



SIU SA
STRIKING AGAINST CORRUPTION

ANNUAL PERFORMANCE PLAN 2023|2024

The State's preferred and trusted anti-corruption, forensic investigation, and litigation agency

FOREWORD BY THE MINISTER



MR RONALD LAMOLA (MP)

MINISTER OF JUSTICE &
CORRECTIONAL SERVICES

It gives me great pleasure to present the Annual Performance Plan for the 2023/2024 Financial Year of the Special Investigating Unit (SIU). The SIU is a critical component of our anti-corruption architecture and has been with us for 25 years. It faces a great task ahead of defeating the scourge of corruption in South Africa.

In the past year, the SIU changed its motto from “Poised to strike against corruption” to “Striking against corruption”. The new tagline is a true reflection of the SIU’s work in implementing its mandate as a law enforcement agency.

For the wheels of justice to grind exceedingly, all the elements of the justice system must

be in full flight. In the SIU’s case, its ability to recover monies lost as a result of corruption is imperative for the full realisation of justice. In the last financial year, the SIU has recovered R436 million in money and/or assets that the state lost due to corruption, while R5.9 billion was reported as potential cash to be recovered. The SIU also has the capacity to be proactive, it has also saved the State from losing R6.263 billion.

Furthermore, the SIU has been able to secure commitments in the form of Acknowledgement of Debts from various service providers. More of the funds and assets the country has lost due to State Capture and Covid-19 corruption is returning to the State’s coffers.

The SIU’s ability to move swiftly in setting aside contracts to save the State from more financial loss through the establishment of the Special Tribunal has proved the effectiveness of our legislation when implemented. In 2019, when the Department of Justice made the decision to implement the second part of the Special Investigating Unit’s and the Special Tribunals Act 74 of 1996, it was to ensure that SIU cases were no longer prolonged in the lines of the High Courts. Three years later, the decision has proved to be a great success. In the last financial year, the SIU has been able to lodge 54 cases with the contract value of R9.9 billion at the Special Tribunal.

The SIU has seen an increase in Proclamations. This speaks to the public trust it has gained in whistle-blowers bringing forward allegations to the unit. Citizens, public servants, civil organisations, and SIU collaboration is essential in confronting the scourge of corruption.

As we look towards the future in eradicating corruption in South Africa by 2030, the SIU’s role is cemented in pillar six of the National Anti-Corruption Strategy (NACS). It seeks to improve adherence to integrity management, anti-corruption mechanisms and improve consequence management across government, business, and civil society sectors. The SIU has already done the groundwork of implementing pillar six of the NACS by establishing the health sector, infrastructure-build and local government anti-corruption forums. We look forward to seeing more effective and impactful work of the SIU in this regard.

The venom of the SIU cobra is one every single corrupt individual in all spheres of government and state-owned entities should fear. We have seen in the recent past how the venom wipes out corruption, and the net is slowly but surely closing.

In recent years the SIU's track record has been impressive. Its history is a body of evidence that shows leadership in how corruption is dealt with, and its future is one that will ensure the safety of the public purse. Therefore, as the Minister of Justice and Correctional Services, I endorse this Annual Performance Plan of the SIU for the Financial Year 2023/24 as the pathway for what the SIU hopes to achieve.



MR RONALD LAMOLA (MP)

MINISTER OF JUSTICE AND CORRECTIONAL SERVICES

FOREWORD BY THE HEAD OF THE UNIT



ADVOCATE ANDY MOTHIBI
HEAD OF THE UNIT

It is with immense pleasure that I present our Annual Performance Plan for the 2023/2024 financial period. The past 25 years came with achievements and lessons of how the Unit has been on the journey to fulfil its vision of being the State's preferred and trusted anti-corruption, forensic investigation, and litigation agency. This is evident in the increased level of confidence of the public and our stakeholders, and in the increased Proclamations that were signed by the President in the last financial year. This also means that we need to roll up our sleeves further, and intensify the fight against corruption.

Civil litigation

The establishment and effectiveness of the Special Tribunal has assisted the SIU to attain its goals of ensuring that we recover the loss the State has suffered through acts of corruption, malpractice, and maladministration.

"In the 2022/23 financial year to mention a few highlights, the matters litigated by the SIU involved its opposition in the Constitutional Court matter (Ledla), where the SIU opposed the challenge by parties to, among others, the powers of the Special Tribunal, more specifically the power to make orders under Section 217 of the

Constitution of the Republic of South Africa, 1996. The Constitutional Court ruled that the Special Tribunal holds jurisdiction and powers to adjudicate reviews brought by the SIU, and to grant orders setting aside unlawful procurement contracts awarded by State institutions."

The SIU issued cases to have contracts with the value of R1.6 billion set aside. Actual cash was recovered under Proclamation R27/2018 (SAP) in the amount of R81 million; under Proclamation R8/2021 (UIF TERS) in the amount of R13 million; Proclamation R33 /22 (EOH) in the amount R60 million; and under Proclamation R88/2022 (NSFAS) the amount of R33 million. The SIU further obtained a preservation/restraint order in the amount of R166 million under Proclamation R23/2022 National Health Laboratory Services (NHLS); and a forfeiture order in the amount of R15 million.

The judgment handed down on 7 June 2022 in the Special Tribunal required Mr Hamilton Ndlovu, Bugatti Security, Hamilton Holdings, Hamilton Projects CC and Feliham to pay the NHLS R158 850 921.13 less the amounts to be recovered from the other defendants namely Mok Plus One R157 198; Ambomphetha R5 000; Persto R20 000; Kgodumo R122 720. The SIU investigation revealed that the R172 million PPE contract awarded by the National Health Laboratory Service (NHLS) to Ndlovu and associated companies was irregular, and the Special Tribunal declared the contract invalid and unlawful.

Increase in demand for the SIU's services

The impact of the work of the SIU resulted in an increase in the demand of the SIU's services from all spheres of government and Parliament. During the 2022/23 financial

year, the Minister of Public Works and Infrastructure (DPWI) requested the SIU to assist with the lifestyle audits of the DPWI senior management staff from director-general to directors of the department. This was successfully executed through a secondment agreement and the final report was issued to the executive authority of the DPWI.

Tackling State Capture investigations

The SIU is currently investigating Transnet, Eskom, Denel, Prasa, SAA and Alexkor, and these entities were flagged to be investigated in the Zondo Commission of Inquiry into State Capture report. The SIU has also instituted proceedings in the High Court to set aside contracts concluded at Transnet to the value of R54.5 billion.

Strengthening stakeholder relations and public trust.

In the 2022/2023 financial year we introduced to the public the revised SIU logo and “motto”. The SIU motto changed from “Poised” to strike against corruption to “Striking” against corruption. The launching of the new logo and motto provided the SIU with the opportunity to be intentional about its communication strategy, as well as developing content that educates the public about the SIU’s services. To this effect, this caught the eye of communications experts who have listed the SIU’s social media strategy as a good standard of how government social media accounts should function.

As part of strengthening the participation of the public, the SIU is putting more effort into its awareness campaigns and stakeholder relations. The SIU will continue through the convening of stakeholder engagements to ensure that all provinces, cities, villages and towns of South Africa know about the SIU and how the work of the SIU works for them.

Protection of whistle-blowers

The protection of the members of the public as whistle-blowers is critical and crucial to the successful execution of the SIU’s mandate. To this end the SIU is working with other relevant law enforcement agencies and the Department of Justice to strengthen this area.

Corruption prevention

Corruption prevention is a key focus this financial year. The SIU will dedicate significant resources to the development of a Corruption-Prevention Framework which will include a Corruption Risk-Management Framework. A Data-Analytics Program and other key business initiatives will contribute to the overall Corruption-Prevention Framework.

Strategic partnerships beyond South African borders

Our anti-corruption efforts are not limited to South Africa’s borders. The SIU is mindful of the fact that international collaborations play a vital role in combating corruption, especially to help expand its wings and learn from other anti-corruption bodies.

On the international stage the SIU is part of different organisations such as:

- The United Nations Convention against Corruption (UNCAC) which falls within the United Nations Office on Drugs and Crime (UNODC). The UNCAC is a key global convention and South Africa as a state is a signatory and member state. UNCAC has been domesticated in the South African Context through the National Anti-Corruption Strategy in respect of which the SIU is largely responsible for Pillar 6. This is however elaborated on in respect of the ACTT Programme 4: Vulnerable Sector and Risk Management.
- Other international associations wherein the SIU is also playing a role include the IAACA, AAACA, SADC Anti-Corruption Committee (SACC), CAACC and the Globe Network to name a few, which relate to the implementation of UNCAC.

Some of the key highlights in this regard include the following:

- As at February 2022, the Head of the Unit (HoU) was appointed as one of four vice-presidents of the International Association of Anti-Corruption Authorities (IAACA) responsible for regional coordination for the African Region.
- In December 2022, the SIU on behalf of South Africa hosted the meeting for the heads of anti-corruption agencies in the Southern African Development Community and handed over the chairperson seat to Namibia.
- The SIU also participates in the Financial Action Task Force (FATF) which was formed by the G-7 countries as an inter-governmental organisation to combat illicit financial flows by transnational criminals. The SIU is one of the key stakeholders through participation in and reporting to the Mutual Evaluation Inter-Departmental Working Group. In this regard, the SIU was part of the recent delegation to Morocco in January 2023 to present South Africa's report on the country's efforts to combat money laundering and terrorism financing.
- The SIU will also host the African Association of Anti-Corruption Authorities (AAACA) in the 2023 calendar year.

Technological advancement to beat the corrupt at their game.

The Information and Communications Technology (ICT) Strategy at the core focuses on the stabilisation of infrastructure, optimisation of processes, removing duplications from systems, and digitisation of the SIU's operations. Part of our digital transformation journey involves the use of innovation fuelled by the explosion of cloud computing, artificial intelligence (AI), and the Internet of things (IoT).

One of the key projects in our digital transformation journey is the implementation of a Data Analytics and Data Warehousing capability. We believe these are a market leading game-changer in "data driven", targeted investigations, and will enable the SIU to take a leading role in South Africa to prevent fraud and corruption by assisting State institutions with preventative measures in the reoccurrence of reported cases. We are also mindful of the digital era we are living in, and to effectively fight corruption

we need to advance our technological methods of investigations. Our investigators are equipped with the ability to securely access our internal systems enabling the "work from anywhere business culture" which is at the heart of any high- performance organisation.

Good Governance

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 on the path of maintaining a clean audit opinion, with no material findings.

Human Capital

The SIU is continuously engaged in developing and building talent pools, moving from reactive to a proactive talent-management database, ensuring operational continuity, and the sustainability of the organisation, as well as retaining the right people with the right skills in the right roles. Moreover to improve business capability and boost staff morale and productivity, the SIU has launched an organisational culture project in 2022/23 to be rolled out in the 2023/24 financial year.

Vacancy rate

The SIU intends to maintain its vacancy rate below 12% which can be attributed to the improvements in the recruitment process, such as the launch of the e-Recruit system.

Learning and development

The overarching objective of building capability for an effective management core and retaining people with scarce and critical skills, thereby strengthening our Employee Value Proposition (EVP) remains. To upskill and capacitate the SIU employees, the SIU management will be enrolled in various leadership development programmes.

Internship programmes and youth empowerment

In the quest of “growing its own timber” and contributing to government’s youth employment strategy, the SIU implemented a “Multidisciplinary Internship Programme wherein 26 interns were employed in 2022/23. The SIU has also partnered with North West University through a R10 million funding for the training of undergraduate forensic accountants (FA), post FA graduates and internal SIU staff members registered for a one-year Integrated FA Programme.

Employment equity

The SIU has made reasonable transformation progress at top management-level in the past three years. Employment equity targets were exceeded with a 49% and 51% ratio: male and female, respectively. The plan to accelerate diversity and inclusion, targeting 50% female representation in the workforce is exceeded. The SIU is committed to ensuring a balanced workplace and being transparent about our transformation agenda.

Funding model

Despite the request by the SIU for the funding model to be reviewed, National Treasury responded by declaring that the current model should be retained. The SIU will in future resurrect further engagements on the funding model, as it believes that some of the inherent challenges regarding the funding model must still be addressed, and we look forward to a positive outcome in the longer term.

The SIU has launched a focused project to recover outstanding debts owed for services rendered and has internally named it “Operation Khokhela”. The intention of the project is to pull in different resources internally and externally to ensure that most of the debt is recovered or that there is commitment from various stakeholders to make debt payments.

Conclusion

The greatest lesson that we have learned over the past 25 years is that we cannot fight corruption alone, and that reality demands that the SIU forms strategic partnerships with key stakeholders in the anti-corruption space nationally and internationally. Furthermore, as we contribute towards fulfilling the National Development Plan’s (NDP) vision of eradicating corruption by 2030, we need to adopt a whole society approach as stated in the National Anti-Corruption Strategy which includes civil society, business, government and other anti-corruption agencies. This was evident in the PPE investigation which is one of the exemplary investigations that proved the importance of a whole society approach in fighting corruption.

Consequence management remains fundamental in the effective fight against corruption, maladministration, malpractice, and *malfeasance*.

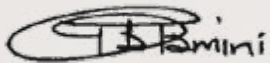


ADVOCATE J.L. MTHIBI
HEAD OF THE UNIT

OFFICIAL SIGN OFF

It is hereby certified that this Annual Performance Plan:

- Was developed by the management under the guidance and support of the SIU's Head of the Unit.
- Considers all the relevant policies, legislation, and other mandates for which the SIU is responsible.
- Accurately reflects the outcomes and outputs which the SIU will endeavour to achieve during the 2023/2024 financial year.



