PUBLIC SERVICE COMMISSION

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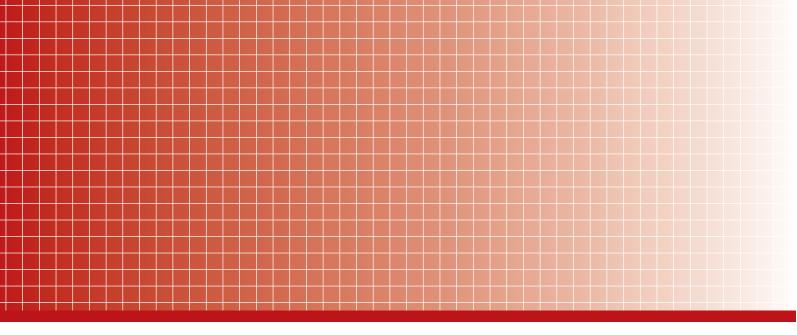
Custodian of Good Governance

Fifth Consolidated Public Service Monitoring and Evaluation System Report

Research Cycle 2007/2008

Public Service Commission

July 2008

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 in 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.

Fifth Consolidated Public Service Monitoring and Evaluation System Report

PSC

Custodian of Good Governance

Foreword

It is with a sense of pride that I present this Fifth Consolidated Public Service Monitoring and Evaluation Report, which covers the 2007/2008 research cycle. Due to improved evaluation processes, I can proudly state that we were able to provide departments with reports on their performance within 6 months. In this cycle we evaluated 22 departments, bringing the total number of departments evaluated since 2000 to 75. As this report will indicate, we now have an improved basis on which to review progress and identify trends.

I must pause and pay tribute to the Heads of Department who ensured that we received very good co-operation and brought their entire management team on board. This support has raised the bar and resulted in better reports. The Heads of Department were present at most of the pre-evaluation briefing sessions and also the important sessions when the PSC presented its interim reports. The latter resulted in robust debate and what was encouraging was the maturity with which findings were accepted. The commitment to deal with the findings is in contrast to the relative defensiveness that we previously experienced. This approach marks a milestone in that it suggests that departments now accept that Monitoring and Evaluation is an important part of public management. We have found that as our reports get presented to the full management structure of departments, collective responsibility for implementing recommendations is promoted across management.

As you read this report you will note that we have shown the trends in performance for the PSM&ES as a whole from 2000 till 2008. The report also does a comparison of this cohort (2007/8) with previous evaluation cycles. Furthermore, it compares the 22 departments for this cycle against their peers, for each of the 9 values and principles. A further feature of this report is an assessment of the trend of adherence to the standards for each principle for the period 2000 to 2008 as well as for the departments evaluated during the 2007/08 research cycle. This feature is important in that it provides a more insightful view of how the standards work in contributing to the overall assessment, and where departments are failing.

I trust that you will enjoy reading this report as I believe that its format and content will stimulate discussions on performance, given its message that performance can be monitored and compared.

PROFESSOR STAN S SANGWENI

CHAIRPERSON: PUBLIC SERVICE COMMISSION

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ACRONYMS

Acronym	Definition/ Description
A-G	Auditor-General
DAR	Departmental Annual Report
DCPPS	Disciplinary Code and Procedures for the Public Service
DIO	Deputy Information Officer
DPSA	Department of Public Service and Administration
EC	Eastern Cape
EE	Employment Equity
EEP	Employment Equity Plan
EN/PE	Estimates of National/Provincial Expenditure
FPP	Fraud Prevention Plan
FS	Free State
GAUT	Gauteng
GSSC	Gauteng Shared Services Centre
GWM&ES	Government Wide Monitoring and Evaluation System
HoD	Head of Department
KZN	KwaZulu-Natal
LIMP	Limpopo
LDP	Local Development Plan
M&E	Monitoring and Evaluation
MEC	Member of the Executive Council
MPU	Mpumalanga
NC	Northern Cape
ND	National Department
Acronym	Definition/ Description
NT	National Treasury
NW	North West

