

## **FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN FOR THE FINANCIAL YEAR 2018/19**

### **1. Purpose of this Document**

This document sets out the Fraud Prevention and Whistleblowing Implementation Plan for the KZN Office of the Premier.

### **2. Objective of the Plan**

The primary objective of fraud prevention and whistleblowing implementation plan is to facilitate the execution of fraud prevention activities. The fraud prevention implementation plan for the Department was prepared to give effect to the implementation of the Fraud Prevention Strategy and sets out all fraud prevention activities planned for the 2018/19 Financial Year.

### **3. Approach of the Plan**

3.1. The development of the fraud prevention implementation plan has taken into consideration:

3.1.1. Fraud Prevention Plan

3.2.2. Fraud Policy

3.2.3. Whistle Blowing Policy



#### 4. Detailed Fraud Prevention Plan

The detailed fraud prevention implementation plan is included below:

FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN					
Planned Action	Detailed Actions	Responsibility	Output	Due Date	
Review and implementation of Fraud Policy	Annual review of the fraud policy by Integrity Management Unit and approved by the Director-General.  Roll out of fraud awareness campaigns	DG CD IMU Director Anti-Fraud and Corruption	Approved Fraud policy  Fraud awareness	30 April 2018  30 June 2018	
Review and implementation of the Fraud Prevention Plan	Annual review of the Fraud prevention plan and approved by DG  Submit quarterly reports to Cluster Audit Risk Committee (CARC) on the implementation.	DG, CD IMU Director Anti-Fraud and Corruption	Approved Fraud Prevention Plan Progress reports	30 April 2018  Quarterly	
Conduct Fraud Awareness Campaigns (Including Communication of Fraud Indicators)	Compile and roll out workshops in all Chief Directorates Develop a communication strategy on anti-corruption initiatives (intranet, posters, media)  Publicise successes through provincial communication	CD: Communications Director Anti-Fraud and Corruption DD Anti-Fraud and Corruption	Completed workshops for all Chief Directorates  Articles on internal magazines	30 June 2018  Quarterly	
Conduct Ethics Awareness Campaigns	Compile and roll out ethics workshops in all Chief Directorates	Director Anti-Fraud and Corruption	Completed workshops for all Chief Directorates	30 June 2018	



**FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN**

Planned Action	Detailed Actions	Responsibility	Output	Due Date
(Including the roll out of PSR 2016)		DD Anti-Fraud and Corruption		
Conduct Fraud Risk Assessment, including update of risk register with other risks	Conduct fraud and ethics risk assessment workshop (strategic and operational risks) Compile risk profile based on defined categories (critical and major risks)	CD IMU, Director Anti-Fraud and Corruption and Risk Manager	Fraud and ethics risk register	30 June 2018
Develop/ Review Whistle Blowing Policy and implementation thereof	Annual review of the Whistleblowing policy and approved by the DG	DG, CD IMU Director Anti-Fraud and Corruption	Approved Whistleblowing policy	30 April 2018
Develop/ Review Fraud Reporting and Investigation Processes	Strengthen the whistleblowing processes. Explore the publishing of major investigations disciplinary outcomes through respective newsletters Develop system of monitoring implementation of recommendations of investigation reports. Develop procedures for conducting investigations.	CD IMU Director Anti-Fraud and Corruption and, Director Labour Relations	Active whistleblowing mechanism. Follow up reports on the implementation of recommendations Approved fraud investigations procedures.	30 June 2018
Implementation of Code of Conduct including awareness campaigns	Conduct training programme to improve awareness and knowledge. Enforce implementation of approved codes and procedures.	CD IMU Director Human Resources Director Labour Relations Director Legal Services	Awareness campaigns	30 October 2018



**FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN**

Planned Action	Detailed Actions	Responsibility	Output	Due Date
Review and implementation of Disciplinary Code and Procedures – including awareness campaigns	Conduct training programme to improve awareness and knowledge of the Disciplinary Codes and Procedures. Enforce implementation of Disciplinary Codes and Procedures	DG CD IMU Director Labour Relations	Reviewed disciplinary code and procedures	30 October 2018
Declaration of Conflict of Interest (all Employees)	SMS members to submit their financial disclosures electronically by 30 April 2018. All other designated officials to declare their financial interests as per directive. All other employees to declare by 30 April 2018.	DG Director DG's Support Director Human Resources Ethics officer	Completed declarations	Respective due dates
Monitoring External Remunerative Work	Processing of all applications for External Remunerative Work. Conducting continuous monitoring to detect conflict of interest.	DG Director Human Resources Ethics Officer	Approval certificates.	Continuous
Compliance on acceptance of gifts and donation	Check compliance on the gift register and report to the Director-General	DG Ethics Officer	Reports to the Director-General	Quarterly
Implementation of Cabinet/ Lekgotla Resolutions on Fraud and Corruption	Timeously implement all the resolutions from Cabinet pertaining to fraud and corruption	DG CD IMU Director Anti-Fraud and Corruption	Implemented resolutions/reports	Regular basis
Managing transversally reporting and monitoring	Report on all ongoing investigations to the Public Service Commission and CARC and refer complex investigations to Provincial Internal	DG CD IMU Director Anti-Fraud and	Quarterly reports	Quarterly



**premier**

Office Of The Premier  
PROVINCE OF KWAZULU-NATAL

**FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN**

Planned Action	Detailed Actions	Responsibility	Output	Due Date
investigations and incidents of fraud.	Audit Services and monitor them	Corruption		
Review of Internal Control to assess fraud detection and prevention processes effectiveness	Regularly review all internal controls to assess fraud detection by conducting risk assessment and checking compliance with policies	CD IMU Director Anti-Fraud and Corruption Director Risk Management	Reviewed Internal Controls	Quarterly
Report on Internal Risk Management and Fraud Prevention Committee,	Meet regularly to report on the assessments, risk register and mitigation plans progress and report to EXCO, MANCO and CARC	DG CD IMU Director Risk Management	Quarterly reports	Quarterly
Review compliance with all relevant policies, procedures and prescripts.	Review all policies of the department and follow up on the implementation of policies and rate compliance thereof	DG Director Risk Management Relevant Directors	Compliance checklist	Regular basis
Review and implement delegation of authority	Review delegations of authority to be in line with policies and cost cutting measures and ensure proper implementation.	DG CFO	Reviewed and implemented delegation of authority	Regular basis
Ensure sanctioning suppliers/employees found guilty of fraudulent/	Investigate and sanction suppliers found guilty of fraudulent/ unethical behaviour.	DG CFO Director SCM Director Labour Relations	Sanctioned suppliers	Regular basis





**premier**

Office Of The Premier  
PROVINCE OF KWAZULU-NATAL

**FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN**

Planned Action	Detailed Actions	Responsibility	Output	Due Date
unethical behaviour.				
Develop a policy on conducting business with the department.	Develop and communicate a policy on conducting business with the department as per the DPSA directive.	DG Director: Anti-Fraud and Corruption CD HRM	Policy on Conducting Business with the department.	31 May 2018
Include fraud prevention and risk management into the job description/performance agreement of SMS Members	SMS Members to manage risks of fraud in their components by making employees aware of such and implications thereof, report suspicious incidents and implement internal controls as suggested.	DG DDG Corporate Services CD HRM All Responsibility Managers	Reviewed job descriptions and Performance Agreements	1 May 2018
Review and assess risks concerning physical information security and develop an improvement plan where necessary (include awareness on IT policy and procedures)	Conduct risk assessments pertaining to physical and information security and produce improvement plan detailing necessary steps to be taken to mitigate the risks	DG CD IT CD Security Director Risk Management	Completed risk assessments and Improvement plan	Quarterly



premier

Office Of The Premier  
PROVINCE OF KWAZULU-NATAL

**FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN**

Planned Action	Detailed Actions	Responsibility	Output	Due Date
Monitor the implementation of all of the above and implementation of the Fraud Prevention Plan	Periodically implement all the actions of the FPP	DG EXCO Director Anti-Fraud and Corruption CD:IMU	Implemented actions	31 March 2019

**APPROVAL OF FRAUD PREVENTION AND WHISTLEBLOWING IMPLEMENTATION PLAN FOR THE FINANCIAL YEAR 2018/19**

**DR NONHLANHILA O MKHIZE**  
**DIRECTOR-GENERAL OF THE PROVINCE OF KZN**

02/05/2019  
**DATE**