



Custodian of Good Governance

Seventh Consolidated
Public Service
Monitoring and Evaluation Report:
Evaluation Cycle 2009/2010

Public Service Commission
February 2011



Vision

The Public Service Commission is an independent and impartial body created by the Constitution, 1996, to enhance excellence in governance within the Public Service by promoting a professional and ethical environment and adding value to a public administration that is accountable, equitable, efficient, effective, corruption-free and responsive to the needs of the people of South Africa.

Mission

The Public Service Commission aims to promote the constitutionally enshrined democratic principles and values of the Public Service by investigating, monitoring, evaluating, communicating and reporting on public administration. Through research processes, it will ensure the promotion of excellence in governance and the delivery of affordable and sustainable quality services.



Seventh Consolidated Public Service Monitoring and Evaluation Report: Evaluation Cycle 2009/2010



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Foreword

This is the seventh edition of the PSC's Consolidated Monitoring and Evaluation Report. The Report contains the results of data compiled from 30 individual reports of two national and 28 provincial departments assessed during the 2009/10 evaluation cycle utilising the PSC's Transversal Public Service Monitoring and Evaluation System (M&E System).



The Report provides a consolidated analysis of the departments which were assessed and highlights their strengths and weaknesses, as well as a reflection of their commended strategies for improvement contained in the individual reports.

The findings clearly show that generally there is still inadequate compliance with the most basic Public Service regulatory frameworks addressed in the nine Constitutional values and principles by the PSC's System.

Unless the recommendations contained in the individual reports are implemented, non-compliance will continue to have a negative impact on effective public administration practices in the departments assessed.

The PSC wishes to thank the political leadership for supporting the process, and officials in the various departments for their cooperation. I encourage you to engage with the work of the PSC, and use this oversight report to improve the quality of governance through your various roles and offices.

A handwritten signature in black ink, appearing to read 'RR Mgiijima', with a flourish at the end.

DR RR MGIJIMA
CHAIRPERSON: PUBLIC SERVICE COMMISSION

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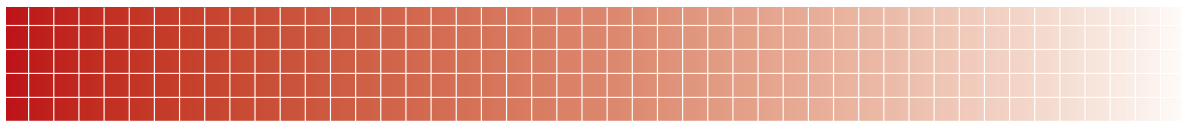
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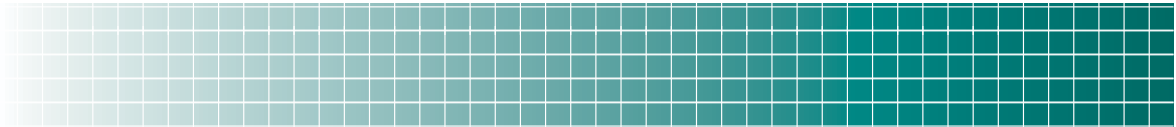


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ACRONYMS

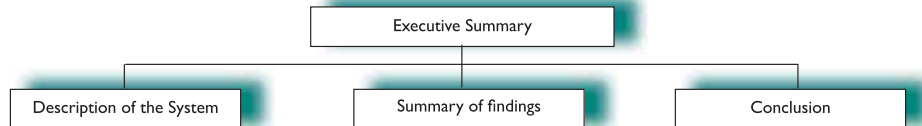
Acronym	Definition/Description
A-G	: Auditor-General
CVPs	: Constitutional Values and Principles
DCPPS	: Disciplinary Code and Procedure for the Public Service
DIO	: Deputy Information Officer
DPSA	: Department of Public Service and Administration
EE	: Employment Equity
EEP	: Employment Equity Plan
EN/PE	: Estimates of National/Provincial Expenditure
FPP	: Fraud Prevention Plan
HoD	: Head of Department
LDPs	: Local Development Plans
M&E	: Monitoring and Evaluation
MEC	: Member of the Executive Council
ND	: National Department
NT	: National Treasury
NW	: North West
PAIA	: Promotion of Access to Information Act, 2000 (Act 2 of 2000)
PAJA	: Promotion of Administrative Justice Act, 2000 (Act 3 of 2000)
PFMA	: Public Finance Management Act, 1999 (Act 1 of 1999)
PIs	: Performance Indicators
PSC	: Public Service Commission
PSCBC	: Public Service Coordinating Bargaining Council
Report	: Seventh Consolidated M&E Report
SDP	: Skills Development Plan
SIPs	: School Improvement Plans
System	: Transversal Public Service Monitoring and Evaluation System

EXECUTIVE SUMMARY

1. INTRODUCTION

The aim of the Seventh Consolidated M&E Report (Report) is to provide an overview of the performance of the 30 departments included in the PSC's 2009/10 evaluation cycle, against the nine Constitutional values and principles (CVPs) set out in section 195 of the Constitution of South Africa. The 30 departments include two national and twenty eight provincial departments. (Refer to **Appendix A** for a complete list of departments assessed). The Report provides a consolidated analysis of the eighteen departments which were assessed for a 2nd time, followed by the overall average performance of all 30 departments per principle by highlighting the strengths and weaknesses, and recommending strategies for improvement.

The Executive Summary is organised as follow:



2. DESCRIPTION OF THE PSC'S SYSTEM

The System, introduced in 2000, annually evaluates the performance of departments against the CVPs, using a few selected indicators and standards per principle. A rating scale is linked to each of the standards so that a score can be awarded for the performance of a department as measured against the standards. This has enabled the PSC to establish a baseline and provide trends in performance over time. The rating scale, consisting of five performance bands, is captured in the **Table I** below.

Table I: Exposition of the scoring and translation into percentages

Performance band	Score description	Score	%
5	Excellent performance against all the standards	4,25 – 5,00	81% – 100%
4	Good performance against most of the standards	3,25 – 4,00	61% – 80%
3	Adequate performance against several of the standards	2,25 – 3,00	41% – 60%
2	Poor performance against most of the standards	1,25 – 2,00	21% – 40%
1	No performance against all the standards	0,25 – 1,00	0% – 20%

The performance indicator(s) and standards used for each CVP, as well as the related policies and regulations, are attached as **Appendix B**.

3. SUMMARY OF FINDINGS

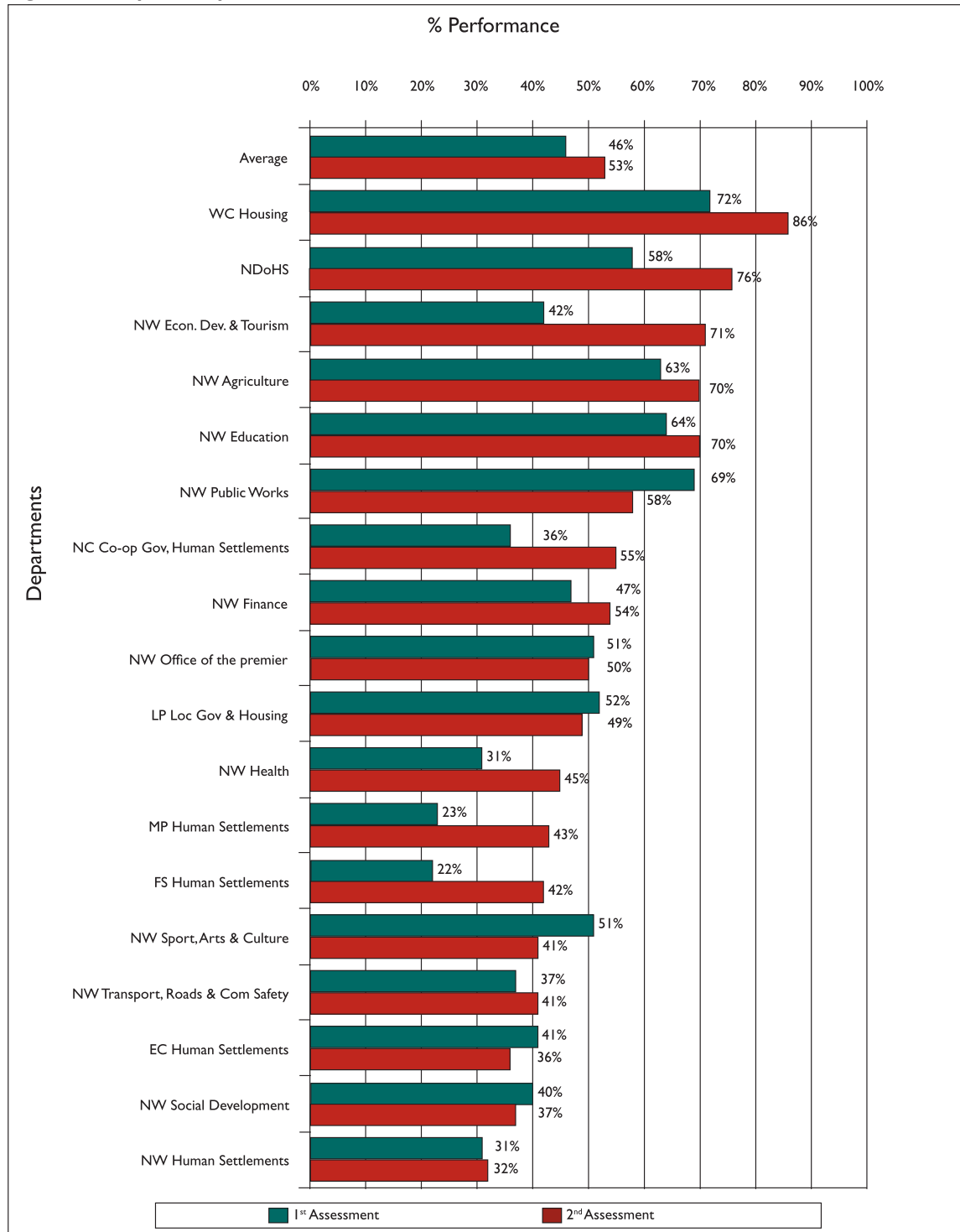
The following is a summary of how the departments performed during the 2009/10 evaluation cycle (30 departments) and how they performed compared to previous evaluations (eighteen departments were assessed for a second time).



3.1 Trends in Performance between 1st and 2nd Assessment

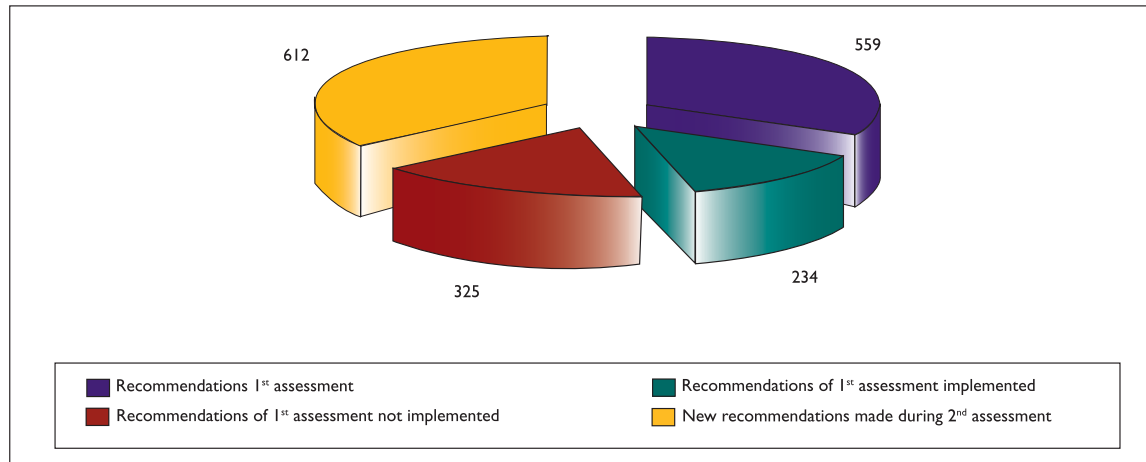
The overall average performance between the 1st (46%) and 2nd (53%) assessments has improved by 7%. However, in terms of the PSC's System, this performance is still regarded as just adequate – refer to **Figure I** below for the scores per department.

Figure I: Comparative performance results between the 1st and 2nd assessment



Of the **559** recommendations made during the 1st assessment, **234** (42%) had been implemented by the time these departments were assessed for the 2nd time in 2009/10 – refer to **Figure 2** below. Of interest to note is that those departments whose performance has increased notably in the 2nd assessment, are also the departments who have implemented most of the PSC's recommendations from the 1st assessment:

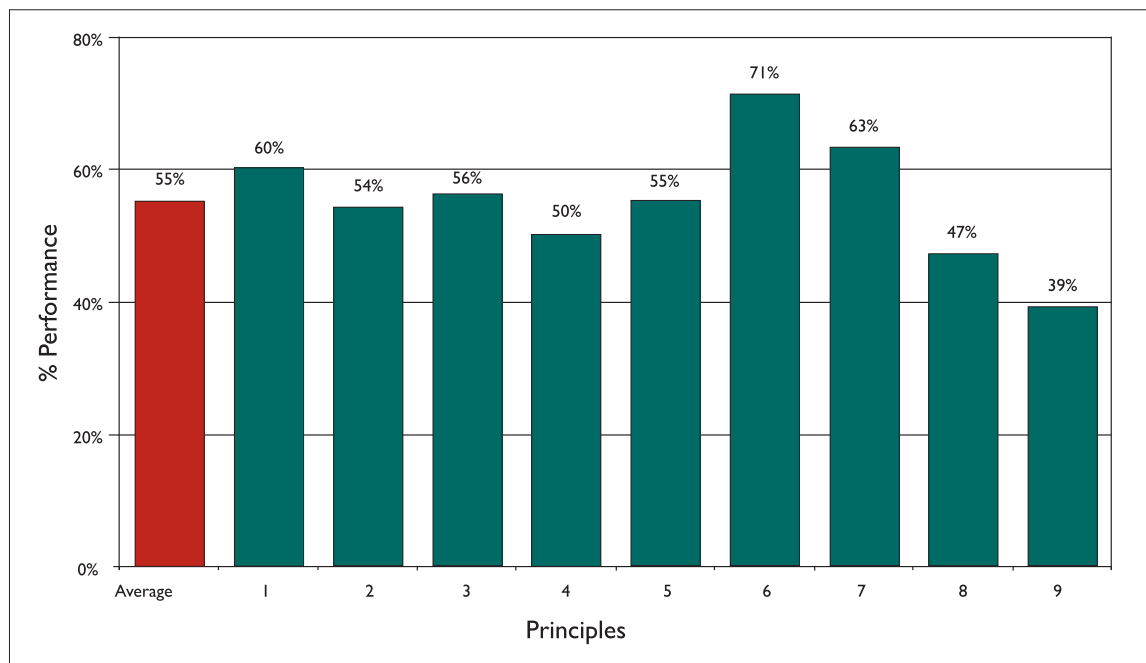
Figure 2: Number of recommendations made and implemented



3.2 Performance per principle for the 2009/10 Evaluation Cycle

The departments' compliance against each of the nine CVPs appears in **Figure 3** below followed by a brief discussion on the performance against each principle.

Figure 3: Overview of performance against each CVP in the 2009/10 assessment





3.2.1 Principle 1: Professional ethics

The overall average performance against this principle was adequate. Management reporting on cases of misconduct, sufficient capacity to handle such cases, and finalising cases speedily remain a challenge. For example, only 20 out of the 30 departments have exceeded the range of 20-80 working days within which cases should be finalised, set by Resolution 2 of 1999 of the Public Service Coordinating Bargaining Council (PSCBC), as amended. This can be linked to the absence of adequate management reporting on progress with the finalisation of cases of misconduct, which could have assisted in timeous intervention for resolving problems. The processes used to manage cases of misconduct must, therefore, be reviewed in order to ensure that line managers keep track of these cases and take corrective measures in time. Management need to realise that the delay in resolving cases of misconduct may send a wrong message that unethical behaviour is tolerated and could thus result in a breakdown in discipline.

3.2.2 Principle 2: Efficiency, economy and effectiveness

The overall average performance against this principle was adequate. This low performance mirrors the challenge which departments have had over the years in understanding the linkage between strategic planning, budgeting, performance management and service delivery. For example, it was found that although the measurability of indicators in five departments ranged between 85% and 100%, the achievement of outputs ranged between 29% and 67%.

Departments should strengthen their performance monitoring and evaluation systems in order to ensure that all planned outputs are achieved. A good system will include appropriate management action if performance does not meet targets.

3.2.3 Principle 3: Development orientation

The overall average performance against this principle was adequate. Departments generally succeeded in aligning their programmes/projects with local development plans (LDPs), which ensures implementation of programmes/projects in a coordinated and integrated manner, and thus fast tracking service delivery.

The PSC is concerned about the departments' failure to involve beneficiaries throughout the life cycle of a project, to learn from successes and failures, and to apply good practices drawn from previous experiences to future projects. Ignoring these basic development principles compromise the development impact of projects. Departments, therefore, should pay attention to their processes of involving beneficiaries in poverty reduction programmes/projects.

3.2.4 Principle 4: Impartiality and fairness

The overall average performance against the principle was adequate. Many departments do not comply with PAJA when taking administrative decisions, which means that departments do not give prior notice before administrative action is taken, provide opportunities in all cases to make representations before action is taken, and give adequate notice of the right to appeal or review, or request reasons for decisions. If departments do not comply with these basic provisions, they can expose themselves in terms of Section 6 of PAJA to proceedings in a court or tribunal for judicial review, which can be instituted by any person who is convinced that his/her rights were negatively affected by a department's administrative action(s).



3.2.5 Principle 5: Public participation in policy-making

The overall average performance against this principle was adequate. Departments do not have a policy/guideline for public participation in policy-making in place. Despite the many initiatives/systems utilised to obtain inputs from the public on their policies/intended programmes/projects, departments generally either could not show that they have considered inputs made by the public or did not provide feedback to the public. If the participation process and inputs do not effect changes to a policy or the design and implementation of a project or programme, such participation does not serve much purpose, even though feedback provided to communities improves relationships between government and communities. Departments should familiarise themselves with the Template for Developing Guidelines on Public Participation produced by the Public Service Commission because it is a useful resource for public participation.

3.2.6 Principle 6: Accountability

The Departments' overall average compliance against this principle was good. At the time of the assessment most of the 30 departments had fraud prevention plans (FPPs), based on a thorough risk analysis. It is also encouraging that most departments also conducted risk assessments on all their activities. An area where compliance is still lacking is internal financial controls, which resulted in qualified audit opinions and disclaimers from the A-G. Departments also did not have sufficient staff to implement their FPPs.

3.2.7 Principle 7: Transparency

The overall average performance of departments against this principle was good. The main strength was that 96% of departments' annual reports (ARs) were attractively presented, written in simple and accessible language, and performance against predetermined outputs were reported. As for access to information in terms of the Promotion of Access to Information Act (PAIA), 2000 (Act 2 of 2000), departments are generally not complying. Non-compliance with PAIA, deprived citizens of one of the fundamental rights in the South African Constitution, namely that "everyone has the right of access to any information held by the state."

3.2.8 Principle 8: Good human resource management and career development practices

The overall average performance against this principle was adequate. The poor performance against this principle was mainly due to departments not following the most basic requirements for good human resource management, and thus compromising government's aim of good service delivery. The main weakness is the inability of departments to fill posts within the PSC's standard period of 3 months/90 days. For example, in some departments lower level posts such as secretaries, clerks and administration officers, took more than 1 000 calendar days (2.7 years) to fill. The only conclusion is that the departments involved do not effectively monitor the recruitment process, which can assist in timeously taking corrective measures. Departments' skills development plans are not based on a thorough skills needs analysis. Furthermore, the skills development activities are not implemented as planned and the impact of training is not assessed.

