PART C:
GOVERNANCE

1. INTRODUCTION

The leadership of the department has committed itself to sound corporate governance in support of the government's commitment to furthering accountability, integrity and service delivery. The key tenets of corporate governance, namely leadership, sustainability and corporate citizenship, are shaping the department's approach to the institutionalisation of corporate governance. The department seeks to ensure that it accounts for its use of the public finances and resources entrusted to it in pursuance of its Constitutional remit, and the government's strategic objective outcome goals and organisational priorities, including addressing risks that may impede the realisation of these imperatives.

Parliament, which represents the electorate, requires assurance that the department has good governance structures in place to ensure statutory compliance and to ensure that the standard of the service provided is commensurate with the expectations of stakeholders.

As part of the initiatives to institutionalise governance, the department has:

● purified, aligned and reorganised management functions to reflect the core mandate (policing) and the enabling environments (corporate services and physical resource management);

● established the Board of Commissioners and its sub-committees to ensure proper command of policing operations;

● entrenched the National Management Forum as the main decision-making body for the organisation, supported by sub-committees such as the Enterprise Risk Management Committee (ERMC); and

● introduced the Top 1500 Management Consultation Forum to facilitate structured engagement among national, provincial, cluster, and station-level managers and to serve as the critical platform to mainstream governance across the organisation.

2. RISK MANAGEMENT

THE DEPARTMENT'S RISK MANAGEMENT COMMITTEE, RISK MANAGEMENT POLICY AND STRATEGY

The department has formalised the risk management system and governance of risk through the establishment of the ERMC, which coordinates the development of the Risk Management Policy (RMP) and drives the medium-term Enterprise Risk Management Strategy (ERMS). The re-established and formally constituted ERMC, which is accountable to the department's National Management Forum, is representative of the key areas of performance characterised by the department's predetermined objectives (PDOs) and the functional areas that are required to give effect to the PDOs.

THE DEPARTMENT'S CONDUCTING OF REGULAR RISK ASSESSMENTS TO DETERMINE THE EFFECTIVENESS OF ITS ERMS AND TO IDENTIFY NEW AND EMERGING RISKS

The department's ERMC has established a comprehensive, enterprise-wide methodology for the annual identification, assessment mitigation and monitoring of strategic and operational risks, linked to the SAPS Strategic Plan as interpreted in the Annual Performance Plan.

PROGRESS IN THE MANAGEMENT OF RISKS, AND ITS TRANSLATION INTO IMPROVEMENTS IN THE DEPARTMENT'S PERFORMANCE

The extent of mitigation of strategic risks, as reflected in the department's strategic and annual performance plans and linked to the PDOs, and the improved performance reported in 2013/14, indicates a plausible mitigation of various strategic risks, which include reported criminal conduct by SAPS members, murder of SAPS personnel on and off duty, collisions involving SAPS vehicles and the loss and theft of SAPS firearms. Generally, while an assessment of strategic risks over the medium-term points to a trend of successful mitigation, there are areas that will attract additional managerial focus going forward. These include escapes from custody, the case docket management process, absenteeism and unlawful actions by SAPS personnel. The revamped ERMC will assume a pivotal role in the design, implementation and monitoring of specific mitigation strategies aimed at reducing the likelihood and impact of these and other strategic risks.

THE ROLE OF THE AUDIT COMMITTEE IN ADVISING THE DEPARTMENT ON RISK MANAGEMENT AND INDEPENDENTLY MONITORING THE EFFECTIVENESS OF THE SYSTEM OF RISK MANAGEMENT

The role of the SAPS Audit Committee in the department's enterprise risk management system is commensurate with the requirements of the Public Finance Management Act, 1999, Act No 1 of 1999 and the King III Code on Corporate Governance. During the 2013/14 financial year, the Audit Committee was instrumental in guiding risk management processes and placed particular emphasis on two dimensions of risk oversight. The first dimension focused on the strategic risks impacting on the department's PDOs per financial programme and the second dimension related to the use of the combined assurance platform to advance internal controls of the organisation to minimise the likelihood and impact of risks. The Audit Committee has provided constructive input to the identification of strategic risks and, through the Audit Committee Chairperson, who also presides over the Combined Assurance Committee, monitors quarterly the impact of strategies designed to mitigate these risks.

Approaches to the rectification of deficiencies identified in the application of risk management

In order to ensure objectivity and swiftness in the rectification of identified deficiencies for each financial year, the Accounting Officer re-established and mainstreamed an inclusive ERMC function in terms of the governance framework, under the leadership of an independent chairperson. During 2013/14, the focus fell on inadequate implementation of existing internal controls at the coalface of the organisation and the slow-paced implementation of Internal Audit recommendations in terms of agreed corrective action. These form part of the ERMC scope of work for the 2014/15 financial year to achieve a reduction of identified deficiencies and to improve organisational risk management maturity levels.

3.   FRAUD AND CORRUPTION

THE DEPARTMENT'S FRAUD PREVENTION PLAN AND THE PROGRESS MADE IN IMPLEMENTING THE FRAUD PREVENTION PLAN

Chapter 14 of the NDP and the clarion call by the President to combat corruption and its facets continue to be priority objective outcomes for the JCPS Cluster. During 2013/14, the cluster revitalised its Anti-Corruption Framework and Strategy to focus cluster departments on the outputs of the JCPS delivery agreement emanating from the Medium-Term Strategic Framework (MTSF). As an instrument to realise these outputs, cluster governance structures include the Anti-Corruption Task Team (ACTT), responsible for investigating serious corruption in both the public and private sectors, and the Anti-Corruption Working Group (ACWG), responsible for coordinating strategy and policy development,

implementation and monitoring in all cluster departments.

