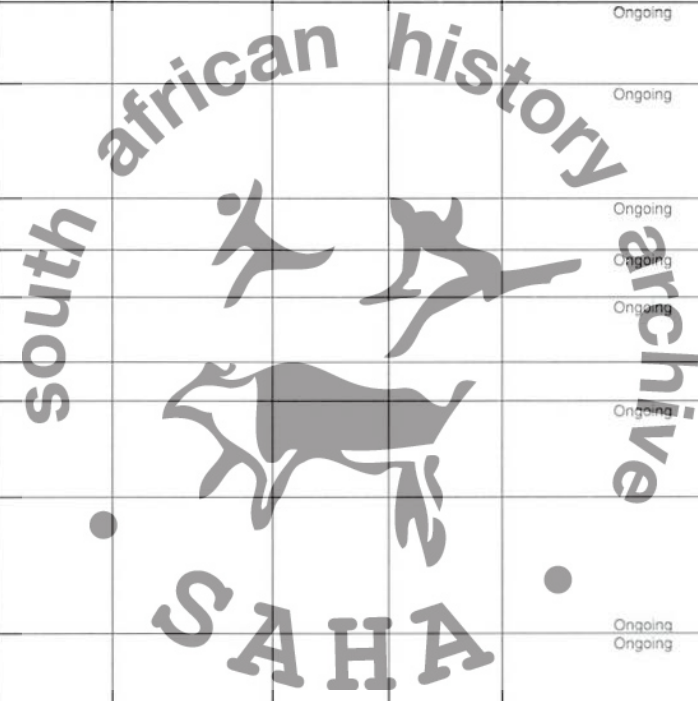


Gauteng Provincial Government: The Office of the Premier

SUMMARY OF FRAUD PREVENTION PLAN
Implementation plan containing a
matrix of tasks and responsibilities

Components of the Plan	DG	Directorate: Chief Financial Officer	Directorate: HR	Directorate: Procurement Services	Other Line Management	Head: Forensic Services	Feedback date	Progress
A. PREVENTING FRAUD AND CORRUPTION								
Code of Conduct for Public Sector Employees								
<i>Workshops for all managers of the Department to create awareness of fraud and corruption, the manifestations thereof and the plan.</i>			Director - Internal HR					Ongoing
<i>Circulating copies of the ethical principles contained in the Code of Conduct for Public Servants to all the Department employees.</i>			Director - Internal HR					Ongoing
<i>Ensure that all employees sign an annual declaration serving as an indication of their understanding of, and commitment to, the values and the ethical and business conduct standards expected by the Department.</i>			Director - Internal HR					Ongoing
<i>Communicating specific ethical principles to others stakeholders.</i>			Director - Internal HR					Ongoing
<i>Create awareness on gifts policy aligned to Section C.5.3 of the Code.</i>			Director - Internal HR					Ongoing
<i>Development of a robust system of declaration of private interests and actual or potential conflicts of interest.</i>			Director - Internal HR					Ongoing
Systems, policies, procedures, rules and regulations								
<i>Develop clearly defined communication and training strategies to create awareness of existing and new policies and procedures.</i>			Director - Internal HR					Ongoing
<i>Development of provisions for all employees to acknowledge, in writing, that they have read the policies and procedures applicable to their duties, have undergone relevant training and/or are aware of these policies and procedures.</i>			Director - Internal HR					Ongoing
<i>The development and distribution of a regular communiqué outlining the importance of complying with policies and procedures and the implications for employees.</i>			Director - Internal HR					Ongoing



