

SPECIAL INVESTIGATING UNIT

# Annual Performance Plan 2021/2022



POISED TO STRIKE  
*against corruption*

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## FOREWORD BY THE MINISTER



MR RONALD LAMOLA (MP)  
MINISTER OF  
JUSTICE & CORRECTIONAL SERVICES

The year 2021 marks 25 years since the signing of the Constitution of the Republic of South Africa by President Mandela. Incidentally this year also marks the 25th year since passed the Special Investigating Unit and Special Tribunals Act 74 of 1996 giving the President powers to establish the Special Investigating Unit (SIU). The SIU has proven to be a critical pillar in the law enforcement arena as it is the only organization authorized to recover public money lost through acts of corruption in State institutions.

The setting up and subsequent operation of the Special Tribunal in 2019 by my Department has made it possible for the SIU to expedite recovery of State monies and State assets lost through negligent and corrupt means. I am particularly pleased that as per our commitment, the rules regulating the conduct of proceedings in the Special Tribunal finalised. The Special Tribunal adjudicates on matters that the SIU institutes for civil litigation relief following the conclusion of investigations. The SIU no longer has to queue at High Courts with other litigants and experience delays, which may make recovery of stolen money more difficult as culprits may have enough time to hide or dissipate the money and assets.

Through the Special Tribunal, the SIU can now quickly recover monies and assets lost by state institutions through irregular and corrupt means as compared to High Courts; and hold those responsible for the loss accountable. The SIU can also request relief in the form of preventing further losses to the State.

The SIU has once again proven to be an important resource in fighting corruption when President Cyril Ramaphosa authorized the Unit through Proclamation R23 of 2020 to investigate procurement of Personal Protective Equipment (PPE) in State institutions. The SIU is diligently executing the task and stolen State money is being recovered.

To ensure that action is taken speedily, the President currently is receiving interim reports on investigations every six weeks and we are coordinating law enforcement to ensure the perpetrators do not get off the hook.

Given this and other factors I still maintain that it amplifies the need to accelerate resourcing and the capacitation of the SIU and other similar anti-corruption agencies; if we are to conquer this stubborn societal scourge. As government we want to do away with the perception that we are soft on corruption, particularly among our ranks.

My Department will continue to provide necessary administrative support to enable the SIU, commissions of Inquiry and courts to do their work. This will be complemented by a concerted effort to resource our Nation's anti-corruption entities and creating a supportive legislative environment to remove bottlenecks for an impactful execution of their respective mandates; individually and through their coordinated structures.

All this reinforces the 6th Administration's determination that there should be no theft, wastage, and mismanagement of public funds as the country fights the coronavirus pandemic as well as the scourge of corruption, maladministration and malpractice in state institutions.

As President Mandela, said in the formative years of our democracy "people must be encouraged to speak out against maladministration with the surety that their complaints will be taken seriously and in confidence. Every citizen needs to be familiar with their obligations and duties. They must be able to claim the right to be treated justly, promptly and courteously, and to claim their due under the law."

The National Prosecuting Authority (NPA) is working collaboratively with the SIU, and the Directorate for Priority Crime Investigation (DPCI), to ensure that perpetrators of acts of fraud and corruption are brought to book speedily.

This is one of the earliest demonstrations of our unwavering determination to accelerate the capacitation of our anti-corruption agencies. Moreover, it is yet another instrument through which ordinary citizens can witness our determination to create a capable and ethical state.

As government over the years we have introduced various interventions to fight against the scourge of corruption, which negatively affects the delivery of services to the poor and vulnerable. We have recently established a special coordination centre which aims to strengthen the collective efforts among law-enforcement agencies to prevent, detect, investigate and prosecute Covid-related corruption.

It comprises the Financial Intelligence Centre; Independent Police Investigative Directorate; National Prosecuting Authority; South African Police Service's Directorate for Priority Crime Investigation (the Hawks), Crime Intelligence and Detective Service; South African Revenue Service; and the State Security Agency.

Therefore, I still maintain that South Africa as a country needs strong institutions such as the SIU and a systematic approach that will block the looting of resources that can be used to develop our country, Africa and the world. Institutions will not be built overnight; as the Department I assure the SIU that we are dedicated to the cause of its development.



I am encouraged to be witnessing that the SIU is providing strong, resolute and stable leadership in the fight against corruption as evidenced also by the changing perception of the citizens. Incorruptibility and efficiency are the two obvious requirements for public confidence in the administration of government and the SIU itself is not exempt from these requirements.

Lastly, the Cabinet has approved the National Anti-Corruption Strategy. This strategy among other things seeks to:

- » Support citizen empowerment in the fight against corruption, including increased support for whistle-blowers.
- » Develop sustainable partnerships with stakeholders to reduce corruption and improve integrity management.
- » Improve the integrity of the public procurement system.

As the SIU marches towards implementing its 5-year strategy with the 2021-2022 Annual Performance Plan, being the second year plan of implementation, the fight against corruption must be intensified and I have the confidence that the SIU as a collective have what it takes to help our beloved country South Africa fight against these socio-economically destructive misdeeds. I assure them of my unequivocal support and wish you well.

I, therefore, endorse this Annual Performance Plan of the SIU for the financial year 2021/22 as the roadmap for what the SIU hopes to achieve in the coming year.



MR RONALD LAMOLA (MP)

**MINISTER OF JUSTICE AND CORRECTIONAL SERVICES**

## FOREWORD BY THE HEAD OF THE UNIT



ADV. ANDY MOTHIBI  
HEAD OF THE UNIT

It gives me immense pleasure to present our 2021-2022 APP, for the second year of the Medium-Term Strategic Framework (MTSF) period 2019-24. This plan continues to demonstrate our commitment to the fight against corruption, maladministration and malpractice and also our commitment to the improvement of service delivery and our deliberate effort to make continuous organisational improvement.

We have undertaken a robust and rigorous process of reviewing and defining our outputs, which are aligned to the outcomes as reflected in our five-year 2020/21-2024/25 Strategic Plan.

### **Our planning context and performance improvement**

This planning cycle again occurs against the backdrop of a series of developments in our realm of operations, most notably the presidential proclamation mandating the SIU to probe procurement graft related to the COVID-19 procurement and the continuing commissions of inquiry into corruption and maladministration.

These developments, among others, inform our environmental scan and anchor the outcomes that inform our priorities, being mindful of the current realities of our limited resources and capacity. Therefore, looking into the future, at the SIU we have to:

- » Internalise all our macro- and micro-environmental considerations to shape solid plans, but adopt collective agility towards organisational impact as environmental factors change.
- » Adopt a new organisational culture oriented towards action with specific deadline considerations.

### **Dealing with corruption in South Africa**

The prevalence of corruption has a direct and immediate impact on stability in our democratic South Africa. The strain of corruption in our country is immediately felt and threatens to make our democratic systems fragile and unsettle our country's democratic consolidation. The unsettled state of South Africa's post-apartheid democratic dispensation is indicated by factors such as growing poverty and income inequality, the ineffective management of State institutions, and lack of service delivery.

In such a fragile system, corruption, as a means of relocating public sources for private enrichment or for the purpose of gaining coercive power over people could become one of the final straws to break South Africa's back.

Corruption, maladministration and malpractice are crucial issues in the South African society. They are issues that are urgently in need of critical and remedial action. Therefore, the way that the SIU, its leaders, managers and staff deal with our role in addressing these issues can be a relevant indicator for the citizens and help change their perception so as to see their government as not being soft on corruption.

In dealing with corruption, we must also deal with practical and key questions like the following:

- » Why is corruption seemingly impacting significantly on the democratic stability of South Africa?
- » What does the tension created by corruption and anti-corruption rhetoric or action reveal about the readiness of the SIU to play an authentic role in significant change?

There is no doubt in my mind that we are confronted by a complex problem field and that no simplified, one-dimensional answer can be provided when it comes to addressing corruption issues creatively and responsibly.

The five-year Strategic Plan and vision of the SIU together with this 2021-2022 APP is our attempt to provide a basic orientation for the SIU and our role in the fight against the scourge of corruption, maladministration and malpractice.

The SIU as a leader and stakeholder in the fight against corruption has defined the following four outcomes to articulate our efforts in the fight against corruption:

- » A compliant, high-performance SIU that is well-capacitated to rid society of corruption, maladministration and fraud in State institutions.
- » State assets and cash resources are protected from maladministration, fraud and corruption for the realisation of full value-for-money for State programmes.
- » Confidence in the governance systems, structures and policies of the State is restored and maintained with greater focus on consequence management, recovery of stolen money and assets, and following up on referred criminal cases.



- » Corruption, maladministration and fraud are deterred through proactive preventative mechanisms and effective enforcement of consequence-management measures.

The focus on these outcomes also serves to respond to, and address, some of the key issues raised by our key stakeholders as far as the role and impact of the SIU are concerned. To achieve these outcomes the SIU undertakes to also address the key challenges in our operating environment, by ensuring that sufficient financial resources are available by motivating for an improved funding model.

The SIU Act sets out, among other things, the powers and legislative mandate of the SIU. The SIU Act has proven inadequate and, in certain circumstances, frustrates the effective execution of the SIU's legislative mandate in general and, more specifically, the SIU's strategy. The SIU has agreed with the Department of Justice and Correctional Services to formulate, develop and promulgate amendments to the SIU Act during the legislative programme of 2021-2022. Some of the developments and amendments being considered are:

- » The establishment of the permanent independent SIU to investigate, on its initiative, upon receipt of a complaint from members of the public, any private entity or organs of State, malpractice or maladministration in connection with the administration of organs of State, State assets and public funds.
- » Improvement of internal capacity through the recruitment of capable members of the SIU and through focused procurement of specialised skills.
- » The status, establishment and the powers of the permanent Special Tribunal to adjudicate upon civil matters emanating from investigations by the SIU.
- » The revenue and expenditure for the functioning of the SIU and the establishment of the SIU Fund and matters incidental thereto.
- » Monitoring the implementation of recommendations and taking appropriate action in the event of an organ of the State or any other relevant authority refusing, neglecting or failing to take disciplinary action as recommended by the SIU.
- » Collecting, processing and storing information concerning trends identified, conducting trend analyses and publishing identified trends and the outcome of the analyses conducted in respect of identified trends.

I am hopeful that this process will be completed before the end of the current medium-term period.

As at the submission of this APP (January 2021), the number of civil matters enrolled at the Special Tribunal is **50** to the value of **R6.9 billion**. Some of the civil matters in normal courts date back to 2008. The number of cases at the Special Tribunal includes **11 civil matters** to the value of **R259 million**, which are related to the supply and delivery of PPE as part of Government's response to COVID-19.

There is an increasingly aware citizenry concerned with the unattractiveness of South Africa as an investment destination, which has devastating socio-economic impacts. This has led to investigating and prosecuting agencies involuntarily being thrust into an unprecedented limelight and caught in the eye of the storm of public perceptions of some of the agencies, if not all, being compromised by the State capture phenomenon. Therefore, what our reality tells us is that social justice requires us to assign rights and duties to institutions of society, to enable people to receive the basic benefits guaranteed by our Constitution. This reality also tells us that there is a strong rationale for not cutting

budgets for economic crime-combating agencies like the SIU. It then presents to us a responsibility to continue delivering results.

Given this reality of where we are at as a nation, we at the SIU need to gauge and manage public expectations and our public image to build, create and maintain a social compact through greater agility and speed.

### **Anti-Corruption Task Team (ACTT)**

In July 2010, the Justice, Crime Prevention and Security (JCPS) Cluster was tasked with the establishment of a task team to fast-track investigations and prosecution on corruption-related matters. The multi-agency Anti-Corruption Task Team (ACTT) was formed in October 2010 to give effect to this instruction. The role and functions of the ACTT have evolved since its inception, from a primarily reactive law-enforcement task team to one with prevention and policy-making responsibilities.

In 2020, the ACTT established a Fusion Centre. The SIU's primary role in the Fusion Centre is to provide real-time risk detection and contribute to prompt coordinated action by law-enforcement entities to ensure expedited investigation, prosecution and recovery of assets in order to provide an immediate response by law-enforcement and corruption-fighting agencies to incidences of alleged corruption, fraud, abuse or maladministration related to COVID-19 procurement irregularities.

The Centre is underpinned, among others, by the following principles:

- » Multi-agency approach to ensure collective effort and proper integration
- » Effective coordination and collaboration
- » Transparency in the sharing and exchange of information and intelligence, and
- » Prosecution-driven investigations.

In line with the proposed national anti-corruption strategy, a four-pronged approach was adopted by the Centre, which consists of:

- » Prevention
- » Detection
- » Investigation
- » Resolution.

The main members of the Centre are the FIC, Hawks, SARS, SAPS, SSA, National Intelligence Co-ordinating Committee (NICOC), SIU, NPA, IPID and other engaged members.

### **Investigations and COVID-19 ongoing investigations**

On 23 July 2020, with the publication of Proclamation No. R.23 of 2020, the President referred certain allegations of impropriety in connection with the affairs of all State institutions to the SIU and provided the SIU with its terms of reference, which are fully set out in the Proclamation.

The Proclamation specifically tasked and authorised the SIU to exercise or perform all the functions and powers assigned to or conferred upon it by the SIU Act, including the recovery of any losses suffered by the State in relation to the matters in the schedule to the Proclamation.

SIU has made significant progress and outcomes in the COVID-19 corruption, maladministration and malpractice investigations and submitted six-weekly reports to the President. Of importance is the implementation of SIU referrals and recommendations by State institutions, disciplinary action, recovery of stolen monies and assets and criminal prosecution.

The SIU is rejuvenating the organisation, reinforcing an enhanced capability to conduct civil litigation efficiently, and we are increasing the caseload and quality of recovery from **25% to 55% per annum over three years**. It is assumed that recovery and prevention of assets lost during corruption will increase in direct proportion to the caseload and conversion rate. Recoveries could potentially be increased to between **R1 billion and R1.5 billion** and beyond over three years. The SIU will enhance and optimise the current operating model by implementing “fit-for-purpose information systems” to “hard-code” process automation, thus creating transparency of all investigative case information, secured within an integrated information technology (IT) environment and Programme Management Office.

Among other things that we are already focused on, and continuously improving, are:

- » Standardised operating procedures being embedded into the automated systems, standardised across the national and regional offices.
- » Large-scale workforce change management and training that is being rolled out alongside the case and project management systems roll-out.
- » Extensive leadership alignment to reinforce the commitment to the SIU’s operating model.
- » Mitigating the negative impact of workforce attrition.
- » A newly established organisational capability to conduct forensic investigations and civil litigation, increasing the caseload and conversion rate considerably.
- » Improved information and communication technology (ICT).
- » An improved performance management system.

### Multilateral collaborations

The SIU plays an active part in global anti-corruption processes. On the international front the SIU continues to participate in the following international forums: Southern African Development Community (SADC), Commonwealth Anti-Corruption Agencies, African Union Advisory Board on Corruption, BRICS, United Nations Convention against Corruption (UNCAC), G20 Anti-Corruption Working Groups, the Organisation for Economic Cooperation and Development (OECD) and Financial Action Task Force (FATF).

### Governance

The SIU continues to lead by example in embedding sound governance and controls as a business imperative, beyond compliance requirements. The three-year rolling risk-based audit plan as approved by the Audit Committee continues with Year 3.

In terms of the Auditor-General's audit outcomes, the SIU aims to continue on the path of maintaining a clean audit, "an unqualified audit opinion with no material findings". The audit improvement action plan has been developed to address all findings raised, and monitoring by the Management and Audit Committee continues to be enhanced. This will be driven and embedded in the departmental operational plans of executives as a key performance indicator.

Therefore, this 2021-2022 APP we are undertaking is the heartbeat of our strategic management process at the SIU.

As 2021 also marks the 25th anniversary of the SIU, we are encouraged by our motto, "Poised to strike against corruption", to relentlessly pursue unabated the fight against the scourge of corruption for a prosperous South Africa.



ADV. ANDY MOTHIBI

HEAD OF THE UNIT

## OFFICIAL SIGN-OFF

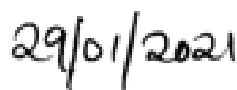
It is hereby certified that this Annual Performance Plan:

- » Was developed by the management under the guidance and support of the SIU's Head of the Unit.
- » Takes into account all the relevant policies, legislation and other mandates for which the SIU is responsible.
- » Accurately reflects the outcomes and outputs that the SIU will endeavour to achieve over the period 2021-2022.