3.2.9 Principle 9: Representivity

Departments' average performance against this principle was poor due to the absence of an Employment Equity (EE) plan and EE progress reporting to management in most departments, which hampered departments in

reaching national representivity targets and the implementation of diversity management strategies. It was found that 23 (77%) of the 30 departments have more than the required 75% Blacks at senior management level, twenty eight (93%) of the 30 departments were unable to reach the 50% target for women at all senior management levels by 31 March 2009, whilst twenty five (83%) of the departments did not comply with the 2% target for people with disability by 31 March 2010.

4. RECOMMENDATIONS

The **21** recommendations made by the PSC in this Report (**Appendix N**) is a reflection of the recommended strategies for improvement contained in the individual reports. The number of recommendations per principle is captured in the **Table** below.

Principle	1	2	3	4	5	6	7	8	9	Total
Recommendations	3	1	2	1	3	3	1	5	2	21
% of total	14%	5%	10%	5%	14%	14%	5%	23%	10%	100%

5. CONCLUSION

This Report has provided an assessment of the state of the 30 departments assessed during the 2009/10 evaluation cycle in terms of their compliance with the nine CVPs. It was found that the overall average performance of departments against the CVPs was 55%. Good average performance was recorded in only two CVPs namely principle 4: impartiality and fairness (71%), and principle 6: accountability (63%), whilst the average performance of departments against principle 8: good human resource management practices and principle 9: representivity was the worst with scores of 47% (adequate) and 39% (poor) respectively.

It is clear from departments' performance against the nine CVPs that there is generally still inadequate compliance with the most basic Public Service regulatory frameworks addressed in CVPs by the PSC's System.

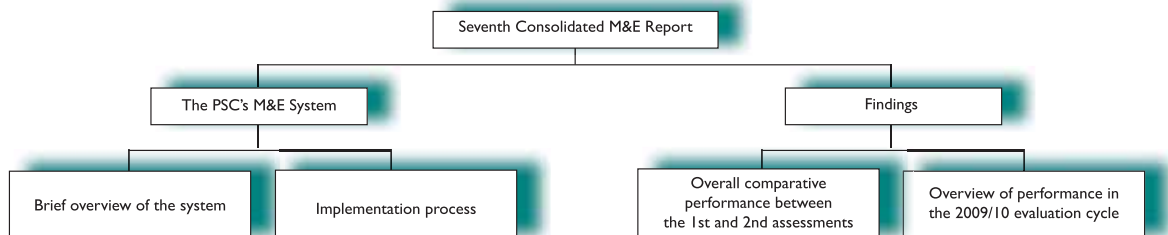
Unless the recommendations contained in the list at **Appendix N** (as a reflection of the recommendations in the individual reports) are implemented, non-compliance will continue to have a negative impact on effective public administration practice in the departments assessed.

MAIN REPORT

1. BACKGROUND

The PSC is constitutionally mandated to promote good governance in the Public Service. In terms of this mandate, the PSC is empowered to investigate, monitor and evaluate the organisation and administration, and the personnel practices, of the Public Service, to advise national and provincial organs of state, and promote compliance with the nine CVPs listed in Section 195 of the Constitution¹. This report is a product of data gathered through the PSC's Transversal M& E system, which provides an assessment of the performance of 30 departments against the nine CVPs during the 2009/10 evaluation cycle. The 30 departments include 2 national and 28 provincial departments. (Refer to **Appendix A** for a complete list of departments assessed).

The Report is further structured as follows:



First a brief overview of the PSC's System is given, followed by a description of the implementation process. This is followed by a synopsis of how the departments performed during the previous and current (2009/10) evaluation cycles. There are thus two sets of evaluation data that are compared, namely, data based on the evaluations done prior to the 2009/10 financial year and data obtained during the 2009/10 cycle.

2. THE PSC'S M & E SYSTEM

2.1 Brief Overview of the System

The System consists of indicators and standards for each CVP against which the actual performance of departments is assessed – refer to **Appendix B** for a complete list of CVPs showing the value, indicators and standards per principle. Data is obtained by collecting and assessing policy and other documents, and conducting interviews with samples of relevant persons. By analysing the evidence against the indicators and standards, a sense of the performance of a department against each of the nine CVPs is arrived at. Based on the assessment, a score is awarded to a department. The rating scale, consisting of five performance bands, is captured in **Table I** on the following page:

¹ Republic of South Africa. Department of Justice and Constitutional Development. *The Constitution of the Republic of South Africa, 1996. (Act 108 of 1996 as amended). Second impression. Juta & Co Ltd. Cape Town. Section 32 (1).*



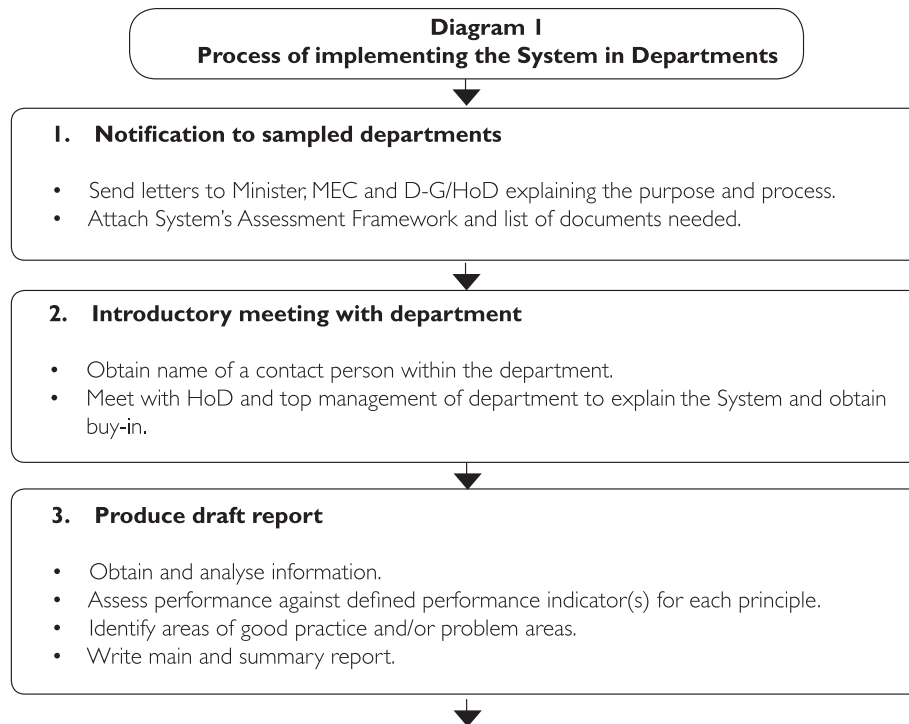
Table 1: Exposition of the scoring and translation into percentages

Performance band	Score description	Score	%
5	Excellent performance against all the standards	4,25 – 5,00	81% – 100%
4	Good performance against most of the standards	3,25 – 4,00	61% – 80%
3	Adequate performance against several of the standards	2,25 – 3,00	41% – 60%
2	Poor performance against most of the standards	1,25 – 2,00	21% – 40%
1	No performance against all the standards	0,25 – 1,00	0% – 20%

Since largely the same indicators are used year after year, the performance of a sample of departments in a specific year can be compared with the samples of previous years. In addition, departments can be compared with each other; and a department's performance can be compared with its own performance in a previous year when that department later comes up for re-assessment. Departments that are subjected to the System should emerge as more self-critical and reflective.

2.2 Processes Involved in Implementing the System

The process used in implementing the System aims to promote collaboration and partnership with departments. In this approach, communication throughout the cycle is important, starting from the initial process whereby the PSC's System is introduced to top management, to presenting them with a draft report on findings and recommendations. Departments then have the opportunity to comment and give additional input on the draft report. In the process the principles of transparency and accountability are promoted. The process followed in the assessment of the performance of departments is captured in **Diagram I** below:





4. Presentation of draft Results to department

- Discuss Results of assessment with D-G/HoD and top management of department.
- Give opportunity to submit written comments within 10 days of presentation.



5. Final report

- Include comments of department in report and make amendments if necessary.
- Submit final report to PSC for approval.
- Send approved report to department.



6. Consolidated report

- Collate information of individual reports into one consolidated report.
- Submit report to Parliament and Executive Authorities.

3. MAIN FINDINGS

The main findings provide a comparative synopsis of how eighteen departments performed between the 1st and 2nd assessments followed by all thirty departments included in the 2009/10 evaluation cycle, performed against each principle.

It should be understood that the re-assessment and assessment of departments during the PSC's 2009/10 evaluation cycle used information from different periods for the different principles, as indicated below:

- Principles 1, 3 to 5 and 8 to 9: The most recent information obtained from the departments for the evaluation cycle – in this instance the 2009/10 financial year.
- Principles 2, 6, and 7: Information obtained from the departments' annual reports (AR) for the 2007/08 financial year.

This means that for each department the report utilises information covering more than one financial year. This is due to the different periods when information on the performance of a department becomes available. From an oversight perspective, this does not affect the validity of the findings and recommendations. However, going forward, the PSC has recognised the need to use more current performance information, and will do so in future cycles.

All the departments which have been evaluated previously now have established baselines of performance according to the system, and performance trends can thus be identified. This chapter thus compares the two cycles, in terms of performance trends between re-assessed departments for the different CVPs.

3.1 Overall Comparative Performance Between the 1st and 2nd Assessments

3.1.1 Trends in performance between the 1st and 2nd assessments

Although an improvement of 7% in average performance occurred between the 1st assessment (46%) and the 2nd assessment (53%) of eighteen departments in 2009/10, it remained at adequate performance in terms of the System – refer to **Figure I** below for the detail performance per department.

The rating of these departments across the performance bands is summarised in **Table 2** below:

Table 2: Comparative performance results between the 1st and 2nd assessments

Performance band	Score description	%	No of departments	
			1 st Assessment	2 nd Assessment
5	Excellent performance against all the standards	81% – 100%	0	1
4	Good performance against most of the standards	61% – 80%	4	4
3	Adequate performance against several of the standards	41% – 60%	7	10
2	Poor performance against most of the standards	21% – 40%	7	3
1	No performance against all the standards	0% – 20%	0	8
Total			18	18

At a departmental level, there has been some improvement, with the following departments improving their performance by 20% or more. These are:

- Free State Department of Human Settlements, from poor performance (22%) to adequate performance (42%).
- Mpumalanga Department of Human Settlements, from poor performance (23%) to adequate performance (43%).
- North West Department of Economic Development and Tourism, from adequate performance (42%) to good performance (71%).

Figure I: Comparative performance results between the 1st and 2nd assessment

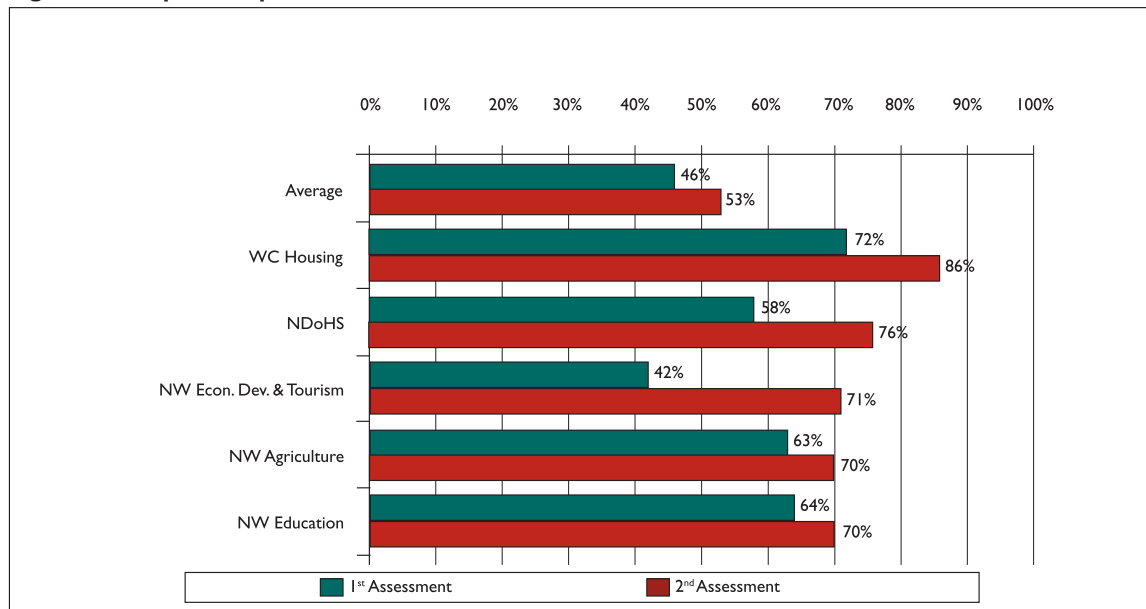
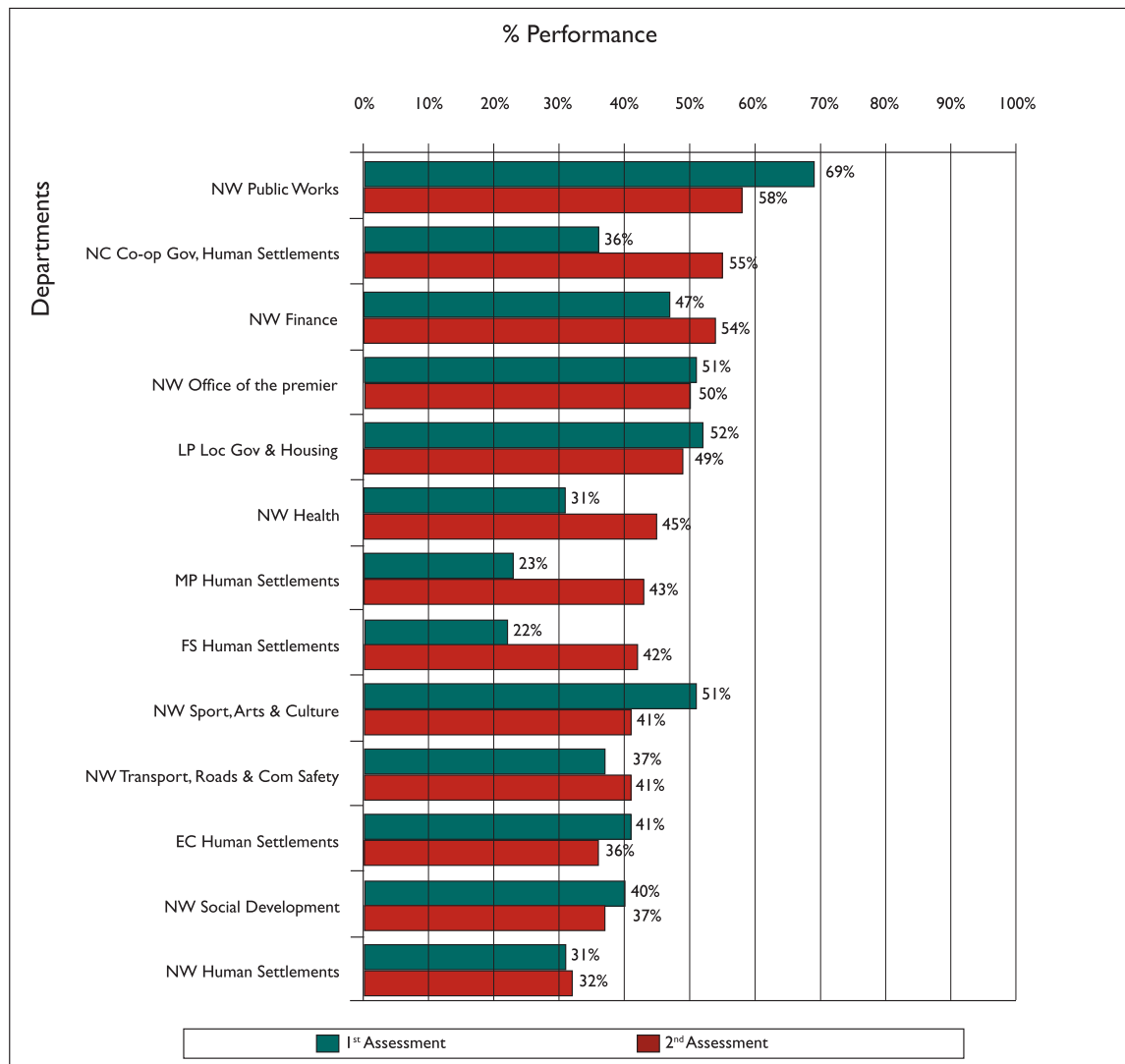


Figure 1: Comparative performance results between the 1st and 2nd assessment



The PSC is concerned by the decline in performance in the following departments, which varied between 5% and 11%:

- Eastern Cape Department of Human Settlements, from adequate (41%) to poor performance (36%).
- North West Department of Public Works, from good performance (69%) to adequate performance (58%).
- North West Department of Sport, Arts and Culture, from adequate performance (51%) to poor performance (41%).

3.1.2 Trends in performance per principle between the 1st and 2nd assessments

Figure 2 on the following page provides a comparative overview of the trends in performance per CVP between the 1st and 2nd assessments.

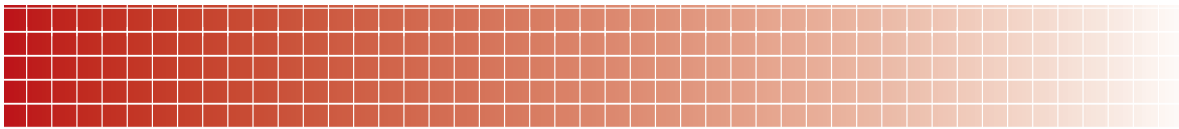
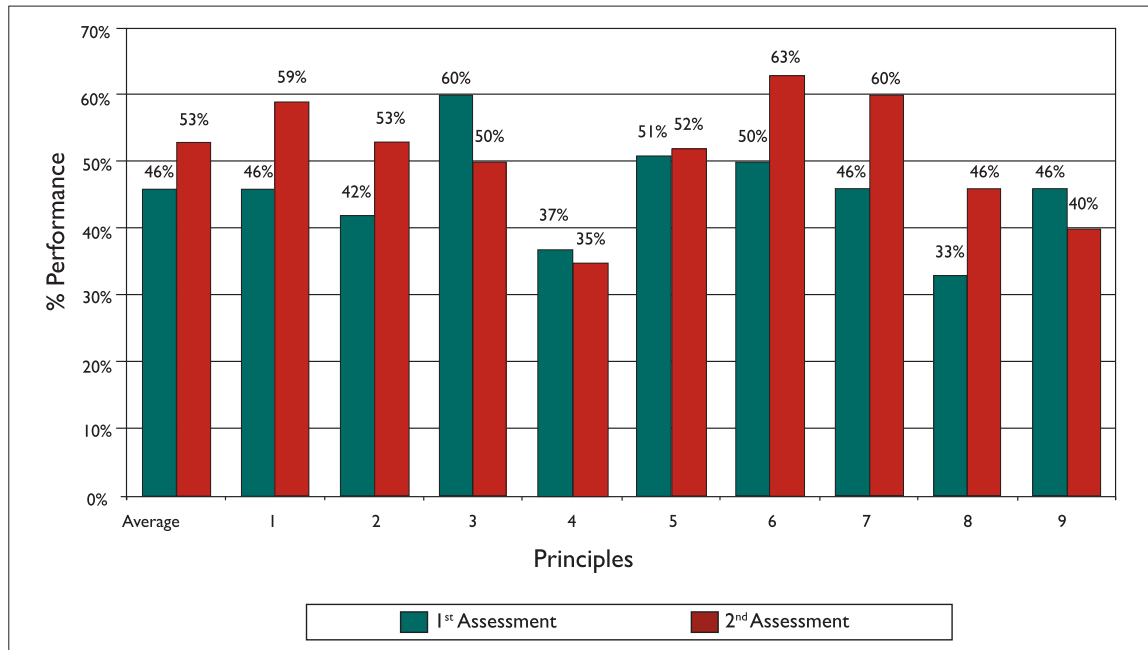


Figure 2: Performance against each principle - 1st and 2nd assessments



Despite an improvement of 13% and more against four of the nine principles, namely principle 1: professional ethics (improved by 13%), principle 6: accountability (improved by 13%), principle 7: transparency (improved by 14%) and principle 8 (human resource management (improved by 13%), the overall average performance against all the CVPs still remained at an adequate level for both assessments. This signals that these departments still do not always ensure that:

- Cases of misconduct are speedily attended to and finalised;
- Financial resources are utilised in the most efficient, economic and effective manner; which negatively affect the achievement of planned outputs; and
- Their annual reports comply with the requirements of transparency as prescribed by National Treasury (NT) and the Department of Public Service and Administration (DPSA).