In line with the above, during 2013/14, the SAPS has established the SAPS ACWG modelled on that of the JCPS Cluster and inclusive of all crucial functional areas and organisational levels to drive the institutionalisation of anti-corruption initiatives in the department. The SAPS ACWG is responding to a number of predetermined project-related anti-corruption outputs that are designed to ensure compliance with the JCPS Anti-Corruption Framework and Strategy and to further customise the aforementioned to meet the specific needs of the department. These anti-corruption outputs include:

> → the development, implementation and monitoring of an anti-corruption framework and revised strategy;

- an integrated stakeholder value management and communication approach for the department;

- development of departmental policy and procedures to structure anti-corruption requirements and responsibilities;

- the establishment of a dedicated integrity management and investigation capability;

- the enhancement of the department's discipline management capability; and

- the effective and efficient management of members with criminal convictions.

The department's commitment to eradicate corruption and fraud within its ranks is evidenced in the detection and charging during 2013/14 of 1 016 members for corruption and fraud-related matters in terms of the SAPS Disciplinary Regulations. These members' share 1 172[27] corruption-related charges, as follows:

TABLE 49 CORRUPTION AND FRAUD – BREAKDOWN OF CHARGES: APRIL 2013 TO MARCH 2014

CORRUPTION AND FRAUD - APRIL 2013 TO MARCH 2014	
TYPE OF CHARGE	NUMBER OF CHARGES
Corruption	332
Fraud	207
Aiding an escapee	421
Defeating the ends of justice	169
Extortion	34
Bribery	9
Total	1 172

By the end of the reporting period, 51 members had been suspended. 14 suspended with salary and 37 suspended without salary[28]. The remaining 965 members were not suspended. These figures exclude the number of suspensions that were uplifted during in-year intervention processes in 2013/14. Table 50 provides insight into the environments wherein the offence occurred and the outcome or status of the investigation.

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27   The number of charges is greater than the number of members charged because 89 members were charged for more than one incident.

28   Regulation 13(1) and Regulation 13(2).

TABLE 50: CORRUPTION AND FRAUD – FINALISATION OF CASES

CORRUPTION AND FRAUD - APRIL 2013 TO MARCH 2014

Province/division	Members charged	Guilty	Dismissed	Not guilty	Withdrawn	Sanctions short of dismissal	Case placed on roll	Cases finalised	Pending
Corporate Services	1	1	1	0	0	0	2	2	0
Forensic Services	12	8	3	0	1	5	13	9	4
Crime Intelligence	18	6	5	2	4	1	22	16	6
Directorate of Priority Crime Investigation	2	2	2	0	0	0	2	2	0
Human Resource Development	2	2	0	0	0	2	3	3	0
Operational Response Service	9	2	0	4	1	2	9	7	2
Personnel Services	1	1	1	0	0	0	1	1	0
Protection and Security Services	1	1	0	0	0	1	1	1	0
Supply Chain Management	1	0	0	1	0	0	1	1	0
Visible Policing (VISPOL)	8	5	1	1	1	4	8	7	1
Eastern Cape	111	66	16	27	15	50	118	111	7
Free State	44	36	21	8	0	15	44	44	0
Gauteng	259	127	61	68	27	66	268	230	38
KwaZulu-Natal	124	49	14	59	10	35	129	123	6
Limpopo	34	26	9	2	2	17	35	31	4
Mpumalanga	49	28	7	14	6	21	50	49	1
North West	65	23	8	22	11	15	65	56	9
Northern Cape	30	23	3	7	0	20	30	30	0
Western Cape	245	110	29	78	50	81	270	263	7
TOTAL	**1 016**	**516**	**181**	**293**	**128**	**335**	**1 071**	**986**	**85**

MECHANISMS IN PLACE TO REPORT FRAUD AND CORRUPTION AND HOW THESE MECHANISMS OPERATE (REPORTING OF CASES AND ACTION TAKEN)

The National Head of the Directorate for Priority Crime Investigation (DPCI) is responsible for combating, preventing and investigating offences referred to in Chapter 2 and Section 34 of the Prevention and Combating of Corrupt Activities Act,2004 (Act No 12 of 2004). This responsibility, which includes the provision of directions for reporting of corruption and related common law offences, was introduced as an amendment to the act by the South African Police Service Amendment Act 10 of 2012 promulgated on 14 September 2012.

The SAPS Amendment Act, 2012 introduced the reporting procedures of Section 34(1) of the Prevention and Combating of Corrupt Activities Act, 2004, which stipulates that reporting should be made to any police officer. In terms of the latest amendment, all such offences must now be reported to a member of the DPCI.

According to Section 34(3)(b) of the Prevention and Combating of Corrupt Activities Act, 2004, the National Head of the DPCI must, within three months of the commencement of the Act, publish the directions in paragraph (a) in the Gazette for reporting of offences. The objectives of the guideline are to:

● Implement reporting procedures in terms of Section 34 to indicate the role of the DPCI in terms of Section 17C and 17D of the SAPS Act, 1995.

● Train designated members in the compliance and enforcement of the Prevention and Combating of Corrupt Activities Act, 2004.

● Establish the DPCI webpage to publish the directions for general reporting in terms of Section 34 of the Prevention and Combating of Corrupt Activities Act 2004.

