

Annual Performance Plan

2018/2019

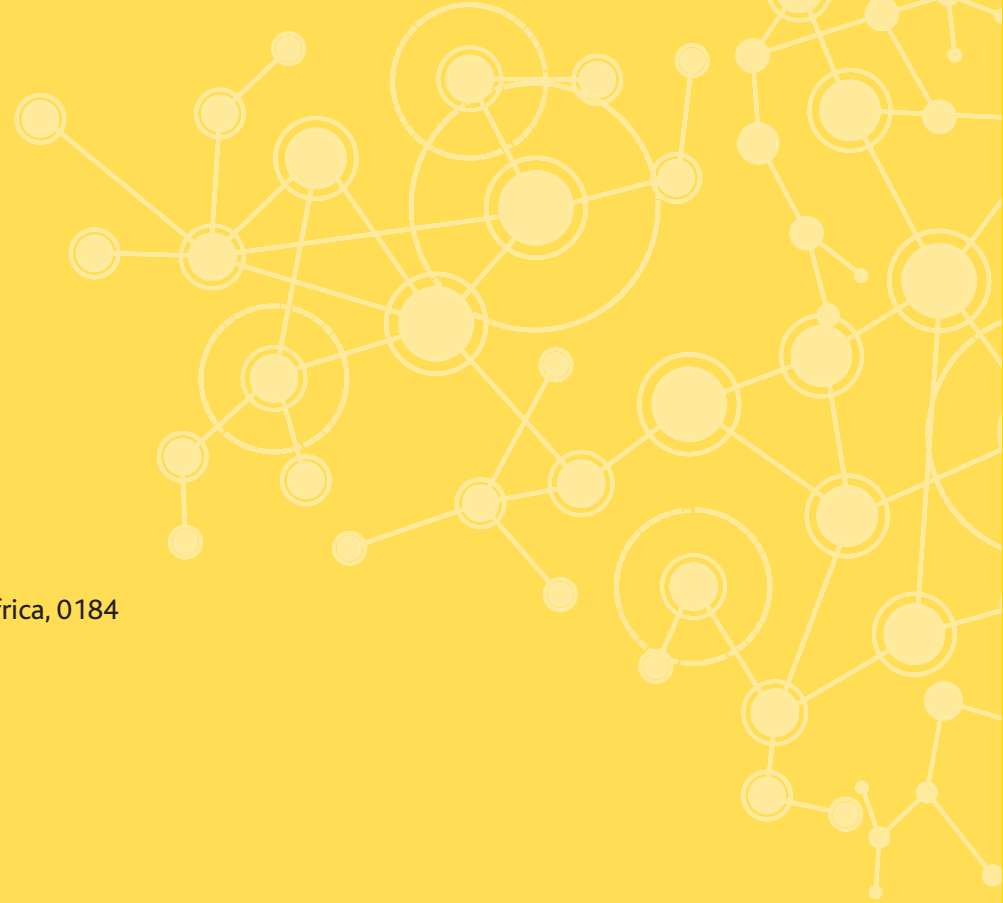


POISED TO STRIKE
against corruption



Annual Performance Plan 2018/2019

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FOREWORD BY THE MINISTER OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT



T.M. Masutha, MP (Adv)

Minister of Justice and Constitutional Development

Since the establishment of the Special Investigating Unit and Special Tribunals Act, 1996 (Act 74 of 1996), the SIU has been a vital institution in assisting the Department of Justice and Constitutional Development's (DoJ & CD) work towards fulfilling legislative mandates. The SIU continues to ensure that Chapters 12 and 14 of the National Development Plan (NDP) find expression and that "All people in South Africa should feel and be safe."

T.M. Masutha, MP (Adv)

Minister of Justice and Constitutional Development

In the midst of the 2015-20 Mid-Term Expenditure Framework (MTEF), it has become pivotal for the Special Investigating Unit (SIU) to take stock of achievements, current work, initiatives, organisational and sector challenges. Through this process of understanding the enablers and impediments of fighting corruption, we find context and meaning in the 2018-19 Annual Performance Plan (APP).

Since the establishment of the Special Investigating Unit and Special Tribunals Act, 1996 (Act 74 of 1996), the SIU has been a vital institution in assisting the Department of Justice and Constitutional Development's (DoJ & CD) work towards fulfilling legislative mandates. The SIU continues to ensure that Chapters 12 and 14 of the National Development Plan (NDP) find expression and that "All people in South Africa should feel and be safe." Critical facets of citizen safety include reducing the levels of corruption in the country and building a capable state as noted in Chapter 11.

The SIU demonstrates commitment and integrity when investigating serious malpractices or maladministration in connection with the administration of State institutions, assets and financial resources. The primary mandate of the unit is to prevent financial losses to the state and to show evidence that losses are addressed. According to the 2016-17 Annual Report of the SIU, the unit recovered the actual value of money and/or assets to the value of R43.5 million for the state and this year's APP sees the potential amount of R126 million that may be recovered.

Due to the SIU's interventions the previous year, the unit retrieved approximately R4 billion in the value of contracts and/or administrative decisions or actions set aside or deemed invalid. In the current APP, the SIU has taken preventative measures in activities that may harm the interests of the public. Furthermore,

the unit has instituted interventions that are proactive for establishing and conducting civil proceedings in any court of law or a Special Tribunal in its own name or on behalf of State institutions.

In order for the SIU to uphold its mandate and advance its initiatives successfully, the Unit recognises the organisation's need for greater stability with respect to the effective utilisation of resources. The effective use of resources suggests monitoring the unit's work in a way that is measurable, meaningful and demonstrates actual value and relevance for all South African citizens.

A re-evaluation of the organisation and careful consideration to enhance the unit's business processes aided in the development of this year's APP. The SIU has found ways, not only to align, but also to enrich its strategic goals and those responsible for combating corruption in South Africa.

The 2018-19 APP shows that the unit will play a greater advisory role to other fellow departments and state institutions in the prevention of recurrent cases. State institutions and their accounting officers must take accountability to monitor and avert similar and persistent cases from their departments and supporting institutions. As the SIU strengthens its internal operations, it will add value to the anti-corruption system through the data that it gathers and analyses.

TM Masutha, MP (Adv)
Minister of Justice and Constitutional Development

31 January 2018

FOREWORD BY THE HEAD OF THE UNIT



Adv Andy Mothibi

Head of the Special Investigating Unit

Adv Andy Mothibi

Head of the Special Investigating Unit

Our strategic focus is to achieve appropriate legal outcomes against perpetrators of maladministration and corruption and to influence proactively the systemic and behavioural root causes of administrative irregularities and corruption.

I am confident that the success in combating fraud and corruption can be realised through the continued work and dedication of the SIU officials, public and private sector leadership and support of all South African citizens.

The 2018-19 APP of the SIU reflects the alignment to the Department of Justice and Constitutional Development's (DoJ & CD) strategic goals and supports the advancement towards achieving the objectives of the NDP, as well as the Medium Term Strategic Framework (MTSF).

The Special Investigating Units and Special Tribunals Act, 1996 (Act 74 of 1996), as well as various statutes, legislation and relevant legislative instruments, guided the development of the 2018-19 APP. The current plan puts forth critical focus areas that will enable the SIU to deliver on its mandate, as well as contribute to optimising the functions of South Africa's multi-agency anti-corruption system.

Undoubtedly, issues such as technological advancements and strained economic resources have influenced the operating environments of the public and private sector. The current updated Situational Analysis underscores the SIUs need to maintain relevance in a rapidly changing environment. The findings of the updated Situational Analysis in Part A of the APP highlight the organisation's need to increase and improve capacity to address corruption in the national and increasing global context.

While cybercrime is on the rise, the national and global economic outlook is at a low. Issues including drought and food security, low commodity prices, decreased foreign direct investment inflows, reduced fixed investment spending point towards the optimisation of service delivery with reduced government funds. Given these distinct challenges, the SIU acknowledges the need for the Unit to improve and optimise its capabilities.

Assessing the impact of critical internal and external factors on the future of the SIU required the revision of the unit's 2015-2020 strategic focus that occurred through an organisational review process.

This process culminated in a revised value chain and operating model (refer to page 65) that supports the implementation of the revised strategic goals, objectives and focus. Operational changes include the standardisation of service quality, enhanced case registration and monitoring thereof, implementation of prevention activities, and engagement in a digital transformation which provides business intelligence for proactive decision-making.

SIU has also developed a new organisational structure to support the revised strategy (refer to page 29).

During the 2018-2020 period, the SIU is dedicated to pursue the revised strategy through detailed and measurable objectives. The use of explicit measures outlines the effort and resources required to advance a particular course of action, as well as define lines of accountability.





National Anti-Corruption Strategy

Over the past several years, the anti-corruption system as a whole has experienced poor coordination, limited agency autonomy and duplication of efforts. While most systems encompass considerable work dependencies and the cross-pollination of functions, ambiguous functional demarcation and misalignment proved to be challenging in the effort to combat corruption.

In 2015, government formally developed the National Anti-Corruption Strategy to coordinate a multi-agency approach. The Anti-Corruption Inter-Ministerial Committee endorsed the strategy framework thus an inter-departmental National Anti-Corruption Strategy Steering Committee was established. The SIU continues to support the finalisation and implementation of the National Anti-Corruption Strategy and drive its implementation.

Improving the legislative framework

The Special Investigating Unit and Special Tribunals Act, (Act. 74 of 1996) limits certain functions of the SIU. While the SIU may receive a number of allegations per year, the Act restricts any investigative activities of the unit until the receipt of the presidential proclamation. Furthermore, the motivations for proclamations must be supported by voluntary information or evidence provided by the applicable institution or the individual/department, that reported the allegation. Due to these restraints, the SIU's allegation conversion to proclamations, were at 4.7% in 2015/16 and increased to 15% in 2016/17.

While the SIU affirms its commitment to converting allegations into proclamations, the legislative limitations place two significant restrictions on the unit's effectiveness:

1. The perception that the Unit lacks autonomy creates a negative public view of being unresponsive to allegations; and
2. The low conversion rate of allegations received into proclamations appear to suggest that more can be done. In order to address persistent challenges and limitations, the SIU requested amendments to the current Act. The SIU Act already creates a statutory mandate (in section 2(1)(b)) for the President to establish a Special Tribunal and the composition, functions and powers of such a Special Tribunal are set out in sections 7 and 8 of the SIU Act.

The revised strategy will enable the SIU to improve the process and capability to assess new allegations and to convert them into Proclamations. The SIU will continue to work with the DoJ & CD towards the formalisation of the administrative arrangements for the functioning of the Special Tribunal.

Strategic focus

This year's APP outlines specific activities for the SIU to become more proactive and to ensure greater preventative measures, which addresses the maladministration and misuse of state funds. Our strategic focus is to achieve appropriate legal outcomes against perpetrators of maladministration and corruption and to influence proactively the systemic and behavioural root causes of administrative irregularities and corruption.

In order to achieve these goals, the following strategic interventions should support our focus:

- accelerate the conversion of allegations into proclamations;
- establish capacity for fraud and corruption prevention through public education;

- monitor and evaluate the impact of SIU objectives;
- standardise the manner in which cases are scoped;
- improve the quality and turnaround times of investigations;
- expand on the monitoring and evaluation of case management, including a central case registration system;
- in order to ensure the long term financial stability of the SIU, engagement with National Treasury will continue on the funding model;
- create and publish sector data intelligence; and
- create advisory capacity to prevent the re-occurrence of cases.
- monitor the implementation of the SIU remedial actions

As the Head of the Special Investigating Unit, I am confident that the success in combating fraud and corruption can be realised through the continued work and dedication of the SIU officials, public and private sector leadership and support of all South African citizens.

Adv. Andy Mothibi
Head of the Special Investigating Unit

31 January 2018

OFFICIAL SIGN OFF

It is hereby certified that this APP for 2018-19 –

- was developed by the management of the SIU under the guidance of the Head of the unit, Adv Andy Mothibi;
- was prepared in line with the current Strategic Plan 2015-20 of the SIU; and
- accurately reflects the performance targets which the SIU will endeavour to achieve given the resources made available in the budget for the period 2018-19.



Mr Z Mguli

Senior Manager: Strategy, Monitoring and Reporting

31 January 2018



Mr A Gernandt

Chief Financial Officer

31 January 2018



Adv Andy Mothibi

Head of the Unit

31 January 2018



Mr V Madonsela

Director-General: Justice and Constitutional Development

31 January 2018



TM Masutha, MP (Adv)

Minister of Justice and Constitutional Development

31 January 2018



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INTEGRITY

Doing the right thing
even when no one
is watching.





Vision

The State's preferred and trusted forensic investigation and litigation agency.





Mission

With integrity, we investigate serious malpractices or maladministration in the administration of the State, as well as, any conduct which may seriously harm the interests of the public and instituting and conducting civil proceedings in any court of law or a Special Tribunal in its own name or on behalf of State institutions.



SIU VALUES

INTEGRITY

Doing the right thing even when no one is watching.

CO-OPERATION

Supporting and enabling all stakeholders in the fight against corruption.

DRIVE AND PASSION

Ensuring that all tasks are performed with the requisite drive and passion.

TEAMWORK

Fostering synergy in a multi-disciplinary and diverse environment.

INDEPENDENCE

Acting without fear, favour or prejudice.

EFFICIENCY

Doing the right thing in a timely and cost-effective manner.

PROFESSIONALISM

Developing and maintaining the highest standards.

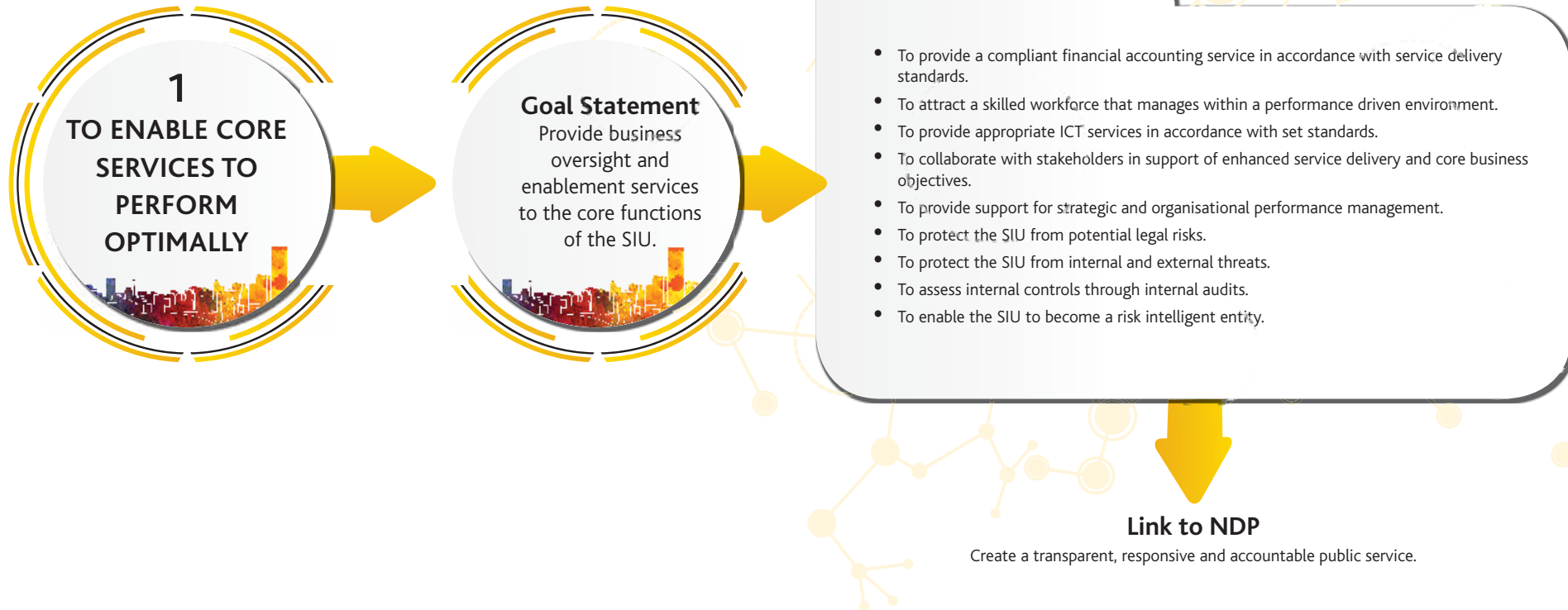


STRATEGIC OUTCOME: ORIENTATED GOALS

Following an assessment of the SIU's internal and external operating environment, a revision of the organisation's 2015-2020 Strategic Goals occurred. The assessment accompanied by a redesign of the SIU's value chain and operating model. The revision of the Strategic Goals and objectives ensures alignment with the organisation's strategic focus and the new value chain and operating model.

The revised Strategic Goals will be pursued by the SIU over the period 2018-2020 and reflects a focus of these goals in this APP. Alignment to detailed and measurable objectives provides a way to commit resources and accountability to a particular course of action. The strategic objectives are supported by projects or activities detailed in the operational plans of the unit.

STRATEGIC GOALS



STRATEGIC GOALS

2
**TO ACHIEVE
APPROPRIATE LEGAL
OUTCOMES AGAINST
PERPETRATORS OF
MALADMINISTRATION
AND CORRUPTION**

Goal Statement
Ensure timeous prosecution of all reported perpetrators of maladministration and corruption within State institutions through civil proceedings or disciplinary and criminal referrals.

Strategic Objectives

- To ensure that each case is centrally reported and monitored.
- To ensure that each allegation is assessed in accordance with standardised criteria.
- To conduct forensic investigations according to predetermined standards.
- To initiate the implementation of legal recommendations.
- To increase legal outcomes based on civil and other proceedings.

Link to NDP
Strengthen accountability and responsibility of public servants: ensure South African public servants are legally accountable as individuals for their actions, particularly in matters involving public resources.



3
TO INFLUENCE PROACTIVELY THE SYSTEMIC AND BEHAVIOURAL ROOT CAUSES OF MALADMINISTRATION AND CORRUPTION



Goal Statement
Take a leading role in South Africa to prevent fraud and corruption by focusing on societal values and systems that make it difficult to engage in acts of corruption



- Strategic Objectives**
- To direct internal and influence external strategic decision-making processes through data analysis.
 - To assist State institutions with the prevention of the reoccurrence of reported cases.
 - To increase public awareness about targeted anti-corruption behaviour.



Link to NDP
Build a resilient anti-corruption system: Anti-corruption efforts should create a system that public officials and citizens support. This system should operate freely from political interference.



CO-OPERATION

Supporting and enabling
all stakeholders in the
fight against corruption.



3. UPDATED SITUATIONAL ANALYSIS

In 1996, the President of the Republic of South Africa established the SIU in terms of the Special Investigating Units and Special Tribunals Act, Act No 74 of 1996. The organisation's principal mandate is to investigate "serious malpractices or maladministration in connection with the administration of State institutions, State assets and public money as well as any conduct which may seriously harm the interests of the public." Alongside other State institutions, the SIU works within an intricate system designed to uphold the Constitution and to be of service to South African citizens.

The SIU holds the responsibility of assessing the merit of allegations, forwarding assessed allegations to the President and proceed with investigations after the President issues a proclamation. The gazetted proclamation serves as the "green light" for the SIU to commence formal investigation and to perform duties such as subpoena, search, seize and interrogate witnesses under oath. The SIU may take civil action and the necessary recourse for any wrongdoing uncovered in its investigations. For example, the SIU may obtain court orders to recover any wrongful benefits or monies intended for the State. The SIU may also work with State Institutions to cancel contracts and/or stop transactions or other actions that were not properly authorised.

In the event where criminal conduct is uncovered, a referral is made to the National Prosecuting Authority (NPA) to prosecute offenders. Other State institutions responsible for specific directives outside the ambit of SIU mandates include the Directorate for Priority Crime Investigation (DPCI), (the Hawks) and the South African Police Service (SAPS), as well as the Asset Forfeiture Unit (AFU).

