

OUR REF:	YOUR REF:
DATE: 11 December 2019	TEL: 051 – 4066303

The Speaker

Item to Council

ENHANCED INTERNAL CONTROLS FOR ACCURATE RECORD KEEPING OF FINES

1. INTRODUCTION

Having recognized the challenge within the Traffic division in relation to issuing and returning of municipal fine books and also having taken into cognizance that the city has never in the past had such controls to enable Traffic officers, their supervisors and the entire administrative components at public safety to effectively manage traffic fines, the Department has find it prudent to strengthen its control environment making sure that there is no vacuum that officials within the division understands and knows what is expected of them in which time frames.

2. DISCUSSION

The Directorate has developed internal control measures which amongst other things seeks to address procurement of books, receiving registers and safekeeping of new books, issuing of books to traffic supervisors, issuing of books to first line supervisors and daily submission of traffic fines by traffic officers. The role of admin personnel in terms of capturing and verification of traffic fines issued has been clearly defined to strengthen internal control in as far as capturing, recording and filling of traffic fines is concerned.

It is against this background that the traffic Division intends to introduce the below mentioned enhanced internal control measures and checklist for cancelled, wrongly written and lost tickets. This measure is aimed to enhance accurate record keeping of fines to be used by traffic personnel daily to strengthen internal controls.

3. ENHANCED INTERNAL CONTROL MEASURES

The table below depicts the internal controls

3.1 Enhanced internal control measure for accurate record keeping of fines

ACTION	RESPONSIBILITY	Document	RESPONSIBLE PERSON
PROCUREMENT	<p><u>Purchasing of books:</u></p> <p>Art 341 Sec 56 Sec 56 Speed</p> <p>a) Initiate procurement process to SCM</p> <p>b) Determine the number of books to be procured based on the availability of budget</p> <p>c) Capture the number of books to be purchased into the contravention system in order for the system to generate book ranges (Starting from the last number of the previous book range)</p> <p>d) <u>Book Ranges:</u></p> <ul style="list-style-type: none"> • Bfn starts with 60/0.... /930 • Thaba Nchu starts with 56/0.../930 • Botshabelo starts with 58/.../930 • Dewertsdorp starts with 50/.... /930 • Wepener / VanStadensrus starts with 51/ /930 • Soutpan 49/0...930 	<p>Procurement forms</p> <p>System generated report</p>	<p>Admin Officer GM: Public Safety Head: Social Services</p>
RECEIVING, REGISTER & SAFE KEEPING	<p>a) Verification of received stock on the system before printing of the registers.</p> <p>b) A system-generated register is printed and kept with the stock received in a dedicated safe.</p>	<p>New book register in the safe where books are kept</p>	<p>Chief Clerk</p>
ISSUING OF BOOKS	<p><u>Issuing of Books from the safe to the Issuing Clerk</u></p>	<p>Control Sheet</p>	<p>Traffic Chief</p>

