

ANNUAL

PERFORMANCE PLAN









FOREWORD BY THE MINISTER

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

It is with a great sense of pride and with pleasure that I present the Annual Performance Plan for the 2022/2023 Financial Year of the Special Investigating Unit (SIU). The late President Nelson Mandela signed Proclamation R24 of 1997 authorising the establishment of the Special Investigating Unit to investigate serious allegations of corruption, malfeasance, malpractice and maladministration relating to State institutions, State assets and public money, and any conduct that may seriously harm the interests of the State. Twenty-five years later, the SIU continues to guard the public purse and to scrutinize transactions made by State institutions.

In terms of the Special Investigating Units and the Special Tribunals Act 74 of 1996 (SIU Act), the SIU is intended to be a temporary statutory body assigned to investigative work as deemed necessary by the President. However, in the past 25 years, a torrent of matters; has made the SIU a consistent component of our anti-corruption regime. 2022 marks the twenty-fifth anniversary of the SIU since the first proclamation was gazetted.

It is important to review some of the investigative work completed by the SIU over the years. One of the matters investigated by the SIU in its infancy stage pertains to the land question, in this matter the SIU found that State farms in the Eastern Cape were illegally transferred and leased. By the end of February 1999, the SIU had recovered 204 farms in the former Transkei (worth R31.4 million), which had been obtained irregularly, had been abandoned or where lessees had failed to pay rentals.

In Kwa-Zulu Natal, the SIU recovered 372 state-owned vehicles (valued at R68.8 million), which were being held in workshops spread over the province on behalf of the Department of Transport, after irregularities emerged relating to vehicular repairs. The total value of recoveries, savings and preventions reached an overwhelming R875.6 million in 1999, with direct cash recoveries at over R41.3 million. By March 2000, the projected value of SIU cases had risen to almost R1.8 billion, which was enough money at that time to pay the entire bill for South Africa's social grants for a month.

Over the years, the SIU has proven to be a critical pillar in the law enforcement, as it is the only organisation in the country authorised to recover public money lost through acts of corruption in State institutions in civil proceedings.

The fact that the SIU can investigate as well as litigate on behalf of State institutions in civil proceedings sets it apart from other anticorruption agencies, giving it a particular role in preventing and mitigating the impact of corruption. The results of this holistic approach are clear, as the SIU has achieved significant recoveries through combining quality investigations with civil litigation.

The SIU places emphasis on completing matters within a reasonable time, working closely with other law enforcement agencies and State institutions to ensure that the fruits of our labour result in recommendations for disciplinary action, referrals of evidence for prosecution and for regulatory sanctions e.g. 'blacklisting' and recommendations for systemic improvements.

The SIU thus represents a real opportunity to make a difference in the fight against corruption, continuously working to protect the ideals for which a countless number of people sacrificed their lives. In the Constitutional Court judgment, in the matter between the South African Association of Personal Injury Lawyers v Heath and three others, late former Chief Justice Chaskalson said that:

Corruption and maladministration are inconsistent with the rule of law and the fundamental values of our Constitution. They undermine the constitutional commitment to human dignity, the achievement of equality and the advancement of human rights and freedoms. They are the antithesis of the open, accountable, democratic government required by the Constitution. If allowed to go unchecked and unpunished they will pose a serious threat to our democratic state.

Looking at of the outcomes of the SIU investigations, it is evident that members of the SIU take the words of former Chief Justice to heart in the execution of their duties, steadfastly guarding the public purse from pillaging and looting. As the Minister of Justice and Correctional Services, this gives me comfort. Therefore, I endorse this Annual Performance Plan of the SIU for the Financial Year 2022/23 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

The year 2022 marks exactly twenty-five years since the late President Nelson Mandela signed Proclamation R24 of 1997 authorising the formation of the Special Investigating Unit (SIU). As part of celebrating the twenty-fifth anniversary, the look and feel of the SIU has been refreshed, and the payoff line has been changed to reflect the new strategic direction of South Africa's anti-corruption, forensic investigation and litigation agency. A memoir reflecting the work of the SIU over the twenty-five-year period will be launched in the 2022/23 financial year. This celebration comes at a time that the public image and the reputation of the Unit is at an unprecedented high as a result of the sterling work that the SIU is doing in rooting out corruption.

It remains the SIU's foremost responsibility to investigate corruption, malpractice and maladministration in State institutions and to institute civil proceedings in any court of law or Special Tribunal for the recovery of monies and assets lost by the State institutions. The SIU executes this mandate within the noble founding provisions of the Constitution, which promotes sound public administration, the values of dignity, equality and the advancement of human rights and freedom. The SIU continues to contribute towards Priority 6: Social Cohesion and Safer Communities, as prescribed in the Medium-Term Strategic Framework (MTSF) of 2019–2024 to achieve the longer-term vision of the National Development Plan (2030).

Beyond compliance requirements, the SIU continues with the trajectory of leading by example in embedding sound governance and controls as a business imperative. In terms of the Auditor General Audit outcomes, the SIU aims to maintain a 'clean audit opinion with no material findings'.

As the Head of the Unit, I am honoured and proud to present the 2022/23 Annual Performance Plan on behalf of the Special Investigating Unit management. This APP highlights the various aspects of the SIU's work in its continuing efforts to provide greater transparency and accountability to the public at large and it reflects the priorities over the medium-term period.

The plan is underpinned by the following outcomes as reflected in the SIU's 2020/21–2024/25 Strategic Plan:

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

As we enter the 2022/23 financial year, the challenges posed by the COVID-19 pandemic persist and affected the work of the SIU. It should however be noted, that through resilience, adaptability and commitment of the SIU staff, the Unit continues to execute its mandate exceptionally.

Making an Impact that Matters

By discharging the SIU's mandate of investigating corruption, serious malpractices and maladministration in State institutions, the organisation contributes to improving the lives of South Africans. This contribution is observed by the increased level of confidence by the public through the concerted efforts in reducing corruption by the SIU.

Making inroads against corruption often requires a determined effort to overcome the vested interests of the perpetrators. Progress can be achieved through enhanced and more open processes, professional accountability systems and the use of the latest advanced technologies to capture, analyse and share data to prevent, detect and deter corrupt behaviour.

The COVID-19 pandemic has resulted in large-scale emergency spending by State institutions, sometimes without adhering to the regular checks and balances. Whilst speed is understandable, without proper controls it exposes the State institutions to a variety of corruption risks that may undermine the effectiveness of their responses.

Various aspects of the SIU's work in its continuing efforts to provide greater transparency and accountability to the public at large and it reflects the priorities

reflects the priorities over the medium term period.

The strains placed on the public sector in responding to COVID-19 presented enormous opportunities for corruption to flourish.

The following are initiatives that will assist in facilitating the impact that the SIU strives to see and which reaffirm SIU's commitment to helping government in addressing the scourge of corruption:

Prevention and Awareness as Tools in Fighting Corruption

Adopting a proactive approach can significantly reduce corruption and its impact, and prevention calls for credible deterrence, detection strategies and enforcement mechanisms sufficiently robust enough to send messages to potential wrongdoers regarding the cost of their misconduct.

It is against this principle that the SIU is looking into establishing an advisory service to State institutions and organisations as part of the preventative measures against corruption. The advisory services will assist State institutions in eliminating repeated occurrences of corruption, and among others, through the development of collaborative prevention plans and strategies.

This in turn will prompt State institutions to ensure that existing policies and processes are reviewed and loopholes are removed, control environment is improved and responsibility taken in identifying and monitoring those entry points that allow corruption to flourish.

In addition, the SIU is also aiming at establishing public education services by proactively informing and educating citizens about corruption and therefore gaining greater support in the fight against corruption. These awareness initiatives and stakeholder engagements are aimed at raising awareness about anti-corruption initiatives, empowering South Africans with information on the mandate of the SIU, its services and easy access to SIU reporting channels.

Multilateral and Strategic Collaborations

In building the capability of the State, the Presidency is setting up a system for co-ordinating the implementation of all SIU recommendations across the multiple departments, spheres and agencies responsible for implementation. This is a significant intervention for the SIU and for the country, as this collaboration demonstrates Government's commitment to zero tolerance for corruption and to bringing the perpetrators to book.

The SIU continues to participate actively in a multi-sectoral collaboration to combat corruption as envisaged by the National Anti-Corruption Strategy (NACS). NACS acknowledges that there is a need to unify anti-corruption efforts across sectors and to demonstrate the commitment of government, business and civil society to achieve the vision of the National Development Plan 2030 for a corrupt-free South Africa.

Multi-sectoral collaborative structures to fight corruption have been established through the Anti-Corruption Task Team (ACTT) programme, coordinated by the SIU. These include the Health Sector Anti-Corruption Forum, the Infrastructure Anti-Corruption Forum and the Local Government Anti-Corruption Forum. Implementation of these multi-sectoral structures to fight corruption give effect to NACS Pillar 6, which is focused on 'protecting vulnerable sectors that are most prone to corruption and unethical behaviour through effective risk management'.

In addition, during this medium-term period we are embarking on developing a Corruption Risk Management Framework and Corruption Prevention Framework that can assist and quide government on how to manage, prevent and mitigate corruption risks at all levels.

The SIU contributes positively to global efforts in fighting corruption through participation in international anti-corruption structures, such as those created under the United Nations Convention Against Corruption (UNCAC), the United Nations Office on Drugs and Crime (UNODC), the G20 Anti-Corruption Working Group, the Financial Action Task Force and the BRICS Anti-Corruption Working Group, the Southern African Development Community (SADC) Anti-Corruption Sub-Committee, the Common Wealth Africa Anti-Corruption Agencies. Included amongst the international programmes which the SIU

has contributed positively towards, are strengthening of whistle blowing and reporting channels, corruption risk assessments, anti-money laundering, assets recovery and corruption prevention initiatives that focus on education and awareness.

A significant milestone is the appointment of the SIU as Chairperson of the SADC Anti-Corruption Sub-Committee (SACC), with the following objectives aimed to be achieved:

- Development of the standardized regional anti-corruption curriculum
- Conducted Regional Corruption Assessment (RCA);
- Study of the COVID-19 impact on the Anti-Corruption Sector in the SADC region;
- Develop a curriculum to capacitate anti-corruption personnel in the SADC region across four operational functions, namely, Investigations, Prosecution, Corruption Prevention and Public Education;
- Develop trainer capabilities within the Anti-Corruption Agencies to support the roll-out of the curriculum;
- SACC to undertake a comparative study to assess capacity within the Member States (MS) and to analyse the need of MS to address Illicit Financial Flows (IFF) further;
- SACC to spearhead the fostering of international cooperation in IFFs and asset forfeiture;
- SACC to promote training programmes on money laundering and cryptocurrencies

A recent significant milestone relates to the election of the Head of the Special Investigating Unit to serve as Deputy President of the International Association of the Anti-Corruption Authorities (IAACA), responsible for the co-ordination of African States in the fight against corruption.

Delivering Professional and Quality Investigations

On 23 July 2020, the President issued Proclamation No. R. 23 of 2020 specifically tasking and authorising the SIU to investigate maladministration and corruption regarding procurement if PPE's in response to the COVID-19 pandemic by all State institutions across the three tiers of Government. The SIU concluded most of the investigations and a final report was submitted to the President in December 2021; the President released the official report in January 2022.

During the investigation of the COVID-19 pandemic, the SIU adopted an effective investigative methodology geared towards a quick turnaround time in concluding the investigations; the SIU is continually prudent in managing resources and upholding the standards of governance. There were learnings from the success of the R23 investigations which led to the review of some of our

processes and the Standard Operating Procedure to improve on future investigations.

In addition, the SIU is developing a coordinated strategy for implementing the recommendations of the State Capture Report.

Civil Litigation: Our Unique Strength

Establishing the Special Tribunal has been notably instrumental in the outcomes of SIU civil litigation cases for ensuring that monies lost to the state are recovered. The Special Tribunal continues to serve as a dedicated channel through which civil litigation is expedited, thus reducing time in civil litigation. This bodes well for improving perceptions of the slow turning of the wheels of justice.

Some highlights of the matters served in the Special Tribunal include PPE contracts, which were irregularly awarded and declared unlawful and invalid, recovery of more than R1.57 billion from ABB South Africa emanating from the SIU investigation at ESKOM and the R10.1 million tender that was irregularly awarded by the Eastern Cape Department of Health to Fabkomp Pty Ltd for the delivery of 100 scooter ambulances. More recoveries are expected to be realised at the end of the 2021/22 financial year.

To strengthen the outcomes of the work undertaken by the SIU, the Unit has undertaken a legislative amendment process; this is due to the SIU Act having been proven to be inadequate and in certain conditions, limiting the effective execution of the SIU's legislative mandate and specifically the SIU's strategy.

As an intervention, the SIU agreed with the Department of Justice and Constitutional Development to formulate, develop and promulgate amendments to the SIU Act during the legislative programme of 2021/2022; it is envisaged that the legislation will be promulgated during the 2022/23 financial year.