PAIA   Promotion of Access to Information Act, 2000 (Act No. 2 of 2000)

PAJA   Promotion of Administrative Justice Act, 2000 (Act No. 3 of 2000)

PFMA   Public Finance Management Act, 1999 (Act No. 1 of 1999)

PSC   Public Service Commission

PSCBC   Public Service Coordinating Bargaining Council

PSM&ES   Public Service Monitoring and Evaluation System

SDIs   Service Delivery Indicators

SDP   Skills Development Plan

WC   Western Cape
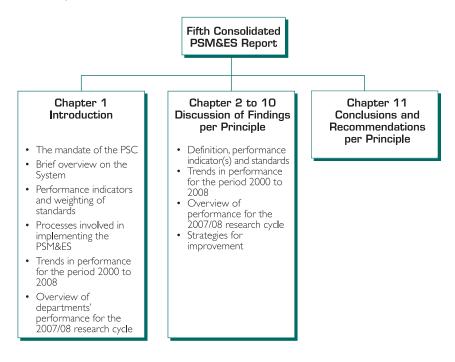
Chapter One

Introduction

1.1 INTRODUCTION
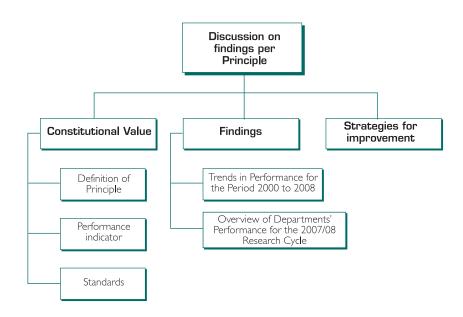
This report is the Fifth Consolidated Monitoring and Evaluation Report, which is a product of information gathered through the Transversal Public Service Monitoring and Evaluation System (PSM&ES) of the Public Service Commission (PSC). This edition covers a sample of 22 departments, five national and seventeen provincial, assessed during the 2007/08 research cycle (Refer to **Appendix A** for a complete list of departments assessed since 2000).

This report consists of three parts and is structured as follows:

```
                          Fifth Consolidated
                           PSM&ES Report

     Chapter 1              Chapter 2 to 10            Chapter 11
     Introduction          Discussion of Findings     Conclusions and
                           per Principle              Recommendations
                                                      per Principle
   • The mandate of the PSC    • Definition, performance
   • Brief overview on the       indicator(s) and standards
     System                   • Trends in performance
   • Performance indicators      for the period 2000 to
     and weighting of            2008
     standards                • Overview of
   • Processes involved in       performance for the
     implementing the           2007/08 research cycle
     PSM&ES                   • Strategies for
   • Trends in performance      improvement
     for the period 2000 to
     2008
   • Overview of
     departments'
     performance for the
     2007/08 research cycle
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The introduction (Chapter 1) provides a brief overview of the mandate of the PSC, what the PSM&ES addresses, the process that is followed in its execution and an explanation of the methodology used. The discussion then presents a high level ranking of the performance of departments, and also provides a comparative overview of performance over the entire time span (2000-2008), and more specifically the 2007/8 cycle.

The structure for this discussion on each principle is organised as follows:

```
                          Discussion on
                          findings per
                          Principle

   Constitutional Value        Findings            Strategies for
                                                   improvement

     Definition of          Trends in Performance for
     Principle              the Period 2000 to 2008

     Performance            Overview of Departments'
     indicator             Performance for the 2007/08
                           Research Cycle