Ms Nombulelo Mpotulo

Acting Head: Strategy, Monitoring & Reporting

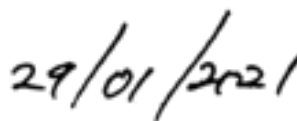


Date



Mr Andre Gernandt

Chief Financial Officer



Date



Adv. J.L. Mothibi

Head of the Unit

29 January 2021

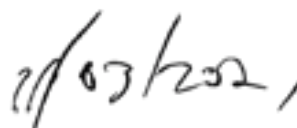
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Approved by:



Mr Ronald Lamola (MP)

Minister of Justice & Correctional Services



Date



## ACRONYMS

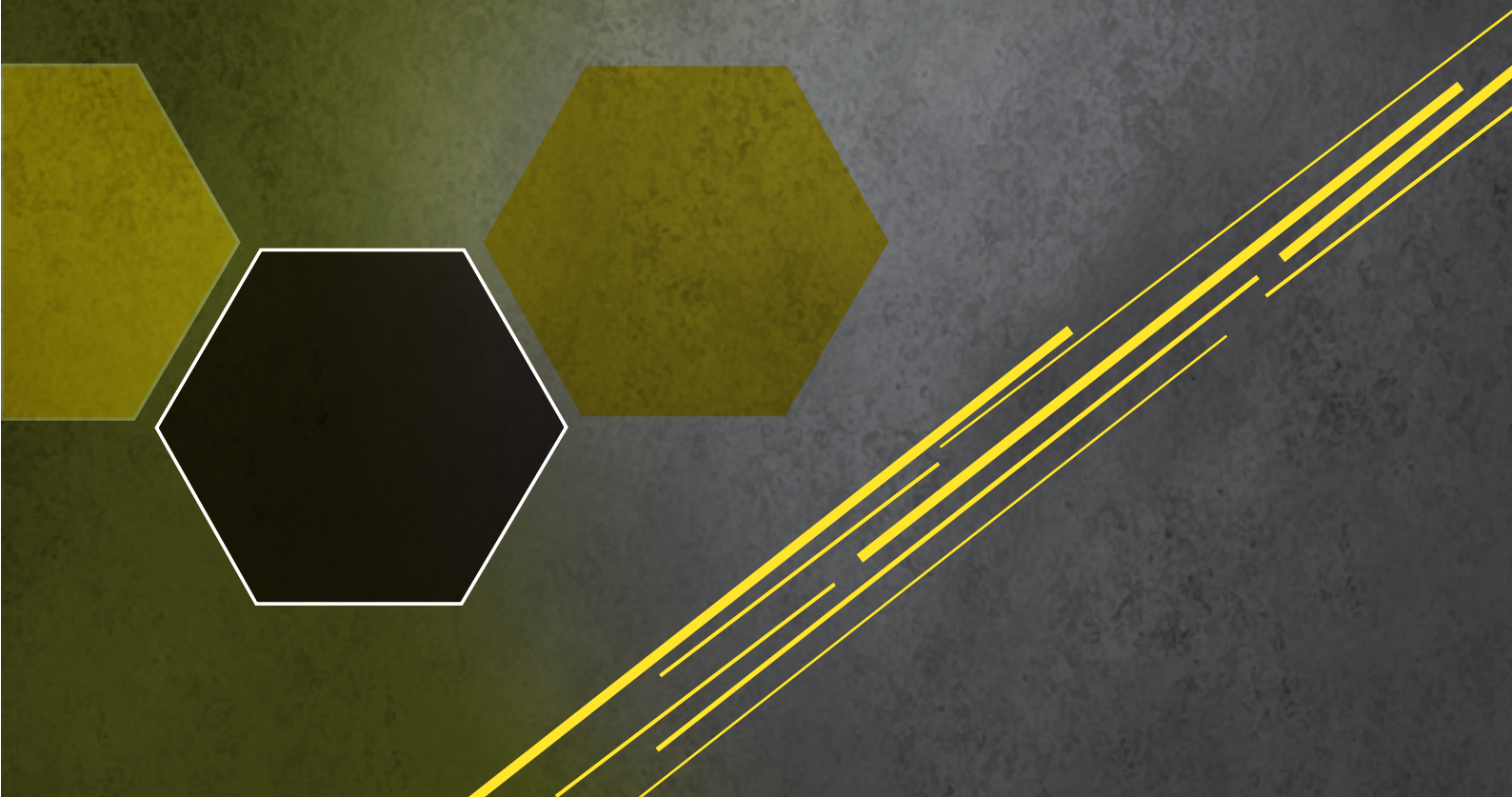
Acronym	Description
4IR	Fourth Industrial Revolution
ACIMC	Anti-Corruption Inter-Ministerial Committee
ACTT	Anti-Corruption Task Team
AFU	Asset Forfeiture Unit
AG	Auditor-General
AoD	Acknowledgement(s) of debt
AoL	Acknowledgement(s) of liability
APP	Annual Performance Plan
CFO	Chief Financial Officer
CMS	Case management system
CoGTA	Cooperative Governance and Traditional Affairs
COVID-19	Coronavirus Disease 2019
CPI	Corruption Perception Index
CRMPs	Compliance Risk Management Plans
CSD	Central Supplier Database
DOJ & CD	Department of Justice and Constitutional Development
DPCI	Directorate for Priority Crime Investigation
DPME	Department of Planning, Monitoring and Evaluation
EU	European Union
FATF	Financial Action Task Force
FIC	Financial Intelligence Centre
FSAPPs	Framework for Strategic and Annual Performance Plans
FY	Financial Year
GDP	Gross Domestic Product
HOU	Head of the Unit
ICT	Information and Communication Technology
IMF	International Monetary Fund
IPID	Independent Police Investigative Directorate
IT	Information Technology
JCPS	Justice, Crime Prevention and Security (cluster)
LAN	Local Area Network
MDA	Market Data Analytics
MoU	Memorandum of Understanding
MTEF	Medium-Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
NACS	National Anti-Corruption Strategy
NDP	National Development Plan
NICOC	National Intelligence Co-ordinating Committee
NPA	National Prosecuting Authority

Acronym	Description
NT	National Treasury
OECD	Organisation for Economic Cooperation and Development
PFMA	Public Finance Management Act
PIMS	Performance Information Management System
PIPMMP	Performance Information Planning, Measurement & Management Policy
PPE	Personal protective equipment
SADC	Southern African Development Community
SAPS	South African Police Service
SARS	South African Revenue Service
SCM	Supply Chain Management
SDG	Sustainable Development Goal
SIU	Special Investigating Unit
SMR	Strategy, Monitoring & Reporting
SSA	State Security Agency
UNCAC	United Nations Convention against Corruption
WAN	Wide Area Network



**PART A**

# **OUR MANDATE**



## 1. Updates to the relevant legislative and policy mandates

There are no changes to the following legislative mandates from which the Special Investigating Unit (SIU or 'the Unit') draws its mandate.

### 1.1 Constitutional mandate

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

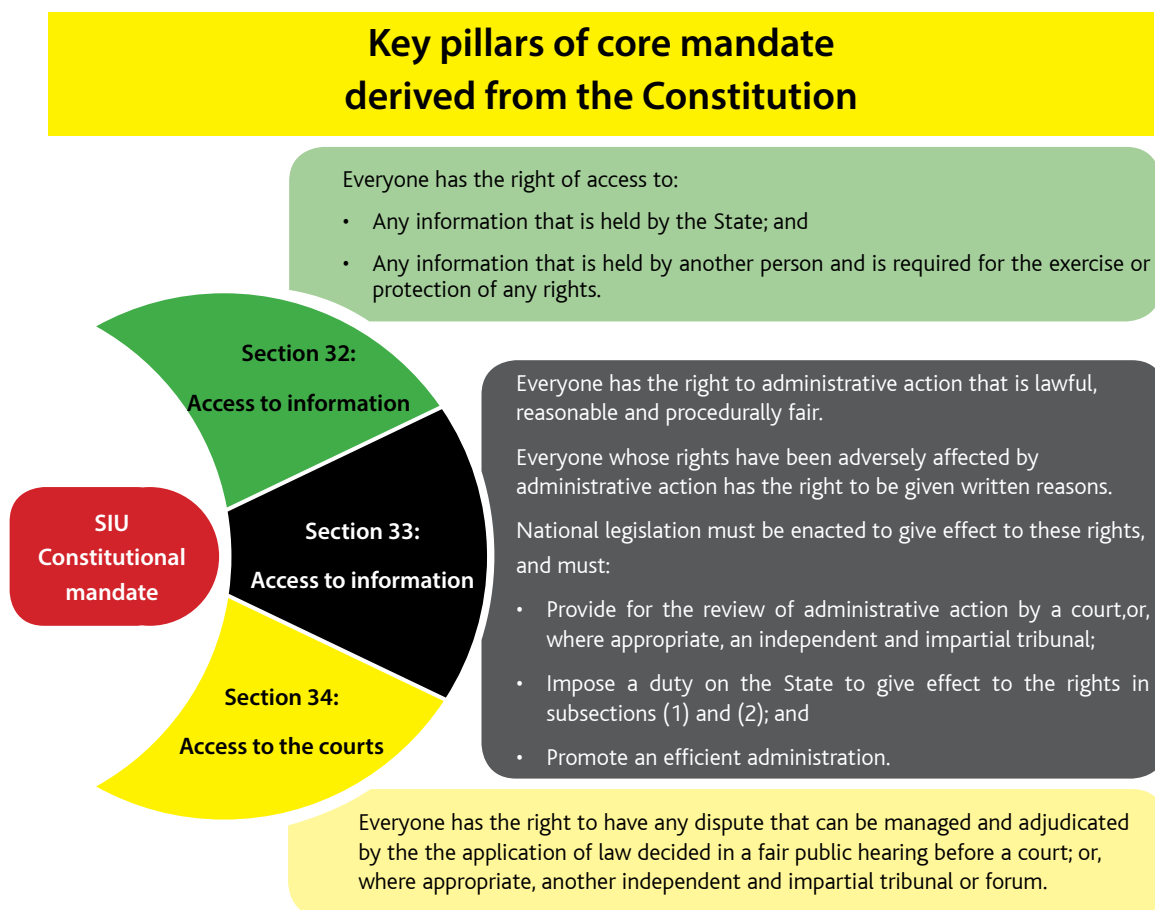


Figure 1: SIU Constitutional mandate



## 1.2 Legislative and policy mandate

A legislative framework, including the legislation set out below, governs the work of the SIU.

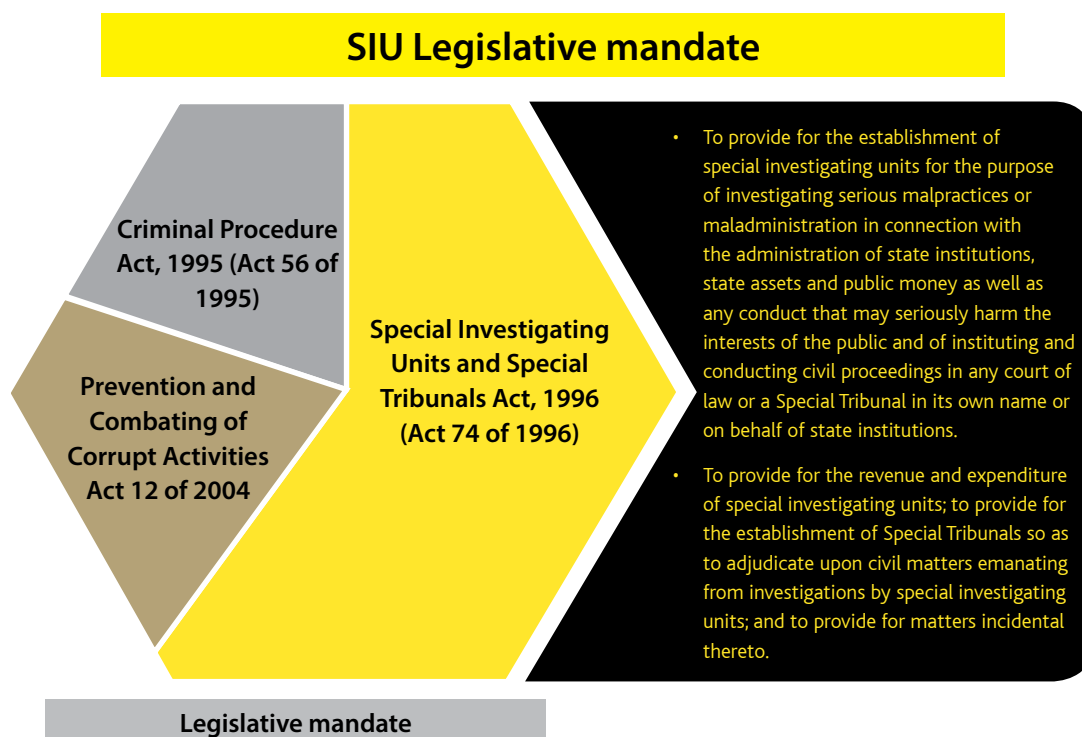


Figure 2: SIU Legislative mandate

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 SIU 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.

A Special Tribunal, which serves as a dedicated forum for the institution of civil proceedings by the SIU, has now been established, as per the commitment made by the Minister of Justice and Correctional Services in 2020. The material impact of this development is that the SIU will no longer have to queue up in conventional civil courts for its matters to be heard. The Special Tribunal will serve as a dedicated channel through which civil litigation will be expedited, thus reducing the amount of time in civil litigation, which bodes well for improving perceptions of how slowly the wheels of justice turn. Through the Special Tribunal, the public image of the SIU will improve when it is recognised as being more efficient, effective and decisive in the recovery of State assets.

## 2. Updates to institutional policies and strategies

### 2.1 Institutional policies

Over its many years of existence, the Unit has developed business processes and standard operating procedures that are subject to ongoing review and reengineering processes to ensure that they are constantly and consistently fine-tuned and adapted to the agency's dynamic operational environment.

In the previous financial year, the following institutional policies were endorsed for implementation:

- » The SIU Governance Framework has been developed, guided by Section 49(2)(b) of the Public Finance Management Act (PFMA), as an entity without a Board of Directors. This framework is designed primarily to streamline ethical and transparent decision-making processes in a manner that supports and promotes organisational efficiency and governance.
- » The development of the Performance Information Planning, Measurement & Management Policy (PIPMMP) was guided by the Public Finance Management Act, 1999 (Act No.1 of 1999), the Promotion of Access to Information Act, 2000 (Act No.2 of 2000) and other relevant legislation. Its primary purpose is to provide standardised guidance on how to handle the organisational performance management system in the Unit.

In the current MTSF period, the Unit will focus on developing and reviewing the following strategies:

#### 1. Communications strategy

Communication is a critical component in optimising awareness and appreciation among the stakeholder community of how the SIU carries out its mandate and in improving its interface with its internal and external stakeholders.

## 2. Legal strategy

Given the nature of the business operation of the SIU and the environment it operates in, this strategy will arguably be among the most crucial in guiding how the Unit deals with all matters in the legal sphere.

## 3. Remuneration strategy

It will be designed to attract high-calibre talent in the market, reward employees for demonstrating the right behaviours and motivate people to achieve the organisation's goals and objectives.

## 4. Data analytics strategy

In a technology and data era, this strategy will serve as an anchor to optimise organisational effectiveness through data-driven business decisions.

## 5. Information and communication technology strategy

This will guide the development and implementation of all technology platforms as a critical business enabler for the benefit of internal and external stakeholders.

## 6. Performance management strategy

In essence, this strategy will seek to afford the Unit a competitive advantage through high levels of employee productivity.

## 2.2 Alignment to government institutional strategies

In compiling this APP for the period 2021/22, the Unit took into consideration the key contextual strategic factors emanating from:

<b>1. The National Development Plan (NDP): Vision 2030</b>	<ul style="list-style-type: none"> <li>The SIU aligns to Outcome 3, which states that "All people in South Africa are and feel safe and secure". Output 3 of this outcome specifically seeks to combat corruption and maladministration as espoused in Chapter 14 of the NDP on the tackling of corruption.</li> <li>Under the auspices of this chapter, the SIU contributes through its multi-agency collaborations.</li> </ul>
<b>2. The 2019-2024 Medium-Term Strategic Framework (MTSF)</b>	<ul style="list-style-type: none"> <li>This is underpinned by the seven National Priorities as proclaimed in the revised 2019-2024 MTSF. In this regard, the SIU locates its direct contribution under <b>Priority 6: Social Cohesion and Safer Communities</b>, as a contribution towards cumulatively achieving the longer-term 2030 Vision of the NDP. According to Priority 6, the SIU aims to take a leading role in the prevention of fraud and corruption that undermines the rule of law and impedes government efforts to achieve its socio-economic development and service delivery objectives.</li> </ul>

## 2.3 Institutional strategies

<b>3. Minister's Budget Vote Policy Statement 2020/21</b>	<p>The Minister's Budget Vote Policy Statement 2020/21 delivered to Parliament on 23 July 2020 captures the following salient points:</p> <ul style="list-style-type: none"> <li>• Ensure that South Africa's criminal justice system is accessible and effective.</li> <li>• Corruption, including white-collar and commercial crime, remains a challenge, both in the public and private sector. It directly affects the ability of the State to deliver much-needed services to the poor and the vulnerable.</li> <li>• The Special Tribunal has been formally established. As at 23 July 2020 it has dealt with 24 cases. The SIU has in the last financial year completed 17 investigations. In the same period, 30 proclamations were issued and these include proclamations on Eskom, Denel and South African Airways among others. Closer to home, Department of Justice and Constitutional Development has had a proclamation on the Masters and State Attorney offices.</li> <li>• The SIU will increase the recovery orders in the Special Tribunal.</li> <li>• Through the SIU, there will be an enhancement of the State's data analytics capacity to enable the State to have a nuanced perspective on corruption.</li> <li>• The state attorney will leverage state-owned enterprises and all government departments to transform the legal profession.</li> </ul>
<b>4. Revised Framework for Strategic and Annual Performance Plans (FSAPPs)</b>	<ul style="list-style-type: none"> <li>• The Department of Planning, Monitoring and Evaluation's (DPME) revised Framework for Strategic and Annual Performance Plans aims to improve the government's planning processes. It further provides guidance to government institutions on short and medium-term planning in a standardised approach.</li> </ul>
<b>5. The National Anti-Corruption Strategy (NACS)</b>	<ul style="list-style-type: none"> <li>• The National Anti-Corruption Strategy (NACS) is intended to serve as a guide for government, the business sector and civil society organisations, to help coordinate and support their efforts to reduce corruption. The SIU is an integral part of the task team responsible for the development of the NACS, driven through the Anti-Corruption Inter-Ministerial Committee (ACIMC) under the auspices of DPME.</li> <li>• The NACS will serve as a pivotal point to guide and direct the work of multi-agency forums.</li> </ul>