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	<p>a) A copy of system-generated register is signed by the Issuing Clerk on receipt of the books from the safe indicating the range of books received.</p> <p><u>Issuing of Books to the Superintendent from the Issuing Clerk</u></p> <p>a) The issuing clerk prints Control Sheet for every book issued, detailing case numbers.</p> <p>b) The issuing clerk develops a manual register</p> <p>c) The book manual register is populated with the sequence of books, date issued, Superintendent's name receiving books, traffic officer name and number to be issued with a book.</p> <p>d) The Superintendent signs for acknowledgement of receipt for new books and returns old book covers</p> <p><u>Issuing of Books to the Assistant Superintendents from the Superintendents</u></p> <p>a) The issuing clerk develops a manual register</p> <p>b) The manual register is populated with the sequence, date, Superintendent's name, traffic officer number and officer name.</p> <p>c) The Assistant Superintendent signs for acknowledgement of receipt</p> <p><u>Issuing of Books to the Traffic Officers from the Assistant Superintendents</u></p> <p>a) The issuing clerk develops a manual register to be used by Assistant Sups when issuing books to Traffic Officer.</p>	<p>Manual register of books issued Manual register of books issued</p> <p>Manual register of books issued</p>	<p>Traffic Chief</p> <p>Traffic Chief</p>
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	<ul style="list-style-type: none"> b) The manual register is populated with the sequence of the notice numbers of the book to be issued, date, Superintendent's name, traffic officer number and officer name. c) The Traffic Officer is issued with a new book and signs off for acknowledgement of receipt. 	Manual register of books issued	Traffic Chief
PROVIDE INFORMATION TO TRAFFIC OFFICERS	<p>Court rolls schedule information to be provided to Traffic Officers</p> <ul style="list-style-type: none"> a) Court roll schedule is set and prepared based on different type of offence e.g. Speed, Section 341 notices and Section 56 b) The prepared court schedule to be verified and signed off on a weekly basis to avoid wrong court dates c) Information distributed to Snr. Superintendent and Control Room <p>Charge sheet information to be provided to Traffic Officers</p> <ul style="list-style-type: none"> a) Charge sheet to be verified and signed off yearly at start of financial year 	Court rolls	Traffic Chief Clerk Gr 1
DAILY SUBMISSION OF TRAFFIC FINES	<p><u>Submission of written fines accompanied by control sheets</u></p> <ul style="list-style-type: none"> a) Officers must submit to Assistant Superintendents written fines for screening (Screening Checklist), e.g., incorrect court dates, incorrect fine amount. b) Screened fines are submitted to the Superintendent by the Assistant Superintendent to validate the screening. <p><u>Non-valid Traffic Fines identified during screening</u></p> <ul style="list-style-type: none"> a) Assistant Superintendents recommend cancellation to the Superintendents due to the 	Screening checklist	Traffic officer/ Traffic Warden/ Assistant Superintendent/ Superintendent/ Snr Superintendent and Traffic Chief

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	<p>errors identified through the screening checklist.</p> <p>b) The Superintendents approve the cancellation recommendations.</p> <p>c) Cancelled fines will be signed off by the Superintendents with the attached checklist.</p> <p><u>Missing fines</u></p> <p>a) Traffic Officer must report a missing fine with immediate effect to the Assistant Superintendent</p> <p>b) Assistant Superintendent and the Superintendent submits missing fine report about missing fine.</p> <p>c) A written explanation must be submitted by the Traffic Officer before end of shift.</p> <p>Superintendent will validate a missing fine and recommend a cancellation thereof.</p> <p><u>Missing Books</u></p> <p>a) Assistant Superintendents and Superintendents to verify the availability of books issued to Traffic Officers on a daily bases</p> <p>b) Missing books must be reported immediately by Traffic Officials</p> <p>c) Submission of police affidavit and report of missing book to immediate supervisor</p> <p>d) Superintendent will validate a missing book and recommend a cancellation thereof.</p>	<p>Screening checklist</p> <p>Missing tickets template report</p> <p>Missing ticket template report</p> <p>Missing book template report</p>	<p>Traffic officer/ Traffic Warden/ Assistant Superintendent/ Superintendent/ Snr Superintendent and Traffic Chief</p> <p>Traffic officer/ Traffic Warden/ Assistant Superintendent/ Superintendent/ Snr Superintendent and Traffic Chief</p> <p>Traffic officer/ Traffic Warden/ Assistant Superintendent/ Superintendent/ Snr Superintendent and Traffic Chief</p> <p>Traffic officer/ Traffic Warden/ Assistant Superintendent/ Superintendent/ Snr Superintendent and Traffic Chief</p>
RETURNING OF USED BOOKS COVERS	<p>a) Returning full books covers from Traffic officers on shift, before receiving of new books.</p> <p>b) A completed book is recorded and signed off by the Superintendent on the register as returned</p> <p>c) A completed book is filed sequentially in a designated safe</p>	Update book register	Superintendent Issuing Office Chief Clerk
SUBMISSION OF FINES TO ADMIN (OFFICE OF ISSUING)	a) The Superintendent to submit the screened fines in Officer	Control register	Traffic officer/ Traffic Warden/ Assistant