     Standards
```

In Chapters 2 to 10 each principle is discussed individually with a definition being provided and performance indicators and standards mentioned. In this section, a comparative assessment is made of the 75 departments evaluated thus far. In Chapter 11, the conclusions will be presented with recommendations made per principle.

1.2 Mandate of the PSC

The PSC is Constitutionally vested with the mandate to promote good governance in the Public Service. In terms of that mandate, the PSC is empowered to investigate, monitor and evaluate the organisation, administration and personnel practices of the Public Service and to advise national and provincial organs of state, as well as to promote a high standard of professional ethics[1].

1.3 Brief overview of the PSM&ES

The PSC's PSM&ES is but one of many research instruments used by the PSC to generate evaluative data on the performance of the Public Service. This PSM&ES focuses on assessing the extent to which departments comply with the nine values and principles of public administration contained in Section 195 of the Constitution. Given that these values and principles are normative in nature, they serve as the benchmark for good governance. It is thus an appropriate framework for fostering good governance in the public sector.

The nine Constitutional principles are:

1.   Professional Ethics.

2.   Efficiency, Economy and Effectiveness.

3.   Development Orientation.

4.   Impartiality and Fairness.

5.   Public Participation in Policy-making.

6.   Accountability.

7.   Transparency.

8.   Good Human Resource Management and Career Development Practices.

9.   Representivity.

1.4 Performance Indicators and Weighting of Standards

The evaluation involves analysing and measuring departmental performance against one or two performance indicator(s) for each principle. The performance indicator(s) used for each Constitutional principle as well as the applicable policies and regulations are attached as **Appendix B**.

Measuring is done by weighting and scoring specific standards linked to the performance indicator(s) of a particular principle. A department can thus be scored between 0 or 0% (none of the standards have been met) and 5 or 100% (excellent performance on all the standards) per principle. An exposition of the scoring and the translation into percentages appears in **Table 1** below.

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1   *Republic of South Africa. The Constitution of the Republic of South Africa, 1996. Act No 108 of 1996 as amended. Refer to Section 196. Second impression 2008. Juta & Co Ltd. Cape Town.*

Table 1: Exposition of the scoring and translation into percentages

Score description	Score	%
None of the standards have been met	0	0%
Development is needed in all the standards	1	20%
Development is needed in most of the standards	2	40%
Performance in several of the standards is adequate	3	60%
Performance in most of the standards is good	4	80%
Excellent performance on all the standards	5	100%

For comparison purposes departments were rank-ordered for each principle, and categorised into under-performing (0% to 55%) indicative of none of the standards having been met to performing at almost an adequate level, performing at an acceptable level (60% to 75%) indicative of adequate performance in several of the standards, and performing above satisfactory (80% to 100%) indicative of good to excellent performance.