## 2.4 Relevant court rulings

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



**PART B**

# **STRATEGIC FOCUS**

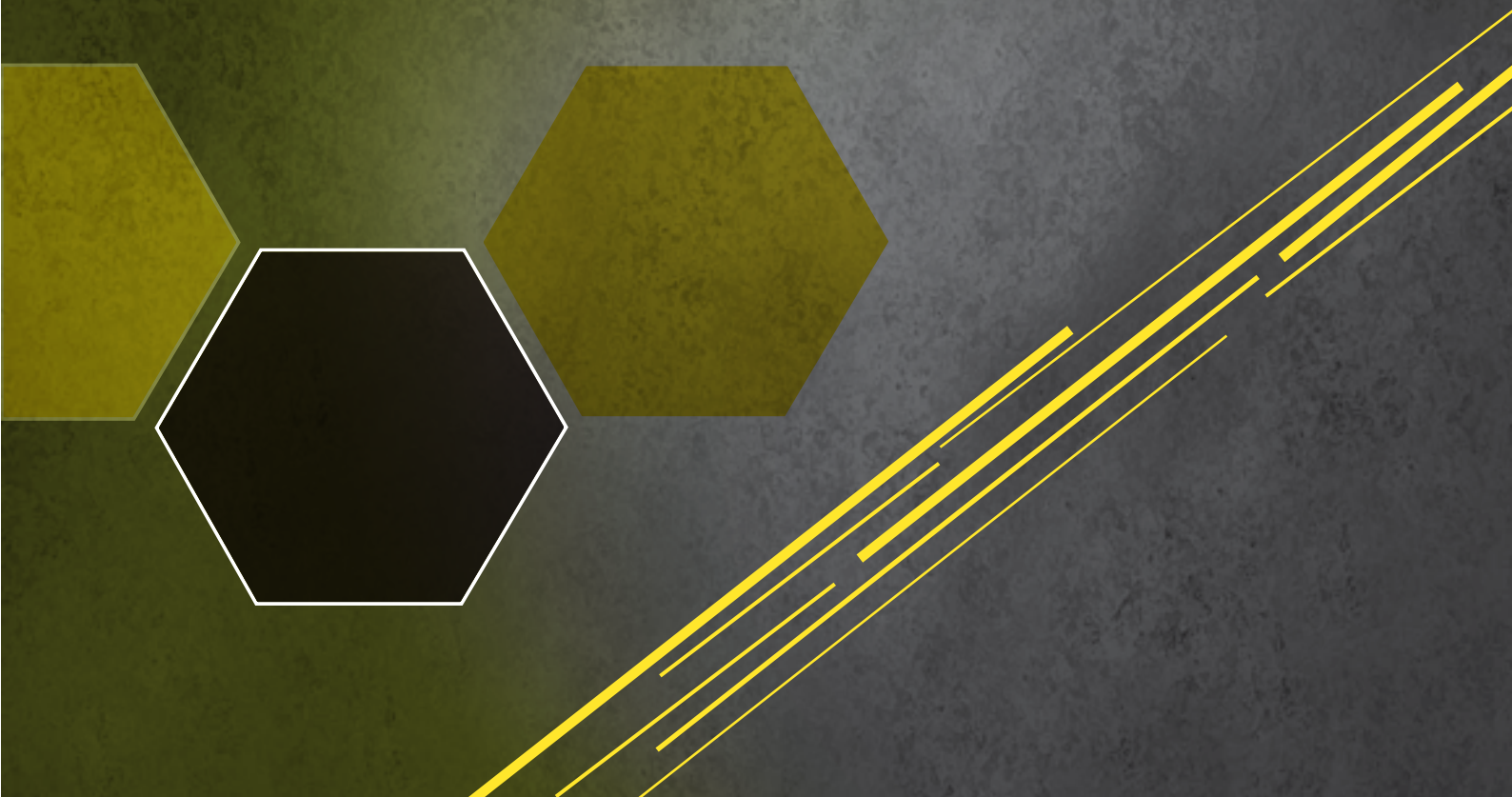






Figure 3: SIU Strategy delivery model



### 3. Updated situational analysis

This section presents an update to the situational analysis in both the external and internal environments and how they will affect the operations of the SIU. As an update to the detailed situational analysis reflected in the Strategic Plan 2020/21 to 2024/25, discussed below are the salient shifts in the environment that may influence the SIU's 2021/22 APP.

#### 3.1 The external environment

President Cyril Ramaphosa and his Cabinet have been investing in significant policy improvements to restore macroeconomic stability in the country. However, even though the government has stated that boosting economic growth, cutting unemployment and avoiding downgrades by credit rating agencies constitute government's economic key priorities, South Africa still faces rising public debt, inefficient state-owned enterprises and spending pressures, which have reduced the country's global competitiveness. Still, South Africa has a highly developed economy and advanced economic infrastructure, making the country the leading African economy and home to 75% of the largest African companies. The economy grew 0.2% in 2019, against 0.8% in 2018, and it is expected to fall -5.8% in 2020 due to the outbreak of the COVID-19 pandemic and pick up to grow by 4% in 2021, according to the updated International Monetary Fund (IMF) forecasts from 14 April 2020.

The current government's economic policy-making and management have been generally positive. However, these policies have not been able to deal with some of the country's structural problems. Government debt is still high at 59.9% and the cost of debt service (nearly 14% of revenues) will continue to burden spending. In the next couple of years, public debt is expected to increase, hitting 64.2% in 2020 and 67.9% in 2021.

Even though the government is investing in economic reforms, the financial situation of public companies, especially Eskom, poses a risk to public finances. The government was obliged to increase its financial support to Eskom to enable the company to remain solvent. As a result, the debt burden is expected to continue to increase.

Furthermore, the country's budget deficit reached 4.8% by the end of 2019 – a nearly two-decade high – as a weak economy leads to revenue shortfalls while bailouts for state-owned companies strain public finances. The IMF anticipates the 2020 budget deficit to be 4.9%, which is expected to increase to 5.1% in 2021. Inflation fell to 4.1% during that same period, compared to 4.6% in 2018, but it should decrease to 2.4% in 2020 and increase to 3.2% in 2021, according to the latest World Economic Outlook of the IMF (14 April 2020).

South Africa's unemployment rate increased slightly in 2019, reaching 28.7% against 27.1% in 2018. This trend is expected to be heavily affected by the negative economic impact of the COVID-19 pandemic: the rate is currently estimated to increase to 35.3% in 2020 and decrease slightly to 34.1% in 2021. The country's unemployment rate remains high, especially when the non-working population, people who are no longer seeking work, is taken into account. Additionally, unemployment rates are much higher among the young population and the black majority of South Africans, further increasing the inequalities in a country considered one of the most unequal in the world, where part of the population still lives on one Euro per day and an estimated 7.2 million people – about 19% of the population – are infected with HIV. Life expectancy has been increasing, however, and HIV infection rates are expected to decrease.

Main Indicators	2018	2019	2020 (e)	2021 (e)	2022 (e)
<b>GDP (billions USD)</b>	368.14	351.35e	282.59	317.19	346.56
<b>GDP (Constant Prices, Annual % Change)</b>	0.8	0.2	-8.0	3.0	1.5
<b>GDP per capita (billions USD)</b>	6	5e	4	5	5
<b>General Government Balance (in % of GDP)</b>	-3.5	-4.8	-9.1	-7.9	-5.9
<b>General Government Gross Debt (in % of GDP)</b>	56.7	62.2	78.8	82.8	85.7
<b>Inflation rate (%)</b>	4.6	4.1	3.3	3.9	4.3
<b>Unemployment rate (% of the labour force)</b>	27.1	28.7	37.0	36.5	37.0
<b>Current account (billions USD)</b>	-13.06	-10.60	-4.58	-5.66	-6.19
<b>Current account (in % of GDP)</b>	-3.5	-3.0	-1.6	-1.8	-1.8

Source: IMF – World Economic Outlook Database, October 2020

(e) Estimated data

### 3.1.1 Macroeconomic impact of COVID-19 pandemic in South Africa

Following the spread of COVID-19 from China to various parts of the world in the first quarter of 2020, South Africa responded by implementing a Level Five national lockdown, effective 26 March 2020, to minimise the spread of the disease. Economists, however, generally agree that the South African economy will be adversely affected in the short, medium and long run, not necessarily because of COVID-19, but because of the nature of government's response.

While South Africa's gross government debt-to-GDP ratio was roughly equal to emerging market economies' average in 2019, the domestic debt trajectory is seemingly at risk. South Africa's public debt (as a ratio of GDP) increased by 33 percentage points between 2008 and 2019. At the beginning of 2020, projections pointed to a further increase in the debt stock, from the current level of 61.6% of GDP to 71.6% of GDP in 2023. However, the debt stock is likely to increase much faster than anticipated in light of the fiscal stimulus measures announced by the National Treasury in April 2020, aimed at mitigating the economic impact of the lockdown. According to the IMF projections, the gross government debt-to-GDP ratio will reach 85.6% of GDP by the end of 2021.

As the debt service cost of government continues to increase, which accounts for 13% of government expenditure and 16.4% of revenue in the 2020/21 budget, the National Treasury projects that the debt service burden will rise to 15% of expenditure by 2023 as interest payments are the fastest-growing component of the budget. As pressure on the fiscus increases, the rising interest bill is likely to crowd out other social and investment spending priorities. This, in turn, may adversely affect longer-term economic growth prospects, as improvements in the provision of health care, education and infrastructure provide the basis for future GDP growth. Once COVID-19 has been contained, a growth-friendly fiscal consolidation will be necessary to address the rise in public debt. If government debt continues to increase unabated, the government may face debt service challenges, which could have serious implications for financial stability.

After this year's projected contraction at the hands of the COVID-19 pandemic, the economy is seen rebounding in 2021 as domestic and foreign demand revives. That said, high unemployment and persistent electricity shortages are likely to weigh on growth, while frail fiscal metrics and a ballooning public debt stock pose additional risks. Focus Economics panelists see the economy expanding 3.6% in 2021 and 2.5% in 2022.

Even before the COVID-19 pandemic, South Africa's economy has mostly been under pressure characterised by a lower-than-expected growth rate, high structural unemployment, and unsustainable poverty levels. Therefore, the economic recovery will take time despite the improving sentiment.

The estimates of the South African Reserve Bank and Statistics South Africa are that economic expansion is projected at 1.7% in 2020 and 1.8% in 2021 respectively, noting that while measures to tackle corruption, strengthen procurement and eliminate wasteful expenditure were welcomed, further reforms are needed to increase policy certainty, improve the efficiency of state-owned enterprises, enhance flexibility in the labour market, improve basic education and align training with business needs.

### 3.1.2 Corruption on the rise

In its Annual Report 2020, Corruption Watch, a non-governmental organisation representing civil society, recorded that only 2 153 people among the world's billionaires have more wealth than 4.6 billion people. In addition, in the report entitled *Unpaid and Underpaid work and the Global Inequality Crisis* released by OXFAM in January 2020, the shocking reality of inequality in 2019 was revealed. With the addition of the COVID-19 pandemic in 2020 the situation is expected to get worse in 2021 and beyond.

In South Africa, there is now an increased focus on those institutions and sectors whose goods and services are vital to the poorest South Africans and the most marginalised communities. Institutions such as Eskom, Transnet, Prasa, the health services and SAPS have become some of the focus areas in the fight against corruption. Furthermore, the fight against corruption, maladministration and malpractice is taking on those who have robbed mining communities of the royalties to which they are entitled.

All these developments in the environment, and the escalating corruption scourge, renders the mandate of the SIU more pertinent and burdens the Unit with a greater responsibility to strengthen its resolve in tackling it, amid a huge public outcry and expectation to see relevant State institutions holding wrongdoers accountable.

While corruption is at the heart of many of these events, people despite their circumstances, and the failure of those with power to honour any kind of social contract, continue to report corruption and seek justice and accountability. More and more people are willing to risk everything to help uncover corruption, corrupt systems and individuals to bring about lasting change. Corruption Watch also reported that since 2012 about 28 196 whistleblower reports have been received and between 2019-2020 alone there were 3 694 whistleblowing reports, averaging 10 reports per day.

The year 2020 has seen an increase in whistleblower reports about corruption within the national, provincial and local government as well as the private sector, with the police services, the schooling sector, the health sector and the mining industry being the hotspots for corruption.

### 3.1.3 Key challenges and opportunities

The implication of this challenging macro environment is that the SIU needs to deploy its limited resources optimally in pursuit of its mandate, requiring efficiency, effectiveness and economy in its operations and management. The updates to the macro environment as reflected above have an impact on the functioning and operations of the SIU as follows:

<b>Political environment</b>	<ul style="list-style-type: none"> <li>• Due to the various commissions in place, South Africa has become an environment conducive to fighting corruption, which strengthens the role and the hand of the SIU in its efforts to discharge its mandate.</li> <li>• Our multiparty democracy formations and Constitutional structures continue to exercise necessary oversight, safeguarding the interests of the State and citizens.</li> <li>• It is important that the Unit is seen to be upholding the values of integrity and transparency so that its work and intentions in discharging its duties are beyond reproach.</li> </ul>
<b>Impact on strategy</b>	<ul style="list-style-type: none"> <li>• Political support is vital to law enforcement agencies. Without political will, public perception of the Unit's impact will always be skewed.</li> </ul>
<b>Economic environment</b>	<ul style="list-style-type: none"> <li>• An environment where there are limited resources and many competing for few opportunities creates a high-risk environment for malfeasance and maladministration to take place.</li> <li>• Therefore, given these economic factors, the SIU has to be resourced adequately, and the Funding Model in the Act needs to be amended so the SIU is able to conduct its investigations more effectively.</li> </ul>
<b>Impact on strategy</b>	<ul style="list-style-type: none"> <li>• If the SIU is not given enough funds, the Unit will be unable to progress with investigations. Therefore, the Funding Model in the Act needs to be amended so the SIU is not financially crippled and unable to conduct investigations effectively.</li> </ul>
<b>Social environment</b>	<ul style="list-style-type: none"> <li>• South Africa continues to grapple with gender inequality, with women's participation in the economy remaining very low even though they are the majority in the population, increasing their vulnerability to acts of corruption.</li> <li>• Among the country's youth population of an estimated at 17.8 million, 56.4% are unemployed and likely unemployable. It is these factors that motivate the work of the SIU to contribute ultimately to gender equality and youth empowerment.</li> <li>• The SIU will be aligning its reporting to reflect the impact of its work on these key indicators, and internally the Unit's work will be underpinned by inclusive participation of marginalised communities.</li> <li>• Young people have to be active in the fight against corruption. The mass looting of public funds, and impunity within both the public and private sectors, will result in the next generation inheriting a society that is more unequal and unjust than it is now.</li> <li>• Unaddressed systemic inequality, widespread abuse of State funds and public power, and constrictive economic policies have posed a major obstacle to achieving social, political and economic transformation in our country. As a result, not only are young people victims of corruption, but they are becoming perpetrators too. Normalised and condoned corrupt behaviours will lead to a generation viewing corruption as an accepted practice to obtain goods and services or to avoid consequences.</li> </ul>
<b>Impact on strategy</b>	<ul style="list-style-type: none"> <li>• The Unit has to be aware of public perception and stakeholder engagements. The SIU's communication strategy should foster a positive public perception of the Unit's work and its impact. The fact that the SIU relies on the public to report crimes and cannot move without them is a risk on its own.</li> </ul>

<b>Legal environment</b>	<ul style="list-style-type: none"> <li>• South Africa boasts a highly independent judiciary able to do its work without fear or favour.</li> <li>• Another strength in the system is the country's inflexible Constitution, which makes it extremely difficult to easily tamper with. This creates stability in the legislative environment necessary for the work of agencies such as the SIU to operate without interference.</li> <li>• However, there is an opportunity to strengthen the enabling legislation, the Special Investigation Units and Special Tribunals Act 74 of 1996. A review has been proposed of Section 2 on the proclamation process which, to some extent, unintentionally hamstrung the SIU in taking decisive steps in initiating investigations where corruption has been flagged through Auditor-General reports, whistleblowing and other credible channels. The ability of the SIU to act without seeking a proclamation for each investigation will improve its effectiveness and turnaround times, demonstrating to the citizenry government's commitment to fighting corruption. Enabling legislation needs to support efficiency and effectiveness in the execution of the corruption-busting mandate.</li> <li>• A positive factor and unique value proposition for the SIU out of this legislation is the civil litigation powers and establishment of Special Tribunals to expedite the adjudication of civil matters emanating from the investigative processes. Significant recoveries of money and assets lost have been made through civil litigation in the past and, going forward, more recoveries are expected with the establishment of the Special Tribunal.</li> </ul>
<b>Impact on strategy</b>	<ul style="list-style-type: none"> <li>• If the courts are not able to deal with SIU matters, SIU deliverables will be affected.</li> </ul>

## 3.2 Internal environment

### Performance delivery environment

Moving into 2021/22, the focus is to ensure a SIU that is well able to support the focus of the fight against corruption, which is specifically orientated towards *"Ridding society of fraud and corruption in State institutions"* and the priorities of the SIU.