The SIU, an Employer of Choice, Placing our People First

The SIU continues with the trajectory of leading by example in embedding sound governance and controls as a business imperative, beyond compliance requirements. The SIU aims to continue maintaining a clean audit, " an unqualified audit opinion with no material findings".

Building our own 'Timber' continues to be key in our plan going forward. The SIU embraces the skills, knowledge and experience of the ageing workforce. Focus is on growing a pipeline talent, through targeted under-graduate and post-graduate placement, and internships and work integrated learning programmes. Recently, the SIU successfully enrolled twenty-three young, unemployed LLB graduates and twenty-one internal Admin Officers, through a Forensic Investigators Development (FID) Internship Programme. All forty-three interns have since been absorbed in Q1 of the 2021/2022 financial year as Junior Forensic Investigators.

The commitment to growing our own timber is demonstrated by further enrolling a group of interns through the Multi-Disciplinary Internship Programme, which followed immediately after the completion of the Forensic Investigations Programme (FID); this focused on sixteen young unemployed graduates placed in a range of SIU

enablement departments. This twelve-month programme commenced in January 2022.

Due to the nature of the SIU work, few SIU employees get threatened, but in the 2021/22 financial year the threat to staff increased. Interim security measures and interventions were put in place to protect SIU employees and we are currently working on a long-term plan for security measures to cover employees.

SIU Digital Transformation Journey

Technology within the context of SIU has an immense strategic value as an enabler in achieving business success. The competency of the SIU can only be achieved through fast-tracked digital transformation that will improve operational efficiency. The SIU leveraged on innovative technologies to strengthen the Unit's investigative capabilities and competencies. All investigators have been equipped with the necessary skills to use mobile technology and video conferencing tools to conduct interviews with witnesses during investigations.

Amongst the various other tools and systems being deployed, the use of big data analytics sets the SIU apart from other investigative units within the country, allowing the Unit to have easy access to pivotal content at its fingertips.

Over the medium-term period, the SIU intends to drive the implementation of data analytics with rigour. As a focus area, this will include building of a data warehouse and using data analytics to create various data and statistical models to feed into investigations and as part of the Corruption Risk Management Framework and Corruption Prevention Framework. By creating a centralised repository for data and breaking down silos, investigators will easily be able to cross-reference touchpoints concerning their investigations, and will be provided with a more complete picture, thus significantly enhancing the SIU's investigative capabilities. These tools will allow the SIU to enter a person of interest's name into the database, and immediately begin to see the threads tying them to various individuals and institutions, uncovering any conflicts of interest or problematic relationships and simplifying data collection efforts.

The objectives of the SIU's digital transformation will be realised on the SIU IT infrastructure and systems that:

- are stabilised
- are optimised
- have digitized information, centrally stored and managed, processed and transformed by integrated systemsstructures that follow set workflows

Conclusion

As part of growing the SIU footprint in the country and to increase access of the SIU services, the SIU has worked in conjunction with the Ministry of Justice and Correctional Services and the Northern Cape Province Office of the Premier in opening the SIU Northern Cape Provincial Office in April 2021.

As the Head of the Special Investigating Unit, I am confident that the impact of ridding society of corruption can be realised through the continued work and dedication of SIU officials, and partnerships between Government, the private sector, civil society and the public. Furthermore, we as SIU would like to extend our appreciation to all of our strategic partners and stakeholders, especially to the public – for whose benefit we drive these efforts, towards a better South Africa.

ADV. ANDY MOTHIBI

HEAD OF THE UNIT

OFFICIAL SIGN-OFF

It is hereby certified that this Annual Performance Plan:

- 1. Was developed by the management under the guidance and support of the SIU's Head of the Unit.
- 2. Takes into account all of the relevant policies, legislation and other mandates for which the SIU is responsible.
- 3. Accurately reflects the outcomes and outputs which the SIU will endeavour to achieve over the period 2022/2023.

MS NOMBULELO MPOTULO

ACTING HEAD: STRATEGY, MONITORING & REPORTING

MR ANDRE GERNANDT CHIEF FINANCIAL OFFICER

ADV. JL MOTHIBI

HEAD OF THE UNIT

28/02/2022

DATE

28/02/2022

DATE

APPROVED BY:

MR RONALD LAMOLA (MP)
MINISTER OF JUSTICE & CORRECTIONAL

SERVICES

15/03/2022

DATE

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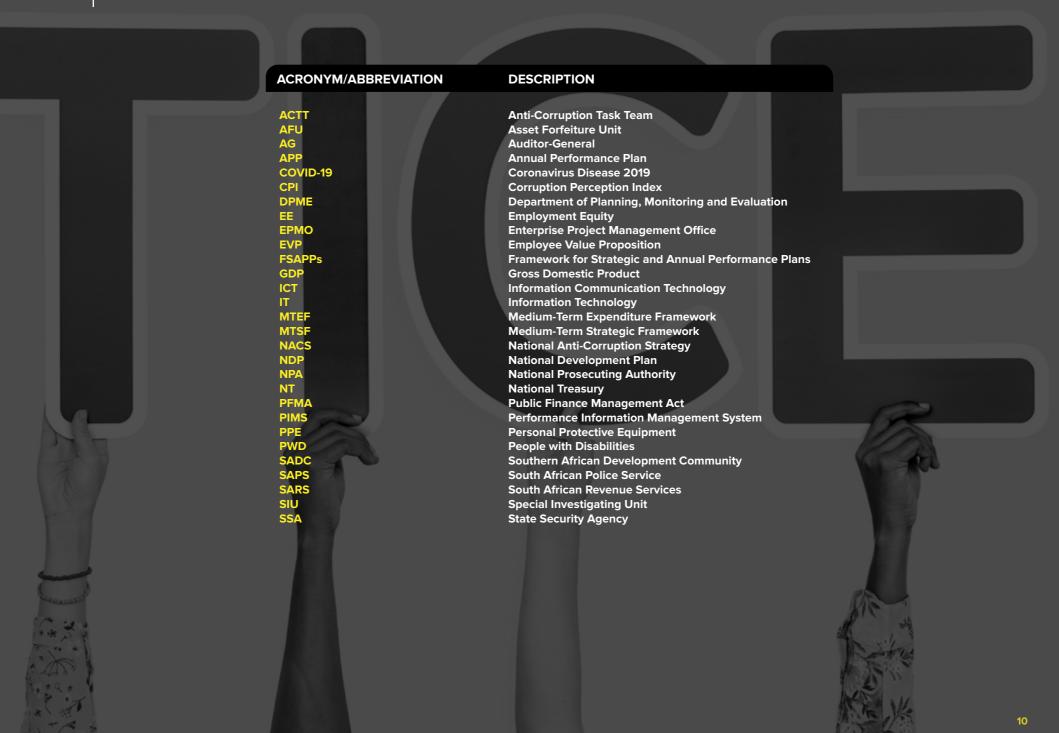
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ACRONYMS/ABBREVIATIONS







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There are no changes to the following legislation from which the Special Investigating Unit ('the 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:

KEY PILLARS OF CORE MANDATE -DERIVED FROM THE CONSTITUTION SECTION 33: JUST ADMINISTRATIVE ACTION SECTION 32: ACCESS TO INFORMATION Everyone has the right to administrative Everyone has the right of access to: action that is lawful, reasonable and · Any information that is held by the procedurally fair. state; and Everyone whose rights have been Any information that is held by adversely affected by administrative action another person and is required has the right to be given written reasons. for the excecise or protection of National legislation must be enacted to any rights give effect to these rights, and must: National legislation must be enacted to **SIU Constitutional** Provide for the review of give effect to this right and may provide Mandate administrative action by a court, or, for reasonable measures to alleviate where appropriate, an independent the administrative and financial burden and impartial tribunal; on the state Impose a duty on the state to give effect to the rights in subsections (1) and (2); and Promote an efficient administration. **SECTION 34: ACCESS TO THE COURTS**

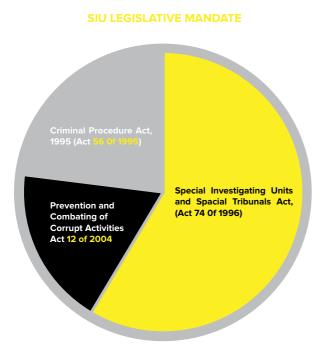
> Everyone has the right to have any dispute that can be managed and adjudicated by the application of law, decided in a fair public hearing before a court; or, where appropriate, another indepedent and

impartial tribunal or forum.

Figure 1: SIU Constitutional Mandate

1.2 LEGISLATIVE MANDATE

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



SIU (ACT 74 OF 1996)

- To provide for the establishment of special investigating units for the purpose of
 investigating serious malpractise or maladministration in connection with the
 administration of state institutions, state assets and public money as well as any
 conduct which may seriously harm the interests of the public and of instituting and
 conducting civil proceedings in any court of law or a Special Tribunal in its own
 name or on behalf of state institutions;
- To provide for the revenue and expenditure of special investigating units; to provide for the establishment of Special Tribunals so as to adjudicate upon civil matters emanating from investigations by special investigating units; and to provide for matters incidental thereto.

Figure 2: SIU Legislative mandate

The SIU mandate is derived 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:
 - 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 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 to submit a report to parliament on the investigations by, and the activities, composition and expenditure of such unit.

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

A Special Tribunal, which serves as a dedicated forum for the institution of civil proceedings by the SIU. The material impact of the establishment of the Special Tribunal is that the SIU no longer has to queue with ordinary litigants in conventional civil courts for its matters to be heard. The Special Tribunal serves as a dedicated channel through which the adjudication of the SIU's civil litigation matters are expedited, thus reducing the amount of time in finalising such matters, which bodes well for improving perceptions around the time taken by the judiciary to adjudicate civil cases. Through the outcomes achieved in the Special Tribunal, the public confidence in the State's ability to prevent and combat corruption has improved in leaps and bounds given the significant recovery of State assets via judgments and Orders handed down by the Special Tribunal.

1.3 ALIGNMENT TO GOVERNMENT INSTITUTIONAL STRATEGIES

In compiling the Annual Performance Plan for the period 2022/23, the Unit took into consideration the key contextual strategic factors emanating from:

1. The National Development Plan (NDP): Vision 2030	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. Under the auspices of this chapter, the SIU contributes through its multi-agency collaborations.
2. The 2019–2024 Medium- Term Strategic Framework (MTSF)	This is underpinned by the seven National Priorities as proclaimed in the revised 2019–2024 MTSF. In this regard, the SIU's contribution is located in Priority 6: Social Cohesion and Safer Communities, as a contribution towards cumulatively achieving the longer-term NDP 2030 vision. 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 socioeconomic development and service delivery objectives.
3. Revised Framework for Strategic and Annual Performance Plans (FSAPPs)	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. In a standardised approach, it further provides guidance to Government institutions in short- and medium-term planning. The framework encourages the use of the Theory of Change as a planning methodology; however this may also be used concurrently with other planning methodologies. The SIU has used elements of the Theory of Change and results-based methodology for planning processes.
4. The National Anti- Corruption Strategy 2020– 2030 (NACS)	The National Anti-Corruption Strategy (NACS) is built on a 'whole-of-society' premise that every State institution, business sector and civil society should be involved in uprooting corruption. It is also intended to serve as a guide to help coordinate and support the efforts to reduce corruption, including the work of anti-corruption multi-agency forums. The SIU works closely with its partner agencies in the anticorruption fraternity in ensuring consequence management and the State institutions to prevent corruption. The NACS identifies the need for a coordinating entity to be established to implement the strategy through coordination of the existing anticorruption units; SIU is ideally positioned to play a leading role in contributing through leadership in the anticorruption space.
5. Anti-Corruption Task Team (ACTT)	The ACTT was formed in 2010 as a coordinating arrangement between numerous anticorruption agencies, including the SIU, AFU, SARS, FIC, State Security Agency (SSA), NT, SAPS (Hawks) and the NPA, without an overarching legislative and regulatory framework for cooperation The ACTT is Wregarded as the central structure mandated to give effect to the Government anticorruption agenda, as collectively informed by the National Development Plan (NDP), Medium Term Strategic Framework (MSTF), the National Security Strategy (NSS) and the country's international obligations.

1.4 RELEVANT COURT RULINGS

No court rulings were reported which affect the mandate of the SIU during this period.

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2.1. INSTITUTIONAL POLICIES AND STRATEGIES

In the 2021/2022 financial year, a number of institutional policies were endorsed for implementation, however, the most noteworthy developments pertaining to institutional policies were:

Conflict of Interest Policy

For any organisation, it is imperative to ensure that all employees declare their assets; the SIU is not exempted from this process. With this policy in place, the SIU will ensure that all employees declare their assets and interests annually, or alternatively, as or when requested. This policy also covers the process of receiving and declaring gifts, and permission to receive remuneration from outside of the organisation. In addition, the policy will assist and guide employees in the process, and actions to be taken should they believe that there may be any form of conflict of interest (or perceived conflict of interest), in executing their duties.

