



**STANDARD OPERATING PROCEDURE FOR  
INVESTIGATION ENGAGEMENT (VERSION 1)**

<b>SOP Owner</b>	Chief Operating Officer
<b>Division/Unit/Department</b>	Operations - Protection Services
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## **1. INTRODUCTION**

An investigation is a formal fact-finding process to prove or disprove allegations or acts of crime or misconduct. The objectives of this SOP are to outline the scope of the processes and procedures that govern the Protection Services (PS) investigations and enhance the efficiency and effectiveness of the service. Further, this SOP advocates fairness, thoroughness, impartiality, and objectivity in conducting investigations.

## **2. PURPOSE AND SCOPE**

The purpose of this SOP is to:

- 2.1 Provide clarity and consistency to the engagement of investigations by employees of UJ who are empowered to conduct investigations.
- 2.2 In interpreting this SOP, investigations include any suspected case of security breaches, misconduct, or criminal conduct against UJ property and persons, including students, staff, visitors, and contractors.
- 2.3 This SOP applies to UJ investigators and any other person authorized to investigate at UJ.
- 2.4 All compliance levels will be monitored regularly, and the appropriate compliance officer will review the result. Any breach will be treated as a serious disciplinary offence and may be subject to disciplinary actions under the provisions of UJ's HR policy and/or referred to SAPS and other relevant law enforcement agencies as may be applicable.
- 2.5 This SOP has an institution-wide application.

## **3. PRINCIPLES AND VALUES**

The principles and values of an investigation are as follows:

- 3.1 An investigation is conducted when it is suspected that a person is acting criminally or committed misconduct against the interests of the University community on UJ property. For this SOP, "premises" include all relevant movable and immovable property of the UJ.

- 3.2 Investigations must be conducted to the highest standards and with the utmost integrity. The PS Department shall always consider the application of POPIA in all its dealings with affected persons.
- 3.3 Crimes occur both on and off-campus, and this SOP allows for all stakeholders to assist in completing investigations professionally and effectively. Investigators must investigate cases and complete them to allow for disciplinary proceedings and sanctions to be applied.
- 3.4 In instances where the PS Department is required to source the skills of an external party outside of the University, the Investigations Unit Head will formally request such resources to be granted from the Senior Director (SD), PS.
- 3.5 By implementing this SOP, the PS Department will afford the necessary support to investigators and allow them to conduct investigations that are professional and conclusive, thereby enhancing the UJ experience for staff, students, and visitors.
- 3.6 It is important to emphasize that the PS Department may only investigate cases that are formally reported in writing by the complainant in a prescribed document, signed by a complainant or by persons who are either staff members, students, visitors, or contractors, secondly where the crime occurs on the University's property and/or safe routes
- 3.7 This SOP must be read in line with relevant regulations and UJ policies to provide a safe campus community and to prevent sexual and gender-related misconduct from taking place. In line with the DHET Framework, the University of Johannesburg further adopts the principles guided by Higher Health.

#### **4. INVESTIGATION WORKFLOW**

Below is a summary of the investigation workflow:

- 4.1 Incident reported to PS shift manager or designate.
- 4.2 PS shift manager or designate to inform management of the incident depending on the urgency and the type of incident. Where applicable, notify the police.
- 4.3 PS Shift Manager or designate to conduct a preliminary investigation and obtain all available statements and evidence.
- 4.4 PS Shift Manager or designate to capture the incident on the Incident Management System (IMS).

4.5 The IMS sends instant notifications to relevant stakeholders to activate their processes.

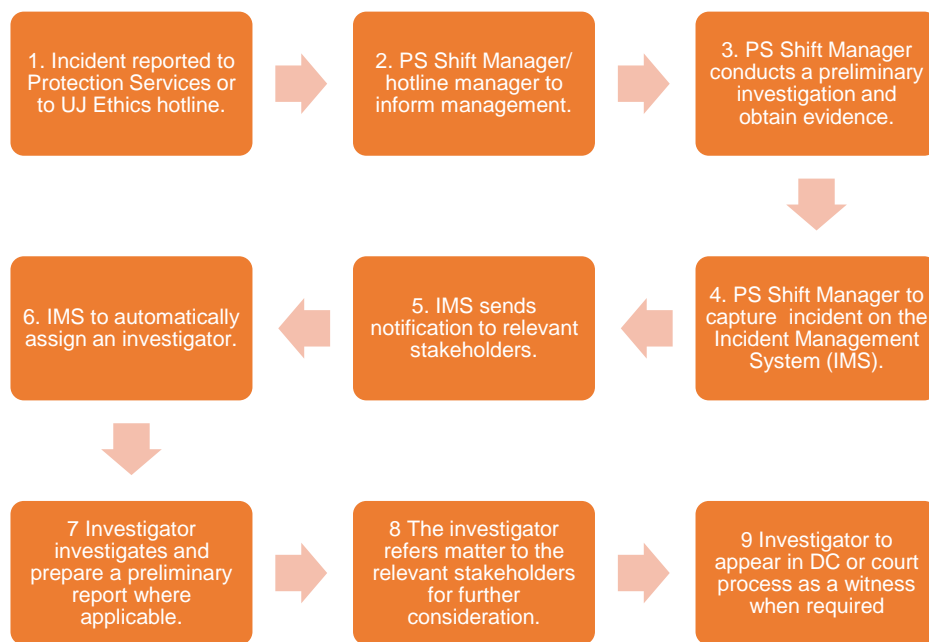
4.6 At the same time, the IMS automatically assigns an investigator for the incident.

4.7 Investigator to investigate accordingly and prepare a preliminary report where applicable or an investigation report when the investigation is finalized.