Core to this contribution is how the Unit is structured as an organisation and the quality and commitment of the talent pool it attracts. The organisational structure, which consists of the three programmes outlined in the figure below, is underpinned by the value chain of the Unit's core business. This is designed to ensure that the SIU optimises its resources towards the effective execution of its mandate and attaining its vision to be the State's preferred provider of forensic and civil litigation services.

#### 3.2.1 SIU programmes and core responsibilities

The programmes are structured to deliver on the mandate through the strategy-centric approach illustrated in Figure 4 below:



## SIU Strategy-centric approach

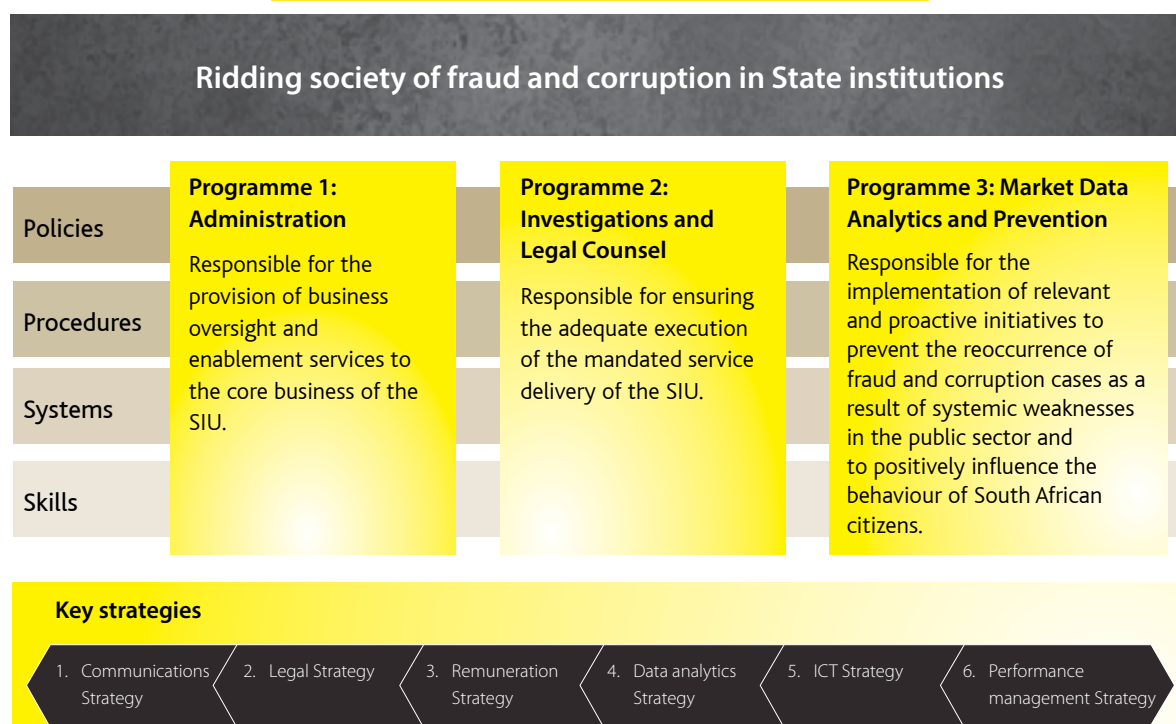


Figure 4: SIU Strategy-centric approach

Source: Peakford Management Consultants as adapted at SIU Strategic Plan

### 3.2.2 Operating model

During the strategic planning session held 7-8 December, a need to establish an effective in-house public service legal practice was identified and discussed. The ideal legal practice should consist of:

- » An attorneys component
- » Internal counsel component
- » Legal practice component.

The legal practice should operate on both an outsourced model (where external counsel is briefed to conduct actual litigation) and an insourced model (where the internal counsel component would deal with the actual litigation of lower-risk and lower-value cases).

The legal practice will require a minimum of nine senior members and current practicalities do not allow for the recruitment of the specific resources required. In the absence of the required staff needs, the current operational model is one of outsourcing the actual litigation to members of the bar. Currently, only the services of the Chief Legal Counsel and one Senior Manager are available to the Civil Litigation section. The need remains for Principal Forensic Lawyers to continue to assist with civil matters identified as part of their forensic legal work and thus to straddle the investigative field and the civil litigation space.

Furthermore, as part of the SIU's revised operating model and value chain, the SIU seeks to provide additional services in the following areas:

## **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.

As alluded to above, the SIU aims to establish the capability to become a service provider to government or State institutions, communicating the results from data analysis, for the government to make strategic decisions and improve processes.

The SIU further aims to establish such public education services. By proactively informing and educating citizens, the SIU bolsters support in the fight against corruption. Establishing advisory services to State institutions and organisations will be another vital facet of the SIU's preventative measures. These services will focus on the following:

### **Enhancing public sector processes**

Past investigations have identified challenges and gaps in systemic and standard operating procedures that apply to various organisations. Therefore, applying learnings across State institutions may assist in ensuring that similar instances do not recur. The proposed SIU services include the development of collaborative prevention plans and strategies to avoid the recurrence of similar fraud, corruption and maladministration cases.

### **Education and awareness**

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 (including systems) that may be susceptible to fraudulent practices, corruption or maladministration. In addition, the 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.

### **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 (MDA) section is to supply sector data, knowledge and information internally and to other institutions via formal service level agreements. MDA is one of the key services that differentiate the SIU from other market role players. The SIU's Market Data Analytics services will add value and realise cost savings to other organisations by using data that is:

- » 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
- » Supplemented with information regarding risk and mitigation plans.

To provide these types of analyses, varying levels of analysts throughout the organisation require access to an analytics platform that will enable the user to retrieve, access and join data from a variety of sources and provide simple statistics to descriptive, prescriptive and predictive models.

### 3.2.3 Funding model

The current funding model has over the last few years consistently proven that it is not sustainable in the many State institutions, especially in the local government sphere, where municipalities simply do not have the funding to pay the SIU for investigation services rendered. The SIU has, together with the Department of Justice and Correctional Services, engaged with National Treasury during the third quarter of 2020/21, and will further engage in the 2021/22 financial year, with a view to amending it to be more sustainable for the SIU and the government institutions that it is servicing. If final changes can be agreed, they will find their way into legislative changes if necessary. Below are the options needing consideration in trying to deal with the financial challenge:

- » Increase government funding for the operational cost of the SIU to at least 70%-80%.
- » Explore the issue of centralised invoicing (centralise those funds that would be paid) either with the National Treasury or the Presidency. It could even be with the Minister of Justice; however, while that could be possible at national government level, the matter gets intricate at the level of provincial governments, as they have their own financial systems.
- » Another possibility would be for National Treasury to assist in paying the debt for the municipalities.

### 3.2.4 Information Communication Technology

The three-year ICT strategy starts with a stabilisation phase, investing in information technology infrastructure, creating a platform from which future growth can be enabled. Significant strides were achieved in this financial year with the successful deployment of end-user devices (laptops) across the organisation. Some of our regional sites had their local area network (LAN) upgraded in preparation for the complete overhaul and upgrade of our wide area network (WAN) infrastructure to high speed.

The **optimisation** phase focuses on removing duplication of systems and complexity from the business processes to improve operational efficiencies. Some of our processes and manual forms were automated and major system development and enhancements on our core Case Management System (CMS) were done.

The **digitisation** phase enables the organisation to realise digital transformation and leverage what the Fourth Industrial Revolution (4IR) has to offer. This entails implementing market data analytics, artificial intelligence, machine learning and blockchain technologies. Significant strides have been made in getting the market data analytics capability in place.

Our investigators are equipped with the ability to securely access our internal systems over the network from anywhere. This is enhancing the quality of our investigations and improving our turnaround times, enabling the 'business anywhere' culture which is at the heart of any high-performance organisation.

The use of data analytics tools will be a game-changer in the fight against corruption and as the SIU our focus is on building this capability to take us to the next level.

### **3.2.5 Stakeholder Relations and Communications**

The Stakeholder Relations and Communications department in the SIU is tasked with the implementation of the SIU communication and stakeholder-relations strategy and acts as an advisory body on communication and media-related issues.

The SIU seeks to position its brand as:

- » Independent
- » Free from political influence or interference
- » Operating with integrity.

The objectives of the Stakeholder Relations and Communications department of the SIU are to:

- » Facilitate and strengthen communication with internal and external stakeholders
- » Maximise face-to-face communication with stakeholders
- » Strengthen relations with the media
- » Enhance corporate identity and the image of the SIU
- » Raise awareness of the SIU's processes and services
- » Profile the SIU's investigation outcomes and successes
- » Ensure effective campaigns and outreach initiatives.

Therefore, the SIU with regard to stakeholders will:

- » Embark on extensive stakeholder education on SIU processes and services
- » Capacitate all managers to be responsible for stakeholder management
- » Have the heads of provinces be responsible for maintaining stakeholder engagement in provinces
- » Provide constant communication and feedback to stakeholders
- » Regularly engage with stakeholders on systematic recommendations.

### 3.3 Organisational environment

#### 3.3.1 Human capital environment

In support of the SIU's focus areas and priorities, and with an organisational theme of *Accelerating our performance for enhanced social justice and relevance*, in planning for 2021/22 the SIU reflected on its internal organisational environment, with a specific focus on the findings arising from the reflections on the outcomes of the Employee Engagement Survey. From this survey, the SIU established that most of the staff was contributing constructively and positively and, overall, the organisation's values and culture were promoted well. There is, however, an element of disengagement with some of the employees and that was flagged as an area of improvement, as it could hamper the productivity of other employees.

The SIU Human Capital department seeks to enhance a healthy, motivated and high-performing workforce culture. A major shift in the scope of responsibilities requires identification of key capabilities for current and future pipelines during this transition.

Building our own 'timber' continues to be key in the planning process. By the end of the 2021/22 financial year, 43 forensic investigator interns will be absorbed to capacitate SIU investigations.

As part of retaining key and skilled employees, the SIU has prioritised the development and enhancement of skills for all employees. This will also strengthen the SIU's investigative capabilities.

Remuneration strategy and policy remains one of the deliverables of Project Siyakha to be finalised. Moreover, the Unit intends to leverage this positive feedback as it embarks on the next three-year term in its five-year strategy and address those areas that need management and improvement. The organisation is currently undergoing change with the phased implementation of the new organisational structure approved in 2018/19 aimed at addressing under-capacity and operational inefficiencies.

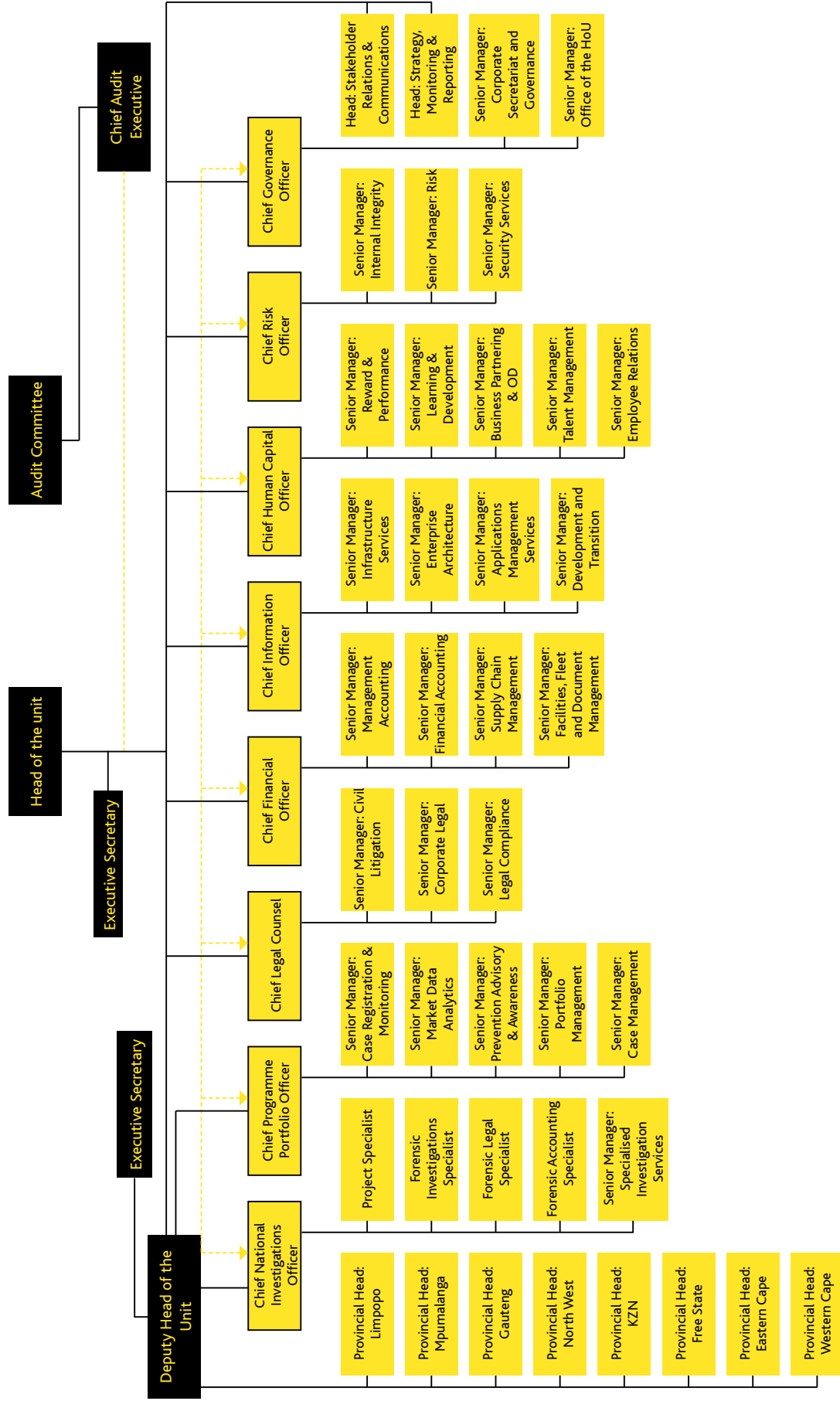
In this regard, key organisational considerations for 2021/22 and this APP are as follows:

Corporate management must be orientated to support the SIU's drive to fight corruption. This requires:

- a) Support to the rest of the organisational transformation processes as espoused by Project Siyakha (e.g. a fast-tracked, but comprehensive, organisational review process/change management process).
- b) Consistently demonstrating a commitment to sound governance and compliance across the Unit by, among other things, managing the vacancy rate and removing unfunded posts from the organisational structure.
- c) Maximising the effort to achieve targets through:
  - i. Improved turnaround times of investigations.
  - ii. Monitoring the implementation of SIU referrals and consequence management.

### 3.3.2 Top-level management structure

Figure 5: SIU top-level management structure









PART C

# MEASURING OUR PERFORMANCE

#### 4. Programme 1: Administration

<b>Programme 1</b>	<b>Administration</b>
Purpose	To provide business oversight and enablement services to the core business units of the SIU.
<b>Sub-programme 1</b>	<b>Financial Management</b>
Purpose	To provide financial management, asset management, facilities and supply chain management services.
<b>Sub-programme 2</b>	<b>Human Resource Management</b>
Purpose	To undertake human resources planning and provide provisioning services.
<b>Sub-programme 3</b>	<b>Information Technology and Communication (ICT)</b>
Purpose	To provide information communication and technology management services.
<b>Sub-programme 4</b>	<b>Enablement Services</b>
Purpose	To render services in areas of stakeholder management, strategic planning, monitoring and reporting corporate governance, corporate legal and the Office of the Head of Unit (HOU).
<b>Sub-programme 5</b>	<b>Assurance</b>
Purpose	To render internal audit, risk management and internal integrity services.