However, it is encouraging to note that the performance against principle 6: accountability and principle 8: human resource management and career development practices, has respectively improved from adequate to good performance and from poor performance to adequate performance. This is an indication that these departments are now more focused in ensuring that:

- Internal control measures are exerted over all departmental programmes;
- A fraud prevention plan based on a risk assessment is in place;
- The filling of vacancies in a timely manner gets attention; and
- The skills of officials are enhanced and improved through skills development activities/programmes.

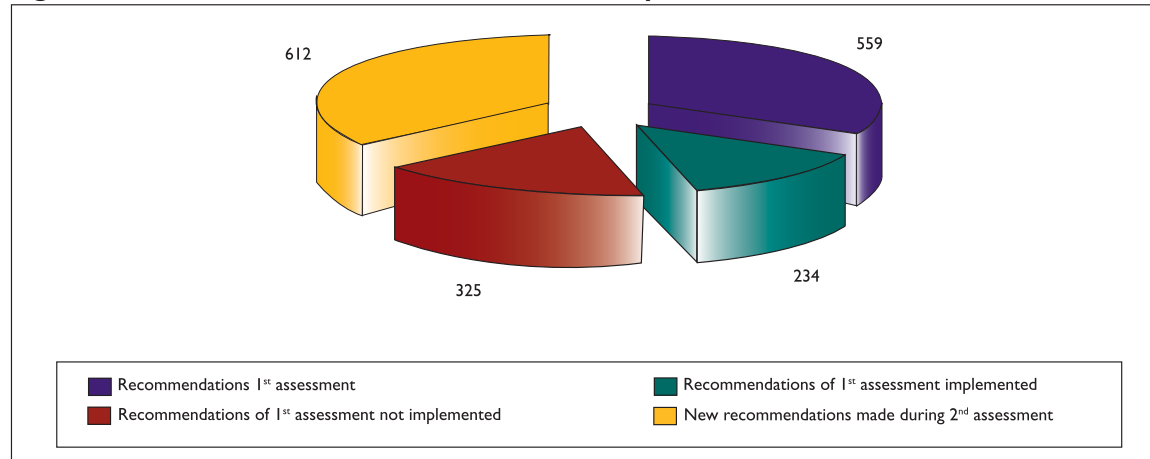
A decline in performance against principle 3, development orientation, which is a 10% decline from 60% to 50% (adequate performance), is of concern to the PSC, as it may be indicative of departments not paying attention to this principle, its indicator and standards.



3.1.3 Implementation of recommendations made during the 1st assessment

The PSC made **559** recommendations during the 1st assessment of which **234** (42%) had been implemented by the time these departments were assessed for the 2nd time in 2009/10 – **Figure 3** below.

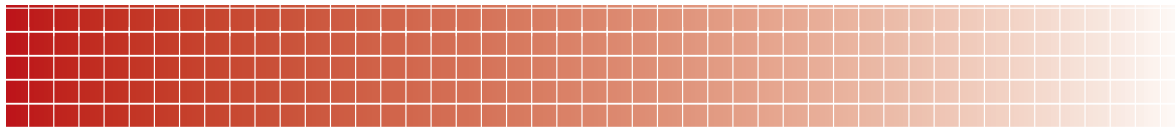
Figure 3: Number of recommendations made and implemented



Apart from the recommendations implemented, **612** new recommendations were issued to the 30 departments assessed in the 2009/10 evaluation cycle. A breakdown of the number of recommendations for each department appears in **Table 2** below.

Table 2: Number of recommendations made and implemented for each department assessed

Department	Recommendations			
	1 st assessment	Implemented	Not implemented	2 nd assessment
1. National Department of Communication	0	0	0	24
2. National Department of Human Settlements	18	13	5	10
3. EC Human Settlements	28	10	18	15
4. EC Provincial Treasury	0	0	0	18
5. FS Education	0	0	0	12
6. FS Human Settlements	38	12	26	36
7. GP Office of the Premier	0	0	0	16
8. GP Education	0	0	0	14
9. GP Local Government and Human Settlements	0	0	0	12
10. KZN Co-operative Governance and Traditional Affairs	0	0	0	20
11. KZN Human Settlements	0	0	0	15
12. LP Local Government and Housing	30	9	21	19
13. MP Co-operative Governance and Traditional Affairs	0	0	0	26
14. MP Human Settlements	22	12	10	11
15. NC Co-operative Gov, Human Settlements & Traditional Affairs	36	18	18	25



Department	Recommendations			
	1 st assessment	Implemented	Not implemented	2 nd assessment
16. NC Provincial Treasury	0	0	0	22
17. NW Office of the Premier	35	12	23	0
18. NW Agriculture, Conservation & Environment	58	45	13	29
19. NW Developmental Local Government & Housing	20	5	15	0
20. NW Economic Development & Tourism	18	12	6	22
21. NW Education	26	11	15	28
22. NW Finance	52	14	38	39
23. NW Health	18	2	16	33
24. NW Public Works	39	8	31	45
25. NW Social Development	20	12	8	42
26. NW Sport, Arts & Culture	38	8	30	28
27. NW Transport, Roads & Community Safety	33	5	28	38
28. WC Education	0	0	0	6
29. WC Finance	30	26	4	4
30. WC Housing	0	0	0	3
Total	559	234	325	612

Legend: Departments highlighted were assessed for a second time.

It is of interest to note that these departments, whose performance has increased notably in the 2nd assessment, are also those departments that have implemented most of the PSC's recommendations from the 1st assessment. For example, the Western Cape Department of Housing has implemented 87% of the PSC's recommendations made in the 1st assessment and has improved its performance from good (72%) to excellent (86%) in the 2nd assessment. Another example is the National Department of Human Settlements who has implemented 72% of the PSC's recommendations made in the 1st assessment, and has improved its performance from adequate (58%) to good (76%) in the 2nd assessment.

On the other hand, where management has failed to implement the PSC's recommendations the departments have not improved their performance. For example, 11 of the 18 departments were unable to implement at least 50% of the recommendations made during the 1st assessment. Of these 11 departments the North West Office of the Premier implemented the least recommendations, 2 out of 18 (11%), followed by the North West Department of Transport, Roads and Community Safety which implemented 5 out of 33 (15%) recommendations. Both these departments' performance level remained just adequate, having achieved 50% and 41%, respectively.

These results clearly indicate the importance for departments to act on the PSC's recommendations.

3.2 Overall Performance in the 2009/10 Assessment

The overall average performance of the 30 departments assessed in the 2009/2010 evaluation cycle was **55%**, which is regarded as "adequate performance" in terms of the System – refer to **Figure 4** on the following page.

The rating of these departments across the performance bands is summarised in **Table 3** on the following page.



Table 3: Rating of departments across the performance bands

Performance band	Score description	%	No of departments
5	Excellent performance against all the standards	81% – 100%	2
4	Good performance against most of the standards	61% – 80%	8
3	Adequate performance against several of the standards	41% – 60%	15
2	Poor performance against most of the standards	21% – 40%	5
1	No performance against all the standards	0% – 20%	0
Total			30

There are only two departments' whose performance was rated as excellent, namely the Western Cape Departments of Housing (86%) and the Provincial Treasury (83%). It is of concern that 15 departments' performance was rated as just adequate, and 5 as poor. It is thus evident that there is a need for most departments to significantly improve upon their performance when it comes to adhering to the CVPs.

Figure 4: Departments' overall average performance against all nine CVPs in the 2009/10 assessment

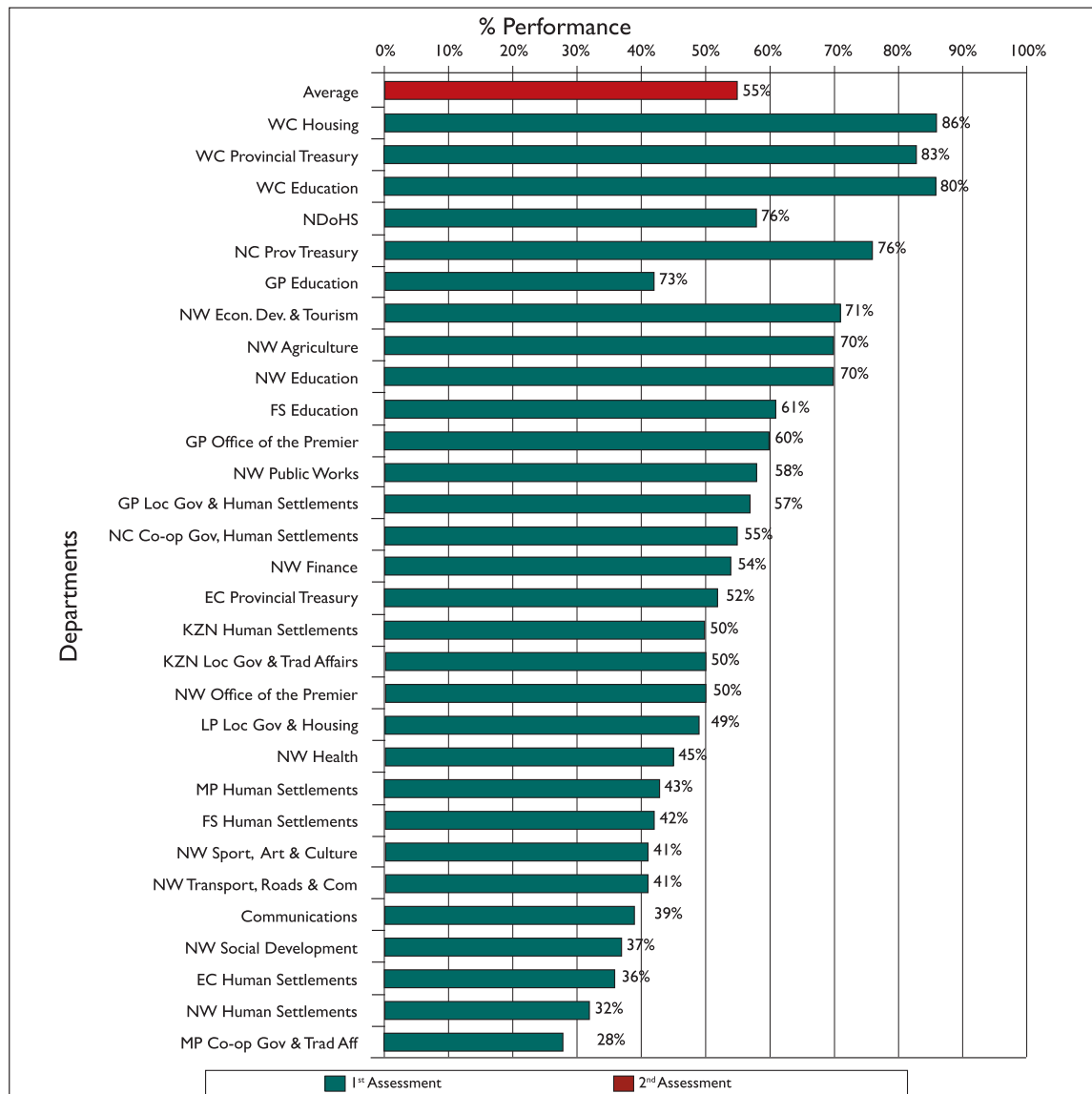
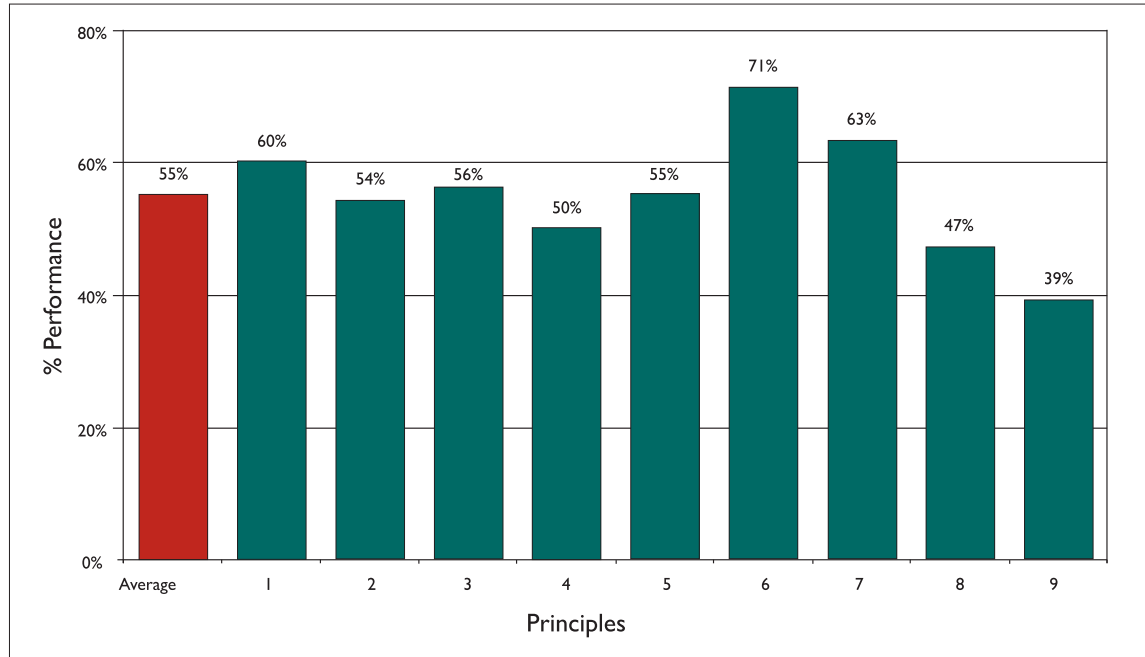


Figure 5 below provides an overview of all thirty departments' average performance against each CVP in the 2009/10 assessment.

Figure 5: Overview of performance against each CVP in the 2009/10 assessment



The overall average performance against all the CVPs was adequate. Six out of the nine principles' performance was between 47% and 60%, which is within the adequate performance category. Principle 6: accountability (71%) and principle 7: transparency (63%), were the only ones which were within the good performance category, followed by principle 9: representivity, with poor performance at 39%. The adequate performance against most of the CVPs signals that departments do not always ensure that the most basic administrative practices are executed in accordance with good practice.

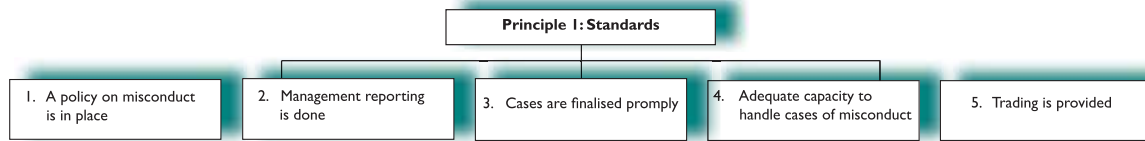
3.3 Exposition Of Performance Per Principle in the 2009/10 Assessment

3.3.1 Performance against Principle 1: Professional Ethics

The first of the nine CVPs for public service and administration states that "a high standard of professional ethics must be promoted and maintained". The creation of a solid ethical base is a major priority for Government. Corruption has been recognised as a major threat to development and democracy, and preventing and combating it is widely recognised as a challenge for the Public Service. The manner in which cases of misconduct are handled is very illuminating. Departments that allow these cases to drag on for long periods of time, which have a low incidence of pursuing cases and which are lenient with wrongdoers can be assumed to be doing little to address the problem.

The PSC, therefore, assumes that departments that effectively deal with cases of misconduct are generally maintaining a higher standard of ethics than those departments that do not. Departments that deal effectively with misconduct will probably also deal effectively with other ethical issues.

The following five standards are applied to establish whether departments do in fact promote and maintain a high standard of professional ethics:



3.3.1.1 Overall average performance

The overall average performance against this principle was good (60%). **Appendix C** provides the detail per department.

Only six (20%) out of the 30 departments' performance was excellent (between 81% - 100%). These departments were the Free State Department of Human Settlements, the Mpumalanga Department of Human Settlements, the Northern Cape Provincial Treasury, the North West Department of Education, the Western Cape Department of Education and the Western Cape Provincial Treasury. The majority (17 out of 30) departments' performance fell between good (61 to 80%) and adequate (41% to 60%) performance, whilst seven (23%) of the 30 departments performance was poor (between 0% and 40%).

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 4** below – see **Appendix C** for detail:

Table 4: Departments' average scores against the specific standards of principle I

Standard	Policy guideline on managing cases of misconduct	Time to resolve cases	Management reporting	Capacity to handle misconduct cases	Training and awareness
Average	88%	56%	47%	48%	63%

3.3.1.2 Strengths

Eighty eight percent of the departments do have a policy/guideline on managing cases of misconduct in place, which indicates excellent performance against the standard. Departments either utilise their own policy/guideline or Resolution 2 of 1999 (as amended) of the Public Service Coordinating Bargaining Council (PSCBC) to guide them in dealing with cases of misconduct. The performance of departments to create awareness amongst officials on the content of the policies/guidelines on the management of cases of misconduct was good (63%).

3.3.1.3 Weaknesses

Although departments have a policy/guideline on managing cases of misconduct and provide training on the management of misconduct cases, their performance against the remaining three standards is of great concern. Performance against the time taken to resolve cases of misconduct, management reporting on the finalisation of these cases and capacity to handle misconduct cases, was between 41% and 60%, which is an adequate performance – **Table 4** above. The finding showed that 20 out of the 30 departments exceeded the range of 20-80 working days set by PSCBC Resolution 2 of 1999 (as amended) within which cases should be finalised – see **Table 5** on the following page.

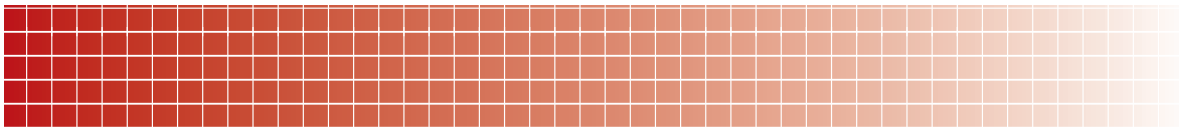


Table 5: Time frames for resolving cases of misconduct

% of sampled misconduct cases finalised within the range of 20-80 working days	Number of departments which complied with standard	Number of departments submitting progress reports on misconduct cases	Number of departments providing feedback on progress reports
80% – 100%	10	8	3
60% – 79%	5	3	1
40% – 59%	4	3	1
20% – 39%	3	3	–
Less than 20%	8	5	–
Total	30	24	5

Linked to this low success rate in finalising cases within the prescribed timeframe, is management ignorance of the regular progress reporting on the finalisation of misconduct cases. For example, 14 (70%) out of the 20 departments, which did submit progress reports to management, did not adhere to the 20-80 working days standard. This could be an indication that management does not always monitor progress or intervene, where necessary, in resolving cases of misconduct.

Departments need to realise that any delay in resolving cases of misconduct may send a wrong message that unethical behaviour is tolerated and could thus result in a breakdown in discipline.

3.3.1.4 Recommendations

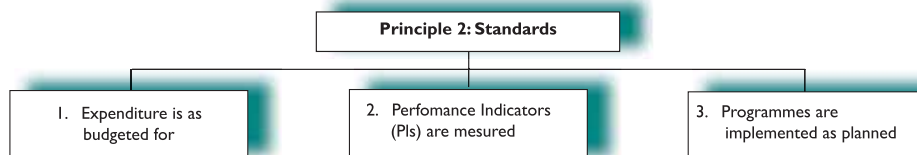
Departments should put in place a performance improvement plan to ensure that all cases of misconduct are finalised within the range of 20 – 80 working days as set in PSCBC Resolution No. 2, of 1999 as amended.

