and evaluate implementation by provincial sector departments

Provincial Disaster Grant	
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Cooperate with the NDMC, PDMC and sector departments to conduct damage assessment and cost verification • Submit initial request for funding to the PDMC within 14 days following the declaration of a disaster • Consult with the relevant national sector departments on funding requests before submission to the PDMC • Notify provincial treasury of all submitted requests for funding • Initiate requests for disaster funding and monitor projects • Ensure sectors follow emergency procurement processes when spending the grant funds • Provide a financial and non-financial report to the PDMC and relevant national sector within 15 days of the end of each month. Include evidence in the form of invoices and pictures of the department projects as annexures • Provide a performance report which includes evidence, and progress on implementation of the projects, to the PDMC and relevant National Sector within 30 days of the end of the quarter in which funds are spent
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> • Not applicable

HEALTH GRANTS

Comprehensive HIV, AIDS and TB Grant	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • The implementation of the national strategic plan on HIV, sexually transmitted infections and tuberculosis (TB) (2012-2016)
Grant purpose	<ul style="list-style-type: none"> • To enable the health sector to develop and implement an effective response to HIV and AIDS and TB • To support the national Department of Health (DoH) with the President's Emergency Plan for AIDS Relief (PEPFAR) transition process
Outcome statements	<ul style="list-style-type: none"> • Improved coordination and collaboration in the implementation of comprehensive HIV, Aids and TB grant between national and provincial government • Improved quality of HIV and AIDS and TB services including access to: <ul style="list-style-type: none"> ○ HIV Counseling and Testing (HCT) ○ TB case finding, screening and diagnosis ○ Antiretroviral Treatment (ART) ○ treatment for TB, including drug-resistant TB ○ adherence monitoring and support ○ prevention of TB ○ prevention of mother-to-child-transmission (MTCT) ○ medical male circumcision • Improved health workers' capacity at the three levels of care • Reduce HIV and TB incidence and prevalence • Reduced incidence of multi-drug-resistant (MDR) and extensively drug-resistant (XDR) TB
Outputs	<ul style="list-style-type: none"> • Number of new patients that started on ART • Number of patients on ART remaining in care • Number of male condoms distributed • Number of female condoms distributed • Percentage of exposed infants HIV positive at 10 weeks PCR test • Number of clients tested for HIV (including antenatal) • Number of Medical Male Circumcision performed • Percentage of new patients on ART initiated on isoniazid preventative therapy (IPT) • Number of patients on bedaquiline
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Inputs • Key activities
Conditions	<ul style="list-style-type: none"> • The following priority areas must be supported through the grant: <ul style="list-style-type: none"> ○ ART related interventions ○ home and community-based care ○ condom distribution and high transmission area interventions ○ post exposure prophylaxis ○ prevention of MTCT ○ programme management strengthening ○ regional training centres ○ HCT ○ medical male circumcision ○ TB screening, prevention, and treatment
Allocation criteria	<ul style="list-style-type: none"> • Allocations are based on antenatal HIV prevalence, estimated share of AIDS cases, populations post-demarcation
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • HIV and AIDS is a key national priority and requires a coordinated response for the country as a whole and this is most effectively achieved through a conditional grant
Past performance	<p>2014/15 audited financial performance</p> <ul style="list-style-type: none"> • Allocated and transferred R10.5 billion to provinces of which R10.5 billion (99.8 per cent) was spent by provinces by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 8 104 lay counsellors trained and providing services at service points • 100 per cent of facilities provided HCT services • 10 million people received counselling and 98 per cent were tested for HIV, including pregnant women • 4 million beneficiaries had access to home and community-based care services

Comprehensive HIV, AIDS and TB Grant	
	<ul style="list-style-type: none"> • 3 327 health facilities offered ART services • 3 million patients were on ART • 996 high transmission intervention sites in operation • 99.9 per cent of PHC facilities offer MTCT services • 5.4 million medical male circumcision performed • 723.8 million male condoms distributed • 21.1 million female condoms distributed
Projected life	<ul style="list-style-type: none"> • On-going in line with national strategic plan on HIV and AIDS
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R15.3 billion; 2017/18: R17.7 billion; and 2018/19: R20 billion
Payment schedule	<ul style="list-style-type: none"> • Monthly instalments based on the payment schedule approved by the National Treasury
Responsibilities of the transferring national officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> • Visit provinces twice a year to monitor implementation and provide support • Meet with National Treasury to review grant performance on a quarterly basis
	Responsibilities of the provincial departments <ul style="list-style-type: none"> • Quarterly performance output reports to be submitted within 30 days following the reporting period using standard formats as determined by the DoH. Submit an electronic version to be followed by a hard copy signed by the receiving officer • Clearly indicate measurable objectives and performance targets as agreed with the DoH in provincial departmental business plans for 2016/17 and over the medium term expenditure framework
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Submission of draft business plans by 31 October 2016 • Submission of final business plans to DoH by 28 February 2017 • Submission of final business plans to National Treasury by 31 March 2017

Health Facility Revitalisation Grant	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To enable provinces to plan, manage, maintain, and transform health infrastructure in line with national and provincial policy objectives
Grant purpose	<ul style="list-style-type: none"> • To help accelerate construction, maintenance, upgrading and rehabilitation of new and existing infrastructure in health including, health technology, organisational development systems and quality assurance • To enhance capacity to deliver health infrastructure
Outcome statements	<ul style="list-style-type: none"> • Improved service delivery by provincial departments as a result of an enhanced and better quality of health services • Improved quality and well maintained health infrastructure (backlog and preventative maintenance) • Improved rates of employment and skills development in the delivery of infrastructure • Value for money and cost effective design of facilities
Outputs	<ul style="list-style-type: none"> • Number of health facilities, planned, designed, constructed, equipped, operationalised and maintained
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • The business plan for this grant will be replaced by the Infrastructure Programme Management Plan (IPMP) over the medium term expenditure framework (MTEF), the User-Asset Management Plan (U-AMP) for at least 10 years, project proposals, concept reports and annual implementation plan (AIP)
Conditions	<ul style="list-style-type: none"> • With the exception of funding for costs incurred on a business case and project brief development, all new or replacement hospitals, nursing colleges and nursing schools projects commencing construction in 2016/17 must have business cases and project execution plans (costed project master plans) approved before funds can be released for such projects • Annual Implementation Plans signed-off by the Head of Department with the organisational structure of the infrastructure unit to the national Department of Health (DoH) for approval by 4 March 2016 • The 2016/17 MTEF project list as captured in the AIP for both current and capital should cover: <ul style="list-style-type: none"> ○ maintenance, rehabilitation, refurbishment, and repair of infrastructure ○ new, replacement, upgrades and additions of infrastructure • Provinces may utilise a portion of the grant funding for the appointment of public servants to their infrastructure units in line with their human resource capacitation circular published by the National Treasury • In instances where the capacity of the Provincial Public Works Department is deemed insufficient, the Provincial Department of Health (PDoH) will be entitled to engage alternative implementing agents, provided that supply chain management processes as prescribed in the Treasury Regulations for appointment of service providers are followed • PDoH must enter into a service delivery agreements with their implementing agents • Appropriately qualified built environment representatives from the provincial departments' infrastructure units must assist in the procurement of professional service providers and contractors by its implementing agent, through representation as a member on the specification and evaluation committees of the implementing agent • Projects on planning must follow DoH peer review stages • Completion of new infrastructure projects require that maintenance and operation plans be submitted to PDoH by implementing agents
Allocation criteria	<ul style="list-style-type: none"> • Allocations for 2016/17 are project based • Allocations also include the incentive based allocation as described in Annexure W1 to the 2016 Division of Revenue Bill
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Funding infrastructure through a conditional grant enables the national department to ensure the delivery and maintenance of health infrastructure in a coordinated and efficient manner and ensure consistency with national norms, standards and guidelines for health facilities
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Of the total allocation of R5.5 billion, provinces spent R5.5 billion (100 per cent) by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 638 on planning stage to the value of R899 million • 577 on different stages of construction to the value of R5.8 billion • 463 reached completion to the value of R851 million • 1 terminated • 9 placed on hold
Projected life	<ul style="list-style-type: none"> • Health is a key government priority and given the need to continually maintain health infrastructure to ensure that norms and standards are maintained, the grant will remain in place until at least the end of the 2017/18 MTEF
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R5.3 billion; 2017/18: R5.8 billion; and 2018/19: R6 billion
Payment schedule	<ul style="list-style-type: none"> • Transfers are made on quarterly basis in accordance with a payment schedule approved by National Treasury

Health Facility Revitalisation Grant	
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Coordinate and facilitate site visits • Attend quarterly provincial infrastructure progress review meetings with National Treasury • Provide guidance to provinces on planning, prioritisation and evaluating of U-AMP, IPMP, AIP, project proposals and concept reports that provinces develop and submit • Peer review and feedback processes should be undertaken timeously • Issue guidelines on the capacitation process of infrastructure units, as well as the conditions attached to the utilisation of funds • DoH and National Treasury must jointly evaluate progress with capacitation of provincial infrastructure units and provide feedback to all provinces <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Provincial departments must establish committees with the relevant implementing agents, and hold monthly meetings that are minuted to review progress on the AIP • Provinces must submit to DoH monthly and quarterly reports for all projects funded in the 2016/17 financial year in this grant through the PMIS and infrastructure reporting model (the two reporting systems would be integrated by 2016/17) • PDoH must align infrastructure plans (U-AMP and IPMP) with their respective Strategic Plans and Annual Performance Plans
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • The process for approval for the 2017 MTEF will be in line with the performance based incentive approach guidelines published by National Treasury • PDoHs must submit 2017/18 IPMP signed-off by the Head of Department with the organisational structure of the infrastructure unit to the DoH by 7 March 2017 • Submission of IPMP for 2017/18 by DoH to National Treasury by 31 March 2017

Health Professions Training and Development Grant	
Transferring department	<ul style="list-style-type: none"> Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> Schedule 4A
Strategic goal	<ul style="list-style-type: none"> To contribute to the implementation of the national human resource plan for health through the clinical teaching and training of health professionals in designated public health facilities in South Africa
Grant purpose	<ul style="list-style-type: none"> Support provinces to fund service costs associated with clinical teaching and training of health science trainees on the public service platform
Outcome statements	<ul style="list-style-type: none"> Progressive realisation of the national human resource plan for health Clinical teaching and training capacity established in designated developmental provinces (Northern Cape, North West, Limpopo, Mpumalanga and Eastern Cape)
Outputs	<ul style="list-style-type: none"> Number of post graduate (nursing and allied) health science trainees funded on the public health service delivery platform Number of registrars funded on the public health service delivery platform Number of specialists, associated with training, funded on the public health service delivery platform Number of postgraduate specialists (sub/super-speciality) in training Number of medical officers undertaking postgraduate diplomas Number of clinical supervisors associated with clinical training funded on the public health service delivery platform Number of resource centre staff funded on the public health service delivery platform (Eastern Cape only) Number of facilities providing an outreach and training platform Number of grant administration staff
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> Cash flow projections Number of specialists, postgraduate specialists, registrars, postgraduate medical officers, postgraduates (nursing and allied health), and clinical supervisors funded from the grant Names of facilities providing an outreach and training platform Number of grant administration staff Number of resource centre staff
Conditions	<ul style="list-style-type: none"> Submission of an approved 2016/17 business plan in the prescribed format signed by the provincial Head of Department or receiving officer by 26 February 2016, and the national Department of Health (DoH) transferring officer by 24 March 2016 Hiring of personnel for the administration of this grant may only take place after the approval of the national transferring officer, at a cost not exceeding 0.5 per cent of the total of the grant
Allocation criteria	<ul style="list-style-type: none"> Based on historical allocations and spending patterns
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> Provinces give effect to the national human resource strategy by training health science trainees on the public health service platform National coordination needed for health science trainees The number and type of students in each province does not necessarily align with the proportions of the provincial equitable share
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> Allocated and transferred R2.3 billion to provinces of which R2.3 billion (100 per cent) was spent by the end of the financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Provincial achievements in training and development by discipline: <ul style="list-style-type: none"> 24 886 medical students and professional nursing students 2 378 registrars 2 511 specialists 41 registrars/specialists involved in outreach services
Projected life	<ul style="list-style-type: none"> The grant will remain as long as health science trainees are trained on the public service health platform
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R2.5 billion; 2017/18: R2.6 billion; and 2018/19: R2.8 billion
Payment schedule	<ul style="list-style-type: none"> Monthly instalments as per approved payment schedule
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> To convene at least one annual meeting of national, provincial and facility programme managers Monitor expenditure by economic classification Monitor the number of registrars, specialists, postgraduates (nursing and allied health), clinical supervisors, postgraduate specialists, postgraduate medical officers, outreach and training platforms, and resource centre staff (Eastern Cape only) Conduct a minimum of two site visits to provinces and site visits to selected facilities on a rotational basis

Health Professions Training and Development Grant	
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Provinces must gazette allocations to individual facilities/clusters as per the number of agreed upon business plans per province and be facility/cluster specific, by 29 April 2016 • Provinces must maintain a separate budget for each benefiting facility/cluster • Each benefiting facility/cluster budget letter must be supplied by the receiving officer to the facility head by 29 April 2016 • Provinces to monitor the following categories of health science trainees and clinical supervisors on the public health service delivery platform by category: <ul style="list-style-type: none"> ○ registrars ○ post graduate health science trainees (nursing and allied) ○ specialists ○ postgraduate specialists ○ postgraduate diploma medical officers ○ clinical supervisors ○ resource centre staff ○ grant management (administrative staff) ○ outreach and training platform • Submission of updated specialist details funded by the grant at facility level by 30 November 2016 • Report quarterly on the approved expenditure areas, as follows: <ul style="list-style-type: none"> ○ cost of compensation of employees by group of staff category ○ cost of goods and services ○ cost of capital ○ cost of households (where applicable) • Conduct a minimum of one site visit to each budgeted facility/complex per quarter and submit minutes/reports of these meetings to DoH at the end of each quarter
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Draft business plans for 2017/18 must be submitted in the approved format by 31 October 2016 • Submission of an approved business plans, in the prescribed format, signed by each receiving officer by 28 February 2017, and the transferring officer by 24 March 2017

National Health Insurance Grant	
Transferring department	<ul style="list-style-type: none"> Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> Schedule 5A
Strategic goal	<ul style="list-style-type: none"> To improve and strengthen the performance of the district health management teams through testing service delivery and providing innovations in readiness for the phased implementation of the National Health Insurance (NHI)
Grant purpose	<ul style="list-style-type: none"> Test innovations in health service delivery and provision for implementing NHI, allowing for each district to interpret and design innovations relevant to its specific context, in line with the vision for realising universal health coverage for all To undertake health system strengthening activities in identified focus and priority areas To assess the effectiveness of interventions/activities undertaken in the districts funded through this grant
Outcome statements	<ul style="list-style-type: none"> Strengthened district capacity for service delivery, planning, monitoring and evaluation in selected districts Support the ideal clinics realisation with a focus on national core standards Strengthened coordination and integration of primary health care (PHC) teams within pilot districts Strengthened supply chain management (SCM) systems and processes improved through innovative interventions at the district level
Outputs	<ul style="list-style-type: none"> Selected PHC teams equipped to provide relevant health services through integrated outreach programmes Selected PHC facilities supported to achieve national core standards as part of the Ideal Clinics realisation project Monitoring and evaluation including impact assessments of the effectiveness of selected PHC teams undertaken SCM processes strengthened and streamlined through innovative interventions in pilot districts Compliance with monitoring and evaluation of targets in operational plans Impact assessment of all pilot interventions undertaken
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 2: A long and healthy life for all South Africans
Details contained in the Business Plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Key activities Monitoring and evaluation plan Cash flow requirements
Conditions	<ul style="list-style-type: none"> For the purpose of district interventions, funding from this grant to provinces will be made available after the national Department of Health (DoH) approves the business plans for each of the selected pilot districts The eleven pilot districts selected for 2016/17 are: <ul style="list-style-type: none"> Amajuba (KwaZulu-Natal) OR Tambo (Eastern Cape) Thabo Mofutsanyana (Free State) Tshwane (Gauteng) uMzinyathi (KwaZulu Natal) uMgungundlovu (KwaZulu- Natal) Vhembe (Limpopo) Gert Sibande (Mpumalanga) Pixley ka Seme (Northern Cape) Dr Kenneth Kaunda (North West) Eden (Western Cape) The selected district must comply with the stipulated provisions relating to monitoring and evaluation of progress in relation to agreed performance indicators as outlined in approved business plans The selected districts must allocate funding towards monitoring, evaluation and grant administration activities and this must not exceed a maximum of three per cent of the annual total grant allocation Municipal ward-based outreach teams to be established in line with national guidelines and health policy priorities The grant cannot be used to employ additional human resources capacity
Allocation criteria	<ul style="list-style-type: none"> Each district is allocated the same amount with the exception of KwaZulu-Natal where allocation for two pilot sites has been reallocated to three pilot sites
Reason not incorporated in equitable share	<ul style="list-style-type: none"> The implementation of NHI will be undertaken through a phased approach over a 14 year period. A conditional grant enables effective roll out of the NHI pilots and allows DoH direct oversight over the pilot sites and the activities thereof
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> Allocated and transferred R77 million to provinces

National Health Insurance Grant	
	<ul style="list-style-type: none"> Of the total available, R67 million (83 per cent) was spent
	<p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Existing ward-based PHC outreach teams equipped to collect relevant data from households Monitoring and evaluation including impact assessment of the effectiveness of existing ward-based PHC outreach teams undertaken Monitoring and evaluation of direct delivery of chronic medication to patients undertaken to support efficient and effective provision of health services within the district Lean management principles for supply chain management in relation to non-negotiables implemented District capacity for monitoring and evaluation, including research/impact assessment reports of selected interventions, undertaken
Projected life	<ul style="list-style-type: none"> Grant will come to an end at the end of the 2016/17 financial year
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R85 million
Payment schedule	<ul style="list-style-type: none"> Monthly instalments as per approved payment schedule
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> DoH in consultation with the provinces, will ensure that the approved business plans compliment the activities, focus areas, targets and outcomes outlined in the indirect allocation grant framework Advise provinces on which interventions will be implemented in each of the selected pilot districts Monitor and evaluate implementation of pilot projects including visits to provinces and selected districts Commission independent external expert evaluation of the progress and effectiveness of interventions tested in the pilot districts Facilitate a partnership with the provinces in the selection of the pilot district and monitoring and evaluation, and impact assessments of interventions in order to ensure their experiences inform further NHI design work Include in the annual performance evaluation of the grant the lessons learnt including challenges experienced and how these lessons will inform the design of future pilot interventions Complete and submit the phase out report
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Ensure effective and ongoing monitoring and evaluation of all pilot interventions, including impact assessments where necessary Submit detailed operational plans to the DoH within 30 days after the start of the financial year
Process for approval of 2017/18 service level agreement	<ul style="list-style-type: none"> Provinces to submit first draft business plans for selected pilot sites by 31 October 2016 Provinces to submit final business plans for selected pilot sites by 28 February 2017 DoH submit final business plans to National Treasury by 31 March 2017

National Health Insurance Indirect Grant	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • This grant has five components which are specific to their respective strategic goals: <ul style="list-style-type: none"> ○ Health Professionals Contracting; ○ Health Facility Revitalisation; ○ Human Papillomavirus (HPV) vaccination; ○ Ideal Clinic; and ○ Information Systems (implemented from 2017/18) • To accelerate health sector improvement by strengthening the role of the national Department of Health (DoH) in accelerating delivery of infrastructure particularly in order to assist provinces with weaker capacity and performance in the preparatory phase of National Health Insurance (NHI) • To reduce the incidence of cancer of the cervix through the introduction of the HPV vaccination to grade four school girls
Grant purpose	<ul style="list-style-type: none"> • To address capacity constraints in the provinces and to create an alternate track to speed up infrastructure delivery • To develop and pilot innovative models for purchasing services from health practitioners and other service providers in NHI pilot districts • To improve spending, performance, monitoring and evaluation on NHI pilots and infrastructure projects • To fund the introduction of the HPV vaccination programme in schools • To enable the health sector to address deficiencies in the primary health care facilities systematically to yield big fast results • To fund development and roll-out of new health information systems in preparation for NHI
Outcome statements	<ul style="list-style-type: none"> • As specified in the five component frameworks • Build the capacity of provinces, benefitting from an indirect grant (Schedule 6A) allocation to carry out these functions themselves in future
Outputs	<ul style="list-style-type: none"> • As specified in the five component frameworks
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • As specified in the five components' frameworks
Conditions	<ul style="list-style-type: none"> • As specified in the five components' frameworks • The department and/or implementing agents must ensure skills transfer takes place as part of the implementation of projects
Allocation criteria	<ul style="list-style-type: none"> • As specified in the five component frameworks
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • The provinces have not demonstrated capacity to deliver on these five components • As specified in the five components' frameworks
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • As specified in the five components' frameworks <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • As specified in the five components' frameworks
Projected life	<ul style="list-style-type: none"> • It is likely this will be a temporary grant, with the following five components: <ul style="list-style-type: none"> ○ the NHI component which will ultimately be phased into the NHI fund once established ○ the Health Facility Revitalisation component which will be progressively phased back to the provinces as provincial capacity improves ○ the HPV vaccination component which will run for two years ○ The ideal clinic component will continue over the 2016 medium term expenditure framework (MTEF), subject to review and policy development ○ The information systems component will continue over the 2016 MTEF, subject to review and policy development
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R1.3 billion; 2017/18: R1.7 billion; and 2018/19: R1.8 billion <ul style="list-style-type: none"> ○ Health Professionals Contracting: 2016/17: R258 million; 2017/18: R318 million; and 2018/19: R337 million ○ Health Facility Revitalisation: 2016/17: R793 million; 2017/18: R949 million; and 2018/19: R988 million ○ HPV: 2016/17: R200 million; and 2017/18: R200 million ○ Ideal clinics: 2016/17: R10 million; 2017/18: R30 million; and 2018/19: R50 million ○ Information Systems: 2016/17: No allocation; 2017/18: R166 million; and 2018/19: R390 million
Payment schedule	<ul style="list-style-type: none"> • As specified in the five components' frameworks
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • As specified in the five components' frameworks • The department must submit a draft skills transfer and capacity building plan for Schedule 6A allocations to National Treasury by 1 July 2016. A final plan must be submitted to National Treasury by 1 September 2016. The skills transfer and capacity building plan must set out how the capacity of benefiting provinces will be developed so that they can continue to perform the function after the Schedule 6A funded project ends. The plan must set measurable targets that will be achieved over the 2016 MTEF. The plan must set out how existing and new capacity building initiatives will be used to achieve these targets • The department must submit an annual assessment of progress against its skills transfer and capacity building plan to National Treasury two months after the end of the national financial year

National Health Insurance Indirect Grant	
	Responsibilities of the provincial department <ul style="list-style-type: none">• As specified in the five components' frameworks
Process for approval of 2017/18 business plans	<ul style="list-style-type: none">• As specified in the five components' frameworks• Skills transfer and capacity building plans for Schedule 6A must be based on consultations and an assessment of the capacity needs in each province/municipality. Plans must be submitted to National Treasury before the start of the financial year

National Health Insurance Indirect Grant: Health Facility Revitalisation Component	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • To ensure that appropriate health infrastructure is in line with national and provincial policy objectives
Grant purpose	<ul style="list-style-type: none"> • To create an alternative track to improve spending, performance, and monitoring and evaluation on infrastructure in National Health Insurance (NHI) pilot districts • To enhance capacity and capability to deliver infrastructure for NHI pilots
Outcome statements	<ul style="list-style-type: none"> • Appropriate procurement of service providers for infrastructure delivery in NHI pilots • Improved spending, performance, monitoring and evaluation of infrastructure projects in NHI pilots • Improved employment and skills development in the delivery of infrastructure in NHI pilots • Value for money and cost effectively designed facilities in NHI pilots
Outputs	<ul style="list-style-type: none"> • Number and value of health infrastructure projects, initiated, planned, implemented and closed-out NHI pilots • Proportion of infrastructure projects running on schedule according to projected milestones and budgeted amount
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • The Infrastructure Programme Management Plan (IPMP) will be submitted on 27 May 2016 and will include the following: <ul style="list-style-type: none"> ○ description of how the grant will be managed ○ costed project lists for 2016/17, 2017/18 and 2018/19 with annual cash flow projections ○ projected milestones ○ quarterly cash flow projections by project for 2016/17 ○ procurement strategies and plans in line with standard for infrastructure procurement and delivery management ○ human resource plan ○ monitoring and evaluation system
Conditions:	<ul style="list-style-type: none"> • The national Department of Health (DoH) must, in consultation with the provinces, develop and submit to the National Treasury by 31 May 2016, an intergovernmental protocol agreement covering the duration of the grant component and outlining how the grant will operate and the responsibility and functions of each sphere • Prior to submitting the IPMP, each provincial department must have signed-off the list of projects funded from the grant. Provinces must also confirm that operational budgets (i.e. personnel, equipment, etc.) and maintenance budgets are affordable and will be made available for all new and replaced assets constructed or acquired • With the exception of funding for costs incurred on a business case and project brief development, all projects exceeding R20 million must have business cases in line with National Treasury capital planning guidelines and project execution plans (costed project master plans) approved before funds can be released for such projects. Approval must be given by the provincial Department of Health and the National Treasury where the facility is located • The grant component must only be spent on projects included in the business plan and project lists signed by provinces. Projects can only be added to the business plan as part of the adjustment budget process • In instances where the capacity of the DoH and the provincial department is deemed insufficient, they are entitled to engage alternative implementing agents, provided that supply chain management processes as prescribed in the Treasury Regulations for appointment of service providers are followed. In those cases service level agreements between DoH and the implementing agent must be in place • Appropriately qualified built environment representatives from the national department must assist in the procurement of professional service providers and contractors by its implementing agent • The provincial departments should report the progress of the projects under this grant in their annual reports and describe how these facilities have been considered in their future planning and budgeting • DoH must maintain an up-to-date database (project management information system), infrastructure reporting model with all contracts that are fully or partially funded by this grant • DoH must convene quarterly progress review committee meetings with all project managers and implementing agents for monitoring and oversight of the performance of all funded projects. National Treasury to be invited to these meetings • All completed projects must have a close-out report with a documented maintenance plan • National Treasury may request copies of any documentation and may withhold grant funding if there is non-compliance with any of the conditions above
Allocation criteria	<ul style="list-style-type: none"> • Allocations for 2016/17 are project and performance based
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Funding infrastructure through an indirect conditional grant enables the national department to ensure the delivery and maintenance of health infrastructure in a coordinated and efficient manner that is consistent with national norms, standards and guidelines for health facilities
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • The grant was allocated R980 million, which was adjusted to R605 million. Of the adjusted allocation, R292 million (48.3 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • By March 2015 there were 240 reported projects funded from the National Health Grant across the country for the 2014/15 financial year; 142 were in construction, 22 reached practical and work completion

National Health Insurance Indirect Grant: Health Facility Revitalisation Component	
Projected life	<ul style="list-style-type: none"> Health is a key government priority and given the need to continually maintain health infrastructure and ensure that norms and standards are maintained, the grant will continue over the 2016 medium term expenditure framework, subject to a review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R793 million; 2017/18: R949 million; and 2018/19: R988 million
Payment schedule	<ul style="list-style-type: none"> Monthly payments made according to verified and approved invoices from the services providers
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Build and demonstrate the capacity necessary to manage this grant Ensure alignment between the IPMP and the annual performance plans Undertake the infrastructure development cycle to the extent agreed with the provinces in the implementation protocol agreements For all projects under this grant appoint project level supervision via professional teams for level two and level four supervision on single or a cluster of projects depending on the nature and complexity of projects Convene progress review committees with appropriate reporting Submit all quarterly and annual progress and performance reports Meet with National Treasury to review grant performance on a quarterly basis Collaboration and coordination with provincial departments for the full development cycle of infrastructure development in respect of projects funded by this grant DoH must submit quarterly non-financial infrastructure reports to National Treasury within 45 days after the end of each quarter. These reports must contain: <ul style="list-style-type: none"> expenditure per project against the cash flow projections provided in the business plan explanation of major deviations from the cash flow projections physical progress per project against the milestones projected in the business plan explanation of major deviations from the projected milestones any other challenges experienced and interventions to address these challenges status report on the capacity of the DoH infrastructure unit to manage the grant component
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Provinces will include completed projects in their asset register Provinces should undertake life cycle maintenance as well as the full operation, staffing and management of the projects in facilities completed under this grant by the DoH All immovable asset management and maintenance responsibilities of the completed projects under this grant as prescribed by the Government Immovable Asset Management Act of 2007 rests with the provinces
Process for approval of the 2017/18 annual implementation plans	<ul style="list-style-type: none"> Submission of signed implementation protocol by 31 May 2017 Submission of IPMP to National Treasury by 31 May 2017

National Health Insurance Indirect Grant: Health Professionals Contracting Component	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • To strengthen the public healthcare system in preparation for National Health Insurance (NHI) • To strengthen the design of NHI through the innovative testing of new reforms • To assess the service delivery implications of the proposed NHI reforms
Grant purpose	<ul style="list-style-type: none"> • Assessment of the implications of the NHI reforms on the public sector services • To develop and implement innovative models for purchasing services from health practitioners in the 10 NHI pilot districts • To develop and implement innovative models for the dispensing and distribution of chronic medication in the 10 NHI pilot districts
Outcome statements	<ul style="list-style-type: none"> • Appropriate and innovative models for purchasing services from health practitioners identified and tested • Implement an alternative distribution model for chronic medication • Develop a risk-adjusted capitation model for the reimbursement of primary health care (PHC) facilities
Outputs	<ul style="list-style-type: none"> • Innovative models for the purchasing of health care services, including: <ul style="list-style-type: none"> ○ contracting of health practitioners as defined by need through external service provider organisations ○ establishment of fully constituted and functional district clinical specialist teams linked to the achievement of the millennium development goals (MDGs) ○ strengthening of school health services linked to addressing the learning challenges of learners in identified schools • An alternative chronic medicines dispensing and distribution model implemented • A risk-adjusted capitation model for the reimbursement of PHC facilities developed
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • Business plan for contracting health professionals should contain the following: <ul style="list-style-type: none"> ○ description of how the project will be managed, including roles and responsibilities of national and provincial departments ○ targets for number of health professionals contracted categorised by discipline ○ output indicators for services provided by contracted health professionals ○ monitoring and evaluation plan ○ cash flow projections • Business plan for the chronic medicines dispensing and distribution model should contain the following: <ul style="list-style-type: none"> ○ description of how the project will be managed, including roles and responsibilities of national and provincial departments ○ milestones with projected dates when these will be achieved ○ targets for number of patients enrolled in the model by province and by service provider ○ cash flow projections ○ monitoring and evaluation plan • Business plan for developing a risk-adjusted capitation model should contain the following: <ul style="list-style-type: none"> ○ description of how the project will be managed, including roles and responsibilities of national and provincial departments ○ milestones with projected dates when these will be achieved ○ cash flow projections ○ monitoring and evaluation plan • Service level agreements (SLAs) will include information on the following: <ul style="list-style-type: none"> ○ outcome indicators ○ output indicators ○ key activities and resource schedule ○ monitoring and evaluation plan ○ cash flow requirements for 2016/17
Conditions	<ul style="list-style-type: none"> • Project level administrative expenditure may not exceed three per cent of the total grant funding. No activity that is linked to the responsibility of Department of Health (DoH) but falls outside this scope may be funded through this grant • The grant must be used to achieve the objectives of the following areas: <ul style="list-style-type: none"> ○ development and testing of innovative models for purchasing health care services from health practitioners ○ an alternative chronic care medication dispensing and distribution model ○ development of a risk-adjusted capitation model for reimbursement of PHC facilities • The DoH must put in place an evaluation strategy using independent external experts to evaluate the interventions funded through this grant. An evaluation report on lessons learnt from contracting health professionals and their implications for NHI policy development and implementation must be produced and submitted to National Treasury
Allocation criteria	<ul style="list-style-type: none"> • Health facilities with the greatest need for health practitioners and where health practitioners are willing to work in the facility will be prioritised • The alternative chronic care medication dispensing and distribution model will be implemented across the country in the ten NHI pilot districts, with priority given to previously disadvantaged areas

National Health Insurance Indirect Grant: Health Professionals Contracting Component	
Reason not incorporated in equitable share	<ul style="list-style-type: none"> The importance of central coordination in development of models and the establishment of NHI to inform ongoing NHI designs
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R388 million was allocated of which R82 million (21 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> The data extraction from clinical files within the central hospitals has been undertaken at eight out of 10 central hospitals The initial financial and clinical analysis has been undertaken and the draft case mix analysis report prepared Phase two of the programme work-on developing the base diagnosis related grouper has been started Other data sources from private partners are being sourced for the purpose of triangulation and data validation With regards to health practitioner contracting, 256 doctors were placed at various clinics in the NHI pilot districts
Projected life	<ul style="list-style-type: none"> Subject to policy developments that will be finalised as part of the implementation of NHI
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R258 million; 2017/18: R318 million; and 2018/19: R337 million
Payment schedule	<ul style="list-style-type: none"> Payments will be made according to verified invoices or advance payments in line with approved Programme Implementation Plans from the service providers Monthly instalments which may be altered at the discretion of the National Treasury based on invoices paid
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Convene and chair all meetings of the national technical task team on contracting of health practitioners through implementing innovative models for the purchasing of health care services Establish the necessary organisational structures and build capacity within the DoH to implement, oversee and monitor the execution of all approved projects using the three per cent administrative costs provision Provide the guidance and support for innovative arrangements of engaging public and private sector providers, including methods of contracting (types of contracts and payment mechanisms) Undertake an independent evaluation of the interventions funded through this grant using external experts Manage, monitor and support programme implementation. Prepare and submit a quarterly performance report to the National Treasury. The reports must include: <ul style="list-style-type: none"> expenditure per project against the cash flow projections provided in the business plans explanation of major deviations from the cash flow projections physical progress per project against the milestones and targets projected in the business plan explanation of major deviations from the projected milestones and targets any other challenges experienced and interventions to address these challenges Meet with the National Treasury to review grant performance on a quarterly basis <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> Facilitate the achievement of grant outputs Ensure compliance with all reporting requirements and adherence to the provisions of SLAs
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> DoH to submit first draft SLAs and business plans to National Treasury by 31 October 2016 DoH must submit final SLAs and business plans to National Treasury by 31 March 2017