MS THENJIWE DLAMINI
HEAD: STRATEGY, MONITORING
& REPORTING

30/03/2023

DATE



MR ANDRE GERANDT
CHIEF FINANCIAL OFFICER

30/03/2023

DATE

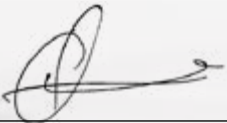


ADV JL MOTHIBI
HEAD OF THE UNIT

30/03/2023

DATE

APPROVED BY:



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

30/03/2023

DATE

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ACRONYMS/ABBREVIATIONS

ACRONYM/ABBREVIATION	DESCRIPTION
ACTT	Anti-Corruption Task Team
AFU	Asset Forfeiture Unit
AG	Auditor-General
APP	Annual Performance Plan
COVID-19	Coronavirus Disease 2019
CPI	Corruption Perception Index
DPME	Department of Planning, Monitoring and Evaluation
EE	Employment Equity
EPMO	Enterprise Project Management Office
EVP	Employee Value Proposition
FSAPPs	Framework for Strategic and Annual Performance Plans
GDP	Gross Domestic Product
ICT	Information Communication Technology
IT	Information Technology
MTEF	Medium-Term Expenditure Framework

MTSF	Medium-Term Strategic Framework
NACS	National Anti-Corruption Strategy
NDP	National Development Plan
NPA	National Prosecuting Authority
NT	National Treasury
PFMA	Public Finance Management Act
PIMS	Performance Information Management System
PPE	Personal Protective Equipment
PWD	People with Disabilities
SADC	Southern African Development Community
SAPS	South African Police Service
SARS	South African Revenue Services
SIU	Special Investigating Unit
SSA	State Security Agency

PART A:

OUR MANDATE



1. UPDATES TO THE RELEVANT LEGISLATION AND POLICIES

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:

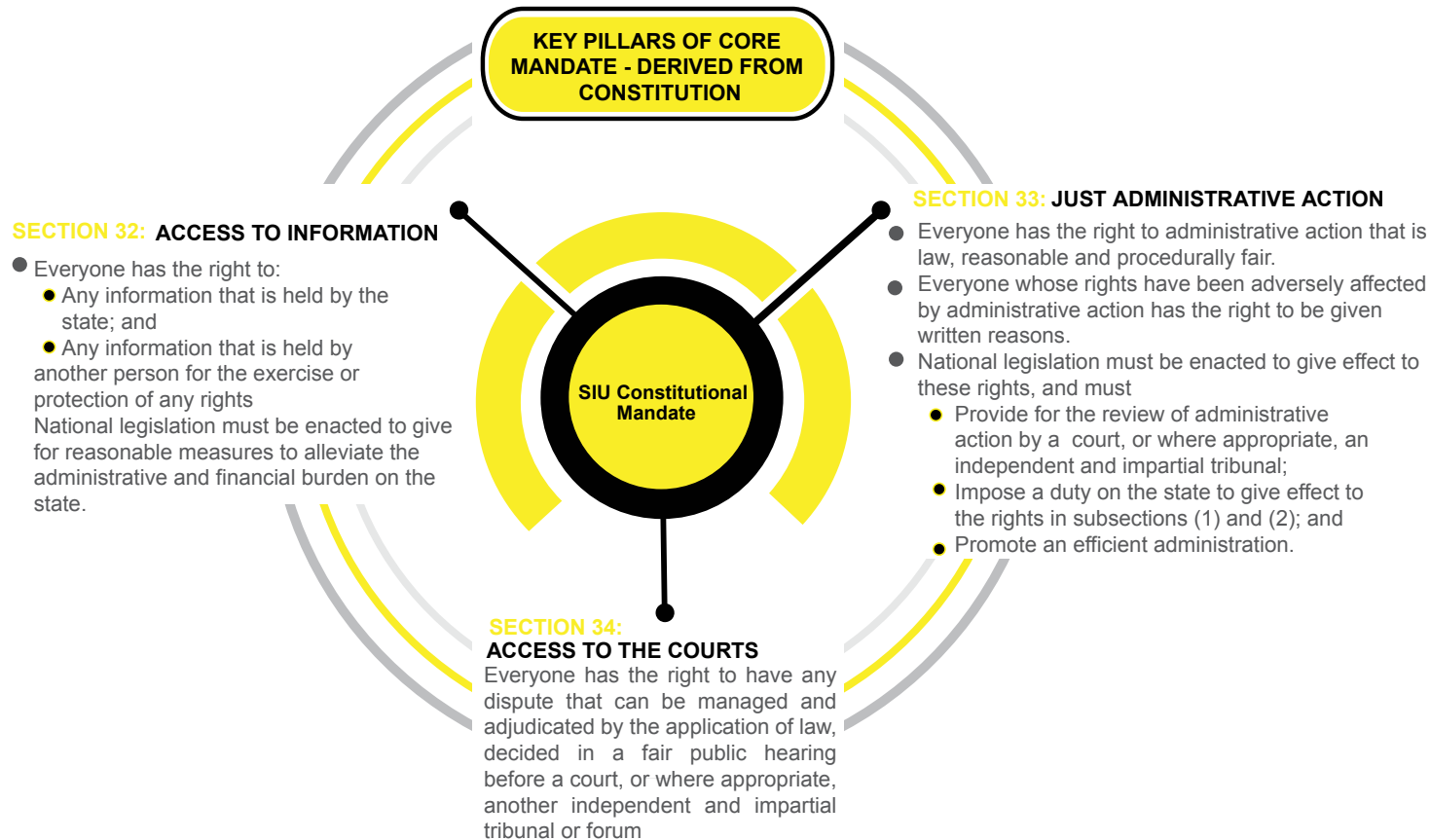


Figure 1: SIU Constitutional Mandate

1.2. LEGISLATIVE MANDATE

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

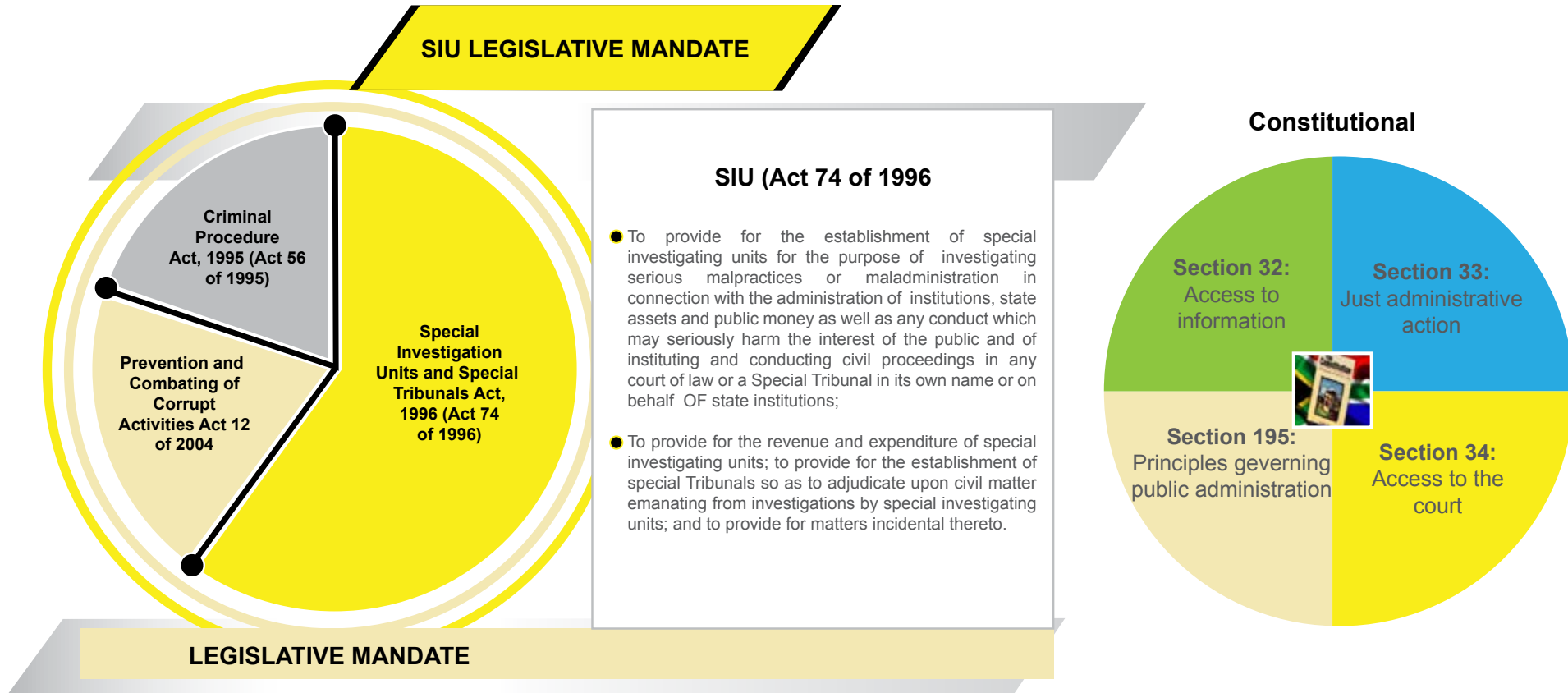


Figure 2: SIU Legislative Mandate

1.3. SIU MANDATE

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

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

1.4. ALIGNMENT TO GOVERNMENT INSTITUTIONAL STRATEGIES

In compiling this Annual Performance Plan for the period 2023/24, the Unit took into consideration the key contextual strategic factors emanating from:

1. The National Development Plan (NDP): Vision 2030	<p>The SIU aligns to Outcome 3 which states, “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.</p> <p>Under the auspices of this chapter, the SIU contributes through its multiagency collaborations.</p>
2. The 2019/2024 Medium-Term Strategic Framework (MTSF)	<p>This is underpinned by the seven National Priorities as proclaimed in the revised 2019 to 2024 MTSF. In this regard, the SIU locates its direct contribution under Priority 6: Social cohesion and safer communities, as a contribution towards cumulatively achieving the longer-term 2030 vision of the NDP. According to Priority 6, the SIU aims to take a leading role in the prevention of fraud and corruption that is undermining the rule of law, as well as impeding government’s efforts to achieve its socioeconomic development and service delivery objectives.</p>
3. Revised Framework for Strategic and Annual Performance Plans (FSAPPs)	<p>The Department of Planning, Monitoring and Evaluation’s (DPME) revised Framework for Strategic and Annual Performance Plans aims to improve the government’s planning processes. It further provides guidance to government’s institutions on short and medium-term planning in a standardised approach.</p> <p>The framework encourages the use of the “Theory of Change” as a planning methodology; however, this may also be used concurrent with other planning methodologies. The SIU has used the elements of both the theory of change and the results-based methodology for its planning process.</p>
4. The National Anti-Corruption Strategy 2020 – 2030 (NACS)	<p>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.</p> <p>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 multiagency forums.</p> <p>The SIU works closely with its partner agencies in the anti-corruption fraternity in ensuring consequence management, as well as state institutions preventing corruption.</p> <p>NACS identifies the need for a coordinating entity to be established to implement the strategy through coordination of the existing anti-corruption units – the SIU is ideally positioned to play a leading role in contributing thought leadership in the anti-corruption space.</p>
5. Anti-Corruption Task Team (ACTT)	<p>The ACTT was formed in 2010 as a coordinating arrangement between numerous anti-corruption agencies, including the SIU, AFU, SARS, FIC, SSA, NT, SAPS (Hawks) and the NPA, without an overarching legislative and regulatory framework for cooperation.</p> <p>The ACTT is regarded as the central structure mandated to give effect to government’s anti-corruption agenda, as collectively informed by the National Development Plan (NDP), the Medium-Term Strategic Framework (MSTF), the National Security Strategy (NSS) and the country’s international obligations.</p>

1.5. RELEVANT COURT RULINGS

The SIU in a seminal case in the Constitutional Court (Ledla) opposed the challenge of parties to among others, the powers of the Special Tribunal; more specifically the power to make orders under Section 217 of the Constitution of the Republic of South Africa, 1996. The Constitutional Court ruled that the Special Tribunal holds jurisdiction and powers to adjudicate reviews brought by the SIU, and to grant orders setting aside unlawful procurement contracts awarded by State institutions..

2. UPDATES TO INSTITUTIONAL POLICIES AND STRATEGIES

2.1. INSTITUTIONAL POLICIES AND STRATEGIES

As part of enhancing operational efficiency, the below strategies are being developed and/or reviewed.

National Corruption-Prevention Framework

In the medium-term period, the SIU is looking at the preventative side of dealing with corruption and maladministration, and a preventive approach calls for a strategic prevention plan. A draft National Corruption-Prevention Framework that adopts a multipronged proactive and reactive approach is in the process of being developed, and is still undergoing consultation with different stakeholders.

This framework requires a “whole of society” approach to preventing and combatting fraud, maladministration, malpractices, corruption and malfeasance. In addition, a risk-management approach to corruption prevention is a good way to ensure the risks of corruption are identified, understood and effectively managed.

Staff-retention strategy

To retain SIU employees and boost productivity and staff morale that will eventually lead to higher levels of performance, the SIU is focusing on improving the overall staff retention within the organisation. This initiative will be done by revising the current staff-retention strategy to build a stable base of operations which ultimately deliver efficient and effective results. The retention strategy will position the SIU as the employer of choice, and ultimately create and provide a positive and conducive environment to strengthen the SIU employees’ loyalty.

The strategy is underpinned on the following pillars:

- Employment branding – value proposition as employer of choice.
- Leadership competence model and rollout of a leadership development programme.
- Recognition programmes.
- Employee wellness engagements.
- Total reward offerings.
- Remuneration benchmark.
- Medical aid allowance.
- Coaching and a mentoring protégé programme.