3.3.2 Performance against Principle 2: Efficiency, Economy and Effectiveness

This CVP requires departments to promote the efficient, economic and effective use of resources. The ultimate goal is to provide cost-effective services of a high quality that have the interests of citizens at heart. For departments to perform efficiently, economically and effectively there should be a clear link between their strategic plan, budget, performance management and service delivery.

The PSC assumes that departments that have good systems for budgetary control and for verifying progress against outputs are more likely to be effective than those that have not.

The following three standards are applied to establish whether departments do in fact promote efficiency, economy and effectiveness:



3.3.2.1 Overall average performance

The overall average performance against this principle was just adequate (54%). **Appendix D** provides the detail per department. This performance mirrors the challenge that departments still have, in understanding the linkage between strategic planning, budgeting, performance management and service delivery.

The only department that achieved an “excellent” performance rating was the Gauteng Office of the Premier. The majority of the departments’ performance was between “good” (8 departments) and “adequate” (12 departments). The remaining 9 departments’ performance was “poor” (between 21% and 40%) or “no performance” below 20%, of which Communications and the North West Department of Housing scored the lowest (10%).

The departments’ average scores against the specific standards applied by the PSC under this principle are reflected in **Table 6** below - see **Appendix D** for detail:

Table 6: Departments’ average scores against the specific standards of principle 2

Standards	Expenditure	Performance indicator	Achievement of priority outputs
Average	63%	73%	44%

3.3.2.2 Strengths

The departments’ average performance against the standards that expenditure should be as budgeted for and that performance indicators should be formulated in measurable terms is “good,” and was rated at 63% and 73%, respectively. This signals that departments generally are exercising better financial control over their expenditure – a requirement of the Public Finance Management Act – and that they are in a better position to monitor and evaluate their performance. However, good performance against these two standards does not necessarily mean good financial management as will be discussed below and further highlighted under principle 6.

3.3.2.3 Weaknesses

Departments’ average performance against the achievement of priority outputs was adequate (44%). Spending the allocated budget according to the planned outputs signifies good financial management. However, when a department has spent according to budget or has exhausted the budget **without** achieving all the planned outputs, it raises a concern about a department’s financial management. This concern was reiterated in all the PSC’s previous Consolidated M&E Reports. For example, the following five departments’ over-/under-expenditure was within the 2% margin set by National Treasury, and 85% and more of their performance indicators were stated in measurable terms, but they achieved less than 70% of their planned outputs – see **Table 7** below.

Departments that spent according to budget	% Expenditure	% of Measurable indicators	% of Achievement of outputs
1. Free State Department of Education	-1.40%	100%	67%
2. KwaZulu-Natal Department of Human Settlements	0.10%	100%	29%
3. North West Department of Public Works	-1.30%	98%	59%
4. North West Department of Transport, Roads and Community Safety	-0.10%	85%	59%
5. Western Cape Department of Education	-1.09%	86%	45%

Furthermore, the findings as reflected in **Table 7** on the previous page indicate that there is no direct correlation between the measurability of indicators and the achievement of outputs. In all five departments the measurability of indicators ranged between 85% and 100%, yet the achievement of outputs ranged between 29% and 67%, which suggests that measurable indicators was not used effectively to have a direct positive effect on the achievement of planned outputs.

3.3.2.4 Recommendations

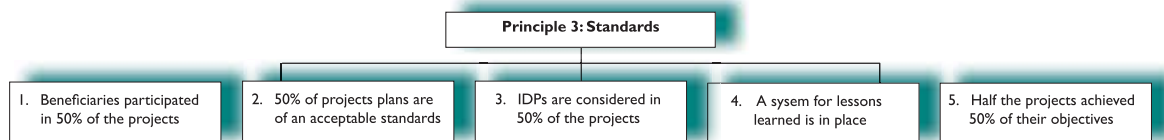
Departments should strengthen their performance monitoring and evaluation systems in order to ensure that all planned outputs are achieved. A good system will include appropriate management action if performance does not meet targets.

3.3.3 Performance against Principle 3: Development Orientation

This principle requires that departments must be development-oriented. This means that departments need to consciously build development considerations, which aim to promote development and reduce poverty, into their programmes/projects and monitor the outcome thereof.

The PSC assumes that departments that effectively initiate and/or implement development initiatives/interventions to reduce poverty are more development oriented than those that do not.

The following five standards are applied to establish whether departments do in fact promote development to reduce poverty:



3.3.3.1 Overall average performance

The overall average performance against this principle was adequate (56%). **Appendix E** provides the detail per department.

The majority of the departments' performance was between "excellent" (8 departments) and "good" (4 departments), whilst the performance of eight departments varied between adequate (4) and poor (4). All the Departments of Finance/Provincial Treasury (4) as well as the Gauteng Office of the Premier were of the opinion that this principle is not applicable to them due to their functions. The Departments of Communication, KZN Local Government and Traditional Affairs, and North West Health failed to submit the necessary documentation despite numerous requests to do so, whilst the Mpumalanga Department of Co-operative Governance and Traditional Affairs, and Mpumalanga Department of Human Settlements submitted insufficient information. As a result these departments' performance against this principle was not assessed.

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 8** on the following page: See **Annexure E** for detail.

Table 8: Departments' average scores against the specific standards of principle 3

Standards	At least half the projects are of an acceptable standard in terms of beneficiary participation	At least half the project plans are of an acceptable project management standard	At least half of the projects are aligned with Local Development Plans (LDPs)	A system is in place for systematically institutionalising lessons learnt	Success of projects
Average	55%	52%	72%	49%	53%

3.3.3.2 Strengths

On average, departments' performance against the standard that development projects should be aligned with LDPs was good (72%). One of the benefits of this alignment is that projects and programmes are implemented in a coordinated and integrated manner, thus fast tracking service delivery. Some good examples on how projects were aligned with LDPs were found in the Departments of Education in the Free State and Western Cape.

The Free State Department of Education aligns its projects with School Improvement Plans (SIPs). SIPs are drawn up after a comprehensive evaluation of a school's performance (called Whole-School Evaluation). Unfortunately most poor schools are not able to implement their SIPs fully because of a lack of resources. In such cases, projects may at some time experience certain challenges despite it being aligned with the SIPs.

The Western Cape Department of Education considers the local needs for development of the community in all their projects. In order to assist in developing plans for the alleviation of poverty in the communities, the department conducts surveys, and arranges meetings and workshops with local communities to solicit their inputs and proposals in this regard. The inputs from communities are formalised and incorporated in the proposed development plans of all projects, which are departmentally submitted for the approval. These proposals are aligned with the business plans of the participating organisations and agreements entered into in order to legalise the processes. A review of development plans take place on an ongoing basis in order to accommodate changes in needs and requirements. Feedback on proposals is regularly given to the relevant stakeholders.

3.3.3.3 Weaknesses

Although projects were aligned with Integrated Development Plans, the PSC's assessment found that some projects plans occasionally still do not meet some of the basic requirements such as containing detailed financial information.

Beneficiary participation in the design of poverty reduction projects, the design of project plans in accordance with project management standards, systems for systematically institutionalising lessons learnt from development projects, and the successful implementation of projects are all at an adequate level of between 47% and 55% performance. Failure to involve beneficiaries throughout the life cycle of a project might cause dissatisfaction and even trigger protests, especially when beneficiaries' expectations are not met. For example, beneficiary participation in the design, management and implementation of some housing projects is limited to meetings between the department, community members and councillors. Participation in the implementation phase of a project depends on whether such beneficiaries actually live on the building site. However, beneficiaries often only relocate to the area where their houses are built once such houses have been completed. In such cases beneficiaries are seldom involved in the implementation phase of a housing project.



The only adequate performance (47%) of departments against the standard that a system should be in place for systematically institutionalising lessons learnt from development projects is an indication that departments generally do not learn from their successes and failures. As a result, departments are unable to apply good practice drawn from these experiences to future projects. However, pockets of good practices were found in the Gauteng Department of Education, which, for example, has its own Monitoring and Evaluation Framework, which, if implemented, will help ensure learning from evaluation.

3.3.3.4 Recommendations

The following critical areas need attention:

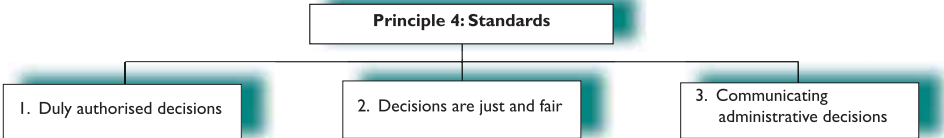
- Departments should ensure that beneficiary participation from the planning to the implementation phase forms part of all their poverty reduction projects. This will ensure buy-in from the beneficiaries and the successful implementation of the project.
- Departments should put in place systems to institutionalise lessons learnt during the development and implementation of poverty reduction projects for application in future projects for better results. This will ensure that challenges experienced during implementation of projects, do not recur in future, and that best practices are maintained.

3.3.4 Performance against Principle 4: Impartiality and Fairness

This Constitutional principle states that services must be provided impartially, fairly, equitably and without bias. One of the ways in which Government has addressed this need was the promulgation of the Promotion of Administrative Justice Act (PAJA), Act 3 of 2000. The PAJA ensures procedurally fair administrative actions, gives people the right to request reasons for actions and also give them the right to have such actions reviewed in court.

The PSC assumes that departments whose decisions are duly authorised and comply with the provisions of the PAJA are more likely to behave in a manner that is fair and impartial than those that do not.

The following three standards are applied to establish whether departments do in fact provide impartial, fair, and equitable services:



3.3.4.1 Overall average performance

The overall average performance against the principle was adequate (50%). **Appendix F** provides the detail per department. However, this score may be misleading because four departments failed to submit the necessary documentation despite numerous requests to do so, whilst seven departments submitted insufficient information. As a result these departments' performance against this principle was not assessed.



What is encouraging though, is that 15 of the 30 departments' performance was between "excellent" (12 departments) and "good" (3 departments), whilst only 3 departments' performance was poor (40% and lower). These 3 departments were all North West departments, namely Social Development, Sport, Arts and Culture, and Transport.

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 9** below – see **Annexure F** for detail.

Table 9: Departments' average scores against the specific standards of principle 4

Standards	Decisions in terms of legislation/policy	Decisions in terms of delegations	Decisions are just and fair	Communicating administrative decisions
Average	43%	53%	52%	51%

3.3.4.2 Strengths

The indicator used by the PSC under this principle is compliance with the PAJA. If departments systematically check whether decisions comply with all the requirements of PAJA and the documentation reflects that, then they score well against this indicator. Five departments scored excellently against this indicator. However, during the evaluation of the departments, documentation of administrative decisions was either incomplete or not submitted to the PSC. Consequently, most departments recorded no or poor performance against this principle. Although some departments achieved excellent performance, much still needs to be done by most departments to promote just administrative practices.

3.3.4.3 Weaknesses

A critical weakness was that a rating of no or poor performance was recorded if departments were unable to cite applicable legislation/policy as the basis for administrative decisions. On average departments scored 43%, which is adequate performance against this standard. When departments do not base decisions explicitly on legislation or policy, it increases the risk that the legality or fairness of the decisions could be challenged. Furthermore, it was noted that departments generally do not comply with PAJA when communicating administrative decisions. This is reflected in the departments' poor performance of 51% against this standard. Such performance implies that departments generally do not give prior notice before administrative action is taken, and opportunities are not provided in all cases to make representations before action is taken. Furthermore, adequate notice is not given of the right to appeal or review, or request reasons for decisions.

3.3.4.4 Recommendations

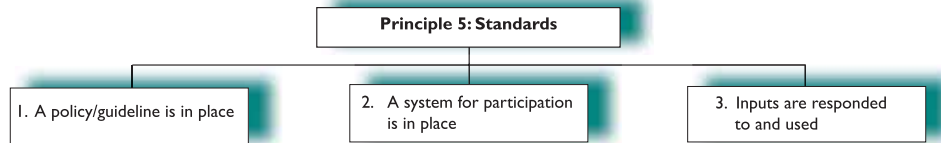
The departments that recorded no or poor performance should ensure that their decision-making processes comply with PAJA requirements and that all steps are properly documented.

3.3.5 Performance against Principle 5: Public Participation in Policy-Making

This Constitutional principle states that "people's needs must be responded to and the public must be encouraged to participate in policy-making." It is a participative model of policy-making that also takes into cognisance the fact that public participation is more likely to produce solutions that are sustainable.

The PSC assumes that departments that have and implement a policy and system for procuring public inputs to their policy-making processes, are more responsive than those that do not and are more likely to integrate public opinion into their final policies.

The following three standards are applied to establish whether departments do in fact promote public participation in policy-making:



3.3.5.1 Overall average performance

The overall average performance against this principle was just adequate (55%). **Appendix G** provides the detail per department. This low average score is mainly due to departments' not having a policy/guideline on public participation in policy making-making, and that inputs received from the public on policy issues are not always responded to and/or used. However, it is encouraging that 10 of the 30 departments' performance against this principle was between "excellent" (3 departments) and "good" (8 departments). The PSC is concerned that there were 12 departments whose performance was poor (40% and lower) and the Free State Department of Education failed to submit the necessary documentation for assessment despite numerous requests to do so.

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 10** below – see **Annexure G** for detail.

Table 10: Departments' average scores against the specific standards of principle 5

Standards	An approved policy/guideline on public participation in policy-making is in place	System for participation	Inputs are responded to and used
Average	47%	74%	38%

3.3.5.2 Strengths

The departments' average performance in terms of putting in place systems for soliciting public participation in policy-making was good (74%).

The most popular way of interacting with the public was *Izimbizo*, which is utilised by seven (78%) provinces, followed by ward committees (67%), steering committees and public meetings (56%) – refer to **Table 11** on the following page. Only two provinces utilise traditional leadership (Free State and KwaZulu Natal), and two provinces utilise client satisfaction surveys (Northern Cape and Western Cape) as avenues to obtain inputs from the public on policy matters. Traditional leaders are only a good avenue for public participation if they are seen as representing their constituents well. The two national departments assessed indicated that workshops, stakeholder liaison and the media are mainly utilised to inform and obtain inputs from the public.

Table 11: Systems for public participation

Description	EC	FS	GP	KZN	LP	MP	NC	NW	WC	% Provinces
1. Izimbizo	√			√	√	√	√	√	√	78%
2. Councillor and Ward Committees		√	√	√		√	√	√		67%
3. Provincial Steering Committees		√	√		√			√	√	56%
4. Public meetings		√	√			√	√		√	56%
5. Support Organisations		√	√	√	√					44%
6. Speakers Forum		√	√					√	√	44%
7. Workshops			√				√		√	33%
8. Traditional Leadership		√		√						22%
9. Client Satisfaction Surveys							√		√	22%
10. Lekgotla	√									10%
Total	2	6	6	4	3	3	5	4	6	

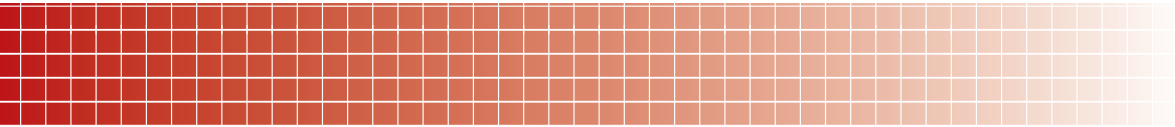
A good example of liaison was found at the [Gauteng Department of Education](#), which has adopted a single route/process for policy-making, which all components within the department are compelled to follow. Before approving any policy, the MEC liaises with statutory bodies such as the Gauteng Education and Training Council and Special Advisory Bodies consisting of all stakeholders in education. Inputs made by these bodies are always responded to and where appropriate, reasons are provided for not incorporating certain inputs that have been made.

3.3.5.3 Weaknesses

Despite the PSC's recommendations made during previous assessments, some departments still do not have an approved policy or guideline on public participation in policy-making. Although the departments' average performance against this standard was adequate (47%), pockets of good examples on public participation in policy-making were found in the Gauteng Department of Education, the KwaZulu-Natal Department of Local Government and Traditional Affairs, and the Mpumalanga Department of Co-operative Governance and Traditional Affairs. The content of these departments' policies is briefly highlighted below:

Gauteng Department of Education: The Education Policy Act (EPA) of 1998, requires the Member of the Executive Council (MEC) to consult with the Gauteng Education and Training Council, and if appropriate, the relevant Specialist Advisory Council prior to determining/introducing/issuing education-related policies/legislation/regulations. The EPA encourages public participation and provides for stakeholder representation in appropriate decision-making bodies. Apart from soliciting inputs from advisory bodies, the Department also holds public hearings to get the views of the relevant stakeholders on the proposed/draft policies. Public hearings take the form of presentations and discussions.

The department also utilises a document called "Adopted Policy Route in the Gauteng Department of Education" which serves as a guide to involving members of the public in policy-making. According to this document, advisory bodies are invited to submit written comments to the MEC before the MEC submits a draft to the state law advisors for certification. The MEC would then consider the comments and decide which comments to include in the draft policy.



KwaZulu-Natal Department of Local Government and Traditional Affairs: The department utilises a “Community Participation Framework (Framework)”, which sets out procedures for community participation in the affairs of governance at local level. It recognises and provides guidelines on the formation of various community structures, such as municipal councils, IDP and stakeholder fora, for example, the Chamber of Commerce, Ward Committees, and Traditional Councils. The aim of this Framework is to set out the responsibilities of the community to participate in municipal processes, which affect their lives and gives guidelines on how public participation should be managed and coordinated by municipalities. Although the Framework is not yet in operation it is envisaged that once it begins to function it will serve as a system for soliciting participation. However, the Framework presupposes the existence of various community structures, for example, ward committees.

Mpumalanga Department of Co-operative Governance and Traditional Affairs: The department utilises a “National Framework on Public Participation (NFPP)” and has also adopted a “Provincial Policy on Ward Committees and Community Participation” (the Policy). The NFPP seeks to encourage and create conditions for a community to participate in the affairs of a municipality, for example the IDPs, the performance management system, monitoring and review of performance, preparation of the budget, and strategic decisions regarding municipal services. The NFPP requires municipalities to keep the public always informed about anything including the projects implemented on ward level. The community is given information about projects through community meetings such as “*Izimbizo*”, the press, radio, pamphlets, brochures and booklets.

A Master Plan (Plan) aimed at providing a generic framework to guide the work of the CDWs is also available. The role of CDWs is *inter alia* to give information about government services, such as how to get grants or pensions, and to facilitate community participation in policy-making and implementation, and to focus on the widest range of issues confronting communities in general, and the poor in particular. The Plan is also being cascaded to provincial level to tailor make it to their provincial work programmes.

Despite the many initiatives/systems utilised to obtain inputs from the public on their policies/intended programmes/projects, departments did generally, either not show that they have considered inputs made by the public or did not provide feedback to the public. This is evident in the average score of 38% (poor performance) achieved by departments against this standard. This requirement determines the meaningfulness of public participation. If the participation process and inputs do not effect changes to a policy or to the design and implementation of a project/programme such participation does not serve much purpose, except that feedback to communities improves relationships between government and the community.

3.3.5.4 Recommendations

As recommended in various previous Consolidated M&E Reports, departments are again urged to pay attention to the following three critical areas:

- Departments should develop guidelines/policy on public participation that clearly articulates the objectives of public participation and the process to be followed during engagement with citizens. The policy/guidelines on public participation must include how advice and comments from by citizens are factored into their work plans for implementation and that a database on Citizens' comments should be kept or maintained.
- Departments should make use of findings contained in reports on public engagement, including citizens' satisfaction surveys, to address citizens' concerns and to incorporate these findings in policy making. It is



through engagement with such reports that potential service delivery protests can be averted.