#### 4.1 Outcomes, outputs, performance indicators and targets

Outcome 1	Outputs	Output indicators	Audited / actual performance			Estimated performance	Medium-term targets		
			2017/18	2018/19	2019/20		2020/21	2021/22	2022/23
A compliant, high performance SIU that is well capacitated to rid society of corruption, maladministration and fraud in State institutions.	Good governance and controls environment for positive audit outcomes.	Maintain an unqualified overall AG audit outcome.	Clean audit	Clean audit	Clean audit	Unqualified audit outcome	Unqualified audit outcome	Unqualified audit outcome	Unqualified audit outcome
	Develop and deploy a plan to leverage data analytics to create a globally competitive data-driven high-performance organisation.	Implementation of an approved ICT project plan for data analytics capability.	New	New	New	New indicator	Implementation of Phase 1 Data Analytics milestones planned.	Implementation of Phase 2 Data Analytics milestones planned.	Implementation of Phase 3 Data Analytics milestones planned.
	Low employee turnover rate maintained.	Employee turnover rate.	New	New	New	New indicator	5%	5%	5%
	SIU stakeholder engagement and awareness initiatives.	Number of stakeholder engagements and awareness campaign initiatives conducted.	New	New	New	New Indicator	3	3	3

#### 4.1.1 Quarterly targets

Output indicators	2021/22 Annual target	Quarterly targets			
		Q1 Apr - Jun 2021	Q2 Jul - Sep 2021	Q3 Oct - Dec 2021	Q4 Jan - Mar 2022
1.1 Maintain an unqualified overall AG audit outcome on previous year's financial performance.	Maintain an unqualified overall AG audit outcome.	-	Unqualified audit outcome	-	-
1.2 Implementation of an approved ICT project plan for data analytics capability.	Implementation of Phase 1 data analytics milestones planned for 2021/22 FY.		Progress report for Phase 1 milestones completed as at 30 September 2021.		Progress report for Phase 1 milestones completed as at 31 March 2022.
1.3 Employee turnover rate.	5%	-	2.5%	-	5%
1.4 Number of stakeholder engagements and awareness campaign initiatives conducted.	3	1	1	1	-



## 4.2 Outcome 1: Explanation of planned performance in the medium term

The SIU recognises its critical role in providing a conducive working environment and administrative support geared towards optimising the individual business performance for the cumulative organisational performance growth trajectory. As part of improving the working environment, over the Medium-Term Expenditure Framework (MTEF) period the focus will be on determining the SIU's ability to retain key and skilled employees. This will enable the SIU to optimise the effectiveness of the organisation's engagement and retention initiatives and drive action to improve performance. Staff turnover rate (termination) will also assess the SIU's sustainability, productivity, replacement cost and alignment to budget projections and/or constraints.

To optimise and enhance organisational performance, the SIU needs to leverage the latest cutting-edge technology for effective operations to transform the Unit into a globally competitive organisation that effectively fulfils its role, for the citizens of the country and in the international context. The success of the SIU in this era of dynamic technological advancements depends on its ability to equip its own operations and train all its personnel in new digital methods of conducting investigations.

The SIU has developed a three-year ICT plan that will be rolled out in three phases. The first phase will be the **stabilisation phase** that will focus on investing in IT hardware and software infrastructure by creating a platform from which future growth can be enabled. The second phase will be the **optimisation phase** that will focus on removing duplication of systems and complexity from the business processes and introducing systems that make business operations easier. The third phase will be the **digitisation phase** that will enable the organisation to leverage what the 4IR digital transformation has to offer.

The Market Data Analytics capability project has been selected as a priority over the next MTEF period to assist the SIU to perform multi-disciplinary data-driven investigations and analytics and to boost its capability to conduct investigations. This project will be a disruptive innovation and the SIU will need to be strategic about its successful deployment. It will require building a team with the right skills, dealing with data and algorithmic ethics, creating data models, integrating new technologies with legacy systems and meeting regulatory or compliance requirements, among other things. Sound data governance, data management and data quality supporting processes will have to be established.

Stakeholder relations is critical to the Unit's effective discharge of its mandate. This is heavily dependent on a well-articulated and implemented stakeholder strategy that the Unit has developed. Among other things, the stakeholder plan seeks to:

- » Facilitate and strengthen communications with internal and external stakeholders
- » Maximise face-to-face communication with stakeholders
- » Strengthen relations with the media
- » Enhance the corporate identity and image of the SIU
- » Raise awareness of the SIU's processes and its services
- » Profile the SIU's investigation outcomes and successes
- » Ensure effective campaigns and outreach initiatives.

In consideration of the changing macro and micro environment, to remain relevant, the SIU conducted the 2021-2022 APP planning session on 7-8 December 2020, wherein the Unit reviewed **Programme 1: Administration**, and agreed that certain KPIs that were previously reflected in the 2020-21 APP be removed and measured at an operational level.

The SIU continues to support other government interventions, such as the minimum 30% budget procurement from the designated groups through the set-aside procurement plan. However, some of these interventions are excluded from this APP and are only reflected in the Operational Plans. This is due largely to the current shortcomings in the Central Supplier Database (CSD) in factoring in these considerations when providing supplier lists for procurement purposes. Related endeavours in the operational plans include the payment of all valid supplier invoices within 30 days and the speedy resolution of internal disciplinary matters.

### 4.3 Programme resource considerations

	Audited outcome			Approved budget	Medium-term estimates		
Description	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
<b>Revenue</b>							
Sale of goods and services other than capital assets	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Other non-tax revenue	349 500	357 099	368 877	421 622	436 878	452 060	454 796
Transfers received	22 531	35 631	44 061	33 031	35 663	38 515	41 597
<b>Total revenue</b>	<b>372 031</b>	<b>392 730</b>	<b>412 938</b>	<b>454 653</b>	<b>472 541</b>	<b>490 575</b>	<b>496 393</b>
<b>Expenditure</b>							
Compensation of employees	81 073	89 380	77 259	124 584	180 413	202 642	221 437
Goods & services	144 357	102 768	47 595	45 811	42 889	23 948	35 859
Depreciation	6 964	7 315	7 077	22 626	28 250	30 161	32 573
<b>Total expenditure</b>	<b>232 394</b>	<b>199 463</b>	<b>131 931</b>	<b>193 021</b>	<b>251 552</b>	<b>256 751</b>	<b>289 869</b>
<b>Surplus/Deficit</b>	<b>139 637</b>	<b>193 267</b>	<b>281 007</b>	<b>261 632</b>	<b>220 989</b>	<b>233 824</b>	<b>206 524</b>
<b>Capex</b>	<b>4 388</b>	<b>6 362</b>	<b>17 519</b>	<b>42 000</b>	<b>50 000</b>	<b>23 000</b>	<b>50 000</b>

#### 4.3.1 Budget/financial performance

Grant revenue is projected to increase at an average annual rate of 2.6% over the MTEF period, from R421.6 million in 2020/21 to R454.7 million in 2023/24, although the allocation is at the sole discretion of National Treasury.

The Administration Programme is allocated an average of 25.3% of the SIU's total budget over the MTEF. The main purpose of the programme is to provide business oversight and enablement services to the core business units within the SIU.

The increase in capital expenditure over the MTEF is mainly due to the planned acquisition of ICT systems, in line with the SIU's business strategy. This investment is made with the aim of achieving organisational efficiency after the rollout of ICT enterprise architecture and supporting ICT systems,

including an automated case management solution that will allow for the central registration and monitoring of all matters under investigation.

In addition, the SIU is in the process of procuring an office building for the Pretoria/Head-Office Region. The surplus funds rolled over from the previous financial years will be used to ensure these projects materialise.

#### 4.4 Updated key risks

Outcome 1	Key risks	Rating	Risk mitigation
A compliant, high-performance SIU that is well-capacitated to rid society of corruption, maladministration and fraud in State institutions.	<b>A. Inadequate human resources capacity to execute and meet the growing demand of SIU forensic and litigation services, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Inflexible remuneration model.</li> <li>2. Inadequate financial resources to fill vacant positions.</li> <li>3. Critical skills scarcity and shortage in the market.</li> <li>4. Failure to build capacity for succession to ensure positions are filled internally.</li> <li>5. Dispute on recruitment process between management and labour.</li> <li>6. Slow and inflexible recruitment practices make it difficult to timeously conclude recruitment.</li> <li>7. Limitation imposed by transformation requirements (Employment Equity and persons with disabilities).</li> <li>8. Unavailability of recruitment panel members.</li> </ol>	I	<ol style="list-style-type: none"> <li>1. Review the SIU remuneration policy.</li> <li>2. Develop a fully costed SIU resources plan.</li> <li>3. Continuous review of the appointed panel of experts to align with critical skills required by the organisation.</li> <li>4. Develop a succession plan to build a pipeline for internal capacity.</li> <li>5. Invoke dispute resolution where there is no agreement between management and labour on recruitment.</li> <li>6. Review the Employment Equity plan to reflect strategic skills or groups required by the organisation.</li> <li>7. Develop and communicate the recruitment schedule in advance to panel members.</li> </ol>
	<b>B. Insufficient preparedness to respond to physical threats to investigators and security breaches, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Lack of a fully resourced Security department.</li> <li>2. Outdated security systems.</li> <li>3. SIU rented building layouts are not conducive to implementation of Integrated Security System.</li> <li>4. The SIU does not have an approved security policy (personnel and physical security).</li> <li>5. Sensitive or high profile investigations.</li> </ol>		<ol style="list-style-type: none"> <li>1. Fill vacant positions by appointing Regional Security Managers.</li> <li>2. Appoint a service provider to implement the approved SIU Integrated Security Plan.</li> <li>3. Ensure that security specifications are part of procurement for all SIU buildings.</li> <li>4. Develop and implement a SIU Security Policy.</li> <li>5. Develop and implement an Employee Assistance and Protection Policy.</li> </ol>

Outcome 1	Key risks	Rating	Risk mitigation
	<b>C. Inability to financially sustain SIU operations in the short and medium term due to shortcomings in funding model, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Conflict of interest (senior officials investigated are expected to approve payments to the SIU).</li> <li>2. SIU investigations are not budgeted for by public institutions.</li> <li>3. Some of the municipalities are insolvent.</li> <li>4. Inadequate government grant that accounts for 60% of SIU budget failure.</li> <li>5. Inability to collect all revenue due to SIU as per PFMA 51 (b) (i).</li> </ol>	II	<ol style="list-style-type: none"> <li>1. Negotiate with National Treasury for SIU investigations to be funded from a centralised budget.</li> <li>2. Review SIU funding model to ensure sustainability.</li> <li>3. Non-payments by municipalities escalated to CoGTA and National Treasury.</li> <li>4. Continuous engagement with National Treasury to increase the SIU grant.</li> <li>5. Continuous monitoring of compliance with SIU Debt and Revenue Management Policy.</li> <li>6. Review SIU charge-out rates for investigations.</li> </ol>
	<b>D. Inadequate management of employees' performance through an output-based system, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Input-based performance management system.</li> <li>2. Individual development plans are not aligned to performance.</li> <li>3. Performance management contracts are not in place for all employees.</li> <li>4. Insufficient knowledge of the performance management system.</li> <li>5. Disagreement between management and labour on the performance management system.</li> </ol>	II	<ol style="list-style-type: none"> <li>1. Review SIU Performance Management Policy.</li> <li>2. Align individual development plans to performance.</li> <li>3. Ensure that all employees sign performance management contracts.</li> <li>4. Conduct training and awareness on the performance management system.</li> <li>5. Invoke dispute resolution where there is no agreement between management and labour on performance management.</li> </ol>

Outcome 1	Key risks	Rating	Risk mitigation
	<b>E. Inability to provide appropriate ICT services across SIU business, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Insufficient ICT human resources capacity.</li> <li>2. Poor maintenance plans for SIU ICT systems (e.g. PIMS, CMS, etc).</li> <li>3. Skills development programmes for ICT personnel are not in place.</li> <li>4. Non-compliance with approved ICT service delivery standards.</li> <li>5. ICT operational risks are not adequately monitored.</li> <li>6. Ineffective disaster recovery (DR) plans.</li> <li>7. Inadequate IT security measures.</li> </ol>	II	<ol style="list-style-type: none"> <li>1. Fill the vacant positions in ICT with qualified personnel.</li> <li>2. Develop maintenance plans for SIU ICT systems (e.g. PIMS, CMS, etc.).</li> <li>3. Develop training plans for ICT personnel.</li> <li>4. Report on the ICT service delivery standards to monitor compliance.</li> <li>5. Convene ICT governance meetings on a quarterly basis to ensure monitoring of ICT risks.</li> <li>6. Implement fully functional and tested SIU disaster recovery sites.</li> <li>7. Monitor ICT security breaches and implement corrective actions.</li> </ol>
	<b>F. Ineffective collaboration with internal and external stakeholders, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Inadequate stakeholder identification and mapping (not aligned to new SIU value chains).</li> <li>2. Insufficient human resources capacity.</li> <li>3. Communication and Stakeholder Management Policy is not in place.</li> <li>4. Lack of media monitoring tools.</li> <li>5. Leaking of information in order to tarnish SIU's image and reputation.</li> <li>6. Inadequate communication and marketing tools.</li> <li>7. Limited budget availability.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Develop the Communication and Stakeholder strategy in line with the new value chain.</li> <li>2. Recruit qualified and skilled personnel in Communication and Stakeholder Relations.</li> <li>3. Ensure that Communication and Stakeholder Management Policy is approved.</li> <li>4. Procure communications and media monitoring tools.</li> <li>5. Institute disciplinary action for breach of code of conduct.</li> <li>6. Procure communications equipment and material (video camera and design tools).</li> <li>7. Motivate for the increase of the Communications and Stakeholder Relations budget.</li> </ol>



Outcome 1	Key risks	Rating	Risk mitigation
	<p><b>G. Failure to provide appropriate monitoring and evaluation services on organisational performance, due to the following factors:</b></p> <ol style="list-style-type: none"> <li>1. Late submission of inputs to plans and performance reports.</li> <li>2. Inadequate human resource capacity in Strategy, Monitoring &amp; Evaluations (SMR).</li> <li>3. Lack of effective performance monitoring and evaluation tools.</li> <li>4. Non-compliance with business planning policies and procedures.</li> <li>5. Inadequate capacity to develop business plans.</li> <li>6. Inadequate quality assurance on business plans.</li> <li>7. Insufficient training on business planning and performance monitoring.</li> <li>8. SMR organogram is not adequately capacitated.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Appoint performance reporting champions to support and coordinate business reporting.</li> <li>2. Fill the vacant position of the Officer in SMR.</li> <li>3. Monitor compliance through the approved checklist for performance monitoring reports.</li> <li>4. Review the business planning checklist.</li> <li>5. Facilitate formal business planning and training of performance reporting champions.</li> <li>6. Conduct business planning and reporting reviews with business units' executives.</li> <li>7. Conduct business planning and reporting information awareness sessions.</li> <li>8. Review organogram for SMR.</li> </ol>
	<p><b>H. Failure to ensure compliance with all regulatory requirements applicable to the SIU, due to the following factors:</b></p> <ol style="list-style-type: none"> <li>1. Inadequate human resources capacity to implement compliance management.</li> <li>2. Lack of training and awareness on SIU compliance requirements.</li> <li>3. Non-implementation of approved Compliance Management Framework.</li> <li>4. Compliance universe is not approved.</li> <li>5. Compliance risk management plans are not in place.</li> <li>6. Inadequate compliance monitoring.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Fill the vacant position of Senior Manager: Compliance.</li> <li>2. Develop and implement compliance training and communications planning.</li> <li>3. Monitor and report on the implementation of the Compliance Management Framework.</li> <li>4. Review SIU compliance universe and ensure approval thereof.</li> <li>5. Develop Compliance Risk Management Plans (CRMPs).</li> <li>6. Develop a Compliance Monitoring Plan.</li> </ol>

Outcome 1	Key risks	Rating	Risk mitigation
	<p><b>I. Inability to incorporate risk management in all business decision-making and planning processes, due to the following factors:</b></p> <ol style="list-style-type: none"> <li>1. Inadequate understanding of the risk management process.</li> <li>2. Risk owners are not adequately held accountable for non-implementation of risk mitigation plans.</li> <li>3. Risk management is not fully incorporated in business planning and reporting processes.</li> <li>4. Lack of ownership of identified risks by risk owners.</li> <li>5. Insufficient oversight of risk management at business unit level.</li> <li>6. Risk management is not part of the Executives' performance management contracts.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Conduct training and/or raise awareness on risk management.</li> <li>2. Review business planning and reporting templates to incorporate risk management.</li> <li>3. Review the appointed risk champion in line with the new approved organisational structure.</li> <li>4. Monitor and report on non-implementation of risk mitigation plans.</li> <li>5. Require the business units to have risk management as a standing agenda item in their meetings.</li> <li>6. Recommend that Executives' performance management contracts include risk management.</li> </ol>
	<p><b>J. Inability to render effective internal audit services to enhance control environment in the organisation, due to the following factors:</b></p> <ol style="list-style-type: none"> <li>1. Lack of internal capacity to conduct internal audits.</li> <li>2. Lack of an approved risk-based audit plan.</li> <li>3. Inability to implement the approved risk-based audit plan.</li> <li>4. Non-compliance with the approved internal audit methodology.</li> <li>5. Failure by management to implement audit outcome recommendations.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Fill the vacant positions of senior auditors to build internal capacity.</li> <li>2. Appoint the new service provider on a co-sourced model.</li> <li>3. Continuously monitor and report on compliance with a risk-based audit plan.</li> <li>4. Conduct training of personnel on areas of improvement.</li> <li>5. Implement the Audit Project compliance checklist.</li> <li>6. Continuous monitoring of compliance with internal audit methodology.</li> <li>7. Continuous one-on-one sessions with departmental audit champions or departments to monitor progress on resolution of audit findings on an as-and-when basis.</li> <li>8. Continuous escalations of non-resolution of audit findings to the HOU prior to quarterly reporting to the Audit Committee.</li> </ol>