Resourcing strategy

The SIU is undergoing its most significant period of visible change and remains constantly in the spotlight. The work of the SIU is recognised by citizens, and the demand for SIU services is increasing drastically. This reality puts more pressure on the Unit's resources and changes must occur in order to keep up with the changing environment and increasing demand for the SIU's services.

Recruitment and retention of competent staff is a critical factor to be considered in order to produce good results, however, this still remains a challenge due to a war of talent in the marketplace. To mitigate this challenge, the SIU is revising its resourcing strategy to refine its recruiting practices to increase diversity, anticipate workforce needs, and hire exceptional talent. The strategy will also assist SIU leaders to define and pursue objectives crucial to mandate success; prioritise resources to achieve those objectives; track progress; address gaps where identified; and importantly, deliver consistent results.

Organisational culture strategy

Culture sets the tone for productivity, integration and unity. The SIU plans to create a work environment where employees will collaborate and exchange ideas or expertise, and be self-motivated. A strong and sound culture improves morale, engagement, and retention of employees, where employees feel appreciated and recognised.

As part of working towards this goal and the ultimate vision of being a "State-preferred litigation agency" and becoming an employer of choice, the SIU needs to review its organisational culture strategy to boost its resource strength, and especially its human capital.

The SIU launched an "Organisational Culture" project in December 2022 which will be

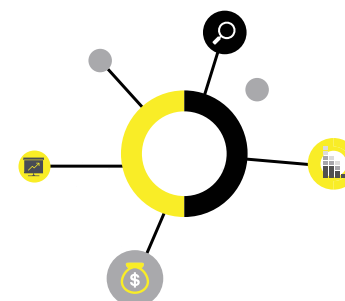
implemented in phases over the MTEF period. The following approach to rolling out the organisational culture project has been adopted:

- Phase 1: Diagnostic of the current SIU culture.
- Phase 2: Develop an SIU organisational culture strategy and plan.
- Phase 3: Conduct training/workshops of change agents.

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.



PART B:

STRATEGIC FOCUS



3. Strategic Focus

The SIU's operating environment is complex and of a concurrent nature. However the strategic direction of the unit is flexible, still able and capable to support the fight against corruption and maladministration which is specifically orientated towards **"Ridding society of fraud and corruption in state institutions"**, among the priorities of the SIU.

The SIU's Strategic Plan for 2020/21 to 2024/25 clearly stipulates the strategic

overview and the delivery areas and outputs that bridge the gap between medium-to-long-term outcomes, short-term annual outputs, and indicators. The delivery areas relating to strategic outcomes will be stipulated in the 2023/24 Annual Performance Plan, which indicate the previous, current and future targets of the SIU.

The SIU is cognisant of the direction it intends to take; it has a well-defined understanding of what it is, what it represents and what it wants to achieve in the short, medium and long term. The strategic overview below demonstrates the overall picture of what the SIU wants to attain in the long term, and the values that will enable the unit to attain its vision.



Figure 3: Strategic overview

3.1 SIU's budgeted programmes

The SIU is structured and divided into three budget programmes responsible for ensuring the mandate of the SIU is achieved. Programme 2 provides a core function and Programmes 1 and 3 provide an enabling function. These programmes are structured and designed to ensure the SIU optimises its resources and allocates its budget towards the effective execution of its mandate, and attaining its vision and mission to be the state's preferred and trusted anti-corruption, forensic investigation and civil litigation agency.

SIU PROGRAMMES AND CORE RESPONSIBILITIES



Figure 4: SIU's budget programmes

3.2 SIU's operational framework

The SIU is operating within a structured framework that stipulates the core functions of the SIU, its mandate and how these are going to be implemented. The below framework only relates to Programme 2, which is responsible for core business. The framework is underpinned on the value chain of the SIU.

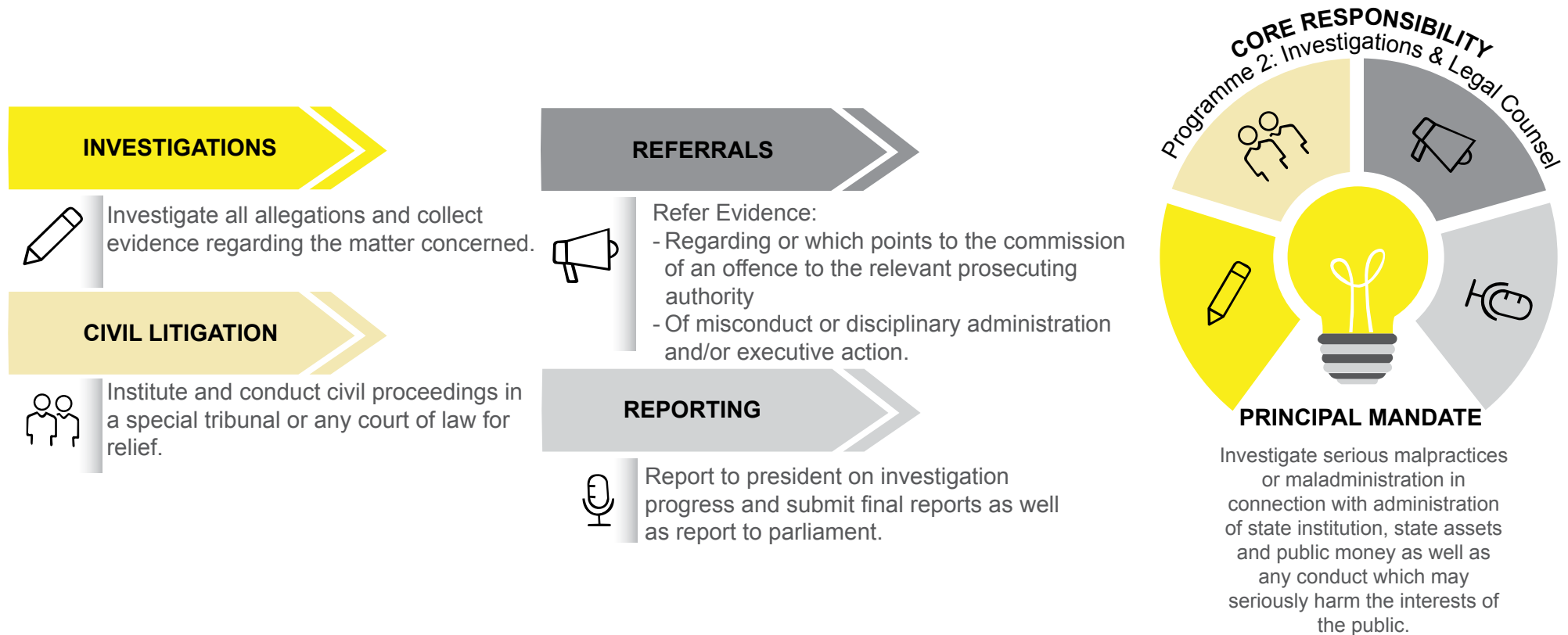


Figure 5: SIU's operational framework

The results-based methodology (Figure 6) was emphasized during the review of the strategy as part of the planning process.

RESULTS-BASED CONCEPTS APPROACH

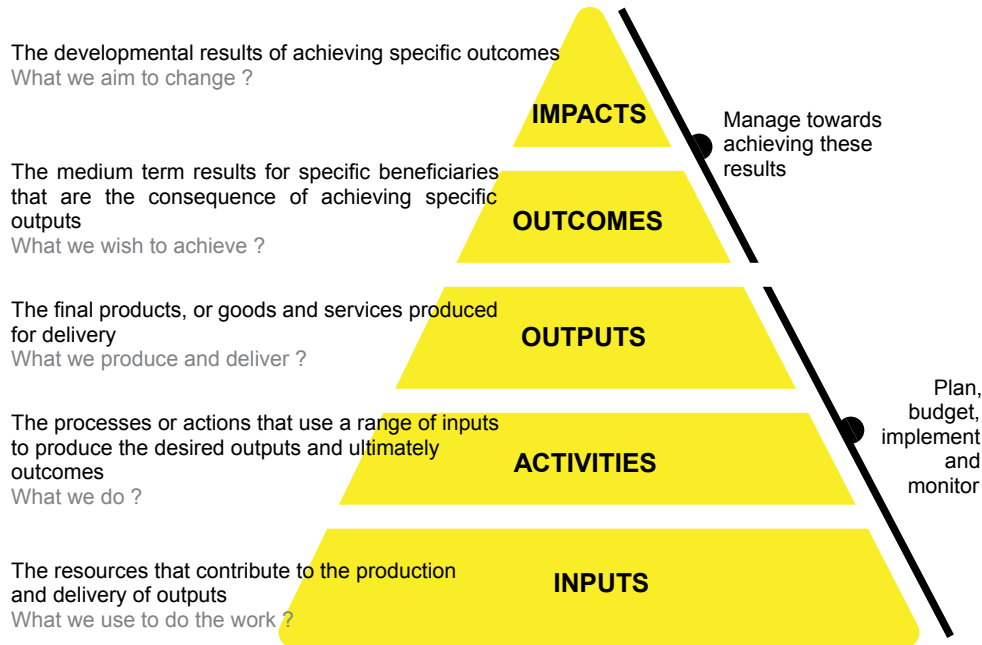


Figure 6: Results-based Concept Approach

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 2019/20 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 7).

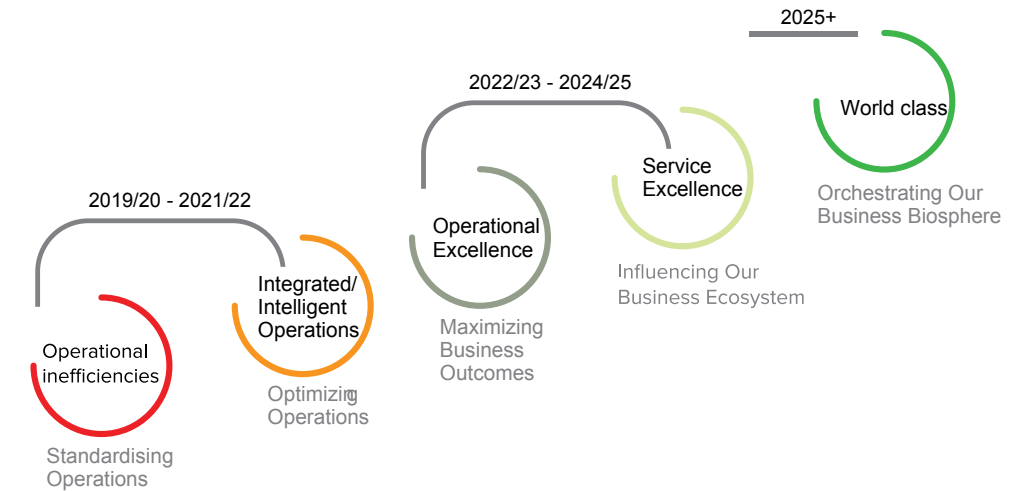


Figure 7: SIU Path of Improvement

The SIU adopted four strategic outcomes in its 2020/21 to 2024/25 Strategic Plan: these outcomes are aligned to detailed and measurable outputs that provide a way to commit resources to actions. Moreover, the SIU also adopted 14 strategic focus areas to ensure that operational excellence is maintained across all three programmes that are linked and responsible for implementing the mandate of the SIU.

Focus Areas

Improved turnaround times of investigations.	Monitoring the implementation of SIU referrals and consequence management.	Implementing targeted prevention and awareness campaigns.	Making systemic recommendations to State institutions to prevent the recurrence of corruption, maladministration, malpractice and malfeasance.
Implementing corruption, maladministration and malpractice data analytics.	Implementing measures to accelerate civil litigation.	Reviewing and strengthening the SIU funding model.	
Improving on the SIU Governance Framework.	Introducing a new organisational and individual performance-management system.	Re-introduction of an E-PMO	Improving communications and stakeholder relations.
Business Development (Provincial Offices)	Strengthening of Employee Value Proposition (EVP)	Digital Transformation	

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4. SITUATIONAL ANALYSIS

This section presents an update to the situational analysis both 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 to 2024/25. Discussed below are the salient shifts in the environment that may influence the SIU.

4.1. THE EXTERNAL ENVIRONMENT

Global economic outlook

The level of uncertainty in global economic outlook is evident in the International Monetary Fund's October 2022 warning that there is a 25% probability that global economic growth could drop to below 2% in 2023. It is also notable that South Africa's economic growth forecasts are much below that of the world average over the period, and even below that of advanced economies. South Africa's expected performance below these global benchmarks point to problems beyond electricity supply and will require future economic plans to transcend structural reforms.

Economic outlook for South Africa

In the 2022 financial year, South Africa had to deal with a range of new challenges such as systemic supply chain disruptions, rampant global inflation and the beginnings of a global recession. These, together with ongoing local challenges such as power cuts, underperforming utilities, long-overdue structural reforms, and the devastating impacts of climate-related events are weighing on South Africa's growth outlook.

However, progress made in recent months, particularly towards fiscal consolidation goals, relatively early monetary tightening, as well as some network industry reforms will likely support an environment that promotes growth, investment, and job creation in the medium term.

Inflationary pressures and the cost of living ¹

Since the beginning of 2022, South Africa's headline inflation has been driven by global price increases in food and fuel, and this has affected the cost of living drastically, with household spending growth estimated to be less than 3% in 2022, and only 1.7% over the three years from 2022 to 2024. South Africa's expenditure on GDP increased by 1.6% in the third quarter of 2022, following a 0.7 % contraction in the previous quarter.

Fiscal consolidation measures such as budget discipline, together with better-than-expected tax collections primarily driven by global commodities demand, have brought down the budget deficit. The budget deficit for 2022/23 has been revised down to 4.9% of GDP (from 6% in the 2022 Budget) and smaller deficits are forecast for the next three years, with a primary budget surplus (i.e. excluding interest payments) of 0.7% of GDP pencilled in for 2023/24.