Strategically addressing issues in the current environment

The updated Situational Analysis seeks to provide an accurate reflection of the current global and national context. It is within this contextual understanding that the SIU's performance indicators and targets are set. The plans noted in this APP reflect the targets, as well as the re-engineered and aligned business and operating models. These models support our case for change and provide a sharp focus to improve the SIU and its ability to deliver impact in this changing environment.

It is important to note that any signed proclamation that emerges subsequent to the submission of this APP may impact on organisational performance and will be reported in the Annual Report.

3.1 Performance delivery environment

In the current global and local economic context, issues such as technological advancements, a weak global economy, public and private sector corruption challenge the intricate systems of anti-corruption. Given these challenges, it is critical for every "gear" or every organisation within the public sector, to reassess its impact, relevance and ability to uphold their mandates.

Many governments, including the South African government, are currently undergoing digital transformations that enable public sector and public service delivery through online platforms, enhanced citizen engagement and greater collaboration with businesses. Key drivers of digital change, such as growing urbanisation, alternatives to cash and traditional currency, hyper connectivity, global networking, exponential growth of digital technologies and the synthesis of digital, physical and biological worlds, will result in mega shifts in all sectors and industries.

Given the digital transformation and the key drivers of change, the future of government and businesses requires more proactive and preventative solutions, that aims to change the cultures and attitudes of citizens and employees in combating fraud and corruption. As one unit within a multi-agency anti-corruption system, the SIU recognises the need to repositioning itself as a strong pillar within the industry.

3.1.1 Global Corruption

According to a public report released by Transparency International¹, public and private sector corruption represents 5% of the global GDP, the equivalent of 2.6 trillion US dollars annually. Globally, the European Union and Western Europe have the highest Corruption Perception Index (CPI) scores, followed by the America's and Asia Pacific. Sub-Saharan Africa's low index scores suggests the highest levels of corruption. Strong economic conditions, stable socio-political environments and effective accountability characterise countries that lead the global corruption rankings. The diagram on the next page indicates the CPI score per region:

¹ International and independent source of information that is globally recognised.

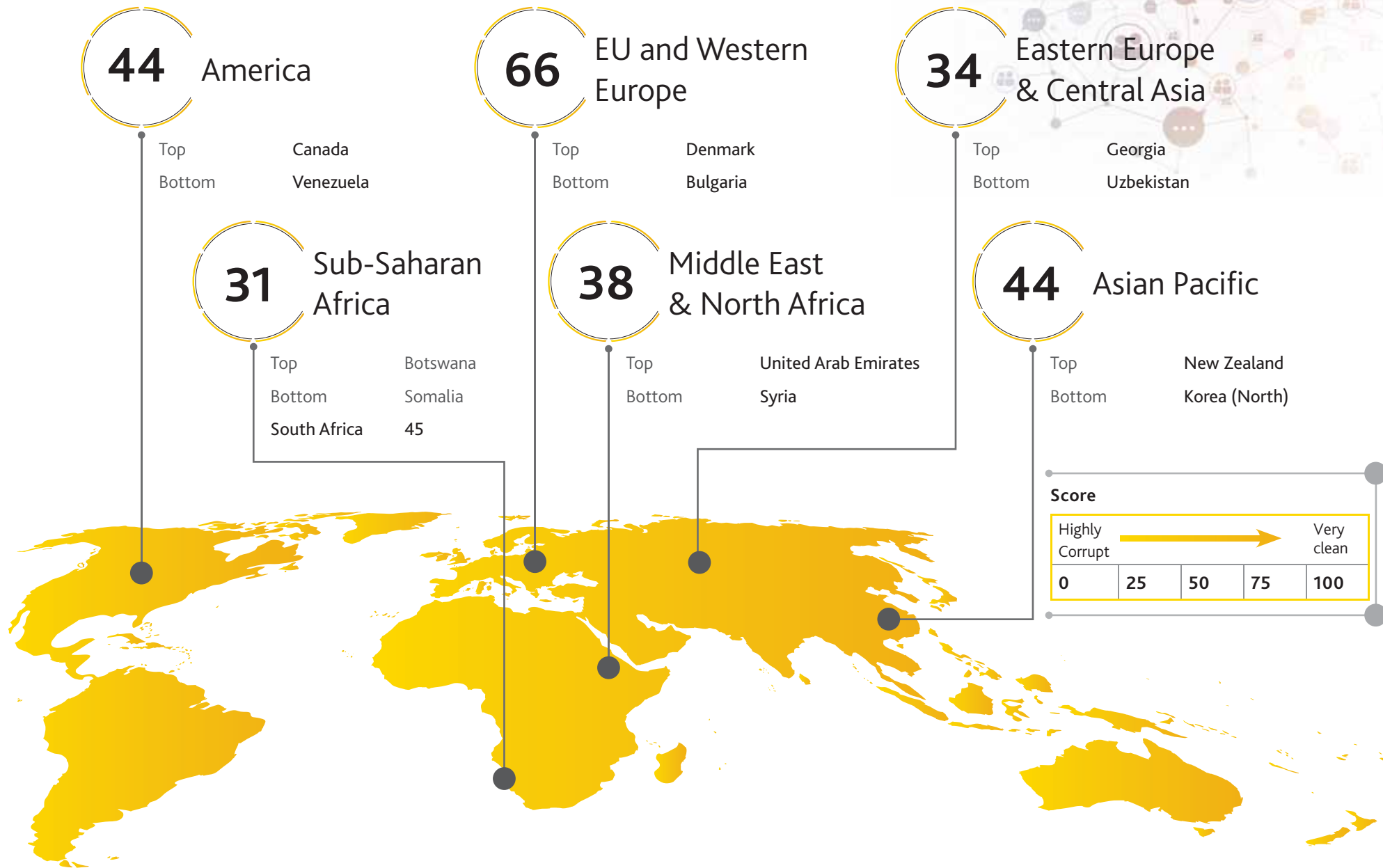


Figure 1: Corruption Perception Index Score 2016



While South Africa's CPI 2016 score of 45 is above the average for Sub-Saharan Africa, the report attributes the country's low global index score to considerably high levels of corruption. The SIU plays a critical role in changing the landscape of global and national confidence and transparency.

3.1.2 National Corruption

Corruption in South Africa remains relatively high, despite anti-corruption efforts. The maladministration or misuse of State funds hinders government's ability to improve service delivery and meet the goals of the National Development Plan. While government has established means for fighting corruption and fraud, other organisations such as Corruption Watch and the Public Service Commission have come to the fore to report the types of corruption cases reported in the country.

In the following subsections, the SIU has used statistics from independent organisations. As a public-sector entity responsible for anti-corruption efforts nationally, the SIU needs to improve on its awareness of the industry landscape and leverage and work with civil society groups. This will enable the SIU to become more proactive about the issues at hand in the country and recommend and advise on required improvements to state institutions.

3.1.3 Types of corruption cases reported in the country

According to the Corruption Watch² Annual Report, the Non-Governmental Organisation (NGO) received 4391 corruption reports in 2016, an increase of 2010 reports from the previous year. Seventy-six percent of the 2016 reports implicated the public sector while the remaining reports alluded to the private sector and "other". Since 2013, "abuse of power" has consistently been the highest type of corruption reported, although reports of bribery, employment corruption and procurement corruption have been on the increase since 2015.

² One of the few sources of information available that reflect cases in the public and private sphere. The organisation is active in the media and the public is aware of their ability to report cases to Corruption Watch.

³ In February 2015, the Public Service Commission (PSC) presented 1419 finalised case information regarding financial misconduct and the recovery of money lost through financial misconduct as part of the Fact Sheet for 2013/14.



Figure 2 below depicts the types of **corruption reported** by percentages:

According to the Public Service Commission (PSC) Financial Misconduct Fact Sheet³, there has been a corresponding decline in the funds recovered in financial misconduct cases and the number of cases reported. Fraud represents 22.3% and "misappropriation and abuse" 21.9% of the 1419 financial misconduct cases reported in 2013/14. The National Anti-Corruption Strategy Diagnostic Report identified that arrests and conviction numbers have experienced a decline in recent years, with arrests down by approximately 93% since 2010.

Between 2001 and 2017, the SIU investigated the following classification of cases:

- Procurement corruption (55%)
- Maladministration/financial mismanagement (34%)
- Employment corruption (6%)
- Abuse of power (3%)
- Bribery (2%)

Corruption reported (%)

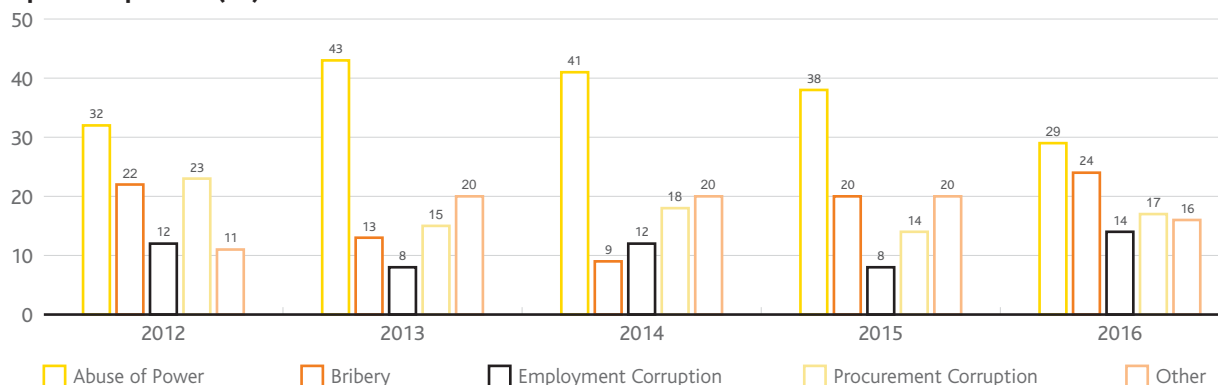


Figure 2: Types of corruption cases reported to Corruption Watch



3.1.4 Institutional location of reported cases

In 2016, 28% of the cases reported to Corruption Watch that were public sector-related were associated with national institutions and 26% with provincial institutions. Since 2013, the percentage of cases at national-level decreased by 48% while provincial-level increased by 16%. Figure 3 represents the trend of cases reported to Corruption Watch at national and provincial levels, as well as local, private and "other".

Corruption watch (%)

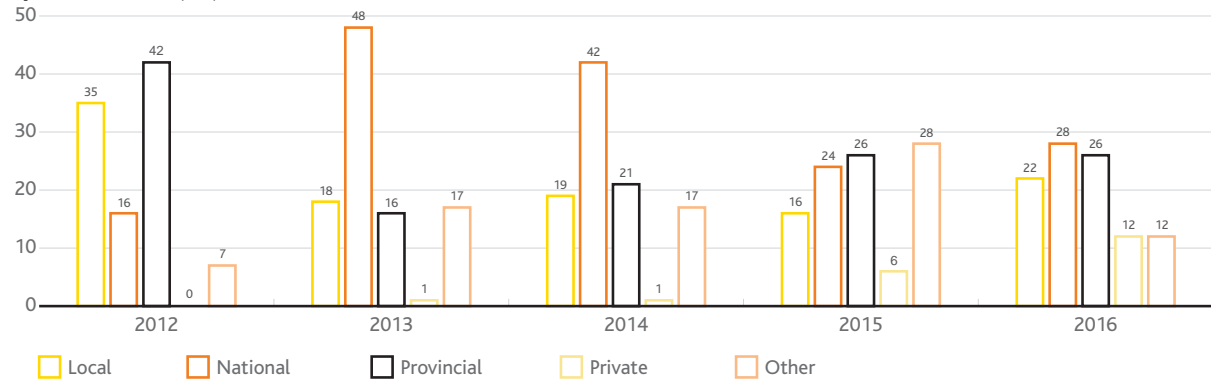


Figure 3: Institutional location of reported cases

According to the PSC, the finalised cases of financial misconduct in Financial Year (FY) 2013/14 reflected an institutional location spread of 464 (61.5%) at a national level and 290 (38.5%) at provincial level. Figure 4 on the left depicts the SIU proclamation profile. According to the profile, the location of cases represents 27.5% at national level and 37% at provincial level.

According to Corruption Watch and the PSC, Gauteng has the highest number of reported cases followed by the Western Cape and Kwa-Zulu Natal.

Institutional location of SIU cases (%)

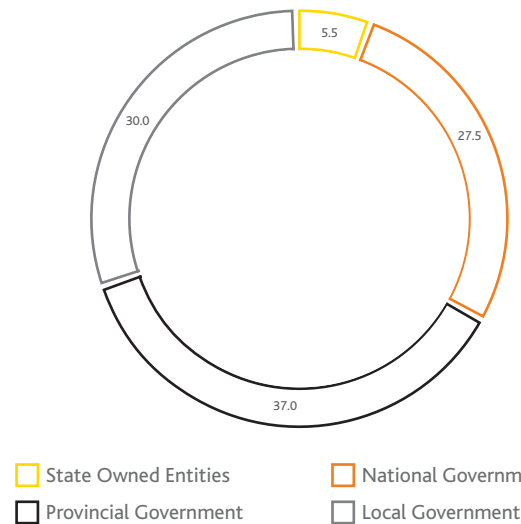


Figure 4: Institutional location of SIU cases



3.1.5 Lost and recovered funds

The National Anti-Corruption Strategy Diagnostic Report and South African Police Services (SAPS) information suggest a decline in both the number of arrests and prosecutions involved in commercial crimes between 2010 and 2016. The disparity between arrests and prosecutions declined between FY2012/13 and FY2013/14, and increased the following year as depicted in Figure 5 on the right.

Lost and recovered funds

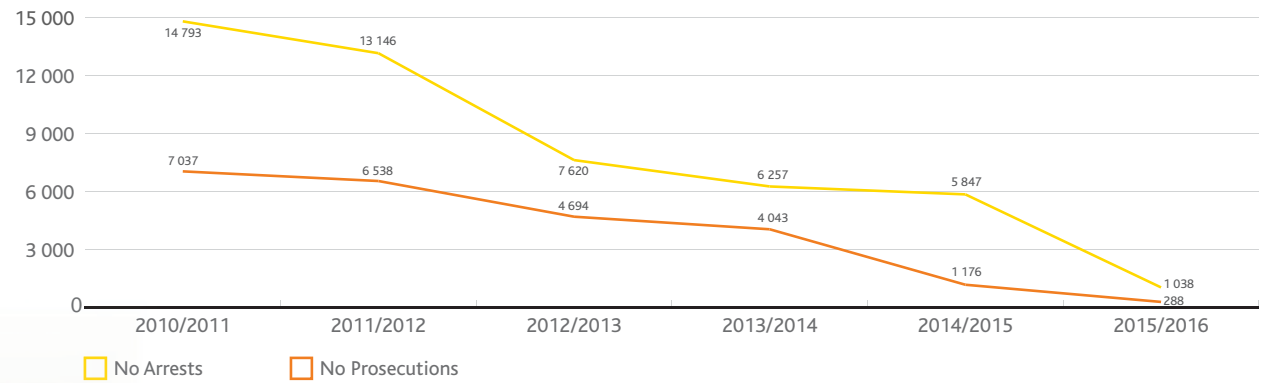


Figure 5: The number of arrests and convictions by the DPCI 2010/11 to 2015/16



According to the PSC Fact Sheet, in 2013/14 the monies not recovered amounted to R159 236 764 (76.5%). In previous years, the percentage recovered were 42.9% (FY2012/13) and 34% (FY2011/12). Figure 6 depicts the percentage of funds lost and recovered due to financial misconduct over four financial years.

Financial Misconduct (%)

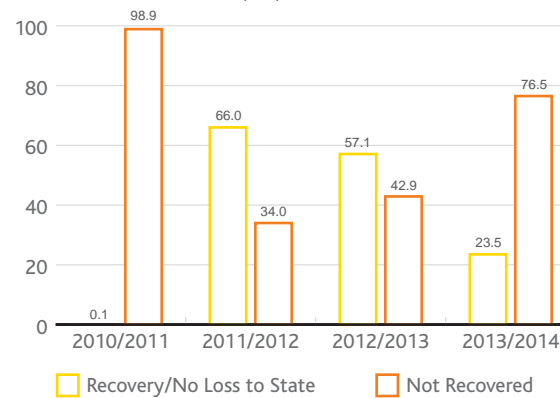


Figure 6: The percentage of funds lost and recovered due to financial misconduct over four financial years (2010-2014)

The SIU is authorised to refer investigated cases for a number of actions. During the period of 2012/13-2016/17, the SIU assisted State institutions in either recovering or preventing financial loss or potential financial loss to the value of R7 085 583 000. The breakdown is presented in the following table on the right:

Table 1: Measurable results (R '1000) of SIU investigation outcomes

	Recovered	Civil Claim	Prevention of Loss	Savings	AOD Signed	AFU Order	Potential Cash Recoveries	Contract Set Aside	Total
	R '1000	R '1000	R '1000	R '1000	R '1000	R '1000	R '1000	R '1000	R '1000
2012/2013	10 800	–	–	11 180	9 328	10 000	–	223 500	264 808
2013/2014	–	756 000	–	–	244	–	–	756 000	1 512 244
2014/2015	3 700	1 092 700	83 580	302 000	213	–	63 000	3 151 000	4 696 193
2015/2016	–	59 000	–	–	–	–	–	–	59 000
2016/2017	139	430 000	14 000	–	–	–	2 200	107 000	553 339
Total	14 639	2 337 700	97 580	313 180	9 785	10 000	65 200	4 237 500	7 085 583

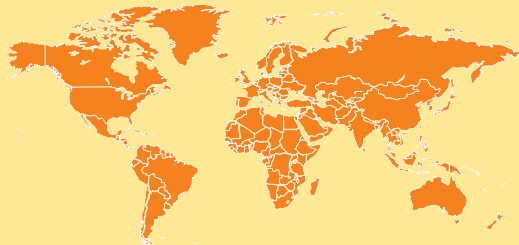
3.1.6 Economic outlook

Government funds subsidise a portion of the SIUs operations and as such, an analysis of the current economic environment is critical. Given the bleak economic outlook, the SIU along with other state institution, must reassess how to optimise limited financial resources. This section highlights current and future economic trends.

The political uncertainty faced by influential economies such as the USA and UK affected the low global economic growth rates compared to previous years. The table below provides a summary of current key economic points in the global, BRICS and Sub-Saharan Africa regions.

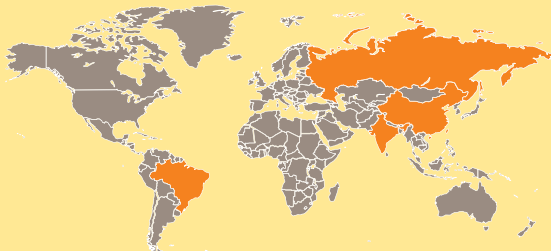
Table 2: Summary of economic outlook

Global



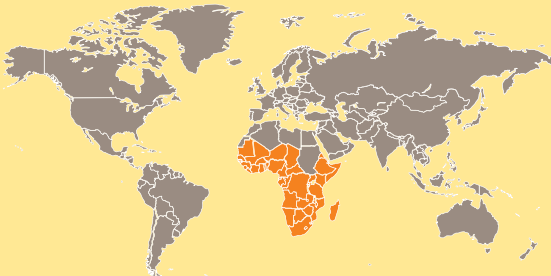
- The global economy growth rate, 3.1%, is at its slowest since the 2009 recession.
- Developments in the USA and UK influence global growth rates.
- The USA economy demonstrated slow GDP growth, moderate consumption expenditure, and a substantial reduction in private sector fixed direct investments (FDI).
- In the UK, the effect of Brexit vote resulted in slower economic growth. Britain's exit may influence the EU's overall economic performance.