Communications Policy

Communication is a critical component in optimising awareness and appreciation amongst the stakeholder community revealing how the SIU's mandate is carried out, and in improving the Unit's interface with internal and external stakeholders to,

- ensure that SIU information and announcements are disclosed in a timely, consistent and appropriate manner
- provide guidelines for the broad dissemination of information, pursuant to all applicable legal requirements
- prevent disclosure of SIU confidential information
- provide guidance for SIU members, in relation to the appropriate handling of information, confidential, general and routine

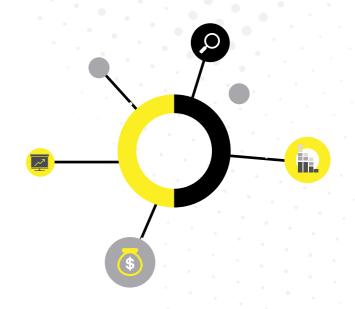
Fraud Prevention Policy

This policy gives effect to the Fraud Prevention Plan of the SIU. The goal of fraud and corruption prevention is to manage the exposure of the SIU to risk of corruption, theft and maladministration. The policy seeks to also raise awareness of fraud amongst employees and other stakeholders, and to encourage all employees to strive for the ultimate eradication of fraud, corruption, theft and maladministration. The policy is intended to communicate the SIU's commitment to eliminate fraud, and for the Unit to support and foster a culture of zero tolerance of fraud and all its activities. Through this policy, the SIU undertakes to combat and to remain proactive against all forms of fraud and corruption.

Data Analytics Strategy

In an era of technology and data, this strategy will serve as an anchor in optimizing organisational effectiveness through data-driven business decisions. The SIU aims to take the leading role in South Africa in preventing fraud and corruption by focusing on societal values and systems that make it difficult to engage in acts of corruption. To achieve this, the SIU must direct strategic decision-making processes and drive prevention activities through data analysis.

The SIU has engaged in a process of rapid, fundamental transformation. It is imperative for the Unit to respond to the needs of the fast changing environment to deliver value to stakeholders and to remain relevant in South Africa's fight against corruption and maladministration.







STRATEGIC FOCUS

Moving into 2022/23, the focus is to ensure that the Special Investigating Unit is capable and focused in supporting the fight against corruption, which is specifically orientated towards "Ridding society of fraud and corruption in State institutions".

Core to this contribution is the structure of the Unit as an organisation, and the quality and commitment of the talent pool it attracts. The organisational budget programme structure, (consisting 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 resources and that the Unit's budget allocation is for effective execution of its mandate and for attaining the vision of being the State's preferred and trusted anti-corruption, forensic investigation and civil litigation agency.

SIU STRATEGIC OVERVIEW

Impact Statement

Ridding society of fraud and corruption in State institutions

Vision

The state's preferred and trusted anti-corruption forensic investigation and civil litigation agency

Mission

Responsible for the provision of business oversight and enablement services to the core business of the ${\sf SIU}$

	PROGRAMME 1	PROGRAMME 2	PROGRAMME 3
Policies Procedures Systems Skills	Responsible for the provision of business oversight and enablement services to the core business of the SIU	Responsible for ensuring the adequate execution of the mandated service delivery of the SIU	Responsible for the implementation of relevant and proactive initiatives to prevent the (re)occurence 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)

Motto

Striking against corruption

Values

Integrity, Co-operation, Teamwork, Professionalism, Efficiency, Independence, Drive and Passion

Figure 3: SIU Strategic Overview

STRATEGIC PLANNING PROCESS | 3

To ensure that SIU remains relevant and is able to achieve its mandate, the Unit convenes annually for a management strategic planning session to review and discuss the strategic direction of the organisation. The theme for the 2021 strategy session was 'SIU Making the Impact' and a comprehensive and intensive review of the current strategic areas was conducted to highlight areas that require improvement and prioritization. While the strategy was reviewed, there was consensus that the current vision, mission and core strategy were still relevant and basically required focus and improved execution.

To be proactive, this process was undertaken to also prepare for drafting of the next five-year strategic plan that will commence in 2025-2030. The strategic planning session was used to articulate challenges and opportunities effectively, which will improve organisational operational efficiency, performance and relevance.

During this process, the 2022/23 Annual Performance Plan was also developed and key strategic focus areas were identified to be prioritized in 2022. As part of stakeholder engagement improvement, insights from external stakeholders and business were presented during the session.

It is recognised that strategies become increasingly obsolete towards the end of the five-year period, especially considering that SIU's current five-year strategy (for the period 2020/21–2024/25), was adopted in 2018. The SIU continues to implement the core focus areas (listed below), that were identified from prior years and which are still relevant; however more work is still underway and improvement in terms of execution is required.

- improving investigation turnaround times
- monitoring implementation of the SIU referrals and consequence management
- implementing measures to accelerate civil litigation
- reviewing and strengthening the SIU funding model
- monitoring and evaluating the impact of the SIU objectives
- implementing targeted prevention and awareness campaigns
- making systematic recommendations to State institutions to prevent a recurrence of corruption, maladministration and malpractice
- improving communication and stakeholder relations
- implementing corruption, maladministration and malpractice data analytics
- improving the SIU governance framework
- improving all the SIU operations enablement functions
- introducing a new organisational and individual performance management system

The results-based methodology (Figure 4) was emphasized during the review of the strategy as part of the planning process.

RESULTS-BASED CONCEPTS APPROACH

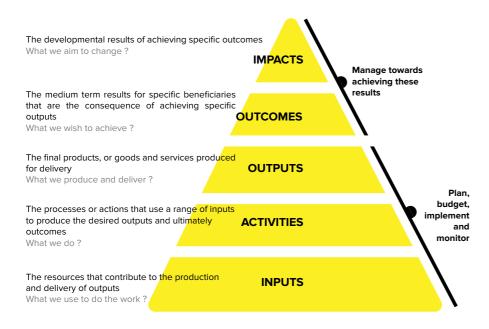


Figure 4: Results-based Concept Approach

The Adizes' Organisational Maturity Model (Figure 5), is a model that shows the general path followed by organisations from being at the infancy stage through to the stable stage of its existence and operations. At every stage, new challenges are encountered, assumptions, innovation and different thinking is required. To move an organisation to the prime and stable level, real change is required, and the shift takes time and involves a lot of hard decisions, managerial strength and collective effort.



Figure 5: Adizes' Organisation Maturity Model

Not all organisations proceed from one stage to the next, as an organisation can fail at any stage if it does not respond appropriately to environmental changes. In addition, it is advisable for organisations to develop specific strategies to reach the subsequent stage, as it may be a challenge to skip a stage without concrete interventions. Most organisations accelerate the development of their core functions while leaving other functions in a less developed stage, thus it is not always straightforward to categorise organisations, as they may straddle between different stages.

As the SIU gradually matures, and continually delivers consistently on required outputs, it is mindful of the Unit's capabilities and maturity levels. The SIU believes that, in general, it is moving from the adolescence to the prime stage, as it continues to maintain operational efficiency, good corporate governance, build digital capabilities and strengthen anti-corruption awareness and prevention programme. The SIU is mindful that certain functional areas need to be enhanced and strengthened to move to operational excellence and to keep pace with the trends of corruption.

UPDATED SITUATIONAL ANALYSIS | 4

This section presents an update to the situational analysis in the external and internal environments, and in how they may affect the operations of the SIU. It also gives an update to the detailed situational analysis reflected in the Strategic Plan 2020/21–2024/25. The salient shifts in the environment that may influence the SIU are discussed below.

4.1. THE EXTERNAL ENVIRONMENT

Macro environmental factors at global and local levels need to be considered as they contribute largely to the scourge of corruption and maladministration.

The Cologne Institute for Economic Research (IW: Institut der deutschen Wirtschaft, Köln), has been tracking a number of variables that contribute to the scourge of corruption across more than 200 countries. A set of factors and their effect that appear to have universal applicability in causing corruption were identified. The table hereunder is compiled from the IW 2017 report (representing years of research), and identifies the main factors that universally affect corruption in state entities, and their strength in preventing corruption.

FACTORS	EFFECT
Democracy and strength of political system	Strong
Quality of governance in institutions	Strong
Extent of competition	Strong
Recruitment and salaries	Weak
Press freedom and the judiciary	Strong
Culture of trust	Strong
Percentage of women in labour force	Weak/None
Former colonies	Strong, if British
Lack of endowment of natural resources	Strong

Source: https://www.econstor.eu/handle/10419/157204

Although these identified factors represent the global assessment, an equivalent view could be developed for countries such as South Africa (where some of the factors are common), and therefore cannot be overlooked.

Economic Realities of South Africa

South Africa faces challenges ranging from poverty, inequality, unemployment, poor access to adequate education and few entrepreneurship opportunities. Statistics South Africa (Stats SA) recorded the liquidation of 982 companies and 828 closed corporations during the first eleven months of 2021, additional to the total of 2,035 liquidations in 2020. The closure of companies (due to the pandemic, load shedding and other factors), and scaling down of activities by others, have had a negative impact on South Africa's employment over the past two years. Rising unemployment leads to economic instability and an increase in illegal activities which then makes it easier for corrupt practices to occur.

The South African unemployment rate continues to rise, measured at 34.9% in Q3 of 2021 (Figure 6).

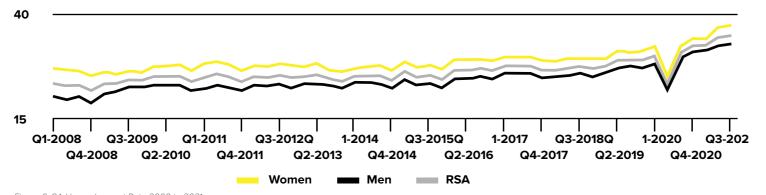


Figure 6: SA Unemployment Rate 2008 to 2021 (source http://www.statssa.gov.za/?page_id=737&id=1)

The SIU recognises that unemployment contributes to the occurrence of corruption and thus to economic setbacks; this reality requires further SIU services to keep pace with corruption trends. Perpetrators are quick to evolve and use new tactics and to cover their activities.

According to the National Treasury 2021 Medium Term Budget Policy Statement, the medium-term economic outlook has improved somewhat since the February 2021 forecast, largely driven by supportive global conditions. However, momentum is slowing as a result of domestic and global factors including continued structural constraints and the damaging impact of the pandemic on jobs and investment that adversely affects GDP growth.

The economic downturn and further deterioration of public finances due to additional spending pressures and the materialisation of contingent liabilities, could trigger further credit rating downgrades. These in turn would increase borrowing costs and crowd out public spending for service delivery and infrastructure, and furthermore, have negative consequences on State institutions' budget allocations; as the delivery of government services is largely dependent on budget availability.

According to StatisticsSA, the annual inflation rate in South Africa accelerated further from 5.5% in November 2021 to 5.9% in December of 2021, above market expectations of 5.7%, moving closer to the top of the South African Reserve bank's target range of 3–6% (Figure 7).

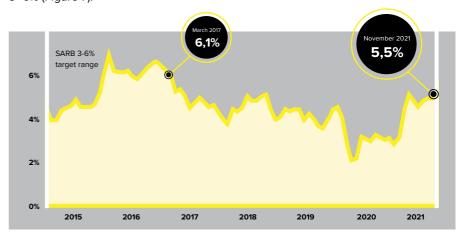


Figure 7: CPI for SA (source http://www.statssa.gov.za/wp-content/uploads/2021/12/cpi1.jpg)

Growth in Crime

It was recently determined by PricewaterhouseCoopers International Limited (PwC) that South Africa has the world's highest rate of economic crime.



Figure 8: PwC's Global View of Economic Crime

Source: PWC Global Economic Crime and Fraud Survey 2018 6th, South African edition

PwC estimated the value of global fraud to be 6.4% of world GDP. Using this average figure when applied to South Africa's GDP of approximately R6,5 trillion, this means the value of fraud and corruption in this country is at least R414 billion. Four years prior to this (2017), Deloitte estimated South Africa's total fraud and corruption to be valued at R100 billion per annum. In 2021, the Auditor-General of South Africa (AGSA) reported that irregular State expenditure was R166 billion, increased from R110 billion in the prior year.

Increased Need for Information Technology (IT) Solutions and Resources

Criminals are becoming more organised and making increased use of technology to defraud organisations and commit acts of corruption, but the advent of the 4th industrial revolution allows anti-corruption activities to become more agile through the use of technology. The DPME's Revised Framework for Strategic Plans and APPs also emphasizes the intent that State institutions should increase data-driven decision-making. Thus, it is imperative that anti-corruption activities make better use of IT and that anti-corruption teams are hired with (or acquire), the requisite data analytical skills.