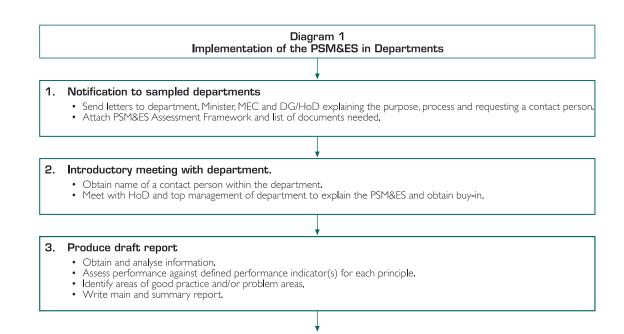
1.5 Processes involved in implementing the PSM&ES

The process used in implementing the PSM&ES aims to promote collaboration and partnership with departments. In this approach communication throughout the cycle is important, starting from the initial process of introducing the PSM&ES to top management, engaging with interim findings and finally presenting a report with recommendations to the department. Departments are then provided with the opportunity to comment and give additional input on the draft report. On receipt of the departments' comments and inputs the final individual departmental reports are analysed and the results collated and captured in a consolidated report.

The process of engaging with the Senior Management of departments is meant to bring managers into the evaluation process, and thus improve their own capacity in M&E.

In this process the values of transparency and accountability are promoted. This revised approach which was instituted since 2006 has resulted in the PSC getting better co-operation from departments. Departments which are subject to the PSM&ES should emerge as more self-critical and reflective.

The whole process is captured in **Diagram 1** below:

Diagram 1
Implementation of the PSM&ES in Departments

1. Notification to sampled departments
- Send letters to department, Minister, MEC and DG/HoD explaining the purpose, process and requesting a contact person.
- Attach PSM&ES Assessment Framework and list of documents needed.

2. Introductory meeting with department.
- Obtain name of a contact person within the department.
- Meet with HoD and top management of department to explain the PSM&ES and obtain buy-in.

3. Produce draft report
- Obtain and analyse information.
- Assess performance against defined performance indicator(s) for each principle.
- Identify areas of good practice and/or problem areas.
- Write main and summary report.

4.	Presentation of draft findings to department
	• Discuss findings of assessment with 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 info of individual reports into one consolidated report.
	• Submit report to Parliament and Executing Authorities.
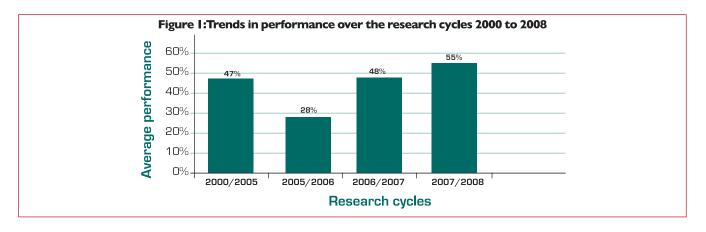
1.6 Trends in Performance for the period 2000 to 2008

In preparing the historical part for the Fifth Consolidated PSM&ES Report, the findings and scores of each Constitutional principle of the First PSM&ES Report[2] were put together with those of the Second[3] Consolidated PSM&ES Report. These two PSM&ES Reports represent findings for the period 2000 to 2005, whilst the Third[4] and Fourth[5] Consolidated PSM&ES Reports report respectively on the 05/06 and 06/07 research cycles. Overall these reports reflect the performance of 75 departments, 21 national and 54 provincial government departments.

1.6.1 Trends in performance over the research cycles 2000 to 2008

Following is an overview (**Figure 1** below) of the trends in performance over the research cycles 2000 to 2008 on all the Constitutional principles.

The overall average performance of departments for the periods 2000 to 2005 and 06/07 was almost the same (between 47% and 48%). There was a decline in performance for the research cycle 05/06 (28%). A slight improvement of 7% (48% to 55%) in performance occurred in 07/08 compared to the average performance of 48% in the research cycle 06/07.