BRICS



- Oil prices play a crucial role in the performance of the BRICS countries.
- Brazil and Russia demonstrate recessionary conditions; however, both countries are expected to report positive growth in the upcoming year.
- India recorded good (6.6%) growth 2016. Despite short-term effects of demonetisation, ongoing reforms are expected to yield positive results.
- China's economic growth was the weakest performance since 1990. The economy faces risks from rising debt and a gradual decrease in the demand for goods.

Sub-Saharan Africa



- Lowest economic performance in over 20 years and future growth is expected to continue to fall.
- Drought and security issues contribute to approximately half of the region's food insecurity.
- Low commodity prices reflected in decreased FDI inflows.
- Limited support expected from the external environment.
- Weaker domestic demand for goods.
- Reduced fixed investment spending.
- Political instability, particularly in the Democratic Republic of the Congo and Kenya.



In 2016, South Africa experienced the poorest growth performance since 1994, growing by 0.3%. The recent drought influenced higher food prices and the growing Consumer Price Index. The challenging operating environment reduced the country's ability to attract and maintain foreign domestic investment. The lack of foreign investment also affects labour absorption capacity. According to the 2017 Quarter 1 StatsSA Labour Force Survey, South Africa's current unemployment rate is 27.7%. The negative impact of high unemployment has the potential to increase the level of crime, reliance of social grants and overall demand on the public purse.

The recent status downgrades may require key structural decisions and reduced government spending on non-essential public agencies and services. In order to address these issues, the reduction of government spending may be enforced by:

- prioritising public programmes/projects and decreasing funding from those not prioritised
- limiting public service employment
- establishing austerity measures pertaining to salaries and benefits in the public sector
- improving governance and specifically risk management

In light of funding challenges, the SIU will have to ensure that its activities remain relevant and deliver measurable impact.

3.1.7 Responding to the future of government

Future operations of government are expected to be transformed by yet another digital revolution characterised by the fusion of the digital and physical worlds. Maintaining relevance in a rapidly changing environment requires the SIU to improve the organisation's capabilities to operate in the global industry. The operational changes include engaging in the digital government transformation to enhance citizen engagement, improve businesses collaboration and access public services through online platforms. The table below summarises six drivers that will shape the future of the SIU's client base by 2020 as it affects the changing shape of corruption:

Table 3: Six key drivers of the government of the future

Demographics	Major city centres will be home to approximately 60% of the world's population resulting in rapid urbanisation and expanding cities. Declining fertility rates, coupled with exponential healthcare advancements and longevity, will drive the aging of the world's population.
Economic	The evolution of financial systems will result in digital forms of global business, trade and currency. Block chain-based payment networks will provide a worldwide settlement framework allowing for faster, cheaper and secure cross-border payments.
Societal	The hyper-connectivity of networks across numerous digital and physical platforms will enable citizens to be more proactive, collaborative and socially conscious.
Digital Technologies	The convergence of social, mobile, analytics and cloud technologies will drive computing capabilities. Social networks will penetrate government, business and individual realms of everyday life.
Exponential Technologies	The exponential development of technologies, such as artificial intelligence, robotics and 3D printing, will significantly reshape and redefine industries.
Cyber Physical Systems	The fusion of digital, physical and biological worlds where an interconnected ecosystem of devices, machines, computers and systems are embedded with sensors and computing power.
Global Power Configuration	The balance of interest between players through polarisation, where states advance their interests, can have a direct and/or indirect influence on corruption.



3.1.8 The evolution of landscape of fraud and corruption

The advancement of technology and internet growth alters criminal and law enforcement operations. Technological advancements connect various networks across geographical space and aids perpetrators to construct and conduct criminal activities locally and across borders. Figure 7 below illustrates several factors that enable the increase in fraud and corruption:

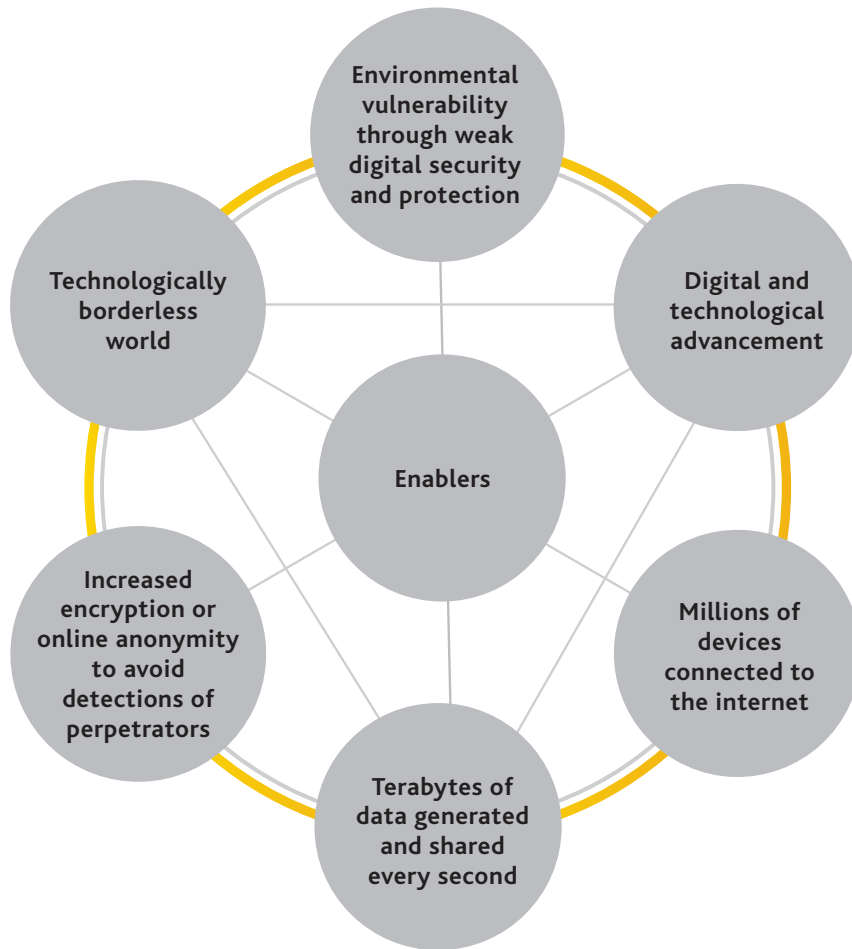


Figure 7: Enablers of increased fraud/corruption due to an evolving digital world

The changing digital world requires an increase in cyber-crime laws and prevention. State institutions have increased cyber security at vulnerable access points including social media and email accounts, cloud services and storage accounts, medical equipment, network equipment and resources, desktops, laptops, tablets, cell phones, firmware and security/utility software.

The growth of information and information systems increases opportunities for network attacks and intrusions, social engineering, exploitation of software vulnerabilities and the usage of various cyber weapons. The results of crime in a digital world can include stolen or leaked data, hijacked accounts or devices, infection or exploitation of assets, destruction or alteration of data and service interruptions.

In order to address fraud, corruption, and cyber-safety in the digital revolution, forensic companies are expanding their services offerings beyond traditional investigations to more proactive and preventative solutions. The SIU has gained value from the industry trends and has integrated the following aspects as part of its strategic direction in order to remain relevant and impactful in the future:

- **Cybersecurity:** The protection, response and investigation of high-tech intrusive incidents as well as from disruption or misdirection of services.
- **Forensic Technology Solutions:** The provision of technology, process capability and professional support.
- **Anti-Corruption Services and Education:** Prevention of corruption by changing cultures and attitudes through awareness campaigns, workshops and online courses.
- **Fraud Risk Mitigation:** Proactive anti-fraud programmes that help state institutions build a defence line.
- **Market Data Analytics:** Gathering and analysing market-related information or sector information to produce outputs that can inform internal or external strategic decision-making processes.

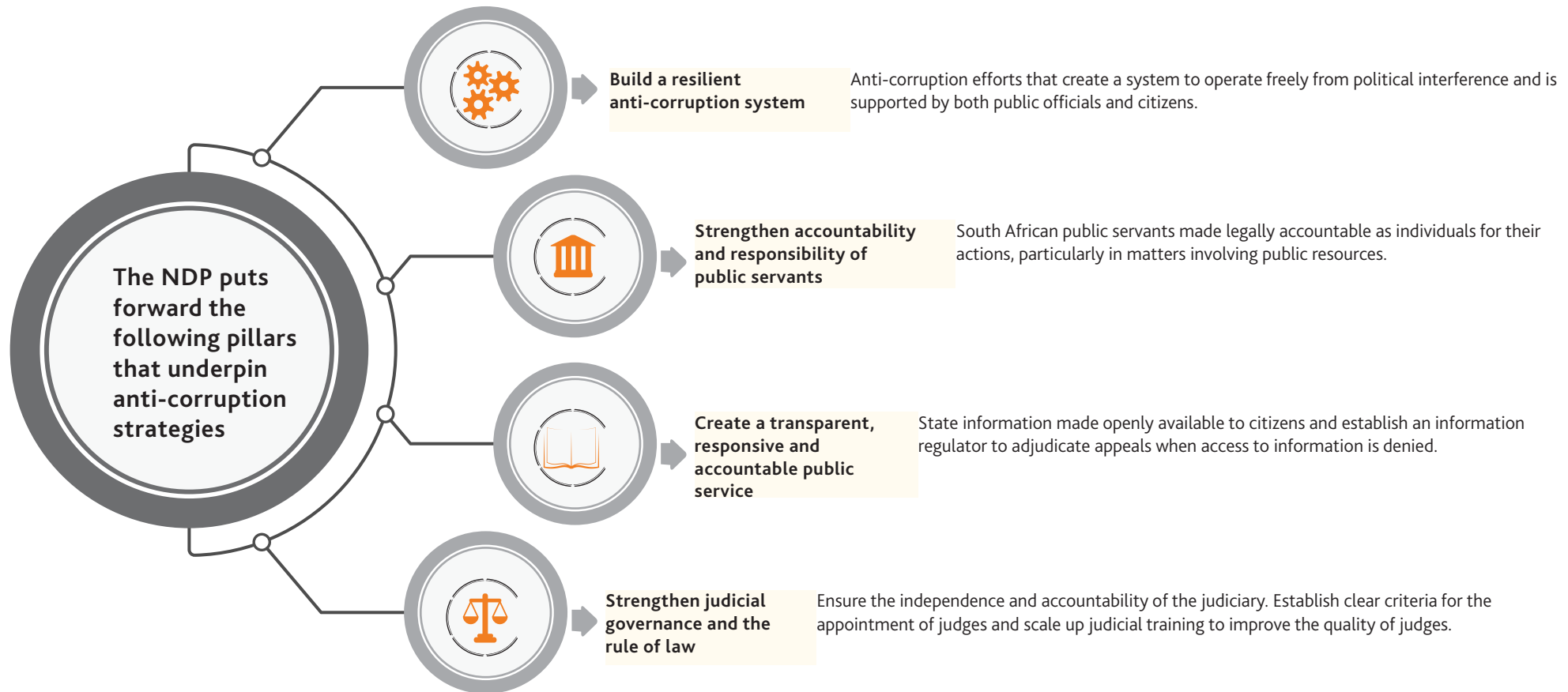


3.2 Political environment

3.2.1 The National Development Plan

The sector's vision for 2030 as per Chapter 14 of the NDP:

"Our vision for 2030 is a South Africa that has zero tolerance for corruption. In 2030, South Africa will be a society in which citizens do not offer bribes and have the confidence and knowledge to hold public and private officials to account, and in which leaders have integrity and high ethical standards. Anti-corruption agencies should have the resources, independence from political influence, and powers to investigate corruption, and their investigations should be acted upon."





3.2.1 The National Development Plan

The SIU plays a significant role in advancing the NDP's steps towards anti-corruption including:

- strengthen the multi-agency anti-corruption system;
- take a societal approach to combating corruption;
- strengthen the protection of whistle-blowers;
- improve oversight over procurement procedures for increased accountability;
- empower the tender compliance monitoring office to investigate corruption and the value for money of tenders;
- strengthen accountability and responsibility of public servants;
- create an open, responsive and accountable public service;
- strengthen judicial governance and the rule of law.

3.2.2 National anti-corruption sector strategy

South Africa's multi-agency anti-corruption system experiences poor coordination and apparent duplication of efforts. These challenges signalled a need for distinct functional demarcation and alignment. In 2015, government formally developed the National Anti-Corruption Strategy to coordinate a multi-agency approach. The Anti-Corruption Inter-Ministerial Committee endorsed the strategy framework and an inter-departmental National Anti-Corruption Strategy Steering Committee was established. The finalisation of the National Anti-Corruption Strategy is due to take place in 2018-19 after comprehensive consultations with all stakeholders.



3.2.3 Alignment to the medium term strategic framework

MTSF Outcome 3	SIU Alignment	
	Outcome 3: All people in South Africa are and feel safe	
Output 3:	Corruption within the Justice Crime Prevention and Security Cluster (JCPS) combated to ensure its effectiveness and its ability to serve as a deterrent against crime.	To investigate corruption, malpractice and maladministration in state institutions and facilitate or initiate appropriate remedial action.
Output 5:	Level of corruption reduced thus improving investor perception, trust and willingness to invest in South Africa.	Improve the credibility and stability of state institutions through remedial action to reflect zero tolerance against corruption.
Sub Outcome 4:	Workers' education and skills increasingly meet economic needs.	Training and development of SIU staff to obtain key skills necessary in the sector.
Sub Outcome 7:	Reduced workplace conflict and improved collaboration between government, organised business and organised labour.	Participation in the collective and/ or consultative bargaining forum and continuous staff engagement and culture surveys.
Sub Outcome 8:	Expanded economic opportunities for historically excluded and vulnerable groups.	Employment opportunities for woman and historically disadvantaged individuals and equity targets set at minimum target of 52% female.

3.2.4 SIU alignment to the Sustainability Development Goals (SDGs)

The United Nations General Assembly (UNGA) adopted the 2030 Agenda for Sustainable Development which includes a set of 17 Sustainable Development Goals (SDGs) to end extreme poverty and fight injustice and inequality over the next 15 years. In particular, SDG 16 and SDG 16.3 have specific reference for the DoJ & CD and the respective entities reporting to the department. Goal 16 calls upon countries to promote peaceful and inclusive societies for sustainable development and to provide access to justice for all and build effective, accountable and inclusive institutions at all levels. In addition, SDG 16.3 further encourages countries to promote the rule of law at the national and international levels and ensure access to justice for all.

3.2.5 SIU's role in assisting government to meet its regional and international obligations

The SIU plays a prominent role in assisting the country on its journey to complying with global anti-corruption standards and in regional and international anti-corruption processes. This includes complying with the requirements of the following:

- United Nations Convention on Anti-Corruption
- African Union Convention on Preventing and Combating Corruption
- SADC Protocol against Corruption
- Commonwealth Africa Anti-Corruption Centre



3.3 Organisational environment

As outlined in the Performance Environment within the current global and local context, the manner in which the SIU is operating is being challenged by issues such as technological advancements, a weak global and local economy and relatively high levels of corruption that is underpinned by an increasing demand for SIU services.

The lack of a fully integrated and coordinated multi-agency approach has resulted in a degree of overlap between the various mandates of the agencies, sector intelligence that is not optimally applied and multi-entry points for cases reported. In order for the SIU to play a leading role in a sector that is adding value and create impact, there is a critical need to change the way in which we operate.

As management, we recognised that improvements in the organisational framework require stability to the operating environment, robust accountability and governance, attaining growth through operational excellence, and demonstrating significance in our changing environment.

The SIU is planning (subject to consultation with the recognised trade union) to implement a performance management and development system (PMDS).

3.3.1 Organisational reform

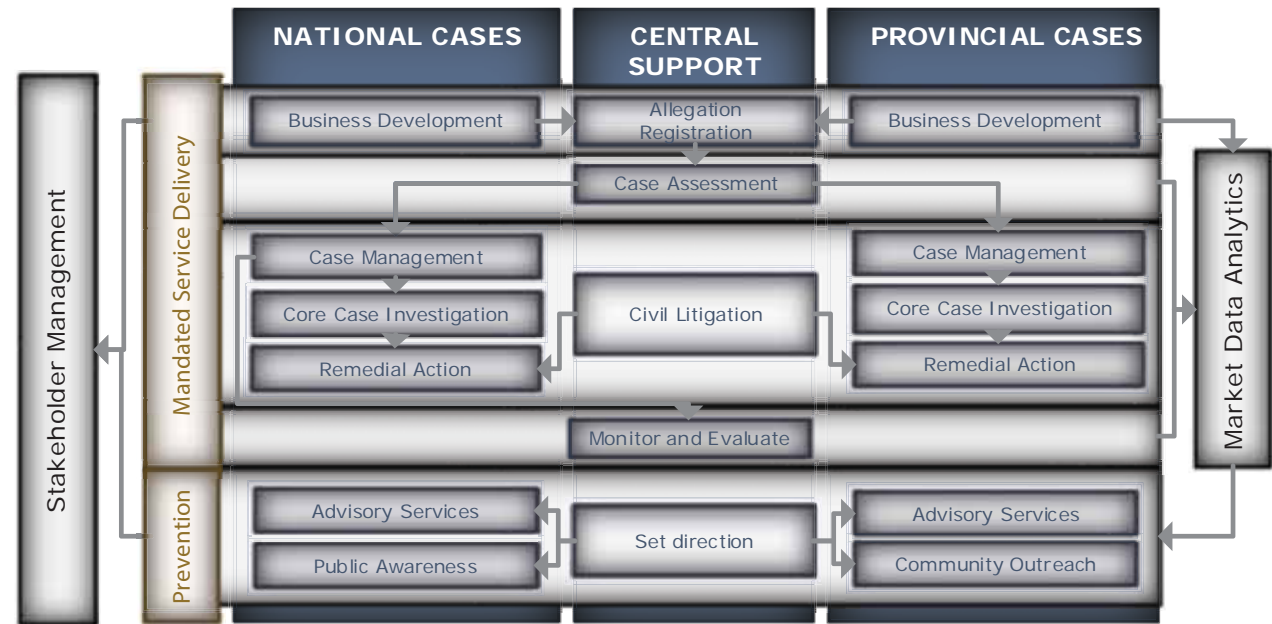
It is acknowledged that the current operational challenges exacerbate inefficiencies and coupled with the future challenges, management embarked on an organisational reform process during the 2017-18 financial year.

This first phase of the organisational reform process included an Organisational Review Project that was successfully executed during the 2017-18 financial year. The project commenced with an overall revision of the business strategy and culminated in an amended value chain and operating model (Annexure B) that

were completed during August 2017. An organisation design process followed that enabled the development of a macro and micro structure. The job profiles and evaluations for all positions as per the new structure were amended and benchmarked against market related salaries. The remuneration and incentive frameworks were also completed as part of this phase.

The implementation of the Organisational Review Project commenced during the 2017-18 financial year and will be completed during the 2018-19 financial year. Change management during the implementation phase is imperative to the success of the project.

The revised Operating Model is depicted in the following diagram:



3.3.2 Organisational Structure

Through a process of organisational design, the operating model was converted into an organisational structure that will enable the implementation of the revised strategy, operating model and value chain. The full implementation of the structure will commence during the 2018/19 financial year.

Executive and Senior Management Structure



3.3.3 Establishment of Additional Programmes

In 2018/19, the SIU will provide additional services that address the pertinent findings from the updated Situational Analysis, as well as support the strategic direction of the organisation.

3.3.3.1 Prevention, advisory and awareness

Best practices in fraud and corruption prevention have a strong foundation in public awareness and advisory services. Global research has shown that public campaigns and knowledge dissemination of anti-corruption behaviour, such as reporting fraudulent and corrupt activities through anonymous hotlines, influences societal attitudes and behaviour. The SIU aims to establish such public education services. By proactively informing citizens, the SIU bolsters greater support in the fight against corruption.