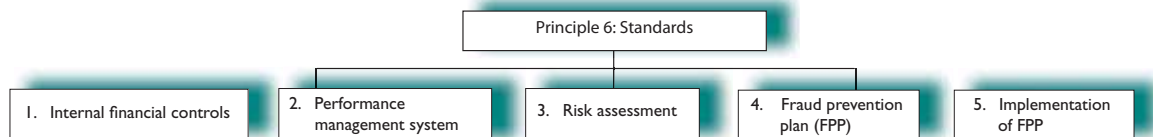
- Departments should familiarise themselves with the Citizens' Forums Toolkit developed by the Public Service Commission because it is a useful resource for public participation.

3.3.6 Performance against Principle 6: Accountability

This Constitutional principle states that public administration must be accountable. Accountability involves an obligation of those charged with the governance of a department to establish a control environment, maintain policies and procedures, implement them and ensure the continued operation of accountability and internal control systems.

The PSC assumes that departments that implement internal financial controls, exert performance management over all departmental programmes, and prepare and implement fraud prevention plans are operating accountably. The PSC further assumes that the Auditor-General's (A-G) assessments of departmental internal financial controls are a key review of their efficacy.

The following five standards are applied to establish whether departments do in fact promote accountability:



3.3.6.1 Overall average performance

The overall average performance against this principle was good (71%). **Appendix H** provides the detail per department.

Departments generally performed well against this principle with 12 of the 30 departments achieving a score of between 81% to 100% signifying excellent performance, followed by 7 departments with good performance (between 61% to 80%). Only four (13%) of the 30 departments' performance was poor. These 4 departments were the Mpumalanga Department of Cooperative Governance and Traditional Affairs, the North West Departments of Human Settlements, Social Development, and Transport, Roads and Community Safety.

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 12** below: See **Annexure H** for detail.

Table 12: Departments' average scores against the specific standards of principle 6

Standards	Internal financial controls	A performance management (M&E) system on all departmental programmes is in operation	Risk assessment	Fraud prevention plan	Implementation of the fraud prevention plan
Average	52%	88%	86%	77%	53%



3.3.6.2 Strengths

A positive factor is that departments have put in place performance management systems for all departmental programmes. This is evident from the excellent performance of 88% against this standard. However, it is also a cause for concern that departments achieved a low score of 44% regarding the achievement of priority outputs (see **Appendix D** on principle 2 and paragraph 3.2.3 above), which signals the ineffectiveness of these systems.

At the time of the evaluation 77% of departments had fraud prevention plans, based on thorough risk analyses. This indicates good performance against this standard. It is also encouraging that 86% of departments conducted risk assessments on all their activities.

The accounting officer of the Gauteng Office of the Premier, for example, was commended by the A-G for discharging all the responsibilities concerning financial and risk management and internal controls. This was achieved through the successful implementation of certain key governance responsibilities, for example, an operational audit committee which operated in accordance with approved, written terms of reference, an operational internal audit function which operated in accordance with an approved audit plan, the annual financial statements were submitted for audit as per the legislated deadlines, the prior year's external audit recommendations have been substantially implemented, and SCOPA resolutions have been substantially implemented.

3.3.6.3 Weaknesses

Conducting a risk assessment implies that risks are prioritised and internal control measures are devised for each of these risks. However, the low average score of 52% against the standard of internal financial controls, which should be in place, speaks of the contrary. The inadequacy of internal financial controls was highlighted by the A-G in the annual reports of 10 of the 30 departments assessed. These 10 departments also received either a **qualified audit** opinion or a **disclaimer of opinion**.

• Gauteng Education	:	Qualified opinion
• Limpopo Local Government and Housing	:	Qualified opinion
• Mpumalanga Cooperative Governance & Traditional Affairs	:	Qualified opinion
• Mpumalanga Human Settlements	:	Qualified opinion
• North West Agriculture, Conservation & Environment.	:	Qualified opinion
• North West Education	:	Qualified opinion
• North West Health	:	Qualified opinion
• North West Human Settlements	:	Qualified opinion
• North West Social Development	:	Qualified opinion
• North West Transport, Roads, & Community Safety	:	Qualified opinion

The main reasons cited by the A-G under emphasis of matter in these departments' annual reports, include, amongst others (the number of departments appears in brackets):

- Non-compliance with applicable legislation – key governance responsibilities of the PFMA, *Treasury Regulations and Division of Revenue Act* (9).
- Material underspending (9).
- Unauthorised expenditure (7).
- Assets management that are not properly controlled/asset registers that is not updated regularly (7).
- Irregular expenditure (6).

- Fruitless and wasteful expenditure (4).
- Measurable objectives were inconsistent with the annual performance plan, budget and the annual report (4).
- Invoices not paid within 30 days of receipt (3).

The PSC is concerned that 9 departments failed to fully comply with clearly defined requirements of the PFMA, Treasury Regulations and the Division of Revenue Act, which signals an inability to execute prescribed financial management. This has been followed by material underspending and unauthorised expenditure by 9 and 7 departments respectively, which has a negative impact on service delivery and is indicative of poor accountability by Heads of these departments.

Another area of concern is that, whilst the departments' performance in respect of the existence of fraud prevention plans was good (77%), the performance with regard to the implementation thereof was just adequate (53%). The existence of fraud prevention plans, therefore, becomes meaningless. Refer to **Appendix H** for detail. As reflected in **Table 13** below, an analysis of the quality of fraud prevention plans of all 30 departments indicates that the following three issues are frequently not provided for:

- Standard 3: A fraud database should be in place;
- Standard 5: Service users, suppliers and the broader community should be made aware of the department's stance on fraud and corruption;
- Standard 11: Fraud investigations must be conducted without interference from management.

Not providing for fraud databases in the plans could suggest that departments do not have effective systems for documenting and tracking reported cases of fraud. Secondly, non-adherence to standards 5 and 11 could suggest that departments are not publishing their fraud and anti-corruption strategies, whilst the principles of fairness and "equality before the law", are not taken seriously in some departments.

Table 13: Checklist for a good fraud prevention plan

Requirement to be included in a good fraud prevention plan	Number of departments not meeting the requirement
1. Comprehensive implementation plan and responsibility structure must be developed to implement and give effect to the department's fraud control strategy.	2
2. Fraud prevention strategies must be based on a thorough risk assessment.	5
3. Fraud database should be in place.	12
4. It must be clear that every employee has a responsibility to contribute towards eliminating fraud.	1
5. Service users, suppliers and the broader community should be made aware of the department's stance on fraud and corruption.	12
6. It should be clear to everybody to whom and how fraud should be reported.	
7. A clear policy on protected disclosures must be in place.	5
8. Accounting officers must be clear that there is no discretion in the reporting of fraud to either the police or other independent anti corruption agencies.	5
9. All instances of suspected fraud must be promptly examined by the department to establish whether a basis exists for further investigation.	2
10. All instances of suspected fraud must be promptly examined by the department to establish whether a basis exists for further investigation.	5
11. Fraud investigations must be conducted without interference from management.	9
12. Investigations must be undertaken by skilled officers.	4
13. The Code of Conduct for the Public Service must be applied to the specific circumstances of the department.	5

All departments are adhering to standard 6, which states that “It should be clear to everybody to whom and how fraud should be reported”.

3.3.6.4 Recommendations

The Departments should prioritise the following critical strategies for fighting fraud and corruption:

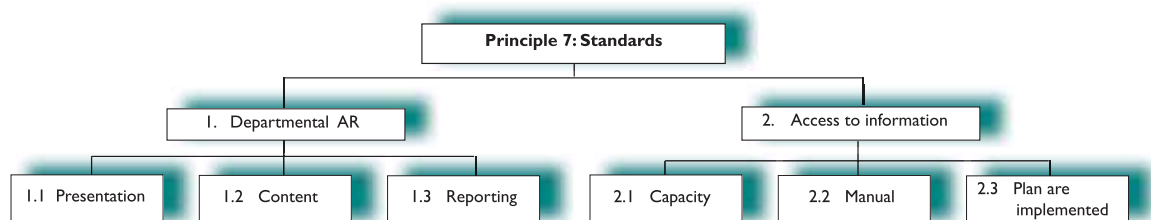
- Ensuring that internal financial control measures are devised and implemented for each identified risk. This will strengthen accountability and financial management. This will furthermore enable departments to detect deviations timeously and thereby contribute to management and service delivery improvement.
- The timely and accurate reporting of suspicion of fraud, corruption and other irregularities by employees should be encouraged by management in terms of the Protected Disclosures Act, 2000.²
- Regular fraud detection reviews should be undertaken to ensure the timely identification of potential fraud and other irregularities.

3.3.7 Performance against Principle 7: Transparency

This Constitutional principle states that transparency must be fostered by providing the public with timely, accessible and accurate information.

The PSC assumes that departments that prepare their annual report (AR) in accordance with National Treasury’s (NT) Guideline on Annual Reporting and adhere to the requirements of the Promotion of Access to Information Act, 2000 (PAIA), Act 2 of 2000, are committed to transparency, accountability and effective governance in other areas.

The following two standards, with three sub-standards each are applied to establish whether departments do in fact promote transparency:



3.3.7.1 Overall average performance

The overall average performance against this principle was good (63%). **Appendix I** provides the detail per department.

Excellent performance (81% and above) is noted in 7 departments, namely, the National Department of Human Settlements, Gauteng Office of the Premier, Limpopo Local Government and Housing, North West Health, North West Public Works, Western Cape Housing and Western Cape Provincial Treasury.

² Republic of South Africa. Public Service Commission. Evaluation of Supply Chain Management Practices within the R200 000 Threshold. June 2009, page xi.

At the low end with no or poor performance (21% and below) were the Department of Communication, and the North West Departments of Human Settlements, Office of the Premier, Social Development, and Sport, Arts and Culture.

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 14** below: See **Annexure I** for detail.

Table 14: Departments' average scores against the specific standards of principle 7

Standards	Presentation	Content	Reporting	Appointed DIO	MAI	System
Average	96%	40%	79%	44%	30%	53%

3.3.7.2 Strengths

The main strength is that 96% of departments' ARs are attractively presented and written in simple and accessible language, which is an indication that the information needs of various stakeholders, including ordinary citizens, are considered during the compilation of the ARs. Furthermore, it is encouraging that 79% of departments report on performance against predetermined outputs for at least two thirds of the objectives listed, which also reflects good performance.

3.3.7.3 Weaknesses

Two areas were identified as deficiencies in most of the Departments. The first area was ARs which did not in sufficient detail cover at least 90% of the areas prescribed by NT and the DPSA – a poor average performance of 40% was achieved. The second area was the lack of compliance with PAIA – with an average performance of between poor and adequate (21% to 60%).

Departments' responsibilities for implementing the requirements of PAIA are to appoint deputy information officers (56% failed to do so); prepare a manual on access to information (70% were without such manual); and to put in place procedures to deal with requests for access to information (47% did not comply).

Non-compliance with PAIA, deprives citizens of one of the fundamental rights in the South African Constitution, namely that "everyone has the right of access to (a) any information held by the state; and (b) any information that is held by another person and that is required for the exercise or protection of rights."³

3.3.7.4 Recommendations

Departments should in all respects comply with the principle of transparency by adhering to the requirements of NT and the DPSA for annual reporting and of PAIA (Act 2 of 2000).

³ Republic of South Africa. Department of Justice and Constitutional Development. *The Constitution of the Republic of South Africa, 1996. (Act 108 of 1996 as amended). Second impression. Juta & Co Ltd. Cape Town. Section 32 (1).*

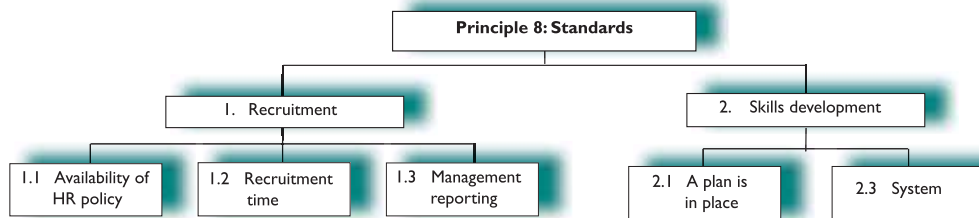
3.3.8 Performance against Principle 8: Good Human Resource Management and Career Development Practices

This Constitutional principle states that good human resource management and career development practices, to maximise human potential, must be cultivated.

The PSC assumes that:

- Effective recruitment policies and practices are a key indicator of good human resource management practice.
- Departments that handle recruitment effectively and which fill their posts quickly and well are more likely to be maximising human potential than those that are not.
- Skills needs analyses are good instruments for assessing training needs and departments that draw upon them to prepare training strategies are working according to best practice.
- Taking care to monitor performance against plan suggests that Departments are committed to real human resource development.

The following two standards, with sub-standards are applied to establish whether departments do in fact promote good human resource management and career development practices:



3.3.8.1 Overall average performance

The overall average performance against this principle was adequate (47%). **Appendix J** provides the detail per department.

Departments' performance against this principle was generally disappointing. Six of the 30 departments were able to record good performance (61% to 80%), followed by 10 departments with adequate performance (41% to 60%). The performance of the majority (14) of the departments was poor (21% and 40%).

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 15** below: See **Appendix J** for detail.

Table 15: Departments' average scores against the specific standards of principle 8

Standards	Policy	Recruitment times	Management reporting	Skills development plan	Implementation of the skills development plan
Average	95%	7%	48%	59%	28%

3.3.8.2 Strengths

The main area of strength is that 95% of departments have put in place recruitment policies that comply with good practice standards and spell out detailed recruitment procedures. Whilst this score reflects excellent performance against the standard, these policies did, however, not translate into better performance with regard to recruitment, as discussed in the next section.

3.3.8.3 Weaknesses

The main weakness is the inability of departments to fill posts within the PSC's standard period of 3 months/90 calendar days. The average score for departments against this standard was 7%, which is indicative of no performance.

It took the 30 departments on average 338 calendar days to fill the assessed sample of 502 vacant posts (**Table 16** below), which is far beyond the PSC's 90 calendar day standard. Apart from the high average time to fill a vacancy, 11 (37%) of the departments' average time was higher than the recorded average 338 calendar days, and that only 53 (11%) of the sampled vacant posts were filled within the time frame of 90 calendar days. Posts which were filled within the PSC's standard include *inter alia* posts of messenger, secretary, senior administrative clerk, senior administration officer, middle management (deputy director), and senior management (director).

Table 16: Average recruitment time

Total number of sampled vacant posts assessed	Average calendar days to fill a vacancy	Number of sampled posts filled within the PSC's standard of 90 days
502	338	53

The worst performers against this standard were the KwaZulu-Natal Department of Human Settlements with an average of 750 calendar days to fill a vacancy followed by the Northern Cape Department of Cooperative Governance and Human Settlements with an average of 628 calendar days, and the Gauteng Office of the Premier with an average of 568 calendar days. The North West Office of the Premier and the North West Department of Economic Development and Tourism provided insufficient information for the PSC to make an informed assessment of their performance against this standard (See **Appendix K** for detail). A further analysis indicates that in some departments lower level posts took more than 1 000 calendar days (2.7 years) and longer to fill. The departments, the number of calendar days and posts involved appear in **Table 17** below.

Table 17: Posts filled in more than 1 000 calendar days

Department	Calendar days	Approximate years	Post
1. National Department of Human Settlements	1 492	4	Senior Secretary Grade IV
2. Eastern Cape Provincial Treasury	1 056	3	Administration Officer
3. Gauteng Department of Education	1 520	4	Assistant Director (Middle Management)
4. Gauteng Office of the Premier	1 185	3	Administration Officer
5. KwaZulu-Natal Department of Human Settlements	2 442	6	Assistant Manager Legal Services
6. Northern Cape Department of Co-operative Governance and Human Settlements	1 156	3	Registry Clerk
7. North West Department of Social Development	1 173	3	Chief Community Development

Some reasons given for the excessive time taken to fill a vacancy, with the number of departments affected, appear in **Table 18** below:

Table 18: Reasons for the excessive time taken to fill a vacancy

Reasons	Number of departments
The non availability of panel members	3
Restructuring of departments	6
The Executive Authority needs to be consulted before any appointment can be made	1
Insufficient funding for approved posts	2
Dispute between department and union, which took four years to resolve	1
Moratorium on the filling of vacancies – especially provincial departments	13
Availability of scarce and specialised skills such as financial administration	2

The lack of effective monitoring of the recruitment process also attributed to the delay in the filling of posts. Findings show that 11(37%) of the 30 departments do not report to management on the matter; whilst 9 (47%) of the 19 departments which did submit progress reports to management, did not receive feedback from management on such reports. It is of concerned that despite the fact that 63% of the thirty departments did submit progress reports on recruitment to management, they did not succeed in bringing down the recruitment time to acceptable levels. This suggests that intervention by management in the recruitment process is minimal.

With regard to skills development, 83% of departments had put in place skills development plans, which indicate good performance against this standard. However; it was noted that 60% of these plans were not based on a thorough skills needs analysis. Furthermore, the skills development activities are not implemented as planned and the impact of training is not assessed.

3.3.8.4 Recommendations

The Departments should focus on the following critical priority areas:

- Departments should include a requirement in their recruitment policy that panel members should avail themselves for interviews within a week after candidates have been short listed. This will assist departments in reducing their recruitment time.
- Creative recruitment strategies should be included in recruitment policies. This will be useful in circumstances where departments have difficulty in recruiting certain categories of personnel.
- Measures should be put in place to reduce the recruitment period from an average period of 338 calendar days to 90 calendar days, since the filling of vacancies within a stipulated period is essential to ensure that services are uninterrupted. The Public Service Commission's Toolkit on Recruitment and Selection can be utilised as a guideline.
- Monitoring and intervention by management on the recruitment process should be done rigorously. This will ensure that management is kept abreast of progress with the filling of vacancies, and will enable them to timeously institute corrective measures.
- Departments should ensure that all planned skills development activities are implemented as planned and annually evaluate the impact of the training on the service delivery of the department. The implementation of this recommendation will assist departments to provide focussed training and ensure improvement in service delivery.

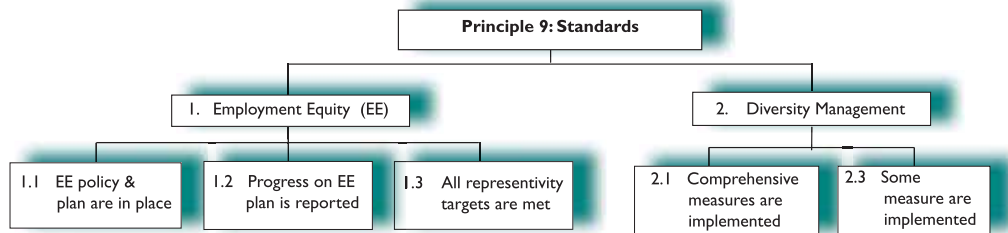
Effective and efficient service delivery is inextricably linked to the skills and competencies of a department's work force and sufficient employees to execute a department's functions. Departments, therefore, need to ensure that all vacancies are filled timeously and to know what their specific skills needs are compared to the current skills profile of their staff, and put strategies in place to acquire the needed skills.

3.3.9 Performance against Principle 9: Representivity

This Constitutional principle states that public administration must be broadly representative of SA people, with employment and personnel management practices based on ability objectivity fairness and the need to redress the imbalances of the past to achieve broad representation.

The PSC assumes that if departments meet all their representivity targets and demonstrate sound approaches to diversity management, then they are likely to become representative in due course without compromising personnel management practices based on ability, objectivity and fairness.

The following two standards with sub-standards are applied to establish whether departments do in fact promote representivity:



3.3.9.1 Overall average performance

The overall average performance against this principle was poor (39%). **Appendix L** provides the detail per department.

The poor average performance against this principle can be attributed to the fact that only 3 departments, namely the Northern Cape Provincial Treasury, the North West Department of Education, and the Western Cape Department of Housing achieved a performance rating of "good" (70%), whilst 16 departments' performance varied between poor (7 departments) and no performance (9 departments).