Figure 1: Trends in performance over the research cycles 2000 to 2008

Although the average performance of 55% is indicative of only adequate performance, it is nevertheless encouraging since it shows that departments are now attending to the most basic administrative practices to improve service delivery and good governance.

2   Republic of South Africa. Public Service Commission. First Consolidated Public Service Monitoring and Evaluation Report: November 2003. Pretoria. 2003.
3   Republic of South Africa. Public Service Commission. Second Consolidated Public Service Monitoring and Evaluation Report: March 2006. Pretoria. 2006.
4   Republic of South Africa. Public Service Commission. Third Consolidated Public Service Monitoring and Evaluation Report: Research Cycle 2005/2006. March 2007. Pretoria. 2007.
5   Republic of South Africa. Public Service Commission. Fourth Consolidated Public Service Monitoring and Evaluation Report: Research Cycle 2006/2007. October 2007. Pretoria. 2007.

1.6.2 Trends in performance per principle over the research cycles 2000 to 2008

The average performance in principles 1 to 4 in the 07/08 research cycle shows an improvement of between 2% (principle 1 – professional ethics) and 12% (principle 4 – impartiality and fairness) compared to the 06/07 research cycle (**Figure 2** below).

The largest improvements occurred in principles 3, 4 and 6. Principle 3 (development orientation) has steadily gone up from 24% in 2000/05 to 63% in 07/08, principle 4 has gone up from 8% in 05/06 to 61% in 07/08, and principle 6 (accountability) has gone up from 36% in 05/06 to 64% in 07/08.

The improvement in principle 3 and 4 shows that departments have started ensuring that they are increasingly paying more attention to poverty reduction programmes, and improving impartiality in their administrative decisions. The improvement in accountability shows that departments are now monitoring their spending patterns better to ensure that they stay within the limits of their budgets.

However, what remains a concern is that performance in principle 8, which focuses on human resource practices such as recruitment and skills development, and principle 9, which focuses on representivity and diversity management remain below 50% throughout the research cycles from 2000 to 2008 (**Figure 2** below).

Figure 2: Trends in performance of departments per principle
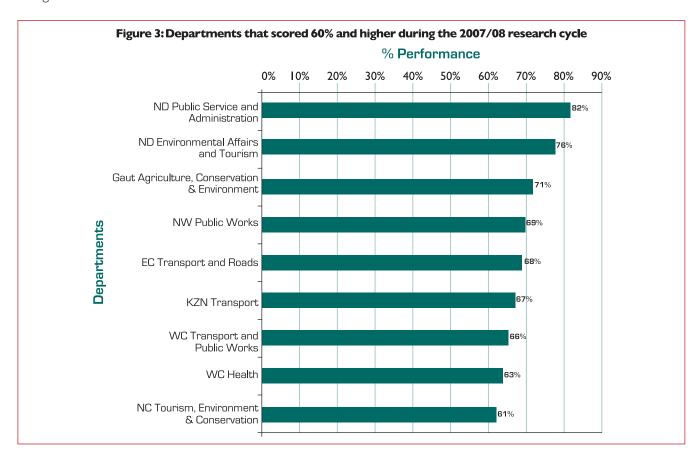
A performance of 50% is indicative of performance that is below an adequate level. The main areas of poor performance are the long recruitment times, planned skills development activities that are not implemented, representivity targets that are not met and diversity management that did not get the necessary attention. Inadequate attention to recruitment and skills development negatively impacts on service delivery, and not meeting representivity targets, especially in terms of gender and disability, sends a signal that the Public Service do not adhere to their own requirements whilst demanding this from non-governmental institutions. The same applies to diversity management issues.

1.7 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 3**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 4**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix C** provides the detail per department.