Establishing advisory services to state institutions and organisations is another facet of SIU's preventative measures. These services will focus on the following:

- **Enhancing public sector processes:** Past investigations may have identified challenges and gaps in systemic and standard processes that are applicable at various organisations. Therefore, applying learnings across state institutions may assist in ensuring that similar instances do not reoccur. The SIU services include the development of collaborative prevention plans and strategies to avoid the recurrence of similar fraud, corruption and maladministration cases.

- **Training:** The professional development of public servants is a critical factor for promoting quality service delivery that is free from corruption, fraud or maladministration. Customised training programmes aim to sensitise state employees to probable corruption types, warning signs and platforms for reporting suspicious behaviour.
- **Consulting:** State institutions require the assistance of the SIU to examine and identify the practices and procedures that may be susceptible to fraudulent practices, corruption or maladministration. In addition, SIU would assist with the development of anti-corruption improvement plans or strategies.

Continuous feedback mechanisms and monitoring tools assist to assess SIU impact. The feedback tools and approaches include the administration of surveys, questionnaires or interviews throughout the lifecycle of specific initiatives.

3.3.3.2 Market data analytics

The SIU's data and knowledge of the anti-corruption sector are valuable resources for strategic decision-making and prevention activities. The responsibility of the Market Data Analytics section is to supply sector data, knowledge and information to other institutions via formal service level agreements. Market data analytics is a key service that differentiates the unit from other market role players.

The SIU Market Data Analytics services add value and cost savings to other organisations by using data that may be:

- dynamic, accurate and relevant;
- aggregated and/or disaggregated for various business processes within an organisation;
- modelled for future-proofing new initiatives or improving current activities;
- integrated with historical and/or inter-organisation datasets;
- transactional and predictive; and
- supplemented with information regarding risk and mitigation plans.

TEAMWORK

Fostering synergy in a multi-disciplinary and diverse environment.



4. LEGISLATIVE AND OTHER MANDATES



No revisions are noted in this section and the legislative and other mandates are summarised as follow:

4.1 Constitutional mandate

The Constitution of the Republic of South Africa applies to the SIU, with specific reference to the following sections:

Section 32: Access to Information	<p>Everyone has the right of access to:</p> <ul style="list-style-type: none"> any information held by the State; any information that is held by another person and that is required for the exercise or protection of any rights; and National legislation must be enacted to give effect to this right, and may provide for reasonable measures to alleviate the administrative and financial burden on the State.
Section 33: Just administration action	<ul style="list-style-type: none"> Everyone has the right to administrative action that is lawful, reasonable and procedurally fair; Everyone whose rights have been adversely affected by administrative action has the right to be given written reasons; National legislation must be enacted to give effect to these rights, and must <ol style="list-style-type: none"> Provide for the review of administrative action by a court, or, where appropriate, an independent and impartial tribunal; Impose a duty on the State to give effect to the rights in subsections (1) and (2); and Promote an efficient administration.
Section 34: Access to Courts	<p>Everyone has the right to have any dispute that can be managed and adjudicated by the application of law decided in a fair public hearing before a court; or where appropriate, another independent and impartial tribunal or forum.</p>

4.2 Legislative Mandate

The work of the SIU is governed by a legislative framework including legislation as set out below:

Name of Act	Purpose
Special Investigating Units and Special Tribunals Act, 1996	To provide for the establishment of Special Investigating Units for the purpose of investigating serious malpractices or maladministration in connection with the administration of State institutions, State assets and public money as well as any conduct which may seriously harm the interests of the public and of instituting and conducting civil proceedings in any court of law or a Special Tribunal in its own name or on behalf of State institutions; to provide for the revenue and expenditure of Special Investigating Units; to provide for the establishment of Special Tribunals so as to adjudicate upon civil matters emanating from investigations by Special Investigating Units; and to provide for matters incidental thereto.
Criminal Procedure Act, Act 56 of 1995	To make provision for procedures and related matters in criminal proceedings.
Prevention and Combating of Corrupt Activities Act 12 of 2004	To provide for the strengthening of measures to prevent and combat corruption and corrupt activities; to provide for investigative measures in respect of corruption and related corrupt activities.





The SIU derives its mandate from Section 4 of the Special Investigating Units and Special Tribunals Act. The functions of the SIU are, within the framework of its terms of reference as set out in the proclamation referred to in section 2(1):

- a. to investigate all allegations regarding the matter concerned;
- b. to collect evidence regarding acts or omissions which are relevant to its investigation;
- c. to institute and conduct civil proceedings in a Special Tribunal or any court of law for
 - i. any relief to which the state institution concerned is entitled, including the recovery of any damages or losses and the prevention of potential damages or losses which may be suffered by such a State institution;
 - ii. any relief relevant to any investigation; or
 - iii. any relief relevant to the interests of a Special Investigating Unit;

- d. to refer evidence regarding or which points to the commission of an offence to the relevant prosecuting authority;
- e. to perform such functions which are not in conflict with the provisions of this Act, as the President may from time to time request;
- f. from time to time as directed by the President to report on the progress made in the investigation and matters brought before the Special Tribunal concerned or any court of law;
- g. upon the conclusion of the investigation, to submit a final report to the President; and
- h. to at least twice a year submit a report to Parliament on the investigations by and the activities, composition and expenditure of such Unit.

The Special Investigating Unit must, as soon as practicable after it has obtained evidence referred to in sub-section (1)(d), inform the relevant prosecuting authority thereof, whereupon such evidence must be dealt with in the manner which best serves the interests of the public.

4.3 Relevant court rulings

No court rulings were reported that affect the mandate of the SIU.

4.4 Limitations created by current legislation

The SIU Act limits certain functions of the SIU. While the SIU may receive a number of allegations per year, the Act restricts any investigative activities of the unit until the receipt of the presidential proclamation. Furthermore, the motivations for proclamations must be supported by voluntary information or evidence, provided by the applicable institution or the individual/department that reported the allegation.

Given these restraints, the SIUs allegation conversion to proclamations was at 4.7%⁴ in 2015/16 and 15%⁵ in 2016/17.

While changes and amendments to the SIU Act are advised, the SIU has sought to improve efficiencies by conducting Memorandum of Understanding with Key Stakeholders.

The revised strategy will enable SIU to improve the process and capability of assessing new allegations and converting them into Proclamations.

Figure 8 below shows the number of allegations received over the past four years versus the number of allegations converted into proclamations.

Allegations converted to proclamations

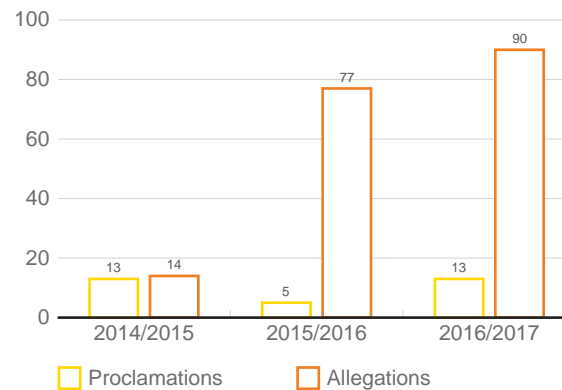


Figure 8: Number of allegations converted to proclamations

Additional limitations caused by the current legislation include:

- inability to undertake preliminary assessments of received allegations prior to applying to the President for a Proclamation;
- lack of clear mandate to monitor and enforce remedial measures;
- restrictions to reporting about investigations to specified persons, entities or State institutions; and

- lack of additional funding by National Treasury or the relevant provincial treasury to investigate proclamations; the onus is on the complainant to incur the fees and expenses of the investigation.

In order to address persistent challenges and limitations, the SIU requested amendments to the current Act. The SIU Act already creates a statutory mandate (in section 2(1)(b) thereof) for the President to establish Special Tribunals and the composition, functions and powers of such a Special Tribunals are set out in sections 7 and 8 of the SIU Act.

There is a proclamation to establish Special Tribunals; however, the establishment of the Special Tribunals will only happen upon recommendation of the DoJ & CD and in conjunction with the Office of the Chief Justice. Such recommendations will only be possible if the administrative arrangements for the functioning of the Special Tribunal and the appointment of a Tribunal President are in place.

At the time of submitting this APP, DoJ & CD was at an advanced stage of re-establishing the Special Tribunal.

⁴ 2015/16: 77 allegations received, five allegations converted to proclamations.

⁵ 2016/17: 90 allegations received, 13 allegations converted to proclamations.

PROFESSIONALISM

Developing and
maintaining the
highest standards.



INVESTIGATE

5. OVERVIEW OF 2018/2019 BUDGET AND MTEF ESTIMATES

5.1 Expenditure estimates

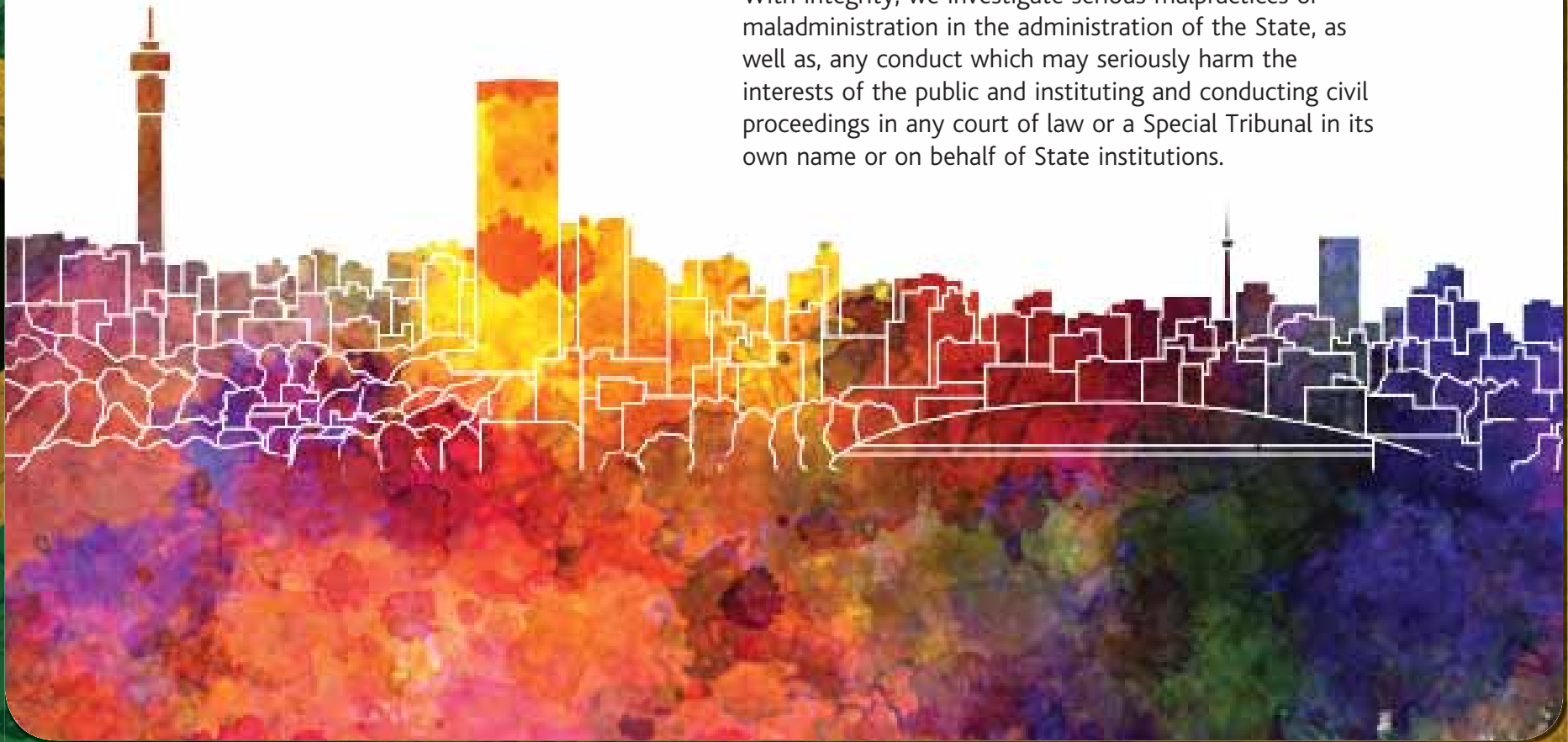
Special Investigating Unit income and expenditure by programme/objective/activity							
	Audited outcome			Revised estimate	Medium-term expenditure estimate		
	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Income							
Administration	307 104	320 672	337 109	368 380	380 691	396 050	417 989
Investigations	226 912	174 044	181 676	211 187	244 195	276 849	304 802
Total income	534 016	494 716	518 785	579 567	624 886	672 899	722 791
Expenditure							
Administration	203 058	187 795	204 784	284 180	300 558	314 350	334 301
Investigations	259 200	257 003	274 349	295 387	324 328	358 549	388 490
Total expenditure	462 258	444 798	479 133	579 567	624 886	672 899	722 791
Surplus/(Deficit)	71 758	49 918	39 652	-	-	-	-
Capital expenses	12 986	12 291	14 194	60 000	40 000	20 000	20 000
Roll-over of funds	120 847	120 917	196 073				

Vision

The State's preferred and trusted forensic investigation and litigation agency.

Mission

With integrity, we investigate serious malpractices or maladministration in the administration of the State, as well as, any conduct which may seriously harm the interests of the public and instituting and conducting civil proceedings in any court of law or a Special Tribunal in its own name or on behalf of State institutions.



PART B

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6. PROGRAMME ADMINISTRATION

6.1 Programme purpose

Provide business oversight and enablement services to the core functions of the SIU.

Sub-Programme	Services performed
	All sub-programmes will manage and facilitate:
Financial Management	Financial management, asset management, facilities and supply chain management services
Human Resources	Human Resources Management
Information and Communication Technology	Provision of information communication and technology management services
Enablement Services	Stakeholder Management, Strategic Planning, Monitoring and Evaluation, Corporate Governance, Corporate Legal and the Office of the Head of the Unit services
Assurance	Internal Audit, Risk Management and Internal Integrity Services

6.2 Programme performance indicators and annual targets for 2018/19

Strategic objective	Performance indicator	Audited performance			Estimated performance	Medium term targets		
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
1. To provide compliant and sustainable financial services in accordance with service delivery standards	1.1 Percentage reliance on government funding.	57%	64%	64%	62%	59%	57%	56%
	1.2 Percentage of valid invoices paid within 30 days	–	–	–	–	95%	95%	95%
2. To attract a skilled workforce that is managed within a performance driven environment.	2.1 Percentage of approved vacancies filled as per approved and budgeted workforce plan	–	–	–	15% vacancy rate	14% vacancy rate	8% vacancy rate	6 % vacancy rate
3. To provide appropriate ICT services in accordance with set standards	3.1 Percentage implementation of 3-year ICT plan	–	–	–	–	50%	75%	100%
	3.2 Percentage compliance to agreed service delivery standards	–	–	–	–	90%	95%	98%

6.2 Programme performance indicators and annual targets for 2018/19

Strategic objective	Performance indicator	Audited performance			Estimated performance	Medium term targets		
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
4. To collaborate with stakeholders in support of enhanced service delivery and core business objectives	4.1 Stakeholder survey conducted and baseline established ⁶	–	–	–	–	Conduct a stakeholder survey and establish a baseline	50% recommendations resulting from the stakeholder survey implemented	100% recommendations resulting from the stakeholder survey implemented
5. To provide support for strategic and organisational performance management	5.1 Number of integrated operational plans assessed according to predetermined standards	–	–	–	–	9	9	9
6. To protect the SIU from potential legal risks	6.1 Percentage implementation of legal compliance framework	–	–	–	–	100%	100%	100%
7. To protect the SIU integrity from internal and external threats	7.1 Percentage submission of declaration of interests controlled for all SIU employees	–	–	–	–	90%	95%	100%
	7.2 Percentage implementation of fraud prevention plan	–	–	–	–	80%	90%	100%
8. To assess internal controls through internal audits	8.1 Percentage of approved internal audits conducted in accordance with internal audit plan	–	–	–	–	100%	100%	100%
9. To enable the unit to become risk intelligent	9.1 Implementation level of approved risk management framework through maturity index criteria levels Level 5 (0-30%), level 4 (31%-50%) level 3 (51%-70%), level 2 (71%-90%), level 1 (91%-100%)	–	–	–	–	Level 2	Level 1	Level 1

⁶ Baseline information for new indicators for 2017-18 and other financial years is not available as these indicators were not included in the previous APPs.



6.3 Quarterly targets for 2018/19

Strategic objective	Performance indicator	Quarterly targets			
		1	2	3	4
1. To provide compliant and sustainable financial services in accordance with service delivery standards	1.1 Percentage reliance on government funding.	62%	61%	60%	59%
	1.2 Percentage of valid invoices paid within 30 days	95%	95%	95%	95%
2. To attract a skilled workforce that is managed within a performance driven environment.	2.1 Percentage of approved vacancies filled as per approved and budgeted workforce plan	15% vacancy rate	15% vacancy rate	15% vacancy rate	14% vacancy rate
3. To provide appropriate ICT services in accordance with set standards	3.1 Percentage implementation of 3-year ICT plan	–	–	25%	50%
	3.2 Percentage compliance to agreed service delivery standards	90%	90%	90%	90%
4. To collaborate with stakeholders in support of enhanced service delivery and core business objectives	4.1 Number of stakeholder surveys conducted	–	–	1	–
5. To provide support for strategic and organisational performance management	5.1 Number of integrated operational plans assessed according to predetermined standards	9	9	9	9
6. To protect the SIU from potential legal risks	6.1 Percentage implementation of legal compliance framework	25%	25%	25%	25%
7. To protect the SIU integrity from internal and external threats	7.1 Percentage submission of declaration of interests controlled for all SIU employees	15%	25%	50%	10%
	7.2 Percentage implementation of fraud prevention plan	70%	70%	80%	80%
8. To assess internal controls through internal audits	8.1 Percentage of approved internal audits conducted in accordance with internal audit plan	100%	100%	100%	100%
9. To enable the unit to become risk intelligent	9.1 Implementation level of approved risk management framework through maturity index criteria levels Level 5 (0-30%), level 4 (31%-50%) level 3 (51%-70%), level 2 (71%-90%), level 1 (91%-100%)	Level 3	Level 3	Level 2	Level 2

6.4 Reconciling performance targets with the budget and MTEF

Description	Audited outcomes			Current year	2018 MTEF estimates		
	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Income							
Grant income	296 813	304 458	316 732	346 177	357 099	370 998	391 402
Project income	–	–	–	–	–	–	–
Interest and other income	10 291	16 214	20 377	22 203	23 592	25 052	26 587
Total revenue	307 104	320 672	337 109	368 380	380 691	396 050	417 989
Expenses							
Compensation of employees	28 000	57 900	73 429	135 859	152 524	164 238	176 043
Goods and services	168 369	124 736	125 426	141 337	140 652	142 317	150 034
Depreciation	6 689	5 159	5 929	6 984	7 382	7 795	8 224
Total expenses	203 058	187 795	204 784	284 180	300 558	314 350	334 301
Surplus/(Deficit)	104 046	132 877	132 325	84 200	80 133	81 700	83 688