While the reporting of corruption in terms of the Prevention and Combating of Corrupt Activities Act, 2004 is regulated by this Act, the department has a responsibility to not only actively detect corruption and fraud involving its members, but to provide members and the public with mechanisms to report allegations of corruption and fraud involving members of the department. Detection and reporting of corruption and fraud involving members from both internal and external sources remains a challenge and the primary reporting mechanism is the Office of the Public Service Commission (OPSC) National Anti-Corruption Hotline (NACH). The department has close working relations with the OPSC to streamline the receipt of reports on allegations, fast-track the investigation of these allegations by the department, and coordinate feedback to the OPSC. Allegations received from the OPSC include possible criminal behaviour, including corruption and fraud, and allegations of poor service delivery. Referrals for further investigation within the department are informed by the severity of the allegation and are channelled accordingly. These allegations are managed in accordance with the OPSC's target response times. The department's response rate to the OPSC has been improved through the introduction of internal controls. Feedback was provided in 87.5% of the cases referred to the department for further investigation by the OPSC during 2013/14.

The department has several internal assurance providers who detect corruption and fraud during their assurance activities. Evidence of possible corrupt and fraudulent activities by the inspectorate and Internal Audit is channelled directly to the Detective Service for registering of a case docket, investigation and prosecution. Detective Service will ensure that the affected members' supervisors are informed of the criminal investigation for appropriate departmental action to be taken against the members. This is in terms of Standing Order 107, which regulates criminal trials against members.

Allegations of corrupt and fraudulent activities by members are also reported from internal and external sources to various other structures in and outside the department, including the Presidential Hotline,

the SAPS Crime Stoppers Line, the SAPS Service Delivery Complaints Line and management at all levels. These allegations are managed similarly to those detected by internal assurance providers.

4. MINIMISING CONFLICT OF INTEREST

In general, all employees have to apply to perform remunerative work in terms of SAPS National Instruction 4/2011. If it is determined that the remunerative work will result in a conflict of interest, it is declined. In terms of the SAPS Employment Regulations, senior managers must disclose their financial interests for the previous financial year by 30 April. Any remunerative work declared by senior managers in their financial disclosures is being verified that it has been authorised by the relevant Provincial/Divisional commissioner.

Members who are selected to serve on promotion panels are required to complete a declaration of conflict of interest form. Financial disclosure forms have been amended to include employees on salary levels 1-12 and Regulation 11 is currently being amended by Legal Services to include these employees as part of the definition of designated employees.

Furthermore, the chairperson of both the Bid Evaluation Committee (BEC) and Bid Adjudication Committee (BAC) always ensures that the declaration of interest is done before the meeting takes place.

5. CODE OF CONDUCT

The SAPS Code of Conduct was introduced on 31 October 1997. Each member is obliged to give a written undertaking to adhere to the principles of the Code, which implies that he or she will ensure a safe and secure environment for all people of South Africa and protect life and property of citizens and all inhabitants. This implies that all members are faithful to the State and honour the Constitution of the country and carry these through in their daily activities.

The Code of Conduct is a guideline for members to know and understand their responsibilities and obligations towards the general public and the implications of failure to comply. Breaches of the code are dealt with in terms of SAPS Discipline Regulations, 2006. A finding of guilty will result in an appropriate sanction in keeping with the severity of the infringement, or dismissal.

6. HEALTH, SAFETY AND ENVIRONMENTAL ISSUES

Safety, Health and Environmental (SHE) Management aims to promote a safe and healthy environment by providing a framework that allows SAPS to:

● consistently identify and control health and safety risks;

● reduce the potential for accidents;

● aid legislative compliance and improve overall performance;

● ensure the health and safety of all persons on the premises; and

● ensure the health and safety of all SAPS members executing their daily duties.

LEGAL COMPLIANCE AUDITS - 300 INSPECTIONS CONDUCTED

1	Sandton	94	Midrand	186	Norwood
2	Rosebank	95	Bramley	187	Sandingham
3	Boipatong	96	Sharpeville	188	Evaton
4	Ekangala	97	Tarlton	189	Linden
5	Eden Park	98	Thokoza	190	Vanderbijlpark
6	Barrange	99	Sebokeng	191	Forum Building
7	Umziwethu single quarters	100	Wierdabrug	192	Welbekend
8	Magaliesburg	101	Fairlands	193	Katlehong
9	Vosloorus	102	Dawn Park	194	Westonaria
10	Glenharvie	103	Bekkersdal	195	Schindler ORS
11	Modimolle	104	Groblersdal	196	Hoedspruit
12	Giyani	105	Lebowakgomo	197	SCM: Arms and Ammunition
13	SCM: Miscellaneous	106	SCM: Acquisition	198	SCM: Financial Service
14	SCM: Mechanical Service	107	SCM: Building and Project	199	SCM: Clothing and Distribution
15	Training	108	Training	200	Training
16	Hlanganani	109	Sekgosese	201	Malamulele
17	Bela Bela	110	Rust de Winter	202	Pienaarsrivier
18	Mawhelereng	111	Tinnyne	203	Gilead
19	Roedtan	112	Mussina	204	Mphephu
20	Botlokwa	113	Tshitale	205	Makhado
21	Mount Road	114	Humewood	206	Kopfontein
22	Swartkopfontein	115	Mokgobistad	207	Marydale
23	Van Wyksvlei	116	Loeriesfontein	208	Sutherland
24	Beaufort-West	117	Kwa Nonqaba	209	Still Bay
25	Oudtshoorn	118	Riversdale	210	Rawsonville
26	Mbekweni	119	Robertson	211	Ashton
27	Paarl East	120	Da Gammaskop	212	Mossel Bay
28	Herbertsdale	121	Albertinia	213	Slangrivier
29	Wynberg	122	Kirstenhof	214	Claremont
30	Ravensmead	123	Da Gammaskop	215	Moloto Training
31	Hopetown	124	Barkly West	216	Galeshewe
32	Roodepan	125	Tsineng	217	Heuningvlei
33	Severn	126	Bathlaros	218	Kuruman
34	Wrenchville	127	Deben	219	Vosburg
35	Brits town	128	De Aar	220	Sunrise
36	Petrusville	129	Hanover	221	Phillipstown
37	Kakamas	130	Keimoes	222	Noenieput
38	Upington	131	Rosedale	223	Nieuwoudtville
39	Calvinia	132	Williston	224	Fraserburg
40	Carnarvon	133	Modderrivier	225	Moloto TRT Endurance Training
41	Nababeep	134	Komaggas	226	Kleinsee
42	Garies	135	Kamieskroon	227	Aggeneys
43	Lansdowne	136	Phillipi	228	Guguletu
44	Nyanga	137	Mitchell's Plain	229	Wilderness
45	Conville	138	Sedgefield	230	George