1.7.1 Departments that scored 60% and higher
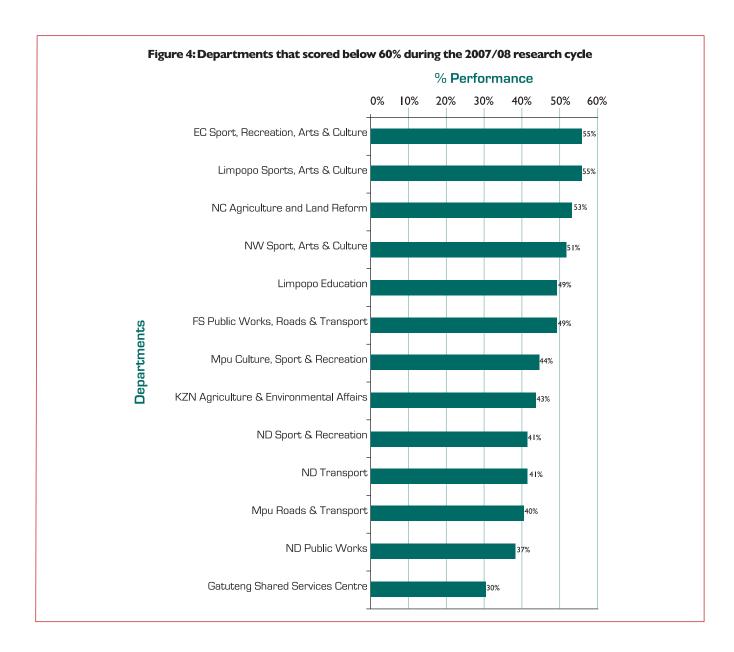
Figure 3 below gives an analysis of the performance of those departments that scored 60% and higher – refer to **Appendix C** for detail. The performance is based on evidence that was gathered by the researchers over a period of eighteen weeks.

Figure 3: Departments that scored 60% and higher during the 2007/08 research cycle

% Performance

Department	Score
ND Public Service and Administration	82%
ND Environmental Affairs and Tourism	76%
Gaut Agriculture, Conservation & Environment	71%
NW Public Works	69%
EC Transport and Roads	68%
KZN Transport	67%
WC Transport and Public Works	66%
WC Health	63%
NC Tourism, Environment & Conservation	61%

Nine of the twenty two sampled departments evaluated during the 07/08 research cycle scored 60% (performance in several of the standards is adequate) and above on the whole evaluation. Only two were national departments and seven were provincial departments. The Department of Public Service and Administration (DPSA) received the best average score (82%), which is an indication that performance in most of the standards is good. This is being followed by the National Department (ND) of Environmental Affairs and Tourism with a performance of 76% and the Gauteng (Guat) Department of Agriculture, Conservation & Environment with a performance of 71%, which is an indication that performance in several of the standards is adequate.

1.7.2 Departments that scored below 60%

Thirteen of the twenty two sampled departments performed on average between 55% - Eastern Cape (EC) Department of Sport, Recreation, Arts & Culture and Limpopo (Limp) Department of Sports, Arts & Culture and 30% - Gauteng Shared Services Centre (GSSC) – **Figure 4** below.

Figure 4: Departments that scored below 60% during the 2007/08 research cycle

% Performance

Department	%
EC Sport, Recreation, Arts & Culture	55%
Limpopo Sports, Arts & Culture	55%
NC Agriculture and Land Reform	53%
NW Sport, Arts & Culture	51%
Limpopo Education	49%
FS Public Works, Roads & Transport	49%
Mpu Culture, Sport & Recreation	44%
KZN Agriculture & Environmental Affairs	43%
ND Sport & Recreation	41%
ND Transport	41%
Mpu Roads & Transport	40%
ND Public Works	37%
Gatuteng Shared Services Centre	30%

Departments

This performance is indicative of development that is needed in most or all the principles. Eleven of these departments performed between 40% and 55% and two departments performed between 30% and 37%, which is indicative of development that is needed in most of the principles.

The performance of thirteen of the twenty two sampled departments evaluated in the 07/08 research cycle raises a concern about these departments' ability to deliver their services and to maintain good governance, especially considering that these departments are now in operation for thirteen years and did not perform better than those departments evaluated from 2000/05 to 06/07.

Chapter Two

Professional Ethics

2.1 Constitutional value
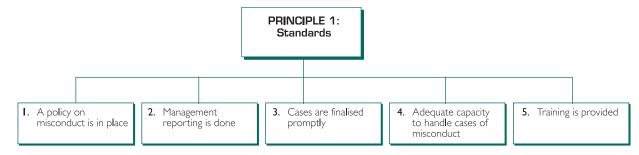
The first of the nine Constitutional principles states that "a high standard of professional ethics must be promoted and maintained" in the Public Service. This principle is pivotal in building ethical conduct and inspires confidence in the Public Service as an institution competent for executing government policy.