Rightfully, the revenue windfalls are being used to reduce government debt, expected to now peak at 71.4% of GDP in 2022/23, before declining to about 65% in 2029/30, and to support reforms at crucial state-owned enterprises (SOEs). However, an overreliance on high commodity prices to bolster revenue collection is risky; so too is possibly higher-than-projected fiscal expenditure, particularly given pending public sector wage negotiations, the weak financial position and future bailouts of SOEs (despite conditions for funding to be put in place), and the continuation of the special

¹ •Deloitte economic outlook report December 2022,
•Third Quarter Economic brief December 2022.

Covid-19 grant, possibly in the form of a basic income grant.

This gloomy picture of the South African economic landscape and challenges around revenue collection and budget constraints will pose a challenge in terms of budget allocation for the SIU. This means budget cuts and punitive measures will have to be implemented to important programmes that are key especially to the core business.

These budget challenges will also affect the prioritisation of funds to improve capacity for the SIU. With the developments on corruption trends which translate into an escalated demand of the SIU's services, the unit cannot afford to have budgetary constraints that will affect its service delivery. It is important that sufficient funding is available to assist the unit to build its capacity to confront complex and high-level corruption cases.

CORRUPTION LANDSCAPE IN SOUTH AFRICA

Two years into the devastating Covid-19 pandemic, this year's Corruption Perceptions Index (CPI) reveals that corruption levels have stagnated worldwide. The past year has brought disturbing examples of this, from the killing of human rights defenders and the closing of media outlets. There is an urgent need to accelerate the fight against corruption if we are to halt human rights abuses, and democratic decline across the globe.

In South Africa, corruption straddles the public and private sectors and as per the corruption report of 2021; 62% and 25% of corruption cases are attributed to each, respectively. And whistle-blowing comes at a high price in South Africa in the absence of improvements to the current whistle-blower protection mechanisms. Corruption allegations are received from all corners of the country, but more than two-thirds of reports emanate from four provinces: Gauteng (43%); the Western Cape (9%); and

KwaZulu-Natal and Limpopo (8% each).

Whistle-blowing phobia as a threat

Those brave enough to expose corruption continue to face threats to their lives from people acting with impunity, and the environment is even more hostile to whistle-blowers. Corruption Watch did a survey in 2021 to seek and understand perceptions, attitudes and behaviours related to whistle-blowing in South Africa. Twenty questions were developed and administered through an online surveying instrument, with a total of 2 010 responses received over a two-month period.

Respondents in this survey agreed that whistle-blowers have contributed to an understanding and awareness of how corruption and crime have manifested in the country. However, participants have also noted that despite the many individuals who have come forward with their disclosures, government in particular is still not taking serious steps to root out corruption, and there has been little to no impact in terms of motivating good and ethical conduct among public servants and the private sector. The survey also indicated that whistle-blowing comes at a high price in South Africa in the absence of improvements to the current whistle-blower protection mechanisms.

Corruption trends in South Africa²

In South Africa corruption occurs both in the private and public sectors. In the private sector the most commonly found corruption types are fraud (56%) and maladministration (25%), which relate more to compliance, the types of corruption trends observed in the public sector relate to abuse of authority, bribery and extortion, and procurement and employment irregularities.

Whereas in the private sector the most commonly found corruption types are fraud (56%) and maladministration (25%), which relate more to compliance, the types of

corruption trends observed in the public sector relate to abuse of authority, bribery and extortion, and procurement and employment irregularities.

Amid a huge public outcry and expectation to see the relevant state institutions holding wrongdoers accountable, the pressure is mounting on the SIU's resources to assist the state in terms of dealing with corruption and maladministration. This means the escalating scourge of corruption renders the mandate of the SIU more pertinent and burdens the unit with a greater responsibility to strengthen the systems, processes and resources to tackle and investigate corruption and maladministration. The importance of the role of the SIU has been amplified by the realisation and evidence that corruption prohibits productivity growth through the corruptly biased decisions over the use of state resources. It impacts the level and composition of government expenditure, as it increases the cost of goods and services purchased while reducing the funds available for productive government use.

4.2. INTERNAL ENVIRONMENT

The internal environmental analysis demonstrates the competence and capability of the SIU to deliver on its mandate. Since the tabling of the 2022/23 APP, the SIU is still on the journey of ensuring that operational efficiency and corporate governance is prioritised and maintained to implement its mandate of dealing with practises of corruption and maladministration across all state institutions. Moreover, the SIU is striving for service excellence and to be a world-class law enforcement agency. The enabling factor is the strategy that was adopted by the SIU in 2020/21; this strategy is a tool that will gear the SIU towards that journey and growth.

4.2.1 SIU'S CAPABILITY AS A SOUND ANTI-CORRUPTION AGENCY

Civil litigation as a tool of fighting the scourge of corruption

The establishment of the Special Tribunal has increased the legal outcomes of the Special Investigating Unit. The Special Tribunal exclusively adjudicates upon cases instituted by the SIU based on the findings of its investigations undertaken under proclamations issued by the president in terms of section 2(2) of the Special Investigating Unit and Special Tribunals Act 74 of 1996.

To deter the recurrent corrupt activities and maladministration, endeavours to recover cash and/or assets already lost are in motion by instituting and conducting civil proceedings through the Special Tribunal. Civil litigation services play a vital role in terms of executing the legislative mandate of the SIU in the medium term. The SIU is planning to increase its targets on the rand value of cash and/or assets recovered or are potentially recoverable, the rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid, actual cash and/or assets recovered as well as the rand value of potential loss prevented.

Technology as a tool to enhance accuracy, efficiency, and productivity

The Special Investigating Unit is planning to implement upgraded systems as part of its five-year strategy to optimise the Unit's productivity and to positively increase its output. Using various forms of technology within the business units/tasks such as asset management, fleet management, ICT management, and human resource management, the Unit will be able to provide key stakeholders full access to view the productivity of their departments. This will inevitably transfer accountability and responsibilities down the chain of hierarchy, and provide the Unit access to those who are not treating business assets and time with the respect it requires.



Implementing upgraded technology will also improve the way business unit(s) communicate, ensuring a continuous flow of data across the organisation, and the seamless transition from phase to phase over the lifetime of the systems, saving the SIU time, money, and resources.

Part of the SIU's digital transformation journey involves the use of innovation fuelled by the explosion of cloud computing, artificial intelligence (AI), and the Internet of things (IoT), providing our organisation with new ways to achieve our strategic objectives.

The SIU's focus is on a key project of implementing a data analytics and data warehousing capability, which we believe is a market leading game-changer in "data-driven", targeted investigations, and will enable the SIU to take a leading role in South Africa to prevent fraud and corruption and assisting state institutions with preventative measures for the recurrence of reported cases.

Creating a well-grounded and capable SIU

SIU is on the journey of building a capable talent pool to ensure operational continuity and sustainability of the organisation by retaining the right skills that are critical in the operational excellence of the SIU. To ensure that the SIU attracts and retains competent talent and scarce skill, and builds capable staff for the attainment of its objectives, a resource strategy and the staff retention strategy is to be reviewed in the 2023/24 financial year.

Employee value proposition

As part of the employee value proposition (EVP) and to build and strengthen SIU capability to retain employees with scarce and critical skills, the SIU has embarked on a journey of implementing the below initiatives:

1. Upskilling of the SIU management

Three leadership development programmes were identified as part of upskilling or capacitating the management and executives of the SIU. Over the medium-term period the SIU is committed to building an institution that is performance-driven and values its employees by setting value proposition initiatives as a priority. Over the medium-term period the focus will be on the following initiatives:

2. Remuneration framework

The SIU is currently developing a new remuneration philosophy which is part of an interlinked, holistic and people-oriented talent approach, aiming to support current and evolving business priorities. The competitive talent landscape demands a differentiated reward system capable of competitively matching pay for results, delivered fairly without bias, and flexible yet compliant across all markets. The SIU's key focus areas for 2023 includes a review on existing benefits.

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3. Medical aid

The SIU is committed to improving its EVP, especially in relation to employee's health matters, which ultimately contributes to staff retention. The SIU has embarked on plans to grant its members a medical aid allowance. These plans will provide excellent value, with solid medical cover with an attractive range of benefits.

4. Organizational culture

In the SIU's journey towards building a sustainable SIU culture, the leadership has significantly progressed in gaining a deeper grasp of the challenges faced by the organisation which has launched an "organisational culture" project to ensure the SIU builds and inculcates a long-lasting and sustainable business culture.

5. Long-service awards

As part of the approved employee recognition and long-service programme, the SIU will continuously recognise its employees with meaningful awards for years of loyalty, exceptional behaviour and achievements.

6. Registration with professional bodies

The SIU continues to build the capabilities of all its members by registering with several relevant and technical institutions, such as the Institute of Directors in South Africa (IoDSA), the Association of Certified Fraud Examiners (ACFE), and the South African Institute of Chartered Accounts (SAICA) etc.

Funding model

National Treasury has indicated that the current funding model where the SIU is dependent on both Grant Funding (i.e., funding from the fiscus) and Project Income (charging for services rendered), cannot be amended at this stage. The SIU had put forward a request to have the Grant Income to be at least 50% of the total revenue

over the Medium-Term Expenditure Framework (MTEF). With this development regarding the amendment of the funding model, the SIU is forced to ensure that outstanding debts are recovered, and measures are put in place to ensure that the productivity rate of its operational resources are increased for financial sustainability in the short to medium term. The SIU will in future resurrect further engagements on the funding model, as it believes that some of the inherent challenges regarding the funding model must still be addressed, and look forward to a positive outcome in the longer term.

Operation "Khokhela"

The SIU has launched a focused project to recover outstanding debts owed for services rendered and has internally named it "Operation Khokhela". The intention of the project is to pull in different resources internally and externally to ensure that most of the debt is recovered or that there is commitment from various stakeholders to make payments. Bilateral meetings between the SIU and various stakeholders, assistance from National Treasury on sending out payment request letters, escalations to executive authorities and invoking the Inter-Governmental Relations Framework Act (IGR Act) are activities planned to effect the project.

Even though the project is expected to be completed in July 2023, its impact will not be evident immediately, and the results are expected to be visible in the reduction of long-outstanding debts in the current financial year and subsequent financial years. Progress will be monitored and reported on a quarterly basis.

Resuscitation of Project Management Office (PMO)

The initiative to reintroduce the project management office (PMO) is under way to set up a project management approach in terms of dealing with investigation projects. A new structure was signed off by 13 October 2022 and the next step is to develop job profiles and job grades for the positions on the structure.

Investment in awareness and education.

The investment of resources in raising public awareness and educating the public about the SIU and its mandate is yielding positive outcomes. A research report by Decode Communications, a private communications firm and titled, “Government leaders on Twitter 2022” has revealed that “the SIU has been consistently setting a good standard and benchmark of how to optimally utilise social media to demonstrate public value and continuously educate citizens about its far-reaching and crucial work”.

Further to that, a SIU-commissioned perception survey 2022 revealed that the public is aware of the SIU and understand its mandate. Though research respondents are aware of the SIU and its mandate, there is a sizable number who felt that more work still needs to be done in educating the public about the SIU, its work and processes.

Flowing from the two research reports, the SIU continues to capacitate its stakeholder relations and communications business unit to improve outwards communications and stakeholder relations by increasing the unit’s visibility. The continued public awareness and education happens under the hashtags: “KnowYourSIU” and “SIUWorkingForYou”. The “KnowYourSIU” focuses on the SIU and its process, while the “SIUWorkingForYou” gives update on the outcomes of SIU investigations and consequence management.

Lifestyle audits

As part of preventative measure and to address fraud and corruption at its root, a National Anti-Corruption Strategy was developed to ensure that systems, processes and instruments are introduced to effectively and efficiently deal with matters of fraud and corruption. This includes the use of lifestyle audits to detect and deter wrongdoing. There is a growing demand for the SIU to conduct lifestyle audits for state institutions,

and thus far the SIU has received four requests to conduct lifestyle audits on all senior managers and supply chain management (SCM) officials.

Multi-stakeholder collaboration to combat corruption.

Through the Anti-Corruption Task Team (ACTT) programme that is convened by the SIU, multistakeholder collaborative structures to fight corruption in vulnerable sectors have been established. This includes the Health Sector Anti-Corruption Forum; Infrastructure-Built Anti-Corruption Forum; and the Local Government Anti-Corruption Forum. The purpose of these anti-corruption forums is to bring together key stakeholders such as civil society, regulatory bodies, law enforcement agencies, religious and traditional leaders, government, and business in vulnerable sectors to collaborate and coordinate efforts to fight corruption. The forums collectively implement anti-corruption measures in their respective sectors, which are underpinned by four (4) pillars, namely prevention, detection, investigation, and resolution.

Corporate governance

The SIU continues with the trajectory of leading by example in embedding sound governance and controls as a business imperative, beyond compliance requirements. The implementation of the three-year rolling risk-based audit plan as approved by the Audit Committee continues to assist the Unit in achieving its business and good governance objectives, and the general organisation value.

Legislative amendments

The SIU has submitted draft legislative amendments that is being processed by the Department of Justice and Constitutional Development, which seeks to redress all potential legal challenges to the SIU and/or the Special Tribunal.