Need for Leadership in the War Against Corruption

The NACS implementation plan recommends that a permanent coordinating State body should be created so that the anti-corruption activities across State institutions (in collaboration with private institutions), can be coordinated in providing the following services:

- drive the long-term roll-out of the strategy and its related programmes
- prevent corruption through State institution implementation of good governance, transparency, integrity management and accountability in society, and early detection of potential corrupt practices to complement the reactive measures executed by law enforcement agencies and other anti-corruption bodies in society;
- institute a number of multi-stakeholder anti-corruption interventions

There is a requirement that legislation needs to be promulgated to establish this body, which is likely to take a number of years. While the wheels of legislation turn, the void in the market needs to be filled so that the services mentioned can be provided through the current anti-corruption institutions, as well as possible. The SIU plays a critical role in contributing in thought leadership within the anti-corruption space.

The Need to Protect Whistle Blowers

It has become blatantly apparent that much more needs to be done to protect whistle blowers in South Africa. As such, the SIU is part of a joint task team, which comprises the SIU, National Prosecuting Authority, Department of Justice and Constitutional Development and Directorate for Priority Crime Investigation. This task team has been established to conduct a comparative analysis of whistle blower protection in other jurisdictions, aiming to make recommendations to Government regarding strengthening whistle blower protection legislation in South Africa.

The Need to be More Proactive

The current measures utilized to deal with corruption are mainly reactive than proactive. Adopting a proactive approach can significantly reduce corruption and the impact of corruption; this will promote early detection, awareness and prevent reoccurrences. Some methods of being more proactive relate to:

- making consequence management more effective to deter future corrupt activities
- strengthening the processes and controls in every organisation to prevent opportunities for corruption
- educating personnel in how to detect and prevent corruption, especially those employees in critical roles that are connected to vulnerable areas of the organisation

There are many obvious, tried-and-tested preventative measures that can be (and are), taken into consideration by organisations. However, these are only effective in helping to prevent known corrupt activities; the face of corruption is changing rapidly, especially in this digital age. In order to combat corruption through early detection and real prevention, a much deeper understanding of the factors that lead to, or are the consequences of corruption, need to be understood for a more focused strategy.

4.2. INTERNAL ENVIRONMENT

The SIU has been mandated to deal with practices of corruption and maladministration across all State institutions and therefore the manner in which the SIU is structured and how committed the Unit is to sound corporate governance is crucial. The organisational budget structure consist of three programmes which are responsible for implementing the SIU's mandate. Various internal control mechanisms are set up to strengthen corporate governance and promote operational efficiencies are top priorities of the SIU.

As SIU is on a journey of aiming for service excellence and to be a world class law enforcement agency, the strategy adopted by the Unit in 2018/19 is an instrument for the SIU to gear up for that journey and for growth. The path of improvement that the SIU is embarking on to reach the goal of becoming a world-class anti-corruption agency is shown below (Figure 9).



Figure 9: SIU Path of Improvement

Consequence of Corruption Increasing

The SIU is operating in an environment where corruption continues to rise, this is evident by the increase reflected in Figure 10 of proclamations received over past years. This requires the SIU to be adequately resourced in skills and infrastructure, and the Unit also leverages on the collaboration/partnerships with other law enforcement agencies to deal with increased corruption.

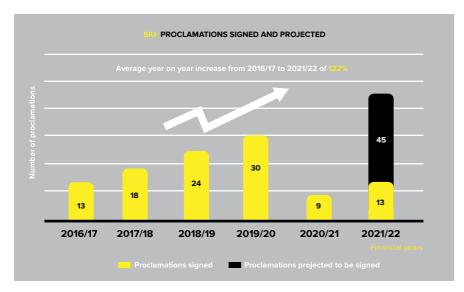


Figure 10: SIU Proclamations

Public Perception

The public perception of the SIU is at an unprecedented high, following the successful implementation of the Communication Strategy. This focused on optimising awareness and appreciation amongst the stakeholders, improving the interface with internal and external stakeholders and showcasing how the Unit's mandate is being carried out.

Recent media monitoring activities indicate a rise in popularity of the SIU in the anticorruption space; listed below are some of the recent activities demonstrating this success:

- of the media articles across broadcast, print and digital channels, there are six times more articles carrying positive rather than negative sentiment towards the SIU
- commendations made in the Zondo Commission's State Capture Report, Part 1, published in December 2021
- the President releasing the SIU report relating to the completed PPE investigation (24th January 2022), invoked significant media discussions, which showed the SIU in a positive light

The increased profile has furthermore raised the public's confidence in the Unit and its work.

Team Player in the Anti-Corruption Task Team (ACTT)

The SIU relies on its partner agencies, especially those in the Anti-Corruption Task Team to deliver various activities in the continuum of fighting corruption. Collaboration between the SIU and other law enforcement agencies contributes largely to the success of the SIU and the broader goal of reducing corruption. However, to improve the impact of the SIU, significant intervention and consequences need to be explored with the support of relevant authorities (especially the ACTT partners), to deal with State institutions who fail to implement the outcomes of SIU investigations.

Funding Model

There is a natural conflict of interests between the SIU and the State institutions particularly those that are being investigated by the SIU. Over the years, the SIU has struggled to receive payment from some of the State institutions that were investigated, and these issues complicate the relationships between the SIU and its targeted clients. The challenge of recovering debt occurs because of the current funding model that is used by the SIU; as a resolution for this concern, the SIU has been engaging with National Treasury to explore alternative funding models.

Digital Transformation

Criminals are becoming more organised and are making use of technology to defraud organisations and commit acts of corruption more frequently. Thus, it is imperative that the SIU continues attaining for digital transformation and is able to leverage the 4th Industrial Revolution; this entails implementing Market Data Analytics (MDA), artificial intelligence, machine learning and blockchain technologies.

Market Data Analytics capability continuies to be a priority of the SIU, however, there are few processes that are still reliant on manual activities, e.g. the use of hard copies of ducuments during investigations. As part of the milestones achieved on building the market data analytics capability, an independent readiness assessment exercise was conducted by an external service provider to establish the level of readiness and the required capacity for implematating the MDA.

The SIU's investigators are equipped with the ability to securely access their internal systems over the network from anywhere, which enhances the quality of investigations and improving turnaround times

Talent Pipeline and Deployment of Resources

In terms of resourcing, and as the workload in the SIU is unpredictable, the SIU needs to improve the ability to engage resources who work in the gig economy. The SIU has a team which is committed, adaptive to change and is able to attract talent from the external market. However, the Unit needs to strengthen the Employee Value Proposition (EVP) to make it an employer of choice. An EVP set of benefits is offered to employees in return for their skills, expertise and qualities they bring to the SIU.

The dynamics of the investigations differ and some require specialists in different fields, such as subject matter experts wihin the built environment, health and cybercrime.

The high demand of the SIU services results in the current resources being overstretched, especially in the investigations environment, for example most resources were redirected to the PPE investigation.

In dealing with resource constraints, the SIU is setting in place a Human Capital strategy which considers interventions such as the resourcing strategy to align resources to business priorities and to recruit for the future, for remuneration and for the retention plan.

In emerging areas (especially in those of data analytics and data warehousing), new jobs will need to be defined and roles fulfilled as the SIU transforms into a digital organisation.

Legislative Amendments

The long-standing need to give the SIU wider scope in the form of a legislative mandate continues to be pursued. Amongst other changes, it is becoming increasingly necessary to ensure that the SIU can perform certain pre-investigation activities with speedier interventions, engage with institutions that are not subject to a proclaimed investigations benefit from services, including education, and preventative action and that the SIU could vertically integrate into its downstream supply chain by effecting the recommendations it makes to some of its State institution clients. The SIU is currently engaging 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.

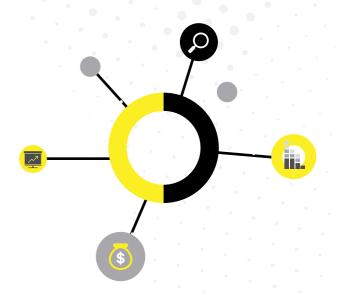
COVID-19

The SIU has adapted and learnt to work in the new normal environment imposed by precautions taken to prevent the spread of COVID-19.

Reintroduction of an Enterprise Project Management Office (EPMO)

The reintroduction of an EPMO will initially take a light form that reintroduces a project-focused mindset, reinforcing standardised project management disciplines throughout the SIU.

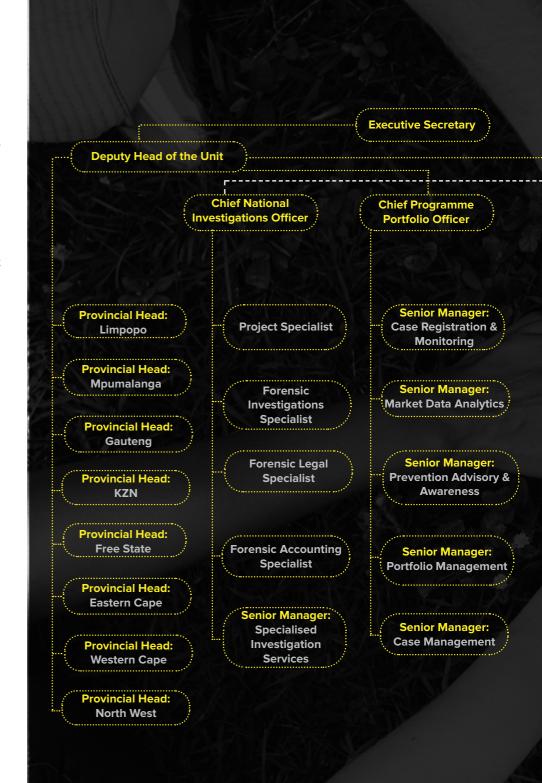
Each line function will run their own function-specific projects e.g. managing cases (as projects), deployment of project resources, development of digital solutions, internal workflow, interdepartmental communication and follow-up on consequence management that can be tracked more efficiently and effectively under the overarching constructs of the EPMO. Where projects have cross-functional lines or affect multiple offices, the EPMO will ideally be positioned to coordinate the various affected parties, resources and competing priorities with other projects.



Organisational Culture

Culture is an intangible, yet palpable, experience when one engages with an organisation. The SIU's altruistic culture of determination to fight corruption, can be felt in every interaction with its staff. However, the growing pressures on the SIU team to produce results in ever-shorter periods, places enormous pressure on the SIU personnel. In addition, the real impact of efforts made by the SIU is muted by many State institutions and partner agencies failing to or refusing to implement the referrals made by the SIU; thus consequence management that could otherwise be achieved, is reduced.

In an attempt to prevent these frustrations from affecting the organisational culture, a number of initiatives have been put in place. These will ensure the organisation is refocused towards efficient and faster turnaround times through the aid of improved systems, standardisation of processes across all offices, clarification of roles, alignment of job descriptions and roles, increased collaboration with ACTT partner agencies and reintroduction of the EPMO.



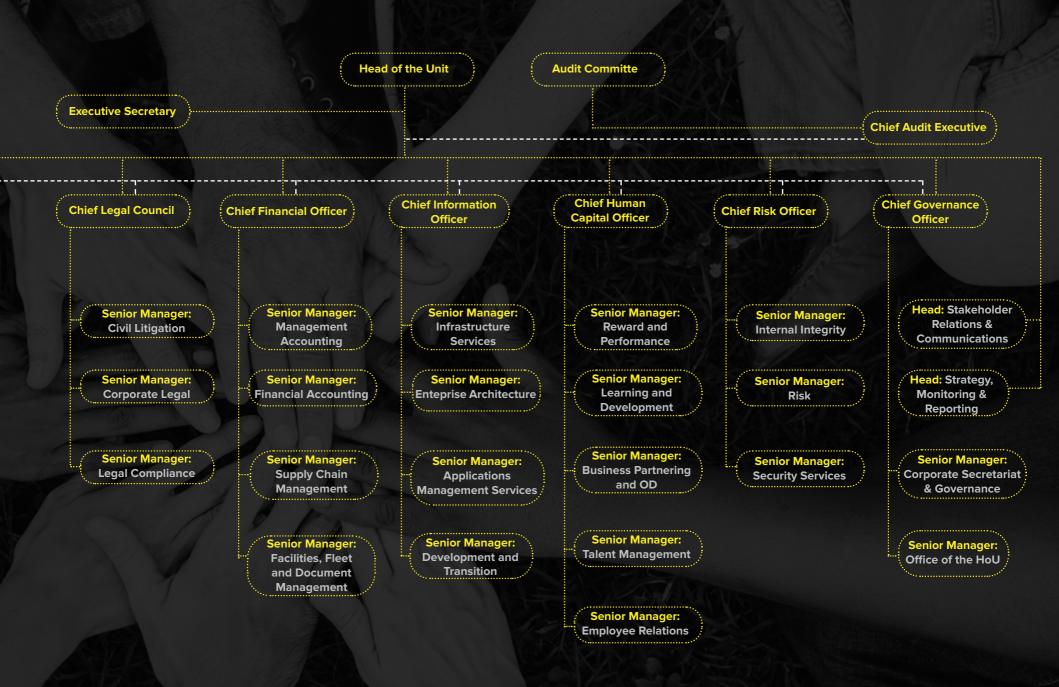


Figure 11: SIU Top Level Structure





UPDATED INSTITUTIONAL PROGRAMME PERFORMANCE INFORMATION

PROGRAMME 1: ADMINISTRATION | 5

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

5.1. OUTCOMES, OUTPUTS, PERFORMANCE INDICATORS AND TARGETS

OUTCOME 1	OUTPUTS	OUTPUT INDICATORS	AUDITED/ACTUAL PERFORMANCE			ESTIMATED PERFORMANCE	MEDIUM-TERM TARGETS		
			2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
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	1.1 Maintain an unqualified overall AG audit outcome on previous year's financial performance	Clean audit	Clean audit	Clean audit	Unqualified audit opinion on the Annual Financial Statements (AFS) of the SIU	Unqualified audit opinion on the AFS of the SIU	Unqualified audit opinion on the AFS of the SIU	Unqualified audit opinion on the AFS of the SIU
	Develop and deploy a plan to leverage data analytics to create a globally competitive data-driven high-performance organisation	1.2 Implementation of the Data Analytics Capability phases	New	New	New	Implementation of phase 1 Data Analytics milestones planned	Implementation of phase 2 Data Analytics milestones planned	Implementation of phase 3 Data Analytics milestones planned	Implementation of Phase 4 Data Analytics Project Completion and close out as per milestones planned
	Low employee turnover rate maintained	1.3 Employee turnover rate	New	New	New	5%	4%	4%	3.5%
	SIU stakeholder engagement and awareness initiatives	1.4 Number of stakeholder engagements and awareness campaign initiatives conducted	New	New	New	3	5	5	5

