

**PROVINCE OF THE EASTERN CAPE
DEPARTMENT OF COOPERATIVE
GOVERNANCE AND TRADITIONAL AFFAIRS**



**Fraud Prevention Implementation Plan for the
financial year ending 31 March 2023**

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**Cooperative Governance and Traditional Affairs
Fraud Prevention Implementation Plan 2022/ 2023**

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1. Purpose of the Fraud Prevention Implementation Plan

This document sets out the annual fraud prevention implementation plan of the Department of Cooperative Governance and Traditional Affairs for the financial year ended 31 March 2023.

2. Objective

The fraud prevention implementation plan for Department of Cooperative Governance and Traditional Affairs is prepared to give effect to the implementation of the Anti-Corruption Policy and sets out all anti-fraud management activities planned for the financial year ended 31 March 2023.

3. Approach

Preparation of the fraud prevention implementation plan has undertaken into consideration the following:

- The current Anti- Corruption policy;
- The current approved Fraud Prevention Plan
- Available limited resources;
- The key fraud risks facing the Department; and
- Urgency, quick wins and sustainability.

4. Detailed fraud prevention implementation plan

The detailed fraud prevention implementation plan is included on the following page.

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2022/2023 FRAUD PREVENTION IMPLEMENTATION PLAN: COOPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS

#	Activity	Objective/s	Indicator/Outcome	Responsibility	Date
CREATION OF AN ENABLING ENVIRONMENT					
1	Compilation/ review and approval of Fraud Prevention Plan and all policies for corruption and fraud	Formalize the Security and Anti-corruption Services stance and how is going to be implemented.	Approved Anti-Corruption policy, Whistle Blowing policy & Approved Fraud Prevention Plan	Senior Manager: Security and Anti-Corruption Services	June 2022 (*)
2	Publication of Anti-Corruption Policy and Fraud Prevention Plan	Outline the institution's commitment to protect the institution against adverse outcomes.	Communicated Anti-Corruption Policy, Whistle Blowing and Fraud Prevention Plan to all officials in the institution	Senior Manager: Security and Anti-Corruption/ Manager Anti-Corruption	July/Aug 2022
3.	Fraud Risk Register awareness to all CoGTA employees	Provide a clearly defined and documented mandatory approach and principles for the approval and monitoring of fraud prevention plan and its pillars (Prevention, Detection, Investigation and Resolution) to be embedded in all of Department of Cooperative Governance and Traditional Affairs business activities, systems and processes so that fraud risks are identified and managed on a consistent basis before events occur that might negatively affect the Department of Cooperative Governance and Traditional Affairs in achieving its objectives.	Ensure all personnel are well conversant with the requirements of Fraud Risk Register- high risks being <ul style="list-style-type: none"> • Theft of time • Leakage of Information 	Senior Manager: Security and Anti-Corruption Services/ Manager: Anti-Corruption	(#) April 2022-2023

#	Activity	Objective/s	Indicator/Outcome	Responsibility	Date
CREATION OF AN ENABLING ENVIRONMENT					
	<p>(*) Security Management Policy shall be reviewed respectively, in a period of three year or earlier when the need arises and recommend to the Chairperson(s) of the Risk and Integrity Management Committees for approval of any amendments that may be required and forwarded to the Accounting Officer for noting.</p> <p>(#) The Fraud Risk Register shall be reviewed annually, from the date of approval and when there are changes in the Departmental Strategic Objectives, as well as material changes in the enabling Legislation.</p>				
FRAUD PREVENTION, DETECTION, INVESTIGATION AND RESOLUTION					
4	Current year fraud risk assessment or Prior year's fraud risk assessment review, including the risk mitigation plans.	Identify risks linked to chosen objectives and assess accordingly.	2022/23 fraud risk register and monitoring thereof	Senior Manager: Security and Anti-corruption	March 2023
5i)	Local Government Anti-corruption Strategy and Municipal Integrity Management Framework	Planned Municipalities- Raymond Mhlaba LM, Mquma LM, Sundays River Valley LM, Dr. Beyers Naude LM, Umzimvubu LM, Ntabankulu LM, Intsika Yethu, Mhlontlo- LM and Nyandeni LM	Implementation of the Local Government Anti-Corruption Strategy and Municipal Integrity Management Framework in the planned municipalities for 2022/2023	Senior Manager: Security and Anti-Corruption/ Manager: Anti-Corruption	2022/2023
ii)	Departmental Roll out session of Fraud and Anti-Corruption Awareness Campaign.	Fraud prevention plan and its pillars (Prevention, Detection, Investigation and Resolution) to be embedded in the business activities, systems and processes of Corporate Services, so that	Ensure all personnel of Corporate Services are well conversant with fraud and corruption related matters in their environment.	Senior Manager: Security and Anti-corruption/ Manager: Anti-Corruption	Aug/Sept 2022