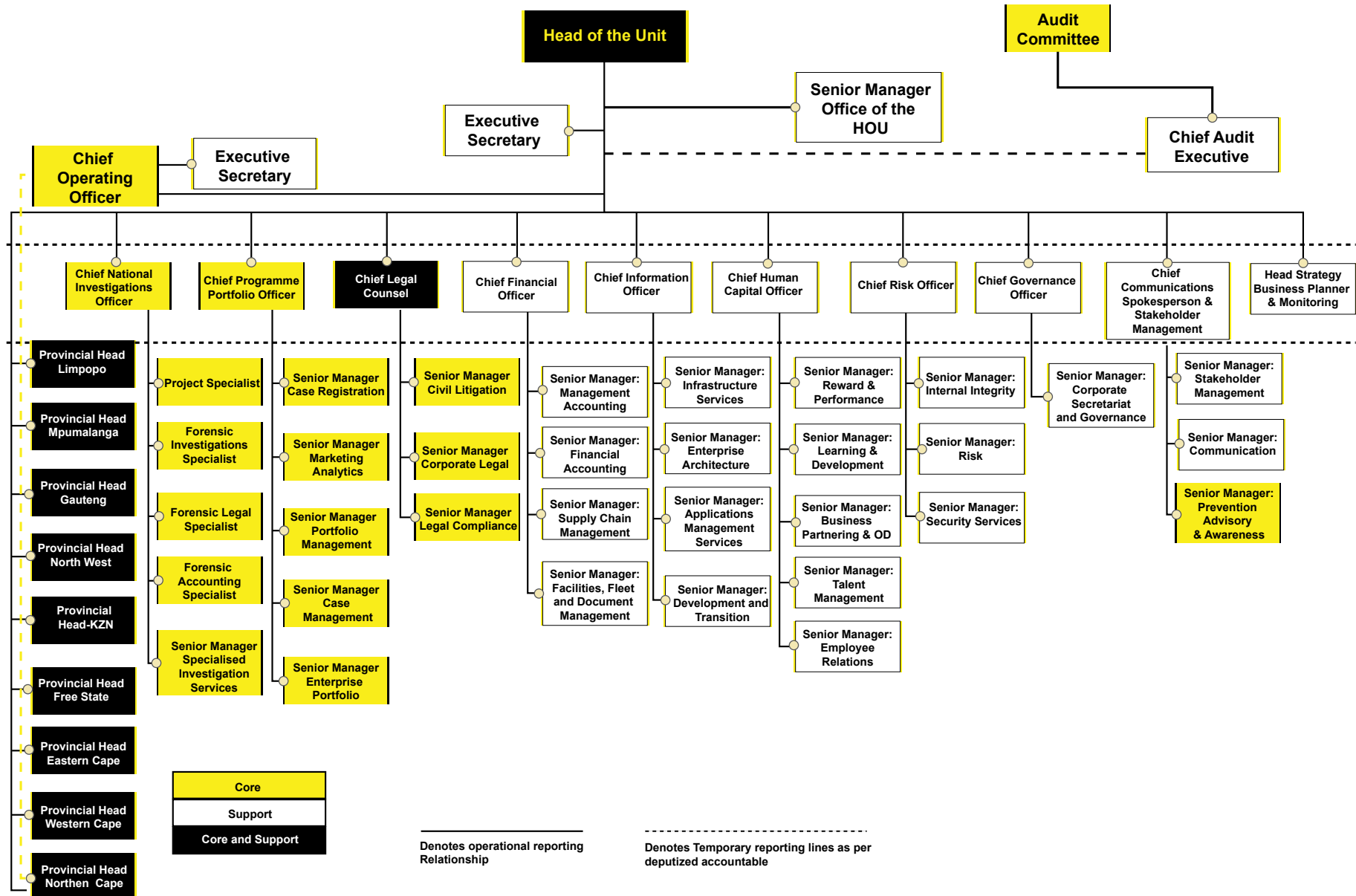
SIU's accessibility and geographical location

Geographically, the opening of the SIU Northern Cape provincial office on 1 April 2021 marked the completion of the SIU's countrywide-coverage journey and footprint in all nine provinces of South Africa.



Figure 8: Geographical location of the SIU

Figure 9: SIU's Top-Level Structure



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PART C:

MEASURING OUR PERFORMANCE



Updated Institutional Programme Performance Information

5. PROGRAMME 1 ADMINISTRATION

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 Communication and Technology (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		
			2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
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 Auditor-General (AG) audit outcome on previous year's financial performance	Clean audit	Clean audit	Outcome of the 2020/21 external audit is a clean and unqualified audit.	Unqualified audit opinion on the Annual Financial Statements (AFS) of the SIU	Unqualified audit opinion	Unqualified audit opinion	Unqualified audit opinion
	Low employee turnover rate maintained	1.2 Employee turnover rate	New	New	3.6%	4%	4%	4%	4%
	SIU stakeholder engagement and conducted awareness initiatives	1.3 Number of stakeholder engagements and awareness campaign initiatives conducted	New	New	5	5	8	8	8

5.2. QUARTERLY TARGETS

OUTPUT INDICATORS	2023/24 ANNUAL TARGET	QUARTERLY TARGETS			
		Q1 April – June 2023	Q2 July – Sept 2023	Q3 Oct – Dec 2023	Q4 Jan – Mar 2024
1.1 Maintain an unqualified overall Auditor-General (AG) audit outcome on previous year's financial performance	Unqualified audit opinion	-	Unqualified audit opinion	-	-
1.2 Employee turnover rate	4%		2%		4%
1.3 Number of stakeholder engagements and awareness campaign initiatives conducted	8	2	2	2	2

Outcome 1: A compliant, high-performance SIU that is well capacitated to rid society of corruption, maladministration and fraud in state institutions.

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, and maintaining positive audit outcomes in financial outcomes. A purpose-driven organisational culture, alignment of resources to business priorities and effective administration support enables the organisation to successfully achieve its mandate.

To maintain a low turnover rate and retain key strategic positions, the SIU over the medium-term period is planning to review its remuneration policies and practices to ensure that the organisation remains fit for purpose and aligned with the Unit's objectives. Continuous development and enhancement of skills for all employees and management/leadership remains critical for the SIU, with the overarching objective to build capability for an effective management core, and retaining people with scarce and critical skills.

As an Employee Value Proposition (EVP) the SIU is planning to enhance the leadership skills and competencies at various management levels. Three (3) types of Leadership Development Programmes will be implemented over the medium-term period, with courses such as an Executive Leadership Programme, Senior Management Development Programme, and Management Development Programme. In the 2022/23 financial year an employee recognition and long-service programme were launched as an initiative to recognise the contribution, loyalty and the service provided by those employees who worked and or are working for the SIU for longer periods.

In terms of stakeholder relations and communications campaigns, in the medium-term period the SIU has increased its target of raising awareness among public servants, the public and civil society through five to eight campaign initiatives. The campaign initiatives will happen in the form of face-to-face communication, the use of print and broadcast media with emphases on community media, social media, and production of awareness material in all 11 official languages. The campaign initiatives will happen under the hashtags "KnowYourSIU" and "SIUWorkingForYou". The "KnowYourSIU" focuses on the SIU and its process, while the "SIUWorkingForYou" gives updates on the outcomes of SIU investigations and consequence management.

The SIU is intending to continue maintaining an unqualified AG audit outcome wherein financial statements are free from material misstatements, no material findings on the annual performance report, and there are no material findings on non-compliance with key legislation. In the medium-term period, the SIU is intending to strengthen its processes and governance systems and tools by developing a risk based-three-year audit plan and annual plan, finalising the procurement process of the Audit tool (GRC) in 2023/24 to assist internal audit to leverage the use of technology-enhancing efficiency in the audit process. Also, ensuring the annual Combined Assurance Plan is developed based on the Strategic Risk Register.

5.3. PROGRAMME RESOURCE CONSIDERATIONS

Description	Audited Outcome	Audited Outcome	Audited Outcome	Approved Budget	Medium-Term Estimates		
	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
	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	0	0	0	0	0	0
Other non-tax revenue	44,061	30,643	32,376	28,060	29,464	30,937	32,323
Transfers received	368,877	425,853	437,878	452,060	504,796	505,221	516,511
Total Revenue	412,938	456,496	470,254	480,120	534,260	538,158	548,834
Expenditure							
Compensation of Employees	77,259	124,584	89,832	161,106	209,527	229,154	255,017
Goods & Services	47,595	71,851	218,301	123,797	166,165	171,831	193,101
Depreciation	7,077	7,666	6,656	19,000	36,000	52,000	68,000
Total Expenditure	131,931	204,101	314,789	303,903	411,692	452,985	516,118
Surplus/Deficit	281,007	252,395	155,465	176,217	122,568	85,173	32,716
Capex	17,519	2,996	1,455	80,000	70,000	80,000	80,000

5.3.1. Budget/financial performance

Grant revenue is projected to increase at an average annual rate of 4.5% over the MTEF period from R452,1 million in 2022/23 to R516.5 million in 2025/26, though the allocation is at the sole discretion of National Treasury.


The Administration Programme is allocated an average of 34.6% 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 to achieve organisational efficiency after the rollout of ICT enterprise architecture and supporting ICT systems, including an automated case management solution that allows for the central registration and monitoring of all matters under investigation.

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

5.4. UPDATED RISKS

Outcomes	Key strategic risks	Contributing factors	Rating	Risk-mitigation plans
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, witnesses and whistle-blowers against intimidation and threats emanating from SIU investigations	<ol style="list-style-type: none"> 1. Protracted process to conduct and complete threat risk assessments (TRAs) by the SAPS 2. Inadequate internal capacity to immediately respond to threats experienced by investigators 3. Occupational detriment and/or victimisation arising from blowing the whistle on corruption 4. Failure to keep whistle-blowers' identity anonymous due to unsecured reporting channels 5. Inadequate whistle-blowing protection advocacy and awareness programmes 		<p>Continuous follow ups with the SAPS on progress made regarding the conclusion of TRAs</p> <p>Appoint a Panel of Security Experts to provide protection for SIU investigators who are intimidated and threatened</p> <p>Continuous engagement with accounting officers bringing the victimisation of whistle-blowers in the state departments to their attention</p> <p>Continuous engagement with whistle-blowers being victimised to advise them on whistle-blowing protection measures</p> <p>Whistle-blowers are continuously encouraged to report allegations via the SIU's whistle-blowing hotline that is managed by an independent service provider</p> <p>Identify whistle-blowers and witnesses involved in sensitive investigations and conduct one-on-one awareness training with them on whistle-blowing and witness protection</p>

Outcomes	Key strategic risks	Contributing factors	Rating	Risk-mitigation plans
	Inability to collect revenue generated through invoicing of state institutions being investigated, which impact negatively on the SIU's financial sustainability	<ol style="list-style-type: none"> 1. Conflict of interest (e.g., Senior Officials investigated are expected to approve payments to the SIU) 2. SIU investigations are not budgeted for by public institutions 3. Some of the public entities such as municipalities investigated are bankrupt (insolvent) 4. Inadequate government grants that account for 60% of the SIU's budget 5. Inadequate follow-ups on debtors 6. Outdated charge-out rates that are not cost-reflective 		<ol style="list-style-type: none"> 1.1 Continuous engagement with National Treasury to propose that the budget for all SIU investigations should be centralised1 2.1 Review the SIU funding model to ensure sustainability 3.1 Escalate non-payments by public entities to National Treasury and other government-relevant structures 4.1 Submit annual motivation to National Treasury to keep and maintain surplus. 5.1 Collaborate with Auditor-General to assist SIU with auditing and monitoring outstanding debts from public entities. 5.2 Ensure invoices are accompanied by investigation progress reports to all accounting officers 6.1 Review all SIU charge-out rates for investigations
	Inadequate human resources capacity to execute and meet growing demand of the SIU forensic and litigation services	<ol style="list-style-type: none"> 1. Inflexible SIU remuneration model and/or policy 2. Inadequate financial resources to fill vacant positions 3. Critical skills scarcity and shortage in the market (forensic accountants & cybersecurity) 4. Inflexible recruitment practices make it difficult to timeously conclude recruitments 5. Limitations imposed by transformation requirements (EE & PWD) 		<ol style="list-style-type: none"> 1.1 Ensure approval and implementation of the reviewed SIU remuneration policy 2.1 Continuous review of the SIU Resources Plan to ensure it is aligned with budget. 3.1 Collaborate with institutions of higher learning to build a pipeline for under and post-graduate placements in forensic accounting. 3.1 Train investigators with capabilities in cyber forensic investigation on DARWIN Tool 4.1 Ensure approval of the reviewed SIU recruitment policy. 5.1 Conduct annual review of the EE Plan to reflect strategic skills/groups required by the organisation

6. PROGRAMME 2 INVESTIGATIONS AND LEGAL COUNSEL

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	<ul style="list-style-type: none"> To perform the following functions: Centrally register all allegations received. Management of allegation registration communication channels. Update the central database to reflect case status. Centrally ensure relevant external reporting, follow-ups and communication. Monitoring and evaluation of all remedial action.
Sub-Programme 2	Case Assessment
Purpose	<ul style="list-style-type: none"> To fulfil the following role: Assess the adequacy of corroboratory evidence pertaining to allegations received, assess whether the allegations fall within the statutory mandate of the SIU cases and proceed. Analyse case reports. Scope proclamations and maintain criteria. Approve all recommended remedial action and presidential reports
Sub-Programme 3	Case Management and Investigations

Purpose	<ul style="list-style-type: none"> • To execute the following functions: • Allocate, coordinate and manage internal and outsourced teams. • Develop project strategy, identify and execute the 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.
Sub-Programme 4	Forensic Legal and Civil Litigation
Purpose	<p>To deliver the following services:</p> <ul style="list-style-type: none"> • Conduct pre-litigation procedures. • Institute civil proceedings in the Special Tribunal and seek appropriate relief. • Defend/oppose civil proceedings in the appropriate court, where applicable.