National Health Insurance Indirect Grant: Human Papillomavirus Vaccine Component	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • To reduce the incidence of cancer of the cervix through the introduction of the Human Papillomavirus (HPV) vaccination to grade four school girls
Grant purpose	<ul style="list-style-type: none"> • To enable the health sector to prevent cervical cancer by making available HPV vaccination for grade four school girls in all public and special schools
Outcome statements	<ul style="list-style-type: none"> • Increased access to HPV vaccines by grade four school girls in all public and special schools
Outputs	<ul style="list-style-type: none"> • 80 per cent of eligible grade four school girls receiving the HPV vaccination • 80 per cent of schools with grade four girls reached by the HPV vaccination team
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Inputs • Key Activities • Risk Management Plans
Conditions	<ul style="list-style-type: none"> • Completion of a Service Level Agreement (SLA) in the format determined by the national Department of Health (DoH) between each provincial department and DoH, signed by each receiving officer and transferring officer by 25 March 2016 and submitted to National Treasury by 31 March 2016 • Ensure provinces include HPV vaccination indicators in provincial annual performance plans • Grant funding must also be used to strengthen capacity in provinces to manage the programme
Allocation criteria	<ul style="list-style-type: none"> • Allocations based on the number of grade four girls and schools with grade four from the education management information system in each province
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • Cervical cancer is a high national priority and requires uniform implementation in order to achieve the minimum coverage of 80 per cent and have the desired impact of significantly reducing incidences of cervical cancer • To develop provincial capacity to assume responsibility of the programme from 2018/19
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • Allocated R200 million DoH, of which R189 million (95 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 92 per cent of grade four school girls received the HPV vaccination • 92.6 per cent of schools with grade four girls were reached by the HPV vaccination team
Projected life	<ul style="list-style-type: none"> • The grant is projected to end in 2017/18 • Funding for this programme will be converted to a direct conditional grant in 2018/19
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R200 million and 2017/18: R200 million
Payment schedule	<ul style="list-style-type: none"> • Payment will be made according to verified invoices or advance payments in line with approved HPV programme implementation plans
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Procure and distribute vaccines and other resources as per the provincial HPV vaccination programme • Monitor and support provincial planning and implementation • Meet with National Treasury to review performance of the grant on a quarterly basis • Strengthen the existing capacity in the child, youth and school health cluster for HPV vaccination coordination within the department • Strengthen the capacity of provinces to deliver the HPV vaccination programme • Initiate a draft transition plan for hand-over to provinces <p>Responsibilities of the provincial department</p> <ul style="list-style-type: none"> • Provincial health departments must provide DoH with full and unrestricted access to all records and data related to the programme • Provinces must submit a HPV vaccination implementation plan and micro plan for each district using standard formats as determined by the DoH • Delegate to a person, the responsibility of managing the HPV vaccination programme • Utilise existing human resource and transport capacity at all relevant levels • Provinces must develop draft implementation plans for taking over this function in 2018/19
Process for completion of 2017/18 service level agreement	<ul style="list-style-type: none"> • Submission of SLAs signed by each receiving officer, and the transferring national officer by 31 March 2017 to National Treasury

National Health Insurance Indirect Grant: Ideal Clinics Component	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 6A
Strategic goal	<ul style="list-style-type: none"> • To improve quality of services at primary health care facilities
Grant purpose	<ul style="list-style-type: none"> • To enable the health sector to address the deficiencies in the primary health care facilities systematically to yield fast results
Outcome statements	<ul style="list-style-type: none"> • Improved quality health services in all primary health care facilities
Outputs	<ul style="list-style-type: none"> • 740 primary health care facilities will be improved through: <ul style="list-style-type: none"> ○ completion, design layout printing and distribution of the Ideal Clinics manual ○ peer reviewed ○ move these clinics from an average compliance score of 60 per cent to 70 per cent. This will include improved administrative processes, integrated clinical services to patients, medicine supplies, support services, communication, district health system support
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • Input • Output indicators • Outcome indicators • Key activities • Risk management plans
Conditions	<ul style="list-style-type: none"> • Completion of a business plan by the national Department of Health (DoH) signed by the national transferring officer by 24 March 2016 and submitted to the National Treasury by 31 March 2016
Allocation criteria	<ul style="list-style-type: none"> • Allocations are based on the number of identified facilities and their needs in each province
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • Ideal clinic is a key national priority and requires systematic implementation in order to achieve 740 ideal clinics and have the desired impact of improving quality health care services
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • New Grant <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • New Grant
Projected life	<ul style="list-style-type: none"> • The grant is projected to end in 2018/19 • The grant will continue over the 2016 medium term expenditure framework (MTEF), subject to review and policy development
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R10 million; 2017/18: R30 million; and 2018/19: R50 million
Payment schedule	<ul style="list-style-type: none"> • Procurement will be done centrally by DoH based on the approved procurement plan
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Improve patients' experience of care by improving quality in primary health care facilities • Monitor and support provincial planning and implementation • Submit a quarterly performance report to the National Treasury in terms of the Division of Revenue Act • Meet with the National Treasury to review performance of the grant on a quarterly basis • Strengthen the capacity of provinces to realise and maintain ideal clinic status <p>Responsibilities of the provincial department</p> <ul style="list-style-type: none"> • Provincial health departments must provide DoH with full and unrestricted access to all records and data related to the programme • Provinces must submit provincial needs as per prescribed format by DoH • Include the ideal clinic indicators in the provincial annual performance plans • Delegate a person responsible for managing the Ideal clinic programme • Provinces must develop draft implementation plans for taking over this function in 2019/20 • Submit monthly performance reports to DoH
Process for completion of 2017/18 business plan	<ul style="list-style-type: none"> • Submission of business plan signed by the transferring officer by 31 March 2017 to National Treasury

National Tertiary Services Grant	
Transferring department	<ul style="list-style-type: none"> • Health (Vote 16)
Grant schedule	<ul style="list-style-type: none"> • Schedule 4A
Strategic goal	<ul style="list-style-type: none"> • To enable provinces to plan, modernise, rationalise and transform the tertiary hospital service delivery platform
Grant purpose	<ul style="list-style-type: none"> • Ensure provision of tertiary health services for all South African citizens (including documented foreign nationals) • To compensate tertiary facilities for the additional costs associated with provision of these services
Outcome statements	<ul style="list-style-type: none"> • Modernised and transformed tertiary services that allow for improved access and equity to address the burden of disease
Outputs	<ul style="list-style-type: none"> • Provision of designated central and national tertiary services in 28 facilities/complexes as agreed to between the province and the national Department of Health (DoH)
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the service level agreement	<ul style="list-style-type: none"> • This grant uses national service level agreements (SLAs) which are signed between DoH and each province and contains the following: <ul style="list-style-type: none"> ○ national guidelines on definitions of tertiary services that may be funded by the grant ○ final tertiary services specifications funded by the grant, by facility in each province ○ annual targets for inpatient separations, inpatient days, day patient separations, outpatient first visits, outpatient follow up visits per province per year ○ monitoring and reporting responsibilities ○ validation and revision of data ○ deviations or changes to tertiary services ○ referral responsibilities ○ approved business plan ○ specialists funded from the grant
Conditions	<ul style="list-style-type: none"> • Completion of a national SLA in the prescribed format, signed by the provincial Head of Department or receiving officer by 29 February 2016, and the transferring officer by 31 March 2016 • The grant allocation to each central/provincial tertiary facility must not exceed a maximum of 65 per cent of the total facility budget • Modernisation of tertiary services to be a minimum of 10 per cent of the total provincial grant allocation
Allocation criteria	<ul style="list-style-type: none"> • Based on historical allocations and spending patterns
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • There are significant cross boundary flows associated with tertiary services that are not affected by provincial boundaries due to their specialised nature
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Allocated and transferred R10.1 billion to provinces, of which R 10.1 billion (100 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • Provincial tertiary services performance was measured against the SLAs and the total patient activity rendered is as follows: <ul style="list-style-type: none"> ○ 787 338 inpatient separations ○ 3 909 845 inpatient days ○ 303 913 day patient separations ○ 1 131 401 outpatient first visits ○ 3 033 601 outpatient follow up visits
Projected life	<ul style="list-style-type: none"> • Support for tertiary services will continue because of the need to sustain and modernise tertiary services
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R10.8 billion; 2017/18: R11.5 billion; and 2018/19: R12.2 billion
Payment schedule	<ul style="list-style-type: none"> • Monthly instalments as per payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • To convene at least one annual meeting of national, provincial and facility programme managers • Monitor expenditure by economic classification, and patient activity and provide on-site support to facilities/complexes and provinces • Conduct a minimum of two site visits to provinces and a minimum of one site visit to facilities/complexes, with the first site visit to provinces to include facilities

National Tertiary Services Grant	
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Completion of a provincial SLA or memorandums of understanding signed by the receiving officer and the benefitting institution by 31 March 2016, and submission to DoH by 29 April 2016 • Provinces must gazette facility specific allocations to individual facilities/complexes as per the provincial SLA/memorandum of understanding by 29 April 2016 • Provinces must maintain a separate budget for each benefitting facility • The receiving officer must supply the head of each benefitting facility/complex with a budget letter which includes the equitable share allocation by 29 April 2016 • Conduct a minimum of one site visit to each benefitting facility/complex per quarter and submit minutes/reports of these meetings to DoH at the end of each quarter • Submission of updated specialist details funded by the grant at facility level by 30 November 2016 • Submission of service specifications funded at each facility by 30 November 2016 • Submission of quarterly reports in the approved expenditure areas in the prescribed format • Provide patient utilisation data (inpatient separations, inpatient days, day case separations, outpatient first visits, outpatient follow up visits and patient-day equivalents) as per the prescribed format
Process for approval of 2017/18 service level agreements	<ul style="list-style-type: none"> • Submission of draft business plans (provincial and facility) by 31 October 2016 • Completion of SLA, in the prescribed format, signed by each receiving officer by 28 February 2017 and submitted to the transferring officer by 31 March 2017

HUMAN SETTLEMENTS GRANT

Human Settlements Development Grant	
Transferring department	<ul style="list-style-type: none"> • Human Settlements (Vote 38)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • The creation of sustainable and integrated human settlements that enable improved quality of household life and access to basic services
Grant purpose	<ul style="list-style-type: none"> • To provide funding for the creation of sustainable and integrated human settlements
Outcome statements	<ul style="list-style-type: none"> • The facilitation and provision of adequate housing and improved quality living environments • A functionally equitable and integrated residential property market • Enhanced institutional capabilities for effective coordination of spatial investment decisions
Outputs	<ul style="list-style-type: none"> • Number of housing opportunities created; including: <ul style="list-style-type: none"> ○ number of residential units delivered in each housing programme ○ number of serviced sites delivered in each housing programme ○ number of finance linked subsidies approved and disbursed ○ number of units built for military veterans • Number of individual households in informal settlements provided with access to services/upgraded services • Number of individual households in backyards provided with access to services/upgraded services • Number of properties transferred and/or title deeds issued (pre 1994 and post 1994 backlogs and new developments) • Hectares of well-located land acquired, planned and developed to create housing opportunities • Number of work opportunities created through related programmes • Number of informal settlements upgraded in situ and/or relocated • Number of women and youth service providers contracted and employed in programmes and projects • Number of socio-economic amenities delivered integrated developments in human settlements
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 8: Sustainable human settlements and improved quality of household life
Details contained in the business plan	<ul style="list-style-type: none"> • Medium term strategic framework indicators • Project planning and facilitation • Outputs and targets • Cash flow projections (payment schedule) • Quarterly reporting • Project information • Project readiness matrix
Conditions	<ul style="list-style-type: none"> • Funds for this grant should be utilised for the priorities as set out in the 2014-19 Medium term strategic framework for human settlements • The transfer of the first tranche of funds is conditional on approval by the national Department of Human Settlements (DHS) of provincial business plans consistent with the provisions of the Housing Act and in compliance with the National Housing Code • The transfer of subsequent tranches is conditional on provinces capturing the targets and budget and capturing delivery statistics and expenditure monthly on housing subsidy system (HSS) and the basic accounting system (BAS), at sub-sub-programme level, and submit monthly reconciliations • The provinces must ensure alignment between the HSS and BAS on a monthly basis • All projects in the approved business plan must be aligned with the integrated development plan (IDP) and the spatial development framework of municipalities as well as the built environment performance plan (BEPP) for metropolitan municipalities • Provincial Heads of Departments (HoDs) must sign-off and confirm that projects captured in business plans are assessed and approved for implementation in the 2016/17 financial year • Provinces may utilise up to a maximum of five per cent of the provincial allocation for the operational capital budget programme to support the implementation of the projects as contained in the business plan • Provinces must make budget allocations consistent with provincial and related municipal backlogs for adequate housing • Provinces must gazette allocations for respective accredited municipalities in terms of the Division of Revenue Act by no later than 31 May 2016 • Where municipalities have been accredited for the housing function, the provincial business plans must reflect relevant allocations, targets and outputs as agreed and approved with the respective municipalities • Provinces may utilise a maximum of two per cent of the human settlements development grant (HSDG) for the provision bulk infrastructure projects for basic services in non-metropolitan municipalities to unlock Human Settlement projects on condition that the funding is complementary with commitments by municipalities in the IDP and municipal budget for provision of such bulk and infrastructure with Municipal Infrastructure Grant funding. The prior approval of the transferring officer is required

Human Settlements Development Grant	
	<ul style="list-style-type: none"> • The HSDG business plans may only be revised if approval to submit a revised business plan is granted by the accounting officer • Funds have been included in this grant for the repair of infrastructure for damage incurred in natural disasters as declared in terms of the Disaster Management Act. Should the cost of repairing the affected infrastructure exceed the amounts earmarked below, provinces may not fund any such shortfalls out of this conditional grant. The following amounts per province must be used for the repair of infrastructure damaged by natural disasters declared in the government gazette and as assessed by the National Disaster Management Centre (NDMC): <ul style="list-style-type: none"> ○ Eastern Cape: R100 million ○ Gauteng: R47 million ○ Limpopo: R30 million ○ Mpumalanga: R18 million • Business plans for the allocated disaster funds must be in line with the post disaster verification assessment reports and must be submitted to the NDMC and the national department • Disaster reconstruction and rehabilitation funds may only be utilised for approved projects as listed in the post disaster verification assessment reports and approved business plans • Monthly and quarterly performance reports on disaster allocations must be submitted to the NDMC and national department • A minimum of 30 per cent of the total HSDG allocation must be allocated for the upgrading of informal settlements programme with targets segregated per province in the delivery agreement • In addition, the following funds must be earmarked to support the upgrading of informal settlement in the area of each respective mining town. These are additional funds and may not be used to replace existing baseline funds allocated to projects in these areas: The following funds may only be utilised to funds projects and related infrastructure (including bulk) for housing and human settlements developments in the following prioritised mining towns: <ul style="list-style-type: none"> ○ Free State: <ul style="list-style-type: none"> – Matjhabeng: R101 million ○ Gauteng: <ul style="list-style-type: none"> – Merafong City: R26 million – GT485: R77 million – Mogale City: R20 million ○ Limpopo: <ul style="list-style-type: none"> – Thabazimbi: R27 million – Elias Motsoaledi: R12 million – Lephalale: R18 million – LIM476: R9 million ○ Mpumalanga: <ul style="list-style-type: none"> – Emalahleni: R96 million – Steve Tshwete: R38 million – Thaba Chweu: R28 million ○ Northern Cape: <ul style="list-style-type: none"> – Tsantsabane: R11 million – Ga-Segonyana: R13 million – Gamagara: R10 million – Kgatelopele: R2 million ○ North West: <ul style="list-style-type: none"> – Kgetleng river: R15 million – Madibeng: R240 million – Moses Kotane: R60 million – Rustenburg: R201 million – Matlosana: R69 million • The following funds are ring-fenced for utilisation in the eradication of the title deed registration backlog linked to provincial title deed registration implementation plans which must be included in the project readiness matrix and business plan. Funds may only be spent in terms of the approved business plan • These funds cannot be used for current and new projects: <ul style="list-style-type: none"> ○ Eastern Cape: R39 million ○ Free State: R30 million ○ Gauteng: R62 million ○ KwaZulu-Natal: R60 million ○ Limpopo: R13 million ○ Mpumalanga: R30 million ○ Northern Cape: R12 million ○ North West: R30 million

Human Settlements Development Grant	
	<ul style="list-style-type: none"> ○ Western Cape: R30 million ● Provinces must include the nationally approved human settlements catalytic projects in their business plans as per the catalytic programme requirements. In addition provinces must allocate a reasonable percentage of their grants to the approved national priority catalytic projects in line with their projects readiness status ● A minimum of 30 per cent of the HSDG allocations should be allocated to contracts awarded to women and youth service providers ● At least two per cent of the HSDG grant should be allocated to programmes and projects for the implementation of innovative building technologies in the human settlements implementation delivery chain
Allocation criteria	<ul style="list-style-type: none"> ● The grant is allocated through the HSDG allocation formula approved by the Human Settlements MINMEC and National Treasury. The formula is based primarily on the share of inadequate housing in each province but also accounts for population size and extent of poverty in each province ● Funds for informal settlement upgrading in mining towns are allocated based on project plans as agreed with provinces and municipalities in terms of the Presidential Mining Towns Intervention
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> ● A conditional grant enables the national department to provide effective oversight and ensure compliance with the National Housing Code
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> ● Allocated and transferred R17.1 billion of which R17 billion (99 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> ● 94 566 housing units completed ● 49 345 serviced sites completed
Projected life	<ul style="list-style-type: none"> ● This is a long term grant as government has an obligation to assist the poor with the provision of human settlements in terms of the Constitution
MTEF allocations	<ul style="list-style-type: none"> ● 2016/17: R18.3 billion; 2017/18: R21.1 billion; and 2018/19: R22.3 billion
Payment schedule	<ul style="list-style-type: none"> ● Monthly instalments as per the payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> ● Finalise and ensure the approval of the applicable subsidy quantum per programme and the allocation formula for the delivery of sustainable and integrated human settlements ● Approve the final national and provincial business plans and issue compliance certificates ● Assess and make recommendations on the credibility of provincial business plans and the readiness of projects captured therein ● Ensure that provinces align financial and non-financial information in terms of reporting in BAS, HSS, provincial business plans and provincial quarterly reports ● Monitor provincial, financial and non-financial grant performance and control systems related to the HSDG ● Ensure provinces comply with the reporting requirements for the HSS in terms of frequency and quality of the input ● Provide support to provinces and accredited municipalities with regards to human settlements delivery as may be required ● Undertake structured and other visits to provinces and metropolitan municipalities as is necessary ● Facilitate regular interaction between DHS and provincial departments of human settlements and accredited municipalities ● Submit an annual evaluation report for 2015/16 on the performance of the grant to National Treasury by 29 July 2016 ● Evaluate the audited provincial annual reports for submission to National Treasury by 15 December 2016 ● Submit quarterly performance reports to National Treasury within 45 days after the end of each quarter ● Provide systems including HSS, that support the administration of the human settlements delivery process ● Comply with the responsibilities of the transferring officer outlined in the 2016 DoRA ● Publish approved business plans ● Provinces should ensure that they implement the programmes only in the approved business plans

Human Settlements Development Grant	
	<p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Submit 2015/16 annual evaluation reports to DHS by 30 May 2016 • Submit 2015/16 audited annual reports to the DHS by 30 September 2016 • Prioritise funds in order to build houses to meet the quota set for the military veterans • Support accredited municipalities in carrying out delegated functions as per the accreditation framework • Provinces must utilise the HSS for the administration and related performance reporting of all the human settlement delivery programmes and processes • Any malicious use or non-compliance to the HSS will result in funds being withheld or stopped in terms of DoRA • Provinces must ensure alignment of financial and non-financial reporting in terms of reporting in BAS, HSS, approved provincial business plans, and provincial quarterly reports • Ensure effective and efficient utilisation of and access to the HSS by municipalities • Comply with the Housing Act, Housing Code and the national delivery agreements that have been concluded • The monthly expenditure report, as contemplated in section 12(3) of the 2016 DoRA and section 40(4)(c) of the Public Finance Management Act (PFMA), must be submitted by the 15th of every month for the preceding month with work in progress inclusive of expenditure and monthly BAS and HSS reconciliation as stipulated on the Practice Note dated 24 April 2015 • The monthly DoRA expenditure and quarterly reports must be signed by both the HoD and the relevant provincial treasury HoD • Submit the reports on the outputs as mentioned on this framework above by the 15th of every month for the preceding month • Provinces should ensure that they only implement the programmes in the approved business plans • Consult with municipalities on the programme and projects submitted for approval in terms of the HSDG business plan • Ensure all projects to be implemented are contained in the municipal IDP • Ensure that the relevant amounts to be applied and transferred to municipalities are gazetted by no later than 31 May 2016
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Draft provincial business plans for 2017/18 financial year and project readiness matrix to be submitted to the national department by 13 October 2016 • Submit final provincial business plans, project readiness matrix, including cash flow projections and compliance certificates for 2017/18 financial year to the DHS by 17 February 2017 • Business plans for 2016/17 should not include any projects for rectification (pre and post 1994), IDP chapters, blocked projects, CRU (constructed and/or upgraded), project linked, consolidation subsidies (blocked projects)

PUBLIC WORKS GRANTS

Expanded Public Works Programme Integrated Grant for Provinces	
Transferring department	<ul style="list-style-type: none"> Public Works (Vote 11)
Grant schedule	<ul style="list-style-type: none"> Schedule 5A
Strategic goal	<ul style="list-style-type: none"> To provide Expanded Public Works Programme (EPWP) funding to expand job creation efforts in specific focus areas, where labour intensive delivery methods can be maximised
Grant purpose	<ul style="list-style-type: none"> To incentivise provincial departments to expand work creation efforts through the use of labour intensive delivery methods in the following identified focus areas, in compliance with the EPWP guidelines: <ul style="list-style-type: none"> road maintenance and the maintenance of buildings low traffic volume roads and rural roads other economic and social infrastructure tourism and cultural industries sustainable land based livelihoods waste management
Outcome statements	<ul style="list-style-type: none"> Improved quality of life of poor people and increased social stability through engaging the previously unemployed in paid and productive activities Reduced level of poverty Contribute towards increased levels of employment Improved opportunities for sustainable work through experience and learning gained
Outputs	<ul style="list-style-type: none"> Number of people employed and receiving income through the EPWP Increased average duration of the work opportunities created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 4: Decent employment through inclusive economic growth
Details contained in the business plan	<ul style="list-style-type: none"> The programme is implemented through provinces using incentive agreements that contain project lists and targets for the creation of Full Time Equivalents (FTEs) and work opportunities
Conditions	<ul style="list-style-type: none"> EPWP projects must comply with the project selection criteria determined in the EPWP grant manual, the EPWP guidelines set by Department of Public Works (DPW) and the ministerial determination Eligible provincial departments must sign a funding agreement with their final EPWP project list attached, before the first planned disbursement of the grant Provincial departments must report quarterly on all projects via DPW's EPWP reporting system Reports must be loaded on the EPWP reporting system within 15 days after the end of every quarter in order for progress to be assessed The grant cannot be used for departmental personnel costs, however a maximum of five per cent of the grant can be used to fund contract based capacity required to manage data capturing and on-site management costs related to the use of labour intensive methods The grant can only be utilised for EPWP purposes and for the projects approved in the incentive agreement signed by each eligible provincial department To receive the first planned grant disbursement, eligible provincial departments must: <ul style="list-style-type: none"> submit a final EPWP project list by 29 April 2016 sign a grant agreement with DPW Subsequent grant disbursements are conditional upon eligible provincial departments: <ul style="list-style-type: none"> reporting on EPWP performance quarterly within the required timeframes implementing their approved EPWP project list as planned towards the agreed job creation targets EPWP branding must be incorporated in any existing signage as per corporate identity manual Provincial departments must maintain beneficiary and or payroll records as specified in the audit requirements in the EPWP grant manual, and make these available to DPW for data quality assessment tests
Allocation criteria	<ul style="list-style-type: none"> To be eligible for an EPWP grant allocation in 2016/17, a provincial department must have reported EPWP performance (in either the infrastructure or environment and culture sector) by 14 October 2016 The EPWP grant allocations are based on EPWP performance in the past 18 months, number of FTEs created per million rand, and the duration of the work opportunities created
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> This grant is intended to fund expansion in specific focus areas as well as incentivise increased EPWP performance The grant is based on performance, the potential to expand and the need for EPWP work in key geographic regions
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> Out of the R349 million allocated amount, R348 million was transferred (99 per cent) of which R320 million (92 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 257 947 work opportunities reported and 87 496 FTEs created
Projected life	<ul style="list-style-type: none"> Grant continues until the end of 2018/19 financial year, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R402 million; 2017/18: R424 million; and 2018/19: R448 million
Payment schedule	<ul style="list-style-type: none"> Three instalments per annum: 25 per cent, 13 May 2016; 45 per cent, 15 August 2016; and 30 per cent, 15 November 2016

Expanded Public Works Programme Integrated Grant for Provinces	
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Determine eligibility and set grant allocations and FTE targets for eligible provincial departments • Publish on the EPWP website all documents relevant for provincial departments to understand and implement the grant, including a grant manual, the relevant EPWP guidelines and the ministerial determination • Support provincial departments, in the manner agreed to in the funding agreement, to identify suitable EPWP projects, develop EPWP project lists in accordance with the EPWP project selection criteria, apply the EPWP project selection criteria and EPWP guidelines to project design, report using the EPWP reporting system • Monitor the performance and spending of provincial departments and assess progress towards their implementation of EPWP project lists • Disburse the grant to eligible provinces • Report to National Treasury progress against FTE targets and spending against the grant allocation on a quarterly basis • Conduct data quality assessments on a continuous basis to support good governance and identify areas for administrative improvement • Manage the EPWP coordinating structures in collaboration with provincial coordinating departments to support implementation, identify blockages and facilitate innovative solutions • Support the sector to collect the required data, align monitoring and reporting frameworks and to report on key outputs on the EPWP web-based system <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Develop and submit an EPWP project list to the DPW by 29 April 2016 • Sign the standard funding agreement with DPW agreeing to comply with the conditions of the grant before receiving any grant disbursement by 29 April 2016 • Agree on the areas requiring technical support from DPW upon signing the grant agreement • Report on all EPWP projects into the EPWP reporting system and update progress quarterly in accordance with the reporting requirements and timelines stipulated in the grant agreement
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Provincial departments must report on performance of EPWP projects for the 2015/16 financial year by 15 April 2016 or report on 2016/17 performance by 14 October 2016 to be eligible for a grant allocation • Provincial departments must submit draft 2017/18 EPWP project lists to DPW by the end of April 2017 • Eligible provincial departments must sign the standard funding agreement with an approved 2017/18 EPWP project list by the end of April 2017

Social Sector Expanded Public Works Programme Incentive Grant for Provinces	
Transferring department	<ul style="list-style-type: none"> Public Works (Vote 11)
Grant schedule	<ul style="list-style-type: none"> Schedule 5A
Strategic goal	<ul style="list-style-type: none"> To increase job creation through the expansion of the social sector Expanded Public Works Programme (EPWP)
Grant purpose	<ul style="list-style-type: none"> To incentivise provincial social sector departments, identified in the 2015 social sector EPWP log-frame to increase job creation by focusing on the strengthening and expansion of social sector programmes that have employment potential
Outcome statements	<ul style="list-style-type: none"> Improved service delivery to communities by expanding the reach and quality of social services Contribute towards increased levels of employment Improved opportunities for sustainable work through experience and learning gained Strengthened capacity of non-government delivery partners through increased access to funds for training, wages and administration
Outputs	<ul style="list-style-type: none"> 15 689 Full Time Equivalents (FTEs) funded through this grant A minimum 15 035 people employed and receiving income through the EPWP A minimum average duration of 200 person days for work opportunities created A minimum of 60 000 households to which services are provided A minimum of 120 000 beneficiaries to whom services are provided A minimum of 1000 beneficiaries who received training
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 4: Decent employment through inclusive economic growth Outcome 5: A skilled and capable workforce to support an inclusive growth path
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> Provincial departments must report EPWP expenditure on the monthly In-Year Monitoring (IYM) tool in accordance with section 32 of the Public Finance Management Act Reports on financial and non-financial performance must be loaded on the EPWP reporting system within 15 days after the end of each quarter Provincial departments must adhere to the audit requirements stipulated in the social sector EPWP incentive grant manual The incentive grant allocation must be used to expand job creation programmes in the social sector The incentive grant allocation must be used to fund the following priority areas: <ul style="list-style-type: none"> to provide stipends to unpaid volunteers at a minimum R78.86 per day and further adjustments as per the Ministerial Determination for EPWP Workers and the prescripts of the Department of Labour to provide additional allocations for prioritising existing programmes that contributed to achieving EPWP targets to expand social sector EPWP programmes as identified in the EPWP social sector log-frame for creation of additional work opportunities A minimum of 80 per cent of the total incentive allocation must be used to pay stipends or wages Of this 80 per cent, at least 25 per cent must be used for the creation of work opportunities for persons not previously employed in the relevant programme EPWP branding must be incorporated in any existing signage as per corporate identity manual The balance of the overall incentive allocation must be used for capacity-building at the implementation level or the standardisation of wages Maintain beneficiary and payroll records as specified in the audit requirements of the EPWP grant manual
Allocation criteria	<ul style="list-style-type: none"> To be eligible for an incentive allocation in 2016/17, a provincial department must have reported 2014/15 and/or 2015/16 EPWP performance by 15 October 2015 Departments receive a participation allocation which depends on the number of FTEs contributed in the preceding 18 months leading up to 30 September 2015 For departments that reported in 2014/15, the department's performance is assessed against a set of social sector EPWP standards to determine the size of an additional allocation. These are: <ul style="list-style-type: none"> number of FTEs per million rand per departmental programme as compared to the median value for similar programmes (cost-effectiveness) beneficiary profile consisting of 2 per cent persons with disabilities beneficiary profile consisting of 55 per cent youth beneficiary profile consisting of 55 per cent female beneficiaries 10 per cent of days worked spent in training average duration of work opportunities average minimum daily wage of R70.59 from April to October 2014 and R75.10 from November 2014 to March 2015 (per person day of work) The additional allocation for each eligible provincial department is based on its proportion of the total allocation, which is derived by multiplying a composite score against the above standards with the number of FTEs created in the 18 month period prior

Social Sector Expanded Public Works Programme Incentive Grant for Provinces	
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> The incentive allocation is based on the performance of programmes in a prior financial year and use of the allocation is specifically earmarked for EPWP programme expansion
Past performance	2014/15 audited financial outcomes <ul style="list-style-type: none"> Of the total R258 million allocated R247 million (96 per cent) was spent by the end of the national financial year
	2014/15 service delivery performance <ul style="list-style-type: none"> 12 967 FTEs were created 705 540 households serviced 647 non-profit organisations administratively supported
Projected life	<ul style="list-style-type: none"> Ongoing subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R360 million; 2017/18: R386 million; and 2018/19: R408 million
Payment schedule	<ul style="list-style-type: none"> Three instalments per annum: 25 per cent, 6 May 2016; 45 per cent, 29 July 2016; and 30 per cent, 31 October 2016
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> Determine the eligibility of provincial departments, set job creation targets and performance measures and calculate incentive allocations Revise an incentive manual that will provide provincial departments with standard information on the rules of the incentive programme, its application, monitoring and evaluation information and audit regulations Develop an incentive agreement outlining the requirements of the incentive grant and ensure that each provincial department signs the agreement by 15 April 2016 Reach agreement with national sector departments on their roles in ensuring effective implementation of the incentive grant by 15 April 2016 Support provincial departments to develop plans to meet job creation targets Support the sector to collect the required data, align monitoring and reporting frameworks and to report on key outputs on the EPWP reporting system Monitor the performance of provincial departments and the use of the incentive grant against the conditions in the framework and report to National Treasury on monthly and quarterly progress Audit the final performance of provincial departments after the end of the financial year Report quarterly to provincial departments on projected eligibility for the incentive grant in the following year Issue guidelines to provincial departments on how to report expenditure by 31 March 2016 Identify anomalies in the reported data
	Responsibilities of the provincial department <ul style="list-style-type: none"> Compile and sign business plans on how to achieve the incentive grant targets by 31 March 2016 By 15 April 2016, sign the standard incentive agreement with national Department of Public Works agreeing to comply with the conditions and obligations of the grant before receiving any incentive payment Report EPWP performance onto the EPWP reporting system and update progress monthly and quarterly in accordance with the reporting requirements in the incentive agreement Provide financial and non-financial data on the use of the incentive grant on a monthly and quarterly basis in the format and manner prescribed by National Treasury and DPW
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> Provincial departments must have reported EPWP performance by 14 October 2016 to be eligible for an allocation Provincial departments participate in the planning exercise from December to January each year and submit their business plans and targets to DPW during this process in the format prescribed DPW to distribute the incentive agreements for provincial Head of Department endorsement by end of March every year Provincial departments sign the incentive agreement with DPW by 14 April 2017 and agree to comply with the conditions and obligations of the incentive grant