6.5 Risk management and mitigation plans

Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
To protect the SIU from potential legal risks	Failure to implement the revised/new SIU Value Chains	1. SIU Act does not support the implementation of all new Value Chains	1.1 Determine and draft required legislation amendments to support the implementation of new Value Chains 1.2 Drive the approval and implementation process for SIU legislation amendments
	Failure to ensure compliance with all regulatory requirements applicable to SIU	1. Lack of a fully resourced Compliance Unit 2. Lack of awareness on SIU compliance requirements	1.1 Establish a fully-fledged Compliance Unit in SIU 2.1 Develop and implement Compliance Policy 2.2 Develop and implement Compliance Framework 2.3 Develop and assess SIU compliance universe 2.4 Conduct gap analysis on POPI Act compliance 2.5 Develop and implement POPI Action Plan 2.6 Conduct training and awareness on SIU Compliance Framework
To attract a skilled workforce that is managed within a performance driven environment.	Inability to properly manage poor performance	1. Performance contracts/agreements not in place 2. Line Managers do not fully understand performance management system 3. Lack of structured performance review process 4. Employees do not fully understand performance management system 5. Lack of buy-in from Organised Labour	1.1 Ensure that employees sign performance contract/agreements 2.1 Conduct training for Line Managers on the new performance management system 3.1 Develop performance management procedure 4.1 Conduct training for employees on the new performance management system 5.1 Consult with Labour on the new performance management system
To provide a compliant financial service in accordance with service delivery standards	Inability to financially sustain SIU operations in the short-medium term	1. Funding model shortcoming 2. Inability to collect debt (lack of debtor payments) 3. Personnel cost escalating above Consumer Price Index	1.1 Develop and implement a sustainable funding model 1.2 Review the Charge Out rates 2.1 Establish Debtors Collection Strategy and Plan 2.2 Operations to provide investigation progress report for historic debts 2.3 Operations to provide investigations progress report for current/monthly invoicing 2.4 Provide progress report on bad debtors 2.5 Provide report on the outcome of CFOs Forum in relation to settling SIU debts 3.1 Develop and implement SIU cost containment strategy 3.2 Review performance management system

6.5 Risk management and mitigation plans

Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
To provide appropriate ICT services in accordance with set standards	Failure to provide appropriate ICT services across SIU business	<ol style="list-style-type: none"> 1. Lack of human resources 2. Lack of adequate ICT infrastructure 3. Lack of ICT security structure 	<ol style="list-style-type: none"> 1.1 Capacitate ICT Organisational Structure with suitably qualified and skilled human resources 1.2 Implement ICT governance programme in line with the prescripts of DPSA's Corporate Governance of ICT (CGoICT) 2.1 Review and implement the ICT infrastructure Plan 2.2 Implement a Network and Data Security Plan to ensure the integrity, confidentiality
To collaborate with stakeholders in support of enhanced service delivery and core business objectives	Ineffective collaboration with external and internal stakeholders	<ol style="list-style-type: none"> 1. Insufficient stakeholder identification and mapping (not aligned to new SIU Value Chains) 2. Insufficient human resources capacity 3. Communication Policy not in place 	<ol style="list-style-type: none"> 1.1 Appoint a service provider to review Communication and Stakeholder Management Strategy in line with new Value Chain 1.2 Implement the updated Communication and Stakeholder Management Strategy 2.1 Recruit more personnel in line with the approved Communication Department structure 3.1 Ensure that Communication Policy is approved
To provide support for strategic and performance management across the organisation	Failure to provide appropriate monitoring and evaluation services on SIU business performance	<ol style="list-style-type: none"> 1. Insufficient human resources capacity 2. Lack of effective performance monitoring and evaluation 3. Unstructured business planning process 4. Inadequate business planning process 5. Outdated business planning policies and procedures 	<ol style="list-style-type: none"> 1.1 Capacitate Strategy Management Unit 2.1 Establish Strategic Monitoring and Evaluation Committee 2.2 Develop and implement performance reporting template, and guidelines 2.3 Develop and implement strategic and operational plans performance reporting dashboards 3.1 Develop and implement business planning guidelines and calendar 4.1 Conduct business planning training and awareness 5.1 Develop and implement business planning policy 5.2 Develop and implement business planning procedures
To protect the SIU from internal and external threats	Insufficient preparedness to respond to physical security breaches	<ol style="list-style-type: none"> 1. Lack of a fully resourced security department 2. Outdated security systems 3. SIU rented building layout not conducive for implementation of Integrated Security System (ISS) 4. SIU does not have an approved Security Policy 	<ol style="list-style-type: none"> 1.1 Capacitate security department with more human resources 2.1 Develop SIU Integrated Security System (ISS) strategy 3.1 Report percentage implementation of SIU Integrated Security System (ISS) strategy 4.1 Ensure that SIU Security Policy is approved

EFFICIENCY

Doing the right thing
in a timely and
cost-effective manner



7. PROGRAMME INVESTIGATIONS AND LEGAL COUNSEL

7.1 Programme purpose

To ensure the adequate execution of the mandated service delivery of the SIU.

Sub-programme	Services performed
Central Case Registration and Monitoring	<ul style="list-style-type: none"> • Centrally register all allegations received. • Management of allegation registration communication channels. • Update central database to reflect case status. • Analyse case reports, report blockages and identify performance improvements. • Centrally ensure relevant external reporting, follow-ups and communication. • Monitor the prohibition of corrupt individuals and businesses (blacklisting).
Case Assessment	<ul style="list-style-type: none"> • Assess adequacy of evidence pertaining to allegations received and assess if cases should proceed. • Scope proclamations and maintain criteria. • Approve all recommended remedial action and Presidential reports. • Maintain and monitor investigation standards. • Provide specialist support to investigation teams as and when required.
Case Management and Investigation	<ul style="list-style-type: none"> • Allocate, coordinate and manage internal and outsourced teams. • Develop project strategy, identify and executive immediate actions. • Conduct investigations per focus and specialist areas. • Execute project governance and reporting and perform stakeholder management. • Refer criminal cases to NPA and hand over and control dockets.
Forensic Legal and Civil Litigation	<ul style="list-style-type: none"> • Review evidence and recommend remedial action. • Compile charges and evidence for docket. • Conduct pre-litigation procedures. • Litigate the case and hand over for asset collection. • Participate in legal proceedings as per agreements with clients.



7.2 Programme performance indicators and annual targets for 2018/19

Strategic objective	Performance indicator	Audited performance			Estimated performance	Medium term targets		
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
1. To ensure that each case is centrally reported and monitored	1.1 The percentage of allegations that were electronically tracked according to predetermined standards	–	–	–	–	100%	100%	100%
2. To ensure that each allegation is assessed in accordance with standardised criteria	2.1 The percentage of centrally registered allegations received that are assessed in accordance with predetermined standards	–	–	–	–	100%	100%	100%
3. To conduct forensic investigations according to predetermined standards	3.1 The number of investigations closed under a published proclamation in accordance with predetermined standards	–	–	1 186	1 000	1 200	1 400	1 600
	3.2 The number of reports submitted to the Presidency	–	–	6	5	12	12	16
4. To initiate the implementation of legal recommendations	4.1 The number of referrals made to the Relevant Prosecuting Authority	171	307	108	75	75	75	125
	4.2 The number of referrals made for disciplinary, executive and/or administrative action	3,769	68	137	75	100	100	150
5. To increase legal outcomes based on civil and other proceedings	5.1 The value of potential losses prevented	–	–	R106.5m	R21m	R24m	R27m	R29m
	5.2 The value of cash recoveries ⁷	R989m	R125m	R170m	R320m	R120m	R120m	R120m
	5.3 The value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid	–	–	R4bn	R660m	R730m	R800m	R870m
	5.4 The value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings (including arbitration or counter civil proceedings)	–	–	R3.8bn	R1.3bn	1.4bn	R1.5bn	R1.6bn
	5.5 Special Tribunal established and cases enrolled	–	–	–	–	Special Tribunal established.	15	18

⁷ In previous financial years' this indicator was split between the value of potential cash to be recovered and the value of actual cash that is recovered. In the previous financial year the combined target for the two indicators was R320 million. The largest contributor to these indicators was the National Department of Public Works' Leases investigation. The total value reported so far for the 2017-18 financial year for this project is R214 654 475 (as at 19/03/2018). This project is expected to be finalised at the end of May 2018 and there are no other investigations that are projected to make significant contributions to the target set for the 2018-19 financial year. For this reason the two previous indicators were combined and the target reduced to R120 million.

7.3 Quarterly targets for 2018/19

Strategic objective	Performance indicator	Quarterly targets 2018/19			
		1	2	3	4
1. To ensure that each case is centrally reported and monitored.	1.1 The percentage of allegations that were tracked according to predetermined standards.	100%	100%	100%	100%
2. To ensure that each allegation is assessed in accordance with standardised criteria.	2.1 The percentage of allegations received that are assessed in accordance with predetermined standards.	100%	100%	100%	100%
3. To conduct forensic investigations according to predetermined standards.	3.1 The number of investigations closed under a published proclamation in accordance with predetermined standards.	300	300	300	300
	3.2 The number of reports submitted to the Presidency.	5	2	2	3
4. To initiate the implementation of legal recommendations.	4.1 The number of referrals made to the Relevant Prosecuting Authority.	15	20	15	25
	4.2 The number of referrals made for disciplinary, executive and/or administrative action.	20	25	25	30
5. To increase legal outcomes based on civil and other proceedings.	5.1 The value of potential loss prevented.	R6m	R6m	R6m	R6m
	5.2 The value of cash recoveries.	R30m	R60m	R10m	R20m
	5.3 The value of contract(s) and/or administrative decision(s)/ action(s) set aside or deemed invalid.	R0m	R0m	R365m	R365m
	5.4 The value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings (including arbitration or counter civil proceedings).	R0bn	R0bn	R0.2bn	R1.2bn
	5.5 Special Tribunal established and cases enrolled	Establishing a proper funding and logistical base for the Special Tribunal to operate.	A President of the Special Tribunal must be appointed.	Arrangements must be made with the various Judge President of the Divisions of the High Court to provide logistical support to the Special Tribunal.	Special Tribunal established.



7.4 Reconciling performance targets with the budget and MTEF

Description	Audited outcomes			Current year	2018 MTEF Estimates		
	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Income							
Grant income	–	–	–	–	–	–	–
Project income	226 912	174 044	181 676	211 187	244 195	276 849	304 802
Interest and other income	–	–	–	–	–	–	–
Total revenue	226 912	174 044	181 676	211 187	244 195	276 849	304 802
Expenses							
Compensation of employees	247 700	242 600	249 209	278 260	306 224	339 432	368 321
Goods and services	11 500	14 403	25 140	17 127	18 104	19 117	20 169
Depreciation	–	–	–	–	–	–	–
Total expenses	259 200	257 003	274 349	295 387	324 328	358 549	388 490
Surplus/(deficit)	(32 288)	(82 959)	(92 673)	(84 200)	(80 133)	(81 700)	(83 688)

7.5 Risk management and mitigation plans

Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
To ensure that each case is centrally reported and monitored.	Failure to register and track all matters according to predetermined standards.	<ol style="list-style-type: none"> 1. Central Registration Unit is not in place. 2. Inadequate case registration processes and procedures. 3. No formalised communication channels. 4. Lack of monitoring mechanisms. 	<ol style="list-style-type: none"> 1.1 Establish a ring-fenced and centralised registration and monitoring Unit. 2.1 Update Standard Operating Procedures (SOP) in alignment with the new SIU Value Chain. 3.1 Establish controlled communication channels for the registration of allegations. 4.1 Implement a transparent central case management system on a strictly secured public platform. 4.2 Develop and implement monitoring mechanisms to track SIU recommendations. 4.3 Develop and implement a monitoring mechanism to track the implementation of state institutions' strategies and plans to prevent the reoccurrence of similar reported cases. 4.5 Establish a MOU with the Auditor General to follow up on referrals to the State Institutions.
To ensure that each allegation is assessed in accordance with standardised criteria.	Failure to properly assess reported cases or allegations of corruption and maladministration.	<ol style="list-style-type: none"> 1. Central Case Assessment Unit is not in place. 2. Inadequate skills and competency to assess reported cases or allegations. 3. Lack of clearly defined standard to assess reported cases or allegations. 	<ol style="list-style-type: none"> 1.1 Establish a ring-fenced assessment unit. 2.1 Establish skills and competencies for the specialised unit. 3.1 Establish scoping criteria with clear turnaround times. 3.2 Develop SOPs with clearly defined service delivery standards and turnaround times. 3.3 Develop M&E plan to monitor compliance with defined processes & service delivery standards.
	Inability to produce quality forensic investigation reports and proclamation motivations.	<ol style="list-style-type: none"> 1. Governance structures not in place to provide quality assurance on reports and proclamations. 	<ol style="list-style-type: none"> 1.1 Establish governance structures to ensure quality, appropriateness and accuracy of motivations, assessments, recommended remedial action and presidential reports.
	Insufficient work for SIU due to protracted engagement process to get proclamations authorised and gazetted.	<ol style="list-style-type: none"> 1. Delays in authorizing & gazetting proclamation. 2. Proclamation pre-investigations not allowed by SIU Act. 3. Inadequate stakeholders support. 	<ol style="list-style-type: none"> 1.1 Monitoring & Evaluation Committee to monitor implementation of MOU between Presidency, DoJ & SIU 2.1 Amend SIU Act to allow for proclamation pre-investigation. 3.1 Develop and implement SIU communication & stakeholder management strategy 3.2 Develop and implement MOUs with Anti-Corruption Task Team (ACTT) members



Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
<p>To conduct quality forensic investigations according to pre-determined standards.</p>	<p>Inability to conduct quality forensic investigations.</p>	<ol style="list-style-type: none"> 1. Standard project monitoring mechanisms are not in place. 2. Lack of clearly defined investigation quality standards. 3. Lack of training on investigation processes and standards. 4. Insufficient investigation analytical tools. 5. Delays in procurement process. 6. Poor staff morale. 7. Inadequate forensic investigating skills 	<ol style="list-style-type: none"> 1.1 Develop standard monthly monitoring and forecasting mechanisms which can be applied to all projects. 2.1 Establish predetermined investigation standards. 3.1 Establish business processes and provide training for: <ol style="list-style-type: none"> 3.1.1 The development of a project strategy and approach 3.1.2 Quality control of investigation output 3.1.3 SIU involvement in legal proceedings 3.1.4 Project close out 3.1.5 Submission of information to Market Data Analytics. 4.1 Implement adequate investigation tools for data analysis, digital analysis and accounting analysis. 5.1 Streamline SCM processes for outsourcing requirements. 5.2 Capacitate the SCM Unit. 5.3 Align SCM governance framework with statutory requirements. 6.1 Review and implement remuneration and incentive framework. 6.2 Monitor and evaluate change management and culture. 6.3 Review job profiles and evaluations. 7.1 Conduct a Skills Audit and implement a recruitment strategy to address critical skill shortages.
<p>To initiate the implementation of legal recommendations.</p>	<p>Failure by State institutions to implement SIU legal recommendations.</p>	<ol style="list-style-type: none"> 1. SIU has no power to enforce the implementation of legal recommendations. 2. Lack of follow ups on implementation of remedial actions. 	<ol style="list-style-type: none"> 1.1 Establish MOU's with state institutions to implement SIU recommendations. 2.1 Develop internal monitoring mechanism for referral processes. 2.2 Develop external monitoring mechanisms for the implementation of disciplinary referrals.





Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
<p>To increase legal outcomes based on civil and other proceedings.</p>	<p>Inability to achieve forensic investigation's legal outcomes.</p>	<ol style="list-style-type: none"> 1. Complexity of investigations. 2. Lengthy Court proceedings. 3. Inadequate debt collection capacity and oversight. 4. SIU has no powers to enforce implementation of legal recommendations. 5. Inadequate legal skills and competency. 6. Failure to pursue all Civil matters. 	<ol style="list-style-type: none"> 1.1 Establish SOPs to enable adequate interaction between Case Assessment, Case Management and Civil Litigation, to ensure early identification of potential civil matters. 2.1 Establish a Special Tribunal and ensure its optimal use. 2.2 Engage the Deputy Judge-Presidents of the various Divisions of the High Court to negotiate preferential Court dates 2.3 Develop and implement strategies to ensure that SIU civil litigation cases are ripe for processing in Courts 3.1 Develop monitoring mechanisms for: <ol style="list-style-type: none"> 3.1.1 Asset recovery 3.1.2 Acknowledgement of debt 3.1.3 Payment of AOD's to institutions. 4.1 Pursue Memorandums of Understanding (MOUs) with Stakeholders to regulate implementation of legal outcomes. 4.2 Pursue statutory amendments to SIU Legislation. 5.1 Train staff and legal counsel to argue matters and in particular key legal issues. 5.2 Recruit highly competent and skilled legal staff. 6.1 Establish a proper functioning standalone Civil Litigation Section, with a sufficient number of skilled members. 6.2 Ensure proper training interventions for members and targeted recruitment of appropriate skills.



INDEPENDENCE

Acting without fear,
favour or prejudice.



8. PROGRAMME MARKET DATA ANALYTICS AND PREVENTION

8.1 Programme Purpose

The implementation of relevant and proactive initiatives to prevent the reoccurrence of fraud and corruption cases as a result of systemic weaknesses in the public sector and to positively influence the behaviour of South African citizens.

Sub-programme	Services performed
Market Data Analytics	<ul style="list-style-type: none"> Collect, collate and analyse relevant internal and external data. Conduct research. Conduct trend, scenario and gap analyses. Assess impact of future disruptors on SIU.
Prevention and Advisory	<ul style="list-style-type: none"> Advise relevant Minister about systemic improvements to avoid recurring cases of fraud and corruption. Determine sector risk factors based on market data analytics reports. Examine the practices and procedures of government departments and public bodies and secure revision of any that may be conducive to corruption. Advise upon request of private organisations or individuals on how to prevent corruption.
Awareness	<ul style="list-style-type: none"> Foster public support in combating corruption and promote education. Improve the rate at which allegations are centrally reported. Publicly share data analytics information.

8.2 Programme performance indicators and annual targets for 2018/19

Strategic objective	Performance indicator	Audited performance			Estimated performance	Medium term targets		
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
1. To direct internal and influence external strategic decision-making processes through data analysis.	1.1 Number of internal trend analysis reports issued.					4	2	3
	1.2 Number of external risk assessment and trend analysis reports issued.					4	2	3
2. To assist State institutions with the prevention of the reoccurrence of reported cases.	2.1 Number of systemic improvement plans developed in conjunction with targeted State institutions.	–	–	–	–	1	2	4
3. To increase public awareness about targeted anti-corruption behaviour.	3.1 Number of targeted awareness campaigns conducted.	–	–	–	–	1	2	2
	3.2 Number of public perception surveys conducted.	–	–	–	–	1	2	2
	3.3 Development of final draft of NACS as part of the ACTT	–	–	–	–	Final Draft Developed	NACS submitted for approval to Cabinet	Implementation of NACS



8.3 Quarterly targets for 2018/19

Strategic objective	Performance indicator	Quarterly targets 2018/19			
		1	2	3	4
1. To direct internal and influence external strategic decision-making processes through data analysis.	1.1 Number of internal trend analysis reports issued.	1	1	1	1
	1.2 Number of external risk assessment and trend analysis reports issued.	1	1	1	1
2. To assist State institutions with the prevention of the reoccurrence of reported cases.	2.1 Number of systemic improvement plans developed in conjunction with targeted State institutions.	–	–	–	1
3. To increase public awareness about targeted anti-corruption behaviour.	3.1 Number of targeted awareness campaigns conducted.	–	–	–	1
	3.2 Number of public perception surveys conducted.	–	–	–	1
	3.3 Development of final draft of NACS as part of the ACTT.	Terms of Reference Developed with DPME	Service Provider Appointed to draft NACS	National Roadshows & Consultations	Draft NACS developed

8.4 Reconciling performance targets with the budget and MTEF

This area comprises of new business activities. The budget for Programme 3 has been included as part of Programme 2. The financial allocation specific to Programme 3 will be finalised in the next financial year.