6.1. OUTCOMES, OUTPUTS, PERFORMANCE INDICATORS, AND TARGETS

OUTCOME 2	OUTPUTS	OUTPUT INDICATORS	AUDITED/ACTUAL PERFORMANCE			ESTIMATED PERFORMANCE ³	MEDIUM-TERM TARGETS		
			2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
State assets and cash resources are protected from maladministration, fraud and corruption for the realisation of full value-for-money for state programmes	Civil and other legal proceedings to recover cash and assets, and set aside contracts and administrative actions that are deemed to be invalid	2.1 Rand value of potential cash and/or assets to be recovered	R296,943,069	R818,620,834	R5,960,575,800	R350m	R400m	R450m	R500m
		2.2 Rand value of actual cash and/or assets recovered	R48,650,657	R1,802,674,333	R436,416,719	R275m	R300m	R325m	R350m
		2.3 Rand value of contracts) and/ or administrative decisions/ action(s) set aside or deemed invalid	R4,330,000,000	R7,168,839,605	R5,541,897, 317	R1.6bn	R1.9bn	R2.2bn	R2.5bn
		2.4 Rand value of potential loss prevented	R400,000,000	R2,783,993,149	R6,263,013,767	R600m	R700m	R800m	R1bn

6.2. QUARTERLY TARGETS

OUTPUT INDICATORS	2023/24 ANNUAL TARGET	QUARTERLY TARGETS			
		Q1 April – Jun 2023	Q2 July – Sept 2023	Q3 Oct – Dec 2023	Q4 Jan – Mar 2024
2.1 Rand value of potential cash and/or assets to be recovered	R400m	-	R150m	-	R250m
2.2 Rand value of actual cash and/or assets recovered	R300m	-	R125m	-	R175m
2.3 Rand value of contract(s) and /or administrative decision(s)/action(s) set aside or deemed invalid	R1.9bn	-	R550m	-	R1.35bn
2.4 Rand value of potential loss prevented	R700m	-	R175m	-	R525m

6.3. OUTCOMES, OUTPUTS, PERFORMANCE INDICATORS AND TARGETS

OUTCOME 3	OUTPUTS	OUTPUT INDICATORS	AUDITED/ ACTUAL PERFORMANCE			ESTIMATED PERFORMANCE ⁴	MEDIUM-TERM TARGETS		
			2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Confidence in the governance systems, structures and policies of the state is restored and maintained	Legal proceedings and other due processes to conclude investigation, 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	398	5,749	469	180	185	190	210
		3.2 Number of referrals made for administrative action.	240	41,187	24,786	120	125	130	140
		3.3 Number of referrals made to the relevant Prosecuting Authority	451	435	570	250	260	270	300
		3.4 Number of investigations closed under a published proclamation	2,000	42,117	28,135	1,450	1,550	1,600	1,750
		3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings	R2,165,707,065	R64,788,741,548	R3,366,014,645	R2bn	R2.3bn	R2.6bn	R3bn
		3.6 Number of cases issued in the Special Tribunal	-	40	54	35	45	55	65
		3.7 Number of reports submitted to the Presidency	19	15	19	20	25	30	33

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The estimated performance reflected is the planned 2022/23 target

6.4. QUARTERLY TARGETS

OUTPUT INDICATORS	2023/24 ANNUAL TARGET	QUARTERLY TARGETS			
		Q1 Apr – Jun 2023	Q2 July – Sept 2023	Q3 Oct – Dec 2023	Q4 Jan – Mar 2024
3.1 Number of referrals made for disciplinary action against officials and/or executives	185	45	50	45	45
3.2 Number of referrals made for administrative action	125	31	35	31	28
3.3 Number of referrals made to the relevant Prosecuting Authority	260	65	70	65	60
3.4 Number of investigations closed under a published proclamation	1550	387	390	387	386
3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/ opposition of civil proceedings	R2.3bn	-	R400m	-	R1.9bn
3.6 Number of cases issued in the Special Tribunal	45	5	10	10	20
3.7 Number of reports submitted to the Presidency	25	6	7	6	6

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

Explanation of planned performance over the medium-term period

The investigations and legal counsel programme are co-functional programmes that are responsible to execute the mandate of the SIU.

Part of the planned performance under this outcome is to intensify the fight against corruption by conducting real-time investigations and freezing the assets of all involved. The freezing of assets helps with deterrence of corrupt activities, and thereby preventing corruption. The goal is to ensure everybody involved in corrupt activities is held accountable by being investigated after which the case will be either referred for disciplinary action or blacklisting. The SIU is again committed to ensuring that civil action is instituted to recover ill-gotten gains.

Over the medium term period targets were increased on the rand value of cash and/or assets recovered or are potentially recoverable, the rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid, actual cash and/or assets recovered as well as the rand value of potential loss prevented. The SIU has proved itself by achieving positive legal outcomes at the Special Tribunal against perpetrators of maladministration and corruption. The Special Tribunal which has been very instrumental in the outcomes of the SIU civil litigation cases ensuring that monies lost to the state are recovered.

The SIU is also participating in the Financial Action Task Force (FATF) meetings. The contribution from the SIU will assist government in getting a better rating assessment by the FATF. Ultimately, this will increase investor confidence.

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

The SIU is assisting government to ensure that its governance ecosystem and policies are much more resilient and resistant to attacks by corrupt individuals, and to reduce vulnerability in its governance structures. South Africa desperately needs laws to stop procurement corruption, however, laws and procedures can only stop corruption if they are adhered to or when the failure to do so leads to consequences for those responsible.

The SIU is committed to ensuring that over the medium-term period investigations that are finalised are closed; mandatory status reports are submitted to the Presidency on time, cases are referred to the relevant authorities either for disciplinary action, civil proceedings or prosecution. The intension of the SIU is to restore public confidence on the good work done by the law enforcement agencies through communication of the outcomes.

Over the medium-term period the SIU is intending to procure a Case Management System. The Case Management System will assist in digitising the investigation process and to integrate other processes involved in the investigation.

To speed up the investigation of referrals from SIU to the NPA, we have signed a combined MOU with the NPA, the DPCI and the SAPS. The purpose of the MOU is to:

- Establish a working methodology in connection with the cases referred by the SIU to the NPA, which are in turn referred by the NPA to the SAPS/ DPCI.
- Adopt and implement reporting mechanisms in respect of the cases.
- Ensure that the cases referred by the SIU to the NPA, and further referred by the NPA to the SAPS/ DPCI, are investigated.
- Require the development of a common database in respect of all SIU matters, and include the status of each matter, progress in respect of its investigations and the outcome in respect of its finalisation.

6.5. PROGRAMME RESOURCE CONSIDERATIONS

Description	Audited Outcome	Audited Outcome	Audited Outcome	Approved Budget	Medium- Term Estimates		
	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
	R'000	R'000	R'000	R'000	R'000	R'000	R'000
Revenue							
Sale of goods and services other than capital assets	283,436	299,530	447,509	374,499	546,632	681,220	969,422
<i>Other non-tax revenue</i>	0	0	0	0	0	0	0
Transfers received	0	0	0	0	0	0	0
Total Revenue	283,436	299,530	447,509	374,499	546,632	681,220	969,422
Expenditure							
Compensation of Employees	348,519	311,409	393,195	405,993	573,837	681,182	795,470
Goods and Services	15,762	149,931	102,350	137,586	132,453	142,383	149,502
Depreciation	0	0	0	0	0	0	0
Total Expenditure	364,281	461,340	495,545	543,579	706,290	823,565	944,972
Surplus/Deficit	(80,845)	(161,810)	(48,036)	(169,080)	(159,658)	(142,345)	(24,450)



6.5.1 Budget/financial performance


Project income is planned to increase from R374.5 million in 2022/23 to R969.4 million in 2025/26 at an average growth rate of 37.3% over the period, though dependant 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 Programme, whose main objective is to ensure the execution of the SIU's mandate is allocated an average of 61.8% of the SIU's total budget over the MTEF. This programme is responsible for the core functions of the SIU; hence, the largest percentage of the SIU's budget is allocated to this programme.

Due to the functions performed within this programme, which are mainly investigations-related, the personnel expenditure in this programme is projected to increase from R406.0 million in 2022/2023 to R795.5 million in 2025/2026. The projection in this programme is mainly driven by the anticipated influx in Proclamations over the MTEF for which resources will be required to deliver.

6.6. UPDATED RISKS

Outcomes	Key strategic risks	Contributing factors	Rating	Risk mitigation plans
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	<ol style="list-style-type: none"> 1. Unavailability of presiding officers to preside over matters in the Special Tribunal 2. Inadequate human resources capacity in the Civil Litigation Unit 3. Delays in provision of legal services by State Attorney's Office 4. Unavailability of legal counsels due to heavy schedules and diaries 		<ol style="list-style-type: none"> 1.1 Ensure speedy re-enrolment of civil matters delayed due to unavailability of presiding officers. 2.1 Fill vacant positions in the Civil Litigation Unit as per the approved structure. 3.1 Procure the panel of attorneys to expedite provision of legal services for civil matters. 3.2 Procure attorneys to litigate on civil matters below the threshold of R500 000. 3.3 Develop implementation plan for the Civil Litigation Strategy. 4.1 Brief other available counsels to ensure that civil matters continues when other counsels are not available due to heavy schedules and diaries.
	Failure to complete investigations as per the approved project plans and timeframes	<ol style="list-style-type: none"> 1. Investigators allocated to multiple projects 2. Open-ended proclamations with wide scope 3. Insufficient forensic investigations skills set 4. Inadequate ICT investigation analytical tools 5. Unwillingness of witness to cooperate and delays in obtaining evidence 6. Lack of integrated approach to investigations project planning 7. Inadequate cyber and Fordad capacity 8. Protracted procurement process 9. Inconsistent approach on how project reviews are conducted 		<ol style="list-style-type: none"> 1.1 Finalise and implement the Resource Modelling Framework 2.1 Ensure that the scope of proclamations submitted to the Presidency is narrow and focused. 2.2 Develop and implement a phased-approach investigations project plan. 3.1 Develop and implement forensic investigations capacity development programmes. 14.1 Procure cutting-edge and/or modern investigations 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, etc) in the investigations planning phase. 7.1 Recruit skilled and qualified personnel in cyber and Fordad units. 8.1 Review and appoint panel of expert-based project resources requirements. 9.1 Develop and implement project reviews guidelines.

Outcomes	Key strategic risks	Contributing factors	Rating	Risk mitigation plans
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	<ol style="list-style-type: none"> 1. The SIU has no powers to enforce the implementation of legal recommendations. 2. Inadequate follow up of implementation of legal recommendations. 3. Lack of clearly defined monitoring mechanism for implementation of legal recommendations. 4. Inadequate human resource capacity in the CPPO Monitoring Unit. 		<ol style="list-style-type: none"> 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 actions. 3.1 Review and finalise the Memorandum of Understanding (MoU) with the NPA to regulate referrals for criminal prosecution. 3.2 Develop Monitoring Policy Framework for the implementation of SIU remedial actions. 4.1 Capacitate the CPPO Monitoring Unit through recruitment and filling of positions as per the approved structure.

7. PROGRAMME 3 MARKET DATA ANALYTICS AND PREVENTION

Programme 3	MARKET DATA ANALYTICS AND PREVENTION
Purpose	The implementation of relevant and proactive initiatives to prevent the recurrence of fraud and corruption cases as a result of systemic weaknesses in the public sector and positively influence the behaviour of South African citizens.
Sub-Programme 1	Data Analytics
Purpose	To perform the following functions: <ul style="list-style-type: none"> • Collect, collate and analyse relevant internal and external data. • Conduct research as well as 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: <ul style="list-style-type: none"> • 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 might be conducive to corruption. • Advise upon the request of private organisations or individuals on measures to combat fraud and corruption through risk assessments, awareness programmes, identification and detection measures, control improvement and systemic recommendations.
Sub-Programme 3	Prevention and Awareness
Purpose	To execute the following functions: <ul style="list-style-type: none"> • 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	OUTPUT INDICATORS	AUDITED/ACTUAL PERFORMANCE			ESTIMATED PERFORMANCE	MEDIUM-TERM TARGETS		
			2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Corruption, mal-administration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence management measures	Recorded allegations received electronically in a central location to facilitate ease of tracking	4.1 Percentage of allegations received from the SIU whistle-blower hotline centrally recorded for electronic tracking	100%	100%	100%	100%	100%	100%	100%
	Access for the Assessment Committee to duly assess all centrally registered allegations	4.2 Percentage of centrally registered allegations assessed by the Assessment Committee	100%	100%	100%	100%	100%	100%	100%
	Multisectoral-stakeholder engagements on anti-corruption initiative	4.3 Number of anti-corruption forum meetings convened for vulnerable sectors	New	New	New	New	Six anti-corruption forum meetings convened by 31 March 2024 (2 per sector: Health sector, Infrastructure sector and Local Government sector).	9	10

OUTCOME 4	OUTPUTS	OUTPUT INDICATORS	AUDITED/ACTUAL PERFORMANCE			ESTIMATED PERFORMANCE	MEDIUM-TERM TARGETS		
			2019/20	2020/21	2021/22		2023/24	2024/25	2025/26
Corruption, maladministration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence management measures	Lifestyle audits	4.4 Lifestyle audits conducted as per request received from state institutions	New	New	New	New	Lifestyle audits conducted as per request received from state institutions.	Lifestyle audits conducted as per request received from state institutions.	Lifestyle audits conducted as per request received from state institutions.
	Develop and deploy plan to leverage data analytics to create globally competitive data-driven high-performance organisation	4.5 Implementation of the data analytics capability phases	New	New	Market data analytics conceptual architecture document developed	Implementation of phase 2 Data Analytics milestones planned	Implementation of Phase 3 of the data analytics milestones planned	Implementation of Phase 4 of the data analytics milestones planned.	Data analytics project completed and closed out

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7.2. QUARTERLY TARGETS

OUTPUT INDICATORS	2023/24 ANNUAL TARGET	QUARTERLY TARGETS			
		Q1 April – Jun 2023	Q2 July – Sept 2023	Q3 Oct – Dec 2023	Q4 Jan – Mar 2024
4.1 Percentage of allegations received from 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%
4.3 Number of anti-corruption forum meetings convened for vulnerable sectors	Six anti-corruption forum meeting convened by 31 March 2024. (Two per sector: health sector, infrastructure sector and local government sector)	2	2	2	
4.4 Lifestyle audits conducted as per request received from state institutions	Lifestyle audits conducted as per request received from state institutions	–	Lifestyle audits conducted as per requests received from state institutions	–	Lifestyle audits conducted as per requests received from state institutions
4.5 Implementation of the data analytics capability phases	Implementation of Phase 3 of the data analytics milestones planned		Progress report by end September 2023		Implementation of Phase 3 of the data analytics milestones planned

Outcome 4: Corruption, maladministration and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence-management measures.