SOCIAL DEVELOPMENT GRANT

Substance Abuse Treatment Grant	
Transferring department	<ul style="list-style-type: none"> • Social Development (Vote 17)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • To strengthen the harm reduction programme by providing treatment for substance abuse • To improve access to public substance dependency treatment facilities
Grant purpose	<ul style="list-style-type: none"> • To provide funding for the construction of substance dependency treatment facilities in the provinces of Eastern Cape, Free State, Northern Cape and North West
Outcome statements	<ul style="list-style-type: none"> • Reduction in recurrence of substance abuse • Affordable public treatment programmes
Outputs	<ul style="list-style-type: none"> • Four substance dependency treatment facilities
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 2: A long and healthy life for all South Africans
Details contained in the business plan	<ul style="list-style-type: none"> • The business plan in this grant will be replaced by the project implementation plan (PIP) and will include the following: <ul style="list-style-type: none"> ○ project schedule ○ cost plan ○ annual project cash flows and milestones ○ risk plan ○ project governance structure assigning roles and responsibilities for the management of the project ○ detailed project designs
Conditions	<ul style="list-style-type: none"> • All required reports must be signed-off by the relevant delegated official within the provincial department, however final approval needs to be obtained from national Department of Social Development (DSD) in order to commence with the next stage • The PIPs must be approved by DSD • The flow of the first instalment of the grant depends upon receipt by DSD and provincial treasuries of: <ul style="list-style-type: none"> ○ monthly progress reports via the infrastructure reporting model (IRM) including a narrative progress report on the project ○ PIP signed by the Head of Department of the provincial Department of Social Development
Allocation criteria	<ul style="list-style-type: none"> • Provinces were allocated funds according to the cost calculations for a standard design guideline of a substance dependency treatment centre
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • This grant enables the DSD to ensure the delivery of substance abuse treatment facilities in the four provinces that do not have these public facilities
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • Eastern Cape: R13 million allocated, R13 million (96.9 per cent) was spent • Free State: R2 million allocated, R2 million (95 per cent) was spent • Northern Cape: R2 million allocated, R2 million (99.9 per cent) was spent • North West: R12 million allocated, R11 million (91.8 per cent) was spent <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • One centre constructed in the Eastern Cape Province. North West province in the construction phase and Northern Cape and Free State in the planning and design phase
Projected life	<ul style="list-style-type: none"> • The use of this grant for construction comes to an end in 2016/17. Starting 2017/18 the grant will temporarily support operation of centres, and will be subject to review in 2018/19
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R 86 million; 2017/18: R57 million; and 2018/19: R71 million
Payment schedule	<ul style="list-style-type: none"> • Transfers are made on a quarterly basis
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Monitoring compliance to conditional grant framework • Monitor implementation through project site visits and provide appropriate support • Provide the guidelines and criteria for the development and approval of the PIP • Submit an annual evaluation report after the end of the 2015/16 financial year, four months after the financial year • Provide National Treasury with a quarterly report against the project plan 45 days after the end of each quarter • Initiate a process to guide the allocation criteria of funds for operation budgets starting 2017/18 <p>Responsibilities of the provincial department</p> <ul style="list-style-type: none"> • Provincial departments must establish committees with the relevant implementing agents, and hold monthly meetings that are minuted to review progress on site • Submit a PIP developed together with the implementing agents • Provinces to implement the project charter as approved by DSD • DSD must be notified in writing about deviations before implementation can take place • Provinces to submit evaluation reports to DSD two months after the end of the financial year • Provinces to report on IRM on a monthly basis
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • National Transferring Officer approves business plans and submits to National Treasury by 31 March 2017

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SPORT AND RECREATION SOUTH AFRICA CONDITIONAL GRANT

Mass Participation and Sport Development Grant	
Transferring department	<ul style="list-style-type: none"> • Sport and Recreation South Africa (Vote 40)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5A
Strategic goal	<ul style="list-style-type: none"> • Increasing citizens' access to sport and recreation activities
Grant purpose	<ul style="list-style-type: none"> • To facilitate sport and recreation participation and empowerment in partnership with relevant stakeholders
Outcome statements	<ul style="list-style-type: none"> • Increased and sustained participation in sport and recreation • Improved sector capacity to deliver sport and recreation
Outputs	<ul style="list-style-type: none"> • School Sport <ul style="list-style-type: none"> ○ learners supported to participate in national school sport competitions ○ learners participating in school sport tournaments at provincial level ○ learners participating in school sport tournaments at district level ○ educators trained to deliver school sport programmes ○ volunteers trained to deliver school sport programmes ○ schools provided with equipment and/ or attire ○ 48 sport focus schools supported ○ school sport coordinators remunerated ○ provincial school sport structures supported ○ district school Sport structures supported • Siyadlala: Community Sport and Recreation <ul style="list-style-type: none"> ○ youth participating at youth camps ○ sport and recreation events organised and implemented ○ people actively participating in sport and recreation events ○ sport and recreation projects implemented by the sport councils/confederations ○ people trained as part of community sport- recreation ○ provincial programmes implemented in line with the main purpose of the grant framework ○ hubs provided with equipment and/or attire ○ hubs supported • Club Development <ul style="list-style-type: none"> ○ local leagues supported to foster Club Development - Federations ○ clubs supported to participate in local leagues ○ people trained as part of club development programme • Academies <ul style="list-style-type: none"> ○ athletes supported by sport academies ○ sports academies supported ○ people trained to deliver sports academy programme ○ staff appointed on a long term or permanent basis
Priority outcome of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 14: Nation building and social cohesion
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Key activities
Conditions	<p>Provincial compliance</p> <ul style="list-style-type: none"> • Provincial departments must ensure that: <ul style="list-style-type: none"> ○ all structures at all levels are aligned to the sports recreation RSA priority codes to contribute to seamless service delivery ○ 50 per cent of the clubs and hubs established must be from rural and farm areas ○ submit performance evidence of what is reported to be achieved irrespective of the status of the project ○ funds from this grant are not used on projects falling outside the scope of the grant unless prior written request and approval to such effect is granted by accounting officer of Sports and Recreation South Africa (SRSA)

Mass Participation and Sport Development Grant																			
	<ul style="list-style-type: none"> • Conditional grant must be utilised according to the following allocation: <table style="margin-left: 20px; border: none;"> <tr> <td>○ Employment of permanent staff</td> <td style="text-align: right;">6 per cent</td> </tr> <tr> <td>○ Branding</td> <td style="text-align: right;">1 per cent</td> </tr> <tr> <td>○ District and provincial Academies</td> <td style="text-align: right;">8 per cent</td> </tr> <tr> <td>○ Provincial Sports Councils/Confederations</td> <td style="text-align: right;">5 per cent</td> </tr> <tr> <td>○ School Sport</td> <td style="text-align: right;">40 per cent</td> </tr> <tr> <td>○ Siyadlala</td> <td style="text-align: right;">18 per cent</td> </tr> <tr> <td>○ Club Development</td> <td style="text-align: right;">18 per cent</td> </tr> <tr> <td>○ Provincial Programmes</td> <td style="text-align: right;">4 per cent</td> </tr> <tr> <td>Total</td> <td style="text-align: right;">100 per cent</td> </tr> </table> <p>School Sport: 40 per cent</p> <ul style="list-style-type: none"> • Province must ring fence R10 million to provide transport, accommodation, meals, attire and support for the delivery of provincial teams to national sport tournaments hosted by SRSA • The remaining school sport allocation must be allocated in the following proportions: <ul style="list-style-type: none"> ○ 10 per cent to support the training of educators and school sport volunteers ○ 10 per cent to purchase equipment and or attire for schools below quintal 3 identified through participation in leagues ○ 40 per cent to deliver district and provincial competitions ○ 10 per cent to support the implementation of sport focus schools ○ 15 per cent to remunerate circuit coordinators who coordinate and support the delivery of school sport programmes and monitor and evaluate at a local level ○ 10 per cent to support school sport structures ○ 5 per cent for administration costs <p>Siyadlala Community Sport: 18 per cent</p> <ul style="list-style-type: none"> • Provinces must ring fence R3 million per province for Youth Camps at Provincial level to provide transport, accommodation, meals, attire, security, public liability, medical, stationary, plenary meetings and administration • The remaining Siyadlala allocation must be allocated in the following proportions: <ul style="list-style-type: none"> ○ 45 per cent for sport and recreation events ○ 15 per cent to purchase equipment ○ 10 per cent to purchase attire ○ 5 per cent for Minister's outreach programmes (15 per cent for training, 10 per cent for administration costs) <p>Club Development: 18 per cent</p> <ul style="list-style-type: none"> • The portion of the grant ring-fenced for club development must be used in the following proportions: <ul style="list-style-type: none"> ○ 15 per cent for training ○ 50 per cent for tournaments and league fixtures ○ 25 per cent to purchase equipment and attire ○ 10 per cent for administration costs <p>Sports Council/ Confederations: 5 per cent</p> <ul style="list-style-type: none"> • Provinces may transfer funds allocated to provincial sports councils/confederation provided there: <ul style="list-style-type: none"> ○ a prior transfer plan has been included in the approved provincial business plan ○ a service level agreement or memorandum of agreement, between the provincial department and the provincial sports councils/confederations is in place and expenditure and performance monitoring mechanisms of the provincial sports council <p>Provincial Programmes: 4 per cent</p> <ul style="list-style-type: none"> • Provincial specific programmes that are implemented must be in line with the main purpose of the grant <p>District and provincial academies: 8 per cent</p> <ul style="list-style-type: none"> • This allocation must be used for the establishment and development of district and provincial academies in line with the sports academies framework and guidelines from SRSA: <ul style="list-style-type: none"> ○ 5 per cent for administration ○ 20 per cent for training in the following: talent identification and scouting, coaching, medical and scientific service, life skills and counselling ○ 40 per cent resourcing of district and provincial academies ○ 35 per cent athlete support as documented in the academy framework 	○ Employment of permanent staff	6 per cent	○ Branding	1 per cent	○ District and provincial Academies	8 per cent	○ Provincial Sports Councils/Confederations	5 per cent	○ School Sport	40 per cent	○ Siyadlala	18 per cent	○ Club Development	18 per cent	○ Provincial Programmes	4 per cent	Total	100 per cent
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Total	100 per cent																		

Mass Participation and Sport Development Grant	
	<ul style="list-style-type: none"> • Provinces may transfer funds allocated to the academies with the following conditions <ul style="list-style-type: none"> ○ there must be a plan for the transfer and that must be part of the provincial business plan approved by SRSA ○ the transfer agreement must include the allocated breakdown as above and the implementation plan ○ there must be a service level agreement or memorandum of agreement, between the provincial department and academies in place • Provinces based on their provincial dynamics, may apply to the Director-General to change the above sub-allocations • Non adherence to these conditions will result in implementation of penalties set out in the penalty schedule agreed on • National Training Centre, Free State: 4.5 per cent (excludes the ring-fenced amounts): <ul style="list-style-type: none"> ○ funds allocated to the national training centre (NTC) must only be used for the construction of the centre that will serve all the national teams • Club Development Pilot, KwaZulu-Natal and Limpopo: 3 per cent (excludes ring-fenced amounts) <ul style="list-style-type: none"> ○ these provinces will pilot the system by identifying no less than 300 clubs in Football, Netball and Athletics to participate. These provinces will have to acquire franchises to ensure sustainability to the supported clubs. ○ both KwaZulu-Natal and Limpopo must ring-fence R6 million within the club development allocations for this pilot
Allocation criteria	<ul style="list-style-type: none"> • Funds are distributed among provinces on the basis of baseline allocation of R20 million, needs analysis, and provincial equitable share formula
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Conditional grant is necessary to ensure national coordination, monitoring and facilitation
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Allocated and transferred R525 million to provinces. Of the total available including provincial roll-overs of R1 million, R526 million (98 per cent) was spent <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • Number of people trained in sport and development: 3 849 educators • Number of people participating in the programme: 1 255 296 people participated in schools, hubs and clubs • 8 307 Learners (4 165 males and 4 142 females) • 3 849 educators were trained • 1 580 schools and 887 hubs received equipment and attire • 381 permanent employment opportunities were created • 1 225 296 from sport and recreation hubs actively participated in sport and recreation activities • 3 746 athletes were supported through the sport academy system
Projected life	<ul style="list-style-type: none"> • Ongoing subject to review as agreed with National Treasury
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R556 million; 2017/18: R586 million; and 2018/19: R618 million
Payment schedule	<ul style="list-style-type: none"> • Four instalments: 31 May 2016; 31 August 2016; 30 November 2016; and 30 January 2017
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Agree on outputs and targets with provincial departments in line with grant objectives for 2017/18 by 30 September 2016 • Provide the guidelines and criteria for the development and approval of business plans • Monitor implementation and provide support • Ensure that capacity exists to manage the grant and that there is a grant manager responsible for the grant <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> • Ensure that measurable objectives and performance indicators of the conditional grant (as agreed to by SRSA) are reflected in the respective provincial departments' annual performance plan for 2016/17 • Submit the 2015/16 annual evaluation report to SRSA by 31 May 2016 • Submit monthly reports as per the requirements contained in the DoRA • Submit quarterly performance reports (as per operational plans) to SRSA • Monitor progress of the grant implementation as per business plan • Ensure that provincial grant managers attend all the national conditional grant meetings • Ensure that capacity exists to manage the grant

Mass Participation and Sport Development Grant	
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none">• Provinces to provide draft business plans to SRSA by 4 November 2016• SRSA evaluates draft business plans by 19 December 2016• Comments sent to provinces by 30 December 2016• Provinces to submit revised business plans to SRSA by 27 January 2017• SRSA to approve revised business plans by 10 February 2017• Heads of departments to submit signed business plans to SRSA by 31 March 2017• SRSA to sign project implementation agreements and business plans with provincial Heads of Departments by 14 April 2017• SRSA to submit approved business plans to National Treasury by 31 May 2017

TRANSPORT GRANTS

Provincial Roads Maintenance Grant	
Transferring department	<ul style="list-style-type: none"> • Transport (Vote 35)
Grant Schedule	<ul style="list-style-type: none"> • Schedule 4A
Strategic goal	<ul style="list-style-type: none"> • To ensure efficient and effective investment in provincial roads to implement the Road Infrastructure Strategic Framework For South Africa (RISFSA) in line with the S'hamba Sonke road programme and other related road infrastructure asset management programmes
Grant purpose	<ul style="list-style-type: none"> • To supplement provincial investments for routine, periodic and special maintenance • To ensure all roads are classified as per RISFSA and the Technical Recommendation for Highways (TRH) 26 Road Classification and Access Management (RCAM) guidelines • To implement and maintain Road Asset Management Systems (RAMS) as per Technical Methods for Highways (TMH) 22 • To supplement provincial projects for the repair of roads and bridges damaged by declared natural disasters • To improve the state of the road network serving electricity generation infrastructure • To improve road safety with a special focus on pedestrian safety in rural areas
Outcome statements	<ul style="list-style-type: none"> • Improve the condition and lifespan of the assets (provincial roads), thereby improving the level of service • Improved rates of employment, community participation and skills development through the delivery of roads infrastructure projects (Expanded Public Works Programme (EPWP) objective) • Create work opportunities for unemployed people through labour-intensive construction methodologies for the delivery of road infrastructure projects
Outputs	<ul style="list-style-type: none"> • Road classification processes are 100 per cent complete and continuously maintained, including all newly proclaimed constructed and upgraded roads • Fully functional RAMS in line with minimum TMH 22 requirements for a provincial road authority • Network condition assessment and determination of project priority list from the RAMS • The following actual delivery related measures against 2016/17 targets defined in the final Road Asset Management Plan (RAMP) for each province: <ul style="list-style-type: none"> ○ number of lane kilometres of surfaced roads rehabilitated ○ number of lane kilometres of surfaced roads resurfaced (overlay or reseal) ○ number of m² of blacktop patching (including pothole repairs) ○ number of kilometres of gravel roads re-gravelled ○ number of kilometres of gravel roads bladed • The following performance based on national job creation indicators <ul style="list-style-type: none"> ○ number of jobs created ○ number of full time equivalents (FTEs) created ○ number of youths employed (18 – 35) ○ number of women employed ○ number of people living with disabilities employed • Updated road condition data as per TMH 22 (paved and unpaved), traffic data, and bridge condition report by 30 November 2016 • Number of contractors in the Contractor Development Programme (CDP) <ul style="list-style-type: none"> ○ number of contractors graduating through the Construction Industry Development Board grading system
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 6: An efficient, competitive and responsive economic infrastructure network
Details contained in the business plan	<ul style="list-style-type: none"> • This grant uses a RAMP, which contains the following details: <ul style="list-style-type: none"> ○ level of service ○ network condition and traffic volumes ○ project lists for 2016/17 to 2018/19 with a summary of targets as per Key Performance Indicators (KPIs) for preventative, routine and emergency maintenance and road rehabilitation works ○ financial summary ○ organisational and support plan ○ job creation estimates ○ emerging contractor opportunities ○ linkages to socio economic activities and opportunities
Conditions	<ul style="list-style-type: none"> • Provinces may use a maximum of R10 million from the Provincial Roads Maintenance Grant (PRMG), subject to approval from Department of Transport (DoT), for: <ul style="list-style-type: none"> ○ the completion of road classification as per TRH 26 and updating of the geographic information system (GIS) spatial maps and records for all roads in South Africa by the end of 2016/17 ○ ensuring that provincial RAMS is kept up to date in accordance with Technical Method for Highways (TMH 9; TMH 19 and TMH 22) ○ to build Road Asset Management capacity. This funding is allocated as capacity support and is available until the 2016/17 financial year • For RISFSA Class R1, R2 and R3 data collection requirements are: <ul style="list-style-type: none"> ○ visual condition data according to TMH 9 for pavements not older than 2 years, and TMH 19 for bridges not older than five years ○ instrumental pavement data for roughness, rut depth and macro texture according to TMH 13 not older than two years

Provincial Roads Maintenance Grant	
	<ul style="list-style-type: none"> ○ instrumental pavement data for deflections according to TMH 13 no older than five years ○ traffic data according to TMH 3, TMH 8 and TMH 14 not older than three years ● For RISFSA Class R4 and R5 data requirements are: <ul style="list-style-type: none"> ○ visual condition data according to TMH 9 for pavements not older than three years and TMH 19 for bridges not older than five years ○ instrumental pavement data for roughness, rut depth and macro texture according to TMH 13 not older than four years on paved roads only ○ traffic data according to TMH 3, TMH 8 and TMH 14 not older than five years ● Provinces must submit above data to the national data repository as per the format described in TMH18 ● Up to a maximum of R1000 per km per year for paved roads and R500 per km per year for gravel roads of the grant may be allocated towards the road classification and collection of data required by this grant ● A draft detailed RAMP for 2016/17 that is compliant with the requirements of the Government Immovable Assets Management Act (2007) and based on the Committee of Transport Officials Road Asset Management Guidelines (RAMG) must be submitted by August 2016 to DoT, relevant provincial treasury and National Treasury ● The payment of the first instalment is dependent upon submission to DoT and the relevant provincial treasury of the following: <ul style="list-style-type: none"> ○ final RAMP and signed-off project list (categorised format) for the 2016 MTEF in a Table B5 format by 30 March 2016 ○ generate monthly Infrastructure Reporting Model (IRM) on 15 April 2016 and submit budget sheets by 22 April 2016 ○ planning IRM for 2016 Medium Term Expenditure Framework (MTEF) by 22 April 2016 ● The payment of the second instalment is dependent on submission to DoT of the fourth quarter performance report for 2015/16, updated monthly IRM and signed-off budget sheet by 15 July 2016 ● The third instalment is dependent on receipt by DoT of the first quarter performance report for 2016/17, updated IRM and signed-off budget sheet for 2016/17 by 17 October 2016 ● The fourth instalment is dependent on receipt of the second quarter performance report for 2016/17, updated monthly IRM, the submission of updated road condition data and signed-off budget sheet reporting for 2016/17 by 16 January 2017 ● The PRMG allocation can be allocated to the following projects as identified and prioritised through the provincial Road Asset Management System (RAMS): <ul style="list-style-type: none"> ○ routine maintenance (Opex): include day to day routine activities such as cleaning drains & culverts, vegetation control, line marking, guard rail repair, road sign repair, crack sealing, patching, edge repair, spot regravelling, blading ○ periodic maintenance (Opex): include periodically scheduled activities such as fog sprays/diluted emulsions/rejuvenators, surface seals and functional asphalt overlays < 50mm in thickness. For gravel roads it includes re-gravelling up to 100mm thick ○ special maintenance (Opex): includes the repair of selected pavement areas up to maximum of 25 per cent of project length followed by application of surface seal or functional asphalt overlay < 50mm. Also includes reinstatement of slope stability, repairs to existing structures and the repair of damaged caused by floods or accidents ○ rehabilitation (Capex): includes increasing the structural capacity of an existing pavement through the recycling of existing layers and/or addition of new granular layers or structural asphalt overlays > 80mm thick. For gravel roads it is gravel layer > 100mm thick. These rehabilitation activities are however limited to maximum of 25 per cent of the PRMG allocation ● The PRMG allocation cannot be allocated to the following projects: <ul style="list-style-type: none"> ○ improvements (Capex): this comprises works that aim to improve the quality of service on roads with an unacceptable quality of service. These include measures of improving quality of service on existing roads such as increases the width in selected areas (i.e. addition of climbing/passing lanes), increases in the width over the total length of the project i.e. addition of paved shoulder and localised geometric and intersection improvements. These activities could in some instances include complete rehabilitation of the existing pavement structure ○ new Facilities (Capex): this comprises works that aim to improve network capacity and includes the upgrading of earth (dirt) road to an engineered gravel road, the upgrading of a gravel road to a surfaced road and upgrading of single carriageway road to 4-lane or dual carriageway road. The construction of new gravel or surfaced road where previously no road existed (brown/green fields construction). The construction of new bridge to replace existing bridge or new interchange to replace intersection ● Deviations from this must be by application to the national DoT, and motivated through a Road Asset Management System (RAMS). These projects include multi-year projects that are continuing since inception of the grant ● The upgrading of gravel roads to surface roads, the construction of new roads and new interchanges do not qualify for funding under this grant ● The following amounts per province must be used in 2016/17 for the repair of infrastructure damaged by the natural disaster during 2013/14 and 2014/15 and declared in respective provincial gazettes, and as verified by the National Disaster Management Centre (NDMC): <ul style="list-style-type: none"> ○ Eastern Cape: R90 million ○ Limpopo: R100 million ○ Mpumalanga: R50 million

Provincial Roads Maintenance Grant	
	<ul style="list-style-type: none"> ○ Western Cape: R58 million ● Should the cost of repairing the disaster affected infrastructure exceed the amounts earmarked above provinces must fund that shortfall from their provincial equitable share ● Business plans for the allocated disaster funds must be in line with the post disaster verification assessment reports and must be submitted to the NDMC and DoT prior to the transfer of the allocation ● Disaster reconstruction and rehabilitation funds may only be utilised for approved projects as listed in the post disaster verification assessment reports and approved business plans ● Quarterly performance reports on disaster allocations must be submitted to the NDMC and DoT ● All new provincial roads infrastructure projects funded through the grant must be branded on the contract sign boards with the S'hamba Sonke logo ● Provinces may participate in the S'hamba Sonke Programme Technical Support Services of the DoT through PFMA and Treasury Regulations ● R60 million is ring-fenced for the collection and submission of data on traffic volumes and road condition that can be used to assist in measuring the efficiency of investments in roads ● Provinces and the national department will submit the efficiency indicators and supporting data to the National Treasury by 30 June 2016
Allocation criteria	<ul style="list-style-type: none"> ● Allocations are based on the PRMG formula, which takes into account the extent of the provincial road network (gravel/paved), the traffic volumes, the visual condition indices on the network and geo-climatic and topographic factors ● The funding for road networks supporting electricity generation infrastructure are subject to separate allocation criteria based on the programme schedule: <ul style="list-style-type: none"> ○ Mpumalanga must allocate R801 million in 2016/17 to coal haulage road projects ● The funding for rehabilitation and repair of roads and bridges that were assessed by the NDMC is subject to separate allocation criteria ● A new performance component will be introduced in 2017/18
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> ● This grant is intended to ensure that provinces give priority to road infrastructure maintenance and promote efficiency in road investment
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> ● Of the total R9.4 billion allocated and transferred, R9.4 billion (98.4 per cent) was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> ● 7 905 020 m² of roads re-sealed ● 4 069 km of roads re-gravelled ● 1 929 757 m² of roads patched ● 326 175 km bladed ● 1 142 km rehabilitated
Projected life	<ul style="list-style-type: none"> ● The grant is ongoing, but will be subject to periodic review
MTEF allocations	<ul style="list-style-type: none"> ● 2016/17: R10.2 billion; 2017/18: R10.8 billion; and 2018/19: R11.5 billion
Payment schedule	<ul style="list-style-type: none"> ● Payment will be made in accordance with a payment schedule agreed to with provinces and approved by the National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> ● Submit to National Treasury by 30 June 2016 a proposal on how RAMS data collected through the grant can be used to allocate an outcome-based incentive component of the grant (to be allocated from 2017/18) ● Assess and evaluate all provinces' RAMPs and give feedback to provincial departments ● DoT in partnership with the national Department of Public Works (DPW) will assess business plans to ensure compliance to S'hamba Sonke and EPWP guidelines. In addition, the two departments will monitor and assess the performance on the S'hamba Sonke and EPWP by provincial departments ● Assess and approve the submissions from provinces regarding the use of the maximum of R10 million for RAMS and capacity building of their infrastructure units ● Submit quarterly performance reports to National Treasury within 45 days after the end of each quarter ● Submit a grant evaluation report to National Treasury 120 days after the end of the financial year ● Develop a performance based allocation mechanism for use in determining future allocations <p>Responsibilities of the provincial departments</p> <ul style="list-style-type: none"> ● Provincial departments must submit quarterly infrastructure reports to DoT and the relevant provincial treasury that comply with the IRM and quarterly performance report templates 30 days after the end of each quarter ● Provincial departments must implement their projects in line with the S'hamba Sonke and EPWP guidelines ● Provincial departments should report on the EPWP job creation data to DoT and DPW on the EPWP reporting system ● Provinces must report all infrastructure expenditure partially or fully funded by this grant on the IRM provided by National Treasury ● Ensure projects are selected using RAMS as the primary source of information ● Ensure ongoing stakeholder communication and engagement, regarding planning and implementation of road projects ● Ensure that approved PRMG funded projects are gazetted through the provincial legislative system and processes. DoT's approval is needed on the PRMG project list before it is tabled at the provincial legislature ● Design and implement projects in compliance with the S'hamba Sonke and EPWP guidelines

Provincial Roads Maintenance Grant	
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none">• Provinces submit a draft business plan in the prescribed RAMP format, with projects selected using RAMS as the primary source, by 30 November 2016• RAMPs, including PRMG project lists, are assessed and reviewed by DoT and feedback is provided by 30 January 2017• Provinces to submit final 2017/18 RAMP to DoT, relevant provincial treasury and National Treasury by 30 March 2017

Public Transport Operations Grant																			
Transferring department	<ul style="list-style-type: none"> • Transport (Vote 35) 																		
Grant schedule	<ul style="list-style-type: none"> • Schedule 4A 																		
Strategic goal	<ul style="list-style-type: none"> • Subsidised road based public transport services 																		
Grant purpose	<ul style="list-style-type: none"> • To provide supplementary funding towards public transport services provided by provincial departments of transport 																		
Outcome statements	<ul style="list-style-type: none"> • The provision of public transport services in terms of contracts which are kilometre based and affordable to the users of the services 																		
Outputs	<ul style="list-style-type: none"> • Number of vehicles subsidised • Number of cumulative annual vehicles subsidised • Number of scheduled trips • Number of trips operated • Number of passengers • Number of kilometres • Number of employees 																		
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 6: An efficient, competitive and responsive economic infrastructure network 																		
Details contained in the business plan	<ul style="list-style-type: none"> • Not applicable 																		
Conditions	<ul style="list-style-type: none"> • This conditional grant, which is supplementary, is a national contribution to subsidised service contracts entered into by the provincial departments of transport and public transport operators for the provision of affordable subsidised transport services • The contracting authority must supervise, monitor and verify the correctness of the operators' claim in terms of the kilometres of service provided and provide a monthly summary report to the national transferring officer • If the contracting function is devolved to any municipality before the 2016/17 adjustment budget, the appropriate portion of the grant will also be devolved to the municipality • The implementation of the devolution should be in terms of section 17(5) of the 2016 Division of Revenue Act (DoRA) • The municipality and province will have to make transitional arrangements to ensure payments to operators meet contractual commitments. Should contracts be devolved during 2016/17, a service level agreement between the province and the municipality must be signed and funds must flow in line with DoRA requirements. Provinces must take all reasonable measures to assist the transition within a framework to be prescribed by the national Department of Transport (DoT) and National Treasury • In cases where contracts are transferred as part of the integrated public transport network (IPTN) of the municipality, the funds allocated to such contracts must be ring-fenced and transferred to the municipalities taking over the contracts from provinces • All new contracts, including designs and operators' business plans detailing subsidised services, must be approved by the Public Transport Integration Committee, and be in line with relevant legislation and in compliance with the public transport strategy, here an Intermodal Planning Committee is established at municipal level, in terms of the National Land Transport Act (NLTA), the functions of the two committees must be consolidated to ensure integration of planning, services and modes 																		
Allocation criteria	<ul style="list-style-type: none"> • The allocations are based on 2009 DoRA allocation baseline, weighted for the average shares of historical contribution that supplement the grant. Provinces/contracting authorities should determine individual operator's budgets and ensure that the operation stays within the allocation or provide supplementary funds from the provincial budget 																		
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Subsidies are earmarked for the provision of public transport services 																		
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • Allocated and transferred R4.9 billion to provinces of which R4.8 billion, 98 per cent, was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <table border="0"> <tr> <td>• Number of cumulative annual vehicles subsidised:</td> <td style="text-align: right;">79 847</td> </tr> <tr> <td>• Number of vehicles subsidised:</td> <td style="text-align: right;">6 654</td> </tr> <tr> <td>• Number of kilometres subsidised:</td> <td style="text-align: right;">250 524 647</td> </tr> <tr> <td>• Subsidy per passenger:</td> <td style="text-align: right;">R14.32</td> </tr> <tr> <td>• Subsidy per kilometre operated:</td> <td style="text-align: right;">R19.62</td> </tr> <tr> <td>• Kilometres operated per vehicle:</td> <td style="text-align: right;">3 138</td> </tr> <tr> <td>• Passengers per vehicle:</td> <td style="text-align: right;">4 300</td> </tr> <tr> <td>• Passengers per trip operated:</td> <td style="text-align: right;">47</td> </tr> <tr> <td>• Employees per vehicle:</td> <td style="text-align: right;">2.0</td> </tr> </table>	• Number of cumulative annual vehicles subsidised:	79 847	• Number of vehicles subsidised:	6 654	• Number of kilometres subsidised:	250 524 647	• Subsidy per passenger:	R14.32	• Subsidy per kilometre operated:	R19.62	• Kilometres operated per vehicle:	3 138	• Passengers per vehicle:	4 300	• Passengers per trip operated:	47	• Employees per vehicle:	2.0
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Public Transport Operations Grant	
Projected life	<ul style="list-style-type: none"> • Subject to the devolution of funds to local government as part of the operationalisation of the NLTA
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R5.4 billion; 2017/18: R5.7 billion; and 2018/19: R6 billion
Payment schedule	<ul style="list-style-type: none"> • Eleven monthly instalments according to a payment schedule approved by National Treasury: 4 May 2016; 8 June 2016; 13 July 2016; 10 August 2016; 14 September 2016; 12 October 2016; 9 November 2016; 14 December 2016; 11 January 2017; 8 February 2017; and 8 March 2017
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> • Improve efficiencies in public transport spending • Maintain national database with key performance indicators of public transport services as per data received from contracting authorities • Advise contracting authorities regarding the design of contracted services • Draft of public transport operational subsidy policy
	Responsibilities of the provincial departments <ul style="list-style-type: none"> • Any contractual agreement entered into by a contracting authority in relation to this grant will be the responsibility of the contracting authority • As a supplementary grant, provincial departments remain responsible for the shortfall on provision of this service funded through the provincial equitable share • Ensure that contracted operators' certified claims are paid within 30 days from the date of receipt • Certify and submit monthly performance reports to DoT within 25 days after the month following the operation, and quarterly performance reports within 30 days after the end of each quarter using the reporting format developed by DoT • Provinces must assist municipalities in the process of devolving the contracting function as set out in the NLTA
Process for approval of the 2017/18 business plans	<ul style="list-style-type: none"> • Not applicable

Part 3: Frameworks for Conditional Grants to Municipalities

Detailed frameworks on Schedule 4, Part B; Schedule 5, Part B; Schedule 6, Part B; and Schedule 7, Part B grants to municipalities

Introduction

This annexure provides a brief description for each grant in Schedule 4, Part B; Schedule 5, Part B; Schedule 6, Part B; and Schedule 7, Part B of the 2016 Division of Revenue Bill. The following are key areas considered for each grant:

- Strategic goal and purpose of the grant
- Outcome statements and outputs of the grant
- Priority outcome(s) of government that the grant primarily contributes to
- Conditions of the grant (additional to what is required in the Bill)
- Criteria for allocation between municipalities
- Rationale for funding through a conditional grant
- Past performance
- The projected life of the grant
- 2016 MTEF allocations
- The payment schedule
- Responsibilities of transferring national department and receiving municipalities
- Process for approval of business plans for 2017/18

The attached frameworks are not part of the Division of Revenue Bill, but are published in order to provide more information on each grant to parliament, legislatures, municipal councils, officials in all three spheres of government and the public. Once the 2016 Division of Revenue Bill is enacted, these frameworks will be gazetted in terms of the Act.