	Files with Control Sheet to the issuing office b) Sign off by the issuing office for receipt of all fines c) Admin supervisor to sign off on Control Sheet receipt of all fines handed in		Superintendent/ Superintendent/ Snr Superintendent/ issuing clerk/chief clerk
CAPTURING AND VERIFICATION	a) Receiving of submitted fines from the Issuing Office by Chief Clerk b) Checking against the Control Sheets and sign off on the submitted fines c) Submit to the Data Capturers for capturing d) Data Capturers acknowledge receipt of fines submitted and sign on the Control Sheet e) Officer files are returned to the Issuing Office then Superintendents f) Data Capturers capture the fines into the Traffic Contravention System g) A system generated report is printed to accompany fines captured daily per respective Data Capturer	Contravention system/ Traffic fine register	Data Capturers and chief clerk

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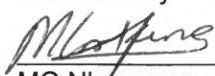
FILLING OF CAPTURED FINES	<p>SECTION 56</p> <ul style="list-style-type: none"> a) Control documents are filed according to Court Dates and in Sequence pending representation and payment. b) A system generated Court Roll to reach the court section two weeks before trial date accompanied by fines/control documents. c) The Court Roll is manually updated with the payment receipts and representation results. d) Failure to appear in court on a set court date will result in arrant of Arrest being issued by the court. <p>SECTION 341</p> <ul style="list-style-type: none"> a) Control documents are filed according to Sequence pending representation and payment. b) File uploaded to eNatis System to retrieve the ownership and vehicle detail. c) First Notice sent to offender within 30 days of date of offence. d) Failure to pay will result in issuing of summons (Section 54). e) A system generated Court Roll to reach the court section two weeks before trial date accompanied by fines/control documents. f) The Court Roll is manually updated with the payment receipts and representation results. g) Failure to appear in court on a set court date will result in Warrant of Arrest being issued. 	Store room filled according to sequence	Chief clerk Clerk grade 1 Clerk grade 2
		Preparation of the court roll	Chief clerk Clerk grade 1 Clerk grade 2
		Preparation of the court roll	Chief clerk Clerk grade 1 Clerk grade 2 Court prosecutor
TRAFFIC FINES REPRESENTATIONS	<ul style="list-style-type: none"> a) Submission of representation by the offender to be made at the Representation Office for consideration. 	Representations form	Representation Officer Chief clerk Clerk grade 1 Clerk grade 2

	b) A representation request does not necessarily lead to adjustment of a fine amount and non-appearance in court.		Prosecutor
STATUS REPORT	a) Registration clerk to print status report to check if all tickets in the book have been issued and submitted by Traffic officers. b) Status report to be printed again after 3 weeks to ensure that all tickets have been captured. c) The status report is then attached to the cover of the full book and given to the Chief clerk for safekeeping and filling. d) The filling is done in a sequential form.	Captured traffic fines report	Traffic officer/ traffic warden Assistant superintendent/ Superintendent/ Chief Clerk
VERIFICATION OF REPORTS	<u>Overseeing of Weekly Reports:</u> Books procured, books issued, books returned, books in stock.	Reconciliation report	GM: Public Safety Traffic Chiefs Senior Traffic Superintendent Supervisors both Administration and Traffic- Operations

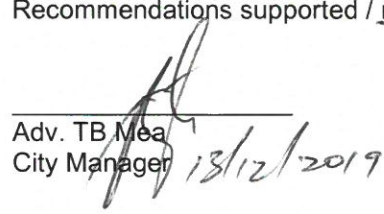
RECOMMENDATION

1. That Council notes the contents of the report
2. That Council approves these control measures

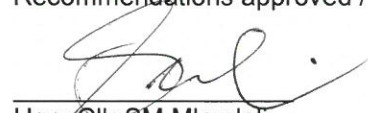
Submitted by:


 MG Nkomo
 HOD: Social Services

Recommendations supported / ~~not supported~~


 Adv. TB Mee
 City Manager

Recommendations approved / ~~Not approved~~


 Hon. Cllr SM Mlamleli
 Executive Mayor

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