46	George CIG	139	Bonteheuwel	231	Bishop Lavis
47	Genadendal	140	Caledon	232	Goodwood
48	Bellville	141	Sir Lowry's pass	233	Lingelethu
49	Khayalitsha	142	Harare	234	Hartebeesfontein
50	Klerksdorp	143	Stilfontein	235	Mthatha Central
51	Ngqeleni	144	Jericho	236	Klipgat
52	Bedwang	145	Vryburg	237	Ganyesa
53	Sunnieshof	146	Ogies	238	Carolina
54	Ermelo	147	Oshoek	239	Piet Retief
55	Secunda	148	Embalanhle	240	Breyten
56	Acornhoek	149	Mhala	241	Belfast
57	Graskop	150	Pilgrim's rest	242	Standerton
58	Balfour	151	Greylandstad	243	Wakkerstroom
59	Batho Ba Kopane Mess	152	Pumulani Mess	244	Leslie
60	Evander	153	Trichardt	245	Charl Cilliers
61	Bethal	154	Leslie	246	Ekangala
62	Bushbuckridge	155	Calcutta	247	Skukuza
63	Dullstroom	156	Machadodorp	248	Hazyview
64	Vosman	157	Siyabuswa	249	Kwaggafontein
65	Tweefontein	158	Barberton	250	Louws Creek
66	Matsulu	159	Pienaar	251	Masoyi
67	Ngodwana	160	Nelspruit	252	Pretoria North
68	Delmas	161	Sundra	253	Hendrina
69	Khuma	162	Jouberton	254	Provincial Office
70	Madeira	163	Bityi	255	Ngangelizwe
71	Mdatsane	164	Chungwa	256	Cambridge
72	Queenstown	165	Cathcart	257	Kolomane
73	Cofimvaba	166	Whittlesea	258	Dordrecht
74	Molteno	167	Aliwal North	259	Sterkspruit
75	Jamestown	168	Balfour	260	Seymour
76	Idutywa	169	Willowvale	261	Butterworth
77	Kei Bridge	170	Kentani	262	Marikana
78	Boons	171	Orkney	263	Stilfontein
79	Taung	172	Mooifontein	264	Ottoshoop
80	Mafikeng	173	Motswedi	265	Lehuruthse
81	Bethelsdorp	174	New Brighton	266	Boshoek
82	Derdepoort	175	Kranskop	267	Greytown
83	Escort	176	Mooiriver	268	Nottingham
84	Amanzimtoti	177	Kokstad	269	Margate
85	Port Shepstone	178	Harding	270	Veritas Flash
86	Volksrust	179	Modimolle Garage	271	Cramond
87	Bishopstowe	180	Prestbury	272	New Hanover
88	Wartburg	181	Normandien	273	Pongola
89	Ingwavuma	182	Emanguzi	274	Mbazwana
90	Carletonville	183	6th Floor SCM	275	Kempton Park
91	Stella	184	Huhudi	276	Excelsior
92	Thaba-Nchu	185	Selosesha	277	Ladybrand
93	Lindled				

FIRE EXTINGUISHER:

278	Edenvale	286	Kliprivier	294	Ennerdale
279	Tolwe	287	Saamboubrug	295	Musina
280	Makuya	288	Bandelierskop	296	Soekmekaar
281	Gravelotte	289	Letsitele	297	Hebron
282	Hammanskraal	290	Norkem Park	198	Ga-Masemola
283	Marble Hall	291	Roossenekal	299	Zaaiplaas
284	Ga-Rankuwa	292	Mmakau	300	Wolmaransstad
285	Dennilton	293	Groblersdal		

MEDICAL SURVEILLANCE

A total of 28 800 medical examinations were conducted.