The financial statements and annual reports for 2016/17 will report against the Division of Revenue Act, Division of Revenue Amendment Act and their schedules, and the grant frameworks as gazetted in terms of the Act. Such reports must cover both financial and non-financial performance, focusing on the outputs achieved.

COOPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS GRANTS

Municipal Disaster Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 7B
Strategic goal	<ul style="list-style-type: none"> To enable a timely response to immediate needs after a disaster has occurred
Grant purpose	<ul style="list-style-type: none"> To provide for the immediate release of funds for disaster response
Outcome statements	<ul style="list-style-type: none"> Immediate consequences of disasters are mitigated
Outputs	<ul style="list-style-type: none"> Emergency repair of critical infrastructure Emergency provision of goods and services
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Applications for funding from this grant use the National Disaster Management Centre (NDMC) Disaster Grant guideline which includes the following: <ul style="list-style-type: none"> copy of the classification letter in terms of the Disaster Management Act copy of declaration of disaster in terms of the Disaster Management Act number of people affected and the extent of damage and losses sectors affected total funds required for disaster response resources (both financial and in-kind) allocated by the municipality to respond and mitigate the effects of the disaster resources (both financial and in-kind) committed by other role players, including provinces, national departments and Non-Government Organisations funding contribution request from the Municipal Disaster Grant (MDG) costed project and implementation plan over a six month period on how the funds will be spent consolidated projects cash flow as an annexure An initial application for a funding contribution from the MDG may be based on the initial disaster assessment and verification (draft versions of the supporting documentation required above may be accepted for the initial application). The further final application/s must be based on the final disaster assessment and verification
Conditions	<ul style="list-style-type: none"> Copies of the declaration and classification documents signed-off by the relevant authorities in terms of the Disaster Management Act must be submitted to the NDMC Funds from this grant must be used to support the provision of basic municipal services, including: <ul style="list-style-type: none"> the provision of temporary shelter in the event that the Department of Human Settlements is unable to make provision for immediate housing, with evidence that they are unable to make such provisions the provision of humanitarian relief, in the event that the Department of Social Development is unable to make provision, with evidence that they are unable to make such provisions Municipalities must fund a portion of the costs of the disaster response and recovery from their own budget; if unable to do so, proof must be provided Funds from this grant may be utilised to reimburse municipalities for expenditure incurred which could not be accommodated within the municipality's own budget. In cases where municipalities require reimbursement of funds spent, municipalities are to consult the NDMC through the Provincial Disaster Management Centres (PDMCs) for approval prior to spending the funds. Proof of expenditure in the form of invoices must be availed to the relevant PDMC and NDMC in case reimbursement is required Funds from this grant must be utilised within three calendar months following the date of the transfer of the funds to the municipality Emergency procurement system provided for Treasury Regulations should be invoked to ensure immediate assistance by the affected municipalities
Allocation criteria	<ul style="list-style-type: none"> The grant is allocated based on declared municipal disasters and reports of immediate disaster relief needs. Funding may however be released in tranches, with the first tranche being based on an initial assessment and verification of the immediate disaster relief needs
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This grant provides funding for responding to and providing relief for unforeseeable and unavoidable disasters
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R363 million was allocated and R36 million was transferred to municipalities in Limpopo, KwaZulu-Natal and Mpumalanga provinces <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Emergency relief was provided to municipalities as follows: <ul style="list-style-type: none"> Umjindi Local Municipality to repair a bridge and water pipelines Mbombela Local Municipality to repair a water plant, damaged roads, storm water drainage, culverts and bridges Nkomazi Local Municipality to repair damaged culverts, bridges, water treatment works and replacement of water pumps Bela-Bela Local Municipality to repair a water pump station uThukela District Municipality (Imbabazane, Ukhahlamba and Indaka Local Municipalities) to drill boreholes to respond to drought uMzinyathi District Municipality (Msinga, Nquthu, Umvoti, Endumeni Local Municipalities) to drill boreholes to respond to drought

Municipal Disaster Grant	
	<ul style="list-style-type: none"> ○ uMgungudlovu District Municipality (Mpofana, Umngeni, Impendle and Umshawathi Local Municipalities) to drill boreholes to respond to drought ○ iLembe District Municipality (KwaDukuza, Ndwedwe and Maphumulo Local Municipalities) to drill boreholes to respond to drought
Projected life	<ul style="list-style-type: none"> ● This grant is expected to continue over the medium term, and will be subject to review
MTEF allocations	<ul style="list-style-type: none"> ● 2016/17: R270 million; 2017/18: R300 million; and 2018/19: R318 million
Payment schedule	<ul style="list-style-type: none"> ● Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of National Disaster Management Centre</p> <ul style="list-style-type: none"> ● Advise municipalities and PDMCs about the existence of the grant and how grant funding can be applied for ● Circulate an updated guideline on the items that will qualify for funding through this grant by end June 2016. This guideline must be consistent with the disaster response funding request template agreed to with the National Treasury ● Establish procedures for funding items already purchased by municipalities ● Conduct a preliminary cost verification and submit an initial request to the National Treasury within 14 days following receipt of the written initial funding request from the PDMC and municipality ● Together with the affected municipalities and provinces, conduct assessments of disaster impacts to verify the final applications for funding within 35 days following the receipt of written funding requests and as per the requirements of the Disaster Management Act ● Seek approval from National Treasury for the final disbursement of funds to municipalities within 35 days following the receipt of the written final funding request and submission of the preliminary report from the PDMC and municipality ● Confirm what support national sector departments are providing and ensure there is no duplication ● Provide written advice on the timing of disbursements to municipalities and transfer these funds to municipalities within five days of drawing the funds from the National Revenue Fund ● Notify the relevant municipality of a transfer at least one day before transfer and transfer the funds no later than five days after notification ● Notify the relevant PDMC copying relevant sector departments and the provincial treasury of a transfer and reason for transfer within five days of the transfer of funds to municipalities ● Build relationships and establish the necessary communication channels with relevant national and provincial departments to ensure the country has a coordinated approach to disaster response ● Provide National Treasury and the relevant provincial treasury with written notification of the transfer within 14 days of a transfer of this grant ● Provide expenditure reports to National Treasury in line with the Division of Revenue Act (DoRA) and the Public Finance Management Act (PFMA) within 20 days after the end of each month ● Provide a performance report to National Treasury in the disaster allocation monitoring template agreed to with the National Treasury within 45 days after the end of the quarter in which funds are spent. Purchase invoices to be an annexure to the reports <p>Responsibilities of Provincial Disaster Management Centres</p> <ul style="list-style-type: none"> ● Advise municipalities and relevant provincial sector departments about the existence of the grant and how grant funding can be applied for ● Together with the affected municipalities, conduct initial assessments of disaster impacts to verify the applications for initial funding within 14 days following the occurrence of the incident ● Together with the NDMC and the affected municipalities, conduct assessments of disaster impacts to verify the final applications for funding within 35 days following the occurrence of the incident, and as per the requirements of the Disaster Management Act ● Assist municipalities with requests for disaster funding, and monitor projects to ensure that the funds are used for intended purposes and provide reports to the NDMC and relevant provincial treasury ● Coordinate, analyse and submit expenditure reports on progress regarding the implementation of the projects to NDMC within 15 days after the end of each month in which funds are spent. Purchase invoices to be included as an annexure to the reports ● Coordinate, analyse and submit performance reports which include evidence, on the implementation progress of the projects to the NDMC within 35 days after the end of the quarter in which funds are spent. Purchase invoices to be included as an annexure to the reports ● All reports must be signed off by the head of the PDMC <p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> ● Cooperate with the NDMC, relevant PDMC and provincial and national sector departments to conduct damage assessment and cost verification ● Submit initial request for funding within 14 days following the declaration of a disaster ● Initiate requests for disaster funding and monitor projects ● Municipalities must follow emergency procurement processes when spending the grant funds ● Municipalities must monitor all projects and ensure funds allocated are spent for their intended purposes ● Submit expenditure reports which include evidence (such as purchase invoices) of implementation progress on the projects to the relevant PDMC within 10 days after the end of each month in which funds are spent ● Submit a performance report which includes evidence of implementation progress on the projects to the PDMC within 30 days after the end of the quarter in which funds are spent ● All reports must be signed off by the Accounting Officer
Process for approval of 2017/18 MTEF allocations	<ul style="list-style-type: none"> ● Not applicable

Municipal Disaster Recovery Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> To restore functionality of municipal infrastructure following a disaster
Grant purpose	<ul style="list-style-type: none"> To rehabilitate and reconstruct municipal infrastructure damaged by a disaster
Outcome statements	<ul style="list-style-type: none"> Municipal infrastructure damaged by a disaster rehabilitated and reconstructed
Outputs	<ul style="list-style-type: none"> Municipal infrastructure damaged by a disaster reconstructed and rehabilitated
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> This grant uses the template/framework developed by the National Disaster Management Centre (NDMC) which must include a project implementation plan, highlighting: <ul style="list-style-type: none"> list of projects to be implemented in order of priority timeframes within which the projects will be implemented estimated costs of projects disaster risk reduction measures for the proposed reoccurrence of disaster related damage in the future number of households to benefit from the projects and estimated jobs to be created
Conditions	<ul style="list-style-type: none"> A business plan and project implementation plan signed by the Accounting Officer aligned to the post disaster verification assessment report must be submitted to the NDMC Disaster reconstruction and rehabilitation funds must only be utilised for approved projects as listed in the post disaster verification assessment reports and approved business plans Quarterly financial and non-financial performance reports on disaster allocations must be submitted to the NDMC through the relevant Provincial Disaster Management Centres (PDMC) Municipalities liaise and align the disaster recovery projects with the Municipal Infrastructure Grant projects to ensure proper monitoring and reporting of projects Transfers will only be made if municipalities have submitted financial and non-financial reports required in terms of the 2016 Division of Revenue Act for this financial year and the previous financial year (if funds for disaster recovery were allocated in that year) Funds will be transferred in tranches, the transfer of tranches will depend on the compliance from municipalities with the rules of the grant, particularly the submission of performance reports (including evidence) for this financial year and the previous financial year (if funds for disaster recovery were allocated in that year)
Allocation criteria	<ul style="list-style-type: none"> The grant is allocated based on approved post-disaster reconstruction and rehabilitation assessment reports Only post-disaster reconstruction and rehabilitation projects that have been submitted for verification assessments within a six month time frame following a disaster will be considered
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This grant caters for recovery after unforeseen disasters
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R191 million was allocated, and the R191 million (100 per cent of the allocation) was transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Following disasters, the grant was provided for the repair and replacement of infrastructure in the following municipalities: <ul style="list-style-type: none"> City of Tshwane: repair damaged municipal clinics, sports facilities and electrical infrastructure Giyani Local Municipality: repair damaged municipal roads and bridges Vulamehlo Local Municipality: repair of roads and bridges, crèches and halls Umdoni Local Municipality: repair of roads and bridges Ugu Municipality: repair of roads, bridges and storm water infrastructure Umkhumbane Local Municipality: repair of roads and bridges EThekweni Metropolitan Municipality: repair of roads, bridges and municipal houses Emnambithi Local Municipality: repair of storm water infrastructure, roads, bridges and streetlights Okhahlamba Local Municipality: repair of roads, bridges and storm water infrastructure Bushbuckridge Local Municipality: repair of roads and bridges Mbombela Local Municipality: repair of culverts Umjindi Local Municipality: repair of culverts Dr Pixley ka Seme Local Municipality: repair of culverts and roads Hessequa Local Municipality: repair of municipal infrastructure, roads, storm water infrastructure Kannaland Local Municipality: repair of roads and bridges Mosselbay Local Municipality: repair of roads Overstrand Local Municipality: repair of municipal buildings Swellendam Local Municipality: repair of storm water infrastructure Overberg Local Municipality: repair of roads and bridges Laingsburg Local Municipality: repair of roads Langeberg Local Municipality: repair of roads Breede Valley Local Municipality: repair of roads
Projected life	<ul style="list-style-type: none"> The grant is projected to end in 2016/17 but will be subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R140 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury

Municipal Disaster Recovery Grant	
Responsibilities of the transferring officer and receiving officer	Responsibilities of National Disaster Management Centre <ul style="list-style-type: none"> • Advise municipalities about the existence of the grant and its conditions • Provide municipalities with a final post-disaster verification assessment report that includes a project list and projected costs for all infrastructure to be reconstructed or rehabilitated. This report must be provided through the relevant PDMC • Monitor the implementation of projects together with the affected municipalities and provinces • Make payments to municipalities in accordance with the approved payment schedule • Transfer funds only when evidence on project performance and expenditure reports are submitted
	Responsibilities of Provincial Disaster Management Centres <ul style="list-style-type: none"> • Advise municipalities about the existence of the grant and its conditions • Assist municipalities with the rapid assessment reports to be submitted to the NDMC • Provide support to municipalities with regard to the final post-disaster verification report • Ensure that the final post-disaster verification report is signed-off by both the accounting officer in the municipality and the provincial department • Provide a copy of the final post-disaster verification report to municipalities • Assist municipalities with business plans incorporating the implementation plan and disaster risk reduction measures for the proposed projects to prevent reoccurrence of disaster related damages in future • Conduct on-site visits to monitor and report on the implementation of projects and provide reports of progress to the NDMC • Provide financial and non-financial reports to the NDMC within 10 days after the end of each month. Photographs depicting the projects progress should be included as an annexure • Provide expenditure and project performance reports including evidence to the NDMC within 35 days after the end of the quarter in which funds are spent
	Responsibilities of municipalities <ul style="list-style-type: none"> • Develop and submit business plans incorporating implementation plans and disaster risk reduction measures for the proposed projects to prevent reoccurrence of disaster related damages in future • Conduct on-site visits to monitor and evaluate the impact of projects and provide reports which include evidence to the NDMC through the relevant PDMC • Utilise the funds in line with the approved post-disaster verification assessment report • Provide financial and non-financial reports to the PDMC within five days of the end of each month. Photographs depicting the project progress should be included as an annexure • Provide financial and non-financial performance reports signed-off by the Municipal Manager to the PDMC within 30 days after the end of the quarter in which funds are spent
Process for approval of 2017/18 MTEF allocations	<ul style="list-style-type: none"> • Not applicable

Municipal Demarcation Transition Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> Facilitate the successful implementation of major boundary changes due to come into effect at the time of the 2016 local government elections
Grant purpose	<ul style="list-style-type: none"> To subsidise the additional institutional and administrative costs arising from major boundary changes due to come into effect at the time of the 2016 local government elections
Outcome statements	<ul style="list-style-type: none"> Municipalities affected by major boundary changes have administrations that are responsive, accountable, effective, efficient and developmental
Outputs	<ul style="list-style-type: none"> Number of policies, systems, procedures and plans prepared to facilitate the smooth transition to a new municipality in 2016
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: A responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities Financial implications
Conditions	<ul style="list-style-type: none"> To receive transfers from this grant, municipalities must participate in a Change Management and Transitional Committees (CMTC) with the provincial departments and other municipality/municipalities impacted by the same boundary change Funds may only be used in terms of a business plan approved by the national Department of Cooperative Governance (DCoG) The grant may only be used to fund the following administrative costs to the extent that additional costs arise as a result of the impact of major boundary changes: <ul style="list-style-type: none"> consolidation of records management between affected municipalities development of new organograms (including of work study, job evaluation, job description) enactment of a new set of by-laws communication and public participation directly related to the mergers rationalisation and alignment of municipal policies alignment of geographic information system data alignment of valuation rolls tariff restructuring debt reconciliation information technology system amalgamation (infrastructure and systems) merging asset registers financial management systems transitional costs relating to existing staff/personnel, limited to retrenchment packages, relocation costs and salary equalization, only after an organogram has been finalized and all posts evaluated The new municipality established in Limpopo (LIM345) may also spend grant funds to recruit new staff and construct, refurbish or upgrade municipal office and administrative infrastructure Municipalities may not use grant funds to appoint additional staff Before procuring any professional services or new or upgraded systems, the terms of reference must be reviewed and approved by the provincial department responsible for local government Any systems purchased or upgraded with funding from this grant must comply with the relevant requirements set by national government, including being compatible with the municipal standard chart of accounts
Allocation criteria	<ul style="list-style-type: none"> Funds are only allocated to municipalities affected by major boundary changes Allocations are based on the number of previously existing municipalities affected by major boundary changes (i.e. the number of municipalities being merged or split). Allocations also take into account whether or not municipalities already received transfers from this grant in 2015/16
Reason not incorporated in equitable share	<ul style="list-style-type: none"> The grant funds the costs associated with major boundary changes due to come into effect at the time of the 2016 local government elections
Past performance	<p>2014/15 audited financial performance</p> <ul style="list-style-type: none"> New grant introduced in 2015/16 <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> New grant introduced in 2015/16
Projected life	<ul style="list-style-type: none"> This is a three year grant to assist municipalities with the 2016 major boundary changes. It came into effect in 2015/16 and will terminate in 2017/18

Municipal Demarcation Transition Grant	
MTEF allocations	<ul style="list-style-type: none"> ● 2016/17: R297 million; and 2017/18: R112 million
Payment schedule	<ul style="list-style-type: none"> ● Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the national transferring officer and receiving officer	<p>Responsibilities of national department</p> <ul style="list-style-type: none"> ● Assess business plans in collaboration with provincial departments ● Approve business plans by 31 October 2016 ● Submit quarterly progress reports to the National Treasury ● Prescribe a template for business plans ● Only transfer funds after consulting with the provincial department responsible for local government
	<p>Responsibilities of provincial departments responsible for local government</p> <ul style="list-style-type: none"> ● Fulfill all responsibilities in terms of section 14 of the Municipal Structures Act ● Monitor and coordinate the resources allocated to municipalities, provinces and national government to ensure there are no duplications and that the grant is only used for additional costs resulting from boundary changes ● Assist the national department to assess municipalities' business plans ● Assist affected municipalities to jointly plan and manage the process through the CMTC ● Assist the national department to coordinate reporting from municipalities ● Appoint a transformation manager (funded from the province's own budget)
	<p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> ● CMTCs must submit draft business plans by 29 April 2016 in the format prescribed by DCoG ● Municipalities must submit final business plans within 30 days after the 2016 elections ● Report to the national and relevant provincial department on a monthly basis on financial performance and on a quarterly basis against the performance targets set out in the business plan ● Participate in transitional structures
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> ● CMTC must agree on proposed business plan ● Draft business plans to be submitted to the national DCoG by 14 October 2016 ● Final business plans must be submitted by 18 November 2016

Municipal Infrastructure Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> Subsidise the capital costs of providing basic services to poor households
Grant purpose	<ul style="list-style-type: none"> To provide specific capital finance for eradicating basic municipal infrastructure backlogs for poor households, micro enterprises and social institutions servicing poor communities
Outcome statements	<ul style="list-style-type: none"> Improved access to basic services infrastructure for poor communities
Outputs	<ul style="list-style-type: none"> Number of poor households impacted through the construction of new infrastructure and upgrading and renewal of existing infrastructure for: <ul style="list-style-type: none"> basic water and sanitation services central collection points for refuse, transfer stations, recycling facilities and solid waste disposal sites sport and recreation facilities street and community lighting public facilities Number of kilometres of municipal roads developed and maintained Number of work opportunities and Full-Time Equivalents (FTEs) created using Expanded Public Works Programme (EPWP) guidelines for the above outputs
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> This grant uses the Municipal Infrastructure Grant (MIG) registration form as agreed with sector departments, which includes: <ul style="list-style-type: none"> project title sector timeframes for implementation cost of the project
Conditions	<ul style="list-style-type: none"> To receive the first tranche, municipalities must have followed the process for approval of 2016/17 projects and have confirmed by 7 June 2016 with the Department of Cooperative Governance (DCoG) their programme, project planning and implementation readiness. This should be done prior to the year of implementation and be informed by their Integrated Development Plan (IDP) and three year capital plans MIG priorities set by municipalities (as stated in their three year capital plan) can only be changed with municipal council approval, the concurrence of the sector departments and the approval of DCoG MIG must be allocated and transferred directly to a category B or C municipality that has the powers and functions for basic services referred to in section 84 of the Municipal Structures Act, to enable the municipality to provide basic municipal infrastructure to the poor, in line with their functions Municipalities must prioritise MIG for eligible beneficiaries and infrastructure that includes: <ul style="list-style-type: none"> basic residential infrastructure for the poor for water, sanitation, roads, waste management, street lighting, community facilities as well as associated municipal bulk and connector infrastructure new or upgrading of municipal bulk, connector and reticulation infrastructure to support existing areas and the formalisation of settlements renewal of eligible infrastructure servicing the poor subject to the confirmation by the relevant sector department of the state of infrastructure and a commitment from the municipality of how on-going operations and maintenance of the renewed infrastructure will be funded and performed maintenance of roads infrastructure mainly servicing the poor Municipalities must spend at least 60 per cent of their previous transfer and comply with reporting provisions before the second and subsequent transfers are made Municipalities must spend 40 per cent of their total MIG allocation by December 2016 Municipalities must comply with sector norms, standards and legislation as confirmed by sectors during the MIG project registration processes Local municipalities investing in roads infrastructure must utilise data from the Rural Road Asset Management System (RRAMS), where available, to identify and prioritise their investment on roads projects; including maintenance Municipalities with bucket sanitation backlogs must prioritise the eradication of these backlogs. Bucket eradication projects must be planned in conjunction with provinces and national government to ensure alignment of projects implemented by each sphere. Transfers may be withheld or stopped if a municipality with substantial bucket sanitation backlogs does not comply with this condition Ring-fenced sport infrastructure allocation: <ul style="list-style-type: none"> municipalities that have allocations gazetted as part of the ring-fenced allocation for specific sport infrastructure projects may only spend these allocations on the projects identified by Sport and Recreation South Africa (SRSA) municipalities must make use of transversal contracts approved by SRSA when implementing projects funded from this allocation

Municipal Infrastructure Grant	
	<ul style="list-style-type: none"> • Sport infrastructure as part of the P-component: <ul style="list-style-type: none"> ○ municipalities must submit plans for spending 33 per cent of their P-component allocation on sport and recreation infrastructure projects. These plans must be submitted as part of the normal MIG planning process, but will be reviewed and approved by SRSA to ensure they comply with norms and standards before construction can begin • Municipalities must use the EPWP guidelines to facilitate labour-intensive construction methods on MIG projects and provide information on the number of work opportunities created • Municipalities identified to participate in the regional management support programme must agree to do so as a condition for receiving MIG funds • Municipalities must plan and procure MIG-funded projects in accordance with infrastructure planning and procurement policies (as issued by National Treasury) and must certify to DCoG within 45 days after the appointment of the service provider that their procurement procedures have been followed • A municipality must consider procuring goods and services for water and sanitation projects through nationally set up framework contracts (where available) before utilising municipal procurement processes • A maximum of five per cent of municipalities' MIG allocations may be used for project management costs related to grant funded projects and only if a business plan is approved • At least 95 per cent of municipalities' allocation must be used on eligible MIG funded projects, including maintenance on roads mainly servicing the poor • Withholding or stopping of transfers and reallocation of MIG allocations will be instituted where municipalities deviate from and/or do not comply with the conditions above
Allocation criteria	<ul style="list-style-type: none"> • Part 5 of Annexure W1 to the 2016 Division of Revenue Bill sets out the MIG formula in detail, showing how the formula incorporates backlog and poverty data • The ring-fenced R300 million for sport infrastructure is allocated based on estimated costs of projects that: <ul style="list-style-type: none"> ○ fill identified gaps and are confirmed with the provincial departments responsible for sports and the municipalities ○ align to the National Sport and Recreation Plan and transformation imperatives ○ align to priority sport codes
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • This is a specific purpose grant with conditions, objectives and distribution criteria different from that of the equitable share
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> • The MIG programme was allocated R14.3 billion in the 2014/15 financial year. An amount of R14.2 billion (99 per cent) was transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • Additional poor households receiving: <ul style="list-style-type: none"> ○ water: 126 456 ○ sanitation: 135 054 • Number of additional kilometres of municipal roads developed: 1 343 km • Number of additional recycling facilities and solid waste disposal sites: 35 • 197 sport and recreation facilities created • Number of additional poor households serviced by street/community lighting: 21 292 • 233 public facilities created • Number of work opportunities created using EPWP guidelines for above outputs: 188 291 work opportunities
Projected life	<ul style="list-style-type: none"> • The programme will continue up to 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R14.9 billion; 2017/18: R16 billion; and 2018/19: R16.9 billion
Payment schedule	<ul style="list-style-type: none"> • Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer, national departments, provincial departments and receiving officer	<p>Responsibilities of national department</p> <ul style="list-style-type: none"> • The Department of Cooperative Governance (DCoG) administers the MIG and co-ordinates its activities with all stakeholders, through appropriate structures. DCoG must: <ul style="list-style-type: none"> ○ monitor expenditure and non-financial performance in collaboration with provincial DCoG's ○ coordinate overall programme implementation • The Municipal Infrastructure Support Agent must assist municipalities in the submission of asset management data where available, and provide the necessary training on access and use of the Municipal Infrastructure Performance Management Information System for development of individual municipal asset registers where required • In addition to the sector-specific responsibilities, each national sector department will be expected to: <ul style="list-style-type: none"> ○ provide information on service delivery priorities per municipality as expressed within sectoral plans and municipal Integrated Development Plans ○ submit information requested on project registrations to DCoG by 30 September 2016 ○ confirm adherence to sector norms and standards for MIG funded projects through the MIG registration process, which includes participation in the district appraisal processes

Municipal Infrastructure Grant	
	<ul style="list-style-type: none"> ○ confirm the current state of maintenance where municipalities have applied for funding of renewal projects ○ fulfill a sectoral monitoring and guidance role on relevant sectoral outputs ○ advise which sphere (provincial or national – even if different across provinces) should sign-off MIG projects ○ sign-off on project close out reports, thereby acknowledging the projects have been completed as intended ● Department of Water and Sanitation: <ul style="list-style-type: none"> ○ support and monitor municipalities to prepare and implement Water Services Development Plans ○ monitor and oversee progress on water and sanitation projects implemented through the MIG ○ ensure alignment between the MIG programme, Regional Bulk Infrastructure Grant and the Water Services Infrastructure Grant ● Department of Environmental Affairs: support municipalities with planning and implementation of solid waste management projects and monitor their performance and compliance with conditions applicable to this sector ● Department of Energy: support municipalities with planning and implementation of public lighting and monitor municipalities' performance and compliance with conditions applicable to this sector ● Department of Transport: support municipalities with planning and implementation of municipal roads projects in terms of Rural Roads Asset Management Systems (RRAMS) data and monitor municipalities' performance and compliance with conditions applicable to this sector ● Sport and Recreation South Africa: <ul style="list-style-type: none"> ○ identify projects with targeted municipalities to be allocated funds outside of the MIG formula ○ award transversal tenders for the procurement of services relating to sport infrastructure ○ support municipalities with planning and implementation of municipal sport and recreation facilities and monitor municipalities' performance and compliance with conditions applicable to this sector ● Department of Public Works: <ul style="list-style-type: none"> ○ monitor compliance with the EPWP guidelines and advise municipalities on the use of labour intensive processes, systems, techniques and approaches ○ monitor the number of work opportunities and FTEs created on MIG funded projects that contribute towards EPWP ○ ensure that municipalities register their EPWP projects on the EPWP reporting system and monitor compliance to norms and standards applicable to this sector
	<p>Responsibilities of provincial departments responsible for local government</p> <ul style="list-style-type: none"> ● Verify the accuracy of project registration forms, monthly, quarterly and annual reports and forward these to DCoG ● Coordinate district appraisal and progress committee meetings ensuring that DCoG and relevant sector departments are invited ● Issue registration letters for projects approved by the district appraisal committees to municipalities, copying DCoG ● Coordinate technical support to municipalities ● Monitor project implementation in collaboration with sectors and submit site visit reports to DCoG ● Monitor compliance with provincial legislation and alignment to Provincial Growth and Development Strategies through project registration ● Monitor performance of municipal Project Management Units and recommend relevant sanctions for under-performance to DCoG ● Provide assistance to municipalities in managing municipal infrastructure projects <p>Responsibilities of provincial sector departments</p> <ul style="list-style-type: none"> ● Each provincial sector department must fulfil a sectoral monitoring and guidance role on relevant sectoral outputs ● Provide technical advice as required by a municipality through the feasibility, planning, design, tender and construction phases of a MIG project
	<p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> ● Municipalities must ensure appropriate programme and project planning and implementation readiness prior to the year of implementation and this must be informed by the IDP and three year capital plan ● Municipalities must monitor each project and ensure that MIG funds are spent for the intended purpose as registered under the MIG-Management Information System ● The municipality must report monthly, quarterly and annually in the prescribed formats and timelines, signed by the municipal manager or the delegated official to national government via the provinces
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> ● Over time, secondary cities should be treated in the same way as metros by the grant system as they also face challenges related to developing integrated and dynamic urban economies. In the short term however, the capacity of secondary cities and the scale of urban challenges facing them is sufficiently different to metros and thus cannot be immediately be included in the same grant as metros. Special rules and processes for secondary cities will however be included in the MIG from 2017/18 through a "MIG-2" funding stream

Municipal Infrastructure Grant	
	<p>Under the MIG-1 funding stream:</p> <ul style="list-style-type: none"> • Municipalities must submit all technical reports to the sector departments responsible for water, sanitation, solid waste, sport and recreation, roads and transport by 29 July 2016, for all projects to be implemented in 2017/18 • The responsible sector department must evaluate reports and provide final recommendations to the municipality by 30 September 2016 • The municipality must submit all project registration forms by 3 October 2016, for the projects to be implemented in 2017/18, to the provincial department responsible for local government • The provincial departments must provide final recommendations to municipalities by 30 November 2016 • Municipalities must submit to DCOG by 31 January 2017, detailed project implementation plans for all the projects to be implemented in the 2017/18 and 2018/19 financial years • Such plans should include timelines regarding project designs, initiation of procurement, and Environmental Impact Assessment (EIA) and/or relevant permit/license approvals in the prescribed format • Municipalities must submit updated implementation plans as mentioned above by 7 June 2017, justifying any changes from the 31 January 2017 detailed plan <p>Under the MIG-2 funding Stream (for secondary cities):</p> <ul style="list-style-type: none"> • Eligible municipalities will be identified by relevant stakeholders and communicated by DCoG by 31 May 2016 • These eligible municipalities can apply to be part of MIG-2 by 1 August 2016 • Applications will be evaluated by DCoG, National Treasury and relevant stakeholders by end of August 2016 to confirm whether these municipalities qualify to participate • The municipal infrastructure programme and reporting matrix must be submitted by the municipality to DCoG by 30 November 2016 • DCoG and relevant MIG stakeholders to evaluate submissions and provide a final recommendation to the municipality by 31 January 2017

Municipal Systems Improvement Grant	
Transferring department	<ul style="list-style-type: none"> Cooperative Governance and Traditional Affairs (Vote 4)
Grant schedule	<ul style="list-style-type: none"> Schedule 6B
Strategic goal	<ul style="list-style-type: none"> An efficient and developmental sphere of government capable of delivering services to local communities
Grant purpose	<ul style="list-style-type: none"> To assist municipalities to perform their functions and stabilise institutional and governance systems as required in the Municipal Systems Act, the Municipal Property Rates Act and related legislation
Outcome statements	<ul style="list-style-type: none"> A responsive, accountable, effective and efficient local government system
Outputs	<ul style="list-style-type: none"> Number of municipalities supported with improved record management systems Number of municipalities supported with improved, functional and integrated performance management systems Number of municipalities benefitting from the rollout and implementation of simplified revenue plans
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: A responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> This grant uses a memorandum of understanding that includes: <ul style="list-style-type: none"> outcome indicators output indicators key activities inputs details of how the systems and practices developed will be sustained over the long-term
Conditions	<ul style="list-style-type: none"> The Department of Cooperative Governance and the benefitting municipality must sign a memorandum of understanding that includes: details of the activities and deliverables being funded, responsibilities of each stakeholder, protocols for engagements and feedback, the budget for each activity and timeframes for implementation Municipalities must pass a council resolution supporting the memorandum of understanding Technical support to municipalities must include transfer of skills to municipal officials Grant funds may be spent on building the capacity of municipalities with respect to the purpose and outputs listed for this grant
Allocation criteria	<ul style="list-style-type: none"> In 2016/17 allocations are targeted to municipalities with a history of poor audit outcomes, municipalities in the 27 priority district municipalities and non-metropolitan municipalities with large outstanding debts owed to creditors Over the MTEF funds may be allocated to municipalities not reached in 2016/17
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> The grant is conditional and aimed at building the capacity of targeted municipalities to implement sound institutional and governance systems required in terms of the Local Government: Municipal Systems Act
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> The direct grant was allocated R252 million and R252 million (100 per cent) was transferred municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 174 municipalities were supported to strengthen administration systems to enhance effective public/ward committee participation 209 municipalities were supported with systems to enable year-on-year improvement in audit outcomes 234 municipalities were supported with various information systems that support effective service delivery
Projected life	<ul style="list-style-type: none"> The grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R84 million; 2017/18: R103 million; and 2018/19: R115 million
Payment schedule	<ul style="list-style-type: none"> Payments are made to contracted implementing agents after verification of work performed
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of national department</p> <ul style="list-style-type: none"> Management, monitoring and reporting of the programme Agree on Memorandums of Understanding (MoUs) with participating municipalities Coordinate with National Treasury to ensure that the capacity building activities of the two departments are complimentary Submit reports consistent with the reporting requirements in the 2016 Division of Revenue Act <p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> Identify municipal officials that will be recipients of skills transfer Ensure that municipal officials participate actively in all activities funded through this grant Ensure systems and practices developed through this grant are sustained as part of the operations of the municipality Submit reports consistent with the reporting requirements in the 2016 Division of Revenue Act
Process for approval of 2017/18 transfers	<ul style="list-style-type: none"> Targeted municipalities must sign a memorandum of understanding and pass a council resolution in support of this memorandum of understanding