5.2 QUARTERLY TARGETS

OUTPUT INDICATORS	2022/23 ANNUAL TARGET	QUARTERLY TARGETS					
OUTFOI INDICATORS	2022/25 ANNOAL TARGET	Q1 Apr–Jun 2022	Q2 Jul-Sep 2022	Q3 Oct-Dec 2022	Q4 Jan–Mar 2023		
1.1 Maintain an unqualified overall AG audit outcome on previous year's financial performance	Unqualified audit opinion on the AFS of the SIU	-	Opinion on the Annual AFS of the SIU				
1.2 Implementation of the Data Analytics Capability phases	Implementation of phase 2, Data Analytics milestones planned	-	- Progress report by end of September 2022		Implementation of phase 2, Data Analytics milestones planned		
1.3 Employee turnover rate	4%	-	4%	-	4%		
1.4 Number of stakeholder engagements and awareness campaign initiatives conducted	5	1	2	1	1		

Outcome 1: Explanation of Planned Performance over the Medium-term Period

The administration programme continues to provide integrated business solutions to support the core function in the areas of stakeholder management, human capital, maintaining positive audit outcomes on financial results, and information and communication technology. A purpose-driven organisational culture, alignment of resources to business priorities and effective administration support, enables successful achievement of the organisation's mandate.

Attracting, developing and retaining a high performing diverse workforce remains a high priority at the SIU, and a major shift in the Unit's scope of responsibilities requires identification of key capabilities for the current and future workforce in order to strengthen the performance and relevance of the SIU. The hallmark of a well-capacitated SIU in the medium term will particularly be to maintain the lowest level of vacancies; the SIU is planning to embark on an additional resourcing process to meet the demands of increasing proclamations. Staff turnover rate will be used to assess the SIU's sustainability, productivity, replacement cost and alignment to budget projections and constraints.

Continuous development and the enhancement of skills for all employees, management and leadership is key for organisational performance. To strengthen the SIU's investigative capabilities, Human Capital aims to capacitate all investigators with the necessary skills to gather relevant information in a more advanced manner during investigations. These skills include Open-Source Intelligence (internet investigations) and Darwin Tool Training (performing a quick scan on a shutdown computer and retrieving a forensic copy of the data without altering the source system); the objective is to improve and optimise organisational growth and ultimately enable the core business.

The SIU is still embarking on the journey of digital transformation to ensure that automation and modern digitisation of business processes are effective for organisational functioning. Digital transformation will ensure that the SIU infrastructure and systems are stabilised and optimised, and the information is digitised, managed and centrally stored. A Market data Analytics capability project has been identified as a priority over the medium- term in order to equip and train SIU investigators in new digital methods of conducting investigations. Included in the project and remaining a priority, is building a data warehouse and the use of data analytics to create various data and statistical models to feed into an investigation.

In terms of stakeholder engagement and awareness campaign initiatives, the SIU will double efforts in raising awareness amongst public servants, the general public and civil society. These initiatives (to be rolled out over the medium term), are aimed at empowering South Africans with information on the mandate of the SIU, strengthening relations with the media and strengthening communication with internal and external stakeholders. In addition, the SIU is embarking on a journey to enhance the Unit's corporate identity to refresh its look and feel to reflect its new strategic direction.

For five consecutive financial years, audit outcomes have portrayed good governance within the SIU. The Unit intends to continue maintaining an unqualified Auditor-General audit outcome wherein financial statements are free from material misstatements, no material findings on performance information and noncompliance key legislation. In addition, the SIU will continue to support other government interventions such as the minimum 30% budget procurement from the designated groups through the set-aside procurement plan.

5.3. PROGRAMME RESOURCE CONSIDERATIONS

	А	UDITED OUTC	ОМЕ	APPROVED BUDGET	MEDIUM-TERM ESTIMATES		ATES
DESCRIPTION	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Revenue							
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	35 631	44 061	30 643	26 724	28 060	29 464	30 937
Transfers received	357 099	368 877	425 853	437 878	452 060	454 796	475 221
Total Revenue	392 730	412 938	456 496	464 602	480 120	484 260	506 158
Expenditure							
Compensation of Employees	89 380	77 259	124 584	133 009	174 944	196 457	224 339
Goods and Services	102 768	47 595	71 851	93 178	87 754	103 705	105 648
Depreciation	7 315	7 077	7 666	7 735	13 260	22 731	38 967
Total Expenditure	199 463	131 931	204 101	233 922	275 958	322 893	368 954
Surplus/Deficit	193 267	281 007	252 395	230 680	204 162	161 367	137 204
Capex	6 362	17 519	2 996	5 000	150 000	70 000	80 000

5.3.1 Budget/Financial Performance

Grant revenue is projected to increase at an average annual rate of 2.8% over the MTEF period, from R 437.9 million in 2021/22 to R475.2 million in 2024/25 (although allocation is at the sole discretion of National Treasury).

The Administration Programme is allocated an average of 29.8% 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 Information Communications and Technology systems, in line with the SIU's business strategy. This investment is made with the aim of achieving organisational efficiency after the roll-out 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 a 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.

OUTCOMES	KEY STRATEGIC RISKS	CONTRIBUTING FACTORS	RATINGS	RISK MITIGATION
A compliant, high-performance SIU that is well-capacitated to rid society of corruption, maladministration and fraud in State institutions	Inability to provide adequate protection of investigators and whistle blowers against intimidation and threats emanating from SIU investigations	 Protracted process to conduct and complete Threat Risk Assessments (TRAs) by SAPS Inadequate internal capacity to respond immediately to threats experienced by investigators Occupational detriment and or victimisation arising from whistle blowing against corruption Failure to keep whistle blowers' identity anonymous due to unsecured reporting channels Inadequate whistle blowing protection advocacy and awareness program 	-	1.1 Continuous follow up with SAPS on the progress made regarding conclusion of TRAs 2.1 Appoint the Panel of Security Experts to provide protection for SIU investigators who are intimidated and threatened 3.1 The SIU to write a formal letter to Accounting Officers bringing the victimisation of whistle blowers in the department to their attention 3.2 Continuous engagement with whistle blowers that are being victimised to advise them of whistle blowing protection measures 4.1 Whistle blowers are continuously encouraged to report allegations via the SIU whistle blowing hotline managed by an independent service provider 5.1 Identify whistle blowers and witnesses involved in sensitive investigations and conduct one-on-one awareness training with them on whistle blowing and witness protection
	Inability to financially sustain SIU operations in the short-and mediumterm due to shortcomings in funding model	 Conflict of interest (e.g., senior officials investigated are expected to approve payments to SIU) SIU investigations are not budgeted by public institutions Some of public entities such as municipalities investigated are bankrupt (insolvent) Inadequate government grant that accounts for 60% of the SIU budget Inability to collect all revenue due to SIU as required by PFMA 51 (b) (i) 	=	1.1 Negotiate with National Treasury and propose that the budget for all SIU investigations is centralized 2.1 Review the SIU funding model to ensure sustainability 3.1 Escalate nonpayment by public entities to National Treasury and other relevant Government structures 4.1 Submit annual motivation to National Treasury to keep and maintain surpluses 5.1 Collaborate with the Auditor-General to assist SIU in monitoring outstanding debt from public entities 5.2 Ensure that invoices are accompanied by investigation progress report to Accounting Officers 5.3 Review the SIU charge-out rates for investigations
	Inadequate human resource capacity to execute and meet the growing demand of the SIU forensic and litigation services	Inflexible SIU remuneration model and policy Inadequate financial resources to fill vacant positions Critical skills scarcity and shortage in the market (forensic accountants and cyber) Inflexible recruitment practices make it difficult to conclude recruitment timeously Limitations imposed by transformation requirements (EE and PWD)		1.1 Ensure that SIU remuneration model and policy is reviewed and approved 2.1 Continuous review of the SIU Resources Plan to ensure alignment with budget 3.1 Collaborate with North West University through an MoU to build a pipeline for under- and post-graduate placements in forensic accounting 3.2 Identify internal investigators with capabilities in Cyber forensic investigation to be enrolled for Darwin Tool Training 4.1 Review the SIU Recruitment Policy and ensure that red tape is removed in the recruitment process 5.1 Review the EE Plan to reflect strategic skills/groups required by the Unit

PROGRAMME 2: INVESTIGATIONS AND LEGAL COUNSEL | 6

PROGRAMME 2	INVESTIGATIONS AND LEGAL COUNSEL
Purpose	To ensure the adequate execution of the mandated service delivery of the SIU
Sub-Programme 1	Central Case Registration and Monitoring
Purpose	To perform the following function:
Sub-Programme 2	Case Assessment
Purpose	 To fulfil the following role: 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 Analyse case reports Scope proclamations and maintain criteria Approve all recommended remedial action and presidential reports
Sub-Programme 3	Case Management and Investigation
Sub-Programme 3 Purpose	To execute the following functions: Allocate, coordinate and manage internal and outsourced teams Develop project strategy, identify and execute necessary actions Conduct investigations per focus and specialist areas Maintain and monitor investigation standards Provide specialist support to investigation teams as and when required Execute project governance, reporting and stakeholder management Refer evidence pointing to the commission of an offence to the relevant prosecuting authority accompanied by the relevant supporting evidence Refer evidence for the institution of disciplinary and/or administrative action Refer evidence and recommend remedial action Identify performance improvements Project closeout and evaluation of the investigation
<u> </u>	To execute the following functions: Allocate, coordinate and manage internal and outsourced teams Develop project strategy, identify and execute necessary actions Conduct investigations per focus and specialist areas Maintain and monitor investigation standards Provide specialist support to investigation teams as and when required Execute project governance, reporting and stakeholder management Refer evidence pointing to the commission of an offence to the relevant prosecuting authority accompanied by the relevant supporting evidence Refer evidence for the institution of disciplinary and/or administrative action Refer evidence and recommend remedial action

6.1. OUTCOMES, OUTPUTS, PERFORMANCE INDICATORS AND TARGETS

OUTCOME 2	OUTPUTS	ОИТРИТ		UDITED/ACTU		ESTIMATED PERFORMANCE	MEDI	UM-TERM T	ARGETS	
			INDICATORS	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
State assets and cash resources are protected from maladministration, fraud and corruption	ted proceedings to recover on, cash and assets and set aside contracts and administrative actions	2.1 Rand value of potential cash and or assets to be recovered	R33,430,405	R296,943,069	R818,620,834	R300m	R350m	R400m	R450m	
for the realisation of full value-for-money for State programmes		2.2 Rand value of actual cash and or assets recovered	R103,401,708	R48,650,657	R1,802,674,333	R250m	R275m	R300m	R325m	
		2.3 Rand value of contract and or administrative decisions and or actions set aside or deemed invalid	R999m	R4,330,000,000	R7,168,839,605	R1bn	R1,6bn	R1,9bn	R2,2bn	
		2.4 Rand value of potential loss prevented	R53,4m	R400,000,000	R2,783,993,149	R500m	R600m	R700m	R800m	