## 5. Programme 2: Investigations and Legal Counsel

<b>Programme 2</b>	<b>Investigations and Legal Counsel</b>
Purpose	To ensure the adequate execution of the mandated service delivery of the SIU.
<b>Sub-Programme 1</b>	<b>Central Case Registration and Monitoring</b>
Purpose	<p>To perform the following functions:</p> <ul style="list-style-type: none"> <li>• Centrally register all allegations received.</li> <li>• Management of allegation registration communication channels.</li> <li>• Update the central database to reflect case status.</li> <li>• Centrally ensure relevant external reporting, follow-ups and communication.</li> <li>• Monitoring and evaluation of all remedial action.</li> </ul>
<b>Sub-Programme 2</b>	<b>Case Assessment</b>
Purpose	<p>To fulfil the following roles:</p> <ul style="list-style-type: none"> <li>• Assess the adequacy of corroboratory evidence pertaining to allegations received and assess whether the allegations fall within the statutory mandate of the SIU cases and should proceed.</li> <li>• Analyse case reports.</li> <li>• Scope proclamations and maintain criteria.</li> <li>• Approve all recommended remedial action and Presidential reports.</li> </ul>
<b>Sub-Programme 3</b>	<b>Case Management and Investigation</b>
Purpose	<p>To execute the following functions:</p> <ul style="list-style-type: none"> <li>• Allocate, coordinate and manage internal and outsourced teams.</li> <li>• Develop project strategy; identify and execute necessary actions.</li> <li>• Conduct investigations per focus and specialist areas.</li> <li>• Maintain and monitor investigation standards.</li> <li>• Provide specialist support to investigation teams as and when required.</li> <li>• Execute project governance, reporting and stakeholder management.</li> <li>• Refer evidence pointing to the commission of an offence to the relevant prosecuting authority accompanied by the relevant supporting evidence.</li> <li>• Refer evidence for the institution of disciplinary and/or administrative action.</li> <li>• Refer evidence and recommend remedial action.</li> <li>• Identify performance improvements.</li> <li>• Project closeout and evaluation of the investigation.</li> </ul>
<b>Sub-Programme 4</b>	<b>Forensic Legal and Civil Litigation</b>
Purpose	<p>To deliver the following services:</p> <ul style="list-style-type: none"> <li>• Conduct pre-litigation procedures.</li> <li>• Institute civil proceedings in the Special Tribunal and seek appropriate relief.</li> <li>• Defend or oppose civil proceedings in the appropriate court, where applicable.</li> </ul>

## 5.1 Outcomes, outputs, performance indicators and targets

Outcome 2	Outputs	Output indicators	Audited / actual performance			Estimated performance <sup>1</sup>	Medium-term targets		
			2017/18	2018/19	2019/20		2021/22	2022/23	2023/24
State assets and cash resources are protected from maladministration, fraud and corruption for the realisation of full value-for-money for State programmes.	Civil and other legal proceedings to recover cash and assets and set aside contracts and administrative actions that are deemed to be invalid.	2.1 Rand value of potential cash and/or assets to be recovered.	R298.6m	R33.4m	R345 593 726 <sup>2</sup>	R148m	R300m	R350m	R375m
		2.2 Rand value of actual cash and/or assets recovered.	R33.5m	R103.4m		R60m	R250m	R300m	R320m
		2.3 Rand value of contract(s) and/or administrative decision(s) or action(s) set aside or deemed invalid.	R797m	R999m	R4.33bn	R900m	R1bn	R1.5bn	R 2bn
		2.4 Rand value of potential loss prevented.	R406.6m	R53.4m	R400m	R300m	R500m	R600m	R650m

1 The estimated performance reflected as the planned 2020/21 target.

2 KPI 2.1 & 2.2 were combined in the 2019/20 financial year.

Outcome 3	Outputs	Output indicators	Audited / actual performance			Estimated performance <sup>1</sup>	Medium-term targets		
			2017/18	2018/19	2019/20		2021/22	2022/23	2023/24
Confidence in the governance systems, structures and policies of the State is restored and maintained.	Legal proceedings and other due processes to conclude investigations, refer investigations for necessary action and submit mandatory status reports to the President.	3.1 Number of referrals made for disciplinary action against officials and/or executives.	48	107	638 <sup>2</sup>	150	170	200	215
		3.2 Number of referrals made for administrative action.	269	228		100	115	150	175
		3.3 Number of referrals made to the relevant Prosecuting Authority.	148	331	451	200	225	275	300
		3.4 Number of investigations closed under a published proclamation.	1 556	3 430	2000	1400	1400	1415	1420
		3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings.	R2.7bn	R7.9bn	R2.17bn	R1.6bn	R1.7bn	R1.8bn	R1.9bn
		3.6 Number of cases issued in the Special Tribunal.	-	-	New Indicator	20	25	30	35
		3.7 Number of reports submitted to the Presidency.	15	20	19	15	18	20	25

<sup>1</sup> The estimated performance reflected as the planned 2020/21 target.

<sup>2</sup> KPI 2.1 & 2.2 were combined in the 2019/20 financial year.



### 5.1.1 Quarterly targets

Output indicators	2021/22 Annual target	Quarterly targets			
		Q1 Apr - Jun 2021	Q2 Jul - Sep 2021	Q3 Oct - Dec 2021	Q4 Jan - Mar 2022
2.1 Rand value of potential cash and/or assets to be recovered.	R300m	R50m	R50m	R100m	R100m
2.2 Rand value of actual cash and/or assets recovered.	R250m	R50m	R50m	R75m	R75m
2.3 Rand value of contract(s) and /or administrative decision(s)/action(s) set aside or deemed invalid.	R1bn	R200m	R200m	R300m	R300m
2.4 Rand value of potential loss prevented.	R500m	R100m	R100m	R150m	R150m

Output indicators	2021/22 Annual target	Quarterly targets			
		Q1 Apr - Jun 2021	Q2 Jul - Sep 2021	Q3 Oct - Dec 2021	Q4 Jan - Mar 2022
3.1 Number of referrals made for disciplinary action against officials and or executives.	170	45	40	41	44
3.2 Number of referrals made for administrative action.	115	30	27	28	30
3.3 Number of referrals made to the relevant Prosecuting Authority.	225	110	38	38	39
3.4 Number of investigations closed under a published proclamation.	1400	415	325	325	335

Output indicators	2021/22 Annual target	Quarterly targets			
		Q1 Apr - Jun 2021	Q2 Jul - Sep 2021	Q3 Oct - Dec 2021	Q4 Jan - Mar 2022
3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings.	R1.7bn	R300m	R500m	R600m	R300m
3.6 Number of cases issued in the Special Tribunal.	25	5	7	8	5
3.7 Number of reports submitted to the Presidency.	18	6	5	3	4

## 5.2 Outcomes 2 and 3: Explanation of planned performance in the medium term

As part of the strategic plan, the Unit has crafted a Civil Litigation Strategy and the following strategy statement was agreed upon:

*"In order to achieve appropriate legal outcomes against perpetrators of maladministration and corruption, there is need to increase legal outcomes based on civil proceedings, and ensure that appropriate litigation mechanisms are implemented by accountable civil litigators, in addition to running an exceptional, cost-effective public sector litigation practice, resulting in controlled enforcement and prevention of maladministration, that will contribute to the increase in public money that is available for service delivery."*

The planned Outcome 2 also suggests that inordinate amounts of State resources are lost to corruption and maladministration annually. This is a serious affront to the effort of the State to fast-track socio-economic transformation in a country that is still reeling from the ravages of its past, where there was a grossly skewed distribution of government service benefits.

Various resources referenced for the analysis of the external environment point to an alarming picture of impunity, perceived or real, at all levels of government with regard to both corruption and maladministration. There is an apparent lack of consequence management mechanisms or lack of enforcement where such mechanisms do exist.

While irregular expenditure, unauthorised expenditure and wasteful expenditure may not necessarily be a consequence of corruption, they are at best hallmarks of maladministration and thus fall within the mandate of the SIU. Some of the maladies prevent the State from realising full value for money for its programmes.

As part of the collective effort to deter recurring corrupt activities and maladministration, endeavours to recover cash and assets already lost are as important as those designed to proactively prevent the loss from happening in the first place. To that end, the outputs under this outcome seek to increase the Rand value of cash and/or assets recovered or are potentially recoverable, the Rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid, actual cash and/or assets recovered as well as the Rand value of potential loss prevented. This is at the core of the SIU mandate.

Read in conjunction with the outputs for Outcome 2, the planned performance over the medium period by the SIU under Outcome 3 has the expressed intent to deal with perceptions or the reality of impunity for State corruption and maladministration. The danger of perceived anarchy in handling the public funds is the erosion of confidence in the State's systems and institutions that are meant to combat such criminality. This in turn diminishes the attractiveness of the country as an investment destination, as shown in the situational analysis section.

Part of the planned performance under this outcome is to optimise the use, and therefore the impact, of the Special Tribunal to conclude cases.

It is also important that the SIU complies with the provisions of its founding mandate by ensuring that the Unit reports to the President of the country, who is responsible for issuing proclamations. Resources need to be channeled towards ensuring that this reporting does happen according to the prescripts of the mandate.

The national lockdown due to COVID-19 had an impact on the SIU's operations in the following manner:

- » The closure of offices during the lockdown, specifically in the first quarter, significantly hindered the operations teams' access to State institutions.
- » The closure of the SIU offices also affected and delayed the work of the support functions.

However, with the easing of the lockdown restrictions, the under-achievement was reduced and progress made on the indicators that were not achieved or partially achieved in Q1 and Q2 of the 2021/22 financial year. Due to these challenges and the impact of the COVID-19 pandemic that is still with us, there have been slight changes in targets over the MTEF period in the 2021/22 APP. In addition, most of the investigations in the pipeline are coming to an end in the second quarter of the 2021/22 financial year.

### 5.3 Programme resource considerations

	Audited outcomes			Approved budget	Medium-term estimates		
	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
<b>Revenue</b>							
Sale of goods and services other than capital assets	285 815	255 366	283 436	330 525	470 879	568 085	654 130
Other non-tax revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers received	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total Revenue</b>	<b>285 815</b>	<b>255 366</b>	<b>283 436</b>	<b>330 525</b>	<b>470 879</b>	<b>568 085</b>	<b>654 130</b>
<b>Expenditure</b>							
Compensation of employees	281 012	307 575	348 519	390 125	516 623	630 822	845 906
Goods and services	23 504	95 480	15 762	96 053	110 853	145 642	147 299
Depreciation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total expenditure</b>	<b>304 516</b>	<b>403 055</b>	<b>364 281</b>	<b>486 178</b>	<b>627 476</b>	<b>776 464</b>	<b>993 205</b>
<b>Surplus/Deficit</b>	<b>(18 701)</b>	<b>(147 689)</b>	<b>(80 915)</b>	<b>(155 653)</b>	<b>(156 597)</b>	<b>(208 379)</b>	<b>(339 075)</b>

#### 5.3.1 Budget/financial performance

Project income is planned to increase from R330.5 million in 2020/21 to R654.1 million in 2023/24, at an average growth rate of 25.1% over the period, although dependent on the number of active proclamations in a particular year. The number and timing of proclamation approvals is not within the SIU's control and poses a challenge to accurately predict this amount.

The Investigations and Legal Counsel Programme, whose main objective is to ensure the execution of the SIU's mandate, is allocated an average of 71.5% of the SIU's total budget over the MTEF. This programme is responsible for the core functions of the SIU, hence the largest percentage of the SIU's budget is allocated to this programme. Due to the functions performed within this programme, which are mainly investigations-related, the personnel expenditure in this programme is projected to increase

from R390.1 million in 2020/2021 to R845.9 million in 2023/2024. The projection in this programme is mainly driven by the anticipated influx in proclamations over the MTEF, for which resources will be required to enable delivery.

#### 5.4 Updated key risks

Outcome 2	Key risks	Rating	Risk mitigation
State assets and cash resources protected from maladministration, fraud and corruption for the realisation of full value-for-money for State programmes.	<b>A. Inability to expedite and timeously conclude civil matters and other legal proceedings enrolled at the Special Tribunal, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Unavailability of Presiding Officers.</li> <li>2. Inadequate human resources capacity in the civil litigation unit.</li> <li>3. Delays in provision of legal services by State Attorney's Office.</li> <li>4. Heavy schedule and diaries for legal counsel.</li> </ol>	II	<ol style="list-style-type: none"> <li>1. Continuously engage the Special Tribunal Judge-President on the availability of Presiding Officers.</li> <li>2. Fill the vacant positions in the civil litigation unit with qualified and skilled lawyers.</li> <li>3. Initiate a process to appoint the panel of attorneys to avoid delays in provision of legal services.</li> <li>4. Brief other available counsel to ensure that there are no delays in processing civil matters.</li> </ol>
	<b>B. Inability to conduct forensic investigations according to predetermined standards, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. Standard investigations monitoring and/or quality assurance mechanisms are not in place.</li> <li>2. Lack of approved standard operating procedures for investigations.</li> <li>3. Insufficient training on investigation standards and processes.</li> <li>4. Inadequate investigation analytical tools and systems.</li> <li>5. Inadequate forensic investigation skills.</li> <li>6. Poor evidence management (document management).</li> <li>7. Insufficient human resources capacity to conduct investigations.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Develop quality assurance and/or monitoring guidelines for all projects.</li> <li>2. Develop investigation standard operating procedure with clearly defined standards.</li> <li>3. Conduct training and awareness on investigation standard operating procedures.</li> <li>4. Procure adequate investigation analytical tools for data, digital and accounting analysis.</li> <li>5. Conduct a skills audit on forensic investigators/lawyers to determine skills shortage.</li> <li>6. Recruit Senior Manager: Facilities &amp; Documents Management.</li> <li>7. Fill the vacant positions in the forensic investigations space as per the approved structure.</li> </ol>



Outcome 3	Key risks	Rating	Risk mitigation
Confidence in the governance systems, structures and policies of the State is restored and maintained.	<b>A. Failure by State institutions to implement SIU legal recommendations due to the following factors:</b> <ol style="list-style-type: none"> <li>1. The SIU has no powers to enforce the implementation of legal recommendations.</li> <li>2. Inadequate follow-up of implementation of legal recommendations.</li> <li>3. Lack of clearly defined monitoring mechanism for implementation of legal recommendations.</li> <li>4. Lack of human resource capacity in the Monitoring and Evaluation Unit.</li> </ol>	I	<ol style="list-style-type: none"> <li>1. Amend the SIU Act to give a mandate for intervention if the legal recommendations are not implemented.</li> <li>2. Develop MoU with DPME to assist with monitoring the implementation of SIU legal recommendations.</li> <li>3. Develop an internal monitoring mechanism for the process of referrals.</li> <li>4. Develop an external monitoring mechanism for the implementation of disciplinary referrals.</li> <li>5. Fill the vacant positions in the Monitoring &amp; Evaluation Unit with qualified personnel.</li> </ol>
	<b>B. Inability to proactively assist public institutions to prevent corruption and maladministration, due to the following factors:</b> <ol style="list-style-type: none"> <li>1. The SIU has no mandate to instruct public institutions to provide data for analysis purposes.</li> <li>2. Inadequate data analytical software tools.</li> <li>3. Lack of human resources capacity to drive corruption prevention and awareness programmes.</li> <li>4. Corruption awareness and prevention strategies are not in place.</li> </ol>	III	<ol style="list-style-type: none"> <li>1. Amend legislation to allow the SIU to perform prevention programmes and data collection.</li> <li>2. Develop and implement MoUs with public institutions for data collection.</li> <li>3. Implement an adequate technology platform for data warehousing and analysis.</li> <li>4. Develop a Data Policy Framework to ensure adherence to public data protocols.</li> <li>5. Recruit qualified and skilled personnel in the Programme Portfolio Office (Prevention &amp; Awareness and Data Analytics Units).</li> <li>6. Develop and implement prevention and awareness programmes.</li> </ol>

## 6. Programme 3: Market Data Analytics and Prevention

<b>Programme 3</b>	<b>Market Data Analytics and Prevention</b>
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.
<b>Sub-programme 1</b>	<b>Data Analytics</b>
Purpose	<p>To perform the following functions:</p> <ul style="list-style-type: none"> <li>• Collect, collate and analyse relevant internal and external data.</li> <li>• Conduct research, trend, scenario and gap analyses.</li> <li>• Assess the impact of future disruptors on the SIU.</li> </ul>
<b>Sub-programme 2</b>	<b>Case Advisory</b>
Purpose	<p>To fulfil the following roles:</p> <ul style="list-style-type: none"> <li>• Advise the relevant Minister on systemic improvements to avoid recurring cases of fraud and corruption.</li> <li>• Determine sector risk factors based on market data analytics reports.</li> <li>• Examine the practices and procedures of State institutions and public bodies and secure a revision of any that may be conducive to corruption.</li> <li>• Advise, upon the request of private organisations or individuals, on measures to combat fraud and corruption through risk assessments, awareness programmes, identification and detection measures, control improvement and systemic recommendations.</li> </ul>
<b>Sub-programme 3</b>	<b>Prevention and Awareness</b>
Purpose	<p>To execute the following functions:</p> <ul style="list-style-type: none"> <li>• Foster public support for combating corruption and promote education.</li> <li>• Improve the rate at which allegations are reported.</li> <li>• Publicly share data analytics information.</li> </ul>

## 6.1 Outcomes, outputs, performance indicators and targets

Outcome 4	Outputs	Output indicators	Audited / actual performance		Estimated performance	Medium-term targets		
			2017/18	2018/19	2019/20	2021/22	2022/23	2023/24
Corruption, maladministration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence management measures.	Recorded allegations received electronically in a central location to facilitate ease of tracking.	4.1 Percentage of allegations received from the SIU whistleblower hotline centrally recorded for electronic tracking.	-	97%	100%	100%	100%	100%
	Access for the Assessment Committee to duly assess all centrally registered allegations.	4.2 Percentage of centrally registered allegations assessed by the Assessment Committee.	-	100%	100%	100%	100%	100%

### 6.1.1 Quarterly targets

Output indicators	2021/22 Annual target	Quarterly targets			
		Q1 Apr - Jun 2021	Q2 Jul - Sep 2021	Q3 Oct - Dec 2021	Q4 Jan - Mar 2022
4.1 Percentage of allegations received from the SIU whistleblower hotline centrally recorded for electronic tracking.	100%	100%	100%	100%	100%
4.2 Percentage of centrally registered allegations assessed by the Assessment Committee.	100%	100%	100%	100%	100%

## 6.2 Outcome 4: Explanation of planned performance in the medium term

The effectiveness and efficiency of the SIU in executing its mandate arguably begins and ends with information. The better the data gathered, distilled into useful sector intelligence and disseminated timeously to relevant stakeholders, the more effective and efficient the decision-making processes are. This addresses critical evidence-based planning areas that must be underpinned by a firm grasp of sector trends.