ENERGY GRANTS

Energy Efficiency and Demand Side Management Grant	
Transferring department	<ul style="list-style-type: none"> Energy (Vote 26)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> To reduce electricity consumption by promoting energy efficient practices
Grant purpose	<ul style="list-style-type: none"> To provide subsidies to municipalities to implement Energy Efficiency and Demand Side Management (EEDSM) initiatives within municipal infrastructure in order to reduce electricity consumption and improve energy efficiency
Outcomes statements	<ul style="list-style-type: none"> Reduced demand for electricity Increased awareness of energy saving Skills development in energy efficiency Energy management capability enhanced
Outputs	<ul style="list-style-type: none"> Amount of electricity saved in GWh Number of energy efficient street lights Number of energy efficient traffic lights Number of buildings retrofitted Number of units of water services infrastructure retrofitted
Details contained in the business plans	<ul style="list-style-type: none"> Outcome indicators Output indicators Key activities Inputs
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 9: A responsive, accountable, effective and efficient developmental local government system Outcome 10: Protect and enhance our environmental assets and natural resources
Conditions	<ul style="list-style-type: none"> Funds can only be used to implement electricity saving projects in municipal infrastructure The focus for implementation of energy efficiency interventions shall be limited to buildings, streetlights, traffic lights, and waste water treatment and pump stations The municipality shall determine a detailed and extended electricity consumption baseline in line with standards set by the South African Bureau of Standards (SABS) Municipalities must respond to the request for proposals issued by the Department of Energy (DoE) in the format provided Municipalities must sign a contractual agreement with the DoE Prepare an EEDSM work plan and business plan in the templates provided for the implementation of the project activities Selected municipalities will employ the services of the accredited or certified service providers as determined by the DoE through an open and fair process
Allocation criteria	<ul style="list-style-type: none"> The following criteria are considered favourably in the selection of municipalities to receive allocations from the grant: <ul style="list-style-type: none"> municipalities that have responded to the request for proposals as issued by the DoE and shown a higher electricity saving potential in their proposal municipalities with clearly defined municipal objectives on energy efficiency improvements proposals that use proven energy efficient technologies with costs that have a minimal pay-back period municipalities that show readiness to implement the EEDSM projects good past performance if a municipality has previously participated in the programme quality, viability and financial feasibility of proposed projects capacity to implement the EEDSM project activities
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This is a specific conditional transfer in support of the EEDSM programme
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> The total grant allocation of R137 million was transferred to all participating municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> A total electricity saving of 18.45 GWh was reported against the projected savings of 23.57 GWh. These energy savings were reported in line with the prescribed monitoring and evaluation system
Projected life	<ul style="list-style-type: none"> The grant will continue until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R186 million; 2017/18: R203 million; and 2018/19: R215 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Monitoring and evaluation of the EEDSM programme including measurement and verification of energy savings Provide municipalities with guidance and support through capacity building workshops on best practices and pricing for EEDSM projects Communicate to municipalities the process and requirements for obtaining EEDSM grant funds in 2017/18 Develop a fair and open process to accredit and establish a panel of competent service providers with technical expertise to support municipalities during the implementation of EEDSM projects

Energy Efficiency and Demand Side Management Grant	
	Responsibilities of municipalities <ul style="list-style-type: none">• Submit proposals as per the request for proposal issued by transferring officer• Implement the EEDSM programme as per the framework and contractual agreement• In the implementation of EEDSM projects, use service providers accredited by DoE• Submit to the DoE the monthly and quarterly reports approved by the municipal manager
Process for approval of 2017/18 business plans	<ul style="list-style-type: none">• Allocations for 2017/18 will be based on the proposals submitted in line with the request for proposal issued by the Department of Energy• Proposals must be submitted by 28 October 2016 and shall be evaluated against the criteria set out in the framework

Integrated National Electrification Programme (Municipal) Grant	
Transferring department	<ul style="list-style-type: none"> Energy (Vote 26)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> To reduce the backlogs of un-electrified households and to fund bulk infrastructure to ensure constant supply of electricity
Grant purpose	<ul style="list-style-type: none"> To implement the Integrated National Electrification Programme (INEP) by providing capital subsidies to municipalities to address the electrification backlog of occupied residential dwellings, and the installation of bulk infrastructure
Outcome statements	<ul style="list-style-type: none"> A reduction in household electrification backlogs Universal access to electricity and improvement in distribution infrastructure reliability
Outputs	<ul style="list-style-type: none"> The number of connections to households per annum The number of bulk infrastructure installations Implementation of labour intensive methods on electrification projects and the number of jobs created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 6: An efficient, competitive and responsive economic infrastructure network Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Key activities Inputs
Conditions	<ul style="list-style-type: none"> Adhere to labour intensive construction methods in terms of the Expanded Public Works Programme (EPWP) guidelines for activities such as trenching, planting of poles, etc Register electrification master plans for bulk infrastructure with INEP and abide by the advice or guidance of the Department of Energy (DoE) regarding the central planning and co-ordination for such bulk infrastructure Use INEP funds for the refurbishment of critical infrastructure, only upon submission of a project plan which must be approved by DoE Utilise own funding if the subsidy is insufficient (top-up funding must be available) Minimum size of supply of 1.2 KVA, After Diversity Maximum Demand 20 Amp per household connection, in line with the Suite of Supply Policy Municipalities may utilise up to R1.5 million of the total allocation for service fees (pre-engineering and Eskom connection fee) if approved by the DoE in their business plans
Allocation criteria	<ul style="list-style-type: none"> Allocations are based on an assessment of applications from licensed municipal distributors based on: <ul style="list-style-type: none"> high backlogs rural bias number of occupied households for connection projects past performance integration with other programmes such as 27 priority district municipalities, the National Development Plan, catalytic projects, and mining towns, the financial, technical and staff capabilities to distribute electricity and expand and maintain networks consultation with communities in terms of the Integrated Development Plan process ensuring that universal access objectives are fast tracked infrastructure which is in a state of disrepair, unsafe and which prohibits further connections informal settlements where service delivery has been prioritised new and upgrading of bulk infrastructure projects are allocated based on: (i) future electrification needs; and, (ii) where distribution network reliability adversely impacts economic activity
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This is a specific conditional capital transfer for electrification of households
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> R1.1 billion was allocated and transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 76 828 households were connected, five new bulk substations installed, 15 substations upgraded, 440.6 km of New MV lines installed and 12.3 km of MV lines upgraded
Projected life	<ul style="list-style-type: none"> Grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R1.9 billion; 2017/18: R2.1 billion; and 2018/19: R2.2 billion
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of national department</p> <ul style="list-style-type: none"> Agree with municipalities on outputs and targets Continuously monitor implementation and provide support to municipalities Verify reports from municipalities <p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> Ensure that projects are implemented in line with what is reflected in the Integrated Development Plan of the municipality Report accurately and timeously on the management of this grant
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Application forms are sent to municipalities and the evaluation of all applications and business plan proposals received from municipalities is completed by 12 August 2016

Integrated National Electrification Programme (Eskom) Grant	
Transferring department	<ul style="list-style-type: none"> Energy (Vote 26)
Grant schedule	<ul style="list-style-type: none"> Schedule 6B
Strategic goal	<ul style="list-style-type: none"> To reduce the backlogs of un-electrified households and fund bulk infrastructure to ensure constant supply of electricity
Grant purpose	<ul style="list-style-type: none"> To implement the Integrated National Electrification Programme by providing capital subsidies to Eskom to address the electrification backlog of occupied residential dwellings, the installation of bulk infrastructure and rehabilitation and refurbishment of electricity infrastructure in order to improve quality of supply in Eskom licenced areas
Outcome statements	<ul style="list-style-type: none"> A reduction in household electrification backlogs Universal access to electricity and improvement in distribution infrastructure reliability
Outputs	<ul style="list-style-type: none"> The number of household connections per annum The number of bulk infrastructure installations Implementation of labour intensive methods on electrification projects and the number of jobs created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 6: An efficient, competitive and responsive economic infrastructure network Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> Plans need to have undergone pre-engineering and project feasibility approval Projects must be prioritised by municipalities in their Integrated Development Plans (IDPs) and supporting letters must be provided to demonstrate that municipalities are in agreement with projects to be undertaken Eskom to comply with requirements to provide approved bulk projects in their business plans
Allocation criteria	<ul style="list-style-type: none"> Allocations to Eskom are made on behalf of municipalities based on applications from Eskom for non-licensed municipalities according to the following criteria: <ul style="list-style-type: none"> high backlogs rural bias integration with other programmes such as 27 priority district municipalities, the National Development Plan and other infrastructure programmes like catalytic projects and mining towns cost of project is within benchmarked norms project is aligned with the IDP for a particular municipality
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This is a specific conditional capital transfer for electrification of households and bulk infrastructure
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> The grant was allocated R2.9 billion and the entire amount was transferred to Eskom, of which R1.8 billion (64 per cent) was spent by the end of the financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 150 674 connections were completed at the end of the financial year (includes connections funded from rollovers)
Projected life	<ul style="list-style-type: none"> The grant will continue until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R3.5 billion; 2017/18: R3.9 billion; and 2018/19: R4 billion
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Agree with Eskom on outputs and targets Continuously monitor implementation Provide central coordination for bulk infrastructure Approve submissions for refurbishment of critical infrastructure <p>Responsibilities of Eskom</p> <ul style="list-style-type: none"> Minimum size of supply of 2.5 KVA, After Diversity Maximum Demand, 20 Amp per household connection and applicable supply for clinic connections, in line with the Suite of Supply Policy Report to the Department of Energy and National Treasury on monthly and quarterly expenditure for the grant
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Eskom and the Department of Energy must ensure that all planned projects are in line with the municipal IDP and priority list Eskom and the Department of Energy must ensure that planned projects are feasible and have gone through the pre-engineering process

HUMAN SETTLEMENTS GRANT

Urban Settlements Development Grant	
Transferring department	<ul style="list-style-type: none"> Human Settlements (Vote 38)
Grant schedule	<ul style="list-style-type: none"> Schedule 4B
Strategic goal	<ul style="list-style-type: none"> To assist metropolitan municipalities to improve household access to basic services through the provision of bulk, link and internal reticulation infrastructure, with a focus on the poor; and urban land production to support broader urban development, spatial integration and inclusion by supplementing the capital budgets of metropolitan municipalities
Grant purpose	<ul style="list-style-type: none"> Supplements the capital revenues of metropolitan municipalities in order to support the national human settlements development programme, focusing on poor households
Outcome statements	<ul style="list-style-type: none"> The outcomes to be realised in order to promote integrated sustainable human settlements and improved quality of household are: <ul style="list-style-type: none"> increased individual household access to basic services and related infrastructure increased acquisition and availability of well-located land for human settlements development increased access of poor households to public and socio-economic amenities supporting densification and transit oriented development projects connecting existing and new housing developments ensure the provision of infrastructure for mixed income and mixed use developments to support the leveraging of private and non-state sector grants and funding in support of approved human settlements catalytic projects improving the sustainability of the livelihoods of poor households within each municipality's area of jurisdiction
Outputs	<ul style="list-style-type: none"> The following outputs should be funded by the grant to support the improvement of the overall built environment: <ul style="list-style-type: none"> increase in bulk infrastructure capacity increase in provision of basic services to individual poor households, specifically in informal settlements and back yards, including water, sanitation, solid waste, electricity, refuse removal, roads and access to transport increase in land provision for informal settlement upgrading, subsidy housing, or mixed use developments in support of approved human settlements catalytic projects increase in access to public and socio-economic amenities improved dwelling unit densities within an improved human settlements spatial integration framework increase in number of serviced sites in informal settlements upgrading and/or in-situ projects and green-fields and/or infill developments
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 8: Sustainable human settlements and improved quality of household life Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in business plan	<ul style="list-style-type: none"> This grant uses the Urban Settlements Development Grant (USDG) performance matrix, that is consistent with the Integrated Development Plan (IDP), including the human settlements chapter of the IDP, and the Service Delivery and Budget Implementation Plans (SDBIPs) of the receiving municipalities
Conditions	<ul style="list-style-type: none"> A minimum of 50 per cent of the USDG allocation must be spent on the provision of individual basic services to households living in informal settlements either through in-situ upgrades, relocation or integrated development projects Metros must submit an annual Built Environment Performance Plan (BEPP), USDG Performance Matrix and SDBIP aligned to the IDP, the national Department of Human Settlements and National Treasury The flow of the first instalment is subject to: <ul style="list-style-type: none"> submission of the 2015/16 third quarter report, signed-off by the municipal Accounting Officer (AO) including the performance matrix with non-financial information submission of the annual BEPP and USDG performance matrix for 2016/17 that is aligned to the municipal IDP, SDBIP and national priorities by 27 May 2016 The flow of the second instalment will be conditional upon the: <ul style="list-style-type: none"> submission of the 2015/16 fourth quarter report signed-off by the AO of the municipality including the performance matrix with non-financial information submission of the 2016/17 first quarter report signed-off by the AO of the municipality to the Transferring Officer (TO) and the National Treasury The flow of the third instalment will be conditional upon submission and approval of the signed-off second quarter report by the AO to the TO and the National Treasury including the performance matrix with non-financial information Metros which do not spend 60 per cent of their transferred funds by the end of the second quarter, may have subsequent transfers stopped and reallocated The metros must submit an annual USDG performance matrix containing a project list with project names, project descriptions, classification of infrastructure, Geographic Information System (GIS) coordinates and wards in which projects are being developed. The submission should include motivations of how the projects will benefit poor households and information on spatial targeting, co-funding and other associated investments A maximum of three per cent of the USDG may be used to procure capacity to support the implementation of USDG human settlements programme outputs as contained in the Medium Term Strategic Framework (MTSF)

Urban Settlements Development Grant	
Allocation criteria	<ul style="list-style-type: none"> The base allocation is derived from the Municipal Infrastructure Grant formula explained in part 5 of annexure W1 of the 2016 Division of Revenue Bill The formula incorporates household backlogs in basic services and access to socio-economic services and poverty-weighted data
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This is a supplementary capital infrastructure grant with conditions, objectives and distribution criteria (including infrastructure backlogs) aimed at improving outcomes of the application of the equitable share
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> The grant was allocated R10.2 billion, and R10.2 billion (100 per cent) was transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Delivery performance is indicated in the performance evaluation reports for 2014/15
Projected life	<ul style="list-style-type: none"> The programme will continue until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R10.8 billion; 2017/18: R11.5 billion; and 2018/19: R12 billion
Payment schedule	<ul style="list-style-type: none"> Transfers will be made in accordance with a payment schedule approved by National Treasury
Responsibilities of transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Develop indicators for the outcomes and outputs Convene a structured forum to meet with municipalities on a quarterly basis Monitor and evaluate the municipal financial and non-financial performance of the grant, including quarterly summary reports on performance across municipalities Provide support to municipalities with regards to human settlement programmes Ensure collaboration between provinces and municipalities to promote area based planning, budget and funding alignment as well as implementation support, where applicable Undertake oversight visits to municipalities as may be necessary Facilitate strategic and spatial planning support related to human settlements development Submit an evaluation report on the 2015/16 municipal grant to National Treasury by 28 October 2016 Provide systems, including the Housing Subsidy System that supports the administration of the human settlements delivery process Comply with the responsibilities of the TO outlined in the Division of Revenue Act (DoRA) Coordinate and facilitate interaction between national departments, state owned enterprises, other relevant entities of the state, provincial departments of Human Settlements and participating municipalities When under expenditure and under performance is identified, the department may shift funds within the municipalities in line with DoRA processes and requirements and with the concurrence of donor and receiving municipalities Participating in the budgeting process as and when indicated by National Treasury for benchmarking Review and approve the USDG performance matrix <p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> Submit 2015/16 evaluation reports in terms of the USDG performance matrix, as contained in SDBIP, to the TO on or before 26 August 2016 Metropolitan municipalities may replace non performing projects with performing projects providing similar infrastructure is funded that fulfils the same policy objectives. This replacement should not jeopardise the achievement of the overall MTSF targets committed to by the municipality Changes to the approved project list may only be made once a quarter and the metro must notify the department in writing and provide all the relevant details of the new project within 2 weeks of the end of each quarter Submit monthly financial reports, as contemplated in section 71(5) of the Municipal Finance Management Act (MFMA), within 10 working days after the end of each month indicating reasons for deviation and remedial action. Such reports to be submitted to the national department, provincial departments and National Treasury Ensure that their USDG performance matrix is consistent and aligned with national priorities and provincial human settlements plans Comply with the terms and conditions of the receiving officer outlined in the DoRA Municipalities should request the roll-over of unspent funds through National Treasury and inform the transferring officer of all processes regarding the request Ensure effective and efficient utilisation of the grant and ensure it is aligned to the purpose and output of the grant Ensure compliance with required intergovernmental forums and reporting and accountability frameworks for human settlements Ensure that the USDG is used to ensure that the municipality meets its MTSF targets as contained in Outcome 8
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Municipalities must submit a comprehensive USDG performance matrix as included in the BEPP which shall include indicators and targets aligned to the MTSF, IDP and SDBIP and a draft and/or approved municipal budget Municipalities must submit their first draft of the USDG performance matrix to the TO by 10 March 2017 and the final USDG performance matrix should be submitted by 12 May 2017

NATIONAL TREASURY GRANTS

Local Government Financial Management Grant	
Transferring department	<ul style="list-style-type: none"> • National Treasury (Vote 7)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5B
Strategic goal	<ul style="list-style-type: none"> • To secure sound and sustainable management of the fiscal and financial affairs of municipalities
Grant purpose	<ul style="list-style-type: none"> • To promote and support reforms in financial management by building capacity in municipalities to implement the Municipal Finance Management Act (MFMA)
Outcome statements	<ul style="list-style-type: none"> • Improved capacity in financial management of municipalities • Improved and sustained skills development including the appointment of at least five interns per municipality supporting the implementation of financial management reforms focusing on the gaps identified in Financial Management Grant (FMG) support plans • Appropriately skilled financial officers appointed in municipalities, consistent with the minimum competency regulations • Improvement in budget practices consistent with the budget reforms • Improvement in management of revenue and expenditure, assets and liabilities • Improvement in supply chain management (SCM) practices • Timely submission of financial statements and improved audit outcomes • Improvement in municipal financial governance and oversight
Outputs	<ul style="list-style-type: none"> • Number of municipal officials registered for financial management training • Number of interns serving on the internship program per municipality • Submission of the FMG support plans • Preparation and implementation of multi-year budgets • Improved submission of financial management reports • Number of municipalities that reviewed or adopted a system of delegations • Improvement in Supply Chain Management (SCM) practices • Number of internal audit units and audit committees established • Preparation and implementation of financial recovery plans, where appropriate
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 9: Responsive, accountable, effective and efficient developmental local government system • Outcome 12: An efficient, effective and development oriented public service
Details contained in the business plan	<ul style="list-style-type: none"> • This grant uses an FMG support plan which identifies weaknesses in financial management, which are planned to be addressed through the grant allocation
Conditions	<ul style="list-style-type: none"> • FMG funds can be used towards the following: <ul style="list-style-type: none"> ○ establishment of a Budget and Treasury Office (BTO) with positions filled by appropriately qualified personnel ○ establishment of SCM capacity, an Internal Audit unit and Audit Committees ○ at least five interns appointed over a multi-year period ○ on-going review, revision and submission of FMG support plans to National Treasury that address weaknesses in financial management ○ acquisition, upgrade and maintenance of financial management systems to produce multi-year budgets, in-year reports, Service Delivery and Budget Implementation Plans, Annual Financial Statements, annual reports and automated financial management practices including the municipal Standard Chart of Accounts ○ review and adoption of a delegation system ○ support the training of municipal officials in financial management towards attaining the minimum competencies, as regulated in Government Gazette 29967 of June 2007 ○ preparation and timely submission of annual financial statements for audits ○ support implementation of corrective actions to address audit findings in municipalities that received adverse and disclaimer opinions ○ technical support in financial management to municipalities must include the transfer of skills to municipal officials ○ the preparation of a financial recovery plan and the implementation thereof, where appropriate ○ implementation of financial management reforms and addressing shortcomings identified in the Financial Management Capability Maturity Model (FMCMM) Assessment Report for that municipality ○ ensuring timely submission of the FMG support plan consistent with the conditions of the grant • Regular, timely submission of reports with completed information • Expenditure must be maintained at appropriate levels
Allocation criteria	<ul style="list-style-type: none"> • All municipalities benefit from allocations to augment own resources in support of implementation of the financial management reforms • Priority is given to municipalities: <ul style="list-style-type: none"> ○ with challenges/shortcomings in processes, procedures and systems to effectively implement the MFMA identified in the FMCMM assessment ○ with adverse and disclaimer audit opinions

Local Government Financial Management Grant	
Reason not incorporated in equitable share	<ul style="list-style-type: none"> Grant provides direct support to municipalities to develop financial management and technical capacity for the implementation of the MFMA and its regulations
Past performance	2014/15 audited financial outcomes <ul style="list-style-type: none"> R449 million was allocated and transferred to municipalities
	2014/15 service delivery performance <ul style="list-style-type: none"> All 278 municipalities submitted FMG support plans As at 30 June 2015, 1281 graduate finance interns were serving on the internship program in municipalities Additional support provided by the national department: <ul style="list-style-type: none"> Internship workshops to improve the programme and sustain the reforms, were concluded in five provinces (Free State, Gauteng, Mpumalanga, Northern Cape and North West) The grant supported the following outputs: <ul style="list-style-type: none"> there were 128 municipal managers and 140 chief financial officers that completed the Municipal Finance Management Programme (MFMP) training of the 177 municipalities that utilised the FMG to prepare their 2014/15 Annual Financial Statements, 171 (97 per cent) submitted their annual financial statements to the Auditor-General for auditing by 31 August 2015 97 municipalities utilised the FMG to develop audit action plans and implement corrective actions to address 2013/14 audit findings 201 municipalities utilised the FMG to acquire/upgrade and maintain their financial management systems 199 municipalities adopted their 2015/16 budgets within the prescribed period (30 June 2015) 194 municipalities approved their 2015/16 Service Delivery and Budget Implementation Plans 169 municipalities submitted their signed Quarter 4 Section 71 reports to National Treasury 105 municipalities utilised the FMG to establish internal audit units and audit committees
Projected life	<ul style="list-style-type: none"> Ongoing with periodic reviews as the financial reforms are still in progress
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R465 million; 2017/18: R502 million; and 2018/19: R531 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> Management, monitoring and reporting of the programme Transfer funds to municipalities in terms of the Division of Revenue Act Undertake on-going monitoring of municipalities
	Responsibilities of the municipalities <ul style="list-style-type: none"> Submit support plans consistent with conditions of the grant Submit reports consistent with the reporting requirements in the Division of Revenue Act
Process for approval of 2017/18 MTEF allocations	<ul style="list-style-type: none"> Ongoing review, revision and submission of the FMG support plans to address weaknesses in financial management The programme is based on the FMG support plans submitted by municipalities before the start of the municipal financial year

Integrated City Development Grant	
Transferring Department	<ul style="list-style-type: none"> National Treasury (Vote 7)
Grant schedule	<ul style="list-style-type: none"> Schedule 4B
Strategic goal	<ul style="list-style-type: none"> The development of more inclusive, liveable, productive and sustainable urban built environments in metropolitan municipalities
Grant purpose	<ul style="list-style-type: none"> To provide a financial incentive for metropolitan municipalities to achieve a more compact urban spatial form through integrating and focussing their use of available infrastructure investment and regulatory instruments
Outcome statements	<ul style="list-style-type: none"> Improved spatial targeting and sequencing of public investments in the urban built environment to achieve a more compact, inclusive, productive and sustainable urban spatial form
Outputs	<ul style="list-style-type: none"> Number of infrastructure projects - including public transport, roads, water, energy, housing, land acquisition and development - in implementation within identified integration zones Number of integrated strategic/catalytic projects planned within identified integration zones Number of authorised studies/strategies completed
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 6: An efficient, competitive and responsive economic infrastructure network Outcome 8: Sustainable human settlements and improved quality of household life Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> Eligibility is restricted to metropolitan municipalities which must have: <ul style="list-style-type: none"> obtained a financially unqualified audit opinion from the Auditor General (AG) for the 2014/15 financial year, or finalised an audit action plan by 26 February 2016 achieved acceptable levels of capital expenditure performance (reported a variance between adjusted budgeted and actual expenditures of 35 per cent or lower to the National Treasury for the 2014/15 financial year) Municipalities have the authority to select preferred investments within their functional mandates, and within identified integration zones. Eligible expenditures include: (i) any capital expenditure within the functional mandate of the municipality within identified integration zones; (ii) authorised direct operating expenditure to produce analytical or diagnostic studies, strategy development or transaction advisory assistance related to the development or implementation of strategies for identified integration zones A municipality may apply to the Transferring Officer (TO), by no later than 31 August 2016, to utilise a maximum of 15 per cent of the total annual allocation to undertake specified planning activities within integration zones, provided that: <ul style="list-style-type: none"> these conform to the list of eligible activities identified by the TO, including: <ul style="list-style-type: none"> property market empirical and diagnostic studies integrated infrastructure and spatial planning for identified integration zones investment pipeline development (excluding direct project preparation) development of infrastructure financing strategies and instruments development of policies, by-laws and systems for the administration of development charges enhanced policies and procedures for environmental and social management in infrastructure delivery the municipality can demonstrate the ability to implement these activities within the financial year The first transfer of the grant will only be released to a municipality that has submitted a council approved Built Environment Performance Plan (BEPP) in the prescribed format by 31 May 2016 that includes: (i) a pipeline of catalytic projects that has been compiled according to a prescribed format, and (ii) built environment outcome indicators and targets for 2016, that have been compiled according to a prescribed format The second transfer of the grant will only be released to a municipality that has submitted detailed information on the catalytic projects that are in the pipeline in accordance with the standard format provided
Allocation criteria	<ul style="list-style-type: none"> Allocations will be made to eligible metropolitan municipalities on a population-weighted basis in order to account for the relatively greater planning complexity and investment needs in larger metropolitan municipalities. Final allocations are adjusted by performance against the following weighted indicators: <ul style="list-style-type: none"> no decrease in total debt to revenue ratio in 2014/15 (20 per cent) no Section 57 vacancies for longer than six months in 2015 (20 per cent) unqualified audit opinion by AG (with or without findings) for the last financial year (30 per cent) decrease in total value of irregular, fruitless and wasteful expenditure identified by AG (20 per cent) timely submission of 2016 BEPP and performance indicators (10 per cent) For the outer years of the MTEF, allocations per metropolitan municipality have been provided without taking into account any performance adjustments. The allocation figures will be adjusted annually based on actual performance against the weighted indicators listed above

Integrated City Development Grant	
Reason not incorporated in equitable share	<ul style="list-style-type: none"> The grant provides a specific financial incentive for metropolitan municipalities to enhance the performance of their urban built environment programmes. It reflects commitments contained in the National Development Plan to streamline funding for urban public investments to support the restructuring of the urban built environment
Past performance	2014/15 audited financial outcomes <ul style="list-style-type: none"> R255 million was allocated and transferred to municipalities
	2014/15 service delivery performance <ul style="list-style-type: none"> All municipalities submitted BEPPs timeously and identified 14 integration zones The municipalities also indicated 12 catalytic projects being planned and 3 projects under implementation in these integration zones
Projected life	<ul style="list-style-type: none"> The grant will continue over the 2016 MTEF, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R267 million; 2017/18: R292 million; and 2018/19: R309 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> National Treasury will review eligibility criteria and assess compliance with grant conditions prior to the transfer of each grant instalment National Treasury in consultation with the Department of Cooperative Governance and the Department of Rural Development and Land Reform will facilitate engagements on the BEPPs with metropolitan municipalities and other sector departments National Treasury will provide operational guidelines, facilitate peer learning and provide capacity support through the Cities Support Programme National Treasury will authorise applications for the utilisation of grant funds for specified operating purposes National Treasury will review the credibility and measurability of audit plans
	Responsibilities of municipalities <ul style="list-style-type: none"> Submit BEPPs and in-year reports Ensure consistent planning in integration zones, including alignment of Integrated Development Plans, Social Housing Restructuring Zones, Priority Housing Development Areas and Urban Development Zones Strengthen and align their own capacity to support BEPP implementation
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Eligible municipalities must submit their draft BEPP by 2 November 2016 in accordance with requirements outlined in the BEPP guidelines For the 2017/18 financial year the level of capital investment in the integration zones will be considered in the allocation criteria

Infrastructure Skills Development Grant	
Transferring department	<ul style="list-style-type: none"> National Treasury (Vote 7)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> To develop infrastructure delivery management capacity within municipalities by creating a long term and sustainable pool of registered professionals with built environment and related technical skills (engineering, town planning, architecture, quantity surveying, geographic information system and project management)
Grant purpose	<ul style="list-style-type: none"> To recruit unemployed graduates into municipalities to be trained as per the requirements of the relevant statutory councils within the built environment
Outcome statements	<ul style="list-style-type: none"> Develop technical capacity within local government to enhance infrastructure related performance Train graduates with built environment qualifications (national diplomas and degrees) in line with statutory council requirements Increased number of qualified and registered professionals within municipalities Improved infrastructure planning and implementation within municipalities
Outputs	<ul style="list-style-type: none"> Number of built environment graduates registered and trained as per requirements of the relevant statutory councils Number of graduates recognised as registered professionals by the relevant statutory councils Number of graduates employed as registered professionals within the built environment
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 5: A skilled and capable workforce to support an inclusive growth path Outcome 9: A responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> The business plan must demonstrate that the municipality has projects that can support graduates on their road-to-registration Graduates must have a national diploma or degree in the built environment from higher education institutions i.e. Universities or Universities of Technology Municipalities must submit applications for graduates to register as candidates with the relevant statutory councils within six months and complete the candidacy registration process within 12 months of intake Municipalities must provide training as per the road-to-registration requirements of the relevant statutory councils Municipalities must submit evidence of graduate registration to National Treasury when graduates have qualified and are registered as professionals Mentoring must be provided by registered professionals in the same field as the graduates-in-training and the full names and proof of registration of the mentor must be submitted to the National Treasury Infrastructure Skills Development Grant (ISDG) funding is to be utilised exclusively for costs associated with the training/road-to-registration process of graduates (refer to ISDG Guidelines for details) The business plan of a municipality or a training entity must include an absorption strategy for the graduates within the municipality or any other municipality A project administrator per municipality may be appointed for the sole purpose of ISDG related administration (refer to ISDG Guidelines for details) Graduates are to be placed in units to support the management, maintenance and/or implementation of infrastructure, infrastructure related projects, and accelerated service/infrastructure delivery Graduates must be assigned to a supervisor with experience in the same field as the graduates in training Graduates' training progress to be evaluated by professionally registered mentors on a quarterly basis The municipality is to provide and update the list of business tools and assets purchased with the ISDG Municipalities must submit monthly and quarterly reports timeously Graduate reports and/or log books on the road-to-registration must be signed by the registered mentor as required by statutory councils Municipalities must sign a Service Level Agreement with the National Treasury and such agreements must be adhered to Non-compliance with the above conditions can result in the funds being withheld, stopped and re-allocated
Allocation criteria	<ul style="list-style-type: none"> Allocations are based on business plans submitted and the demonstrated ability of municipalities to train graduates for the period stipulated by statutory councils
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This conditional grant is meant to develop technical skills within municipalities
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R104 million was allocated and transferred to 17 municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> The grant has created employment and training opportunities for 435 graduates The following municipalities received the grant: Buffalo City (25 graduates), Nelson Mandela Bay (42 graduates), eThekweni (79 graduates), Ditsobotla (21 graduates), City of Johannesburg (4 graduates), Westonia (13 graduates), Polokwane (17 graduates), Govan Mbeki (109 graduates), Gert Sibande (12 graduates), Lukhanji (8 graduates), Alfred Nzo (15 graduates), Umhlatuze (19 graduates),

Infrastructure Skills Development Grant	
	Sol Plaatjie (15 graduates) , John Taolo Gaetsewe (8 graduates), King Sabata Dalindyebo (13 graduates), City of Cape Town (23 graduates), and George (12 graduates)
Projected life	<ul style="list-style-type: none"> The grant is expected to continue over the Medium Term Expenditure Framework period, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R130 million; 2017/18: R141 million; and 2018/19: R149 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Rollout the programme in municipalities in compliance with the ISDG framework and guidelines Ensure training is aligned to statutory council requirements Monitor and report on the programme Monitor the registration of graduates with the relevant statutory councils by municipalities Monitor financial and non-financial performance of the ISDG Maintain graduates database for the ISDG Work with the Municipal Infrastructure Support Agent and other stakeholders on a strategy to recruit graduates into positions in municipalities after completing their professional registration
	<p>Responsibilities of municipalities or public entities</p> <ul style="list-style-type: none"> Implement the guidelines provided by the National Treasury to recruit unemployed graduates within the built environment and register them with relevant statutory councils Municipalities must prepare a structured training plan, indicating how graduates will be exposed to suitable projects, to ensure that graduates gain adequate overall experience for professional registration Comply with the requirements of the Division of Revenue Act, ISDG guidelines, the Service Level Agreement and the requirements of the relevant statutory councils Attend all meetings and workshops convened by the National Treasury Support and supervise graduates on their road-to-registration training Recruit professionally registered mentors in line with the skills training required Manage the programme and provide progress reports on a monthly and quarterly basis in the standard reporting templates provided by the National Treasury Manage the utilisation of ISDG funds and report to the National Treasury Update and submit the ISDG database of graduates and ISDG assets as required by the National Treasury
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> Interested municipalities must submit a three year business plan by 31 August 2016 for assessment by the National Treasury Participating municipalities to submit revised business plans to the National Treasury by 31 August 2016