8.5 Risk management and mitigation plans

Strategic objective	Strategic risk	Contributing factors	Strategic intervention/risk mitigation plans
1. To direct strategic decision-making process through data analysis.	Inability to proactively assist State Institutions to prevent corruption and maladministration practices.	1. SIU is not mandated to perform Market Data Analytics function. 2. Inadequate data analytical software tool. 3. Market Data Analytics unit is not in place. 4. Corruption & maladministration prevention strategies are not in place.	1.1 Develop and implement legislation that will enable SIU to gather data from public sector institutions. 1.2 Establish MOU's with government entities for the collection of data.
2. To assist State Institutions with prevention of the re-occurrence of reported cases.			2.1 Implement an adequate technology platform for data warehousing and analysis.
3. To increase public awareness about targeted anti-corruption behaviour.			3.1 Establish a Market Data Analytics Unit. 3.2 Establish an internal data policy framework (security, governance framework, internal policy framework, and cyber defensive regulations) to ensure adherence to public data protocols that will apply when public data is stored on the SIU warehouse.
			4.1 Develop and implement Prevention Strategy and approach to ensure the implementation of systemic recommendations. 4.2 Establish a Prevention and Awareness Programme (resourcing, funding, policies, directives and procedures).

DRIVE AND PASSION

Fostering synergy in a multi-disciplinary and diverse environment.



PART C

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9. Links to other plans

9.1 Links to the long-term infrastructure and other capital plans

There are no reported links to long-term infrastructure and other capital plans.

9.2 Conditional grants

There are no conditional grants received.



ANNEXURE A: Addendum to Strategic Plan 2015-2020



The following components of Part A: Strategic Framework as per the 2015-2020 Strategic Plan has been amended:

1. Mission

Current	We are the State's preferred provider of forensic investigating and litigating services working together with other agencies in the fight to eradicate corruption, malpractice and maladministration from society.
Amended	With integrity, we investigate serious malpractices or maladministration in the administration of the State as well as any conduct which may seriously harm the interests of the public and of instituting and conducting civil proceedings in any court of law or a Special Tribunal in its own name or on behalf of State institutions.
Rationale for change	The mission was aligned to the legislative mandate of the SIU.

2. Strategic goals

Current	Effective and efficient organisational management.
Amended	To enable core services to perform optimally.
Rational for change	Rewording of the strategic goal to be outcomes based.
Current	To investigate corruption and maladministration and facilitate or initiate appropriate remedial action.
Amended	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Rational for change	Rewording of the strategic goal to be outcomes based.
Current	Not applicable.
Amended	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Rational for change	Additional strategic goal to include the revised strategic focus of the SIU to make a proactive systemic and behavioural impact in the sector.





3. Strategic objectives

3.1 New strategic objectives

Strategic objective	To ensure that each case is centrally reported and monitored.
Objective statement	Ensuring that each allegation received is centrally registered, controlled, reported and monitored by a ring-fenced team.
Baseline	None.
Justification	The strategic focus is to ensure that sufficient systems and internal controls are implemented to ensure that each allegation is monitored.
Links	The objective will assist the whole sector to have a standardised and central reporting mechanism for all allegations that are reported.
Strategic objective	To ensure that each allegation is assessed in accordance with standardised criteria.
Objective statement	Ensuring that each allegation is centrally assessed by a ring-fenced team.
Baseline	None.
Justification	The strategic focus is to ring-fence the assessment of all allegations and to improve the turnaround time for the allegation to be investigated.
Links	The objective will assure the public that each reported allegation is equally and fairly assessed.
Strategic objective	To increase legal outcomes based on civil and other proceedings.
Objective statement	Ensure that civil proceedings are adequately initiated, proceeded and concluded.
Baseline	None.
Justification	The SIU has the legislative mandate to conduct civil litigation and the aim is to increase its focus on the ability to execute these powers.
Links	To ensure that the legal mechanism to act against perpetrators of maladministration and corruption in state institutions are optimally applied.
Strategic objective	To direct internal and influence external strategic decision-making processes through data analysis.
Objective statement	Produce and apply intelligence for strategic decision-making in the sector.



Baseline	None.
Justification	The strategic focus area has been added to ensure that relevant data is analysed and applied to proactively prevent maladministration and corruption.
Links	The sector is enabled to prevent maladministration and corruption through the proactive application of analysed and raw data.
Strategic objective	To assist state institutions with the prevention of the reoccurrence of reported cases.
Objective statement	Prevention of similar investigated cases to occur in state institutions.
Baseline	None.
Justification	Proactively lead systemic improvements to mitigate the risk of maladministration and corruption in the public sector.
Links	Enable state institutions to have mitigating plans to address the risk of the reoccurrence of fraud and corruption.
Strategic objective	To increase public awareness about targeted anti-corruption behaviour.
Objective statement	Proactively lead education and awareness activities to combat fraud and corruption in the country.
Baseline	None.
Justification	Proactively lead behavioural awareness and change to instil zero tolerance for corruption.
Links	Increase public awareness around fraud and corruption.





3.2 Amended strategic objectives

Current	To conduct quality forensic investigations.
Amended	To conduct forensic investigations according to predetermined standards.
Rational for change	Rewording of the strategic objective to ensure that it is specific, measurable, attainable, realistic and time-bound.
Current	To initiate the implementation of legal recommendations.
Amended	To facilitate or initiate appropriate remedial action.
Rational for change	Rewording of the strategic objective to ensure that it is specific, measurable, attainable, relevant and time-bound.
Current	To enhance operational efficiency by implementing an enabling ICT architecture.
Amended	To provide appropriate ICT services in accordance with set standards.
Rational for change	Rewording of the strategic objective to ensure that it is specific, measurable, attainable, relevant and time-bound.
Current	To effectively and efficiently manage the financial resources of the SIU.
Amended	To provide compliant financial services in accordance with service delivery standards.
Rational for change	Rewording of the strategic objective to ensure that it is specific, measurable, attainable, relevant and time-bound.



3.3 Deleted strategic objectives

Current	To ensure effective and efficient organisational management.
Amended	Deleted.
Rational for change	Rewording of the strategic objective to ensure that it is specific, measurable, attainable, relevant and time-bound.
Current	To ensure cooperation and partnership amongst external stakeholders through ongoing engagement.
Amended	Deleted.
Rational for change	The strategic objective is deemed to be operational.
Current	To co-operate effectively with other role players.
Amended	Deleted.
Rational for change	The strategic objective is deemed to be operational.

ANNEXURE B: Context for revised strategic framework

Background

A comprehensive updated Situational Analysis was done as part of the Organisational Review Project and assessed areas that impact the SIU's ability to achieve their goals, such as the Industry Landscape; the Future of Government; the SIU Case Profile; the Financial Sustainability of the organisation, as well as Government Funding in light of the Global Economic Outlook and ICT Sustainability.

The updated Situational Analysis focused on the most critical aspects of the external environment; the aspects for which the organization must align. The alignment directs the support required for the internal pillars of the organisation to enact the operating model.

The development of a relevant and appropriate Operating Model for the SIU required work and engagements conducted in various phases. The first phase, a comprehensive updated Situational Analysis, presented the necessary information to allow the SIU to successfully redevelop its Organisational Framework. The overall intent of the redesigned Operating Model is to inform and strengthen further organisational design aspects, such as the SIU's Organisation Framework and Structure.

A value chain was developed to outline the set of activities that the SIU performs in order to deliver a valuable service in the market. It explains the high-level process flow of core activities and is a useful way of understanding of how the organization works as a whole.

In order to understand the SIU's role within the country's multi-agency approach, an analysis of all entities within the sector was conducted.

The development of an Operating Model requires a clearly defined business strategy that is stress tested against market disruptors. As the new strategic direction was compared with the strategy as contained in the 2015-2020 strategic framework, the aspects that require alignment, was done as part of the addendum to this Annual Performance Plan.

The timing of the revision of the strategy to align to the Value Chain coincided with the revision of the annual performance planning session that was held on 11 and 12 July 2017.

Revised operating model

The Operating Model consists of three service delivery streams namely:

- National Cases;
- Regional Cases; and
- Central Support.

The functional design of the three streams was divided into the following areas:

- Mandated Service Delivery;
- Prevention;
- Enablement; and
- Business Oversight.

The Mandated Service Delivery area generates Market Data that is analysed during various intervals of service delivery. The analysed data then directs areas of Prevention and Business Strategy. Stakeholder Management flows from all areas and direct communication and relationships with stakeholders, as communication efforts are structured, controlled and prioritised.

The National Cases refer to all investigations that are conducted at a national department level and include high priority cases. Regional Cases refer to all investigations that are conducted at a regional level.

The Central Support stream anchors the two streams by providing the following key role:

- Central oversight of all cases; and
- Central assessment of all cases.

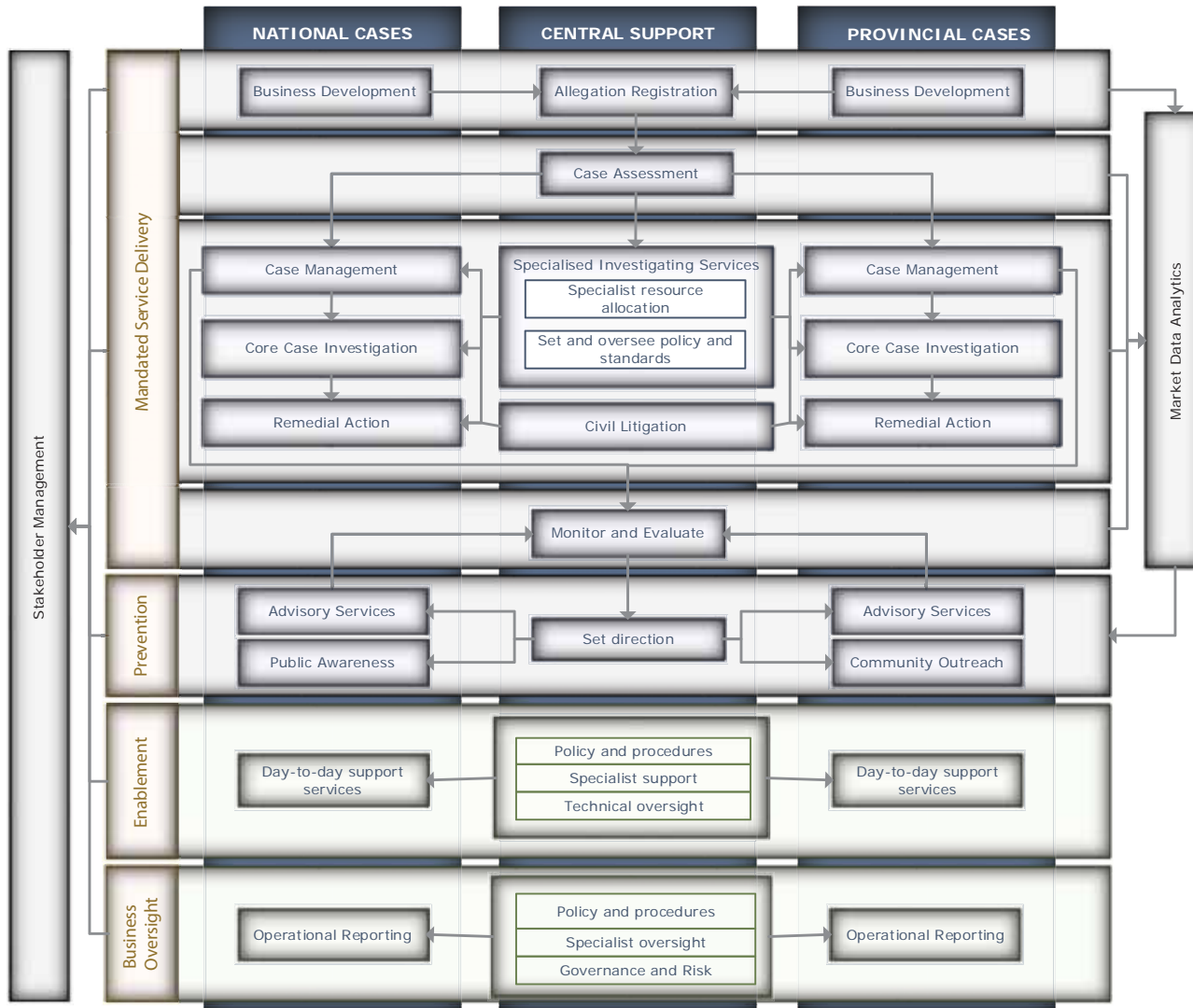
- Provision of specialised investigation services that include:
 - Civil litigation;
 - Data analytics;
 - Digital analytics;
 - Cyber analytics;
- Civil litigation specialised services;
- Provision of operating standards;
- Provision of operating policies; and
- Development of technical investigating competencies.

The Regional Cases stream allows for business development activities although the allegations are centrally registered. The Regional Cases stream will consist of a core investigating team that includes forensic investigators and forensic lawyers. Remedial Action is led by forensic lawyers except in instances where the case culminates in civil litigation that is supported from Central Support stream. The Monitoring and Evaluation area assess the output from the Case Management areas and direct business improvement activities to optimise SIU impact.

The Prevention stream's key role is to take direction from the Market Data Analytics area and at a regional basis, conduct Community Outreach and at a national basis, conduct Public Awareness. The Advisory Services role is to prevent the occurrence of similar cases through risk mitigating activities.

The two core delivery areas are supported by Enablement services and overseen by Business Oversight. The following figure explains the Operating Model:

Operating model



SIU value chain

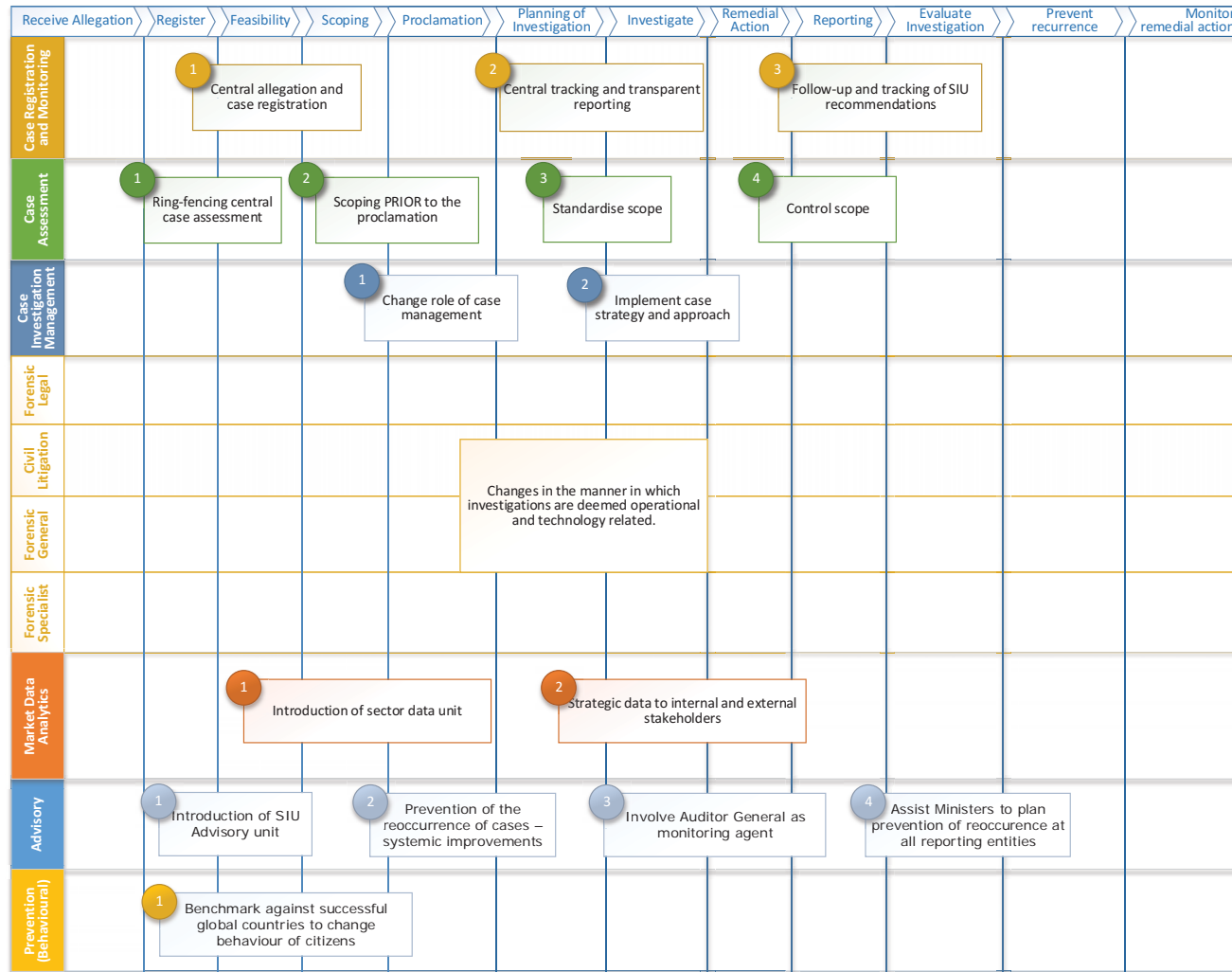
A value chain is a set of activities that the SIU performs in order to deliver a valuable service in the market. It explains the high-level process flow of core activities and is a useful way of understanding of how the organization works as a whole.

The SIU Value Chain introduces several "new" areas that include, amongst others:

- central allegation and case registration, tracking and transparent reporting;
- ring-fencing of case assessment activities;
- standardised scoping that is conducted prior to the proclamation including timeframes, budget and per focus area;
- applications of:
 - A case strategy and approach;
 - Market data analytics to also drive prevention activities;
- introduction of SIU Advisory services that is dedicated to the prevention of the reoccurrence of cases;
- monitoring and evaluation of the impact of the SIU;
- changing role of case management;
- the following up and tracking of SIU recommendations; and
- involving the Auditor General and Executive Authorities in oversight activities.



The following diagram outlines the key changes to the Value Chain:



A detailed Value Chain analysis was performed.

Industry value chain

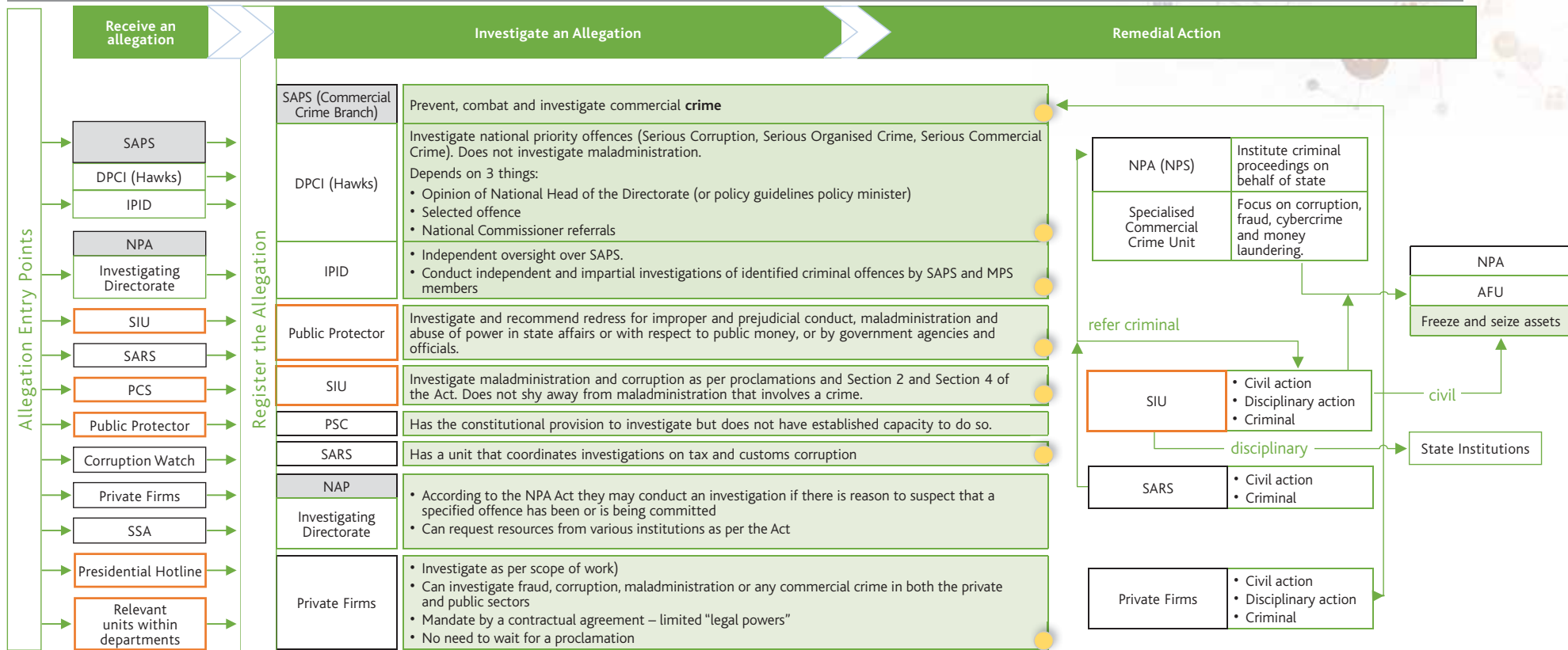
In order to understand the SIU's role within the country's multi-agency approach, an analysis of all entities within the sector had to be conducted. The framework for the analysis models and the value chain format assisted to identify issues including:

- perceived overlaps in the wording that is used between the mandates of the various anti-corruption role-players;
- the overlaps and specific mandates of the various entities may lead to an unclear understanding by the public;
- duplication in the efforts of oversight, monitoring and coordination;
- no clear guidelines for government officials or the public on where and how an allegation should be reported;
- there is poor central coordination across the sector;
- the SIU's key differentiator or niche is its ability to institute civil proceedings in a court of law;
- the multi-agency approach allows various entities to receive allegations; however, these allegations must then be referred to a limited number of entities that have the ability and power to investigate;
- upon conclusion of an investigation, or at times during the course of an investigation, these allegations must then be referred to other entities that have the power to take legal action. This practice can result in delays by the "actioning entities" if proper management, follow-up and coordination is not implemented; and
- The SIU is limited to investigate only matters that have been proclaimed. The proclamation is a time-consuming process and state departments that require immediate investigations may refer the investigations to private firms.