The responsibility of the Market Data Analytics (MDA) section is to supply sector data, knowledge and information internally and to other institutions via formal service-level agreements. MDA is one of the key services that differentiate the SIU from other market role players. The SIU Market Data Analytics services will add value and realise cost savings to other organisations by using data that is:

- » 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
- » supplemented with information regarding risk and mitigation plans.

To provide these types of analyses, varying levels of analysts throughout the organisation require access to an analytics platform that will enable the user to retrieve, access and join data from a variety of sources and provide simple statistics to descriptive, prescriptive and predictive models.

Disruptive innovation must provide significance to the SIU brand. The SIU must implement true data-driven investigations. This will improve effectiveness and efficiency, and optimise the use of the SIU's limited but expert resources. The SIU must also leverage machine learning and artificial intelligence to direct investigations, embrace the latest trends in technology, and not be afraid of implementing technology. The changes that 4IR brings must be embraced or the SIU's operations could be left behind and become irrelevant.

To this end, this business unit has an enabler role to fulfil so that the SIU's core business can deliver optimally on its mandate. Furthermore, it shoulders the responsibility to drive learning and growth by studying global best practices in the anti-corruption sector and understanding future predictions and disruptors in this dynamic information era.

The extent to which this programme is equipped will depend on:

- » establishing a business intelligence function
- » acquiring data analytics capability and tools
- » conducting research on global best practice to combat and prevent corruption
- » instituting a function for measuring, monitoring and evaluation.

All work related to generating sector intelligence, for purposes outlined above, needs to be driven through a central point so that there is proper coordination. This will be the role of the Data Analytics

Strategy, which will also cover the complementary technologies. The effectiveness of this strategy will determine how well the SIU uses the central repository to package relevant systemic improvement plans that it seeks to develop in conjunction with targeted State institutions, as an aid to taking necessary precautionary measures against incidents of corruption and maladministration.

The SIU is in the process of issuing a tender to solicit responses from appropriate vendors who can provide data warehousing and management, business intelligence and data analytics platforms that meet the extensive market data analytical needs of the SIU.

A business intelligence and analytics platform for market data analysis would provide a tool that allows varying levels of data analysts to easily analyse, aggregate, model, present and explore various sources of data. The SIU has several high-level expectations that the system will need to provide for, such as data integration, warehousing and mining tools that can accommodate all data sources and formats. The platform must also permit all SIU analysts to access this data and allow for interrogation and integration (adaptable querying by analysts who are not technical experts) with different outputs, such as exceptions and trends reports.

### 6.3 Programme resource considerations

Description	Audited outcomes			Approved budget	Medium-term estimates		
	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
<b>Revenue</b>							
Sale of goods and services other than capital assets	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Other non-tax revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Transfers received	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total revenue</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Expenditure</b>							
Compensation of employees	0.00	2 651	5 722	6 539	11 695	20 922	26 556
Goods and services	0.00	14 714	981	16 346	17 125	14 947	16 142
Depreciation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Total expenditure</b>	<b>0.00</b>	<b>17 365</b>	<b>6 703</b>	<b>22 885</b>	<b>28 820</b>	<b>35 869</b>	<b>42 698</b>
<b>Surplus/deficit</b>	<b>0.00</b>	<b>(17 365)</b>	<b>(6 703)</b>	<b>(22 885)</b>	<b>(28 820)</b>	<b>(35 869)</b>	<b>(42 698)</b>

#### 6.3.1 Budget/financial performance

The Market Data Analytics and Prevention Programme, whose main purpose is the implementation of initiatives to prevent the reoccurrence of fraud and corruption cases because of systemic weaknesses in the public sector, and to positively influence the behaviour of South African citizens, is allocated an average of 3.3% of the SIU's total budget over the MTEF.



Expenditure relating to compensation of employees is projected to increase from R6.5 million in 2020/2021 to R26.5 million in 2023/2024. The cost driver for the increase is mainly the fact that this is a new programme, which needs to be capacitated to ensure that it meets its objectives. Once capacitated, the programme will be able to foster public support in combating corruption, and conduct market research on sector risk factors.

#### 6.4 Updated key risks

Outcome 4	Key risks	Rating	Risk mitigation
Corruption, maladministration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence management measures.	<b>A. Failure to properly register and track all allegations reported to the SIU, due to the following factors:</b> <ol style="list-style-type: none"> <li>Inadequate human resource capacity in the Case Registration and Monitoring Unit.</li> <li>Insufficient monitoring of cases reported via whistleblower line.</li> <li>Case management system (CMS) not performing optimally due to WAN instability.</li> <li>Non-implementation of case registration processes and procedures.</li> </ol>	III	<ol style="list-style-type: none"> <li>Fill positions in the Case Registration and Monitoring Unit with qualified personnel.</li> <li>Develop and implement a monitoring mechanism to track the progress of all reported allegations.</li> <li>Upgrade WAN to ensure that CMS performs adequately.</li> <li>Appoint a service provider who will render maintenance services for the CMS.</li> <li>Monitor compliance with case registration and assessment guidelines.</li> </ol>
	<b>B. Failure to properly assess reported cases or allegations of corruption and maladministration, due to the following factors:</b> <ol style="list-style-type: none"> <li>Non-compliance with case registration processes.</li> <li>Insufficient human resource capacity in the case management unit.</li> <li>Inadequate assurance on case assessment process.</li> <li>Non-compliance with approved case assessment guidelines.</li> </ol>	IV	<ol style="list-style-type: none"> <li>Identify and implement remedial actions for non-compliance with case registration processes.</li> <li>Fill the vacant positions in the case management unit with qualified personnel.</li> <li>Conduct training and awareness on approved case assessment guidelines.</li> <li>Identify and implement remedial actions for non-compliance with case assessment guidelines.</li> </ol>

## 7. Overview of the 2021/2022 budget and MTEF estimates

	Audited outcome	Audited outcome	Audited outcome	Approved budget	Medium-term estimate		
R'000	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
Administration	232 394	199 463	131 931	193 021	251 552	256 751	289 869
Investigations and legal counsel	304 516	403 055	364 281	486 178	627 476	776 464	993 205
Market data analytics and prevention	–	17 365	6 703	22 885	28 820	35 869	42 698
<b>Total expense</b>	<b>536 910</b>	<b>619 883</b>	<b>502 915</b>	<b>702 084</b>	<b>907 848</b>	<b>1 069 083</b>	<b>1 325 772</b>

	Audited outcome	Audited outcome	Audited outcome	Approved budget	Medium-term estimate		
R'000	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
<b>Revenue</b>							
Sale of goods and services other than capital assets	285 815	255 366	283 436	334 080	470 879	568 085	654 130
Other non-tax revenue	22 531	35 631	44 061	33 031	35 663	38 515	41 597
Transfers received	349 500	357 099	368 877	421 622	436 878	452 060	454 796
<b>Total revenue</b>	<b>657 846</b>	<b>648 096</b>	<b>696 374</b>	<b>788 733</b>	<b>944 420</b>	<b>1 058 660</b>	<b>1 150 523</b>
<b>Expenses</b>							
<b>Current expenses</b>							
Compensation of employees	362 085	399 606	431 500	521 248	784 798	946 808	1 090 216
Goods and services	167 862	212 962	64 338	158 210	170 867	184 536	199 299
Depreciation	6 964	7 315	7 077	22 626	28 250	30 161	32 573
<b>Total expenses</b>	<b>536 910</b>	<b>619 883</b>	<b>502 915</b>	<b>702 084</b>	<b>907 848</b>	<b>1 069 083</b>	<b>1 325 772</b>
<b>Surplus/deficit</b>	<b>120 936</b>	<b>28 213</b>	<b>193 459</b>	<b>86 649</b>	<b>36 572</b>	<b>( 10 423)</b>	<b>(175 249)</b>
<b>Capital expenditure</b>	<b>4 388</b>	<b>6 362</b>	<b>17 519</b>	<b>42 000</b>	<b>45 000</b>	<b>23 000</b>	<b>50 000</b>
<b>Staff count</b>	<b>516</b>	<b>532</b>	<b>520</b>	<b>554</b>	<b>668</b>	<b>760</b>	<b>860</b>

## 8. Public entity: Special Investigating Unit

N/A

## 9. Infrastructure projects

N/A

## 10. Public-Private Partnerships

N/A



**PART D**

# **TECHNICAL INDICATOR DESCRIPTIONS**



Indicator title	1.1 Maintain an unqualified overall AG audit outcome
Definition	The results of the audit undertaken annually by the Auditor-General (AG) during the preceding year which factors both financial performance and performance against predetermined objectives or non-financial performance as prescribed by the PFMA.
Source of data	Auditor-General's audit opinion, typically issued during Quarter 2, based on the audit of the previous financial year.
Method of calculation (quantitative) or assessment (qualitative)	Auditor-General's audit opinion on the Annual Financial Statements, as well as on performance information against predetermined objectives.
Assumptions	<ul style="list-style-type: none"> <li>That the desired performance to maintain the current unqualified audit outcome will continually be supported through rigorous internal risk and financial management processes by the finance division, and all SIU personnel.</li> <li>That there are no legislative or policy changes to the current auditing plans and cycles.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Annual
Desired performance	To maintain an unqualified audit outcome annually over the MTEF and MTSP periods as proof of adherence to sound governance, financial management and internal control mechanisms, evidenced by the Auditor-General's audit opinion.
Indicator responsibility	Chief Financial Officer (CFO)

Indicator title	1.2 Implementation of an approved ICT project plan for data analytics capability
Definition	<p>The indicator measures the annual achievements of the implementation of a multiyear ICT project by monitoring the actual annual implemented milestones and comparing them against the planned and approved annual milestones, within a specific year of a multiyear ICT project.</p> <p>The data analytics capability project is a strategic project that forms part of the ICT three-year plan. The annually achieved milestones are the precursor building blocks to enable the subsequent year's implementation of the multiyear ICT project. The multiyear data analytics capability project is for the institutionalisation of a data analytics capability within the SIU enabling the delivery of focused, data-driven multidisciplinary investigations.</p>
Source of data	Approved ICT project plan for data analytics capability and progress reports on the achievement of milestones in the ICT project plan.
Method of calculation (quantitative) or assessment (qualitative)	Simple count of data analytics Phase 1 milestones completed in the approved project plan (bi-annual and year end).



Indicator title	1.2 Implementation of an approved ICT project plan for data analytics capability
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>That costs of targeted systems implementations do not escalate beyond the SIU's affordability.</li> <li>That the budget requirements are secured for the full period of the project.</li> <li>That appropriately skilled and experienced personnel are hired to perform the duties where vacancies exist.</li> <li>That there will be enthusiasm among key personnel to embrace and utilise new technologies for improved performance and service delivery.</li> <li>That change management processes to fast-track the uptake of new methodologies and systems will be effective and supported by all concerned.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	Appointment of service providers will be guided by preferential procurement requirements and provisions.
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Bi-annual
<b>Desired performance</b>	Leveraging cutting-edge data analytics capabilities in this dynamic technology-driven era to achieve data-driven, multi-disciplinary investigations and catapult the SIU's performance to new heights for the benefit of its customers and stakeholders.
<b>Indicator responsibility</b>	Chief Information Officer

Indicator title	1.3 Employee turnover rate
<b>Definition</b>	This indicator seeks to determine the rate of employees exiting the SIU voluntarily and involuntarily from funded posts across the organisation to determine the organisation's ability to retain key and skilled employees occupying strategic and critical positions. Voluntarily refers to resignation. Involuntarily refers to retirement, death, dismissal, transfers, medical boarding and contract terminations.
<b>Source of data</b>	Bi-annual or annual reports from the VIP Payroll and HR systems.
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	<p>The number of voluntarily and involuntarily terminated staff as reflected in the HR system at the time of reporting divided by an average of SIU headcount for the reporting period * 100.</p> <p>The average is the total headcount at the beginning of the period and the headcount at the end of the period /2.</p>
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>That there are retention or value proposition factors expected to retain key skills.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Bi-annual



<b>Indicator title</b>	<b>1.3 Employee turnover rate</b>
<b>Desired performance</b>	To maintain the level of staff termination at no more than 10%, to achieve the highest possible levels of service delivery.
<b>Indicator responsibility</b>	Chief Human Capital Officer

<b>Indicator title</b>	<b>1.4 Number of stakeholder engagements and awareness campaign initiatives conducted</b>
<b>Definition</b>	The indicator is aimed at raising awareness of the public and stakeholders about SIU services and easy access through awareness campaign initiatives, media and virtual interactions.
<b>Source of data</b>	Presentations, dated pictures of the events, attendance registers (where possible) and emails as confirmation of the events.
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	Simple count of stakeholder engagements and awareness campaign initiatives conducted.
<b>Assumptions</b>	<p>All necessary resources like budget and equipment will be placed at the disposal of Stakeholder Relations and Communication to promote access to the SIU and stakeholder engagements.</p> <ul style="list-style-type: none"> <li>All experts within the SIU, heads and departments will furnish Stakeholder Relations and Communication with relevant information to share with the public and stakeholders.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Enhance SIU brand awareness and make the Unit's services clearer to the South African public and stakeholders for ease of access.
<b>Indicator responsibility</b>	Head: Stakeholder Relations & Communications

Indicator title	<b>2.1 Rand value of potential cash and/or assets to be recovered</b>
<b>Definition</b>	The indicator measures the Rand value in cash or the cash equivalence of money and/or assets that is potentially recoverable for the State.
<b>Source of data</b>	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the documents included under the method of calculation.</p> <p>All the relevant documents are obtained from the investigation team and are captured on a central system – the Performance Information Management System (PIMS).</p>
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	<p>The indicator is calculated by adding the values of the following items together:</p> <p><b>Acknowledgement(s) of debt (AoDs)/Acknowledgement(s) of liability (AoL)</b> – 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). The date of calculation is the date on which the AoD/AoL is signed by the debtor/defendant/respondent.</p> <p><b>Restraining order(s)</b> – The value of money and/or assets, as reflected in a restraining order issued by the court or obtained from the NPA and/or the Asset Forfeiture Unit (AFU). The date of calculation is the date stamp that appears on the restraining order issued by the court or the NPA and the AFU.</p> <p><b>Civil order(s) (i.e. court orders and/or arbitration awards)</b> – 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. The date of calculation is the date that appears on the court order or arbitration award.</p> <p><b>Settlement agreement(s)</b> – The value of the money and/or assets as reflected in the settlement agreement signed by the parties. The date of calculation is the date that appears on the settlement agreement.</p> <p><b>Compensation order(s)</b> – Orders made in criminal cases e.g. through Section 297 or Section 300 of the Criminal Procedure Act, or fines issued by any regulatory authority. The value of a compensation order is reflected in an order issued by the court or the value of the fine imposed by the regulatory authority. The date of calculation is the date when the order is issued by the court or the regulatory authority.</p> <p><b>South African Revenue Service (SARS) referrals</b> – The value of claims referred to SARS by the SIU for potential recovery where a potential loss has already been identified. The date of calculation is the date that SARS acknowledges receipt of the SIU referral.</p> <p><b>Recommendations to stop payments</b> – The value of the payment due to be paid by a State institution where the SIU recommends that the State institution withhold such payment. The date of calculation is the date that the State institution acknowledges receipt of the SIU recommendation.</p> <p><b>Recommendations to recover overpayments made</b> – The value of an overpayment that has been identified by the SIU where the SIU has recommended that said overpayment be recovered by the State institution. The date of calculation is the date that the State institution acknowledges receipt of the SIU recommendation.</p>

Indicator title	2.1 Rand value of potential cash and/or assets to be recovered
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• That any court proceeding finds in favour of the State through the SIU.</li> <li>• That the cash and/or assets awarded to the State are recoverable.</li> <li>• That outcomes are not delayed by reliance on third parties and that information, records and/or witnesses are available, among other things.</li> <li>• That individual high-value matters do not have significant influence.</li> <li>• That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	To act resolutely on behalf of the State to institute remedial action to recover the highest possible potential amounts of cash and/or assets to mitigate any loss suffered by the State through corrupt and fraudulent acts and to deter similar future occurrences.
<b>Indicator responsibility</b>	Chief Legal Counsel