Neighbourhood Development Partnership Grant	
Transferring department	<ul style="list-style-type: none"> National Treasury (Vote 7)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B and Schedule 6B
Strategic goal	<ul style="list-style-type: none"> Eradicating spatial inequality towards the creation of liveable, sustainable, resilient, efficient, and integrated towns and cities
Grant purpose	<ul style="list-style-type: none"> To plan, catalyse, and invest in targeted locations in order to attract and sustain third party capital investments aimed at spatial transformation, that will improve the quality of life, and access to opportunities for residents in South Africa's under-served neighbourhoods, generally townships
Outcome statements	<ul style="list-style-type: none"> Spatially integrated cities and towns Diversity of public and private capital investments leveraged into targeted locations Improved ratio of Neighbourhood Development Partnership Grant (NDPG) to third party capital investment into strategic locations Improved municipal capacity to support infrastructure investment planning, prioritisation, and ability to drive long-term spatial transformation
Outputs	<ul style="list-style-type: none"> Targeted locations with catalytic projects, defined as either: <ul style="list-style-type: none"> urban hub precincts with secondary linkages; or built environment upgrade projects in urban and rural townships Leveraged third party capital investment into targeted locations The production and dissemination of toolkits, guidance and/or good practice notes and supporting knowledge sharing events Enhanced municipal strategic competencies in investment targeting, implementation, and urban management
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 4: Decent employment through inclusive economic growth Outcome 8: Sustainable human settlements and improved quality of household life Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> Outcome indicators Output indicators Inputs Key activities
Conditions	<ul style="list-style-type: none"> Compliance with the aims and objectives outlined in a signed memorandum of agreement or funding agreement between the municipality and the transferring officer (TO) Submit cash flow schedules with budgets and timeframes for technical assistance and capital grant (project) implementation as requested by the TO Programme execution is dependent on a sequential and formal acceptance/approval by the TO on NDPG related municipal plans or deliverables Municipalities must commit to forging partnerships with businesses, investors, communities, national and provincial government and state owned entities in order to leverage the third party capital investment required to ensure long term and sustainable outcomes for each precinct
Allocation criteria	<ul style="list-style-type: none"> The grant funds the following activities in targeted locations that are defined as urban hubs: planning, the development of catalytic projects and management activities as well as the development of built environment upgrade projects in rural townships Schedule 6B: Technical assistance allocations support planning, professional programme management costs as well as management activities for projects in targeted locations in order to attract and sustain third party capital investments based on the NDPG's allocation criteria Schedule 5B: Capital grant allocations are determined via a pipeline of prioritised projects that have been identified through the planning process of targeted locations Allocations are focused on municipalities whose circumstances align with the NDPG's criteria, these include: higher population densities, diverse nature of economic activity, concentrations of poverty, inefficient spatial-historical development, improved connectivity and mobility (in particular through improved public transport networks)
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This grant has a strong focus on catalytic nodal and linkage investment in targeted township locations that is not the focus of the equitable share
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R590 million allocated, and R 590 million transferred in Schedule 5B direct transfers to municipalities R58 million allocated in Schedule 6B indirect transfers to municipalities, and R17 million (29.7 per cent) of the allocation was spent by the end of the national financial year <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> 42 NDPG projects under construction (annual) R2.5 billion in estimated third party investment leveraged (cumulative since 2007/08) 317 catalytic projects approved (cumulative since 2007/08) 13 long-term urban regeneration programmes registered (cumulative since 2013/14) Development and distribution of the Urban Hub Design Toolkit as part of the Urban Network Support Guide to strengthening municipal capacity in planning, investment targeting implementation and urban management
Projected life	<ul style="list-style-type: none"> This grant is expected to continue over the medium term, subject to review

Neighbourhood Development Partnership Grant	
MTEF allocations	<p>Direct transfers (Schedule 5B)</p> <ul style="list-style-type: none"> • 2016/17: R624 million; 2017/18: R663 million; and 2018/19: R702 million <p>Allocation-in-kind (Schedule 6B)</p> <ul style="list-style-type: none"> • 2016/17: R22 million; 2017/18: R28 million; and 2018/19: R29 million
Payment schedule	<ul style="list-style-type: none"> • Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • The National Treasury funds plans and catalytic projects in targeted locations that are defined either as urban hubs or as built environment upgrade projects in urban and rural townships, including: <ul style="list-style-type: none"> ○ notifying all municipalities of their allocation status, both directly and via the Neighbourhood Development Partnerships (NDPs) page on the National Treasury website ○ reporting in terms of the Division of Revenue Act (DoRA) ○ determining grant allocations for the Medium Term Expenditure Framework (MTEF) period ○ performing the obligations as set out in the Memorandum of Agreement/Funding Agreements signed between the municipality and the national department ○ governing the acceptance or approval milestones of NDPG related municipal plans or deliverables ○ monitoring, managing and evaluating financial and non-financial performance ○ overseeing and enforcing the conditions of this grant ○ producing and disseminating toolkits, guidance and good practice notes that strengthen competencies in investment targeting, implementation and urban management • The Department of Rural Development and Land Reform is to drive rural development by supporting the planning and infrastructure delivery of identified and agreed NDPG projects, including: <ul style="list-style-type: none"> ○ acting as the agent of the National Treasury on identified and agreed NDPG projects ○ appointing a dedicated project manager to ensure the continuity of NDPG activities ○ reporting monthly to the National Treasury on the progress of NDPG projects ○ providing programme and project management support to municipalities until the NDPG projects are completed and closed ○ motivating to the National Treasury for the reallocation of funding for specific municipal projects ○ integrating existing project and information systems to ensure efficient and effective management of existing NDP projects ○ participating in a joint advisory committee with National Treasury to govern the direction and coordination of the agency function ○ exploring the feasibility of developing grant management capacity <p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> • Compile and submit monthly and quarterly expenditure and progress reports in line with NDPG requirements and as stipulated in the DoRA • Submit a cash flow schedule with budgets and timeframes for technical assistance and/or capital grant implementation as requested by the TO • Provide adequate human resources capacity for the successful coordination and implementation of NDPG projects • Coordinate the development of NDPG related municipal plans or deliverables and ensure that they are aligned with the grant objectives against which performance will be assessed • Manage and monitor technical assistance and/or capital grant implementation ensuring sound financial management and value for money • Maintain accurate and current grant and performance information as specified in NDPG management information formats and systems • Engage stakeholders so as to develop partnerships that leverage funding into the targeted locations • Collect and provide evidence of funding leveraged into each precinct • Mainstream and reflect the NDPG development strategies and plans across the municipality, i.e. through the municipal: <ul style="list-style-type: none"> ○ Spatial Development Frameworks (SDFs) and Capital Investment frameworks (as a chapter in the municipal SDF) ○ Integrated Development Plans (IDPs) ○ Built Environment Performance Plans (BEPPs) - only applicable to metropolitan municipalities
Process for approval of 2017/18 municipal NDPG plans	<ul style="list-style-type: none"> • Submission of NDPG related municipal plans and/or deliverables within the timeframes defined in each municipality's own work plans • Plans and/or deliverables must include an indication of: <ul style="list-style-type: none"> ○ the ability to attract and report on third party funding leveraged ○ the quality of performance and progress reporting ○ the level of NDPG alignment across all municipal development strategies and plans including the coordination, targeting, and prioritisation with other related capital implementation projects as reflected through the municipal SDFs and capital investment frameworks

PUBLIC WORKS GRANT

Expanded Public Works Programme Integrated Grant for Municipalities	
Transferring department	<ul style="list-style-type: none"> Public Works (Vote 11)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B
Strategic goal	<ul style="list-style-type: none"> To provide Expanded Public Works Programme (EPWP) incentive funding to expand job creation efforts in specific focus areas, where labour intensive delivery methods can be maximised
Grant purpose	<ul style="list-style-type: none"> To incentivise municipalities to expand work creation efforts through the use of labour intensive delivery methods in the following identified focus areas, in compliance with the EPWP guidelines: <ul style="list-style-type: none"> road maintenance and the maintenance of buildings low traffic volume roads and rural roads basic services infrastructure, including water and sanitation reticulation (excluding bulk infrastructure) other economic and social infrastructure tourism and cultural industries waste management parks and beautification sustainable land-based livelihoods social services programmes community safety programmes
Outcome statements	<ul style="list-style-type: none"> Contribute towards increased levels of employment Improved opportunities for sustainable work through experience and learning gained
Outputs	<ul style="list-style-type: none"> 60 102 Full Time Equivalents (FTEs) to be created through the grant Number of people employed and receiving income through the EPWP Increased average duration of the work opportunities created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 4: Decent employment through inclusive economic growth Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plans	<ul style="list-style-type: none"> The programme is implemented through municipalities using incentive agreements and project lists that specify the number of FTEs and work opportunities to be created
Conditions	<ul style="list-style-type: none"> EPWP projects must comply with the project selection criteria determined in the EPWP grant manual, the EPWP guidelines set by Department of Public Works (DPW) and the Ministerial Determination updated annually on 1 November each year Eligible municipalities must sign a funding agreement with the DPW before the first grant disbursement, with their final EPWP project list attached Municipalities must report quarterly on all EPWP projects via DPW's EPWP reporting system Reports must be loaded on the EPWP reporting system within 15 days after the end of every quarter in order for progress to be assessed Municipalities must maintain beneficiary and payroll records as specified in the audit requirements in the EPWP grant manual The EPWP grant cannot be used to fund the costs of permanent municipal personnel; however, a maximum of five per cent of the grant can be used to fund contract based capacity required to manage data capturing and on-site management costs related to the use of labour intensive methods The EPWP grant can only be utilised for EPWP purposes, for the projects approved in each municipality's EPWP project list To receive the first planned grant disbursement, eligible municipalities must submit a signed Incentive Agreement with a project list by 10 June 2016 Subsequent grant disbursements are conditional upon eligible municipalities reporting quarterly on EPWP performance within the required timeframes Municipalities must implement their approved EPWP project list and meet agreed job creation targets EPWP branding must be incorporated on any existing signage as per corporate identity manual
Allocation criteria	<ul style="list-style-type: none"> To be eligible for an EPWP grant allocation in the 2016/17 financial year, a municipality must have reported EPWP performance by 15 October 2015. The EPWP grant allocations are based on: <ul style="list-style-type: none"> past EPWP performance the number of FTE jobs created in the prior six quarters past performance with regard to labour intensity in the creation of EPWP work opportunities the need for EPWP work creation in a municipal area, indicated by levels of unemployment, poverty and service backlogs Allocation criteria include a rural bias. Rural municipalities will also be prioritised in terms of technical support for implementation provided by DPW
Reason not incorporated in equitable share	<ul style="list-style-type: none"> This grant is intended to fund expansion of labour intensity in specific focus areas as well as incentivise increased EPWP performance. The grant is based on performance, the potential to expand and the need for EPWP work in key geographic regions
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> The incentive grant had an adjusted allocation of R595 million and 276 eligible municipalities earned the incentive grant and the total adjusted allocated amount of R595 million (100 per cent) was transferred to these municipalities

Expanded Public Works Programme Integrated Grant for Municipalities	
	<p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • 293 027 work opportunities were reported by 276 municipalities and validated on the EPWP system • 79 413 FTE jobs were reported by 276 municipalities and validated on the EPWP system
Projected life	<ul style="list-style-type: none"> • Grant continues until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> • 2016/17: R664 million; 2017/18: R716 million; and 2018/19: R758 million
Payment schedule	<ul style="list-style-type: none"> • Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> • Determine eligibility and set grant allocations and FTE targets for eligible municipalities • Publish on the EPWP website all documents relevant for municipalities to understand and implement the grant, including a grant manual, the relevant EPWP guidelines and the Ministerial Determination • Support municipalities, in the manner agreed to in the grant agreement, to: <ul style="list-style-type: none"> ○ identify suitable EPWP projects and develop EPWP project lists in accordance with the EPWP project selection criteria ○ apply the EPWP project selection criteria and EPWP guidelines to project design ○ report using the EPWP reporting system • Monitor the performance and spending of municipalities according to the signed incentive agreement • Disburse the grant to eligible municipalities • Conduct data quality assessments on a continuous basis, to support good governance and identify areas for administrative improvement • Manage the EPWP coordinating structures in collaboration with provincial coordinating departments to support implementation, identify blockages and facilitate innovative solutions • Conduct site visits to identify where support is needed
	<p>Responsibilities of the eligible municipalities</p> <ul style="list-style-type: none"> • Develop and submit an EPWP project list to DPW by 10 June 2016 • Sign the standard funding agreement with DPW agreeing to comply with the conditions of the grant before receiving any grant disbursement • Agree on the areas requiring technical support from DPW upon signing the grant agreement • Ensure that reporting is done within the timelines stipulated in the grant agreement and that information is captured in the EPWP reporting system • Municipalities must maintain beneficiary and payroll records as specified in the audit requirements in the EPWP grant manual, and make these available to DPW for data quality assessment tests • Reports must be loaded within 15 days after the end of every quarter in order for progress to be assessed
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> • Municipalities must report performance on EPWP projects for the 2016/17 financial year by 14 October 2016 to be eligible for a grant allocation • Municipalities must submit a signed incentive agreement with a project list by 9 June 2017

TRANSPORT GRANTS

Public Transport Network Grant	
Transferring department	<ul style="list-style-type: none"> • Transport (Vote 35)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5B
Strategic goal	<ul style="list-style-type: none"> • To support the National Land Transport Act (Act No. 5 of 2009) and Public Transport Strategy (PTS) and Action Plan in promoting the provision of accessible, reliable and affordable integrated municipal public transport network services
Grant purpose	<ul style="list-style-type: none"> • To provide funding for accelerated construction and improvement of public and non-motorised transport infrastructure that form part of a municipal integrated public transport network and to support the planning, regulation, control, management and operations of fiscally and financially sustainable municipal public transport network services
Outcome statements	<ul style="list-style-type: none"> • Improved public transport network infrastructure and services that function optimally and are safe, convenient, affordable, well managed and maintained • Public transport systems that are accessible to an increasing percentage of the population of urban municipalities and contribute to more spatially efficient urban areas
Outputs	<p>Network Operations Component</p> <ul style="list-style-type: none"> • Number of average weekday passenger trips carried on Public Transport Network Grant (PTNG) funded networks • Number and percentage of municipal households within a 500m walk to an Integrated Public Transport Network (IPTN) station or stop that has a minimum peak period frequency of 15 minutes or better • Percentage uptime for network operating systems as a proportion of the network's public operating hours • Passengers per network vehicle per average weekday <p>Network Infrastructure Component</p> <ul style="list-style-type: none"> • Public transport network infrastructure including dedicated lanes, routes and stops/shelters, stations, depots, signage and information displays, control centres and related information technology, fare systems and vehicles (if the Department of Transport (DoT) approves use of grant funds to purchase vehicles), Non-Motorised Transport (NMT) infrastructure that supports network integration (e.g. sidewalks, cycleways, cycle storage at stations, etc.) • Plans and detailed design related to IPTN infrastructure and operations
Priority outcome(s) of government this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 6: An efficient, competitive and responsive economic infrastructure network • Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> • This grant uses IPTN operational and related plans that include financial modelling
Conditions	<ul style="list-style-type: none"> • Projects must be based on a fiscally and financially sustainable IPTN operational plan (including detailed financial modelling and universal design access plans) approved by the municipal council • Projects must support an integrated network approach as defined in the National Land Transport Act (NLTA) and the Public Transport Strategy and municipalities must manage operations to progressively achieve the standard of service defined in the public transport strategy within available resources • Payments will be conditional on the attainment of milestones specified in the grant allocation letter to each municipality from the DoT. Milestones are based on the approved IPTN operational plans of cities and are defined after consultation with municipalities • All public transport infrastructure and services funded through this grant must ensure that there is provision for the needs of special categories of passengers (including disabled, elderly and pregnant passengers) in line with the requirements of section 11(c)(xiv) of the NLTA • Allocations for this grant are made for two components, with separate conditions applicable to each component as set out below. Allocations for the Network Operations Component will be determined by DoT and National Treasury once municipalities submit an annual operations plan including financial forecasts for 2016/17 by 1 April 2016. Funds for one component can be shifted to the other if approved by National Treasury and DoT • The first tranche is subject to cities submitting, by 15 June 2016, a multi-year financial operational plan (approved by the municipal council) for the duration of the vehicle operating contract • The second tranche is subject to this financial operational plan being submitted to DoT and accepted jointly by National Treasury and the DoT as a basis for future grant allocations • All new Intelligent Transport Solutions (ITS) related contracts that will incur grant expenditure must be jointly approved by DoT and National Treasury before grant funds may be spent on them <p>Network Operations Component</p> <ul style="list-style-type: none"> • Operating subsidies from this component can fund security, station management, fare collection services, control centre operations, information and marketing, network management, insurance, compensation for the economic rights of existing operators and maintenance of infrastructure and systems • From the start of operations, IPTN systems must recover all the direct operating costs of contracted vehicle operators from fare revenue, other local funding sources and, if applicable, from any Public Transport Operations Grant contributions. These direct operating costs consist of fuel, labour, operator administration and vehicle maintenance • From the start of operations on a route, the grant can fund a portion of the per kilometre rate to subsidise up to 100 per cent of the capital cost (including interest and related fees) of vehicles purchased by the vehicle operating company

Public Transport Network Grant	
	<ul style="list-style-type: none"> • IPTN operational plans and on-going operations management must target improved farebox cost coverage, through minimising costs and maximising fare revenues. Municipalities operating network services are required to supply detailed operating performance and operating cost and revenue reports quarterly in the formats prescribed by the DoT • Subsidies for any new or existing service, line, route or phase, will only be transferred after a municipality meets the requirements of DoT's Operational Readiness Framework • Municipalities must enforce rules and bylaws regarding usage of dedicated lanes, fare payment, and operator/supplier compliance with contractual provisions • Municipalities are required to establish specialist capacity to manage and monitor public transport system contracts and operations • Verified data on operator revenue and profitability and draft agreements for the compensation of existing economic rights of affected operators must be provided to DoT prior to concluding agreements on compensation for economic rights • Municipalities must enforce agreements that only legal operators operate on routes subject to compensation agreements <p>Network Infrastructure Component</p> <ul style="list-style-type: none"> • The grant can fund all IPTN-related infrastructure, including for non-motorised transport, upgrades of existing public transport infrastructure and for new infrastructure • Municipalities must demonstrate in their IPTN operational plans that they have attempted to give maximum priority to public and non-motorised transport while minimising costs through using existing infrastructure, road space and public land • For each phase, final network routing, service design and related financial modelling must be submitted to DoT for review and approval before municipalities proceed with detailed infrastructure design • IPTN projects must meet the minimum requirements of the South African Bureau of Standards (including Part S of the Building Regulations) • Contracted operators should finance and own vehicles unless a case for the exceptional use of limited infrastructure funding for vehicle procurement is approved by DoT, in consultation with National Treasury. If approval is granted, any vehicles purchased with grant funds must remain the property of the municipality
Allocation criteria	<ul style="list-style-type: none"> • Allocations are only made to municipalities that submit business plans in line with the above conditions, that demonstrate sufficient capacity to operate an IPTN, and credibly demonstrate the long-term fiscal and financial sustainability of the proposed projects • 80 per cent of available funds are allocated according to a formula. The formula has three equally weighted indicators: <ul style="list-style-type: none"> ○ size of population ○ size of economy ○ number of public transport users • 20 per cent of available funds are allocated through a non-formula component. The allocation of this non-formula component will be led by DoT in consultation with National Treasury and agreed upon at the Joint Committee • Allocations for the Network Operations Component are based on cities' Annual Operations Plans (to be submitted to DoT by 1 April 2016) which indicate the amount of the 2016/17 total allocation to be used within the rules of this component. Approval of these allocations is specified in the DoT allocation letter to municipalities and is based on the following rules: <ul style="list-style-type: none"> ○ DoT approval of the annual operations plan ○ the network operations component can be used in each phase and sub-phase of the introduction of services to fund up to 70 per cent of indirect operating costs for two years after the municipal financial year in which operations start. Thereafter the grant can fund up to 50 per cent. Non-PTNG sources must cover the remaining costs ○ compensation for the economic rights of existing operators can be funded up to 100 per cent in each phase
Reasons not incorporated in equitable share	<ul style="list-style-type: none"> • Infrastructure and operational costs associated with the implementation of the PTS and NLTA were not included in municipal budgets prior to the introduction of IPTN services
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • Public Transport Infrastructure Grant: R5 billion was allocated and R4.8 billion (94 per cent) was transferred to municipalities • Public Transport Network Operating Grant: R1.2 billion was allocated and R1.2 billion (100 per cent) was transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • Cape Town: <ul style="list-style-type: none"> ○ average of 64 000 passengers per weekday ○ successful roll-out of N2 Express service on the Khayelitsha and Mitchells Plain routes to Cape Town ○ compensation paid to 81 taxi operators. Training was also provided to members of the taxi industry • George: <ul style="list-style-type: none"> ○ Phase 1 rolled out December 2014; Phase 2 rolled out February 2015; and Phase 3 rolled out May 2015

Public Transport Network Grant	
	<ul style="list-style-type: none"> ○ major infrastructure planning completed and construction of Nelson Mandela boulevard circle and urban roadside stops completed. Primary fleet vehicles delivered ● Rustenburg: <ul style="list-style-type: none"> ○ completion of 8 km of roadway on the North East Corridor and opening of bridge over the railway line ○ conclusion of a memorandum of agreement with affected taxi operators ● Tshwane: <ul style="list-style-type: none"> ○ A Re Yeng (inception phase) launched and operational with an average of 4000 passengers per weekday ○ infrastructure completed includes: 9.8 km of a dedicated trunk busway, 2.3 km of mixed traffic lanes, 23 km of feeder routes, 26 km of non-motorised transport infrastructure, seven bus stations, 17 feeder bus stops with shelters, 44 feeder stops, one temporary depot and one interim control centre ○ 30 12m buses were delivered ● Ekurhuleni: <ul style="list-style-type: none"> ○ 3.8 km of dedicated bus ways completed, 6 km of complementary route upgraded in Tembisa North and Boksburg South, 12 km non-motorised transport infrastructure and 12 lay-bys completed ● eThekweni: <ul style="list-style-type: none"> ○ wall-to-wall plan for the IPTN network and the Vehicle Operator Contract and institutional model completed ○ 1.3 km of right-of-way lanes completed ● Johannesburg: <ul style="list-style-type: none"> ○ full Phase 1A and 1B systems in operation with an average of 36 648 passengers per week day ○ 14.5 km of the Phase 1C trunk route infrastructure was laid out ● Polokwane: <ul style="list-style-type: none"> ○ 2.4 km of trunk route constructed; 5.9 km of trunk route extension infrastructure and 21.5 km of feeder route infrastructure rehabilitated; 9 bus bays and 10 km of non-motorised transport infrastructure built ● Nelson Mandela Bay <ul style="list-style-type: none"> ○ 3 km of bus lanes completed
Projected life	● The grant will continue until 2018/19, subject to review
MTEF allocations	● 2016/17: R5.6 billion; 2017/18: R6.4 billion; and 2018/19: R6.8 billion
Payment schedule	● Transfers are made in accordance with an agreed payment schedule, approved by National Treasury
Responsibilities of the transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> ● Disburse PTNG funds and monitor PTNG expenditure ● Monitor IPTN implementation progress and operating performance in line with the NLTA and the public transport strategy ● Verify reports from municipalities by conducting at least one site visit per annum ● Allocate the funds based on stated priorities through an allocation mechanism agreed to by the DoT and National Treasury ● Review and comment on draft compensation agreements for economic rights ● Review and comment on the network model submitted by each city ● Evaluate the performance of the grant annually ● Maintain the database of operational performance based on the indicators and continue to track, report and evaluate the performance of the grant based on these measures ● Develop a draft public transport subsidy policy for South Africa ● Submit copies of allocation letters and milestones to National Treasury ● Review public transport strategy to ensure its requirements enable cities to develop fiscally sustainable IPTN systems
	Responsibilities of municipalities <ul style="list-style-type: none"> ● Ensure that projects are implemented in line with approved business plans and are also reflected in the integrated development plan of the municipality. Additional plans that cities will need to complete include: <ul style="list-style-type: none"> ○ network operational plans, including universal design access plans ○ business and financial plans (including financial modelling, economic evaluation, and operator transition plans) ○ institutional network management plan ○ engineering and architectural preliminary and detailed designs ○ public transport vehicle and technology plans ○ marketing and communication plans ● Projects funded from this grant must promote the integration of the public transport network in a city, through: <ul style="list-style-type: none"> ○ physical integration between different services within a single network ○ fare integration between different services ○ marketing integration with unified branding ○ institutional integration between the services ○ spatial integration, in conjunction with other grants directed at the built environment

Public Transport Network Grant	
	<ul style="list-style-type: none"> • Provide budget proposals for the PTNG funding that: <ul style="list-style-type: none"> ○ are based on sound operational and financial plans that cover direct vehicle company operating costs from local sources at a minimum ○ indicate the intended allocations between the network operations component and network infrastructure component • Establish a dedicated project team to plan, manage and monitor infrastructure development and maintenance, as well as operations with an emphasis on optimising vehicle kilometres through full use of procured Intelligent Transport System tools • Compile and submit data that indicates the efficiency and effectiveness of operational services in the formats and using the indicators defined by the DoT
Process for approval of 2017/18 MTEF allocations	<ul style="list-style-type: none"> • Municipalities must submit business plans based on sound IPTN operational plans by 15 June 2016 • DoT and National Treasury will jointly evaluate these plans – based on pre-determined criteria regarding financial and fiscal sustainability and sufficient capacity – for the city’s eligibility for an allocation in the 2017/18 financial year • Municipalities that fail to pass the eligibility criteria will be informed by 29 July 2016 and may be asked to resubmit plans

Rural Roads Asset Management Systems Grant	
Transferring department	<ul style="list-style-type: none"> • Transport (Vote 35)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5B
Strategic goal	<ul style="list-style-type: none"> • Ensure efficient and effective investment in rural municipal roads through development of Road Asset Management Systems (RAMS) and collection of data
Grant purpose	<ul style="list-style-type: none"> • To assist rural district municipalities to set up rural RAMS, and collect road, bridge and traffic data on municipal road networks in line with the Road Infrastructure Strategic Framework for South Africa (RISFSA)
Outcome statements	<ul style="list-style-type: none"> • Improved data on municipal rural roads to guide infrastructure maintenance and investments • Reduced vehicle operating costs
Outputs	<ul style="list-style-type: none"> • Road condition data (paved and unpaved) • Traffic data • Bridge condition data
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 6: An efficient, competitive and responsive economic infrastructure network • Outcome 7: Comprehensive rural development and land reform • Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> • This grant uses Road Asset Management Business Plans which contain the following details: <ul style="list-style-type: none"> ○ network data collection plan ○ network condition and traffic volumes ○ organisational and support plan ○ financial summary ○ details of planned engagements and sharing of information with local municipalities
Conditions	<ul style="list-style-type: none"> • Transfer of the first tranche is conditional on submission of an approved business plan by 29 April 2016 • Transfer of the second tranche is conditional on submission of evidence of engagement and sharing of data with local municipalities • Road authorities must conduct regular condition assessments for paved and unpaved roads and bridges and collect traffic data in accordance with Technical Method for Highways (TMH): TMH 9; TMH 19 and TMH 22 • District municipalities must provide local municipalities with validated information from the condition data collected to enable municipalities to identify and prioritise road maintenance requirements within their own budgets, to improve the condition and extend the lifespan of road infrastructure • For RISFSA Class R1, R2 and R3 roads, data collection requirements are: <ul style="list-style-type: none"> ○ visual condition data not older than two years for pavements and five years for bridges ○ instrumental pavement data for roughness, rut depth and macro texture not older than two years ○ instrumental pavement data for structural strength not older than five years, and ○ traffic data not older than three years • For RISFSA Class R4 and R5 roads, data requirements are: <ul style="list-style-type: none"> ○ visual condition data not older than three years for pavements and five years for bridges ○ traffic data not older than five years • All road condition reports and data collected must be submitted to the national Department of Transport (DoT), and the relevant Provincial Roads Authorities • Systems developed to record data must be compatible with DoT specifications (TRH 26 and TMH 22) for uniformity • Up to a maximum of R1 000 per km per year for paved roads and R500 per km per year for gravel roads of the grant may be allocated towards the road classification and collection of data required by this grant • District municipalities must participate in grant management structures, including attending quarterly rural RAMS meetings • A maximum of five per cent may be used for municipal costs incurred as part of coordination, project management and reporting by the district municipality. This may not be used to appoint municipal officials
Allocation criteria	<ul style="list-style-type: none"> • Extent of network and number of local municipalities within a district municipality • 44 district municipalities will benefit from this grant in the 2016 Medium Term Expenditure Framework
Reason not incorporated in equitable share	<ul style="list-style-type: none"> • This is a specific purpose grant mainly for the provision of systems to collect rural road, traffic data and rural access bridges
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> • R52 million was allocated, and the R52 million (100 per cent of the allocation) was transferred to municipalities <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> • approximately 20 794 km of paved road network, and 163 108 km of unpaved road network had been assessed by the programme in the 28 district municipalities receiving allocations • Poor progress was noted in Sekhukhune and the Department of Transport is assisting the municipality to catch up • 155 graduates have been recruited into the programme

Rural Roads Asset Management Systems Grant	
Projected life	<ul style="list-style-type: none"> The grant has a life span up to 2018/19 and will be subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R102 million; 2017/18: R107 million; and 2018/19: R114 million
Payment schedule	<ul style="list-style-type: none"> Transfers are made in accordance with a payment schedule approved by National Treasury
Responsibilities of the transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> Monitoring implementation of RAMS together with Provincial Road Authorities Data integrity will be checked by DoT and Provincial Road Authorities Provide guidance on sustainable RAMS operations and standards Facilitate interaction between local municipalities and district municipalities in using RAMS outputs as guidance in municipal road infrastructure management Check the quality of data captured on municipalities' RAMS in collaboration with provincial road authorities
	<p>Responsibilities of municipalities</p> <ul style="list-style-type: none"> Municipalities must make provision to maintain RAMS after the lifespan of the grant Data for all rural roads to be updated within two years Employ unemployed youth, S3 experiential training students and young graduates Ensure human capacity at municipalities for the operation of RAMS is built Road quality data on RAMS must be used for planning Municipal Infrastructure Grant (roads) investments as well as roads maintenance funded from other sources Submission of updated RAMS data in TMH 18 format by 29 August 2016
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> District municipalities must submit a Road Asset Management Plan for 2017/18 to DoT by 15 March 2017 The Road Asset Management Plan must contain the following: <ul style="list-style-type: none"> the extent of the road network in the municipality the proportion of municipal roads with updated data captured on its RAMS the condition of the network in the municipality the maintenance and rehabilitation need of the municipal road network the status of the municipality's RAMS Status of institutionalisation of RAMS at district municipality TMH 22 Road Asset Management Plan guideline can be used as template DoT together with Provincial Roads Authorities will evaluate the business plans and progress reports by 2 May 2017

WATER AND SANITATION GRANTS

Bucket Eradication Programme Grant	
Transferring department	<ul style="list-style-type: none"> Water and Sanitation (Vote 36)
Grant schedule	<ul style="list-style-type: none"> Schedule 6B
Strategic goal	<ul style="list-style-type: none"> To eradicate the bucket system and provide a basic level of sanitation in formal areas
Grant purpose	<ul style="list-style-type: none"> To provide funding for the eradication of bucket sanitation in formal areas
Outcome statements	<ul style="list-style-type: none"> The eradication of bucket sanitation through the provision of access to basic infrastructure for sanitation in formal areas Build the capacity of municipalities benefitting from this grant to operate and maintain these schemes
Outputs	<ul style="list-style-type: none"> Number of households previously using bucket toilets provided with basic sanitation
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 8: Sustainable human settlements and improved quality of household life Outcome 9: A responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> This grant uses a Service Level of Agreement (SLA) signed with each municipality and contractor that contains: <ul style="list-style-type: none"> outcome indicators outputs cash flow projections monthly reporting number of structures to be completed
Conditions	<ul style="list-style-type: none"> Spending in terms of this grant must comply with any conditions set in terms of Section 4 of the 2016 Appropriations Act Projects undertaken through this grant may only fund sanitation projects that contribute to the eradication of bucket sanitation Projects funded through this grant must take account of and must not duplicate projects funded through the Urban Settlements Development Grant or Municipal Infrastructure Grant that will eradicate bucket sanitation The Department of Water Sanitation must confirm with the Department of Cooperative Governance and the Department of Human Settlements that these projects do not duplicate projects funded through other conditional grants This grant must prioritise areas where bucket sanitation is still being utilised The Department of Water and Sanitation must enter into a Service Level Agreement (SLA) with the relevant Water Services Authority before any project is implemented. All SLAs must be concluded by 31 March 2016 SLAs must specify: <ul style="list-style-type: none"> the consultation process undertaken with affected communities the alignment between the project plan and the Water Services Development Plan of the municipality where the project is located and any provincial or municipal informal settlement upgrading or settlement development plans approved for the area where the project will be implemented the infrastructure that will be built how maintenance of the infrastructure will be conducted and funded in future agreement by the Water Services Authority that the project should be implemented as an allocation-in-kind
Allocation criteria	<ul style="list-style-type: none"> Funds have been allocated to complete projects in areas where bucket sanitation systems still exist in formal residential areas
Reason not incorporated in equitable share	<ul style="list-style-type: none"> It is a national priority to eradicate bucket sanitation and this grant will accelerate progress towards this goal
Past performance	<p>2014/15 audited financial outcomes</p> <ul style="list-style-type: none"> R899 million was allocated and R282 million was spent (31 per cent) <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Sanitation upgraded for 17 163 households (Eastern Cape 2 672, Free State 3 969, Limpopo 9 091, Northern Cape 1 033 and North West 398) against a target of 43 127 households
Projected life	<ul style="list-style-type: none"> The grant will end in 2016/17, subject to review
MTEF allocations	<ul style="list-style-type: none"> 2016/17: R350 million
Payment schedule	<ul style="list-style-type: none"> Payments are made after verification of work performed