SPECIFICATIONS

The following specifications were completed:

- Gas installation

- Mobile uniform shop

- Rifle safe

- Fire investigation

- Overall two-piece

- Crime scene vehicle

- Fire investigation vehicle FSL

- Roadblock trailers

- Bomb disposal vehicle

- Intermediate arm guard

- Soft arm guard

- K9 dog box

- Riot helmet

- Warning flags shooting range

- Riot helmet

- Full face respirator (multi-purpose)

- Safety goggles

- Evaluation: Safety goggles

- Certification: Arm guard intermediate

- Certification: Arm guard soft

ACHIEVEMENTS

- All planned visits were conducted

- Stations were workshopped on the implementation of occupational health and safety

- All specifications that were requested by the various divisions have been drafted

- All complaints and incidents received were investigated

- The medical surveillance programme has received a positive response from all personnel

- Hazards have been established through medical examinations that were conducted and safe working procedures were introduced

- The DPCI initiated a drug-testing campaign in Pretoria in 2014 and that has now been extended to provincial offices.

7.   PORTFOLIO COMMITTEES

During the reporting period, the following engagements were made between the department and the Portfolio Committee on Police (PCOP):

DATES	AGENDA	IMPORTANT MATTERS RAISED BY PCOP	HOW THE DEPARTMENT HAS ADDRESSED THESE ISSUES
16 to 19 April 2013	Briefing on the 2013/14 Strategic Plan, budget and APP (budget vote hearings)	Report of the PCOP on Budget Vote 25: Police (2013/14), dated 14 May 2013	Responses were submitted to the PCOP 2013-04-30, 2013-05-16 and 2013-06-15
14 May 2013	Briefing on the biannual report on the Domestic Violence Act (DVA)	Procedure for a SAPS member's firearm when the member contravened the DVA	Responses were submitted to the PCOP on 2013-06-14
21 May 2013	Briefing on the progress made to date regarding recommendations made by the PCOP subsequent to the detective dialogue of 5 September 2012	Progress on recommendation made during the 2012 detective dialogue	Follow-up meeting held on 2013-08-20

DATES	AGENDA	IMPORTANT MATTERS RAISED BY PCOP	HOW THE DEPARTMENT HAS ADDRESSED THESE ISSUES

14 August 2013	Briefing on the following:
	
	1) Newly established Police University in Paarl;
	
	2) Newly established SAPS Internal Anti-Corruption Unit; and
	
	3) Audit on criminality within SAPS.
		The committee requested the following information on Paarl University be submitted:
		
		» MoU (signed or not signed)
		» Copy of the conducted comparative research
		» Academic and operational curriculum
		» Budget, outlining:
		
		  - where funds were obtained
		  - first cent spent, from which period
		  - future funding
		
		» List of lecturers and their qualifications
		» Higher education legislative requirements followed in establishing the university
		» Details of how trained members will be deployed
		» Information on Southern Business School
		
		The committee requested the following information be submitted in writing by 15 August 2013:
		
		  - Terms of reference for the Working Group on SAPS Anti-Corruption Unit
		
		» National and provincial breakdown of information on the 1 448 members with criminal records:
		
		  - Types of crimes committed
		  - Rank of members
		  - Promotions of those with criminal records
			Responses were submitted to the PCOP on 2013-07-09

20 August 2013	Follow-up briefing on the progress made to date on Portfolio Committee recommendations following the detective dialogue of 5 September 2012	Follow-up meeting on progress on recommendation made during the Detective Dialogue	Issues were addressed during the meeting
17 September 2013	Briefing on the restructuring of the SAPS Briefing on the quarterly expenditure for the fourth quarter of 2012/13and the first quarter of 2013/14	Quarterly expenditure for the fourth quarter of 2012/13 and first quarter of 2013/14 and SAPS restructuring	Responses were submitted to the PCOP on 2013-10-07 and 2013-09-04

DATES	AGENDA	IMPORTANT MATTERS RAISED BY PCOP	HOW THE DEPARTMENT HAS ADDRESSED THESE ISSUES
8 to 11 October 2013	Annual Report (BRRR) hearings	The Budgetary Review and Recommendation Report of the PCOP dated 24 October 2013	Responses were submitted to the PCOP on 2013-10-16, 2013-11-20 and 2013-12-03
4 to 7 February 2014	Oversight visit to police stations in the Eastern Cape	Committee report still outstanding.	
4 March 2014	Briefing on actions taken following the parliamentary recommendations on the oversight report and the role of the inspectorate	The following questions were asked by the committee during the briefing on 4 March 2014 and had to be replied to by Friday 7 March 2014: » Provide a copy of the draft Disciplinary Regulations (the chairperson undertook to write to the Minister to enquire about progress) » Provide a full report on the status of the e-docket, including a breakdown of stations and those that are linked to courts. » Provide a full status report on the Property Control and Exhibit Management (PCEM) system » With the SAPS 13 stores, what are the target dates, and at how many and at which stations has the situation improved? » Provide a progress report on the levels and number of Crime Intelligence personnel vetted and in possession of active security clearances. » How many Special Investigation Unit (SIU) investigations are taking place in SAPS and what is the status of these investigations? » Provide details on the loss/theft of SAPS firearms, including: - Numbers lost - Numbers recovered - Members charged and outcome of cases - Disciplinary steps taken and the outcome - Financial recovery	Responses were submitted to the PCOP on 2014-03-07

Public Hearings, Committee Deliberations, Vote and the Adoption of the Private Security Regulation Amendment Bill as well as the Criminal Law (Forensic Procedures) Amendment Bill (DNA Bill) were also held during 2013/14.

Some 2013/14 issues indicated above are captured in the Legacy Report of the PCOP on its activities undertaken during the Fourth Parliament (May 2009 to March 2014).