Anti Corruption Inter-Ministerial Committee (ACIMC) – mandated to coordinate and oversee the work of state organs aimed at combating corruption – also provides strategic direction to ACTT

ACTT – coordination within the government regarding corruption and expediting investigations of priority corruption cases

NACF – comprised of three sectors, namely civil society, business and government. Established to combat and prevent corruption, build integrity and raise awareness.



OTHER

Policy (or Regulators)

NT
DoJ
DPSA

Oversight Entities

AGSA
Public Protector
PSC
IGI
The Competition Commission

Monitoring/Preventative

FIC
MAWG
SCOPA

Intelligence Agencies

FIC
NICO (Improved coordination between bodies collecting crime and other forms of intelligence)
STATS SA

Private Sector Associations

Business Unity Sout Africa (BUSAs)
Business Against Crime South Africa (BACSA)

Support

Department of Cooperative Governance
Anti-Intimidation and Ethical Practice Forum

Civil Movements

OUTA
Conven of Civil Society Network Against Corruption (CSNAC)

- Overlap in legislation and mandates regarding the types of cases that should be investigated by which unit.
- Allocations can be done on a discretionary basis or based on customs/practice

- These institutions can only act within Public Sector

ANNEXURE C: Technical performance indicator descriptions

Programme 1

Strategic goal	To enable core services to perform optimally.
Strategic objective 1	To provide compliant and sustainable financial services in accordance with service delivery standards.
Indicator	1.1 Percentage of reliance on government funding.
Short definition	Government grant as a percentage of total income.
Purpose/importance	For the SIU to have a sustainable financial funding model.
Method of calculation	The total government grant received as a percentage income excluding interest and other income
Data limitations	None
Indicator type	Output
Source/collection of data	SIU Financial Statements
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Targets as indicated
Indicator responsibility	CFO

Strategic goal	To enable core services to perform optimally.
Strategic objective 1	To provide compliant and sustainable financial services in accordance with service delivery standards.
Indicator	1.2 Percentage of valid invoices paid within 30 days.
Short definition	The number of valid invoices paid within 30 days of receipt by the institution against the total number of invoices received by the institution.
Purpose/importance	To enable suppliers to have sufficient funding to operate their business and to comply with PFMA.
Method of calculation	Number of valid invoices paid within 30 days of receipt by the institution over the total number of invoices received by the institution*100.
Data limitations	None
Indicator type	Output
Source/collection of data	Financial system report
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	100% Compliance with PFMA
Indicator responsibility	Chief Financial Officer



Strategic goal	To enable core services to perform optimally
Strategic objective 2	To attract a skilled workforce that is managed within a performance driven environment.
Indicator	2.1 Percentage of approved vacancies filled as per approved and budgeted workforce plan
Short definition	The indicator measures the approved vacancies filled as per approved and budgeted workforce plan. The workforce plan identifies critical vacancies prioritised and approved for advertising and filling.
Purpose/importance	Intended to facilitate the capacitation of the Unit through the filling of critical funded vacancies and thereby reduce the vacancy rate.
Method of calculation	Number of approved vacancies filled compared to the planned number of approved vacancies as per approved and budgeted workforce plan.
Data limitations	No limitations
Indicator type	Output
Source/collection of data	Appointment letters. HR system reports.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	All approved vacancies filled as per approved and budgeted workforce plan have been filled.
Indicator responsibility	Chief Human Capital Officer

Strategic goal	To enable core services to perform optimally
Strategic objective 3	To provide appropriate ICT services in accordance with set standards
Indicator	3.1 Percentage Implementation of the 3-year ICT Plan
Short description	Measurement of actual milestones achieved against the planned milestones.
Purpose/importance	To measure the progress in achieving the implementation of the approved ICT Plan.
Method of calculation	Percentage of achieved milestones.
Data limitations	<ul style="list-style-type: none"> • Delay in document signoff. • Unclear or poorly constructed use-cases for testing and verification purposes. • Rework after User Acceptance Testing, Functional Testing and Performance Testing. • Changes to operating model.
Indicator type	Percentage (%) of Activities
Source/collection of data	<ul style="list-style-type: none"> • Approved 3 year ICT plan. • Project milestones achieved / signed-off. • User acceptance signoff.
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Performance is as targeted
Indicator responsibility	Chief Information Officer





Strategic goal	To enable core services to perform optimally
Strategic objective 3	To provide appropriate ICT services in accordance with set standards
Indicator	3.2 Percentage compliance to agreed service delivery standards
Short description	The indicator is measuring the availability of core business systems during the core business hours.
Purpose/importance	For the SIU to achieve its Strategic Objectives the availability of the ICT platforms must be measures against required standards to ensure that the systems are available to members when required.
Method of calculation	Measure of unscheduled downtime (unavailability) of systems against the expected availability of the systems as a single factor ("%") attained during core business hours.
Data limitations	Non availability of systems required to track availability
Indicator type	Percentage (%)
Source/collection of data	Data is gathered using a combination of methods: <ul style="list-style-type: none"> Automated collection, Manually collection, and Third Party supplied information statistics. This is centrally collated to provide an overall value.
Calculation type	Non-Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Chief Information Officer

Strategic goal	To enable core services to perform optimally.
Strategic objective 4	To collaborate with stakeholders in support of enhanced service delivery and core business objectives.
Indicator	4.1 Stakeholder survey conducted and baseline established.
Short definition	Stakeholder survey to be developed and distributed to stakeholders/ state institutions being investigated, and a baseline established with recommendations to be implemented to improve stakeholder satisfaction.
Purpose/importance	Identify stakeholder expectations according to set standards to ensure that SIU responds to the needs of stakeholders.
Method of calculation	Simple count
Data limitations	None
Indicator type	Output
Source/collection of data	Stakeholders Surveys
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Implementation of recommendations.
Indicator responsibility	Head Stakeholder Relations & Communications.

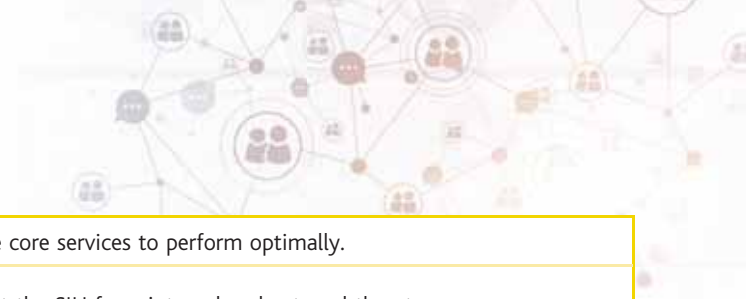




Strategic goal	To enable core services to perform optimally.
Strategic objective 5	To provide support for strategic and performance management across the organisation.
Indicator	5.1 Number of integrated operational plans assessed according to predetermined standards.
Short definition	The indicator measures the number of integrated operational plans assessed according to predetermined standards.
Purpose/importance	The assessment and performance monitoring of Operational Plans ensures that the unit is able to determine whether targets will be achieved and where corrective action is required.
Method of calculation	Simple count of the number of Operational Performance Plans assessed
Data limitations	None
Indicator type	Output
Source/collection of data	Operational Plan assessment tools
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Head: Strategy, Monitoring & Reporting

Strategic goal	To enable core services to perform optimally.
Strategic objective 6	To protect the SIU from potential legal risks.
Indicator	6.1 Percentage implementation of legal compliance framework.
Short definition	The indicator measures the percentage implementation of the legal compliance framework.
Purpose/importance	The legal compliance framework assists with ensuring that the SIU adheres and complies to applicable legislative or regulatory provisions.
Method of calculation	Percentage of implementation as per the legal compliance framework that is specified to be completed within set timeframes. The framework contains predetermined standards against which the percentage implementation is measured.
Data limitations	Non-establishment of fully functioning compliance function in the SIU.
Indicator type	Output
Source/collection of data	Approved compliance framework and quarterly implementation monitoring reports.
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Full implementation is desired
Indicator responsibility	Chief Legal Counsel





Strategic goal	To enable core services to perform optimally.
Strategic objective 7	To protect the SIU from internal and external threats.
Indicator	7.1 Percentage submission of declaration of interests controlled for all SIU employees.
Short definition	The indicator measures the percentage submission of declaration of interests controlled for all SIU employees.
Purpose/importance	To ensure that employees declare any other interests of conflicts of interest as per the regulatory requirements. The indicator measures compliance to legislation but it also ensures that the SIU is protected from possible internal threats arising from conflicts of interest. "Controlled" means that the declaration has been analysed and recommendations for any identified conflicts have been made.
Method of calculation	The number of declaration of interest forms submitted within the prescribed timeframes compared to the total number of SIU employees required to submit such declarations.
Data limitations	Non-submission of declaration of interest forms by all employees.
Indicator type	Output
Source/collection of data	Declaration file and declaration report.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	All SIU employees must submit declarations within the required timeframes.
Indicator responsibility	Senior Manager Internal Integrity

Strategic goal	To enable core services to perform optimally.
Strategic objective 7	To protect the SIU from internal and external threats.
Indicator	7.2 Percentage implementation of fraud prevention plan.
Short definition	Percentage implementation of fraud prevention plan.
Purpose/importance	To reduce the risks and increase the activities that guide behavior and combat any fraudulent activities actions.
Method of calculation	Whistle-blower reports.
Data limitations	Referrals and authenticity of referrals reports.
Indicator type	Output-Unqualified audit report-Compliance report
Source/collection of data	Whistleblowing reports/Annual declarations/Outside Remuneration.
Calculation type	Qualitative/Quantitative
Reporting cycle	Monthly, Quarterly, Annually
New indicator	Yes
Desired performance	Fostering an ethical culture for ethical decision-making.
Indicator responsibility	Senior Manager Internal Integrity





Strategic goal	To enable core services to perform optimally
Strategic objective 8	To assess internal controls through internal audits
Indicator	8.1 Percentage of approved internal audits conducted in accordance with internal audit plan
Short definition	Conduct internal audits as per the approved three-year internal audit rolling plan of the SIU.
Purpose/importance	To ensure that the SIU internal controls are assessed for adequacy and effectiveness.
Method of calculation	Simple count
Data limitations	None
Indicator type	Output
Source/collection of data	Percentage of approved internal audits conducted in accordance with internal audit plan.
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Fully execution of the internal audit plan.
Indicator responsibility	Chief Audit Executive

Strategic goal	To enable core services to perform optimally.
Strategic objective 9	To enable the unit to become risk intelligent.
Indicator	9.1 Implementation level of approved risk management framework through maturity index criteria levels.
Short definition	Execute the approved risk management framework.
Purpose/importance	The risk and threats that may affect or hinder SIU in achieving its objectives are assessed and controlled.
Method of calculation	Percentage of maturity.
Data limitations	None
Indicator type	Output
Source/collection of data	Implementation level of approved risk management framework through maturity index criteria levels. Level 5 (0-30%), level 4 (31%-50%) level 3 (51%-70%), level 2 (71%-90%), level 1 (91%-100%)
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Level 2
Indicator responsibility	Chief Risk Officer



Programme 2

Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 1	To ensure that each case is centrally reported and monitored.
Indicator	1.1 The percentage of allegations that were electronically tracked according to predetermined standards.
Short Definition	The indicator measures whether or not all allegations were registered, assessed and tracked throughout their life cycle. The tracking process and each stage of the allegation's life cycle is measured against a set of predetermined standards.
Purpose/importance	The indicator measures whether or not the SIU has a central case registration database and is maintaining this database. By having a central case registration database that is maintained and updated regularly, the SIU is enabled to continuously know the status of each allegation. This enables accurate reporting, business decision making and communication with the whistle-blowers and state institutions.
Method of calculation	The number of allegations that were received during the financial year that meets all the tracking requirements as per the predetermined standards compared to number of allegations that were received during the financial year.
Data limitations	None
Indicator type	Output
Source/collection of data	Central case registration database report. Opportunity Assessment 1 and 2 forms.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	All allegations must be registered and tracked in accordance with the predetermined standards
Indicator responsibility	Chief Programme Portfolio Officer

Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 2	To ensure that each allegation is assessed in accordance with standardised criteria.
Indicator	2.1 The percentage of centrally registered allegations received that are assessed in accordance with predetermined standards.
Short definition	The indicator measures whether or not all allegations received by the SIU were assessed in accordance with a set of predetermined standards.
Purpose/importance	The indicator ensures that all allegations are assessed on an equal and consistent basis. It eliminates bias and allows for an objective, sound and independent assessment of the evidence and circumstances surrounding each allegations reported to the SIU. By ensuring that the predetermined standards include fixed turnaround times, delays in the assessment process are prevented and allegations can be treated and assessed promptly.
Method of calculation	The number of centrally registered allegations assessed by the Assessment Committee compared to the number of allegations received by the SIU as per the central case registration database. The allegation assessment is only counted in instances where it meets all the predetermined standards.
Data limitations	None
Indicator type	Output
Source/collection of data	Central case registration database report showing allegations reported and assessment. Allegation assessment reports.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	All allegations must be assessed as per the predetermined standards.
Indicator responsibility	Chief Programme Portfolio Officer

Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 3	To conduct forensic investigations according to predetermined standards.
Indicator	3.1 The number of investigations closed under a published proclamation in accordance with predetermined standards.
Short definition	This is the number of investigations that are closed out under a published proclamation.
Purpose/importance	It measures the ability to conduct and close out forensic investigations and whether or not the SIU is progressing in the closure of investigations.
Method of calculation	It is the sum of the number of investigations closed out under a published proclamation. The date of calculation is the date that the closure memo is signed.
Data limitations	The ability of the team to formally close out an investigation under a published proclamation may depend on specialist skills or external counsel/parties and the availability of information, records and/or witnesses.
Indicator type	Output
Source/collection of data	The closure memo is obtained from the investigation team and is captured on a central system (PIMS).
Calculation type	Non-cumulative
Reporting cycle	Annual
New indicator	No
Desired performance	Maximise the number of investigations closed out under published proclamations.
Indicator responsibility	Deputy HoU

Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 3	To conduct forensic investigations according to predetermined standards.
Indicator	3.2 Number of Reports Submitted to the Presidency.
Short definition	This is the number of investigation reports, interim and final, that are submitted to the Presidency.
Purpose/importance	It measures the ability to conduct and complete forensic investigations, while being able to report on the findings thereof to the President.
Method of calculation	It is the sum of all signed interim and final presidential reports that are submitted to the Presidency. The date of calculation is the date that the Presidency acknowledges receipt of these reports.
Data limitations	Outcomes are sometimes delayed by reliance on specialist skills or external counsel/parties, the availability of information, records and/or witnesses and the ability to submit reports is limited to the number of active proclamations.
Indicator type	Output
Source/collection of data	The acknowledgment of receipt is obtained and is captured on a central system (PIMS).
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	To maximise the number of reports submitted and improving the turnaround times of investigations.
Indicator responsibility	Deputy HoU



Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 4	To initiate the implementation of legal recommendations.
Indicator	4.1 The number of referrals made to the Relevant Prosecuting Authority.
Short definition	Referral of evidence pointing to the commission of offences to the relevant Prosecuting Authority (e.g. the NPA or foreign prosecuting authorities). This includes evidence referred to the AFU (which forms part of the NPA).
Purpose/importance	This indicates the referral of evidence pointing to or regarding the commission of a criminal offence.
Method of calculation	The date of calculation is the date upon which the relevant Prosecuting Authority (e.g. NPA and AFU or foreign prosecuting authority) acknowledges receipt of the referral letter. The sum of referrals to the relevant Prosecuting Authority.
Data limitations	The availability of information, records and/or witnesses and the number of Proclamations received by the SIU.
Indicator type	Output
Source/collection of data	The letter of referral with the acknowledgement of receipt is obtained from the investigation team and is captured on a central system (PIMS).
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Maximise the number of referrals to the relevant Prosecuting Authority.
Indicator responsibility	Deputy HoU

Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption
Strategic objective 4	To initiate the implementation of legal recommendations
Indicator	4.2 Number of Referrals made for Disciplinary, Executive and/or Administrative Action
Short definition	Referral of SIU evidence pointing to misconduct or irregular conduct on the part of: <ul style="list-style-type: none"> • Employees of State Institutions; • Board members or directors of State institutions (including State Owned Enterprises); • Councilors of State institutions (e.g. Municipalities); • Vendors, Contractors, Suppliers and/or Service Providers of State institutions (e.g. for black-listing purposes); and/or • Members subject to Regulatory Authorities (e.g. Estate Agents, Engineers, Security service providers, Counsel, Attorneys or Accountants).
Purpose/importance	This indicates the referral of SIU evidence pointing to misconduct or irregular conduct on the part of the above mentioned persons, to State institutions, authorities, entities or persons for purposes of instituting disciplinary, executive, administrative or other forms of civil sanctions.
Method of calculation	The date of calculation is the date upon which the abovementioned State institutions, authorities, persons or entities acknowledge receipt of the referral letter. The sum of referrals made to the abovementioned State institutions, authorities, persons or entities
Data limitations	The availability of information, records and/or witnesses and the number of Proclamations received by the SIU.
Indicator type	Output
Source/collection of data	The referral letter and the acknowledgement of receipt is obtained from the investigation team and is captured on a central system (PIMS).
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Maximise the number of referrals for disciplinary, executive and/or administrative action.
Indicator responsibility	Deputy HoU



Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 5	To increase legal outcomes based on civil and other proceedings.
Indicator	5.1 The Value of Potential Loss Prevented.
Short definition	<p>The prevention of potential loss generated as a result of SIU action or through the use of SIU evidence.</p> <p>Examples:</p> <ul style="list-style-type: none"> • the prevention of the taking of an administrative decision/action, the prevention of an award of a tender/grant/license and/or the prevention of the conclusion of a contract (including a renewal or extension of an existing contract); • the termination/cancellation of a contract and/or the withdrawal of an administrative decision/grant/license; • the stopping of a payment or the stopping of the delivery or transfer of goods/assets/property; and • the removal of a recurrent payment such as a social grant or any other payment due under an existing contract/grant or other administrative decision/action, by the SIU or State institutions relying on SIU evidence.
Purpose/importance	The prevention of potential loss by State Institutions or third parties.
Method of calculation	<p>The date of calculation is the date that:</p> <ul style="list-style-type: none"> • a proposed administrative decision/action has not been taken; • the award of a tender/grant/license has not been made; • a contract has not been concluded, renewed or extended, • the contract has been terminated/cancelled; • the administrative decision/action or the grant/licence has been withdrawn; • a payment was stopped or the delivery/transfer of goods/an asset/property has been stopped; • the recurrent payment has been cancelled; • the SIU or the State Institution initiated civil proceedings or counter civil proceedings; and • The value of the potential loss prevented is the difference between the expenditure a State Institution would have incurred should there have been no intervention by the SIU, and the actual expenditure incurred subsequent to the intervention by the SIU.