Bucket Eradication Programme Grant	
Responsibilities of national transferring officer and receiving officer	Responsibilities of the national department <ul style="list-style-type: none"> • Facilitate the planning for bucket eradication within national government and coordinate with other spheres of government • Coordinate with municipalities and sign SLAs for the implementation of projects • Submit reports in the format and on the dates prescribed by National Treasury • Department of Water Sanitation must prepare a close out report of the grant and submit it to Parliament in February 2017
	Responsibilities of provincial departments <ul style="list-style-type: none"> • The provincial department responsible for cooperative governance must provide inputs on the draft SLAs and ensure projects implemented through this grant do not duplicate existing projects
	Responsibilities of municipalities <ul style="list-style-type: none"> • Ensure projects implemented through this grant do not duplicate existing projects • Ensure the sustainability of services to support the bucket eradication projects
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> • This grant will end in 2016/17, subject to review

Regional Bulk Infrastructure Grant	
Transferring department	<ul style="list-style-type: none"> Water and Sanitation (Vote 36)
Grant schedule	<ul style="list-style-type: none"> Schedule 5B and Schedule 6B
Strategic goal	<ul style="list-style-type: none"> Facilitate achievement of targets for access to bulk water through successful execution and implementation of regional bulk infrastructure projects or bulk projects of regional significance
Grant purpose	<ul style="list-style-type: none"> To develop new, refurbish, upgrade and replace ageing infrastructure that connects water resources to infrastructure serving extensive areas across municipal boundaries or large regional bulk infrastructure serving numerous communities over a large area within a municipality To develop new, refurbish, upgrade and replace ageing waste water infrastructure of regional significance To pilot regional Water Conservation and Water Demand Management (WC/WDM) projects or facilitate and contribute to the implementation of local WC/WDM projects that will directly impact on bulk infrastructure requirements
Outcome statements	<ul style="list-style-type: none"> Access to water supply enabled through regional bulk infrastructure Proper waste water management and disposal enabled through regional waste water infrastructure
Outputs	<ul style="list-style-type: none"> Number of regional bulk and WC/WDM projects initiated Number of projects completed Number of people or households targeted to benefit from bulk supply Number of people or households benefitting from projects completed Number of municipalities benefitting Number of job opportunities created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> Outcome 6: An efficient, competitive and responsive economic infrastructure network Outcome 7: Comprehensive rural development and land reform Outcome 9: A responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> This grant uses Implementation Readiness Studies (IRS) and funding agreements which contain the following: <ul style="list-style-type: none"> cash flow and implementation milestones details of key stakeholders and main contractors specific funding conditions related to the project
Conditions	<ul style="list-style-type: none"> The Regional Bulk Infrastructure Grant (RBIG) is intended to fund the social component of regional bulk water and waste water projects approved by the Department of Water and Sanitation (DWS), unless arguments for exemption based on affordability are recommended by DWS and approved by National Treasury This grant can be used to build enabling infrastructure required to connect or protect water resources over significant distances with bulk and reticulation systems A financing plan with associated co-funding agreements must be in place prior to implementation of RBIG funded projects All sources of funding for the full cost of the project must be outlined in the Implementation Readiness Study (IRS) and the funding agreement RBIG payments for Schedule 6B allocations will be made to DWS's contracted implementing agent based on invoices on work done All projects must be implemented in line with the approved IRS All projects must be aligned with and referenced to municipalities' Integrated Development Plans (IDPs) and Water Services Development Plans (WSDPs) as well as a detailed plan which shows alignment of RBIG projects with those funded through the Municipal Infrastructure Grant (MIG) and the Water Services Infrastructure Grant If required, a transfer plan must be developed and agreed to prior to the commencement of any new projects
Allocation criteria	<ul style="list-style-type: none"> Projects are assessed individually, and allocations are made by DWS on a project basis, taking into account the following factors: <ul style="list-style-type: none"> demand for water the overall infrastructure needs for the benefiting institution the strategic nature of the project economic importance of an area urgency of the intervention impact of the intervention other appropriate water resources available
Reason not incorporated in equitable share	<ul style="list-style-type: none"> Regional bulk projects are closely linked to water resource planning and development, which is a DWS competency
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> Of an allocation of R4.6 billion; R3.8 billion (81.7 per cent) was spent <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> Nine projects were completed: <ul style="list-style-type: none"> Driefontein Complex Bulk Water Scheme Hlabisa Bulk Water Supply

Regional Bulk Infrastructure Grant	
	<ul style="list-style-type: none"> ○ Mandlakazi Bulk Water Supply ○ Ermelo Bulk Water Supply ○ Msukaligwa Regional Water Supply Scheme ○ Orange River - Colesberg Bulk Water Supply ○ Thembelihle Bulk Water Supply ○ Niekerkshoop Bulk Water Supply ○ Kathu Waste Water Treatment Works ● 75 Projects were in construction phase, 12 projects in design or tender phase and 50 projects in feasibility phase
Projected life	<ul style="list-style-type: none"> ● The grant will continue until 2018/19, subject to review
MTEF allocations	<ul style="list-style-type: none"> ● Direct transfers (Schedule 5B): <ul style="list-style-type: none"> ○ 2016/17: R1.9 billion; 2017/18: R1.9 billion; and 2018/19: R2 billion ● Allocation-in-kind (Schedule 6B): <ul style="list-style-type: none"> ○ 2016/17: R3.5 billion; 2017/18: R2.8 billion and; 2018/19: R2.9 billion
Payment schedule	<ul style="list-style-type: none"> ● Payments for the Schedule 5B allocations are made in terms of a payment schedule approved by National Treasury ● Payments for the Schedule 6B allocations are made after verification of work performed
Responsibilities of the transferring national officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> ● Support the development of Water Services Authorities' water services infrastructure master plans ● Ensure every municipality benefiting from a specific project or scheme is invited to participate in the feasibility and IRS ● Enter into agreements with Water Service Authorities regarding the construction, ownership, funding arrangements, and operation and maintenance of proposed infrastructure prior to the commencement of construction. These agreements must be specified in the IRS and/or in the funding agreement ● If required, ensure the necessary authorisations including environmental impact assessment and water use licences are obtained ● Provide detailed information on the selection criteria and conditions for the grant (RBIG Programme Implementation Framework). Ensure that suitable agreements are in place between any implementing agent who will continue to operate the infrastructure after completion and the Water Service Authority. The department must implement their Skills Transfer and Capacity Building Plan that sets out how the capacity of benefiting municipalities will be developed so that they can continue to perform the function after the Schedule 6B funded project ends ● The department must submit an annual assessment of progress against its Skills Transfer and Capacity Building Plan to National Treasury two months after the end of the national financial year
	<p>Responsibilities of Water Services Authorities</p> <ul style="list-style-type: none"> ● Develop and regularly update a water services infrastructure master plan ● Submit monthly, quarterly and annual progress reports to DWS ● Ensure that projects are appropriately linked to the municipality's water services infrastructure master plans, the Integrated Development Plans and the Water Services Development Plans ● Once a project is completed, ensure adherence to operations and maintenance plans and/or any requirements agreed to, as part of the funding agreement, and ensure the sustainability of the infrastructure ● Ensure integration of planning, funding, timing and implementation of bulk and reticulation projects ● Ensure provision of reticulation services and /or reticulation infrastructure to connect to the bulk infrastructure funded through this grant
Process for approval of 2017/18 business plans	<ul style="list-style-type: none"> ● Due to the long term nature of projects, dates of the various processes are not fixed ● All proposed projects which comply with the RBIG criteria must be registered and listed with DWS's provincial bulk master plans ● At a regional level, a co-ordination committee of key stakeholders to assist with planning of regional bulk projects and the assessment of the IRS and feasibility studies must be in place ● IRS and feasibility studies will be evaluated and approved by DWS ● At a national level, projects are allocated a budget by DWS and submitted to National Treasury for gazetting as indicative budget allocations ● Project funding approval letters will be issued to the benefiting municipalities ● Based on the outcome of the IRS, DWS will nominate the implementing agent for the construction phase and designate the owner of the infrastructure. National Treasury and benefiting municipalities will be informed of the decisions

Water Services Infrastructure Grant	
Transferring department	<ul style="list-style-type: none"> • Water and Sanitation (Vote 36)
Grant schedule	<ul style="list-style-type: none"> • Schedule 5B and Schedule 6B
Strategic goal	<ul style="list-style-type: none"> • To assist Water Services Authorities (WSAs) to reduce water and sanitation backlogs and sustain water and sanitation infrastructure
Grant purpose	<ul style="list-style-type: none"> • To facilitate the planning and implementation of various water and sanitation projects to accelerate backlog reduction and improve the sustainability of services in prioritised district municipalities, especially in rural municipalities • Provide interim, intermediate water and sanitation services that ensure provision of services to identified and prioritised communities, including through spring protection, drilling, testing and equipping of boreholes and on-site solutions • To support drought relief projects in affected municipalities
Outcome statements	<ul style="list-style-type: none"> • An increased number of households with access to reliable, safe drinking water and sanitation services in all municipalities previously covered under Municipal Water Infrastructure Grant, Rural Household Infrastructure Grant and Water Services Operating Subsidy Grant
Outputs	<ul style="list-style-type: none"> • Number of households provided with water and sanitation through: <ul style="list-style-type: none"> ○ reticulated water supply ○ on site sanitation ○ on site water ○ source identification ○ water conservation/water demand management provisioning • Number of households reached by health and hygiene awareness and end user education • Number of job opportunities created
Priority outcome(s) of government that this grant primarily contributes to	<ul style="list-style-type: none"> • Outcome 7: Comprehensive rural development and land reform • Outcome 8: Sustainable human settlements and improved quality of household life • Outcome 9: Responsive, accountable, effective and efficient developmental local government system
Details contained in the business plan	<ul style="list-style-type: none"> • Outcome indicators • Output indicators • Inputs • Key activities
Conditions	<p>Schedule 5B allocations</p> <ul style="list-style-type: none"> • Municipalities must submit business plans signed off by the Accounting Officer in line with their Water Services Development Plans (WSDP) • The Department of Water and Sanitation (DWS) must approve the business plans before projects can be implemented • WSAs may only spend funds in line with approved business plans • WSA must submit monthly financial and quarterly non-financial reports to DWS • All projects funded must be aligned to, and not duplicate, any existing or planned projects funded from other conditional grants or municipal own funds • Funds must be reflected on the capital budget of the municipality • Grant funds may not be spent on operations and routine maintenance • Municipalities must demonstrate in the business plan how they plan to fund and manage the infrastructure over the long term <p>Schedule 6B allocations</p> <ul style="list-style-type: none"> • Municipalities must submit business plans signed off by the Accounting Officer in line with WSDP • DWS must approve the business plans before projects can be implemented • DWS must enter into a Service Level Agreement (SLA) with the relevant municipality before any project is implemented • SLAs between DWS and the WSA must specify: <ul style="list-style-type: none"> ○ the location of the project and communities impacted ○ the consultation process undertaken with affected communities ○ the alignment between the project plan and the municipality's WSDP ○ the interim/intermediate and/or localised infrastructure that will be built or the intervention that will be implemented ○ the cost of the project and timeframe for completion ○ how maintenance of the infrastructure will be conducted and funded in future by the municipality ○ details of how the capacity of the municipality will be strengthened through the project implementation process so that it can implement projects itself in future ○ DWS's implementing agent

Water Services Infrastructure Grant	
	<ul style="list-style-type: none"> ○ agreement by the municipality that the project should be implemented as an allocation-in-kind ● All projects funded must be aligned to, and not duplicate, any existing or planned projects funded from other conditional grants or municipal own funds. Municipalities must demonstrate in the business plan how they plan to fund and manage the infrastructure over the long term ● DWS must facilitate the transfer of skills to municipalities to assist in capacity building and ensure municipalities can operate the projects in future
Allocation criteria	<ul style="list-style-type: none"> ● Allocations are based on the number of households with water and sanitation backlogs, prioritising the 27 priority district municipalities identified by government
Reason not incorporated in equitable share	<ul style="list-style-type: none"> ● The grant is earmarked for specific projects aimed at providing access to water services for communities without access to basic water and sanitation services
Past performance	<p>2014/15 audited financial outcome</p> <ul style="list-style-type: none"> ● Direct Municipal Water Infrastructure Grant: <ul style="list-style-type: none"> ○ of the R1 billion allocated, R783 million (72 per cent) was spent ● Indirect Rural Household Infrastructure Grant: <ul style="list-style-type: none"> ○ of the R65 million allocated, R65 million (100 per cent) was spent ● Direct Water Services Operating Subsidy: <ul style="list-style-type: none"> ○ of the R591 million allocated, R469 million (79 per cent) was spent <p>2014/15 service delivery performance</p> <ul style="list-style-type: none"> ● Municipal Water Infrastructure Grant: <ul style="list-style-type: none"> ○ 40 996 households served ○ 429 jobs created ● Rural Household Infrastructure Grant: <ul style="list-style-type: none"> ○ 4 708 structures completed ● Water Services Operating Subsidy: <ul style="list-style-type: none"> ○ 60 schemes refurbished
Projected life	<ul style="list-style-type: none"> ● The grant will continue until 2018/19 financial year, subject to review
MTEF allocations	<ul style="list-style-type: none"> ● Direct transfers (Schedule 5B): <ul style="list-style-type: none"> ○ 2016/17: R2.8 billion; 2017/18: R3.7 billion; and 2018/19: R4 billion ● Allocations-in-kind (Schedule 6B): <ul style="list-style-type: none"> ○ 2016/17: R312 million; 2017/18: R587 million; and 2018/19: R608 million
Payment schedule	<ul style="list-style-type: none"> ● For Schedule 5B, transfers are made in accordance with a payment schedule approved by National Treasury ● For Schedule 6B, payments are made to contracted implementing agents after verification of work performed
Responsibilities of transferring officer and receiving officer	<p>Responsibilities of the national department</p> <ul style="list-style-type: none"> ● Approve the business plans before funds can be transferred ● Evaluate and approve the business plans for each project ● Ensure that the conditions of the grant and approved business plans are adhered to ● Submit statutory reports (monthly financial, quarterly non-financial and annual performance) to National Treasury ● Implementing agents must submit monthly financial and quarterly non-financial reports to DWS ● In cases where DWS appoints the contractor, a contract must be signed between DWS and the appointed contractor before the project can commence ● Implement the Skills Transfer and Capacity Building Plan ● The department must submit an annual report to National Treasury 45 days after the end of the financial year <p>Responsibilities of water services authorities</p> <ul style="list-style-type: none"> ● Compile and submit signed-off business plans for each project (for the relevant financial year) ● Sustainably operate and maintain funded water and sanitation projects over their lifetime ● Ensure integrated planning for all projects funded through the different grants and programmes the municipality participates in ● Review and sign-off on the technical report for each project ● Ensure adequate participation and involvement of the public in each project, particularly in rural areas ● Manage project implementation in line with the business plan ● Submit monthly, quarterly and annual progress reports in the format prescribed by DWS ● Comply with all the funding conditions agreed to in the business plan

Water Services Infrastructure Grant	
Process for approval of 2017/18 business plans	<ul style="list-style-type: none">• DWS will issue a template and guideline on business plan requirements by 29 July 2016• Business plans must be submitted to DWS by 23 December 2016• Business plans must be approved by DWS by 28 February 2017• Only municipalities that have comprehensive asset management policies and systems in place by the end of the 2018/19 financial year will be eligible to receive this grant

NATIONAL TREASURY

NO. 594

27 MAY 2016

NOMINATION OF CANDIDATES FOR APPOINTMENT ON THE BOARD OF DIRECTORS OF THE LAND BANK IN TERMS OF THE LAND AND AGRICULTURAL DEVELOPMENT BANK ACT, 2002 (ACT No. 15 OF 2002)

In terms of Section 4(1) of the abovementioned Act, the Minister of Finance appoints directors to the Board of the Land Bank to manage the business of the Bank.

Members of the Board are appointed for a term of office determined by the Minister but not exceeding five years.

The Minister of Finance hereby invites persons and stakeholders to submit to him the names and curriculum vitae of persons with strong **Credit Risk, Risk Management, Financial Management, Agriculture, Auditing, Development Finance and Human Resource Management** background to be considered for appointment on the Board of Directors of the Land Bank.

A written acceptance by the nominee, in a form of a letter, must accompany each nomination and each nominee must also certify that he or she is not disqualified to serve as a member of the Board as determined by Section 10 of the Act.

The Minister of Finance determines the remuneration allowances and other benefits of the Chairperson and other Board members.

Nominations should reach the address below not later than 07 June 2016.

Kindly address nominations to: **THE DIRECTOR-GENERAL: NATIONAL TREASURY, ATTENTION: DEPUTY DIRECTOR-GENERAL: ASSET AND LIABILITY MANAGEMENT, PRIVATE BAG X115, PRETORIA, 0001.**

Tel. No. (012) 315-5543

Fax No. 086 543 2950

E-Mail: rudzani.mandiwana@treasury.gov.za

DEPARTMENT OF RURAL DEVELOPMENT AND LAND REFORM

NO. 595

27 MAY 2016

GENERAL NOTICE IN TERMS OF THE RESTITUTION OF LAND RIGHTS ACT, 1994 (ACT NO. 22 OF 1994), AS AMENDED

Notice is hereby given in terms of section 11(1) of the Restitution of Land Rights Act, Act No. 22 of 1994, as amended, that a claim for restitution of land rights has been lodged on the farm Clapham 118 KT which is situated within the Greater Tubatse Local Municipality, Sekukhune District of Limpopo.

Makomane Samuel Manyaka lodged a claim on behalf of Bakone Ba Manyaka on the 09th December 1998. The land claim is on the farm Clapham 118 KT and was allocated KRP: 12176

FARM NAME	OWNER	TITLE DEED	EXTENT (Ha)	BONDS AND RESTRICTIVE CONDITIONS	HOLDER
The farm Clapham 118 KT	Republic of South Africa	T8670/1948	2151.2316H	K143/2000S K1921/2005S K3523/2001L	- - TROJAN PLATINUM LTD
				K3522/2001RM	IMPALA PLATINUM LTD
				K43/2002RM	SAMANCOR LTD
				K7876/2003RM	NDODWANA EXPLORATION PTY LTD
				VA6884/1997	T8670/1948

Any party that has an interest in the above property is hereby invited to submit in writing, within 30 days of publication of this notice, any comment or information under reference number KRP 2126 to:

The Regional Land Claims Commissioner:

Private Bag X9552
Polokwane
0700

Tel: (015) 284 6300

Fax: (015) 295 7404/7403

Email: clientrelations@ruraldevelopment.gov.za

**Submissions may also be Limpopo
delivered to:**

61 Biccard Street
Polokwane
0700

**HARRY MAPHUTHA
REGIONAL LAND CLAIMS COMMISSIONER: LIMPOPO
DATE**

DEPARTMENT OF RURAL DEVELOPMENT AND LAND REFORM

NO. 596

27 MAY 2016

**SPATIAL DATA INFRASTRUCTURE ACT, 2003
(Act 54 of 2003)**

**PUBLICATION OF NAMES OF PERSONS TO SERVE ON THE COMMITTEE FOR
SPATIAL INFORMATION ESTABLISHED IN TERMS OF SPATIAL DATA
INFRASTRUCTURE ACT, 2003**

I, Gugile Ernest Nkwinti (MP), Minister of Rural Development and Land Reform, in terms of section 5 of the Spatial Data Infrastructure Act, 2003 (Act No 54 of 2003), hereby appoint the following persons as members of the Committee for Spatial Information for the period of three years with effect from the date of publication of this notice in a gazette.

MEMBER	ORGANISATION	APPOINTED IN TERMS OF :	ALTERNATE MEMBER
Mmuso Riba	Department of Rural Development and Land Reform	Section 5 (2)a	Not Applicable
Derek Clarke	Department of Rural Development and Land Reform	Section 5 (2)b	Mfanafuthi Gama
Siyabonga Mdubeki	Department of Rural Development and Land Reform	Section 5 (2)b	Sibusiso Dlamini
Lawrance Modise	Statistics South Africa	Section 5 (2)(c)(i)	Ashwell Jenneker
Carey Rajah	Department of Water Affairs	Section 5 (2)(c)(iii)	Not Applicable
Bulelani Didiza	Department of Transport	Section 5 (2)(c)(iii)	Not Applicable
Tsakani Ngomane	Department of Performance Monitoring and Evaluation	Section 5 (2)(c)(iii)	Not Applicable
Isodore Parker	State Security Agency	Section 5 (2)(c)(iii)	Adolph Grimbeek
Petunia Mosoeu	South African Police Services	Section 5 (2)(c)(iii)	Petrus Klopper
Neliswe Sithole	Mpumalanga Premier's Office	Section 5 (2)(d)	Not Applicable
Johannes Hatting	Free State Premier's Office	Section 5 (2)(d)	Christoffel Jansen Van Vuuren
Jacques du Preez	Western Cape Premier's Office	Section 5 (2)(d)	Lauren Lewis
Ubbo Kraak	North West Premier's Office	Section 5 (2)(d)	Dorah Mogorosi

Nwabisa Pulumo	Ehlanzeni District Municipality	Section 5 (2)(e)	Not Applicable
Morena Letsosa	PLATO	Section 5(2)(g)	John Kotze
Serena Coetzee	Council of Higher Education	Section 5(2)(h)	Julian Smit
Jane Olwoch	South African National Space Agency	Section 5(2)(i)	Not Applicable
Adrianus de la Rey	ESKOM	Section 5(2) (i)	Not Applicable
Hermine Roos	Council for Geoscience	Section 5(2) (i)	Andries Grobbelaar
Antony Cooper	Council for Scientific and Industrial Research	Section 5(2)(i)	Andre Breytenbach
Julian Williamson	Department of Rural Development and Land Reform	Section 5(2)(j)	Nondwe Monyake
Bulelwa Semoli	Department of Rural Development and Land Reform	Section 5(2)(j)	Aslam Parker
Carlize Knoesen	Department of Rural Development and Land Reform	Section 5(2)(j)	Not Applicable
Marcelle Hatting	City of Johannesburg	Section 5(2)(j)	Not Applicable
Jan Minnie	Housing Development Agency	Section 5(2)(j)	Not Applicable

SDI ACT, 2003	NOMINEE	APPOINTED IN TERMS OF:
CHAIRPERSON	Mmuso Riba	Section 5(4)
DEPUTY CHAIRPERSON	Siyabonga Mdubeki	Section 5(4)



Nkwinti, GE (MP)

Minister of the Department of Rural Development and Land Reform

Date: 27/04/2016

DEPARTMENT OF TRADE AND INDUSTRY

NO. 597

27 MAY 2016

CO-OPERATIVES TO BE REMOVED FROM THE REGISTER

NTABINAMASI CO-OP LTD
ICOMU ARTS AND CRAFT CO-OP LTD
QHOHLO ARTS AND CRAFT CO-OP LTD
THE TIME CO-OP LTD
ZIZAMELENI CO-OP LTD
VUKANI CATERING CO-OP LTD
VELELA CO-OP LTD
S'BONOKUHLE CO-OP LTD
INDLULAMITHI CO-OP LTD
IQOQO CO-OP LTD
LET'S DO IT CO-OP LTD
INHLAZI CO-OP LTD
ITHEMBELISHA CO-OP LTD
ITHEMBACABANTU CO-OP LTD
BHEKANANI GENERAL OFFICE SUPPLIERS CO-OP LTD
HLALA PHEZU KWENDABA CO-OP LTD
QEDUKOMA CO-OP LTD
KUNTWELA EZANSI CO-OP LTD
UNISTONE CREATIONS CO-OP LTD
INTAKAYEMPAKAMO CO-OP LTD
GWEBINDLALA NATHI MULTI-PURPOSE CO-OP LTD
ZAMA-ZAMA CO-OP LTD
BREAD OF LIFE SEWING CO-OP LTD
HLANGANISA MEDIA AND PRINTING CO-OP LTD
DUMABEZWE CO-OP LTD
THE EAGLES CULTURAL VILLAGE CO-OP LTD
LELI PHAMBILI VEGE GARDEN CO-OP LTD
SIYANQOBA CO-OP LTD
MASIBOMSANE CO-OP LTD
THEMBA UKUKHANYA CO-OP LTD
KHANYANJALO POULTRY CO-OP LTD
SITHOKOZILE CO-OP LTD

Notice is hereby given that the names of the abovementioned co-operatives will, after the expiration of sixty days from the date of this notice, be struck off the register in terms of the provisions of section 73(1) of the Co-operatives Act, 2005, and the co-operatives will be dissolved unless proof is furnished to the effect that the co-operatives are carrying on business or are in operation.

Any objections to this procedure, which interested persons may wish to raise, must together with the reasons therefore, be lodged with this office before the expiration of the period of sixty days.

REGISTRAR OF CO-OPERATIVES

Office of the Registrar of Co-operatives

Dti Campus

77 Meintjies Street

PRETORIA

0002

Private Bag X237

PRETORIA

0001

DEPARTMENT OF TRADE AND INDUSTRY

NO. 598

27 MAY 2016

CO-OPERATIVES TO BE REMOVED FROM THE REGISTER

AMALAKAZANE SECURITY CO-OP LTD
SIZOLUHLE CO-OP LTD
HELDERBERG TRAINING TOURISM AND COMMUNITY CO-OP LTD
INGQONDO-YETHU CO-OP LTD
SIYETHEMBA BURIAL CO-OP LTD
MASIBUMBANE-SEKUSILE CO-OP LTD
SIYAVUKUZA CO-OP LTD
MKHABAMYENGE CO-OP LTD
SIZAMA OKUHLE CO-OP LTD
UNGAGIPHAZAMISI CO-OP LTD
WAVER WATER FEATURE CO-OP LTD
ZIMISELE CLEANING CO-OP LTD
SIYAPHAMBILI NETHEMBA CO-OP LTD
EMHLWANENI CO-OP LTD
SINOMFUTHO AGRICULTURAL CO-OP LTD
NEW LANDS CO-OP LTD
SMOKIN JAZZ CLUB CO-OP LTD
YAWEH ALUMINIUM AND GLASS MANUFACTURING CO-OP LTD
TONGAAT DETERGENT AND CHEMICAL MANUFACTURING CO-OP LTD
EMONA SPA CO-OP LTD
DESANAGAR MAINTANANCE CO-OP LTD
KPT VENDING CO-OP LTD
BEAUTY FOR LIFE CO-OP LTD
AVELLA JUICE MANUFACTURERS CO-OP LTD
SMOKIN COFFEE SHOPPE CO-OP LTD
TONGAAT SOAP MANUFACTURING CO-OP LTD
TONGAAT CALL CENTRE CO-OP LTD
SMOKIN GALLERY CO-OP LTD
SMOKIN BOOK STORE CO-OP LTD
NDLELENHLE CO-OP LTD
VUSIMPILO AMAQHAWA CO-OP LTD
MAKANA COMMUNITY BASED MAINTENANCE CO-OP LTD
MAHLOSANA CO-OP LTD
BOJANALA CO-OP LTD
IGUGWANA CO-OP LTD
OGQOLWENI CO-OP LTD
SIYASHESHA CO-OP LTD

Notice is hereby given that the names of the abovementioned co-operatives will, after the expiration of sixty days from the date of this notice, be struck off the register in terms of the provisions of section 73(1) of the Co-operatives Act, 2005, and the co-operatives will be dissolved unless proof is furnished to the effect that the co-operatives are carrying on business or are in operation.

Any objections to this procedure, which interested persons may wish to raise, must together with the reasons therefore, be lodged with this office before the expiration of the period of sixty days.

REGISTRAR OF CO-OPERATIVES

Office of the Registrar of Co-operatives

Dti Campus

77 Meintjies Street

Private Bag X237

PRETORIA**0001**

DEPARTMENT OF TRADE AND INDUSTRY

NO. 599

27 MAY 2016

CO-OPERATIVES TO BE REMOVED FROM THE REGISTER

**MATHINTA TRANSPORT CO-OP LTD
SIYAPHEZULU CO-OP LTD
KHONZA ULWAZI FARMING CO-OP LTD
MASIBAMBISANE CO-OP LTD
ENTOKOZWENI ACCOMMODATION CATERING AND CONFERENCE CO-OP LTD
IGUGU LIKA MUSI HOUSING, CLEANING AND ENVIRONMENT MANAGEMENT CO-OP LTD
MELTA ENTERPRISE PLUMBING AND PAINTING CO-OP LTD
TSALANANG CLOTHING AND CURTAIN CO-OP LTD
LADY FRERE BUSINESS CO-OP LTD
THATHAMANDLA CO-OP LTD
MSIZENZE FARMING CO-OP LTD
B N N Z CLEANING SERVICES CO-OP LTD
BETTER LIFE WOMEN'S PROJECT CO-OP LTD
ZIPHILELE NGAMANDLA CO-OP LTD
UMKHUMBI SOFT IN TOUCH CO-OP LTD
SUKUMA-SIYAPHAMBILI CO-OP LTD
DIKWE CO-OP LTD
WAKE UP MBOKODO CO-OP LTD
RUSSELS CO-OP LTD
KHUKHULANE CLEANING CO-OP LTD
UBUQHAQHAWULI BEZWE CO-OP LTD
SOUTH AFRICAN HOTEL AND CONFERENCE CO-OP LTD
BAHAMBE CO-OP LTD
EBUKHOSINI CO-OP LTD
LILONKE CO-OP LTD
AMAJALIMANE CO-OP LTD
MAPHOLOBA CATERING SERVICES CO-OP LTD
S'PHUNGA CO-OP LTD
SINQABA INDLADLA AGRICULTURAL CO-OP LTD
ZAMAKHUBAS TRADING CO-OP LTD**

notice is hereby given that the names of the abovementioned co-operatives will, after the expiration of sixty days from the date of this notice, be struck off the register in terms of the provisions of section 73(1) of the Co-operatives Act, 2005, and the co-operatives will be dissolved unless proof is furnished to the effect that the co-operatives are carrying on business or are in operation.

Any objections to this procedure, which interested persons may wish to raise, must together with the reasons therefore, be lodged with this office before the expiration of the period of sixty days.

REGISTRAR OF CO-OPERATIVES

Office of the Registrar of Co-operatives
Dti Campus
77 Meintjies Street
PRETORIA
0002

Private Bag X237
PRETORIA
0001

DEPARTMENT OF WATER AND SANITATION

NO. 600

27 MAY 2016

LEEUEW RIVER WATER USERS ASSOCIATION WATER SUPPLY SCHEME – LIMITING THE USE OF WATER IN TERMS OF ITEM 6 OF SCHEDULE 3 OF THE NATIONAL WATER ACT OF 1998 FOR URBAN AND IRRIGATION PURPOSES FROM THE ARMENIA DAM WITHIN THE LEEUEW RIVER WATER USERS ASSOCIATION WATER SUPPLY SCHEME

I, **Margaret-Ann Diedericks**, in my capacity as Director General of the Department of Water and Sanitation, on reasonable grounds believe that a potential water shortage exists in the Leeuw River Water Users Association water supply scheme. This is due to insufficient rains.

In terms of Item 6(1) of Schedule 3 to the Act, the Minister of Water and Sanitation may limit the use of water if on reasonable grounds the Minister believes that a water shortage exists within the area concerned. This power has been delegated to me in terms of section 63 (1) (b) of the Act.

Therefore in my capacity as the Director General of the Department of Water and Sanitation, I hereby under delegated authority in terms of item 6 (1) of Schedule 3 to the Act limit the taking of water from the Kalkfontein Water Users Association water supply scheme by all users as follows:

- a) No water may be used for Irrigation purposes from the Armenia Dam.
- b) 40% restriction on water use for Domestic and Industrial supply to the towns of Hobhouse and Thaba Patshoa within the Mantsopa Municipality.

The limitations apply from the date of this notice until further notice.

In exercising the powers, I have given preference to the maintenance of the Reserve, treated all water users on a basis that is fair and reasonable, considered the actual extent of the water shortage, the likely effects of the shortage on the water users, the strategic importance of any water use and any water rationing or water use limitations by a water services institution having jurisdiction in the area concerned under the Water Services Act 108 of 1997.

Placing limitation on the taking of water use as set out in this notice is an administrative action affecting the rights of the public as contemplated in section 4 of the Promotion of Administrative Justice Act 3 of 2000 (PAJA). After I have taken into consideration all relevant factors, including those referred in section 4 (4) (b), I have decided that it is reasonable and justifiable in the circumstances to depart from the requirements referred to in section 4 (1) (a) to (e), (2) and (3) and instituted this limitation without allowing the water users affected and other role players to comment on the matter before I institute the limitation.

This notice overrides any other previous authorization on water restrictions issued by the Department relating to this area.