OUTCOME 3	OUTPUTS	ОИТРИТ		AUDITED/ACTU PERFORMANO		ESTIMATED PERFORMANCE	MEDIU	M-TERM TA	RGETS
		INDICATORS	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
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	95	398	5,749	170	180	185	190
manical		3.2 Number of referrals made for administrative action	240	240	41,187	115	120	125	130
		3.3 Number of referrals made to the relevant Prosecuting Authority	331	451	435	225	250	260	270
			3.4 Number of investigations closed under a published proclamation	3,430	2,000	42,117	1400	1450	1550
		3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/ opposition of civil proceedings	R7,9bn	R2,165,707,065	R64,788,741,548	R1,7bn	R2bn	R2,3bn	R2,6bn
		3.6 Number of cases issued in the Special Tribunal	-	-	40	25	35	45	55
		3.7 Number of reports submitted to the Presidency	20	19	15	18	20	25	30

The estimated performance reflected is the planned 2021/22 target

6.2 QUARTERLY TARGETS

OUTPUT INDICATORS	2022/23 ANNUAL TARGET	QUARTERLY TARGETS					
OUTFOI INDICATORS	2022/23 ANNOAL TARGET	Q1 Apr–Jun 2022	Q2 Jul-Sep 2022	Q3 Oct-Dec 2022	Q4 Jan–Mar 2023		
2.1 Rand value of potential cash and/or assets to be recovered	R350m	-	R150m	-	R200m		
2.2 Rand value of actual cash and/or assets recovered	R275m	-	R120m	-	R155m		
2.3 Rand value of contract(s) and /or administrative decision(s)/action(s) set aside or deemed invalid	R1,6 bn	-	R600m	-	R1 bn		
2.4 Rand value of potential loss prevented	R600m		R250m		R350m		

OUTPUT INDICATORS	2022/23 ANNUAL TARGET		QUARTERLY TARGE	TS	
OUTFOT INDICATORS	2022/23 ANNOAL TARGET	Q1 Apr–Jun 2022	Q2 Jul-Sep 2022	Q3 Oct-Dec 2022	Q4 Jan-Mar 2023
3.1 Number of referrals made for disciplinary action against officials and or executives	180	50	45	45	40
3.2 Number of referrals made for administrative action	120	35	30	30	25
3.3 Number of referrals made to the relevant Prosecuting Authority	250	63	63	63	61
3.4 Number of investigations closed under a published proclamation	1450	330	375	375	370
3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/ opposition of civil proceedings	R2bn		R800m		R1.2m
3.6 Number of cases issued in the Special Tribunal	35	8	10	12	5
3.7 Number of reports submitted to the Presidency	20	5	5	5	5

Outcome 2 and 3: Explanation of Planned Performance over the Medium-term Period

Outcome 2: State assets and cash resources are protected from maladministration, fraud and corruption for the realisation of full value-for-money for State programmes.

Corruption and maladministration have become a pandemic in South Africa. They undermine democracy and impact negatively on service delivery, socioeconomic development and public trust in Government. They discourage investor's confidence in the country, and collaborative efforts and unity by anti-corruption agencies across all sectors is urgent and critical to address the scourage of corruption. These collective efforts will demonstrate commitment to protect the State from being exploited through fraud and corruption.

Part of planned performance under this outcome is to optimise the use, and therefore the impact, of the Special Tribunal in terms of its outputs in concluding cases.

The SIU is part of the anticorruption agency that seeks to deter the recurring corrupt activities and maladministration, and endeavours to recover cash and assets already lost; this is equally important as those designed to proactively prevent the loss from happening in the first place. To achieve this objective, the plan over the medium-term period is to increase the Rand value of cash and or assets recovered or which are potentially recoverable, the Rand value of contracts and or administrative decisions and or actions set aside or deemed invalid, actual cash and or assets recovered, and the Rand value of potential loss prevented. The SIU has demonstrated success by achieving positive legal outcomes at the Special Tribunal against perpetrators of maladministration and corruption. The Special Tribunal has been especially instrumental in outcomes of the SIU civil litigation cases in ensuring monies lost to the State are recovered.

Outcome 3: Confidence in the governance systems, structures and policies of the State is restored and maintained.

Read in conjunction with the outputs for Outcome 2, the planned performance over the medium period by the SIU under Outcome 3 has expressed intent to deal with perceptions or the reality of impunity in State corruption and maladministration. The danger of perceived anarchy in handling public funds is the erosion of confidence in the State systems and its 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.

The SIU assists Government in ensuring that the governance environment and policies are more resilient and resistant to attacks by corrupt individuals, reducing vulnerability in governance structures. South Africa urgently needs laws to stop procurement corruption; however, laws and procedures can only halt corruption if they are adhered to, and when failure to do so leads to consequences for those responsible. The SIU is committed to ensuring that those responsible are investigated and that civil action is instituted to recover proceeds obtained illegally. This is demonstrated by the planned performance over the medium-term period where the SIU will ensure that finalised investigations are closed, mandatory status reports are submitted to the Presidency on time, and cases are referred to relevant authorities (either for disciplinary action, civil proceedings or prosecution).

Sufficient and increased funding would help to build the Unit's capacity to confront complex and high-level corruption cases; proper financial resourcing of public institutions tasked with anti-corruption work is vital to prevent massive public financial losses.

6.3. PROGRAMME RESOURCE CONSIDERATIONS

	А	UDITED OUTC	ОМЕ	APPROVED BUDGET	MEDIUN	M-TERM ESTIMA	ATES
DESCRIPTION	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Revenue							
Sale of goods and services other than capital assets	255 366	283 436	299 530	336 309	369 940	406 934	447 627
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
Total Revenue	255 366	283 436	299 530	336 309	369 940	406 934	447 627
Expenditure							
Compensation of Employees	307 575	348 519	311 409	393 195	538 121	593 051	683 523
Goods and Services	95 480	15 762	149 931	102 350	137 586	132 453	142 383
Depreciation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Expenditure	403 055	364 281	461 340	495 545	675 707	728 504	825 906
Surplus/Deficit	(147 689)	(80 845)	(161 810)	(159 236)	(305 767)	(321 570)	(378 279)

6.3.1 Budget/Financial Performance

Project income is planned to increase from R336.3 million in 2021/22 to R 447.6 million in 2024/25 (an average growth rate of 10.0% per annum over the period), although this would be dependent on the number of active Proclamations in a particular year. The number and timing of Proclamation approvals is not within the ambit of the SIU's control and poses a challenge to accurately predict. this amount.

The Investigations and Legal Counsel Programmes' main objective is to ensure the execution of the SIU's mandate, and is allocated an average of 67.4% 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 budget is allocated to this programme. Due to the functions performed within this programme (which are mainly investigation related), the personnel expenditure is projected to increase from R393.2 million in 2021/2022 to R683.5 million in 2024/2025. This projection is mainly driven by the anticipated influx in Proclamations over the MTEF, where resources to deliver will be required.

OUTCOMES	KEY STRATEGIC RISKS	CONTRIBUTING FACTORS	RATINGS	RISK MITIGATION
State assets and cash resources protected from maladministration, fraud and corruption for the realisation of full value-for-money for State programmes	Inability to expedite and timeously conclude civil matters and other legal proceedings enrolled at the Special Tribunal	 Unavailability of presiding officers for matters in the Special Tribunal Inadequate human resource capacity in the Civil Litigation Unit Delays in provision of legal services by State Attorney's Office. Unavailability of legal counsel due to schedule and diary constraints 	=	1.1 Ensure speedy re-enrolment of civil matters delayed due to unavailability of presiding officers 2.1 Review Civil Litigation Unit organogram to ensure that it is adequately capacitated 2.2 Capacitate Civil Litigation Unit through recruitment of qualified and skilled litigation lawyers 3.1 Procure the panel of attorneys to expedite provision of legal services for civil matters 3.2 Review the Civil Litigation Strategy and ensure approval thereof. 4.1 Brief alternate available counsel to ensure that civil matters continue when selected counsel is not available due to schedule and diary constraints
	Failure to complete investigations as per approved project plans and timeframes	 Investigators allocated to multiple-projects Open-ended proclamations with wide scope Insufficient forensic investigation skill sets Inadequate ICT investigation analytical tools Unwillingness of witness to cooperate and delays in obtaining evidence Poor investigation project planning Inadequate Cyber and Fordad capacity Protracted procurement process 		1.1 Develop Project Resource Allocation Plan that is linked to business development 2.1 Ensure that the scope of proclamations submitted to the Presidency is narrow and focused 2.2 Develop and implement phased-approach investigation project plans 3.1 Conduct skills gap assessment on all SIU forensic investigators 4.1 Procure cutting-edge and or modern investigation analytical tools 5.1 Issue Section 5 (2) (b) notices in terms of the SIU Act 74 of 1996 6.1 Review project planning process and include all key stakeholders (e.g., lawyers) 7.1 Recruit skilled and qualified personnel in Cyber and Fordad Units. 8.1 Review and appoint panel of experts based project resources requirements

PROGRAMME 3: MARKET DATA ANALYTICS AND PREVENTION 17

PROGRAMME 3	MARKET DATA ANALYTICS AND PREVENTION
Purpose	The implementation of relevant and proactive initiatives to prevent the reoccurrence of fraud and corruption cases as a result of systemic weaknesses in the public sector and to positively influence the behaviour of South African citizens
Sub-Programme 1	Data Analytics
Purpose	To perform the following functions: Collect, collate and analyse relevant internal and external data Conduct research, conduct trend, scenario and gap analyses Assess the impact of future disruptors on the SIU
Sub-Programme 2	Case Advisory
Purpose	 To fulfil the following role: Advise the relevant Minister regarding systemic improvements so as to avoid recurring cases of fraud and corruption Determine sector risk factors based on market data analytics reports Examine the practices and procedures of State institutions and public bodies and secure a revision of any that may be conducive to corruption Advice upon the request of private organisations or individuals on measures to combat fraud and corruption through risk assessments, awareness programs, identification and detection measures, control improvement and systemic recommendations
Sub-Programme 3	Prevention and Awareness
Purpose	To execute the following functions: Foster public support in combating corruption and promote education Improve the rate at which allegations are reported Publicly share data analytics information

7.1. OUTCOMES, OUTPUTS, PERFORMANCE INDICATORS AND TARGETS

OUTCOME 4	OUTPUTS	ОИТРИТ	,	AUDITED/ACTU PERFORMANO		ESTIMATED PERFORMANCE	MEDI	UM-TERM T	ARGETS
		INDICATORS	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Corruption, maladministration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence	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%	100%	100%
management measures	Access for the Assessment Committee to assess all centrally registered allegations	4.2 Percentage of centrally registered allegations assessed by the Assessment Committee	100%	100%	100%	100%	100%	100%	100%

7.2 QUARTERLY TARGETS

OUTPUT INDICATORS	2022/23 ANNUAL TARGET	QUARTERLY TARGETS					
OUTFOT INDICATORS	2022/23 ANNOAL TARGET	Q1 Apr–Jun 2022	Q2 Jul-Sep 2022	Q3 Oct-Dec 2022	Q4 Jan-Mar 2023		
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%		

Outcome 4: Explanation of Planned Performance over the Medium-term Period

The effectiveness and efficiency of executing the SIU mandate arguably begins and ends with information. The better the data gathered, refined (into useful sector intelligence), and disseminated timeously the data is to relevant stakeholders, the more effective and efficient the decision-making processes. This addresses critical evidence-based planning areas which must be underpinned by a firm understanding of sector trends. The responsibility of the Market Data Analytics 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 organisations
- 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 forms of analyses, various analysts throughout the organisation require access to an analytics platform that will enable them to retrieve, access and connect data from a variety of sources and provide simple statistics to descriptive, prescriptive and predictive models. Disruptive innovation must be significant and 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. In addition, the SIU must leverage machine learning and artificial intelligence to direct investigations, embrace the latest trends in technology, and not be afraid of implementing technology. The fourth industrial revolution is here, and the SIU can either embrace it or be left behind and become irrelevant.

This programme has an enabler role to fulfil for the SIU core business to deliver the required mandate optimally. Furthermore, the Unit holds the responsibility of driving learning and growth by studying global best practices in the anticorruption 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 of global best practice to combat and prevent corruption
- a function for measuring, monitoring and evaluation

All work related to generating sector intelligence for purposes outlined above needs to be steered through a central point so that there is proper coordination. This will be driven by the Data Analytics Strategy, which in addition, will cover considerations for complementary technologies. The effectiveness of this strategy must be reflected in how well the SIU uses the central repository to package relevant systemic improvement plans – which are to be developed in conjunction with targeted State institutions; this as a step towards taking essential precautionary measures against incidents of corruption and maladministration.

The SIU will embark on a process of issuing a tender to solicit responses from appropriate vendors, to provide data warehousing and management, business intelligence and data analytics platforms and or solutions, that meet the extensive market data analytical needs of the SIU. Additionally, recruitment of specialist skills to implement the recommendations of the recently concluded MDA readiness assessment will be finalised.