8. SCOPA RESOLUTIONS

Resolution no	Subject	Details	Response by the department	Resolved (yes/no)
1/2009	Sector policing	» Implementation of sector policing » Monitoring mechanisms	» Following recommendations by PCOP in 2011, a review of the programme and National Instruction was conducted and revised National Instructions issued, including minimum standards for implementation » Status of implementation at the end of 2013/14 was 96%. Of 1 137 police stations, only 59 stations have not implemented according to the required minimum standards	Yes

1/2009	Vehicle management	» Implementing automated vehicle location (AVL) system in operational vehicles
		
		» Training employees without driver's licences
			» The AVL system is implemented continuously for operational vehicles. Currently, of the 50 125, vehicles, 41 793 are fitted with AVL. The balance of 8 332 vehicles will be fitted with AVL as soon as a new contract is in place.
			
			» The department engaged with SASSETA, which has subsequently acquired several service providers with its own funding to train 2 500 members for driver's licences. This project is currently in process.
			
			» Training statistics for 1 April 2010 to 31 March 2014:
			  - Driver training
			  - Attended : 4 998
			  - Competent : 4 465
			  - Not competent : 533
			  - Advanced driving
			  - Attended : 1 383
			  - Competent : 1 262
			  - Not competent : 121
			  - Learner's licences
			  - Attended : 4 402
			  - Competent : 3 565
			  - Not competent : 837
			
			» The department issued National Instruction 4/2011 on state vehicles. which regulates the use of vehicles and the monitoring thereof
				Yes
				
				Yes
				
				Yes

Resolution no	Subject	Details	Response by the department	Resolved (yes/no)
1/2009	Vehicle management	» Monitoring the use of vehicles » Maintaining vehicle turnaround times	» Division SCM developed a system report, which generated management information and monitored the total days per category that vehicles are booked into the garage » The categories are as follows - Services = 1 day - Repairs = 5 days - Damages= 15 days - Accidents= 30 days » The overall target per category, including the average of all four categories must at least be 80%	Yes
1/2009	Training	» Exposing members to training	» The total number of individual members trained and training interventions from 1 April 2010 to 31 March 2014 are as follows: Members trained 2010/11 – 178 870 2011/12 - 200 657 2012/13 – 144 298 2013/14 – 216 516	Yes
		» Rectify deficiencies on training database	» A concerted effort was made to improve recording of courses on the department's Training Administration System (TAS).	Yes
		» Proper use of training budget	» The department has initiated an investigation of non-attendance. A standardised non-attendance report is forwarded to stations and units for disciplinary investigation and subsequent reporting of outcomes to Division HRD.	Yes
1/2009	Community Service Centres (CSC)	» Access for people with disabilities	» All new police stations constructed or upgraded since 2003 offer ramp access for the disabled to the community service centre (CSC) and an ablution for the disabled » Currently, 707 police stations are equipped with a toilet for the disabled and 875 police stations are equipped with a ramp to the CSC.	Yes

Resolution no	Subject	Details	Response by the department	Resolved (yes/no)
		» Infrastructure of police stations	» Projects were initiated to address the upgrading and new service infrastructure and, during 2011/12, 170 water, electricity and sewerage projects were earmarked for completion. - 167 were completed - one is in progress - two are in planning	
1/2009	Domestic violence	» Compliance with National Instruction and Domestic Violence Act (DVA)	» SAPS and the Independent Complaints Directorate (ICD) tables bi-annual reports on the DVA and engaged with Portfolio Committee for Police (PCOP) » Since 2012/13 the Civilian Secretariat for Police has been responsible for the monitoring of the DVA. The Civilian Secretariat of Police established a compliance forum with SAPS to address its findings. » SAPS and the CSOP both table biannual reports to Parliament and jointly engaged with PCOP on these reports in 2013 » SAPS introduced a comprehensive domestic violence learning programme in 2004 that has subsequently also been included in the SAPS basic training programme for new recruits. Since the implementation 105 028 SAPS members have completed the programme.	Yes

Resolution no	Subject	Details	Response by the department	Resolved (yes/no)

1/2009	Bulletproof vests	» Issuing of bulletproof vests	» Various interventions were effected by the department to enhance the accounting of bulletproof vests on personal inventories
			
			» Bulletproof vests are marked with a unique asset number
			
			» To ensure data integrity on the Provisioning Administration System(PAS) and to ensure bulletproof vests are functional and safe for operational use, all bulletproof vests are certified twice a financial year
			
			» A manual prescribing the management of bulletproof vests was developed, circulated and implemented
			
			» All operational members were instructed to use a bulletproof vest when on duty.
			
			» Provision has been made on the SAPS 15 form that members have crucial items such as bulletproof vests, firearms, ammunition and torches when on duty
			
			» Since 2010/11, 63 581 bulletproof vests were issued to employees, i.e.
			
			  - Male 47 264
			  - Female 16 317
			
			» Special designed bullet-resistance vests are issued for female employees.
				Yes

1/2009	10111 call centres	» Compliance with norms and standards	» Standard operating guidelines have been issued for implementation at all 10111 call centres with effect from 2013-05-01 to enhance functioning and service delivery	Yes
			» Performance measurements have been implemented for ongoing monitoring and analysis to identify deviations from the acceptable standards of performance based on reaction times to complaints in progress	Yes
		» Shortcomings in equipment and personnel	» A feasibility study was conducted to address shortcomings identified	Yes
			» Standardise equipment and build capacity and standardise the staff establishment of small, medium and large call centres	Yes
		» All 10111 call centres are classified as 'Mission critical'' at SITA, which serves as a back-up	» Continuous training and development takes place, including the appointment of train-the-trainers at call centres, ensuring the relevant in-service and on-the-job training is provided to ensure an effective and efficient quality service	Yes
		» Contingency plans	» The Training Provisioning Plan of SAPS also gives impetus to the training needs and plans of the call centres	
		» Training		