#	Activity	Objective/s	Indicator/Outcome	Responsibility	Date
CREATION OF AN ENABLING ENVIRONMENT					
		fraud risks are identified and managed on a consistent basis		Chief Director Corporate Services	
iii)	Departmental Roll out session of Fraud and Anti-Corruption Awareness Campaign.	Fraud prevention plan and its pillars (Prevention, Detection, Investigation and Resolution) to be embedded in the business activities, systems and processes of Strategic Management so that fraud risks are identified and managed on a consistent basis.	Ensure all personnel of Strategic Management are well conversant with fraud and corruption related matters in their environment.	Senior Manager: Security and Anti-corruption/ Manager: Anti-Corruption Chief Director: Strategic Management	Oct/Nov 2022
iv	Departmental Roll out session of Fraud and Anti-Corruption Awareness Campaign.	Fraud prevention plan and its pillars (Prevention, Detection, Investigation and Resolution) to be embedded in the business activities, systems and processes of Traditional Affairs (Programme.5), so that fraud risks are identified and managed on a consistent basis.	Ensure all personnel of Traditional Affairs are well conversant with fraud and corruption related matters in their environment.	Senior Manager: Security and Anti-corruption/ Manager: Anti-Corruption DDG – Traditional Affairs	Jan/Mar 2023
v)	Institutionalisation of Vetting at CoGTA	Communicate the memo embedding vetting to recruitment process,	The memo was approved by the HOD, z204 electronic form submitted to HRM for implementation. However to ensure change management, it was communicated with the current HRM Director for implementation	Manager: Security	On-going process as members join the Organization


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CREATION OF AN ENABLING ENVIRONMENT					
vi)	Procure a security screening system for the department	An approval was received from the HOD and recommended by the ACFO to procure the departmental system	The systems will screen for criminal, educational, companies, credit and all other HRM requirements –during recruitment of incumbents.	Manager: Security	Ongoing
vii)	Departmental Awareness Campaigns on ICT Security measures	ICT security controls to combat ICT espionage and Cyber fraud by enhancing the pillars (Prevention, Detection, Investigation and Resolution) in the Cyber environment.	Ensure all the departmental staff is able to identify cyber fraud and are well conversant with fraud and security breaches in the IT environment.	Manager: Security	Ongoing
viii)	Monitoring the implementation of ICT Systems Security.	ICT security controls to combat ICT espionage and Cyber fraud by enhancing the pillars (Prevention, Detection, Investigation and Resolution) in the Cyber environment.	ICT Systems Security Meetings with ICT and transversal systems controllers	Manager: Security	Quarterly
FRAUD PREVENTION					
6	Fraud prevention plan reviewed, inclusive of the implementation plan	Existence of proactive measure to mitigate/lessen the risk of fraud, corruption, theft, etc.	Approved Fraud prevention plan and Implementation plan implemented	Security Management & Anti-Corruption	2022/2023
MONITORING ACTIVITIES					
7	Monitoring of fraud risk mitigation plans i.r.o. effectiveness and adequacy	Ensure implementation of fraud risk mitigation plans	Implemented fraud risk mitigation plans	Senior Manager: Security and Anti-Corruption & Manager: Anti-Corruption	Monthly


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CREATION OF AN ENABLING ENVIRONMENT					
8	Monitoring of the fraud prevention plan i.r.o. Implementation, effectiveness and adequacy	Ensure implementation of proactive fraud prevention measures	Implemented proactive fraud prevention measures	Security Management & Anti-Corruption	Monthly
OVERSIGHT ACTIVITIES					
9	Risk Management Committee Meeting	Review of risk management, and fraud prevention processes	Status reports tabled outlining implementation status of risk management/fraud prevention capability improvement initiatives, institutional risk maturity improvement initiatives, risk mitigation plans to manage identified risks, and the fraud prevention plan. Active risk management committee meeting, at-least quarterly, to review fraud risk management and fraud prevention processes	Risk Management / Security Management & Anti-Corruption	Quarterly
				Senior Manager: Security and Anti-Corruption & Manager: Anti-Corruption	Quarterly
			Active risk management committee providing the Accounting Officer/Authority and Audit Committee with the relevant oversight reports (inclusive of committee resolutions and recommendations)	Senior Manager: Security and Anti-Corruption & Manager: Anti-Corruption	Quarterly
10	Ethics and Integrity Management Committee Meeting and Ethics Risk Profile of the Department	Share the updated statistics on vetting to the committee for comments and updates	Active Ethics and Integrity Management committee providing the Accounting Officer/Authority and Audit Committee with the relevant oversight reports	Senior Manager: Security and Anti-Corruption	Quarterly

#	Activity	Objective/s	Indicator/Outcome	Responsibility	Date
CREATION OF AN ENABLING ENVIRONMENT					
			(inclusive of committee resolutions and recommendations)		
11	Audit Committee Meeting	Presenting the vetting status update for SCM and SMS for support and ensuring compliance with governance requirement Presenting Fraud Risks Register for implementation and progress thereof	Active Audit Committee providing the Accounting Officer/Authority and Audit Committee with the relevant oversight reports (inclusive of committee resolutions and recommendations) and moreover escalating matter for the attention of the MEC (political oversight).	Senior Manager: Security and Anti-Corruption	Quarterly

5. Approval and signatures

The fraud prevention implementation plan was recommended and approved by:


 Recommended by: _____
 Ms. Z.G Mnyandu
 Designation: **Director: Security & Anti-corruption**
 Date: 21 May 2022


 Approved by: _____
 Mr. A.A Fani
 Designation: **Head of Department**
 Date: 14/06/2022