2.2 Performance indicator

The measure used by the PSC to evaluate departments' performance against this principle is the manner in which departments address misconduct. The evaluation focuses on two areas, namely how departments deal with cases of misconduct where a disciplinary hearing has been conducted, and whether these proceedings comply with the provisions of the Disciplinary Code and Procedures for the Public Service (DCPPS)[6].

2.3 Standards

The five standards applied to evaluate departments' performance in the abovementioned two focus areas are summarised below:

PRINCIPLE 1: Standards				
1. A policy on misconduct is in place	2. Management reporting is done	3. Cases are finalised promptly	4. Adequate capacity to handle cases of misconduct	5. Training is provided
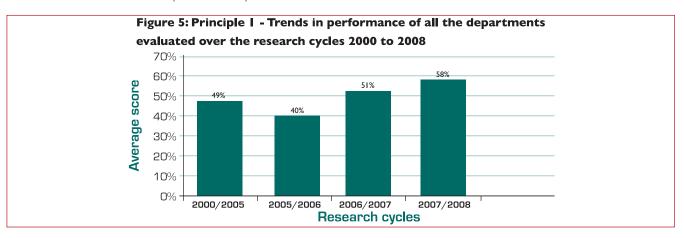
The maximum score for this principle is 5 or 100%.

2.4 Trends in Performance for the period 2000 to 2008

2.4.1 Trends in performance over the research cycles 2000 to 2008

Figure 5 below depicts the trends in performance of all the departments evaluated between 2000 and 2008.
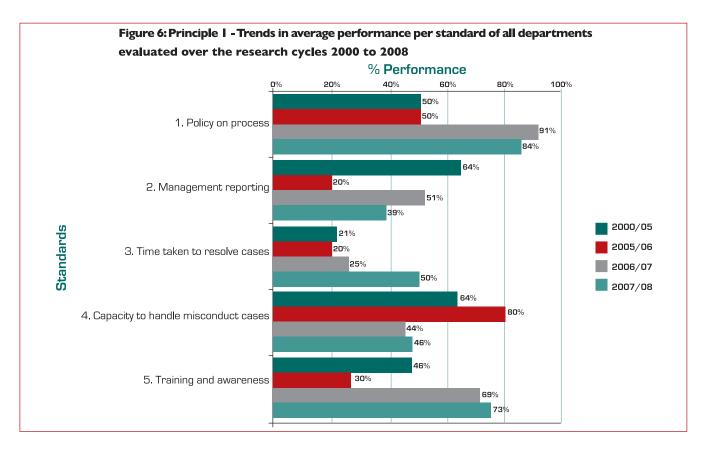
Although an improvement of 7% occurred between the 06/07 and 07/08 research cycles, it is of concern that none of the 75 departments evaluated since 2000 performed above 60% (adequate performance in several of the standards). This low performance signals that departments do not take cases of misconduct head on and that they do not finalise cases within the time frames prescribed by the DCPPS.

Figure 5: Principle 1 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

Research cycles	Average score
2000/2005	49%
2005/2006	40%
2006/2007	51%
2007/2008	58%

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6   Republic of South Africa. Department of Public Service and Administration. Public Service Coordinating Bargaining Council. Resolution 2 of 1999 as amended. Disciplinary Code and Procedures for the Public Service.

2.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 6** below) over the research cycles 2000 to 2008 reveals the following:

Figure 6: Principle 1 - Trends in average performance per standard of all departments evaluated over the research cycles 2000 to 2008

% **Performance**

Standards:
- 1. Policy on process — 2000/05: 50%, 2005/06: 50%, 2006/07: 91%, 2007/08: 84%
- 2. Management reporting — 2000/05: 64%, 2005/06: 20%, 2006/07: 51%, 2007/08: 39%
- 3. Time taken to resolve cases — 2000/05: 21%, 2005/06: 20%, 2006/07: 25%, 2007/08: 50%
- 4. Capacity to handle misconduct cases — 2000/05: 64%, 2005/06: 80%, 2006/07: 44%, 2007/08: 46%
- 5. Training and awareness — 2000/05: 46%, 2005/06: 30%, 2006/07: 69%, 2007/08: 73%

Legend: 2000/05, 2005/06, 2006/07, 2007/08

2.4.2.1 Policy on process

During both the 2000/05 and 06/07 research cycles departments' average performance was 50%, which indicates adequate performance against the standard. Performance improved to reach 91% in the 06/07 research cycle but declined to 84% in the 07/08 research cycle. Such level of performance is, however, an encouraging sign indicating that departments either do have their own policy on how to deal with cases of misconduct or are utilising the DCPPS.

2.4.2.2 Management reporting