9. PRIOR MODIFICATIONS TO AUDIT REPORTS

Nature of qualification, disclaimer, adverse opinion and matters of non-compliance	Financial year in which it first arose	Progress made in clearing/resolving the matter
15% of the positive incidents reported that should or should not have resulted in a case docket, cannot be verified due to inadequate information recorded on incident reports	2011/12	» Circulars addressing the correct handling and registration of complaints were circulated to all provinces » The standard operating guidelines for 10111 call centres and police stations developed in 2013 were distributed to support the correlation and linkage of case numbers to positive cases » The Crime Administration System (CAS), through the Case Docket Management System Project, ensures that IR numbers and CAS number of dockets opened are automatically linked on the system.
In 24% of the successful illicit drug cases and 34% of the confiscated liquor cases, the actual achievement reported could not be verified against adequate supporting evidence	2010/11	» SOPs and a training manual developed in 2013 are being printed » The system to record recoveries was enhanced to address issues such as control and accountability and was rolled out in 2014. At 31 March 2014, 1 410 members from provincial, cluster and police station level were trained in the enhanced system » A standard success capturing report (SAPS 594) has been developed and distributed for implementation » Directives to enhance control of the recording of data in the SAPS 13 register, CAS and the Operational Planning and Monitoring (OPAM) system have been issued
14% of the reported incidents relating to medium- to high-risk events could not be verified due to incomplete information in the quarterly reports	2010/11	» Nine designated officers were appointed in the Management Information Centre (MIC) at all four national intervention units (NIUs) to oversee and monitor the accuracy and completeness of performance reports. Informal training was provided to all NIU MIC officers and compilers throughout the year

10. INTERNAL CONTROL UNIT

Internal organisational controls are dealt with in an inclusive manner as there is no dedicated unit. The Accounting Officer has established a policy committee comprising key functional environments to coordinate the formulation of policy and to ensure currency, relevance and effectiveness of policies, directives and circulars that govern internal control. Testing the soundness of internal controls is crucial, hence the use of external and internal assurance providers. These role-players bring to management's attention deficiencies in the control environment.

To reduce deficiencies, management emphasises the need to avoid repeat audit findings and to address non-compliance, particularly in service delivery at station level. Furthermore, management has diagnostically identified that the fragmented approach to assurance provisioning contributes to the audit fatigue experienced at this level. That is, at any given time the station would receive audits,

inspections, oversight and other visits and these were not synchronised to elicit comprehensive, outcomes-based responses from station management.

To address the strain on police stations and to ensure assurance provisioning to SAPS management, the combined assurance approach was adopted, which necessitates an integration and alignment of assurance processes to maximise risk and governance oversight and control efficiencies. All internal assurance providers (i.e. Internal Audit, the Inspectorate and Senior Management), are aligned and integrated to improve the organisation's control environment with a focus on police stations as the primary assurance platform.

This synchronisation has resulted in the rotation of internal assurance providers, particularly for the three-year rolling Internal Audit plan. This allows for each site to be visited by at least one assurance provider a year, as indicated in figure 2 below:

FIGURE 2
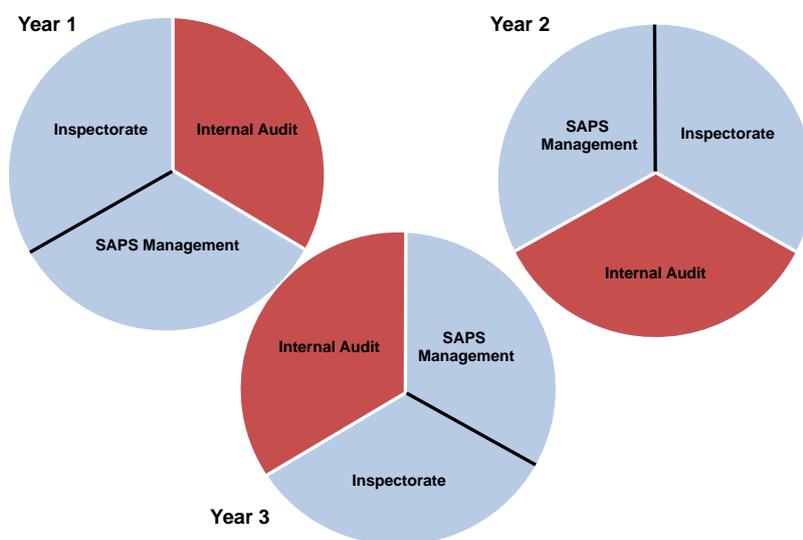
This effort is coordinated by the Combined Assurance Committee, under the guidance of the Audit Committee.

A total of 1 361 assurance visits were conducted at the department's 1 134 stations, resulting in the identification of five areas[29] of assurance correlation that were accentuated by individual assurance providers and prioritised to inform intervention plans by management. These areas were also used to update the areas of risk that stations need to mitigate in future financial years.

11. INTERNAL AUDIT AND AUDIT COMMITTEES

Internal Audit provides an independent and objective assurance and consulting activities on the adequacy and effectiveness of SAPS governance, risk management and control processes.