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Develop anti-fraud measures relating to: - Advertising posts; - Pre-employment, security screening and probity; - Employee induction, Probation; - Ongoing financial disclosure and lifestyle audit, - Obligatory leave periods, and - Exit procedures.			Director - Internal HR					Ongoing
Develop a system with clear guidelines for the placing of prohibitions on individuals and entities found guilty of fraud against the Department.			Director - Internal HR					Ongoing
Develop a structured monitoring mechanism for the keeping of proper records of the policies and procedures that are being updated, and of new policies and procedures that are being developed.			Director - Internal HR					Ongoing
Disciplinary Code and Procedures								
Create awareness amongst employees of forbidden conduct in terms of the disciplinary code.			Director - Internal HR					Ongoing
Provide ongoing training of managers in the application of disciplinary measures and the disciplinary process, and sustain this training.			Director - Internal HR					Ongoing
Develop a system to facilitate the consistent application of disciplinary measures.					Director, Legal Services			Ongoing
Regularly monitor and review the application of discipline with the objective of improving weaknesses identified.			Director - Internal HR					Ongoing
Mitigating Controls								
The Department should conduct training and awareness on the sick leave policy to all employees and to new employees during induction. The Department should conduct training and awareness on Ethics and Code of Conduct. Managers should ensure adherence to the leave policy. Human Resource Department should extract reports on ESS on unapproved leave and communicate them to Managers. The Department should identify and investigate patterns on utilisation of sick leave . The Department should take punitive actions against transgressors.			Director - IHR		All Managers			30 November 2012 - Training on sick leave Policy Ongoing

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<p>The Department should ensure that access to archived documents is restricted to one official.</p> <p>The Department should ensure that all paper based records are digitised and access is restricted.</p> <p>The Department should ensure that information on server is encrypted.</p> <p>The Department should ensure that documents are centrally received by Registry.</p> <p>The Department should provide training and awareness on Registry and archiving of documents.</p>					Director - IT			Ongoing
<p>The Department should conduct training and awareness on the working hour policy.</p> <p>The Department should conduct training on Ethics and code of conduct.</p> <p>Managers to ensure adherence to the working hour policy taking into consideration productivity.</p> <p>The Department should take disciplinary actions against transgressors.</p>								30 November 2012 - Training Ongoing
<p>The Department should conduct training and awareness on SCM policies to all staff.</p> <p>The Department should enforce compliance to financial delegations.</p> <p>The Department should investigate reported cases of non-compliance to SCM policies.</p> <p>The Department should enforce corrective measures for non-compliance.</p>		CFO	Director - IHR	Director - SCM	Director - IHR All Managers			Quarterly commencing on 2nd quarter ending 31 September Ongoing
<p>The Department should conduct training and awareness on the leave policy to all employees and to new employees during induction.</p> <p>The Department should conduct training and awareness on Ethics and code of conduct.</p> <p>Managers should ensure adherence to the leave policy.</p> <p>Human Resource Department should extract reports on ESS on unapproved leave and communicate them to Managers.</p> <p>The Department should take punitive actions against transgressors.</p>			Director - IHR		All Managers			30 November 2012 - training on leave policy Ongoing
<p>The Department should ensure adherence to monthly limits as set on the telephone management policy.</p> <p>The Department should conduct training and awareness on Ethics.</p> <p>The Department should consider limiting the size of e-mail accounts.</p> <p>The Department should consider limiting types of websites that can be visited.</p> <p>The Department should conduct training and awareness on IT policies to Managers.</p>			Director -IHR (Training)		Director - IT			By 30 November 2012 - Training on IT Policies and Ethics