4.8 For appropriate attention, the investigator should refer the matter to the relevant stakeholders, such as Student Affairs, Employee Relations, Transformation, etc.

4.9 Investigator to appear in DC or court process as a witness when required

**Below is the investigation flow chart:**



4.10 An investigation must be completed within fifteen (15) calendar days of the initial report unless circumstances warrant a longer period. Alternatively, if the investigation requires a different time frame, the PS Director - Compliance, Risk and Enforcement (CRE) must be informed to provide approval.

## 5. REPORTING AND INCIDENT

5.1 Incidents may be reported to PS through the following channels:

5.1.1 Walk-in centres or duty rooms at PS Offices.

5.1.2 Telephonically or electronically via PS contact details or the UJ Ethics Hotline:

- <https://www.uj.ac.za/uj-ethics-hotline/>
- <https://www.uj.ac.za/support-services/operations/protection-services/>

## 6. INVESTIGATION STANDARDS

6.1 All investigations must comply with all relevant legislation & regulations.

6.2 All investigations must comply with the relevant Human Resources Policies and any other relevant Policies.

6.3 The following suspected incidents must be reported to the PS: Director Compliance Risk and Enforcement immediately:

6.3.1 Loss of life (e.g., murder or suicides, motor vehicle accidents, etc.)

6.3.2 Threats to life (e.g., attempted murder, death threats, threats of violence or to commit grievous bodily harm, etc.)

6.3.3 GBV

6.3.4 Incidents of corruption, fraud, and money laundering.

6.3.5 Arson

6.4 All incidents or suspected incidents of misconduct, criminal activity, or severe policy breaches involving UJ PS employees, UJ Executive/Senior Leadership Group, or PS assets.

6.5 Only those persons who are suitably trained to conduct investigations and are authorized by the Director of PS to act on behalf of UJ may do so. All employees of UJ must co-operate with an investigation and may not interfere with or hinder the course of an investigation.

6.6 The collection of evidence in any investigation is fundamental to the investigation's success. While the students, employees, and third parties may be required to assist in this process, they should seek the advice & guidance of the investigator.

## 7. CONTROLS AND DELIVERABLES REQUIRED FOR COMPLIANCE

PS receives numerous reports of both serious and minor incidents for investigation.

### 7.1 Serious incidents.

7.1.1 Incidents listed in Schedule three (3) of the Criminal Procedure Act 51 of 1977 will be prioritized, followed by those in Schedule 2 and schedule one (1).

- 7.1.2 Further, that Incidents in which the alleged criminality or misconduct may pose an immediate danger to life, serious injury to a person, serious damage to property, or loss of specific evidential opportunities will be prioritized with an immediate investigative response.

## **7.2 Minor and Summary Cases**

- 7.2.1 Minor cases refer to crimes that were committed due to the gross negligence of the complainant, e.g., leaving one's bag outside the lecture hall unattended, leaving a cell phone on the table unattended, etc.
- 7.2.2 Summary cases refer to cases that can be addressed and finalized by the investigator or trained person mediating a conflict.
- 7.2.3 Minor cases will not be investigated. However, they will be registered on the Occurrence Book as a reported case and loaded onto the IMS for crime prevention and statistical collection purposes.
- 7.2.4 Students, staff, and third parties on campus are encouraged to be always vigilant.

## **7.3 Collection of Evidence**

- 7.3.1 All evidence must be collected and retained under relevant legal processes (i.e. Law of Evidence, Law of Criminal Procedure, and all other appropriate legislation).
- 7.3.2 Case files should be retained for a period as prescribed by the relevant legislation.

## **7.4 Data Protection.**

- 7.4.1 The Protection of Personal Information Act called the POPI Act or POPIA) governs the processing, access to, disclosure of, obtaining of, and storage of information. Information may be manually kept of hand-written records, IT Data, CCTV recordings, and recordings of verbal communication.
- 7.4.2 Therefore, an investigator must be mindful at all stages of the data that he/she is requesting processing or disclosing.
- 7.4.3 All investigations undertaken by UJ-appointed Investigators must be registered on the IMS. This provides a unique reference number for each investigation and allows all computerized searches to be cross-referenced with this number for ease of identification.

- 7.4.4 Any call or data searches carried out must only be for legitimate purposes concerning a registered investigation and is subject to the approval of the Management Executive Committee (MEC).
- 7.4.5 All access to CCTV evidence is requested by completing the prescribed form at the control room, which form is filled accordingly.
- 7.4.6 All documentation, CCTV footage, interview recordings, and documentary evidence relating to all investigations must be securely stored.
- 7.4.7 All investigations are to be compliant with regards to any legislation regulating the monitoring of e-mails, telecommunications, CCTV, etc.

### **7.5 Notification & Investigation Reports.**

- 7.5.1 Investigations will invariably impact other business areas and individuals. Preliminary (notification) and detailed investigation reports are a uniform way to update all the key stakeholders in each investigation.
- 7.5.2 A preliminary report is to be used to notify the high-level stakeholders when a significant loss to the business is identified, or a fatality of the university community is committed on campus or the safe routes. This report can be updated at each significant point during an investigation. The MEC must be notified immediately of all losses of more than R100 000, otherwise reported according to the normal procedure.
- 7.5.3 After the conclusion of an investigation, an investigation report is to be submitted to the relevant stakeholder for further attention before any disciplinary hearing takes place. The report will provide a synopsis of the case that summarizes the facts obtained and produce all supporting evidence and recommendations.
- 7.5.4 All investigation reports must be approved by Investigation Manager and PS Director: CRE.
- 7.5.5 Where the investigation relates to senior management from Peromnes level 6 and above, the report shall also be signed off by the Senior Director: PS and the Chief Operating Officer.