Explanation of planned performance over the medium-term period

The Market Data Analytics section is responsible to supply sector data, knowledge and information internally and to other institutions via formal service-level agreements. It is one of the key services that differentiate the SIU from other market role players. To provide proper and informative analyses, varying levels of analysts throughout the organisation require access to an analytics platform to enable the user to retrieve, access and join data from a variety of sources and provide simple statistics to descriptive, prescriptive and predictive models. The SIU must implement “true” data-driven investigations. This will improve effectiveness, efficiency and optimise the use of the SIU’s limited but expert resources.

The SIU embarked on a journey of digital transformation with the development and adoption of an ICT Strategic three-year plan in 2019. The plan consists of multiple projects and initiatives focused at stabilisation of the hardware and software infrastructure, optimisation of processes removing duplications from systems and digitisation and automation of SIU operations to ensure effective functioning of the organisation. Subsequently SIU has started utilising all data gathered from investigations to optimise processes and use data analytics models.

The plans to digitise have started where focus is shifting from data-gathering and process development/optimisation to full digitisation. In future the SIU will reach a stage where the unit will be able to develop its own systems and/or make use of existing systems that will be integrated with one another to ensure every process is covered in the business. By creating a fully digital workspace, the SIU is not only streamlining productivity, and increasing efficiency this in effect improves the

organisation’s objectives investigation turnaround times.

The SIU is aware that prevention is better than cure, and it is from this understanding that the development of the National Corruption Prevention Framework (CPF) was initiated. The strategy entails anti-corruption preventative and reactive strategies which complement each other in terms of dealing with the scourge of corruption. The CPF strategy has been developed and the next step is to conceptualise the technical details of the CPF and to begin the process of extensive consultations with the relevant stakeholders.

Also, a risk-management approach to prevent corruption is a good way to ensure that the risks of corruption are identified, understood and effectively managed. In this regard, the ACTT program 4 corruption vulnerability sector risk assessments will be an important tool for the successful implementation of this strategy. The SIU Risk-Management Office and the PPO will identify those sectors that are vulnerable to corruption and conduct Corruption-Risk Assessments (**CRAs**) in these sectors. The CRAs will inform the establishment of Anti-Corruption Fora to play a leading role in corruption prevention in each sector.

As a proactive measure to fight corruption in vulnerable sectors, a multistakeholder collaborative structure has been established and the SIU continues to actively champion the multistakeholder collaboration to combat corruption in those sectors that have been classified as vulnerable to the incidents of corruption and unethical behaviour. The National Anti-Corruption Strategy (NACS) emphasises that there is a need to unify anti-corruption efforts across all sectors to address the scourge

of corruption and demonstrate the commitment of government, business, and civil society to achieve the vision of the National Development Plan 2030 of a corrupt-free South Africa.

This collaborative approach helps to identify structural weaknesses that may perpetuate corruption; provides a framework for every level of authority in an organisation to take part in identifying risk factors and risk-mitigation measures; and embeds corruption prevention within the organisation's governance framework. As such, the Prevention, Advisory and Awareness (**PAA**) initiatives and ensuing systemic improvement plans which are developed as an output of targeted PAA initiatives will, of necessity involve the SIU's Corruption Risk-Management Framework.

Another preventative measure under way is to conduct lifestyle audits on government institutions. The SIU has received requests from different government institutions to conduct lifestyle audits on all senior management. Thus far, the SIU received requests to conduct lifestyle audits at Prasa on all senior management and supply chain management (SCM); the Northern Cape Department of the Premier with all the senior management and SCM for the province and the Free State Department of Human Settlements.

Over the years the SIU has struggled to ensure that its recommendations and referrals are implemented by the respective state-owned entities and government departments that were investigated. The SIU has now managed to get assistance from Presidency in terms of monitoring the implementation of its recommendations and referrals. The Monitoring Project that is currently under way with the *Department of Planning, Monitoring and Evaluation* (DPME), and is rolled out in phases: Phase 1 entails the conceptual model and data-gathering, this phase has been completed. Phase 2 is now under way and it entails the development of an internal monitoring system, with the system currently in the testing phase.

7.3. PROGRAMME RESOURCE CONSIDERATIONS


Description	Audited Outcome	Audited Outcome	Audited Outcome	Approved Budget	Medium-Term Estimates		
	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
	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	0	0	0	0	0	0
Other non-tax revenue	0	0	0	0	0	0	0
Transfers received	0	0	0	0	0	0	0
Total Revenue	0	0	0	0	0	0	0
Expenditure							
Compensation of Employees	5,722	6,539	4,984	9,053	32,504	35,801	39,438
Goods and Services	981	16,346	17,125	14,947	16,142	16,885	17,729
Depreciation	-	-	-	-	-	-	-
Total Expenditure	6,703	22,885	22,109	24,000	48 646	52,686	57,167
Surplus/(Deficit)	(6,703)	(22,885)	(22,109)	(24,000)	(48,646)	(52,686)	(57,167)

7.3.1 Budget/financial performance

The Market Data Analytics and Prevention Programme, of which the main purpose is the implementation of relevant and proactive initiatives to prevent the recurrence of fraud and corruption cases because of systemic weaknesses in the public sector, and to positively influence the behaviour of South African citizens is allocated an average of 3.7% of the SIU's total budget over the MTEF.

Expenditure relating to compensation of employees is projected to increase from R9.1 million in 2022/2023 to R39.4 million in 2025/2026. The cost driver for the increase is mainly the fact that this is a new programme which needs to be capacitated to ensure that it meets its objectives. Once capacitated, the programme will be able to foster public support in combatting corruption, and conduct market research on which sector risk factors can be determined.

7.4. UPDATED RISKS

Outcomes	Key Strategic Risks	Contributing Factors	Rating	Risk-Mitigation Plans
Corruption, maladministration, and fraud deterred through proactive preventative mechanisms and effective enforcement of consequence management measures	Inability to assist public institutions to prevent corruption and maladministration	1.1 Failure to fully implement data analytics readiness assessment recommendations 2.1 Lack of data software analytical tools 3.1 Inadequate human resources capacity 4.1 Corruption-prevention initiatives not aligned with SIU systemic recommendations		1.1 Ensure that recommendations of the data analytics readiness assessment report are fully implemented so that the SIU is ready to implement corruption prevention 2.1 Procure market data analytics solution to enable the roll out of data analytics project 3.1 Recruit and fill the vacant positions in the Market Data Analytics Unit 3.2 Recruit and fill the vacant positions in the Prevention, Advisory and Awareness Unit 4.1 Implement targeted corruption prevention and awareness programmes to address systemic weaknesses.

8. OVERVIEW OF THE 2023/2024 BUDGET AND MTEF ESTIMATES

	Audited Outcome	Audited Outcome	Audited Outcome	Approved Budget	Medium-term estimate		
R'000	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Administration	131,931	204,101	314,789	303,903	411,692	452,985	516,118
Investigations and legal counsel	364,281	461,340	495,545	543,579	706,290	823,565	944,972
Market data analytics and prevention	6,703	22,885	22,109	24,000	48,646	52,686	57,167
Total expense	502,915	688,326	832,443	871,481	1,166,628	1,329,235	1,518,256

	Audited Outcome	Audited Outcome	Audited Outcome	Approved budget	Medium-term estimate		
R'000	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Revenue							
Sale of goods and services other than capital assets	283,436	299,530	447,509	374,499	546,632	681,220	969,422
<i>Other non-tax revenue</i>	44,061	30,643	32,376	28,060	29,464	30,937	32,323
Transfers received	368,877	425,853	437,878	452,060	504,796	505,221	516,511
Total revenue	696,374	756,026	917,763	854,619	1,080,892	1,217,378	1,518,256
Expenses							
Current expenses							
Compensation of employees	431,500	442,532	488,011	576,152	815,868	946,137	1,089,925
Goods and services	64,338	238,128	337,776	276,329	314,760	331,098	360,331
Depreciation	7,077	7,666	6,656	19,000	36,000	52,000	68,000
Total expenses	502,915	688,326	832,443	871,481	1,166,628	1,329,235	1,518,256
Surplus/deficit	193,459	67,700	85,320	(16,862)	(85,736)	(111,857)	0.00
Capital expenditure	17,519	2,996	1,455	80,000	70,000	80,000	80,000
Staff count	520	531	586	650	800	850	900

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9. INFRASTRUCTURE PROJECTS

N/A

10. PUBLIC-PRIVATE PARTNERSHIPS


N/A

PART D:

TECHNICAL INDICATOR DESCRIPTIONS (TIDs)



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 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	<p>➤ 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</p> <p>➤ That there are no legislative or policy changes to the current auditing plans and cycles</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Annual
Desired performance	To maintain an unqualified audit outcome annually over the MTEF and MTSF periods as proof of adherence to sound governance, financial management and internal control mechanisms, evidenced by the Auditor-General's audit opinion
Indicator responsibility	Chief Financial Officer.


Indicator Title	1.2 Employee turnover rate
Definition	This indicator seeks to determine the rate of employees exiting the SIU voluntary from funded posts across the organisation to determine the organisation's ability to retain key and skilled employees occupying strategic and critical positions. Voluntary refers to resignation.
Source of data	Bi-annual/annual reports from the VIP Payroll and HR systems
Method of Calculation (Quantitative) / Assessment (Qualitative)	A number of voluntary terminated staff as reflected in the HC system at the time of reporting divide by an average of SIU headcount for the reporting period * 100 Average (A total headcount at the beginning of the period and the headcount at the end of the period /2)
Assumptions	 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 no more than 5% to achieve the highest possible levels of service delivery
Indicator responsibility	Chief Human Capital Officer.

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Indicator Title	1.3 Number of stakeholder engagements and awareness campaign initiatives conducted
Definition	The indicator is aimed at raising awareness to the public and stakeholders about the SIU's 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	<p>All necessary resources like budget and equipment will be placed at the disposal of stakeholder relations and communication to successfully discharge the role of promoting access to the SIU and stakeholder engagements.</p> <p> All experts within the SIU, heads of departments will furnish stakeholder relations and communication with relevant information to share with the public and stakeholders.</p>
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 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 of in cash or cash equivalent of money and/or assets potentially recoverable for the state.
Source of data	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but not limited to the documents included under the method of calculation.</p> <p>All the relevant documents are obtained from the investigation team and captured on a central system (Performance Information Management system (PIMS)).</p>
Method of Calculation (Quantitative) / Assessment (Qualitative)	<p>The indicator is calculated by adding any of the values of the following items together:</p> <p><u>Acknowledgement(s) of debt (AoD(s))/acknowledgement(s) of liability (AoL)</u> – 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.</p> <p><u>Restraining order(s)</u> – 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.</p> <p><u>Civil order(s) (i.e., court orders and/or arbitration awards.)</u> – 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.</p> <p><u>Settlement agreement(s)</u> – 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.</p>

Indicator Title	2.1 Rand value of potential cash and/or assets to be recovered
Method of Calculation (Quantitative) / Assessment (Qualitative)	<p><u>Compensation order(s)</u> – 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 regulatory authority.</p> <p><u>South African Revenue Services (SARS) Referrals</u> – It is the value of claims that are referred to SARS by the SIU for potential recovery where a potential loss has already been identified. The date of calculation is the date that SARS acknowledges receipt of the SIU referral.</p> <p><u>Recommendations to stop payments</u> – It is the value of the payment due to be paid by a state institution where the SIU recommends that the state institution withhold such payment. The date of calculation is the date that the state institution acknowledges receipt of the SIU recommendation.</p> <p><u>Recommendations to recover overpayments made or monies not due and owing</u> – It is the value of an overpayment or any monies that are not due and owing, that has been identified by the SIU where the SIU has recommended that said overpayments/monies be recovered by the state institution. The date of calculation is the date that the state institution acknowledges receipt of the SIU recommendation.</p>
Assumptions	<ul style="list-style-type: none"> • 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 among others. • That individual high value matters do not have significant influence. <p> That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
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	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include, but are not limited to, the following:</p> <ul style="list-style-type: none"> • A summary of the SIU Accounts indicating the AoD and AoL repayments which are obtained from the AoD Enforcement Department. • Reports and any other relevant document on money and/or assets recovered by State Institutions, confiscation orders, forfeiture orders, documents received from the Sheriff of the Court, credit notes, indication of set-off or acknowledgement of recovery by SARS. All data is captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	<p>The indicator is calculated by adding the values of the following items together:</p> <p>SIU Accounts – The value of money paid by Debtors/AoD Debtors/AoL Debtors/Defendants/Respondents into the SIU Account. The date of calculation is when the money appears in the SIU's bank account.</p> <p>Credit note(s) passed or amount(s) recovered by means of set-off – the value of credit notes passed and/or the value of money recovered by means of a set-off made in favour of the state institution or the relevant third party, as a result of SIU action or through use of SIU evidence. The date of calculation is the date appearing on the credit note or the date that the state or third party acknowledges that recovery was made by means of a set-off that had been affected against debts owing by the state or the relevant third party to the debtor/defendant/respondent.</p> <p>Money and/or assets recovered by state institutions or relevant third parties – the sum of the value of money and/or assets recovered by state institutions or the relevant third parties, as a result of SIU action or through the use of SIU evidence. The date of calculation is the date when the state institution or the relevant third-party reports or acknowledges the final recovery of the money or receipt of the asset to the SIU investigation team.</p> <p>Money/assets recovered through execution of civil orders or arbitration awards – the sum of the value of money/assets recovered through the execution of civil orders as a result of SIU actions or through the use of SIU evidence.</p> <p>AFU confiscation or final forfeiture orders – it is the value of money or assets as reflected in the final confiscation or forfeiture order(s). The date of calculation is the date that appears on the final confiscation or forfeiture order issued by the court.</p> <p>SARS confirmations of recoveries – it is the value of money received by SARS. The date of calculation is the date that SARS's documents are obtained that show payment made to SARS.</p>