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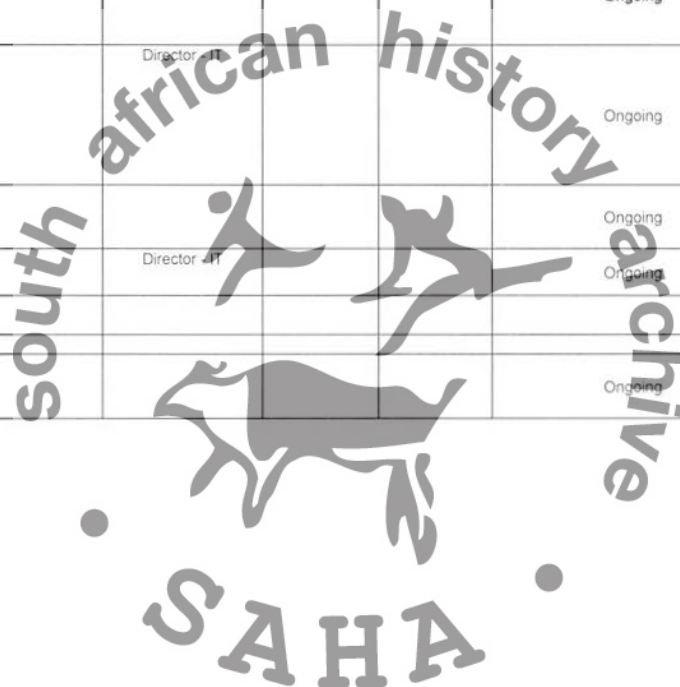
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<p>The Department should enforce the Financial Disclosure Framework</p> <p>The Department should conduct training and awareness on Ethics</p> <p>The Department should ensure that employees declare gifts received on the gift register as per the Explanatory Manual on the Code of Conduct for the Public Services</p> <p>The Department should conduct verification of disclosures by conducting audits on disclosure of interest</p>			Director - IHR		All Managers;			<p>30 April 2013 - Submission of Financial Disclosure forms</p> <p>30 November 2012 - Training</p> <p>30 September 2012 - for verification of Gift register</p>
<p>The Department should ensure that purchases above R500 000 are processed through DAC Declaration and verification of interest by DAC members.</p> <p>The Department should enforce compliance with SCM policies, Financial and Procurement delegations</p> <p>The Department should enforce compliance to existing BEC guidelines.</p> <p>The Department should communicate the outcomes of the tender to unsuccessful bidders</p> <p>The Department should review the Service Level Agreement with GDF regarding procurement of goods and services</p>		CFO		Director - SCM	All managers			<p>Ongoing</p> <p>30 September 2012 - for reviewing the SLA</p>
<p>The Department should appoint the Ethics Officer.</p> <p>The Department should conduct training on ethics to MMS members & Assistant Directors and Finance officials</p> <p>The Department should enforce Compliance to existing policies (usage of GG vehicles, Asset Management policy, Delegation of authority).</p>		CFO	Director - IHR		All Managers			<p>30 Sept 2012 - for appointing the Ethics Officer</p> <p>30 November 2012 - Training</p> <p>Ongoing</p>
<p>All procured assets to be delivered to SCM unit</p> <p>Programme Managers to sign off RLS02 on receipt of invoice and verification of work done to specification.</p> <p>Restriction of suppliers for work not done according to specifications</p>				Director - SCM	All Managers			<p>Director - SCM</p> <p>Quarterly.</p>
<p>The Department should implement a software to track new laptops</p> <p>The Department should ensure Bar-coding of all assets.</p> <p>The Department should ensure that security officials are present at all entrances</p> <p>Security officials should monitor the CCTV.</p> <p>Managers should ensure completion of asset movement form.</p> <p>The Department should report stolen assets to SCM.</p>				Director - SCM	Director - IT			<p>Director - Security; and Director - Security;</p> <p>All Managers</p> <p>Monthly reports to EMT</p> <p>Ongoing</p>
<p>The Department should enforce compliance with existing policies (Asset Management policy, Delegation of authority).</p>				Director - SCM				Ongoing.
Physical and information security								
Physical security								