Indicator title	2.2 Rand value of actual cash and/or assets recovered
<b>Definition</b>	The indicator measures the value of money and/or assets that have been recovered for the State and/or relevant third parties, as envisaged in Section 2(2) (g) of the SIU Act.
<b>Source of data</b>	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>• A summary of the SIU accounts indicating the AoD and AoL repayments which are obtained from the AoD Enforcement Department.</li> <li>• Bank reconciliation report compiled by the SIU Finance Department, read with reports from the investigation team indicating that a payment has been made in respect of a specific matter.</li> </ul> <p>Reports and any other relevant documents on money and/or assets 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. All data is captured on a central system (PIMS).</p>

Indicator title	2.2 Rand value of actual cash and/or assets recovered
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	<p>The indicator is calculated by adding the values of the following items together:</p> <p>SIU Accounts – The value of money paid by debtors/AoD debtors/AoL debtors/defendants/respondents into the SIU account. 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 – 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 recovery was made by means of a set-off that had been effected 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 – 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. 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> <p>Money/assets recovered through execution of civil orders or arbitration awards – 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>AFU confiscation or final forfeiture orders – The value of money or assets as reflected in the final confiscation or forfeiture order(s). The date of calculation is the date that appears on the final confiscation or forfeiture order issued by the court.</p> <p>SARS confirmations of recoveries – The value of money received by SARS. The date of calculation is the date that SARS documents are obtained that show payment was made to SARS.</p>
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• That any court proceeding finds in favour of the State through the SIU.</li> <li>• That the cash and/or assets awarded to the State are recoverable.</li> <li>• That outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses, among others.</li> <li>• That individual high-value matters do not have significant influence.</li> <li>• That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	To act resolutely on behalf of the State to institute remedial action to recover cash and/or assets to reverse the loss suffered by the State through corrupt and fraudulent acts and to deter similar future occurrences.
<b>Indicator responsibility</b>	Chief Legal Counsel

Indicator title	2.3 Rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid
<b>Definition</b>	<p>This is the Rand value of any contract and/or administrative decision/action, which through the SIU's interventions has been successfully set aside or deemed invalid, evidenced mainly by the following results:</p> <ul style="list-style-type: none"> <li>• The prevention of the taking of an administrative decision/action.</li> <li>• The prevention of an award of a tender/grant/licence.</li> <li>• The termination/cancellation of a contract (including the renewal or extension of an existing contract).</li> <li>• The termination/cancellation of a contract and/or the withdrawal of an administrative decision/grant/licence.</li> <li>• Payment stoppage or the halting of delivery or a transfer of goods/assets/property.</li> <li>• 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.</li> <li>• All of the above by the SIU or by State institutions relying on SIU evidence.</li> </ul>
<b>Source of data</b>	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>• Letter and/or agreement that a proposed administrative decision/action has been terminated/set aside or is void/invalid or deemed as such.</li> <li>• Letter and/or agreement that a contract and/or administrative decision/action has been terminated/set aside.</li> <li>• Letter and/or agreement that a contract has not been concluded, renewed or extended.</li> <li>• Letter and/or agreement that a tender/grant/licence has not been made or has been withdrawn.</li> <li>• Letter and/or agreement that payment was stopped or the delivery/transfer of goods/assets/property has been stopped.</li> <li>• Letter and/or agreement that a recurrent payment has been cancelled.</li> <li>• Order of the Special Tribunal or by order of any court or arbitration award.</li> <li>• The source documents are obtained from the investigation team and are captured on a central system (PIMS).</li> </ul>



Indicator title	2.3 Rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid
Method of calculation (quantitative) or assessment (qualitative)	<p>The face value of a contract/administrative decision/action that is 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. The date of calculation is the date upon which:</p> <ul style="list-style-type: none"> <li>• A proposed administrative decision/action has not been taken.</li> <li>• The award of a tender/grant/licence has not been made.</li> <li>• The contract has not been concluded, renewed or extended.</li> <li>• The contract has been terminated/cancelled.</li> <li>• The administrative decision/action or the grant/licence has been withdrawn.</li> <li>• A payment was stopped or the delivery/transfer of goods/assets/property was halted.</li> <li>• A recurrent payment has been cancelled.</li> <li>• The SIU or the State institution initiated civil proceedings or counter civil proceedings.</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• That the outcomes of the court or Special Tribunal proceedings find in favour of the State or the SIU.</li> <li>• That there are no challenges pertaining to the reliance on external counsel and the availability of information, records and/or witnesses, among others.</li> <li>• That outcomes are not delayed by a third-party reliance and the availability of information, records and/or witnesses among others.</li> <li>• That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</li> <li>• That there are no delays or any other constraints concerning the complexity of matters and significant legal challenges.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To act resolutely on behalf of the State to institute remedial action to maximise the value of assets protected against loss through corrupt and fraudulent acts and to deter similar future occurrences.
Indicator responsibility	Chief Legal Counsel

Indicator title	2.4 Rand value of potential loss prevented
<b>Definition</b>	<p>This is the Rand value that could have been lost to the State, but is averted through a range of interventions such as:</p> <ul style="list-style-type: none"> <li>• The prevention of the taking of an administrative decision/action.</li> <li>• The prevention of an award of a tender/grant/licence.</li> <li>• The prevention of the conclusion of a contract (including a renewal or extension of an existing contract).</li> <li>• The termination/cancellation of a contract and/or the withdrawal of an administrative decision/grant/licence.</li> <li>• Payment stoppage or the halting of delivery or a transfer of goods/assets/property.</li> <li>• The removal of a recurrent payment such as a social grant or any other payment due under an existing contract/grant.</li> <li>• Any other administrative decision/action, by the SIU or State institutions relying on SIU evidence.</li> </ul>
<b>Source of data</b>	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>• Letter and/or agreement that a proposed administrative decision/action has been terminated/set aside or is void/invalid or deemed as such.</li> <li>• Letter and/or agreement that a contract and/or administrative decision/action has been terminated/set aside.</li> <li>• Letter and/or agreement that a contract has not been concluded, renewed or extended.</li> <li>• Letter and/or agreement that a tender/grant/licence has not been made or been withdrawn.</li> <li>• Letter and/or agreement that payment was stopped or the delivery/transfer of goods/assets/property has been stopped.</li> <li>• Letter and/or agreement that a recurrent payment has been cancelled.</li> <li>• Order of the Special Tribunal or by order of any court or arbitration award.</li> </ul> <p>The source documents are obtained from the investigation team and are captured on a central system (PIMS).</p>

Indicator title	2.4 Rand value of potential loss prevented
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	<p>The value of the potential loss prevented is the difference between the expenditure that 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. The date of calculation is the date upon which:</p> <ul style="list-style-type: none"> <li>• A proposed administrative decision/action has not been taken.</li> <li>• The award of a tender/grant/licence has not been made.</li> <li>• A contract has not been concluded, renewed or extended.</li> <li>• A contract has been terminated/cancelled.</li> <li>• An administrative decision/action or a grant/licence has been withdrawn.</li> <li>• A payment was stopped or the delivery/transfer of goods/assets/property was halted.</li> <li>• A recurrent payment has been cancelled.</li> <li>• The SIU or the State institution initiated civil proceedings or counter civil proceedings.</li> </ul>
<b>Assumptions</b>	N/A
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	To maximise the value of this number as it reflects a saving for the institutions of State.
<b>Indicator responsibility</b>	Chief Legal Counsel.

Indicator title	3.1 Number of referrals made for disciplinary action against officials and or executives
<b>Definition</b>	The total sum of referrals of SIU evidence pointing to misconduct or irregular conduct on the part of: <ul style="list-style-type: none"> <li>• Employees of State institutions</li> <li>• Councillors of municipalities</li> <li>• Members of the Executive Council</li> </ul>
<b>Source of data</b>	Letters of referral with proof of submission obtained from the investigation team.
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	A count of the total number of officials and/or executives where disciplinary action has been recommended to State institutions or authorities and they acknowledge receipt of the referral letter.
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• That there will be cases that will require such referrals as described.</li> <li>• That the receiving authority will duly acknowledge receipt of the referral letter.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	To act resolutely on behalf of the State to maximise the number of matters duly referred for disciplinary action to hold wrongdoers to account and deter future occurrence of similar offences.
<b>Indicator responsibility</b>	Chief National Investigations Officer

Indicator title	3.2 Number of referrals made for administrative action
<b>Definition</b>	Quantification of a total sum of referrals of SIU evidence pointing to misconduct or irregular conduct on the part of: <ul style="list-style-type: none"> <li>• Vendors, contractors, suppliers and/or service providers of State institutions (e.g. for blacklisting purposes, etc.); and/or</li> <li>• Members subject to the regulatory authorities (e.g. estate agents, engineers, security service providers, counsel, attorneys or accountants, health professionals, etc.).</li> <li>• Board members or directors of State institutions (including state-owned enterprises).</li> </ul>
<b>Source of data</b>	Letters of referral with proof of submission obtained from the investigation team.
<b>Method of calculation (quantitative) or assessment (qualitative)</b>	The count of the total number of individuals and/or entities where administrative action has been recommended with an acknowledgement of receipt of the referral letter. The date of calculation is the date upon which the receiving authority acknowledges receipt of the referral letter.
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• That there will be cases that will require such referrals.</li> <li>• That the receiving authority will duly acknowledge receipt of the referral letter.</li> </ul>

Indicator title	3.2 Number of referrals made for administrative action
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To act resolutely to maximise the number of matters duly referred for executive and/or administrative action to hold wrongdoers to account and deter future occurrence of similar offences.
Indicator responsibility	Chief National Investigations Officer

Indicator title	3.3 Number of referrals made to the relevant prosecuting authority
Definition	This is the total sum of referrals of evidence pointing to the commission of offences to the relevant prosecuting authority (e.g. the NPA or foreign prosecuting authorities, etc). This includes evidence referred to the AFU (which forms part of the NPA).
Source of data	Letter of referral of evidence pointing to the commission of offences with an acknowledgement of receipt obtained from the investigation team and captured on a central system (PIMS).
Method of calculation (quantitative) or assessment (qualitative)	The count of the total number of individuals and/or entities where evidence pointing to the commission of offences has been referred with an acknowledgement of receipt of the referral letter. The date of calculation is the date upon which the relevant prosecuting authority acknowledges receipt of the referral letter.
Assumptions	<ul style="list-style-type: none"> <li>• That there will be cases that will require such referrals to be made.</li> <li>• That the relevant prosecuting authority will duly acknowledge receipt of the referral letter.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To act resolutely to maximise the number of matters duly referred for further investigation and possible prosecution to hold wrongdoers to account and deter future occurrence of similar offences.
Indicator responsibility	Chief National Investigations Officer

Indicator title	3.4 Number of investigations closed under a published proclamation
Definition	This is the total sum of investigations that are closed out under a published proclamation.
Source of data	The signed closure memo is obtained from the investigation team and is captured on a central system (PIMS).



Indicator title	3.4 Number of investigations closed under a published proclamation
Method of calculation (quantitative) or assessment (qualitative)	This is the count of the total sum of the number of investigations closed out under a published proclamation. The date of calculation is the date on which the closure memo is signed.
Assumptions	<ul style="list-style-type: none"> <li>That the SIU will expedite processes to close out investigations.</li> <li>That there will be occurrences that will necessitate investigation by the SIU in terms of its mandate.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To act expeditiously on executing the SIU's role with a view to maximising the number of investigations closed out under a published proclamation.
Indicator responsibility	Chief National Investigations Officer

Indicator title	3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings
Definition	This is the Rand value of the 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 in a court or Special Tribunal or private arbitration or dispute resolution meeting.
Source of data	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>Court documents for civil proceedings instituted in either the court or the Special Tribunal.</li> <li>Acknowledgement of receipt for evidence referred.</li> <li>Arbitration documents or other documents supporting a counter civil proceeding.</li> </ul> <p>The source documents are obtained from the investigation team and are captured on a central system (PIMS).</p>
Method of calculation (quantitative) or assessment (qualitative)	This is the count of the sum of the value of all matters 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.

Indicator title	3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• That there will be occurrences that will necessitate investigation by the SIU in terms of its mandate.</li> <li>• That the outcomes of any court proceeding or Special Tribunal finds in favour of the State through the SIU.</li> <li>• That there are no challenges pertaining to the reliance on external counsel and the availability of information, records and/or witnesses, among others.</li> <li>• That outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses, among others.</li> <li>• That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</li> <li>• That there are no delays or any other constraints with respect to the complexity of matters and significant legal challenges.</li> </ul>
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Maximise the value of matters referred as they reflect the civil liability established through the SIU investigations into allegations of corruption, malpractice and maladministration.
<b>Indicator responsibility</b>	Chief Legal Counsel

Indicator title	3.6 Number of cases issued in the Special Tribunal
<b>Definition</b>	Quantification of the total sum of applications by the SIU to the registrar of the Special Tribunal for the issuing of legal processes.
<b>Source of data</b>	Allocation of case numbers obtained from the registrar of the Special Tribunal.
<b>Method of calculation</b>	A simple count of the total sum of case numbers issued in the Special Tribunal.
<b>Assumptions</b>	There would be a duly appointed registrar to the Special Tribunal.
<b>Disaggregation of beneficiaries (where possible)</b>	N/A
<b>Spatial transformation (where applicable)</b>	N/A
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	To optimise the use of the Special Tribunal to fast-track processing of cases handled by the SIU.
<b>Indicator responsibility</b>	Chief Legal Counsel

Indicator title	3.7 Number of reports submitted to the Presidency
Definition	The total sum of the interim and final reports that are submitted to the Presidency as directed by the provisions of the SIU's mandate.
Source of data	Final and interim reports submitted to the Presidency with an acknowledgement receipt obtained and captured on a central system (PIMS).
Method of calculation (quantitative) or assessment (qualitative)	This is the count of the sum of all signed interim and final reports submitted to the Presidency with an acknowledgement of receipt for the reports. The date of calculation is the date upon which the Presidency acknowledges receipt of these reports.
Assumptions	<ul style="list-style-type: none"> <li>That there are no challenges relating to outcomes being delayed by reliance on specialist skills or external counsel/parties.</li> <li>That outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses amongst others.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	Maximise the number of reports submitted and improve the turnaround times of investigations while demonstrating the ability to conduct and complete forensic investigations and reporting on the findings thereof to the Presidency.
Indicator responsibility	Chief National Investigations Officer

Indicator title	4.1 Percentage of allegations received from the SIU whistleblower hotline centrally recorded for electronic tracking
Definition	<p>This indicator seeks to ensure that allegations received from the SIU whistleblower hotline (Whistle Blowers (Pty) Limited) are centrally registered in the case management systems (CMS) for electronic tracking. This is to ensure that the SIU central CMS registration database contains a record of all matters received by the SIU from the SIU whistleblower hotline.</p> <p>The tracking and monitoring of the allegations throughout their lifecycle is a built-in mechanism and part of the CMS workflow after being registered.</p> <p>The SIU whistleblower hotline is the platform to which the SIU invites the public to report allegations.</p>
Source of data	SIU whistleblower quarterly summary reports and CMS registration database report showing allegations registered.
Method of calculation (quantitative) or assessment (qualitative)	Number of SIU whistleblower hotline allegations reported to the SIU by Whistle Blowers (Pty) Limited that are registered in a quarter and at financial year end against the number of allegations received from Whistle Blowers (Pty) Limited in a quarter and at financial year end *100.
Assumptions	<ul style="list-style-type: none"> <li>That the SIU maintains the requisite technology that operates reliably and optimally to facilitate the registration of allegations.</li> </ul>

Indicator title	4.1 Percentage of allegations received from the SIU whistleblower hotline centrally recorded for electronic tracking
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To ensure that all allegations received from the SIU whistleblower hotline are duly registered on the case management system for tracking.
Indicator responsibility	Chief Programme Portfolio Officer

Indicator title	4.2 Percentage of centrally registered allegations assessed by the Assessment Committee
Definition	<p>The indicator seeks to ensure allegations registered in the CMS are assessed on an equal and consistent basis. This is to eliminate bias and to allow for objective assessment.</p> <p>The Committee assesses allegations that are in the "Ready for Assessment" status in the system.</p> <p>To ensure accurate reporting, a quarterly report will be drawn from the system at close of business on the 23rd or nearest working day of the last month of the quarter.</p>
Source of data	Central case management system report drawn on the 23rd or nearest working day of the last month of the quarter showing registered allegations that are ready for assessment and will be assessed by the end of the quarter.
Method of calculation (quantitative) or assessment (qualitative)	The number of centrally registered allegations assessed by the Assessment Committee against the total number of allegations in the "Ready for Assessment" status as per the CMS report drawn on the 23rd or nearest working day of the last month of the quarter *100.
Assumptions	<ul style="list-style-type: none"> <li>That there will be allegations received and centrally registered for assessment by the Assessment Committee on an equal and consistent basis.</li> <li>That the SIU maintains the requisite technology that operates reliably and optimally to facilitate the assessment of allegations.</li> </ul>
Disaggregation of beneficiaries (where possible)	N/A
Spatial transformation (where applicable)	N/A
Reporting cycle	Quarterly
Desired performance	To ensure that all allegations received from the SIU whistleblower hotline are duly assessed.
Indicator responsibility	Chief Programme Portfolio Officer

## NOTES



## NOTES



## Special Investigation Unit

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