DIRECTOR-GENERAL WATER AND SANITATION

DATE: 7 MAR 2016

GENERAL NOTICES • ALGEMENE KENNISGEWINGS

DEPARTMENT OF AGRICULTURE, FORESTRY AND FISHERIES

NOTICE 299 OF 2016



**National Agricultural
Marketing Council**
Promoting market access for South African agriculture

Block A | 4th Floor | Meintjiesplein Building | 536 Francis Baard Street | Arcadia | 0002
Private Bag X935 | Pretoria | 0001
Tel: 012 341 1115 | Fax: 012 341 1811/1911
<http://www.namc.co.za>

CITRUS FRUIT INDUSTRY APPLICATION FOR THE CONTINUATION OF STATUTORY MEASURES

NAMC REQUESTING COMMENTS / INPUTS FROM INDUSTRY ROLE PLAYERS

On 25 April 2016, the Minister of Agriculture, Forestry and Fisheries received a request from Citrus Growers' Association of Southern Africa (CGA) for the continuation of statutory measures (levies, records & returns and registration) on citrus fruit produced, passed and packed for export, in terms of the Marketing of Agricultural Products Act (MAP Act) 1996. The current statutory measures will expire on 31 December 2016.

Currently, the following statutory measures are applicable, and it is proposed that a new four-year period be implemented, on citrus fruit intended for export, namely the -

- Payment of levies (in terms of section 15 of the MAP Act);
- Keeping of records & returns (section 18); and
- Registration of directly affected groups (DAGs) (section 19).

The purpose and objective of the statutory measures relating to **records & returns and registration** are to compel DAGs in the citrus industry to register with CGA. By combining compulsory registration with the keeping of information and the rendering of returns on an individual basis, market information for the whole of the industry can be processed and disseminated and will form the basis for the collection of levies. This is necessary to ensure that continuous, timeous and accurate information is available to all role players.

The **payment of the levy**, will be used to finance the following:

- Research, plant improvement and technology;
- Increasing of market access;
- Information, market research and market intelligence;
- Logistics and Infrastructure; and
- Transformation within the citrus industry

The current and proposed levy amounts cents per kilogram (c/kg) are as follows:

	Current levy	Proposed new levy amount			
	2016	2017	2018	2019	2020
Citrus fruit produced, passed and packed for export	3.733 c/kg (56 c/15kg carton)	4.533 c/kg (68 c/15kg carton)	4.666 c/kg (70 c/15kg carton)	4.8 c/kg (72 c/15kg carton)	4.933 c/kg (74 c/15kg carton)

Council members: Mr AD Young (Acting Chairperson), Mr AM Cronje, Ms MM Gill, Mr A Hendricks, Dr LL Magingxa, Dr JL Purchase, Ms JM van der Merwe and Ms TE Zimu.

Proposed business plan for the four (4) year period:

		2017	2018	2019	2020
		Rand	Rand	Rand	Rand
INCOME	Levy	80 240 000	84 000 000	89 280 000	94 720 000
	Other Income	1 200 000	2 300 000	2 300 000	2 300 000
TOTAL INCOME		82 540 000	86 300 000	91 580 000	97 020 000
EXPENDITURE					
CRI	Research	45 500 000	46 685 000	52 092 950	55 739 457
CGA	Market Access	3 620 000	3 873 400	4 144 538	4 434 656
CGA	Market Access: EU	5 000 000	3 000 000	1 000 000	1 000 000
CGA	Information & Market Research	1 300 000	1 391 000	1 488 370	1 592 556
CGAGDC	Transformation: Enterprise Development	8 000 000	8 700 000	9 449 000	10 250 430
CGA	Transformation: Employment Equity, Socio Economic Development	2 000 000	2 000 000	2 000 000	2 000 000
Citrus Academy	Transformation: Skills Development	4 000 000	4 280 000	4 579 600	4 900 172
CGA	Logistics & Infrastructure	1 300 000	1 391 000	1 488 370	1 592 556
CGA	Administration	8 500 000	9 095 000	9 731 650	10 412 866
Additional Services:					
CGA	Cold Chain	500 000	535 000	572 450	615 522
CGA	Green Ambassador's	1 000 000	1 070 000	1 144 900	1 225 043
CGA	Government Capacity	1 000 000	1 070 000	1 144 900	1 225 043
CGA	Market Intelligence	500 000	535 000	572 450	615 522
TOTAL EXPENDITURE		83 220 000	86 160 400	89 981 628	96 210 342
SURPLUS / DEFICIT		-680 000	139 600	1 598 372	809 658

The NAMC believes that the measures requested are consistent with the objectives of the MAP Act (as set out in section 2 of the Act).

Directly affected groups (e.g. producers, packers and exporters) in the citrus industry are kindly requested to submit any comments, in writing, regarding the proposed statutory measures, to the NAMC on or before 10 June 2016, to enable the Council to finalise its recommendation to the Minister in this regard.

ENQUIRIES:

National Agricultural Marketing Council
 Mathilda van der Walt
 e-mail: mathildavdw@namc.co.za
 Tel.: (012) 341 1115
 Fax No.: (012) 341 1911

BOARD / RAAD
NOTICE 300 OF 2016

APPLICATION FOR A STATUTORY LEVY IN TERMS OF THE MARKETING OF AGRICULTURAL PRODUCTS ACT, 1996, (ACT NO 47 OF 1996), (MAP ACT) AS AMENDED

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INVITATION TO DIRECTLY AFFECTED GROUPS IN THE WINTER CEREAL INDUSTRY TO FORWARD COMMENTS REGARDING THE REQUEST FROM GRAIN SA, AGBIZ GRAIN, SANSOR AND THE ARC SGI FOR THE ESTABLISHMENT OF A BREEDING AND TECHNOLOGY LEVY ON WHEAT

The current statutory measure regarding levies on winter cereals, as promulgated by Government Notice No. 38201 of 11 November 2014, that currently amounts to R17/ton (excl VAT) on wheat, will expire on 30 September 2016. The Wheat Forum recently applied to the Minister for Agriculture, Forestry and Fisheries for the establishment of new statutory levies on wheat and barley to finance information (as performed by the SA Grains Information Services (SAGIS)), quality and grading (as performed by the SA Grain Laboratory), transformation, administration, capacity building, research, the Supply & Demand Estimates Committee, and pre-breeding research (that provides building blocks for breeding). The NAMC is in the process of investigating this application.

The Minister and the National Agricultural Marketing Council (NAMC) also received a request from Grain SA, Agbiz Grain, the South African National Seed Organisation (SANSOR) and the Agricultural Research Council: Small Grain Institute (ARC SGI), for the establishment of a Breeding and Technology Levy, as indicated below (VAT excluded). The 'alternative' breeding levy proposal is only to be considered if the 'preferred' option is rejected or not acceptable.

'Preferred option': Breeding and Technology Levy	'Alternative option': Breeding and Technology Levy
<ul style="list-style-type: none"> • Wheat R 19,00 per metric ton • Barley R 19,00 per metric ton • on locally produced winter cereals as well as imported winter cereals • for a period of four years, from 1/10/2016 to 30/9/2020 	<ul style="list-style-type: none"> • Wheat R 25,00 per metric ton • Barley R 25,00 per metric ton • on locally produced winter cereals only • for a period of two years, from 1/10/2016 to 30/9/2018

In both options, persons involved at the first point of sale of winter cereals will be liable for payment of the proposed levy.

The applicants proposed that the Breeding and Technology Levy be administered by the newly established "SA Cultivar and Technology Agency" (SACTA), a Non-Profit Company. The aim is that SACTA would also eventually administer breeding and technology levies on behalf of other self-pollinated crops. The Board of Directors of SACTA will be constituted to include industry role players that are directly affected by the payment of the levies and the utilisation thereof.

Unfortunately, the Wheat Forum could not reach consensus on the final amount, manner of collection and the specific utilisation of a Breeding and Technology Levy. For this reason, the role players as stated above, are submitting two alternative options aimed at breeding and technology for wheat and barley. Letters of support were received from the role players concerned.

Statutory levies have been imposed over the past years on wheat and barley to, *inter alia*, provide financial support for seed breeding research projects. These statutory levies have been administered by the Winter Cereal Trust. The Winter Cereal Trust will continue to administer the industry levies aimed at general research, market information and transformation, as requested and currently being investigated by the NAMC.

BACKGROUND AND MOTIVATION:

Industry role players have, for some time, been acknowledging that there is a need for a sustainable Industry Research Funding Strategy for self-pollinated crops. To this end, a Wheat Forum resolution was passed in 2012 to find a sustainable and effective research funding model. Since then, the proposed implementation of a breeding and technology levy, based on the Australian end point royalty system, has been a standing item on the Wheat Forum and Wheat Forum Steering Committee agendas. The proposed statutory levy, as an effective and all-inclusive collection system for royalties, has been communicated to industry members throughout the Wheat Forum's investigative process.

Internationally, royalty collection systems are widely implemented and entail the collection of royalties on the actual yield that is produced. The royalty collection systems are essentially a risk sharing mechanism, whereby beneficiaries of research pay a levy based on benefits accruing (yield or utilisation), as a result of breeding activities.

Although good co-operation is normally experienced from role players in the industry, it remains necessary to impose statutory measures in respect of levies, for the following reasons:

- Historical experience has shown, both in South Africa and in other countries, that voluntary levies have a short life-span and are not generally successful for the funding of industry services.
- Agricultural research, especially the development of new varieties, cannot randomly be started and stopped. In order to have effective breeding programmes with top quality researchers, ongoing funding is required. The insecurity of voluntary levies leads to uncertainty and poor results in the long-run.
- The principle of "user-pay" is difficult to apply, as the results and application of variety development cannot be withheld from those that do not pay levies, especially in the case of self-pollinated crops such as wheat and barley.
- The entire value chain benefits from improved varieties, which are high yielding as well as drought, disease and insect resistant, and this justifies Government intervention. Affected groups will have a say in the utilisation of funds due to the representation on the Board of Directors of SACTA.

PARTICULARS OF STATUTORY MEASURE REQUIRED UNDER SECTION 10 OF THE MAP ACT

The relevant particulars, as required in terms of section 10(2) of the MAP Act, to be included in a request for the establishment of a statutory measure of this nature, are as follows:

- (a) The proposed statutory levy would relate to wheat and barley; and will apply to the whole of the Republic of South Africa in order to have a uniform system of levies without discrimination, which would exist if levies had to be imposed in certain areas and not in others.
- (b) The manner in which the objectives referred to in section 2(2) of the MAP Act will be advanced (namely increased market access for all market participants, promotion of the efficiency of the marketing of agricultural products, optimisation of export earnings from agricultural products and the enhancement of the viability of the agricultural sector) is summarised below.

The purpose and aim of this statutory levy are to compensate breeders of wheat and barley varieties for their contribution towards obtaining and utilising improved international agriculture related intellectual property to the benefit of the wheat and barley industries in the Republic of South Africa.

Sustainable commercial farming and food security in South Africa are to a large extent dependent on the cultivation of high yielding crops from seed varieties that are most suited to the particular region. Plant breeding is the science of changing the traits of plants to produce desired characteristics.

The development of new cultivars with improved quality and yield characteristics constitutes an important part of breeding and technology research undertaken by various organisations. The continuous development of new cultivars is indispensable to the sustained production of winter cereals in South Africa.

Worldwide, the levels of Plant Variety Protection (PVP) legislation and protection for self-pollinated crops is insufficient to guarantee a return on investment on intellectual property for the holders of such plant breeders rights. This is due to PVP exceptions such as the "Farmer's Privilege" and the fact that the offspring/grain produced from self-pollinated crops has the same genetic content as the parent. This means that seed can be harvested and replanted. It creates a situation where growers could, for example, only purchase one season's seed, then lawfully save seed of his harvest for the next, and subsequent planting seasons.

The consequence is that commercial seed sales are jeopardised by:

- low volumes (since it is cheaper to retain grain for seed);
- low prices (since any increase in prices triggers an increase in the use of farm saved seed).

International networks are critical in seed breeding with most agriculture related intellectual property owned by, or under foreign control. Without an appropriate mechanism to receive adequate compensation, and to account for the risk of exploitation, South Africa remains an unattractive destination for agriculture related intellectual property associated with self-pollinated crops. This means that South African access to internationally held nurseries, markers, techniques and technologies is being constrained. The result is that South African producers currently do not have access to improved agriculture related intellectual property that is available worldwide.

Most industry role players have realised the need for a sustainable industry research funding strategy for self-pollinated crops. These role players have agreed to apply for a breeding and technology statutory levy on such crops to encourage and stimulate the breeding of self-pollinated crops for the benefit of the production, processing and other value-adding industries in the Republic of South Africa.

- (c) The Administration of SACTA will be requested to take responsibility for the collection of the levies and for the administration functions associated with the statutory levy that is requested. The Board of Directors of SACTA will appoint specific persons to carry out these functions. These persons will request the Minister of Agriculture, Forestry and Fisheries to be designated and authorised as inspectors to perform the functions referred to in Section 21 of the MAP Act.
- (d) Annual audits will be executed by the Auditor-General.

BUSINESS PLAN PROPOSED

The income by means of the statutory levy is based on an expected success rate of 92% in the collection of levies. The business plan envisaged for the first year is as follows:

'Preferred option': Breeding and Technology Levy	'Alternative option': Breeding and Technology Levy																												
Income budgeted at R65 million for 2016/17. The envisaged expenditure for the year is as follows:	Income budgeted at R47 million for 2016/17. The envisaged expenditure for the year is as follows:																												
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<p>In both options, the utilisation of statutory funds to support breeding research functions is based on the following:</p> <ul style="list-style-type: none"> • For commercial breeding activities of seed companies based on their performance and utilisation in the seed market; • Funds will be distributed according to the market share of each seed company; and • 20% of the levy will be used for transformation and development projects within the seed companies. 																													

The guidelines of the NAMC regarding the utilisation of statutory levy funds, which currently stipulate that at least 20% of levies collected should be used for transformation projects, were taken into account.

As the proposed Breeding and Technology Levy is consistent with the objectives of the MAP Act, the NAMC is investigating the possible implementation of the relevant statutory levy, in order to make a recommendation to the Minister.

Directly affected groups in the winter cereal industry are kindly requested to submit comments or objections regarding the proposed Breeding and Technology Levy to the NAMC in writing (fax 012 341 1911 or e-mail lizettem@namc.co.za) on or before 10 June 2016, to enable the Council to formulate its recommendation to the Minister in this regard.

**DEPARTMENT OF RURAL DEVELOPMENT AND LAND REFORM
NOTICE 301 OF 2016**

**GENERAL NOTICE IN TERMS OF TRANSFORMATION OF CERTAIN RURAL AREAS ACT
NO. 94 OF 1998**

Notice is hereby given in terms of Section 9 (1) (a) of the Transformation of Certain Rural Areas Act, No, 94 of 1998 on the commencement of the Transformation period for the following for Area:

Reference No. : WK2/9/4/1/65
Board Area : Friemersheim Township
Municipality : Mosselbay Local Municipality, Western Cape Province

Property Description

The properties mentioned below are situated in the Registration Division of Mosselbay under Mosselbay Local Municipality, Eden District Municipality, Western Cape Province.

land subjected to section 3 (1) - remainder	Current extent	current title deed number	current land owner	current land use
Erf 106 (portion 0 (remaining Extent)	122.2190 hectares	T33130/1993	Gemeenskap van Friemersheim	Commonage

Commencement Date

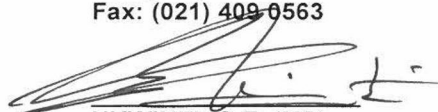
Effectively from the date of the publication of this Notice,

1. A municipality of a board area must within 3 months after the date of this Gazette Notice submit a notice to the Minister of Rural Development and Land Reform setting out how and when it intends determining to which entity the land referred to above should be transferred; or
2. If the municipality fails to submit a notice, an elected committee, elected by the residents of the board Area who have reached the age of 18 years may submit such notice to the Minister of Rural Development and Land Reform.

NOTICES should be sent to:

The Minister of Rural Development and Land Reform
Provincial Shared Service Centre
Private Bag X9159
Cape Town
8000

Tel: (021) 409 0323
 Fax: (021) 409 0563



NKWINTI, G.E. (MP)
MINISTER FOR RURAL DEVELOPMENT AND LAND REFORM
 DATE: 17/03/2016

**DEPARTMENT OF RURAL DEVELOPMENT AND LAND REFORM
NOTICE 302 OF 2016**

**GENERAL NOTICE IN TERMS OF TRANSFORMATION OF CERTAIN RURAL AREAS ACT
NO. 94 OF 1998**

Notice is hereby given in terms of Section 9 (1) (a) of the Transformation of Certain Rural Areas Act, No, 94 of 1998 on the commencement of the Transformation period for the following for Area:

Reference No. : W6/5/000005T
Board Area : Kranshoek Township
Municipality : Bitou Local Municipality, Western Cape Province

Property Description

The properties mentioned below are situated in the Registration Division of Knysna under Bitou Local Municipality, Eden District Municipality, Western Cape Province.

land subjected to section 3 (1) - remainder	Current extent	current title deed number	current land owner	current land use
Portion 6 of the farm Kranshoek No. 432	10.8884 hectares	T14736/1957	Bitou Local Municipality	Commonage
Portion 4 of the farm Kranshoek No. 432	64.3562 hectares			

Commencement Date

Effectively from the date of the publication of this Notice,

1. A municipality of a board area must within 3 months after the date of this Gazette Notice submit a notice to the Minister of Rural Development and Land Reform setting out how and when it intends determining to which entity the land referred to above should be transferred; or
2. If the municipality fails to submit a notice, an elected committee, elected by the residents of the board Area who have reached the age of 18 years may submit such notice to the Minister of Rural Development and Land Reform.

NOTICES should be sent to:

**The Minister of Rural Development and Land Reform
Provincial Shared Service Centre
Private Bag X9159
Cape Town
8000**

**Tel: (021) 409 0323
Fax: (021) 409 0563**



**NKWINTI, G E (MP)
MINISTER OF RURAL DEVELOPMENT AND LAND REFORM
DATE: 06/03/2016**

**DEPARTMENT OF RURAL DEVELOPMENT AND LAND REFORM
NOTICE 303 OF 2016**

**GENERAL NOTICE IN TERMS OF THE RESTITUTION OF LAND RIGHTS ACT 1994,
(ACT No. 22 OF 1994) AS AMENDED.**

Notice is hereby given in terms of Section 11(1) of the Restitution of Land Rights Act, 1994 (Act No. 22 of 1994), as amended. These claims for the restitution of land rights have been submitted to the Regional Land Claims Commissioner for the Western Cape. The particulars regarding these claims are as follows:

Claimant : Ms C Adams
Capacity : Ownership
Date of submission : 03 March 1998

Ref no	Property Description	Area	Extent	Date of Dispossession
KRK6 2 3 A 4 12314 0 578 (R184)	Remainder of Erf 107	Eerste Rivier, City of Cape Town	11,7773 ha	15/07/1974

The Regional Land Claims Commission will investigate these claims in terms of provisions of the Act in due course. Any party who has an interest in the above-mentioned land is hereby invited to submit, within 60 days from the publication of this notice, any comments / information to:

The Regional Land Claims Commission: Western Cape
Private Bag X9163
Cape Town
8000

Tel: (021)409-0300
Fax: (021)418 0205

CHECKED.....


DATE.....14/12/2015.....

APPROVED.....


DATE.....22/1/15.....

Mr. L.H Maphutha
Regional Land Claims Commissioner

**STATISTICS SOUTH AFRICA
NOTICE 304 OF 2016**

THE HEAD: STATISTICS SOUTH AFRICA notifies for general information that the Consumer Price Index is as follows:

Consumer Price Index, Rate (**Base Dec 2012=100**)

2016:

Rate: **April – 6,2**

BOARD NOTICES • RAADSKENNISGEWINGS

BOARD NOTICE 63 OF 2016

SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Lizwe Mabutho

Registration Number: PAD20552

Nature of the offence

Guilty of contravention of Rule 1.1, 3.1, 4.1 and 4.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Lizwe Mabutho's registration is cancelled and removed from the register in terms of Section 32 (3) (a) (iv) of the Act.

BOARD NOTICE 64 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 20 October 2015, into alleged improper conduct of a registered person.

Name of Person: Oriël Matlaupane

Registration Number: D 2522

Nature of the offence

Guilty of contravention of Rule 1.1 and 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Oriël Matlaupane is fined R4 000.00 (Four thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 65 OF 2016**SACLAP****South African Council for the Landscape Architectural Profession****CALL FOR COMMENT****REGISTRATION POLICY****Rules relating to Registration Matters
and
associated documents:**

- a) Landscape Architectural Professions**
- b) Landscape Management Professions**

The South African Council for the Landscape Architectural Profession has, under Section 11 & 19 of the Landscape Architectural Profession Act, 2000 (Act No. 45 of 2000) determined the registration routes, criteria and processes

Written comments and input are invited by the SACLAP from all Stakeholders, any person and /or industry that will be affected by the Registration Policy.

Postal Address

SACLAP
The Registrar
P O Box 868
Ferndale
2160

Tel: 011 061 5000

www.saclap.org.za

Email: registrar@saclap.org.za

Physical Address

SACLAP
c/o Van der Walt & Company (Pty) Ltd
4 Karen Street Office Park
4 Karen Street
Bryanston, Sandton
Johannesburg
2021

CLOSING DATE FOR SUBMITTING COMMENTS: FRIDAY, 1 July 2016

BOARD NOTICE 66 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Chantel Woest

Registration Number: D2287

Nature of the offence

Not Guilty of contravention of Rule 4.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

BOARD NOTICE 67 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 20 October 2015, into alleged improper conduct of a registered person.

Name of Person: Phillip Manzini

Registration Number: D0812

Nature of the offence

Guilty of contravention of Rule 1.1 and 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Phillip Manzini is fined R10 000.00 (Ten thousand rands) and R5 000.00 (Five thousand rands) of this amount is suspended for a period of 3 (three) years on condition that he is not found guilty on contravention of similar offences during this period; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 68 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 20 October 2015, into alleged improper conduct of a registered person.

Name of Person: Anthony David Purcell

Registration Number: CAD074

Nature of the offence

Guilty of contravention of Rule 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Anthony David Purcell is fined R2 000.00 (Two thousand rand) and R400.00 (Four hundred rands) of this amount is suspended for a period of one (1) year on condition that he is not found guilty on contravention of similar offences during this period.

BOARD NOTICE 69 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Peter Alois Hoffman

Registration Number: ST1457

Nature of the offence

Guilty of contravention of Rule 4.1 and 4.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction

- Peter Alois Hoffman is fined R4 000.00 (Four thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 70 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Daniel Kruger

Registration Number: CANT 3225

Nature of the offence

Guilty of contravention of Rule 2.3 and 5.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Daniel Kruger is fined R4 000.00 (four thousand rand) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 71 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Lizwe Mabutho

Registration Number: PAD 20552

Nature of the offence

Guilty of contravention of Rule 1.1, 3.1, 4.1 and 4.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Lizwe Mabutho's registration is cancelled and removed from the register in terms of Section 32 (3) (a) (iv) of the Act.

BOARD NOTICE 72 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 20 October 2015, into alleged improper conduct of a registered person.

Name of Person: David Mpenyana

Registration Number: D 2409

Nature of the offence

Guilty of contravention of Rule 1.1 and 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction

- David Mpenyana is fined R6 000.00 (Six thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 73 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Lizwe Mabutho

Registration Number: PAD 20552

Nature of the offence

Guilty of contravention of Rule 1.1, 3.1, 4.1 and 4.7 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Lizwe Mabutho's registration is cancelled and removed from the register in terms of Section 32 (3) (a) (iv) of the Act.

BOARD NOTICE 74 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 20 October 2015, into alleged improper conduct of a registered person.

Name of Person: Ernest Munarini

Registration Number: T 1615

Nature of the offence

Guilty of contravention of Rule 1.1 and 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Ernest Munarini is fined R6 000.00 (Six thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 75 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Jan Albert van Niekerk

Registration Number: D0788

Nature of the offence

Guilty of contravention of Rule 1.1 and 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Jan Albert van Niekerk is fined R4 000.00 (Four thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 76 OF 2016**SOUTH AFRICAN COUNCIL FOR THE ARCHITECTURAL PROFESSION**

Publication in terms of section 32(5) of the South African Council for the Architectural Profession Act No 44 of 2000 ("The Act") of the finding and sanction imposed by the Disciplinary Tribunal at a disciplinary hearing held at Bruma, Johannesburg on 19 October 2015, into alleged improper conduct of a registered person.

Name of Person: Charles Jiyane

Registration Number: PAD 20904

Nature of the offence

Guilty of contravention of Rule 4.1 of the Code of Professional Conduct for registered persons promulgated under Board Notice 154 of 2009 Government Gazette No 32731 of 27 November 2009.

Sanction:

- Charles Jiyane is fined R2 000.00 (Two thousand rands) in terms of Section 32 (3) (a) (ii) of the Act; and
- Reprimanded in terms of Section 32 (3) (a) (i) of the Act.

BOARD NOTICE 77 OF 2016

This Board Notice is effective as from 1 April 2016

SOUTH AFRICAN COUNCIL FOR NATURAL SCIENTIFIC PROFESSIONS**FEE STRUCTURE FOR 2016/2017**

The South African Council for Natural Scientific Professions herewith retracts Board Notice 7 of 2015 as published on 30 January 2015. in Government Gazette 38419.

1. NOTES

- (a)
- (b) “**application fee**” means the fee payable on submission of an application for registration. A fee is payable for each field of practice for which registration is requested and is not refundable, should an application not be successful.
- (b) “**annual fee**” means the fee payable by the registered person within 60 days from the date on which he/she is informed (in writing) that his/her annual fee has become payable. Annual fees will become payable on the 1st of April of every year. In the first year of registration a *pro rata* annual fee will be payable in the month following the date of registration.
- (c) “**qualifications assessment fee**” must be paid for evaluation of qualifications for registration purposes.
- (d) “**re-instatement fee**” means the fee payable on submission of an application to reinstate a registration. A fee is payable for each field of practice for which re-instatement is required.
- (e) “**appeal fee**” means the fee payable in terms of Section 25(1) of the Act when a person lodges a complaint against a Council decision.

2. FEES

Application fee:

a. Professional Natural Scientist	:	R 1 150.00 (VAT inclusive).
b. Candidate Natural Scientist	:	R 1 150.00 (VAT inclusive).
c. Certificated Natural Scientist	:	R 1 150.00 (VAT inclusive).

Annual fee:

a. Professional Natural Scientist	:	R 1 140.00 (VAT inclusive).
b. Candidate Natural Scientist	:	R 435.00 (VAT inclusive).
c. Certificated Natural Scientist	:	R 700.00 (VAT inclusive).
d. Pensioner (all levels of registration)	:	R 260.00 (VAT inclusive).

3. Qualifications assessment fee	:	R 1 720.00 (VAT inclusive).
4. Re-instatement fee	:	R 2 860.00 (VAT inclusive).
5. Appeal fee	:	R 2 000.00 (VAT inclusive).
6. Upgrading fee	:	R 1 145.00 (VAT inclusive).
7. Critical Skills Visa Fee	:	R2 980.00 (VAT inclusive).

BOARD NOTICE 78 OF 2016

The National Energy Regulator (NERSA) is a regulatory authority established as a juristic person in terms of Section 3 of the National Energy Regulator Act, 2004 (Act No. 40 of 2004). NERSA's mandate is to regulate the electricity, piped-gas and petroleum pipeline industries in terms of the Electricity Regulation Act, 2006 (Act No. 4 of 2006), Gas Act, 2001 (Act No. 48 of 2001) and Petroleum Pipelines Act, 2003 (Act No. 60 of 2003). The structure of the Energy Regulator consists of nine members, five of whom are part-time and four are full-time, including the Chief Executive Officer (CEO). The Energy Regulator is supported by a secretariat under the direction of the CEO. The Energy Regulator wishes to recruit personnel with appropriate competencies in the following areas:

ERRATUM**NOMINATION OF CANDIDATE TO SERVE AS FULL TIME REGULATOR
MEMBER PRIMARILY RESPONSIBLE FOR ELECTRICITY REGULATION (FTRM:
ELR)
(5 Years Fixed Term Contract)**

**Package: R1 656 618.00 – R1 866 183.00 per annum (CTC)
(Ref. HR FTRM/ELR)**

Requirements: • Minimum of Master's degree or equivalent in Engineering/ Finance/Economics/ Law • Minimum ten (10) years working experience in Electricity Regulation including five (5) years in a Regulatory Environment • Experience in economic regulation • A sound understanding of regulatory policy in the South African context and of the South African Electricity industries are of great importance.

Candidates must be competent in the following: • Strategic Management Skills • Strategic Decision-making Skills • Relationship Management • Performance Management • Leadership Skills • Corporate Governance Skills • Financial Management Skills.

Key responsibilities: Reporting to the Chairperson of the Energy Regulator: The Full Time Regulator Member Primarily responsible for Electricity Regulation will undertake regulatory functions of the Electricity industries as per applicable legislation • The incumbent will: • Participate in decision making on Electricity, Piped-gas and Petroleum Pipelines Regulation, in particular in decision making relating to the Regulator functions as set out in section 4 of the Electricity Act, 1987 (Act No.41 of 1987) • Chairing the Electricity Regulation Subcommittee meetings and public hearings and making recommendations to the Energy Regulator • Participate in the Regulator's subcommittees' as determined from time to time • Participate in hearings, enquiries and resolution of disputes on regulatory matters referred to the Regulator by listening to arguments, weighing facts and review evidence before the Regulator in order to make decisions with other sitting members of the Regulator, or any other person so appointed • Assist the Regulator with consultations, locally and internationally, with government departments and other bodies and institutions regarding any matter contemplated in legislation • Participate in advising the Minister of Energy in particular, and government in general, on issues affecting the Electricity, Piped-gas and Petroleum Pipelines industries • Prepare for hearings by reading briefing materials and

evidentiary documents filed by the parties to understand fully the issues before the Regulator

- When required, represent the Regulator at all forums where the Regulator requires representation
- Participate in public consultation regarding regulations, rules, guidelines, codes of conduct, codes of practice and directives for effective regulation of the Electricity, Piped-gas and Petroleum Pipelines industries
- Maintain a comprehensive understanding of industry developments; review the physical and economic impact of licensees' facilities to ensure continued relevance of the Energy Regulator's decision and regulatory framework
- General management of the Electricity Regulation Division

• Notwithstanding the above provisions, the appointment is based on the provision of section 4 (a) and 9 of the Act.

Enquiries for this position should be directed to Mr. Sandile Ntanzi on (012) 401-4099.

CLOSING DATE: 03 JUNE 2016

Nominations of candidates must be supported by a comprehensive CV can be forwarded to applications@nersa.org.za attention to: Mr. Sello Hlobelo, National Energy Regulator of South Africa, Human Resources Department, PO Box 40343, Arcadia, Pretoria, 0007

NB: Nominations received from recruitment agencies will not be accepted.

NERSA IS AN EQUAL OPPORTUNITY EMPLOYER COMMITTED TO EMPLOYMENT EQUITY, PREFERENCE WILL BE GIVEN TO SUITABLE QUALIFIED CANDIDATES FROM DESIGNATED GROUPS.

If you do not hear from NERSA within one month of the closing date, please accept that your application was unsuccessful.

BOARD NOTICE 79 OF 2016

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ERRATUM

**NOMINATION OF CANDIDATE TO SERVE AS FULL TIME REGULATOR
MEMBER PRIMARILY RESPONSIBLE FOR PETROLUUM PIPELINES
REGULATION (FTRM: PPR)
(5 Years Fixed Term Contract)**

**Package: R1 656 618.00 – R1 866 183.00 per annum (CTC)
(Ref. HR FTRM/PPR)**

Requirements: • Minimum of Master's degree or equivalent in Engineering/ Finance/Economics/ Law • Minimum ten (10) years working experience in Petroleum Pipelines Regulation including five (5) years in a Regulatory Environment • Experience in economic regulation • A sound understanding of regulatory policy in the South African context and of the South African Petroleum Pipelines industries are of great importance.

Candidates must be competent in the following: • Strategic Management Skills • Strategic Decision-making Skills • Relationship Management • Performance Management • Leadership Skills • Corporate Governance Skills • Financial Management Skills.

Key responsibilities: Reporting to the Chairperson of the Energy Regulator: The Full Time Regulator Member Primarily responsible for Petroleum Pipelines Regulation will undertake regulatory functions of the Petroleum Pipelines industries as per applicable legislation • The incumbent will: • Participate in decision making on Petroleum Pipelines, Electricity and Piped-Gas Regulation, in particular in decision making relating to the Regulator functions as set out in section 4 of the Petroleum Pipelines Act, 2003 (Act No.60 of 2003) • Chairing the Petroleum Pipelines Regulation Subcommittee meetings and public hearings and making recommendations to the Energy Regulator • Participate in the Regulator's subcommittees' as determined from time to time • Participate in hearings, enquiries and resolution of disputes on regulatory matters referred to the Regulator by listening to arguments, weighing facts and review evidence before the Regulator in order to make decisions with other sitting members of the Regulator, or any other person so appointed • Assist the regulator with consultations, locally and internationally, with government departments and other bodies and institutions regarding any matter contemplated in legislation • Participate in advising the Minister of Energy in particular, and government in general, on issues affecting the Petroleum Pipelines, Electricity and Piped-Gas industries •

Prepare for hearings by reading briefing materials and evidentiary documents filed by the parties to understand fully the issues before the Regulator • When required, represent the Regulator at all forums where the Regulator requires representation • Participate in public consultation regarding regulations, rules, guidelines, codes of conduct, codes of practice and directives for effective regulation of Petroleum Pipelines, Electricity, Piped-Gas industries • Maintain a comprehensive understanding of industry developments; review the physical and economic impact of licensees' facilities to ensure continued relevance of the Energy Regulator's decision and regulatory framework • General management of the Petroleum Pipelines Division • Notwithstanding the above provisions, the appointment is based on the provision of section 4 (a) and 9 of the Act

Enquiries for this position should be directed to Mr. Sandile Ntanzi on (012) 401-4099.

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