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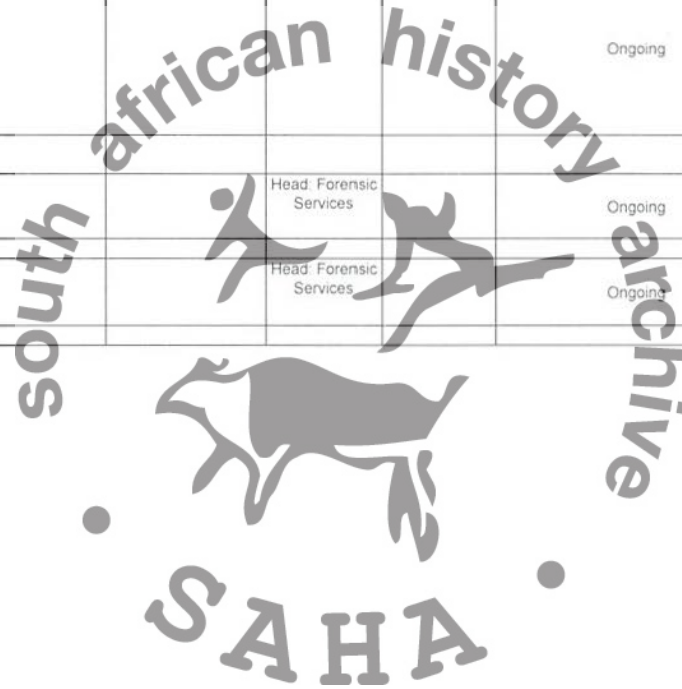
Components of the Plan	DG	Directorate: Chief Financial Officer	Directorate: HR	Directorate: Procurement Services	Other Line Management	Head: Forensic Services	Feedback date	Progress
Conduct a regular detailed review of the physical security arrangements at the Department's offices and improve weaknesses identified					Director - Security			Ongoing
Information security Ensure that all employees are sensitised on a regular basis to the fraud risks associated with information security and the utilisation of computer resources					Director - IT			Ongoing
Forward regular communiqués to employees pointing out security policy with a particular emphasis on e-mail and Internet usage and the implications (e.g. disciplinary action) of abusing these and other computer related facilities					Director - IT			Ongoing
Provide training to employees on management of intellectual property and confidential information			Director - IHR					Ongoing
Conduct regular review of information and computer security					Director - IT			Ongoing
B. DETECTING AND INVESTIGATING FRAUD								
Internal Audit Develop awareness strategies to enhance managers' understanding of the role of Internal Audit		CFO						Ongoing



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<i>Regularly re-emphasise to all managers that consistent compliance by employees with internal control is one of the fundamental controls in place to prevent fraud</i>		CFO						Ongoing
<i>Encourage managers to recognise that internal control shortcomings identified during the course of audits are, in many instances, purely symptoms and that they should strive to identify and address the causes of these internal control weaknesses, in addition to addressing the control weaknesses</i>		CFO						Ongoing
Ongoing fraud risk assessment and management								
<i>Conduct of fraud risk assessment to identify the fraud and corruption risks that it is faced with</i>						Head Forensic Services		Ongoing
Fraud and Corruption Detection								
<i>Conduct specific fraud detection reviews in some of the identified high fraud risk areas on a regular basis</i>						Head Forensic Services		Ongoing
Reporting and monitoring								



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Ensure that a system is developed for the keeping of records of all other allegations brought to the attention of the Department		CFO						Ongoing
Provision of fraud statistics to the DPSA in line with Cabinet Instructions						Head Forensic Services		Ongoing
Report on the performance of the minimum anti-corruption capacity as part of its annual report						Head Forensic Services		Ongoing
Fraud Policy and Response Plan								
Circulate the Fraud Policy to all employees and appropriate sections to the public, customers and providers of goods and services		CFO						Ongoing
C. FURTHER IMPLEMENTATION AND MAINTENANCE								
Creating awareness								
Conduct formal fraud awareness presentations for selected employees in planned workshops		CFO				Head Forensic Services		Ongoing
Develop other communication mechanisms for the Plan		CFO						Ongoing
Provincial Anti-Corruption Forum								
Presentation of quarterly reports to this forum as required by its terms of reference						Head Forensic Services		Ongoing
Ongoing maintenance and review								
Ensure that ongoing communication and implementation strategies are developed and implemented		CFO						Ongoing