Data limitations	Reliance on external counsel and the availability of information, records and/or witnesses. The over-burdened court rolls and legal/technical points included in motions prepared for civil proceedings can also result in delays. Complexity of matters and significant legal challenges. Considerations of public interest.
Indicator type	Output
Source/collection of data	<ul style="list-style-type: none"> • Letter and/or agreement that a proposed administrative decision/action has been terminated/set aside or is void/invalid or deemed as such; • Letter and/or agreement that contract and/or administrative decision/action has been terminated/set aside; • Letter and/or agreement that a contract has not been concluded, renewed or extended; • Letter and/or agreement that a tender/grant/license has not been made or been withdrawn; • Letter and/or agreement that a payment was stopped or the delivery/transfer of goods/assets/property has been stopped; • Letter and/or agreement that a recurrent payment has been cancelled; • Order of the Special Tribunal or by Order of any Court or Arbitration Award; and • The source documents are obtained from the investigation team and are captured on a central system (PIMS).
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Maximise the value of this number as it reflects the savings for the State institutions.
Indicator responsibility	Deputy HoU



Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 5	To increase legal outcomes based on civil and other proceedings.
Indicator	5.2 The value of cash recoveries.
Short definition	The indicator measures the value of cash recoveries. Cash recoveries include the value of money and/or assets that is potentially recoverable and the actual value of money and/or assets that are recovered.
Purpose/importance	The indicator measures the value of cash recoveries relating to fraud, corruption and maladministration that the SIU assisted in recovering or that has been deemed potentially recoverable as envisaged in section 2(2)(g) of the SIU Act. This monetary value shows a portion of the "real" impact that the SIU is making. The cash recoveries are returned to the relevant state institutions and can be spent on the intended use.
Method of calculation	<p>The indicator is calculated by adding the values of the following items together:</p> <p>Acknowledgement(s) of Debt (AoD(s))/Acknowledgement(s) of Liability (AoL)</p> <p>It is the actual amount owing at the time of signing the AoD/AoL plus interest per annum at the legal rate up until the principal amount is fully paid (if applicable).</p> <p>The date of calculation is the date on which the AoD/AoL is signed by the Debtor/Defendant/Respondent.</p> <p>Restraining Order(s)</p> <p>It is the value of money and/or assets, as reflected in a Restraining Order issued by the Court.</p> <p>The date of calculation is the date that appears on the Restraining Order issued by the Court.</p> <p>Civil Order(s) (i.e. Court Orders and/or Arbitration Awards.)</p> <p>It is the value of the money and/or assets, as reflected in a Court Order issued by the Court or an Arbitration Award issued by an Arbitrator.</p> <ul style="list-style-type: none"> The date of calculation is the date that appears on the Court Order or Arbitration Award.

Method of calculation continued	<p>Settlement Agreement(s)</p> <ul style="list-style-type: none"> It is the value of the money and/or assets, as reflected in a Settlement Agreement signed by the parties. The date of calculation is the date that appears on the Settlement Agreement. <p>Compensation Order(s)</p> <p>Compensation orders made in criminal cases, e.g. through section 297 or section 300 of the Criminal Procedure Act, 1977 (Act No. 51 of 1977) or fines issued by any regulatory authority.</p> <p>It is the value of the compensation order, as reflected in a Compensation Order issued by the Court or the value of the fine imposed by the regulatory authority.</p> <p>The date of calculation is the date when the Compensation Order is issued by the Court or the regulatory authority.</p> <p>South African Revenue Service (SARS) Referral(s) and confirmations of recoveries</p> <p>It is the value of claims that are referred to SARS by the SIU for potential recovery. The date of calculation is the date that SARS acknowledges receipt of the SIU referral.</p> <p>It is the value of money received by SARS. The date of calculation is the date that SARS documents are obtained that show payments made to SARS.</p> <p>SIU Accounts</p> <p>The value of money paid by Debtors/AoD Debtors/Defendants/Respondents into the SIU Account.</p> <p>The date of calculation is when the money appears in the SIU bank account.</p> <p>Credit note(s) passed or amount(s) recovered by means of set-off</p> <p>The value of credit notes passed and/or the value of money that was recovered by means of a set-off that was made in favour of the State institution or the relevant third party, as a result of SIU action or through the use of SIU evidence. The date of calculation is the date appearing on the credit note or the date that the State or third party acknowledges that a recovery was made by means of a set-off that had been affected against debts owing by the State or the relevant third party to the Debtor/Defendant/Respondent.</p> <p>Money and/or Assets recovered by State institutions or relevant third parties</p> <p>The sum of the value of money and/or assets recovered by State Institutions or the relevant third parties, as a result of SIU action or through the use of SIU evidence.</p> <p>The date of calculation is the date when the State institution or the relevant third party reports the final recovery of the money or receipt of the asset to the SIU investigation team.</p>
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Method of calculation continued	<p>Money/Assets recovered through execution of Civil Orders or Arbitration Awards</p> <p>The sum of the value of money/assets recovered through the execution of Civil Orders as a result of SIU actions or through the use of SIU evidence.</p> <p>Asset Forfeiture Unit (AFU) confiscation or final forfeiture orders</p> <p>It is the value of money or assets as reflected in the final Confiscation or Forfeiture Order(s).</p> <p>The date of calculation is the date that appears on the final Confiscation or Forfeiture Order issued by the Court.</p>
Data limitations	Outcomes are sometimes delayed by third party reliance and the availability of information, records and/or witnesses. Individual high value matters may significantly influence this indicator. The over-burdened court-rolls and legal/technical points included in motions prepared for civil proceedings can also result in delays.
Indicator type	Output
Source/collection of data	<p>The AoD, Restraining Order, Civil Order, Settlement Agreement, Compensation Order and SARS Referral Letter are obtained from the investigation team and are captured on a central system PIMS. A summary of the SIU Accounts indicating the AoD repayments are obtained from the AoD enforcement department.</p> <p>Bank reconciliation report conducted by the SIU Finance department, as read with reports obtained from the investigation team indicating that the payment is in respect of a specific matter. Reports on money recovered by State institutions, Confiscation Orders, Forfeiture Orders, documents received from the Sheriff of the Court, Credit notes, indication of set-off or acknowledgement of recovery by SARS documents are obtained from the SIU investigation team. All data is captured on a central system (PIMS).</p>
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No

Desired performance	Maximise the amount of money and/or assets that may potentially be recovered or that has been recovered for the State and/or relevant third parties.
Indicator responsibility	Deputy HoU





Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 5	To increase legal outcomes based on civil and other proceedings.
Indicator	5.3 The Value of Contract(s) and/or Administrative Decision(s)/Action(s) Set Aside or Deemed Invalid.
Short definition	The value of contract(s) and/or administrative decision(s)/action(s) (e.g. tender awards or appointments etc.) set aside, deemed invalid, terminated or prevented, as a result of SIU action or through the use of SIU evidence.
Purpose/importance	It gives an indication of the work done by the SIU in instituting, conducting and/or facilitating the appropriate remedial action.
Method of calculation	<p>The date of calculation is the date that:</p> <ul style="list-style-type: none"> the contract and/or administrative decision/action has been terminated/set aside by: <ul style="list-style-type: none"> agreement between the parties; the State Institution concerned having terminated or withdrawn the contract or administrative decision/action; an Order of the Special Tribunal or by Order of any Court or Arbitration Award; or the opposing/other party terminating or relinquishing it; or <p>the relevant State Institution deals with the contract or administrative decision/action in a manner that indicates that the contract or administrative decision/action is void/invalid or deemed as such.</p> <p>It is the face value of contracts/administrative decisions/actions that are set aside or terminated by agreement between the parties, by the State Institution having terminated it or having withdrawn it, by the opposing/other party having terminated or relinquished it, by Order of the Special Tribunal or by Order of any Court or Arbitration Award or by the State institution concerned dealing with it as void/invalid.</p>
Data limitations	Reliance on external counsel and the availability of information, records and/or witnesses. The over-burdened court rolls and legal/technical points included in motions prepared for civil proceedings can also result in delays. Complexity of matters and significant legal challenges. Considerations of public interest.
Indicator type	Output

Source/collection of data	<ul style="list-style-type: none"> Letter from the State Institution confirming that the contract and/or administrative decision/action has been terminated/set aside or is void/invalid or deemed as such. Agreement that contract and/or administrative decision/action has been terminated/set aside. Order of the Special Tribunal or by Order of any Court or Arbitration Award. Letter confirming that opposing/other parties have terminated or relinquished the contract and/or administrative decision/action. The source documents are obtained from the investigation team and are captured on a central system (PIMS).
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Maximise the number of contracts set aside.
Indicator responsibility	Chief Legal Counsel





Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 5	To increase legal outcomes based on civil and other proceedings.
Indicator	5.4 The Value of the Matters in respect of which Evidence was Referred for the Institution or Defence/Opposition of Civil Proceedings (including Arbitration or counter civil proceedings).
Short definition	Value of matters in respect of which the SIU instituted or facilitated civil proceedings or where civil proceedings (including Arbitration or counter civil proceedings) were instituted or opposed/defended by means of SIU evidence.
Purpose/importance	It gives an indication of the work done by the SIU in its core business of collecting evidence and recovering or safeguarding State money or assets through the institution, facilitation, opposition or defence of civil proceedings (including Arbitration proceedings).
Method of calculation	The sum of the value of all matters as defined above. In instances where the SIU is an actual party to the civil proceedings, the date of calculation is the date upon which the SIU institutes civil proceedings or intervenes/joins in civil proceedings. In instances where the SIU does not become an actual party to the civil proceedings, but provides support to a State Institution, for instance by providing the evidential material required for the civil proceedings, the date of calculation is the date upon which the SIU receives written confirmation from the relevant State Institution, the Office of the State Attorney or Attorneys/Counsel acting for such State Institution, that civil proceedings, arbitration proceedings, or counter civil proceedings have been instituted, defended, or opposed following the referral of evidential material by the SIU.
Data limitations	Reliance on external counsel and the availability of information, records and/or witnesses. The over-burdened court rolls and legal/technical points included in motions prepared for civil proceedings can also result in delays. Complexity of matters and significant legal challenges. Considerations of public interest.

Indicator type	Output
Source/collection of data	<ul style="list-style-type: none"> • Court documents for civil proceedings; • Acknowledgement of receipt for evidence referred; and • Arbitration documents or other documents supporting a counter civil proceeding. <p>The source documents are obtained from the investigation team and are captured on a central system (PIMS).</p>
Calculation type	Cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Maximise the value of matters referred as they reflect the civil liability established through SIU investigations into allegations of corruption, malpractice and maladministration within State Institutions.
Indicator responsibility	Chief Legal Counsel





Strategic goal	To achieve appropriate legal outcomes against perpetrators of maladministration and corruption.
Strategic objective 5	To increase legal outcomes based on civil and other proceedings.
Indicator	5.5 Special Tribunal established and cases enrolled
Short definition	Ensure the establishment of a Special Tribunal to operate as a dedicated capacity to hear civil matters emanating from SIU investigations.
Purpose/importance	A Special Tribunal is required to address the delay in adjudicating upon civil proceedings emanating from SIU investigations. Currently major delays are being experienced in finalising matters brought before the High Court. This impacts negatively on various KPI's contained in the APP of the SIU and a dedicated capacity has been identified as necessary to address the risks associated with such delays.
Method of calculation	Ultimately this indicator will be achieved when the Special Tribunal is established and the first cases are instituted to be heard by the Special Tribunal. This is the target for the year, but as milestones towards the achieving of this annual target, the following quarterly targets will be pursued: Quarter 1: Establishing a proper funding and logistical base for the Special Tribunal to operate. Quarter 2: A President of the Special Tribunal must be appointed. Quarter 3: Arrangements must be made with the various Judge Presidents of the Divisions of the High Court to provide logistical support for the Special Tribunal. Quarter 4: The Special Tribunal must be operational and ready to receive the first matter to be instituted before the Special Tribunal.
Data limitations	Dependence on the Department of Justice to ensure funding and logistical support for the Special Tribunal. In addition, the President of the Special Tribunal must be identified and appointed by the President of the country. Support of the various Judge Presidents will also be required.
Indicator type	Output
Source/collection of data	Proclamations indicating the establishment of the Special Tribunal and the appointment of a President of the Special Tribunal.
Calculation type	Cumulative
Reporting cycle	Quarterly

New indicator	Yes
Desired performance	An effective Special Tribunal established.
Indicator responsibility	Chief Legal Counsel



Programme 3

Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 1	To direct internal and influence external strategic decision making processes through data analysis.
Indicator	1.1 Number of internal trend analysis reports issued.
Short definition	The indicator measures the number of internal trend analysis reports completed by the SIU.
Purpose/importance	This analysis identifies sector risk factors and allows the SIU to advise and report on possible systemic improvements to avoid recurring cases of fraud and corruption.
Method of calculation	Simple count of the number of approved internal trend analysis reports completed by the SIU.
Data limitations	Availability of current relevant information in order to complete accurate and meaningful internal trend analyses.
Indicator type	Output
Source/collection of data	Data available internally from the proclamations received and completed.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Chief Programme Portfolio Officer

Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 1	To direct internal and influence external strategic decision making processes through data analysis.
Indicator	1.2 Number of external risk assessment and trend analysis reports issued.
Short definition	The indicator measures the number of external trend analysis reports completed by the SIU.
Purpose/importance	This analysis identifies sector risk factors and allows the SIU to advise and report on possible systemic improvements to avoid recurring cases of fraud and corruption. Research to be conducted along with the completion of trend, scenario and gap analyses.
Method of calculation	Simple count of the number of approved risk assessment and external trend analysis reports completed by the SIU.
Data limitations	Availability of research and current relevant information in order to complete accurate and meaningful trend analyses.
Indicator type	Output
Source/collection of data	Data available from research and from the proclamations received and completed.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Chief Programme Portfolio Officer



Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 2	To assist state institutions with the prevention of the reoccurrence of reported cases.
Indicator	2.1 Number of systemic improvement plans developed in conjunction with targeted state institutions.
Short definition	The indicator measures the number of systemic improvement plans developed in conjunction with targeted state institutions.
Purpose/importance	In order to make an impact and to prevent the recurrence of similar cases, it is important to implement systemic improvements. By assisting state institutions with plans to implement such recommendations, the SIU is playing a proactive role in the prevention of corruption and maladministration.
Method of calculation	Simple count of the number of systemic improvement plans developed.
Data limitations	Availability and willingness of state institutions to draft systemic improvement plans.
Indicator type	Output
Source/collection of data	Systemic improvement plans developed
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Chief Programme Portfolio Officer

Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 3	To increase public awareness about targeted anti-corruption behaviour.
Indicator	3.1 Number of targeted awareness campaigns conducted.
Purpose/importance	Awareness campaigns are conducted to create awareness amongst targeted groups of focus areas identified by the SIU. The aim is to ultimately reduce corruption by changing the behaviour of citizens.
Method of calculation	Simple count of the number of targeted awareness campaigns conducted by the SIU.
Data limitations	Participation by citizens or targeted groups.
Indicator type	Output
Source/collection of data	Awareness campaigns plans and reports. Attendance registers.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Desired performance is as targeted
Indicator responsibility	Chief Programme Portfolio Officer



Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 3	To increase public awareness about targeted anti-corruption behaviour.
Indicator	3.2 Number of public perception survey conducted.
Short definition	The indicator measures the public perception relating to corruption and maladministration in the country and includes both the public and private sector.
Purpose/importance	An understanding of the public perception of corruption and maladministration enables the SIU to analyse whether or not the SIU and other role players forming part of the Multi Agency Anti-Corruption approach is making an impact and whether this impact is felt by the public. This can assist in strategic decision making processes.
Method of calculation	Simple count of the number of public perception surveys conducted. The survey is only counted once the report is published.
Data limitations	None
Indicator type	Output
Source/collection of data	Published survey report supported by primary fieldwork data collected. This report can be obtained from the M&E unit.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	One survey must be completed and the SIU would with time aspire to conduct more surveys as the organisation grows.
Indicator responsibility	Chief Programme Portfolio Officer

Strategic goal	To proactively influence the systemic and behavioural root causes of maladministration and corruption.
Strategic objective 3	To increase public awareness about targeted anti-corruption behaviour.
Indicator	3.3 Development of final draft of NACS
Short definition	The indicator measures whether the NACS has been developed and is ready for public consumption.
Purpose/importance	The development of the NACS is key in the overall strategy to fight fraud in corruption in the country. The NACS encompasses government, the private sector and civil society and is a joint product that all buy into.
Method of calculation	The existence of the document and approved by the SIU for submission to the ACTT and further.
Data limitations	None
Indicator type	Output
Source/collection of data	The actual report and sign offs by the HoU of the SIU.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	The NACS must be developed, have been consulted, and signed off by the HoU of the SIU.
Indicator responsibility	Chief Programme Portfolio Officer



Notes



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ACRONYMS/ABBREVIATIONS

ACTT	Anti-Corruption Task Team
AFU	Asset Forfeiture Unit
AGSA	Auditor-General of South Africa
AOD	Acknowledgement(s) of Debt
AOL	Acknowledgement(s) of Liability
APP	Annual Performance Plan
BACSA	Business Against Crime South Africa
BRICS	Brazil, Russia, India, China and South Africa
BUSA	Business Unity South Africa
CPI	Corruption Perception Index
CSNAC	Convenor of Civil Society Network Against Corruption
DoJ & CD	Department of Justice & Constitutional Development
DPCI	Directorate for Priority Crime Investigation
DPSA	Department of Public Service and Administration
EU	European Union
FDI	Fixed Direct Investments
FIC	Financial Intelligence Centre

FY	Financial Year
GDP	Gross Domestic Product
HoU	Head of the Unit
ICT	Information and Communications Technology
IGI	Inspector-General of Intelligence
IPID	Independent Police Investigative Directorate
JCPS	Justice Crime Prevention and Security Cluster
MAWG	Multi Agency Working Group
MOU	Memorandum of Understanding
MPs	Members of Parliament
MTEF	Medium-Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NACF	National Anti-Corruption Forum
NACS	National Anti-Corruption Strategy
NDP	National Development Plan
NGO	Non-Governmental Organisation
NICOC	National Intelligence Coordinating Committee
NPA	National Prosecuting Authority
NPS	National Prosecuting Service

NT	National Treasury
OUTA	Organisation Undoing Tax Abuse
PFMA	Public Finance Management Act
PMDS	Performance Management and Development System
PSC	Public Service Commission
SARS	South African Revenue Service
SAPS	South African Police Service
SCM	Supply Chain Management
SCOPA	Standing Committee on Public Accounts
SDG	Sustainability Development Goals
SIU	Special Investigating Unit
SIU Act	Special Investigating Units and Special Tribunal Act
SOP	Standard Operating Procedure
SSA	State Security Agency
STATS SA	Statistics South Africa
UK	United Kingdom
USA	United States of America

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