Indicator Title	2.2 Rand value of actual cash and/or assets recovered
Assumptions	<ul style="list-style-type: none"> 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, among others. That individual high-value matters do not have significant influence. <p> That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings.</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
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 contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid
Definition	<p>This is the rand value of any contract and/or administrative decision/action, which through the SIU's interventions has been successfully set aside or deemed invalid, evidenced mainly by the following results:</p> <ul style="list-style-type: none"> The prevention of the taking of an administrative decision/action. The prevention of an award of a tender/grant/licence. The termination/cancellation of a contract (including the renewal or extension of an existing contract). The termination/cancellation of a contract and/or the withdrawal of an administrative decision/grant/licence. 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 or other administrative decision/action. <p>By the SIU or by state institutions relying on SIU evidence.</p>



Indicator Title	2.3 Rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid
Source of data	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include but are not limited to the following:</p> <ul style="list-style-type: none"> • Letter and/or agreement that a proposed administrative decision/action has been terminated/set aside or is void/invalid or deemed as such. • Letter and/or agreement that contract and/or administrative decision/action has been terminated/set aside. • Letter and/or agreement that a contract has not been concluded, renewed or extended. • Letter and/or agreement that a tender/grant/license has not been made or been withdrawn. • Letter and/or agreement that payment was stopped or the delivery/transfer of goods/assets/property has been stopped. • Letter and/or agreement that a recurrent payment has been cancelled • Order of the Special Tribunals or by order of any court or arbitration award. <p>The source documents are obtained from the investigation team and are captured on a central system (PIMS).</p>
Method of Calculation (Quantitative) / Assessment (Qualitative)	<p>It is the face value of contracts/administrative decisions/actions that are set aside or terminated by agreement between the parties, by the state institution having terminated it or having withdrawn it, by the opposing/other party having terminated or relinquished it by order of the Special Tribunal or by order of any court or arbitration award or by the state institution concerned dealing with it as void/invalid. The date of calculation is the date upon which:</p> <ul style="list-style-type: none"> • A proposed administrative decision/action has not been taken. • The award of a tender/grant/license has not been made. • The contract has not been concluded, renewed or extended. • The contract has been terminated/cancelled. • The administrative decision/action or the grant/license has been withdrawn. • A payment was stopped or the delivery/transfer of goods/assets/property was halted. • The recurrent payment has been cancelled. <p>The SIU or the state institution initiated civil proceedings or counter civil proceedings.</p>

Indicator Title	2.3 Rand value of contract(s) and/or administrative decision(s)/action(s) set aside or deemed invalid
Assumptions	<ul style="list-style-type: none"> 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, among others. That outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses, among others. That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings. <p>➡ That there are no delays or any other constraints concerning the complexity of matters and significant legal challenges.</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
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	<p>This is the rand value that could have been lost to the state but that is averted through a range of interventions such as:</p> <ul style="list-style-type: none"> The prevention of the taking of an administrative decision/action. The prevention of an award of a tender/grant/license. 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. <p>Any other administrative decision/action, by the SIU or state institutions relying on SIU evidence.</p>

Indicator Title	2.4 Rand value of potential loss prevented
Source of data	<p>Depending on the nature of the remedial action to be taken, the data sources may vary and include but are not limited to the following:</p> <ul style="list-style-type: none"> • Letter and/or agreement that a proposed administrative decision/action has been terminated/set aside or is void/invalid or deemed as such. • Letter and/or agreement that contract and/or administrative decision/action has been terminated/set aside. • Letter and/or agreement that a contract has not been concluded, renewed or extended. • Letter and/or agreement that a tender/grant/license has not been made or been withdrawn. • Letter and/or agreement that payment was stopped or the delivery/transfer of goods/assets/property has been stopped. • Letter and/or agreement that a recurrent payment has been cancelled. • Order of the Special Tribunals or by order of any court or arbitration award. <p>The source documents are obtained from the investigation team and are captured on a central system (PIMS).</p>
Method of Calculation (Quantitative) / Assessment (Qualitative)	<p>The value of the potential loss prevented is the difference between the expenditure that a state institution would have incurred should there have been no intervention by the SIU, and the actual expenditure incurred subsequent to the intervention by the SIU. The date of calculation is the date upon which:</p> <ul style="list-style-type: none"> • A proposed administrative decision/action has not been taken. • The award of a tender/grant/license has not been made. • The contract has not been concluded, renewed or extended. • The contract has been terminated/cancelled. • The administrative decision/action or the grant/licence has been withdrawn. • A payment was stopped or the delivery/transfer of goods/assets/property was halted. • The recurrent payment has been cancelled. <p>The SIU or the state institution initiated civil proceedings or counter civil proceedings.</p>
Assumptions	N/A
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
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	<p>The total sum of referrals of SIU evidence pointing to misconduct or irregular conduct on the part of:</p> <ul style="list-style-type: none"> ➔ Employees of state institutions. ➔ Councillors of Municipalities. ➔ Members of the Executive Council.
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	<ul style="list-style-type: none"> ➔ 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: <ul style="list-style-type: none"> ➤ Vendors, contractors, suppliers and/or service providers of state institutions (e.g., for blacklisting purposes etc); and/or ➤ Members subject to the regulatory authorities (e.g. estate agents, engineers, security service providers, counsel, attorneys or accountants, health professionals etc). ➤ 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 upon which the receiving authority acknowledges receipt of the referral letter.
Assumptions	<ul style="list-style-type: none"> ➤ 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	This is the total sum of referrals of evidence pointing to the commission of offences to the relevant prosecuting authority (e.g., the NPA or foreign prosecuting authorities etc). This includes evidence referred to the AFU (which forms part of the NPA).
Source of data	Letter of referral of evidence pointing to the commission of offences with an acknowledgement of receipt is obtained from the investigation team and captured on a central system (PIMS).
Method of Calculation (Quantitative) / Assessment (Qualitative)	The count of the total number of individuals and/or entities where evidence pointing to the commission of offences has been referred with an acknowledgement of receipt for the referral letter. The date of calculation is the date upon which the relevant prosecuting authority acknowledges receipt of the referral letter.
Assumptions	<ul style="list-style-type: none"> 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	This is the total sum of investigations that are closed out under a published proclamation.
Source of data	The signed closure memo is obtained from the investigation team and is captured on a central system (PIMS).
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	<ul style="list-style-type: none"> 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

Indicator Title	3.4 Number of investigations closed under a published proclamation
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Quarterly
Desired performance	To act expeditiously on 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: <ul style="list-style-type: none"> • 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 obtained from the investigation team 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, for instance by providing the evidential material required for the civil proceedings, the date of calculation is the date upon which the SIU receives written confirmation from the relevant state institution, the office of the State Attorney or attorneys/counsel acting for such state Institution, that civil proceedings, arbitration proceedings or counter civil proceedings have been instituted, defended or opposed following the referral of evidential material by the SIU.

Indicator Title	3.5 Rand value of matters in respect of which evidence was referred for the institution or defence/opposition of civil proceedings
Assumptions	<ul style="list-style-type: none"> 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, among others. That outcomes are not delayed by a third party reliance and the availability of information, records and/or witnesses, among others. That there are no delays due to the overburdened court rolls and legal/technical points included in motions prepared for civil proceedings. <p>➡ That there are no delays or any other constraints with respect to the complexity of matters and significant legal challenges.</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annually
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 Tribunal for the issuing of legal processes.
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	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

Indicator Title	3.6 Number of cases issued in the Special Tribunal
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	This 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)	This is the count of the sum of all signed interim and final reports submitted to the Presidency with an acknowledgement of receipt for the reports. The date of calculation is the date upon which the Presidency acknowledges receipt of these reports.
Assumptions	<ul style="list-style-type: none"> That there are no challenges relating to outcomes being delayed by reliance on specialist skills or external counsel/parties.  That outcomes are not delayed by a third-party reliance and the availability of information, records and/or witnesses, among 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

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Indicator Title	4.1 Percentage of allegations received from the SIU Whistle-blower hotline centrally recorded for electronic tracking
Definition	<p>This indicator seeks to ensure that allegations received from the SIU whistle-blower hotline are centrally registered in the case registration management system (CRMS) for electronic tracking. This is to ensure that the SIU central CRMS registration database contains a record of all matters received by the SIU from the SIU whistle-blower hotline.</p> <p>The tracking and monitoring of the allegations throughout their lifecycle are a built-in mechanism and part of the CRMS workflow after being registered.</p> <p>The SIU whistle-blower hotline is the platform that the SIU invites the public to report allegations.</p>
Source of data	SIU whistle-blower hotline summary reports and CRMS registration database report showing allegations received from the hotline, and are duly registered on the CRMS.
Method of Calculation (Quantitative) / Assessment (Qualitative)	Number of SIU whistle-blower hotline allegations reported to the SIU that are registered in a quarter and financial year-end against the number of allegations received from whistle-blower hotline in a quarter and at financial year-end *100.
Assumptions	<p>➡ That the SIU maintains the requisite technology that operates reliably and optimally to facilitate the registration of allegations.</p> <p>➡ That there will be allegations received from the SIU whistle-blower hotline.</p>
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 registration 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 that allegations registered in the case registration management system (CRMS) are ready for assessment, and are assessed on an equal and consistent basis. This is to eliminate bias and to allow for objective assessment.
Source of data	CRMS summary report drawn annually on the last working day of the last month of 4 th quarter showing registered allegations which are ready for assessment have been assessed.
Method of Calculation (Quantitative)/ Assessment (Qualitative)	Number of centrally registered allegations assessed by the Case Assessment Committee against the total number of allegations in the “ready for assessment” state as per the CRMS summary report drawn annually on the last working day of the last month of 4 th quarter *100.
Assumptions	<p>➡ That there will be allegations received and centrally registered for assessment by the Assessment Committee on an equal and consistent basis.</p> <p>➡ That the SIU maintains the requisite technology that operates reliably and optimally to facilitate the assessment of allegations.</p>
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Annually
Desired performance	To ensure that all allegations received from the SIU whistle-blower hotline are duly assessed.
Indicator responsibility	Chief Programme Portfolio Officer
Indicator Title	4.3 Number of anti-corruption forum meetings convened for vulnerable sectors.
Definition	The indicator measures multisectoral collaboration in the fight against corruption through convening anti-corruption forums in sectors that have been classified as vulnerable to incidents of fraud and corruption.
Source of data	Minutes of the forum meetings and quarterly reports submitted to the ACTT invitation for the forum meetings.
Method of Calculation (Quantitative)/ Assessment (Qualitative)	Simple count.
Assumptions	That the key stakeholders in the anti-corruption forums will be available for the meetings.
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A

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Indicator Title	4.3 Number of anti-corruption forum meetings convened for vulnerable sectors.
Reporting Cycle	Bi-annual
Desired performance	To foster multisectoral collaboration in various sectors in order to reduce corruption.
Indicator responsibility	Chief Risk Officer

Indicator Title	4.4 Lifestyle audits conducted as per request received from state institutions.
Definition	The indicator measures the effectiveness of lifestyle audits in the fight against corruption through conducting lifestyle audits at the requests of the departments and or state entities.
Source of data	Progress reports and requests from state institutions.
Method of Calculation (Quantitative)/ Assessment (Qualitative)	Quarterly progress reports finalised and issued to the entities or departments.
Assumptions	More departments may request the lifestyle audits during the financial year and the second assumption is poor lack of cooperation from the personnel.
Disaggregation of Beneficiaries (where possible)	N/A
Spatial Transformation (where applicable)	N/A
Reporting Cycle	Bi-annual
Desired performance	100% by end of the financial year
Indicator responsibility	Chief Risk Officer

Indicator Title	4.5 Implementation of the Data Analytics Capability phases
Definition	<p>The indicator measures the annual achievements of the implementation of a multiyear 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 multiyear ICT Project.</p> <p>The Data Analytics Capability Project is a strategic project that forms part of the ICT Three-Year Plan.</p> <p>The annually achieved milestones are the precursor building blocks to enable the subsequent year's implementation of the multiyear ICT Project. The multiyear Data Analytics Capability Project is for the institutionalisation of a Data Analytics Capability within the Special Investigating Unit enabling the delivery of focused, data-driven multidisciplinary investigations.</p>

Indicator Title	4.5 Implementation of the Data Analytics Capability phases
Source of data	Approved ICT Project Plan for data analytics capability and progress report on the achievement of 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 and year-end).
Assumptions	<ul style="list-style-type: none"> ➤ 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/ 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
Desired performance	Leveraging cutting-edge data analytics capabilities in this dynamic technology-driven era to achieve data-driven, multidisciplinary investigations and catapult the SIU's performance to new heights for the benefit of its customers and stakeholders.
Indicator responsibility	Chief Information Officer

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