A business intelligence and analytics platform for market data analysis would provide a tool for analysis, aggregation, modelling, presenting and exploring several sources of data easily. The SIU has certain expectations that the system will need to provide for; it should be a tool for data integration, warehousing and mining – and be able to accommodate all data sources and formats. The platform must be able to permit all SIU analysts of varying levels of experience to interrogate and integrate (i.e., adaptable querying by analysts without having to be technical experts), with various outputs, such as exception and trend reports.

7.3. PROGRAMME RESOURCE CONSIDERATIONS

	AUDITED OUTCOME		APPROVED BUDGET MEDIUM-TERM ESTIMATES			ATES	
DESCRIPTION	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Revenue							
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
Total Revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Expenditure							
Compensation of Employees	2 651	5 722	6 539	4 984	9 571	13 332	20 042
Goods and Services	14 714	981	16 346	17 125	14 947	16 142	16 885
Depreciation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Expenditure	17 365	6 703	22 885	22 109	24 518	29 474	36 927
Surplus/Deficit	(17 365)	(6 703)	(22 885)	(22 109)	(24 518)	(29 474)	(36 927)

7.3.1. Budget/Financial Performance

The Market Data Analytics and Prevention Programme's main purpose is the implementation of relevant and proactive initiatives to prevent the re-occurrence of fraud and corruption cases due to systemic weaknesses in the public sector, and to positively influence the behaviour of South African citizens. The programme allocated an average of 2.8% of the SIU's total budget over the MTEF.

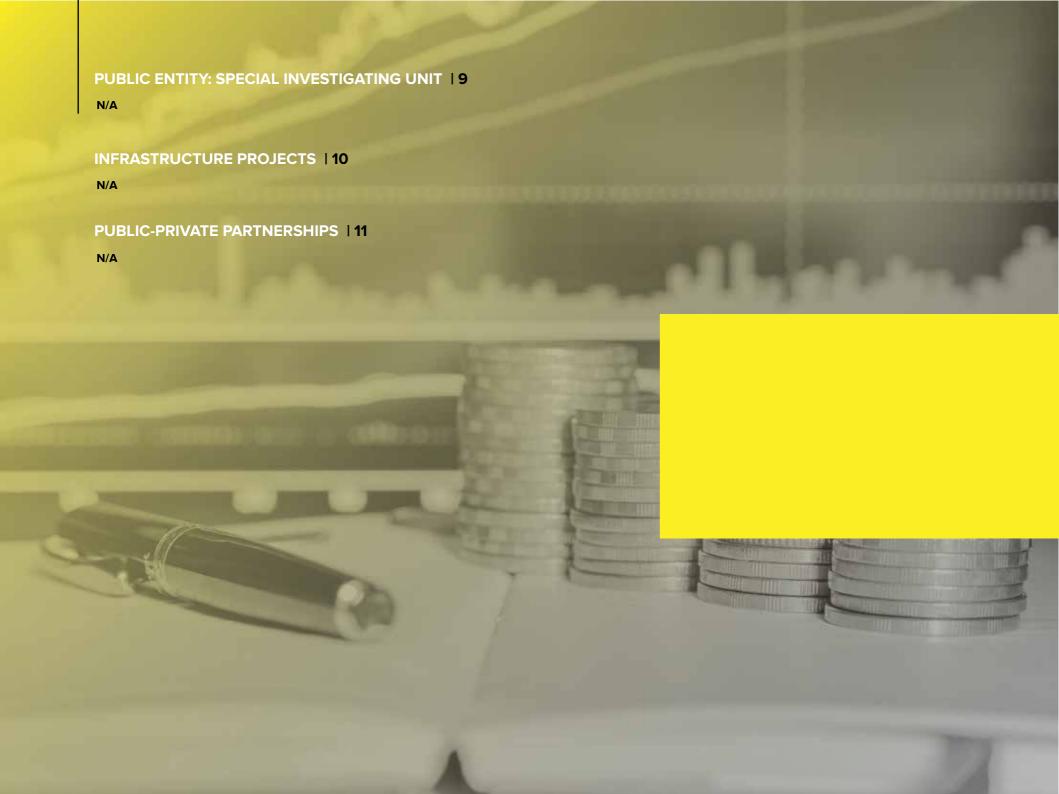
Expenditure relating to compensation of employees is projected to increase from R4.9 million in 2021/2022 to R20.0 million in 2024/2025. The cost driver for the increase is mainly that this programme is new and needs to be capacitated to ensure that it meets its objectives. Thereafter, the programme will be able to foster public support in combatting corruption and market research will be conducted on which sector risk factors can be determined.

7.4 UPDATED KEY RISKS

OUTCOMES	KEY STRATEGIC RISKS	CONTRIBUTING FACTORS	RATINGS	RISK MITIGATION
Confidence in the governance systems, structures and policies of the State is restored and maintained	Inability to provide adequate monitoring on the implementation of the SIU legal recommendations	SIU has no powers to enforce the implementation of legal recommendations Inadequate follow up of implementation of legal recommendations Lack of clearly defined monitoring mechanism for implementation of legal recommendations. Inadequate human resource capacity in the CPPO Monitoring Unit	-	1.1 Amend the SIU Act to give a mandate for intervention if legal recommendations are not implemented 2.1 Collaborate with DPSA Ethics Unit to assist with monitoring the implementation of disciplinary actions. 2.2 Collaborate with DPME to assist with monitoring the implementation of disciplinary action 2.3 Review and finalise the Memorandum of Understanding with NPA to regulate referrals for criminal prosecution 3.1 Develop Monitoring Policy Framework for the implementation of SIU remedial actions 3.2 Develop Monitoring Strategy for implementation of SIU remedial actions. 4.1 Capacitate the CPPO Monitoring Unit through recruitment and filling of positions as per the approved structure.

OVERVIEW OF THE 2022/2023 BUDGET AND MTEF ESTIMATES | 8

	AUDITED OUTCOME APPROVED BUDGET MEDIUM-TERM		M-TERM ESTIMA	ESTIMATES			
R0'00	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Administration	199 463	131 931	204 101	233 922	275 958	322 893	368 954
Investigations and Legal Counsel	403 055	364 281	461 340	495 545	675 707	728 504	825 906
Market data analytics and prevention	17 365	6 703	22 885	22 109	24 518	29 474	36 927
Total expense	619 883	502 915	688 326	751 576	976 182	1 080 871	1 231 786
Revenue							
Sale of goods and services other than capital assets	255 366	283 436	299 530	336 309	369 940	406 934	447 627
Other non-tax revenue	35 631	44 061	30 643	26 724	28 060	29 464	30 937
Transfers received	357 099	368 877	425 853	437 878	452 060	454 796	475 221
Total Revenue	648 096	696 374	756 026	800 911	850 060	891 194	953 785
expenses Current expenses							
Compensation of Employees	399 606	431 500	442 532	531 188	722 636	805 840	927 904
Goods and Services	212 962	64 338	238 128	212 653	240 286	252 300	264 915
Depreciation	7 315	7 077	7 666	7 735	13 260	22 731	38 967
Total Expenses	619 883	502 915	688 326	751 576	976 182	1 080 871	1 231 786
Surplus/Deficit	28 213	193 459	67 701	49 335	(126 122)	(189 677)	(278 001)
Capital Expenditure	6 362	17 519	2 996	5 000	150 000	70 000	80 000
Staff Count	532	520	531	612	733	756	816





INDICATOR TITLE	1.1 Maintain an Unqualified Overall AG Audit Outcome on Previous Year's Financial Performance
Definition	The results of the audit on the AFS that are undertaken annually by the Auditor-General that is given after the AFS has been audited according to statutory requirements; as prescribed by the PFMA
Source of data	Availability of the external or Auditor-General's audit opinion typically issued during Quarter 2, based on the audit of the previous year Annual Financial Statements
Method of Calculation (Quantitative) / Assessment (Qualitative)	Auditor-General's audit opinion on the Annual Financial Statements
Assumptions	 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 that there are no legislative or policy changes to the current auditing plans and cycles
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	N/A
Desired performance	To maintain an unqualified audit outcome annually over the MTEF and MTSF periods as proof of adherence to sound governance, financial management and internal control mechanisms, evidenced by the r Auditor-General's audit opinion (available in Quarter 2, based on the audit of the Annual Financial Statements of the previous financial year.
Indicator responsibility	Chief Financial Officer

INDICATOR TITLE	1.2 Implementation of the Data Analytics Capability Phases
Definition	The indicator measures the annual achievements of the implementation of a multi-year ICT project by tracking, monitoring and accessing the actual annual implemented milestones against the planned and approved annual milestones, within a specific year of a multi-year ICT project; 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 that enable the subsequent year's implementation of the multi-year ICT project. The multi-year Data Analytics Capability Project is for the institutionalisation of data analytics capability within the SIU enabling the delivery of focused, data-driven multi-disciplinary investigations
Source of data	Approved project plan for data analytics capability and progress report on the implementation of the milestones in the ICT project plan
Method of Calculation (Quantitative) / Assessment (Qualitative)	Simple count of data analytics Phase 2 milestones completed in the approved project plan (bi-annual)
Assumptions	 that costs of targeted systems implementations do not escalate beyond the SIU's affordability that the budget requirements are secured for the full period of the project that appropriately skilled and experienced personnel are hired to perform the duties where vacancies exist that there will be enthusiasm among key personnel to embrace and utilise new technologies for improved performance and or service delivery that change management processes to fast track uptake of new methodologies and systems will be effective and supported by all concerned
Disaggregation of Beneficiaries (where possible)	Appointment of service providers will be guided by preferential procurement requirements and provisions
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual Control of the Control of
Desired performance	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
Indicator responsibility	Chief Information Officer

INDICATOR TITLE	1.3 Employee Turnover Rate
Definition	This indicator seeks to determine the rate of employees exiting the SIU (voluntarily and involuntarily), from funded posts across the organisation to determine the SIU's ability to retain key and skilled employees occupying strategic and critical positions; voluntary exiting refers to resignations, while involuntary refers to retirement, death, dismissals, transfers, medical boarding and contract terminations
Source of data	Bi-annual and annual reports from the VIP Payroll and HR systems
Method of Calculation (Quantitative) / Assessment (Qualitative)	A number of voluntary and involuntary terminated staff as reflected in the Human Capital system at the time of reporting divide by an average of SIU headcount for the reporting period *100
	Average (A total of head count at the beginning of the period and the headcount at the end of the period/2)
Assumptions	that there are retention or value proposition factors expected to retain key skills
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
Desired performance	Striving to maintain the level of staff termination less than 10.0%, in order to achieve the highest possible levels of service delivery
Indicator responsibility	Chief Human Capital Officer

INDICATOR TITLE	1.4 Number of Stakeholder Engagements and Awareness Campaign Initiatives Conducted
Definition	The indicator is aimed at raising awareness to the public and stakeholders about SIU services and easy access by relevant stakeholders through awareness campaign initiatives, media and interactions
Source of data	Presentations, dated pictures of the events, attendance registers (where possible) and emails as a confirmation of the scheduled event
Method of Calculation (Quantitative) / Assessment (Qualitative)	Simple count of stakeholder engagements and awareness campaign initiatives conducted
Assumptions	All necessary resources (e.g., budget and equipment), will be placed at the disposal of Stakeholder Relations and Communication in order to successfully discharge the role of promoting access to the SIU and stakeholder engagements • all experts within the SIU, heads and departments will furnish Stakeholder Relations and Communication
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Quarterly
Desired performance	Enhance SIU brand awareness, and make the Unit's services clearer to the South African public and stakeholders for ease of access
Indicator responsibility	Head: Stakeholder Relations and Communications

INDICATOR TITLE	2.1 Rand Value of Potential Cash and or Assets to be Recovered
Definition	The indicator measures the Rand value in cash or cash equivalent of money and or assets potentially recoverable for the State
Source of data	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; all relevant documents are obtained from the investigation team and are captured on a central system (Performance Information Management System)
Method of Calculation (Quantitative) / Assessment (Qualitative)	The indicator is calculated by adding any of the values of the following items together: Acknowledgement(s) of debt ("AoD(s)")/Acknowledgement(s) of liability ("AoL") - It is the actual amount owing at the time of signing the AoD/AoL plus interest per annum at the legal rate up until the principal amount is fully paid (if applicable). The date of calculation is the date on which the AoD/AoL is signed by the debtor/defendant/respondent. Restraining order(s) - It is the value of money and/or assets, as reflected in a restraining order issued by the court or obtained from the National Prosecuting Authority ("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. Civil order(s) (i.e. court orders and/or Arbitration Awards.) - It is the value of the money and/or assets, as reflected in a court order issued by the court or an Arbitration Award issued by an Arbitrator. The date of calculation is the date that appears on the Court Order or Arbitration Award. Settlement Agreement(s) - It is 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. Compensation Order(s) - These are orders made in criminal cases e.g. through section 297 or section 300 of the Criminal Procedures Act, or fines issued by any regulatory authority. It is the value of the compensation order as 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 requlatory authority. South African Revenue Services ("SARS") Referrals - It is the value of calculation is the date that SARS acknowledges receipt of the SIU referral. Recommendations to stop payments - It is the value of the payment due to be paid by a State Institution where the SIU recommendation. Recommendations to recover ove
Assumptions	 that the outcomes of any court proceeding find in favour of the State through the SIU that the cash and or assets awarded to the State are recoverable that outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses amongst others. That individual high-value matters do not have significant influence. That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.
Disaggregation of Beneficiaries (where possible)	N/A

Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual
Desired performance	To act resolutely on behalf of the State to institute remedial action to recover the highest possible potential cash and/or assets to mitigate against any loss suffered by the State through corrupt and fraudulent acts and to deter similar future occurrences
Indicator responsibility	Chief Legal Counsel

INDICATOR TITLE	2.2 Rand Value of Actual Cash and or Assets Recovered
Definition	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
Source of data	 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: a summary of the SIU Accounts indicating the AoD and AoL repayments which are obtained from the AoD Enforcement Department reports and or any other relevant documentation 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 the central system: Performance Information Management System (PIMS)
Method of Calculation (Quantitative) / Assessment (Qualitative)	The indicator is calculated by adding the values of the following items together: 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 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 the SIU action or through the use of the 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 affected against debts owing by the State or the relevant third party to the debtor/ defendant/respondent 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 the SIU action or through the use of the SIU evidence; the date of calculation is the date when the State institution or the relevant third-party reports or acknowledges the final recovery of the money or receipt of the asset to the SIU investigation team Money and or assets recovered through execution of Civil Orders or Arbitration Awards: the sum of the value of money and or assets recovered through the execution of civil orders as a result of SIU actions or through the use of SIU evidence. The date of calculation is the date that appears on the court order or arbitration award. 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 SARS confirmations of recoveries: the value of money received by SARS; the date of calculation is the date that SARS do
Assumptions	 that the outcomes of any court proceeding find in favour of the State through the SIU that the cash and or assets awarded to the State are recoverable that outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses amongst others. That individual high-value matters do not have significant influence. That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A

Reporting Cycle	Bi-annual
Desired performance	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
Indicator responsibility	Chief Legal Counsel

INDICATOR TITLE	2.3 Rand Value of Contracts and or Administrative Decisions and or Actions Set Aside or Deemed Invalid
Definition	This is the Rand value of any contract and or administrative decision and or action, which through the SIU's interventions has been successfully set aside or deemed invalid, evidenced mainly by the following results: • the prevention of taking of an administrative decision and or action • the prevention of an award of a tender and or grant and or licence • the termination and or cancellation of a contract (including the renewal or extension of an existing contract) • the termination and or cancellation of a contract and or the withdrawal of an administrative decision and or grant and or licence • payment stoppage or the halting of delivery or a transfer of goods and or assets and or property • the removal of a recurrent payment such as a social grant or any other payment due under an existing contract and or grant or other administrative decision and or action • By the SIU or by State institutions relying on SIU evidence
Source of data	 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: letter and or agreement that a proposed administrative decision and or action has been terminated and or set aside or is void and or invalid or deemed as such letter and or agreement that contract and or administrative decision and or action has been terminated and or set aside letter and or agreement that a contract has not been concluded, renewed or extended letter and or agreement that a tender and or grant and or license has not been made or been withdrawn letter and or agreement that payment was stopped or the delivery and or transfer of goods and or assets and or property has been stopped letter and or agreement that a recurrent payment has been cancelled order of the special Tribunals or by order of any court or arbitration award The source documents are obtained from the investigation team and are captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	It is the face value of contracts and or administrative decisions and or actions that are set aside or terminated by agreement between the parties, by the State institution having terminated it or having withdrawn it, by the opposing and or 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 and or invalid; the date of calculation is the date upon which: • a proposed administrative decision and or action has not been taken • the award of a tender and or grant and or license has not been made • the contract has not been concluded, renewed or extended • the contract has been terminated and or cancelled • the administrative decision and or action or the grant and or licence has been withdrawn • a payment was stopped or the delivery and or transfer of goods and or assets and or property was halted • the recurrent payment has been cancelled The SIU or the State institution initiated civil proceedings or counter civil proceedings.
Assumptions	 that the outcomes of the court or special tribunal proceedings find in favour of the State or the SIU that there are no challenges pertaining to the reliance on external counsel and the availability of information, records and/or witnesses amongst others. that outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses amongst others. that there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings. that there are no delays or any other constraints concerning the complexity of matters and significant legal challenges.

Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual Control of the Control of
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
Definition	 The Rand value that could have been lost to the State but that is averted through a range of interventions such as: the prevention of the taking of an administrative decision/action the prevention of an award of a tender/grant/license. the prevention of the conclusion of a contract (including a renewal or extension of an existing contract). the termination/cancellation of a contract and/or the withdrawal of an administrative decision/grant/license. payment stoppage or the halting of delivery or a transfer of goods/assets/property. the removal of a recurrent payment such as a social grant or any other payment due under an existing contract/grant. Any other administrative decision/action, by the SIU or State institutions relying on SIU evidence
Source of data	 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: letter and or agreement that a proposed administrative decision and or action has been terminated and or set aside or is void and or invalid or deemed as such letter and or agreement that contract and or administrative decision and or action has been terminated and or set aside letter and or agreement that a contract has not been concluded, renewed or extended letter and or agreement that a tender and or grant and or license has not been made or been withdrawn letter and or agreement that payment was stopped or the delivery and or transfer of goods and or assets and or property has been stopped letter and or agreement that a recurrent payment has been cancelled order of the special tribunals or by order of any court or arbitration award
	The source documents are obtained from the investigation team and are captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	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 on which: • a proposed administrative decision and or action has not been taken • the award of a tender and or grant and or license has not been made • the contract has not been concluded, renewed or extended • the contract has been terminated and or cancelled • the administrative decision and or action or the grant and or licence has been withdrawn • a payment was stopped or the delivery and or transfer of goods and or assets and or property was halted • the recurrent payment has been cancelled The SIU or the State institution initiated civil proceedings or counter civil proceedings
Assumptions	N/A
Method of Calculation (Quantitative) / Assessment (Qualitative)	N/A

Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual
Desired performance	To maximise the value of this number as it reflects a saving for the institutions of state
Indicator responsibility	Chief Legal Counsel

INDICATOR TITLE	3.1 Number of Referrals Made for Disciplinary Action against Officials and or Executives
Definition	The total sum of referrals of SIU evidence pointing to misconduct or irregular conduct on the part of:
Source of data	Letters of referral with proof of submission obtained from the investigation team
Method of Calculation (Quantitative) / Assessment (Qualitative)	A count of the total number of officials and/or executives where disciplinary action has been recommended to the State institutions, authorities and they acknowledge receipt of the referral letter
Assumptions	 that there will be cases that will require such referrals as described that the receiving authority will duly acknowledge receipt of the referral letter
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 maximise the number of matters duly referred for disciplinary action to hold wrongdoers to account and deter future occurrence of similar offences
Indicator responsibility	Chief National Investigations Officer

INDICATOR TITLE	3.2 Number of Referrals Made for Administrative Action
Definition	 quantification of a total sum of referrals of SIU evidence pointing to misconduct or irregular conduct on the part of: vendors, contractors, suppliers and or service providers of State institutions (e.g., for black-listing purposes) members subject to the regulatory authorities (e.g., estate agents, engineers, security service providers, counsel, attorneys or accountants, health professionals) board members
Source of data	Letters of referral with proof of submission obtained from the investigation team
Method of Calculation (Quantitative) / Assessment (Qualitative)	The count of the total number of individuals and or entities where administrative action has been recommended with an acknowledgement of receipt for the referral letter; the date of calculation is the date on which the receiving authority acknowledges receipt of the referral letter
Assumptions	 that there will be cases that will require such referrals as described that the receiving authority will duly acknowledge receipt of the referral letter
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	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); 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 is obtained from the investigation team and captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	The total number of individuals and or entities where evidence pointing to the commission of offences has been referred with an acknowledgement of receipt for the referral letter; the date of calculation is the date on which the relevant prosecuting authority acknowledges receipt of the referral letter
Assumptions	 that there will be cases that will require such referrals to be made that the relevant prosecuting authority will duly acknowledge receipt of the referral letter
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	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).
Method of Calculation (Quantitative) / 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	 that the SIU will expedite processes to close out investigations that there will be occurrences that will necessitate investigation by the SIU in terms of its mandate
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Quarterly
Desired performance	To act expeditiously while executing the SIU's role with a view to maximise 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 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	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: Court documents for civil proceedings instituted in either the court or the Special Tribunal. Arbitration documents or other documents supporting a counter civil proceeding. The source documents are obtained from the investigation team and are captured on a central system (PIMS).
Method of Calculation (Quantitative) / 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 (i.e., 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 and or 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
Assumptions	 that there will be occurrences that will necessitate investigation by the SIU in terms of its mandate. that the outcomes of any court proceeding or Special Tribunal finds in favour of the State through the SIU. that there are no challenges pertaining to the reliance on external counsel and the availability of information, records and or witnesses amongst others. that outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses amongst others. that there are no delays due to the overburdened court rolls and legal and or technical points included in motions prepared for civil proceedings that there are no delays or any other constraints with respect to the complexity of matters and significant legal challenges
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual
Desired performance	Maximise the value of matters referred as they reflect the civil liability established through the SIU investigations into allegations of corruption, malpractice and maladministration
Indicator responsibility	Chief Legal Counsel

INDICATOR TITLE	3.6 Number of cases issued in the Special Tribunal
Definition	Quantification of the total sum of applications by the SIU to the registrar of the Special
Source of data	Allocation of case numbers obtained from the registrar and or as reflected in the court papers from the Special Tribunal
Method of Calculation (Quantitative) / Assessment (Qualitative)	A simple count of the total sum of case numbers issued in the Special Tribunal
Assumptions	There would be a duly appointed registrar to the Special Tribunal
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Quarterly
Desired performance	To optimise the use of the Special Tribunal to fast-track processing of cases handled by the SIU
Indicator responsibility	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 is obtained and captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	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	 that there are no challenges relating to outcomes being delayed by reliance on specialist skills or external counsel and or parties that outcomes are not delayed by a third party reliance and the availability of information, records and or witnesses amongst others.
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 to 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 Whistle Blower Hotline Centrally Recorded for Electronic Tracking
Definition	This indicator seeks to ensure that allegations received from the SIU whistle blower hotline are centrally registered in the Case Management System (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 whistle blower hotline; the tracking and monitoring of the allegations throughout their lifecycle is a built-in mechanism and part of the CMS workflow after being registered; the SIU whistle blower hotline is the platform where the SIU invites the public to report allegations
Source of data	The SIU whistle blower hotline quarterly summary reports and CMS registration database report showing allegations registered
Method of Calculation (Quantitative) / Assessment (Qualitative)	The number of SIU whistle blower hotline allegations reported to the SIU by the SIU Whistleblower Hotline that are registered in a quarter and financial year end against the number of allegations received from the SIU whistle blower hotline in a quarter and at financial year end *100
Assumptions	that the SIU maintains the requisite technology that operates reliably and optimally to facilitate the registration of allegations
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 whistle blower 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	The indicator seeks to ensure allegations registered in the Case Management System (CMS) are assessed on an equal and consistent basis; this is to eliminate bias and to allow for objective assessment; the committee assesses allegations that are in the <i>ready for assessment</i> status in the system; to ensure accurate reporting, a quarterly report will be drawn from the system at close of business on the 23 rd or nearest working day (in the case where 23 rd falls on a weekend or public holiday) of the last month of the quarter
Source of data	Central Case Management System report drawn on the 23 rd or nearest working day (in the case where 23 rd falls on a weekend or public holiday) of the last month of the quarter showing registered allegations that are ready for assessment and which will be assessed by the end of the quarter
Method of Calculation (Quantitative) / Assessment (Qualitative)	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 23 rd or nearest working day (in the case where 23 rd falls on a weekend or public holiday) of the last month of the quarter *100
Assumptions	 that there will be allegations received and registered centrally for assessment by the Assessment Committee on an equal and consistent basis that the SIU maintains the requisite technology that operates reliably and optimally to facilitate the assessment of allegations
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 whistle blower hotline are duly assessed
Indicator responsibility	Chief Programme Portfolio Officer

Physical Address:

Rentemeester Building | 74 Watermeyer Street | Rentmeester Building Meyers Park | Pretoria Republic of South Africa 0148

Postal Address:

Postnet Suite 271 | Private Bag X844 | Silverton 0127

Telephone: 012 843 0000

Fax: 012 843 0115

Hotline: 0800 037 7744 Email: info@siu.org.za





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