Internal Audit performed a number of Risk Based, Performance, Information Technology and Forensic Audits at Police Stations, Division's and Specialised Units. The purpose was to review the department's risk exposure internal control system and advise management on the improvement thereof. Key issues identified were discussed and agreed with Management. Issues that impacted on the strategic objectives of the department were escalated to the Accounting Officer and the Audit Committee. Follow-ups were also performed to establish whether management had taken corrective action on

29   These include Management of the station; Management of the CSC; Detention Management; Exhibit Management and some aspects on Crime Investigation.

reported findings. During 2013/14, Internal Audit implemented a quality assurance and improvement programme, whereby periodic internal assessments were conducted.

The Audit Committee met five times during the financial year to review, among other things, the system of internal control; the effectiveness of Internal Audit; quarterly financial reports; performance information; the Annual Financial Statements; Risk Management and the Auditor General's management letters.

Audit Committee members were as follows:

Name	Qualifications	Internal or external	If internal, position in the department	Date appointed	Date resigned	Number of meetings attended
Ms B Ngunjiri	B Compt (Hons), CCSA, CIA	External	N/A	1 November 2010	N/A	4
Mr T Bolman	B Tech, CFE, CCSA, CGAP,CIA	External	N/A	1 November 2010	N/A	5
Mr W van Heerden	Matric	External	N/A	8 October 2010	N/A	5
Mr M Mokwele	B Com (Hons), CCSA, CIA	External	N/A	29 May 2012	N/A	5

12. AUDIT COMMITTEE REPORT

We are pleased to present our report for the financial year ended 31 March 2014.

This report is solely for SAPS and does not include Crime Intelligence and Protection Services (CIPS), as it has a separate reporting process, Audit Committee and Portfolio Committee.

AUDIT COMMITTEE RESPONSIBILITY

The Audit Committee reports that it has complied with its responsibilities arising from Section 38 (1) (a) (ii) of the Public Finance Management Act and Treasury Regulation 3.1.13. The Audit Committee also reports that it has adopted appropriate formal terms of reference as its Audit Committee Charter, has regulated its affairs in compliance with this charter and has discharged all the responsibilities contained therein and the related accounting policies and practices.

EFFECTIVENESS OF INTERNAL CONTROL

Our review of the findings of the Internal Audit work, which was based on risk assessments conducted in the department, revealed control weaknesses, which were then raised with the department.

The following work was completed during the year under review:

- 242 police station reviews

- Human resource development review

- National Police Day/community outreach

- Supply chain management review

- Human resource management review

- Specialised units review: NIU and POP

- Air Wing

- OR Tambo International Airport

- Durban Harbour

- Crime prevention

- Emergency Response Services (10111)

- Criminal Records and Forensic Science Laboratory

- IT asset management review

- Physical security review

- POLFIN data analysis review

- Post-implementation review on RIMAS

- Physical verification of ICT equipment

- IT governance review

- Persal data analytics review

- CAS data analytic review

- Performance chat system

- Predetermined objectives

- Termination process

- Forensic Laboratory

- Firearms, Liquor and Second-Hand Goods

- Complaints management

- Local Criminal Record Centre

- Crime Investigation: Family Violence, Child Protection and Sexual Offences

- Follow-up reviews

- Periodic internal assessments.

The following were areas of concern:

- Generally, the internal controls design is adequate, but its operation is ineffective

- The slow implementation of Internal Audit recommendations or agreed corrective actions, which increases the number of repeat findings

- Delays in consequence management of members of the department who intentionally or unintentionally disregard approved policies and procedures.

FUTURE OUTLOOK

During 2013/14, the department implemented a combined assurance model that has seen coordination among various assurance providers and has improved coverage of the universe of SAPS through audit, inspections and planned as well as surprise management reviews or site visits. This will continue to ensure that levels of accountability increase and that non-compliance is identified and corrected speedily.

The Audit Committee has set aside a special meeting during the month of August 2014 to review management's action plan in addressing all open recommendations. This register will continue as part of the agenda of the Combined Assurance Committee, Risk Management Committee and Audit Committee and of senior leadership meetings.

IN-YEAR MANAGEMENT AND MONTHLY/QUARTERLY REPORT

The department has reported monthly and quarterly to Treasury as required by the PFMA. In addition, at all Audit Committee meetings, the department presented quarterly reports for review and/or consideration.

EVALUATION OF FINANCIAL STATEMENTS

The Audit Committee reviewed on 29 May 2014 the annual financial statements prepared by the department and recommended them for audit. Although the department had been exempted from making a provision for capped leave, and can add this line item to the contingent liability note, the committee, and management, agreed to retain it as part of employee benefits.

EVALUATION OF PERFORMANCE INFORMATION

At the Audit Committee meeting of 29 May 2014, the performance tables were evaluated and recommended for audit after refinement by management.

AUDITOR-GENERAL'S REPORT

The committee reviewed the department's implementation plan for audit issues raised in the previous year and was satisfied that the issues have been adequately resolved except for the following matters:

- Response time to Alpha, Bravo and Charlie calls;

- Confiscation of illicit substances and

- Firearm application forms.

The Audit Committee concurs and accepts the conclusions of the Auditor General on the annual financial statements and is of the opinion that the audited annual financial statements be accepted and

read together with the report of the Auditor General. The committee has also reviewed the performance information as included in the Auditor General report together with the management letter, and is of the opinion that the Accounting Officer should be afforded the time to apply her mind to the content of this report. The committee also accepts management's commitment to re-examine the construction of performance indicators to strengthen both external and internal audit of predetermined objectives.

B Ngunjiri
Chairperson of the Audit Committee
South African Police Service

Date: 31 July 2014