The departments' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 19** below: See **Annexure L** for detail.

Table 19: Departments' average scores against the specific standards of principle 9

Standards	Employment Equity Act (EEA)	Representivity	Management reporting on representivity	Diversity management
Average	51%	29%	42%	45%

3.3.9.2 Strengths

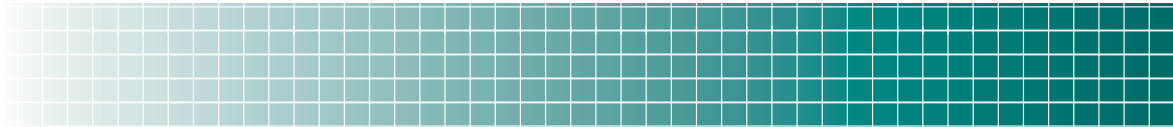
The average performance against the availability of an employment equity (EE) policy and an EE plan, which comply with sections 1 and 20 of the Employment Equity Act, 1998, (Act 55 of 1998), was adequate (51%). Nine (30%) of the 30 departments had both an EE policy and plan, whilst 12 (40%) departments had a policy only. The absence of an EE plan is likely to hamper departments in reaching representivity targets and the implementation of diversity management as indicated in the next section.

3.3.9.3 Weaknesses

Departments were evaluated against meeting the national targets of 75% Blacks at senior management level (end of April 2005), 50% women at senior management level by 31 March 2009, and people with disabilities comprising 2% of the workforce by 31 March 2010. **Table 20** below reflects the breakdown of the departments' compliance with the representivity targets in terms of race, gender and people with disabilities (Refer to **Appendix M** for details on individual departments' performance).

Table 20: Achievement of representivity targets

% Representivity in departments	Number of departments
75% Blacks at senior management level at end of April 2005	1
• On par with the target of 75% Blacks at senior management level	3
• 100% Blacks at senior management level	7
• Between 90% and 99% Blacks at senior management level	13
• Between 80% and 89% Blacks at senior management level	5
• Not meeting the target of 75% Blacks at senior management level	1
• No information submitted	
30% Women at all senior management levels by 2000	0
• On par with the target of 30% Women at all senior management levels by 2000	23
• Exceeding the target of 30% Women at all senior management levels by 2000	7
• Not meeting the target of 30% Women at all senior management levels by 2000	
50% Women at all senior management levels by 31 March 2009	
• On par with the target of 50% Women at all senior management levels by 31 March 2009	1
• Exceeding the target of 50% Women at all senior management levels by 31 March 2009	1
• Not meeting the target of 50% Women at all senior management levels by 31 March 2009	28
Disability target of 2% to be achieved by 31 March 2010	
• On par with the target of 2% people with disability by 31 March 2010	2
• Exceeding the target of 2% people with disability by 31 March 2010	3
• Not meeting the target of 2% people with disability by 31 March 2010 (between 1% and 1.99%)	8
• Not meeting the target of 2% people with disability by 31 March 2010 (between 0% and 0.99%)	17



It was found that 23 (77%) of the 30 departments had more than the required 75% Blacks at senior management level of which 3 departments have 100% and 13 departments have between 80% to 89% Blacks at this level. Only 5 departments have not yet reached the required national target of 75%. These departments are the KwaZulu Department of Local Government and Traditional Affairs (70%), the North West Department of Finance (67%), and the Western Cape Departments of Education (69%), Housing (63%), and Provincial Treasury (71%).

Although the majority of the 30 departments exceeded the required representivity of Blacks at senior management level, the performance against the national targets for women at senior management level and people with disability are disappointing, and is the main reason for the poor performance of 29% against these two standards. Twenty eight (93%) of the 30 departments were unable to reach the 50% target for women at all senior management levels by 31 March 2009, whilst 25 (83%) of the departments did not comply with the 2% target for people with disability by 31 March 2010.

Failure to meet representivity targets could also be attributed to the general lack of management feedback on progress reports on representivity. It was found that although 18 (60%) of the 30 departments did submit progress reports to management on the implementation of their EE plans, 11 of these eighteen departments could not provide evidence of management feedback/intervention on these progress reports. In effect this means that management monitoring of the implementation of employment equity, does not take place. Management reports on progress with EE within a department will ensure that where representivity targets are not met, corrective measures can be instituted timeously.

3.3.9.4 Recommendations

Departments should:

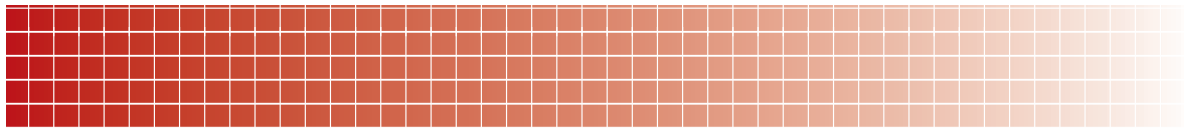
- Revisit the EE figures of all their organisational components and occupational categories, to ensure that EE objectives are applied in all sections of the department.
- Engage with organisations representing people with disabilities to consider a targeted recruitment approach for this group.

4. CONCLUSIONS

This report has provided an assessment of the 30 departments included in the 2009/10 evaluation cycle in terms of their compliance with the nine CVPs. The overall average performance against the nine CVPs was adequate (55%) of which the performance against principles 4 (71%) and 6 (63%) was good, and principle nine was poor (39%). The performance of the remaining 6 principles was adequate.

Only 2 of the 30 departments, namely, the Western Cape Departments of Housing and Provincial Treasury performed excellent (81% and above). The majority of the departments' performance was adequate (between 41% and 60%), whilst 5 departments' performance was poor (below 40%).

It is clear from departments' performance against the nine CVPs that there is a general lack of compliance with the most basic Public Service regulatory frameworks, such as the disciplinary code and procedures for the Public Service, the PFMA and Treasury Regulations, the Promotion of Access to Information Act, human resource management practices and representivity. It is not enough, after sixteen years of government that



attention is only given now, to the most basic administrative practices for good governance and improved service delivery. By now, departments should have excelled in these areas, and not receive recommendations to implement the requirements of regulatory frameworks.





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1. Republic of South Africa. Department of Justice and Constitutional Development. *The Constitution of the Republic of South Africa, 1996. (Act 108 of 1996 as amended). Second impression.* Juta & Co Ltd. Cape Town.
2. Republic of South Africa. Public Service Commission. *Evaluation of Supply Chain Management Practices within the R200 000 Threshold.* Pretoria. June 2009.

Appendices

Appendix A: Complete list of departments assessed: 2009/10

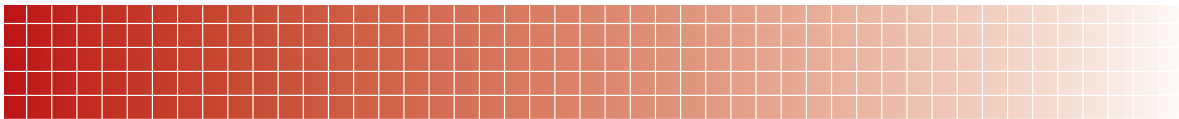
The table below indicates the year during which each of the 30 departments was assessed.

Name of department	1st year of assessment
1. National Department of Communication	Never evaluated before
2. National Department of Human Settlements	2003/04
3. Eastern Cape Department of Human Settlements	2006/07
4. Eastern Cape Provincial Treasury	Never evaluated before
5. Free State Department of Education	Never evaluated before
6. Free State Department of Human Settlements	2006/07
7. Gauteng Office of the Premier	Never evaluated before
8. Gauteng Department of Education	Never evaluated before
9. Gauteng Department of Local Government and Human Settlements	Never evaluated before
10. KwaZulu-Natal Department of Co-operative Governance and Traditional Affairs	Never evaluated before
11. KwaZulu-Natal Department of Human Settlements	Never evaluated before
12. Limpopo Department of Local Government and Housing	2004/05
13. Mpumalanga Department of Co-operative Governance and Traditional Affairs	Never evaluated before
14. Mpumalanga Department of Human Settlements	2005/06
15. Northern Cape Department of Co-operative Governance, Human Settlements and Traditional Affairs	2005/06
16. Northern Cape Provincial Treasury	Never evaluated before
17. North West Office of the Premier	2003/04
18. North West Department of Agriculture, Conservation & Environment	2008/09
19. North West Department of Developmental Local Government & Housing	2005/06
20. North West Department of Economic Development & Tourism	2006/07
21. North West Department Education	2008/09
22. North West Department Finance	2004/05
23. North West Department Health	2004/05
24. North West Department Public Works	2007/08
25. North West Department Social Development	2003/04
26. North West Department Sport, Arts & Culture	2007/08
27. North West Department Transport, Roads & Community Safety	2005/06
28. Western Cape Department of Education	Never evaluated before
29. Western Cape Department of Finance	Never evaluated before
30. Western Cape Department of Housing	2006/07

Appendix B: Performance indicators, standards and applicable policies/regulations per principle

Constitutional Principle and Value	Performance Indicator	Standards	Applicable Legislation and Regulations
<p>1. Professional ethics. <u>Value:</u> A high standard of professional ethics must be promoted and maintained.</p>	<p>Cases of misconduct where a disciplinary hearing has been conducted, comply with the provisions of the DCPPS.</p>	<ol style="list-style-type: none"> 1. A procedure is in place for reporting, recording and managing cases of misconduct. 2. All the managers surveyed have working knowledge of the system. 3. Management reporting is done on cases of misconduct and acted upon. 4. All of the most recent cases of misconduct in which a disciplinary hearing is conducted are finalised within the time frame of 20 – 80 working days. 5. All the managers are capable to deal with cases of misconduct. 6. Frequent training is provided on the handling of cases of misconduct. 	<ul style="list-style-type: none"> • Disciplinary Codes and Procedures for the Public Service. • Public Service Coordinating Bargaining Council (PSCBC) Resolution 2 of 1999 as amended by Public Service Coordinating Bargaining Council Resolution 1 of 2003. • Code of Conduct for the Public Service.
<p>2. Efficiency economy and effectiveness. <u>Value:</u> Efficient, economic and effective use of resources must be promoted.</p>	<ol style="list-style-type: none"> 1. Expenditure is in accordance with the budget. 2. Programme outputs are clearly defined and there is credible evidence that they have been achieved. 	<ol style="list-style-type: none"> 1. Expenditure is as budgeted for and material variances are explained. 2. More than half of each programme's Performance Indicators (PIs) are measurable in terms of quantity, quality and time dimensions. 3. Outputs, PIs and targets are clearly linked with each other as they appear in the SP, estimates of expenditure and the AR for the year under review. 4. Programmes are implemented as planned or changes to implementation are reasonably explained. 	<ul style="list-style-type: none"> • Public Finance Management Act, Act 1 of 1999, Sections 38 to 40. • Treasury Regulations Part 3: Planning and Budgeting. • Public Service Regulations. Part III/B Strategic Planning. • Treasury Guidelines on preparing budget submissions for the year under review. • Treasury Guide for the Preparation of ARs of departments for the financial year ended 31 March. • National Planning Framework.

Constitutional Principle and Value	Performance Indicator	Standards	Applicable Legislation and Regulations
<p>3. Development oriented Public Administration. <u>Value:</u> Public administration must be development oriented.</p>	<p>The Department is effectively involved in programmes projects that aim to promote development and reduce poverty.</p>	<ol style="list-style-type: none"> 1. Beneficiaries play an active role in the governance, designing and monitoring of projects. 2. A standardised project plan format is used showing: <ol style="list-style-type: none"> a) All relevant details including measurable objectives. b) Time frames (targets). c) Clear governance arrangements. d) Detailed financial projections. e) Review meetings. f) Considering issues such as gender, the environment and HIV/AIDS. 3. Poverty reduction projects are aligned with IDPS. 4. Organisational learning takes place. 5. Projects are successfully initiated and/or implemented. 	<p>Section 195 (c) of the Constitution.</p>
<p>4. Impartiality and fairness. <u>Value:</u> Services must be provided impartially, fairly, equitably and without bias</p>	<p>There is evidence that the Department follows the prescribed procedures of the Promotion of Administrative Justice Act (PAJA) when making administrative decisions.</p>	<ol style="list-style-type: none"> 1. All decisions are taken in accordance with prescribed legislation/policies and in terms of delegated authority. 2. All decisions are justified and fair considering the evidence submitted in this regard. 3. The procedures required in the PAJA in communicating administrative decisions are duly followed. 	<ul style="list-style-type: none"> • Promotion of Administrative Justice Act, Act No 3 of 2000. • Regulations on Fair Administrative Procedures, 2002. • Departmental delegations of authority.
<p>5. Public participation in policy-making. <u>Value:</u> People's needs must be responded to and the public must be encouraged to participate in policy-making.</p>	<p>The Department facilitates public participation in policy-making.</p>	<ol style="list-style-type: none"> 1. A policy and guideline on public participation in policy-making is in place. 2. A system for soliciting public inputs on key matters is in use and effectively implemented. 3. All policy inputs received from the public are acknowledged and formally considered. 	<p>White Paper for Transforming Public Service Delivery (Batho Pele).</p>



<p>6. Accountability. <u>Value:</u> Public administration must be accountable.</p>	<p>1. Adequate internal financial controls and performance management are exerted over all departmental programmes. 2. FPPs, based on thorough risk assessments, are in place and are implemented.</p>	<p>1. The A-G's assessments of internal financial controls conclude that they are adequate and effective. 2. A performance management (M&E) system on all departmental programmes is in operation. 3. FPPs are based on a thorough risk assessment. 4. FPPs are in place and are comprehensive and appropriate, and are implemented. 5. Key staff for ensuring implementation of FPPs, especially investigation of fraud, are in place and operational.</p>	<ul style="list-style-type: none"> • Public Finance Management Act, Act 1 of 1999. • Treasury Regulations Part 3: Planning and Budgeting • White Paper for Transforming Public Service Delivery (Batho Pele). • Public Service Regulations. Part III/B. Strategic Planning. • Treasury Guidelines on preparing budget submissions, 2002. • Treasury Guide for the Preparation of ARs of departments for the financial year ended 31 March. National Planning Framework.
<p>7. Transparency. <u>Value:</u> Transparency must be fostered by providing the public with timely, accessible and accurate information.</p>	<p>A. Departmental AR The departmental AR complies with NT's guideline on Annual Reporting.</p> <p>B. Access to Information The Department complies with the provisions of the Promotion of Access to Information Act (PAIA).</p>	<p>A. Departmental AR 1. The Report is attractive and clearly presented and is well written in simple accessible language. 2. The content of the AR covers in sufficient detail at least 90% of the areas prescribed by NT and the DPSA. 3. The AR clearly report on performance against predetermined outputs in at least two thirds of the programmes listed.</p> <p>B. Access to Information 1. The department has at least one deputy information officer with duly delegated authority. 2. A manual on functions of and index of records held by the department that complies with the requirements of the PAIA is in place. 3. Systems for managing requests for access to information are in place.</p>	<ul style="list-style-type: none"> • Public Finance Management Act 1999, Act 1 of 1999. • NT's guideline for the Preparation of ARs. • The Department of Public Administration's guide for an Oversight Report on Human Resources. • PSC. Evaluation of Departments' ARs as an Accountability Mechanism. October 1999. • White Paper for Transforming Public Service Delivery (Batho Pele). • Promotion of Access to Information Act 2000, Act 2 of 2000. • Departmental delegations of authority.



<p>8. Good human resource management and career development practices. <u>Value:</u> Good human resource management and career development practices, to maximise human potential, must be cultivated.</p>	<p>A. Recruitment Vacant posts are filled in a timely and effective manner.</p> <p>B. Skills Development The Department complies with the provisions of the Skills Development Act.</p>	<p>A. Recruitment</p> <ol style="list-style-type: none"> 1. A recruitment policy complying with good practice standards and spelling out a detailed procedure is in place. 2. Vacant posts are filled within 90 days – including advertisement time. 3. Regular management reporting on recruitment is done. <p>B. Skills Development</p> <ol style="list-style-type: none"> 1. A skills development plan, based on a thorough skills needs analysis, is in place. 2. Activities planned for are implemented The results achieved through skills development are monitored and recorded. 	<ul style="list-style-type: none"> • Public Service Regulations, 2001 as amended. • Public Service Act.
<p>9. Representivity. <u>Value:</u> Public administration must be broadly representative of SA people, with employment and personnel management practices based on ability objectivity fairness and the need to redress the imbalances of the past to achieve broad representation.</p>	<p>The Department is representative of the South African people and is implementing diversity management measures.</p>	<ol style="list-style-type: none"> 1. EE policies and plans are in place and reported upon. 2. All representivity targets are met. 3. Diversity management measures are implemented. 	<ul style="list-style-type: none"> • Part VI Public Service Regulations, 2001 as amended. • EE Act, Act 55 of 1998. • White Paper on the Transformation on Public Service – 15/11/1995. • White Paper on Affirmative Action in the Public Service, 2001.

Appendix C: Principle 1 – Departments' score per standard

Departments / Standards	Policy guideline on managing cases of misconduct	Time to resolve cases	Management reporting	Capacity to handle misconduct cases	Training and awareness	Total
Maximum score per standard	1	1	1	1	1	5
1. Nat. Communications	1.00	1.00	0.00	0.00	1.00	3.00
2. Nat. Human Settlements	1.00	1.00	0.50	0.25	1.00	3.75
3. EC Human Settlements	0.50	0.00	0.00	0.00	0.00	0.50
4. EC Provincial Treasury	1.00	0.75	0.00	0.00	1.00	2.75
5. FS Education	1.00	0.25	0.50	0.00	0.00	1.75
6. FS Human Settlements	1.00	1.00	0.50	1.00	1.00	4.50
7. GP Education	1.00	0.25	0.50	0.00	1.00	2.75
8. GP Loc Gov & Human Settlements	0.50	0.50	0.50	0.75	1.00	3.25
9. GP Office of the Premier	1.00	0.00	0.50	0.00	1.00	2.50
10. KZN Human Settlements	0.50	1.00	1.00	1.00	0.00	3.50
11. KZN Loc Gov & Traditional Affairs	1.00	0.00	0.00	0.00	0.00	1.00
12. LP Loc Gov & Housing	1.00	0.00	0.50	1.00	0.00	2.50
13. MP Co-op Gov & Traditional Affairs	0.50	0.25	0.50	0.00	0.00	1.25
14. MP Human Settlements	1.00	0.75	0.50	1.00	1.00	4.25
15. NC Co-op Gov, Human Settlements	1.00	0.75	0.00	1.00	0.00	2.75
16. NC Provincial Treasury	1.00	1.00	0.50	1.00	1.00	4.50
17. NW Agriculture	1.00	0.75	0.50	0.00	1.00	3.25
18. NW Econ. Dev. & Tourism	0.50	0.75	0.50	1.00	1.00	3.75
19. NW Education	1.00	1.00	0.50	1.00	1.00	4.50
20. NW Finance	0.50	0.00	0.50	0.00	1.00	2.00
21. NW Health	1.00	0.00	0.50	1.00	0.00	2.50
22. NW Human Settlements	0.50	1.00	0.50	0.00	0.00	2.00
23. NW Office of the Premier	1.00	0.00	1.00	1.00	1.00	4.00
24. NW Public Works	1.00	0.50	0.50	1.00	0.00	3.00
25. NW Social Development	1.00	0.00	0.50	1.00	1.00	3.50
26. NW Sport, Arts & Culture	1.00	1.00	0.00	0.50	1.00	3.50
27. NW Transport, Roads & Com Safety	1.00	0.50	0.00	0.00	0.00	1.50
28. WC Education	1.00	1.00	1.00	0.25	1.00	4.25
29. WC Housing	1.00	0.75	1.00	0.00	1.00	3.75
30. WC Provincial Treasury	1.00	1.00	1.00	0.50	1.00	4.50
Total score	26.50	16.75	14.00	14.25	19.00	90.50
Average score	0.88	0.56	0.47	0.48	0.63	3.02
% Average	88%	56%	47%	48%	63%	61%



Legend:

A. Policy/guideline on managing cases of misconduct

1. A policy/guideline document is in place that sets out the procedure and timeframes to be followed when handling cases of misconduct.
2. **All** the managers surveyed have a working knowledge of the system.

B. Time taken to resolve cases

- 80% to 100% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the time frame of 20 – 80 working days.
OR
- 60% to 79% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the time frame of 20 – 80 working days.
OR
- 40% to 59% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the time frame of 20 – 80 working days.
OR
- 20% to 39% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the time frame of 20 – 80 working days.
OR
- Less than 20% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the time frame of 20 – 80 working days.

C. Management reporting

1. Cases of misconduct are reported upon in management reports.
2. Evidence on management's response/actions on these reports is available.

D. Capacity to handle misconduct cases

- 80% to 100% of the managers are highly competent to deal with cases of misconduct.
OR
- 60% to 79% of the managers are highly competent to deal with cases of misconduct.
OR
- 40% to 59% of the managers are highly competent to deal with cases of misconduct.
OR
- 20% to 39% of the managers are highly competent to deal with cases of misconduct.
OR
- Less than 20% of the managers are highly competent to deal with cases of misconduct.

E. Training awareness

The managing of cases of misconduct is reflected in training materials and is covered in capacity building processes.

Appendix D: Principle 2 – Departments' score per standard

Departments / Standards	Expenditure	Performance indicator	Achievement of priority outputs	Total
Maximum score per standard	1	1	3	5
1. Nat. Communications	0.50	0.00	0.00	0.50
2. Nat. Human Settlements	0.50	1.00	2.00	3.50
3. EC Human Settlements	0.50	1.00	2.00	3.50
4. EC Provincial Treasury	1.00	1.00	2.00	4.00
5. FS Education	0.50	0.50	2.00	3.00
6. FS Human Settlements	0.50	1.00	1.00	2.50
7. GP Education	0.00	1.00	2.00	3.00
8. GP Loc Gov & Human Settlements	1.00	0.00	0.00	1.00
9. GP Office of the Premier	0.50	1.00	3.00	4.50
10. KZN Human Settlements	1.00	1.00	0.50	2.50
11. KZN Loc Gov & Traditional Affairs	0.50	1.00	2.00	3.50
12. LP Loc Gov & Housing	0.50	0.50	1.00	2.00
13. MP Co-op Gov & Traditional Affairs	0.50	0.50	2.00	3.00
14. MP Human Settlements	0.00	1.00	3.00	4.00
15. NC Co-op Gov, Human Settlements	0.50	1.00	0.50	2.00
16. NC Provincial Treasury	0.50	1.00	1.00	2.50
17. NW Agriculture	1.00	0.50	1.00	2.50
18. NW Econ. Dev. & Tourism	1.00	1.00	2.00	4.00
19. NW Education	0.50	0.50	1.00	2.00
20. NW Finance	0.50	0.50	2.00	3.00
21. NW Health	1.00	1.00	1.00	3.00
22. NW Human Settlements	0.00	0.00	0.00	0.50
23. NW Office of the Premier	0.50	0.50	1.00	2.00
24. NW Public Works	1.00	1.00	1.00	3.00
25. NW Social Development	0.00	1.00	0.50	1.50
26. NW Sport, Arts & Culture	0.50	0.50	0.00	1.00
27. NW Transport, Roads & Com Safety	1.00	1.00	1.00	3.00
28. WC Education	1.00	0.50	1.00	2.50
29. WC Housing	1.00	0.50	2.00	3.50
30. WC Provincial Treasury	1.00	1.00	2.00	4.00
Total score	19.00	22.00	39.50	80.50
Average score	0.63	0.73	1.32	2.68
% Average	63%	73%	44%	54%



Legend:

A. Expenditure

1. Expenditure stated in the annual report is budgeted for in the estimates of expenditure.
2. Material variances are explained.

B. Service delivery indicators

1. More than half of each programmes' Ps are measurable in terms of quantity, quality and time dimensions.
2. Outputs, PIs and targets are clearly linked with each other as they appear in the strategic plan, estimates of expenditure and the annual report for the year under review.

C. Achievement of priority outputs

1. 80% of the priority outputs have been met.
OR
2. 60% to 79% of priority outputs have been met.
OR
3. 40% to 59% of the priority outputs have been met.
OR
4. Less than 40 % of the priority outputs have been met.

Appendix E: Principle 3 – Departments' score per standard

Departments / Standards	At least 50% of the projects are of an acceptable standard in terms of beneficiary participation	At least 50% the project plans are of an acceptable project management standard	At least 50% of the projects are aligned with LDPs	A system is in place for systematically institutionalising lessons learnt	Success of projects	Total
Maximum score per standard	1	1	1	1	1	5
1. Nat. Communications	Failed to submit the necessary documentation for assessment despite numerous requests to do so					0.00
2. Nat. Human Settlements	1.00	1.00	1.00	1.00	N/A	4.00
3. EC Human Settlements	0.00	0.00	0.00	0.00	1.00	1.00
4. EC Provincial Treasury	N/A	N/A	N/A	N/A	N/A	N/A
5. FS Education	1.00	1.00	1.00	1.00	0.50	4.50
6. FS Human Settlements	0.00	0.00	1.00	0.00	0.25	1.25
7. GP Education	1.00	1.00	1.00	1.00	1.00	5.00
8. GP Loc Gov & Human Settlements	1.00	0.00	1.00	1.00	1.00	5.00
9. GP Office of the Premier	N/A	N/A	N/A	N/A	N/A	N/A
10. KZN Human Settlements	1.00	1.00	1.00	1.00	1.00	5.00
11. KZN Loc Gov & Traditional Affairs	Failed to submit the necessary documentation for assessment despite numerous requests to do so					0.00
12. LP Loc Gov & Housing	1.00	1.00	1.00	1.00	1.00	5.00
13. MP Co-op Gov & Traditional Affairs	Submitted insufficient information to make an assessment					0.00
14. MP Human Settlements	Submitted insufficient information to make an assessment					0.00
15. NC Co-op Gov, Human Settlements	1.00	1.00	1.00	1.00	0.50	4.50
16. NC Provincial Treasury	N/A	N/A	N/A	N/A	N/A	N/A
17. NW Agriculture	1.00	1.00	1.00	0.50	1.00	4.50
18. NW Econ. Dev. & Tourism	0.75	1.00	1.00	0.25	1.00	4.00
19. NW Education	0.00	1.00	1.00	0.00	1.00	3.00
20. NW Finance	N/A	N/A	N/A	N/A	N/A	N/A
21. NW Health	Failed to submit the necessary documentation for assessment despite numerous requests to do so					0.00
22. NW Human Settlements	1.00	0.00	1.00	1.00	0.00	3.00
23. NW Office of the Premier	1.00	0.00	1.00	0.00	1.00	3.00
24. NW Public Works	0.00	0.00	0.00	0.50	0.00	0.50
25. NW Social Development	1.00	1.00	1.00	0.00	1.00	1.00
26. NW Sport, Arts & Culture	0.00	0.00	1.00	1.00	0.00	2.00
27. NW Transport, Roads & Com Safety	0.00	1.00	1.00	0.00	0.50	2.50
28. WC Education	1.00	1.00	1.00	1.00	1.00	5.00
29. WC Housing	1.00	1.00	1.00	1.00	0.50	4.50
30. WC Provincial Treasury	N/A	N/A	N/A	N/A	N/A	N/A
Total score	13.75	13.00	18.00	112.25	13.25	70.25
Average score	0.55	0.52	0.72	0.49	0.53	2.81
% Average	55%	52%	72%	49%	53%	56%



Legend:

1. At least half the projects are of an acceptable standard in terms of beneficiary participation.
2. At least half the project plans are of an acceptable standard project management standard.
3. At least half of the LDPs are accommodated.
4. A system is in place for systematically institutionalising lessons learnt.
5. Success of projects.
 - At least half the projects achieved success in at least 51% - 100% of their objectives.
 - At least half the projects achieved success in at least 31 - 50% of their objectives.
 - At least half the projects achieved success in at least 0% - 30% of their objectives.

Appendix F: Principle 4 – Departments’ score per standard

Departments / Standards	Decisions are in terms of legislation/policy	Decisions are in terms of delegations	Decisions are just and fair	Communicating administrative decisions	Total
Maximum score per standard	1.50	1.50	1.00	1.00	5.00
1. Nat. Communications	1.50	1.50	1.00	1.00	5.00
2. Nat. Human Settlements	N/A	N/A	N/A	N/A	N/A
3. EC Human Settlements	Submitted insufficient information to make an assessment				0.00
4. EC Provincial Treasury	Submitted insufficient information to make an assessment				0.00
5. FS Education	1.50	1.50	1.00	1.00	5.00
6. FS Human Settlements	Submitted insufficient information to make an assessment				0.00
7. GP Education	1.50	0.75	1.00	1.00	4.25
8. GP Loc Gov & Human Settlements	1.50	1.50	0.00	1.00	4.00
9. GP Office of the Premier	Submitted insufficient information to make an assessment				0.00
10. KZN Human Settlements	Failed to submit the necessary documentation for assessment				0.00
11. KZN Loc Gov & Traditional Affairs	0.00	1.50	1.00	1.00	3.50
12. LP Loc Gov & Housing	Failed to submit the necessary documentation for assessment				0.00
13. MP Co-op Gov & Traditional Affairs	Submitted insufficient information to make an assessment				0.00
14. MP Human Settlements	Failed to submit the necessary documentation for assessment				0.00
15. NC Co-op Gov, Human Settlements	1.50	1.50	1.00	1.00	5.00
16. NC Provincial Treasury	1.50	1.50	1.00	1.00	5.00
17. NW Agriculture	1.50	1.50	1.00	0.25	4.25
18. NW Econ. Dev. & Tourism	1.50	1.50	1.00	1.00	5.00
19. NW Education	1.50	1.50	1.00	1.00	5.00
20. NW Finance	Submitted insufficient information to make an assessment				0.00
21. NW Health	Submitted insufficient information to make an assessment				0.00
22. NW Human Settlements	Failed to submit the necessary documentation for assessment				0.00
23. NW Office of the Premier	0.75	1.50	1.00	1.00	4.25
24. NW Public Works	1.50	1.50	1.00	0.75	4.75
25. NW Social Development	Failed to submit the necessary documentation for assessment				0.00
26. NW Sport, Arts & Culture	0.00	0.75	0.50	0.25	1.50
27. NW Transport, Roads & Com Safety	0.00	0.75	0.50	0.75	2.00
28. WC Education	1.50	1.50	1.00	1.00	5.00
29. WC Housing	1.50	1.50	1.00	1.00	5.00
30. WC Provincial Treasury	0.75	1.50	1.00	0.75	4.00
Total score	19.50	23.25	15.00	14.75	72.50
Average score	0.67	0.80	0.52	0.51	2.50
% Average	43%	53%	52%	51%	49%



Legend:

A.1 Decisions in terms of legislation/policy

1. All decisions were taken in terms of the appropriate legislation/policy.

OR

2. Fifty percent and more of the decisions were taken in terms of the appropriate legislation/policy.

OR

3. Less than fifty percent of the decisions were taken in terms of the appropriate legislation/policy.

A.2 Decisions in terms of delegations

1. All the decisions were taken by duly authorised officials in terms of the Departmental delegations of authority.

OR

2. Fifty per cent and more of the decisions were taken by duly authorised officials in terms of the Departmental delegations of authority.

OR

3. Less than fifty percent of the decisions were taken by duly authorised officials in terms of the Departmental delegations of authority.

B. Decisions are just and fair

1. 100% of decisions were just and fair.

OR

2. 50% to 99% of the decisions were just and fair.

OR

3. 25% to 49% of the decisions were just and fair.

OR

4. 0% to 24% of the decisions were just and fair.

D. Communicating administrative decisions

1. Prior notice to administrative action is given in all cases.

2. Opportunities are provided in all the cases reviewed to make representations before action is taken.

3. In 100% of the cases administrative decisions that adversely affect anyone's rights are clearly communicated with adequate notice of the right to appeal or review or request reasons for decisions is given.

4. Requests for the reasons for decisions are properly answered in at least one third of the cases reviewed.

Appendix G: Principle 5 – Departments’ score per standard

Departments / Standards	An approved policy guideline on public participation in policy-making is in place	System for participation	Inputs are responded to and used	Total
Maximum score per standard	1	2	2	5
1. Nat. Communications	0.00	2.00	0.00	2.00
2. Nat. Human Settlements	0.00	2.00	2.00	4.00
3. EC Human Settlements	0.00	1.00	0.00	1.00
4. EC Provincial Treasury	0.00	2.00	0.00	2.00
5. FS Education	Failed to submit the necessary documentation for assessment			0.00
6. FS Human Settlements	0.00	2.00	0.00	2.00
7. GP Education	1.00	2.00	2.00	5.00
8. GP Loc Gov & Human Settlements	1.00	2.00	0.00	3.00
9. GP Office of the Premier	N/A	N/A	N/A	0.00
10. KZN Human Settlements	0.00	2.00	2.00	4.00
11. KZN Loc Gov & Traditional Affairs	1.00	1.00	1.00	3.00
12. LP Loc Gov & Housing	0.00	0.00	0.00	0.00
13. MP Co-op Gov & Traditional Affairs	1.00	1.00	0.00	2.00
14. MP Human Settlements	0.00	1.00	0.00	1.00
15. NC Co-op Gov, Human Settlements	0.50	0.00	0.00	0.50
16. NC Provincial Treasury	0.50	2.00	1.00	3.50
17. NW Agriculture	0.50	1.00	2.00	3.50
18. NW Econ. Dev. & Tourism	0.00	1.00	1.00	2.00
19. NW Education	0.00	2.00	2.00	4.00
20. NW Finance	1.00	2.00	1.00	4.00
21. NW Health	1.00	2.00	0.00	3.00
22. NW Human Settlements	1.00	2.00	0.00	3.00
23. NW Office of the Premier	1.00	2.00	1.00	4.00
24. NW Public Works	1.00	1.00	1.00	3.00
25. NW Social Development	0.00	1.00	0.00	1.00
26. NW Sport, Arts & Culture	0.00	0.75	0.50	0.25
27. NW Transport, Roads & Com Safety	0.00	2.00	1.00	3.00
28. WC Education	1.00	2.00	2.00	5.00
29. WC Housing	1.00	2.00	1.00	4.00
30. WC Provincial Treasury	1.00	2.00	2.00	5.00
Total score	13.50	43.00	22.00	78.50
Average score	0.47	1.48	0.76	2.71
% Average	47%	74%	38%	54%



Legend:

A. An approved policy/guideline on public participation in policy making is in place.

B. System for participation

- A system is in place and used for generating inputs in more than half the cases.

OR

- A system is in place, but not always used.

C. Inputs are responded to and used

- In at least half the cases contributions are acknowledged and considered.

OR

- In at least half the cases contributions are acknowledged, but not considered.

Appendix H: Principle 6 – Departments' score per standard

Departments / Standards	Internal financial controls	A performance management (M&E) system on all departmental programmes is in operation	Risk assessment	Fraud prevention plan	Implementation of the fraud prevention plan	Total
Maximum score per standard	1	1	1	1	1	5
1. Nat. Communications	1.00	1.00	1.00	0.00	0.25	3.25
2. Nat. Human Settlements	0.50	1.00	1.00	1.00	1.00	4.50
3. EC Human Settlements	0.50	0.00	1.00	1.00	0.75	3.25
4. EC Provincial Treasury	1.00	1.00	1.00	1.00	0.50	4.50
5. FS Education	0.50	1.00	1.00	1.00	0.50	4.00
6. FS Human Settlements	0.50	1.00	1.00	0.00	0.00	2.50
7. GP Education	0.00	0.00	1.00	1.00	1.00	3.00
8. GP Loc Gov & Human Settlements	0.50	1.00	1.00	1.00	0.75	4.25
9. GP Office of the Premier	1.00	1.00	1.00	1.00	1.00	5.00
10. KZN Human Settlements	1.00	1.00	1.00	1.00	1.00	5.00
11. KZN Loc Gov & Traditional Affairs	1.00	1.00	1.00	1.00	0.25	4.25
12. LP Loc Gov & Housing	0.00	1.00	1.00	1.00	0.75	3.75
13. MP Co-op Gov & Traditional Affairs	0.00	1.00	0.75	0.00	0.25	2.00
14. MP Human Settlements	0.00	1.00	0.00	0.50	1.00	2.50
15. NC Co-op Gov, Human Settlements	0.50	1.00	1.00	1.00	1.00	4.50
16. NC Provincial Treasury	0.50	1.00	0.00	0.50	1.00	3.00
17. NW Agriculture	0.50	1.00	1.00	1.00	1.00	4.50
18. NW Econ. Dev. & Tourism	1.00	1.00	1.00	1.00	0.75	4.75
19. NW Education	0.00	1.00	1.00	1.00	0.50	3.50
20. NW Finance	1.00	1.00	1.00	1.00	0.00	4.00
21. NW Health	0.00	1.00	0.75	1.00	0.00	2.75
22. NW Human Settlements	0.00	0.00	0.50	1.00	0.25	1.75
23. NW Office of the Premier	0.50	1.00	0.75	0.00	0.00	2.25
24. NW Public Works	0.50	1.00	1.00	0.00	0.00	2.50
25. NW Social Development	0.00	0.25	1.00	0.50	0.00	1.75
26. NW Sport, Arts & Culture	1.00	1.00	1.00	1.00	0.00	4.00
27. NW Transport, Roads & Com Safety	0.00	1.00	0.00	0.50	0.25	1.75
28. WC Education	0.50	1.00	1.00	1.00	0.75	4.25
29. WC Housing	1.00	1.00	1.00	1.00	0.75	4.75
30. WC Provincial Treasury	1.00	1.00	1.00	1.00	0.75	4.75
Total score	15.50	26.25	25.75	23.00	16.00	106.50
Average score	0.52	0.88	0.86	0.77	0.53	3.55
% Average	52%	88%	86%	77%	53%	61%



Legend:

A. Internal financial controls

- The Auditor-General issued an unqualified audit opinion and concluded that the internal financial control measures are adequate in all respects with no areas flagged as needing attention.

OR

- The Auditor-General concluded that the internal financial control measures are mostly adequate with certain important areas flagged as needing attention.

OR

- The Auditor-General issued a qualified/an adverse/a disclaimer of opinion, concluded that the internal financial control measures are inadequate and flagged important areas as needing attention.

B. Performance management system

A performance management system (M & E) system on all Departmental programmes is in operation.

C. Risk assessment

1. All the Department's activities/applications have been addressed.
2. The seriousness of each risk has been assessed.
3. The risks have been prioritised.
4. Internal control measures have been devised.

D. Fraud prevention plan

1. A comprehensive and appropriate fraud prevention plan is in place.
2. The fraud prevention plan is based on a thorough risk assessment.

E. Implementation of the fraud prevention plan

- Sufficient staff members to investigate cases of fraud are in place.

AND

- All strategies of the fraud prevention plan have been implemented.

OR

- At least 80% - 100% of the strategies of the fraud prevention plan have been implemented.

OR

- At least 50% - 79% of the strategies of the fraud prevention plan have been implemented.

OR

- Less than 50% of the strategies of the fraud prevention plan have been implemented.

Appendix I: Principle 7 – Departments' score per standard

Departments / Standards	Departmental Annual Report (AR)			Access to Information			Total
	Presentation	Content	Reporting	Appointed DIO	MAI	System	
Maximum score per standard	0.50	0.50	2.00	0.50	0.50	1.00	5.00
1. Nat. Communications	0.00	0.00	0.00	0.50	0.00	1.00	1.50
2. Nat. Human Settlements	0.50	0.50	2.00	0.50	0.50	1.00	5.00
3. EC Human Settlements	0.50	0.50	2.00	0.00	0.00	0.00	3.00
4. EC Provincial Treasury	0.50	0.50	2.00	Failed to submit information			3.00
5. FS Education	0.50	0.50	2.00	0.00	0.00	0.00	3.00
6. FS Human Settlements	0.50	0.00	2.00	0.50	0.00	1.00	4.00
7. GP Education	0.50	0.00	2.00	0.50	0.00	1.00	4.00
8. GP Loc Gov & Human Settlements	0.50	0.50	0.00	0.50	0.50	1.00	3.00
9. GP Office of the Premier	0.50	0.00	2.00	0.50	0.50	1.00	4.50
10. KZN Human Settlements	0.50	0.00	2.00	0.00	0.00	0.00	2.50
11. KZN Loc Gov & Traditional Affairs	0.50	0.00	2.00	0.50	0.00	0.00	3.00
12. LP Loc Gov & Housing	0.50	0.00	2.00	0.50	0.50	1.00	4.50
13. MP Co-op Gov & Traditional Affairs	0.50	0.00	2.00	0.00	0.00	0.00	2.50
14. MP Human Settlements	0.50	0.00	2.00	0.00	0.00	0.00	2.50
15. NC Co-op Gov, Human Settlements	0.50	0.00	2.00	0.50	0.00	1.00	4.00
16. NC Provincial Treasury	0.50	0.00	2.00	0.00	0.50	1.00	4.00
17. NW Agriculture	0.50	0.50	2.00	0.50	0.00	0.50	4.00
18. NW Econ. Dev. & Tourism	0.50	0.00	2.00	0.00	0.00	0.00	2.50
19. NW Education	0.50	0.50	2.00	0.00	0.00	0.00	3.00
20. NW Finance	0.50	0.00	2.00	0.00	0.00	0.00	3.00
21. NW Health	0.50	0.50	2.00	0.00	0.50	1.00	4.50
22. NW Human Settlements	0.50	0.00	0.00	0.00	0.00	0.00	0.50
23. NW Office of the Premier	0.50	0.00	0.00	0.00	0.00	0.00	0.50
24. NW Public Works	0.50	0.50	2.00	0.00	0.50	1.00	4.50
25. NW Social Development	0.25	0.00	0.00	0.00	0.00	1.00	1.25
26. NW Sport, Arts & Culture	0.25	0.00	0.00	0.00	0.00	1.00	1.50
27. NW Transport, Roads & Com Safety	0.50	0.00	1.00	0.00	0.00	0.00	1.50
28. WC Education	0.50	0.00	2.00	0.00	0.00	0.00	2.50
29. WC Housing	0.50	0.50	2.00	0.50	0.50	1.00	3.00
30. WC Provincial Treasury	0.50	0.50	2.00	0.50	0.50	1.00	4.50
Total score	14.25	6.00	47.00	6.50	4.50	16.00	94.25
Average score	0.48	0.20	1.57	0.22	0.15	0.53	3.14
% Average	96%	40%	79%	44%	30%	53%	63%



Legend:

A. Departmental Annual Report (AR)

A.1 Presentation

1. The AR is attractively and clearly presented.
2. The AR is well written in simple accessible language.

A.2 Content: The AR covers in sufficient detail at least 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration.

A.3 Reporting: The AR clearly reports on performance against predetermined outputs in at least two thirds of the programmes listed.

B. Access to Information

1. The department has at least one DIO with duly delegated authority.
2. The department does have a MAI in place that complies with the requirements of the PAIA.
3. Systems for managing requests for access to information are in place.

Appendix J: Principle 8 – Departments’ score per standard

Departments / Standards	Recruitment			Skills Development		Total
	Policy	Recruitment times	Management reporting	A skills development plan is in place	Implementation of the plan	
Maximum score per standard	1	1	1	1	1	5
1. Nat. Communications	1.00	0.00	0.00	0.50	0.00	1.50
2. Nat. Human Settlements	1.00	0.00	1.00	1.00	0.00	3.00
3. EC Human Settlements	1.00	0.00	0.50	0.50	0.00	2.00
4. EC Provincial Treasury	1.00	0.00	0.50	0.50	0.50	2.50
5. FS Education	1.00	0.00	1.00	1.00	0.50	3.50
6. FS Human Settlements	1.00	0.00	0.00	0.00	0.00	1.00
7. GP Education	1.00	0.00	1.00	0.50	0.00	2.50
8. GP Loc Gov & Human Settlements	1.00	0.00	0.50	0.50	0.00	2.00
9. GP Office of the Premier	1.00	0.00	0.00	1.00	0.50	2.50
10. KZN Human Settlements	1.00	0.00	0.00	0.00	0.00	1.00
11. KZN Loc Gov & Traditional Affairs	1.00	0.25	0.00	0.00	0.00	1.25
12. LP Loc Gov & Housing	1.00	0.00	0.50	0.50	0.00	2.00
13. MP Co-op Gov & Traditional Affairs	1.00	0.00	0.00	0.50	0.00	1.50
14. MP Human Settlements	1.00	0.00	1.00	0.00	0.00	2.00
15. NC Co-op Gov, Human Settlements	0.00	0.00	0.00	0.50	0.50	1.00
16. NC Provincial Treasury	1.00	0.00	1.00	1.00	1.00	4.00
17. NW Agriculture	1.00	0.00	0.50	0.50	0.50	2.50
18. NW Econ. Dev. & Tourism	1.00	0.00	0.50	1.00	0.50	3.00
19. NW Education	1.00	1.00	1.00	0.00	0.00	3.00
20. NW Finance	1.00	0.00	1.00	1.00	0.50	3.50
21. NW Health	1.00	0.00	0.50	0.50	0.50	2.50
22. NW Human Settlements	0.50	0.25	0.00	0.50	0.50	1.75
23. NW Office of the Premier	1.00	0.00	0.50	0.50	0.00	2.00
24. NW Public Works	1.00	0.50	0.50	1.00	0.00	2.50
25. NW Social Development	1.00	0.00	0.00	0.50	0.50	2.00
26. NW Sport, Arts & Culture	1.00	0.50	0.00	0.75	0.50	2.75
27. NW Transport, Roads & Com Safety	1.00	0.00	0.00	0.50	0.00	1.50
28. WC Education	1.00	0.00	1.00	1.00	1.00	4.00
29. WC Housing	1.00	0.00	1.00	1.00	0.50	3.50
30. WC Provincial Treasury	1.00	0.00	1.00	1.00	0.50	3.50
Total score	28.50	2.00	14.50	17.75	8.50	71.25
Average score	0.95	0.07	0.48	0.59	0.28	2.38
% Average	95%	7%	48%	59%	28%	48%



Legend:

A. Recruitment

A.1A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.

A.2 Time taken to fill a vacancy

- All vacant posts assessed are filled within 90 days – including advertisement time.
- OR**
- 75% of vacant posts assessed are filled within 90 days – including advertisement time.
- OR**
- 50% of vacant posts assessed are filled within 90 days – including advertisement time.

OR

Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.

A.3 Regular management reporting on recruitment

- Regular management reporting on recruitment is done.
- Evidence on management's response/actions on these reports is available.

B. Skills Development

B.1 The existence of a skills development plan

- A skills development plan is in place.
- The skills development plan is based on a thorough skills needs analysis.

B.2 Performance against the skills development plan

- Two thirds of planned skills development activities have been implemented.
- Two thirds of planned skills development activities' impact on service delivery has been assessed.

Appendix K: Principle 8 – Recruitment times

Department	Total number of sampled vacant posts assessed	Recruitment times			
		Average days to fill a vacancy	Number sampled posts filled within the PSC's standard of 90 days	Shortest time (days) to fill a vacancy	Longest time (days) to fill a vacancy
1. Communications	20	219	2	61	454
2. National Department of Human Settlements	20	274	8	37	1492
3. EC Human Settlements	20	197	0	37	204
4. EC Provincial Treasury	19	490	0	124	1085
5. FS Education	7	168	1	62	242
6. FS Human Settlements	20	225	1	61	362
7. GP Education	20	518	1	90	1520
8. GP Loc Gov & Human Settlements	19	293	1	61	579
9. GP Office of the Premier	7	568	0	253	1185
10. KZN Human Settlements	20	750	0	128	2442
11. KZN Local Government & Traditional Affairs	20	150	11	81	345
12. LP Local Government & Housing	20	562	1	46	853
13. MP Co-operative Gov & Traditional Affairs	20	196	2	79	291
14. MP Human Settlements	20	207	1	90	311
15. NC Co-operative Gov, Human Settlements	20	628	0	122	1156
16. NC Provincial Treasury	20	266	0	152	396
17. NW Agriculture	20	285	0	125	430
18. NW Econ. Development and Tourism	Submitted insufficient information to make an assessment				
19. NW Education	15	429	0	122	516
20. NW Finance	20	436	0	153	668
21. NW Health	13	332	1	90	609
22. NW Human Settlements	20	110	13	45	275
23. NW Office of the Premier	Submitted insufficient information to make an assessment				
24. NW Public Works	13	137	1	84	224
25. NW Social Development	20	496	0	127	1173
26. NW Sport, Arts & Culture	20	237	4	90	495
27. NW Transport	9	260	0	151	429
28. WC Education	20	530	0	458	578
29. WC Housing	20	141	5	61	292
30. WC Provincial Treasury	20	350	0	126	641
Total	502	9454	53		
Average	18	388			

Appendix L: Principle 9 – Departments' score per standard

Department	Employment Equity Act (EEA)	Representivity	Management reporting on representivity	Diversity management	Total
Maximum score per standard	1	2	1	1	5
1. Communications	0.00	1.00	0.00	0.00	1.00
2. National Department of Human Settlements	0.50	1.00	0.00	0.50	2.00
3. EC Human Settlements	0.00	0.50	0.50	1.00	2.00
4. EC Provincial Treasury	0.50	1.00	0.50	0.00	2.00
5. FS Education	1.00	0.50	0.50	0.50	2.50
6. FS Human Settlements	0.00	0.50	0.00	0.50	1.00
7. GP Education	0.50	1.00	0.00	1.00	2.50
8. GP Loc Gov & Human Settlements	0.00	0.00	0.50	0.00	0.50
9. GP Office of the Premier	0.50	0.50	0.50	0.50	2.00
10. KZN Human Settlements	0.50	0.50	0.00	0.50	1.50
11. KZN Local Government & Traditional Affairs	0.50	0.00	0.00	0.00	0.50
12. LP Local Government & Housing	0.50	1.00	0.50	0.50	2.50
13. MP Co-operative Gov & Traditional Affairs	0.00	0.50	0.00	0.00	0.50
14. MP Human Settlements	0.50	1.00	1.00	0.50	3.00
15. NC Co-operative Gov, Human Settlements	0.00	0.50	0.00	0.00	0.50
16. NC Provincial Treasury	1.00	0.50	1.00	1.00	3.50
17. NW Agriculture	1.00	0.00	1.00	0.50	2.50
18. NW Econ. Development and Tourism	0.75	1.00	0.50	0.50	2.75
19. NW Education	1.00	1.00	1.00	0.50	3.50
20. NW Finance	1.00	0.50	0.50	1.00	3.00
21. NW Health	0.50	0.50	0.50	0.50	2.00
22. NW Human Settlements	0.50	0.50	0.50	0.50	2.00
23. NW Office of the Premier	0.00	0.50	0.00	0.00	0.50
24. NW Public Works	1.00	0.50	0.50	0.50	2.50
25. NW Social Development	0.00	1.50	0.00	0.00	1.50
26. NW Sport, Arts & Culture	0.50	0.50	0.00	0.00	1.00
27. NW Transport,	0.00	0.50	0.00	0.00	0.50
28. WC Education	1.00	0.00	1.00	1.00	3.00
29. WC Housing	1.00	0.50	1.00	1.00	3.50
30. WC Provincial Treasury	1.00	0.00	1.00	1.00	3.00
Total score	15.25	17.50	12.50	13.50	58.75
Average score	0.51	0.58	0.42	0.45	1.96
%Average	51%	29%	42%	45%	39%



Legend:

1. The existence of an employment equity policy and plan

- An approved employment equity policy that complies with section 1 of the EEA is in place.
- An approved employment equity plan that complies with section 20 of the EEA is in place.

2. The achievement of representivity targets

- All three national employment equity targets have been met.
OR
- Two of the three national employment equity targets have been met.
OR
- One of the national employment equity targets has been met.
OR
- None of the national employment equity targets have been met.

3. Regular management reporting on representivity

- Apart from reporting to the Department of Labour, implementation of the employment equity plan is reported to management at least twice a year.
- Evidence on management's response/actions on these reports is available.

4. The implementation of diversity management measures

- Comprehensive (80% to 100%) diversity management measures are implemented.
OR
- Some (50% to 79%) diversity management measures are implemented.
OR
- Less than 50% diversity management measures are implemented.

Appendix M: Principle 9 – Meeting national representivity targets

Department	National Targets		
	75% Black at senior management level at the end of April 2005.	50% Women at all senior management level by 31 March 2009.	2% People with disabilities by 31 March 2010.
1. Communications	84%	47%	2,00%
2. National Department of Human Settlements	82%	39%	2,70%
3. EC Human Settlements	98%	48%	0,00%
4. EC Provincial Treasury	91%	20%	2,00%
5. FS Education	89%	27%	1,72%
6. FS Human Settlements	90%	37%	1,00%
7. GP Education	87%	33%	0,005%
8. GP Loc Gov & Human Settlements	No information submitted	47%	1,30%
9. GP Office of the Premier	81%	43%	1,90%
10. KZN Human Settlements	84%	42%	0,60%
11. KZN Local Government & Traditional Affairs	70%	25%	0,40%
12. LP Local Government & Housing	98%	32%	6,00%
13. MP Co-operative Gov & Traditional Affairs	94%	25%	0,00%
14. MP Human Settlements	100%	40%	4,50%
15. NC Co-operative Gov, Human Settlements	85%	31%	0,00%
16. NC Provincial Treasury	89%	39%	1,00%
17. NW Agriculture	88%	32%	0,70%
18. NW Econ. Development, and Tourism	100%	50%	0,60%
19. NW Education	86%	28%	0,03%
20. NW Finance	67%	33%	1,09%
21. NW Health	82%	31%	0,20%
22. NW Human Settlements	95%	33%	0,00
23. NW Office of the Premier	83%	26%	0,004%
24. NW Public Works	80%	35%	1,92%
25. NW Social Development	100%	65%	0,00%
26. NW Sport, Arts & Culture	75%	38%	0,20%
27. NW Transport,	92%	32%	0,20%
28. WC Education	69%	33%	0,10%
29. WC Housing	63%	33%	1,40%
30. WC Provincial Treasury	71%	21%	0,70%

Legend ■ Not met the set target
■ Met 30% target act for women by and of 2000
■ Met target

Appendix N: Summary of recommendations contained in the individual reports per principle

Principle	Recommendation
Principle 1: Professional Ethics	Departments should put in place a performance improvement plan to ensure that all cases of misconduct are finalised within the range of 20 – 80 working days as set in PSCBS Resolution No. 2 of 1999 as amended.
Principle 2: Efficiency, Economy and Effectiveness	Departments should strengthen their performance monitoring and evaluation systems in order to ensure that all planned outputs are achieved. A good system will include appropriate management action if performance does not meet targets.
Principle 3: Development Orientation	<p>The following critical areas need attention:</p> <ul style="list-style-type: none"> • Departments should ensure that beneficiary participation from the planning to the implementation phase forms part of all their poverty reduction projects. This will ensure buy-in from the beneficiaries and the successful implementation of the project. • Departments should put in place systems to institutionalise lessons learnt during the development and implementation of poverty reduction projects for application in future projects for better results. This will ensure that challenges experienced during implementation of projects, do not recur in future, and that best practices are maintained.
Principle 4: Impartiality and Fairness	The departments that recorded no or poor performance should ensure that their decision-making processes comply with PAJA requirements and that all steps are properly documented.
Principle 5: Public Participation in Policy-making	<p>As been recommended in various previous Consolidated M&E Reports, departments are again urged to pay attention to the following three critical areas:</p> <ul style="list-style-type: none"> • Departments should develop guidelines/policy on public participation that clearly articulates the objectives of public participation and the process to be followed during engagement with citizens. The policy/guidelines on public participation must include how advice and comments from by citizens are factored into their work plans for implementation and that a data base on Citizens' comments should be kept or maintained. • Departments should make use of findings contained in reports on public engagement, including citizens' satisfaction surveys, to address citizens' concerns and to incorporate these findings in policy making. It is through engagement with such reports that potential service delivery protests can be averted. • Departments should familiarise themselves with the Citizens' Forums Toolkit developed by the Public Service Commission because it is a useful resource for public participation.
Principle 6: Accountability	<p>The Departments should prioritise the following critical strategies for fighting fraud and corruption:</p> <ul style="list-style-type: none"> • Ensuring that internal financial control measures are devised and implemented for each identified risk. This will strengthen accountability and financial management. This will furthermore enable departments to detect deviations timeously and there by contribute to management and service delivery improvement. • The timely and accurate reporting of suspicion of fraud, corruption and other irregularities by employees should be encouraged by management in terms of the Protected Disclosures Act, 2000. • Regular fraud detection reviews should be undertaken to ensure the timely identification of potential fraud and other irregularities.

<p>Principle 7: Transparency</p>	<p>Departments should in all respects comply with the principle of transparency by adhering to the requirements of NT and the DPSA for annual reporting and of PAIA (Act 2 of 2000).</p>
<p>Principle 8: Good human resource management & career development practices</p>	<p>The Departments should focus on the following critical priority areas:</p> <ul style="list-style-type: none"> • Departments should include a requirement in their recruitment policy that panel members should avail themselves for interviews within a week after candidates have been short listed. This will assist departments in reducing their recruitment time. • Creative recruitment strategies should be included in recruitment policies. This will be useful in circumstances where departments have difficulty in recruiting certain categories of personnel. • Measures should be put in place to reduce the recruitment period from an average period of 338 calendar days to 90 calendar days, since the filling of vacancies within a stipulated period is essential to ensure that services are uninterrupted. The Public Service Commission's Toolkit on Recruitment and Selection can be utilised as a guideline. • Monitoring and intervention by management on the recruitment process should be done rigorously. This will ensure that management is kept abreast of progress with the filling of vacancies, and will enable them to timeously institute corrective measures. • Departments should ensure that all planned skills development activities are implemented as planned and annually evaluate the impact of the training on the service delivery of the department. The implementation of this recommendation will assist departments to provide focussed training and ensure improvement in service delivery.
<p>Principle 9: Representivity</p>	<p>Departments should:</p> <ul style="list-style-type: none"> • Revisit the EE figures of all their organisational components and occupational categories, to ensure that EE objectives are applied in all sections of the department. • Engage with organisations representing people with disabilities to consider a targeted recruitment approach for this group.

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3rd Floor, St Andrew Street
Bloemfontein
9300

Tel: (051) 448-8696
Fax: (051) 448-4135

Limpopo

Kirk Patrick Building
40 Schoeman Street
Polokwane
0699

Tel: (015) 291-4783
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Gauteng

Ten Sixty-Six Building
16th Floor, 35 Pritchard Street
Johannesburg
2001

Tel: (011) 833-5721
Fax: (011) 834-1200

North West

Mmabatho Post Office Building
Ground Floor
University Drive
Mmabatho
2735

Tel: (018) 384-1000
Fax: (018) 384-1012

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249 Burger Street
Idube Building, Ground Floor
Pietermaritzburg
3201

Tel: (033) 345-9998
Fax: (033) 345-8505

Western Cape

Sanlam Golden Acre Building
21ST Floor, Adderley Street
Cape Town
8000

Tel: (021) 421-3980
Fax: (021) 421-4060

Mpumalanga

19 Russel Street
Nelspruit
1200

Tel: (013) 755-4070
Fax: (013) 752-5814

Parliamentary Office

Sanlam Golden Acre Building
21ST Floor, Adderley Street
Cape Town
8000

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