The average performance of departments regarding management reporting on cases of misconduct dropped from above 60% in 2000/05 and 50% in 06/07 to below 40% in 07/08. This is a cause for concern since this is an indication that management does not effectively handle cases of misconduct. If management is aware of the number, type and progress around misconduct cases under its purview, it will be able to act to curb further potential problems.

2.4.2.3 Time taken to finalise cases of misconduct

Although there was an improvement in the 07/08 research cycle of 50% over the previous two research cycles where the rate was between 20% and 25%, the time taken to deal with cases remains a concern. When officials see that cases of misconduct do not get finalised timeously this may send a message to them that unethical behaviour is tolerated, and could thus result in a breakdown in discipline. Timeous attention to this aspect thus remains very important.

2.4.2.4 Capacity of department to deal with cases of misconduct

Performance in this area decreased from a high of 64% and 80% in 2000/05 and 05/06 respectively, to below 50% in both the 06/07 and 07/08 research cycles. Managing misconduct depends on the capacity to support the process, and if this is lacking it results in cases not being finalised timeously. It should be remembered that when officials are suspended, the functions linked to these posts are not fulfilled, and this results in a delay in meeting service delivery objectives.

2.4.2 5 Training awareness and capacity building
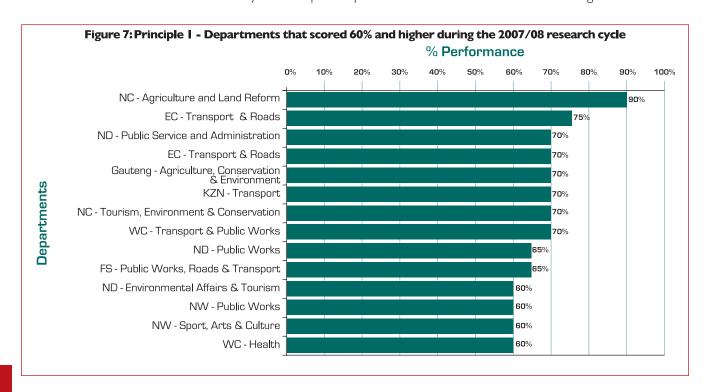
The picture of performance of departments in terms of providing training has changed over the period. In the 2000 to 2005 research cycles performance was below 60 %. In the 05/06 research cycle performance went down to a low 30%, and improved to 69% in the 06/07 research cycle and up to 73% in the 07/08 research cycle. This indicates that departments are improving on the provision of training. But this training must now translate into actual capacity for addressing cases of misconduct.

2.5   Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100%. The departments are divided into two groups. The first group (**Figure 7**) comprises those departments that scored 60% and higher, which is indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 8**) comprises those departments that scored below 60%, which is indicative of areas that need improvement. **Appendix D** provides the detail per department.

2.5.1 Departments that scored 60 % and higher

It was found that fourteen of the twenty two sampled departments evaluated scored 60 % and higher.

Figure 7: Principle 1 – Departments that scored 60% and higher during the 2007/08 research cycle
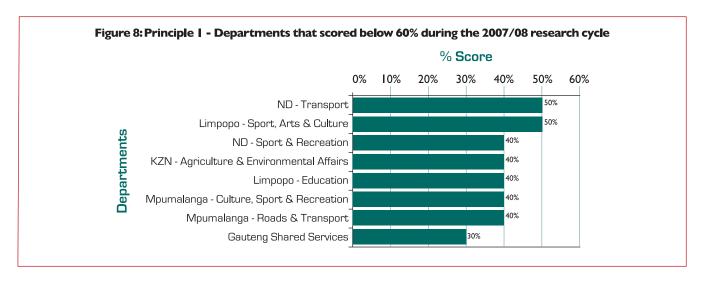
The Northern Cape (NC) Department of Agriculture and Land Reform attained a score of 90% and was followed by the EC Department of Transport and Roads which attained 75%. Both scores are indicative of good performance in most of the standards. Six of these fourteen departments' score was 70%, of which five were provincial departments and one a national department. The remaining two departments achieved a score of 65%, which is indicative of adequate performance in several of the standards.

The four departments which performed at the 60% level were the ND of Environmental Affairs and Tourism, the NW Department of Public Works, the NW Department of Sport, Arts and Culture and the WC Department of Health.

2.5.2 Departments that scored below 60 %
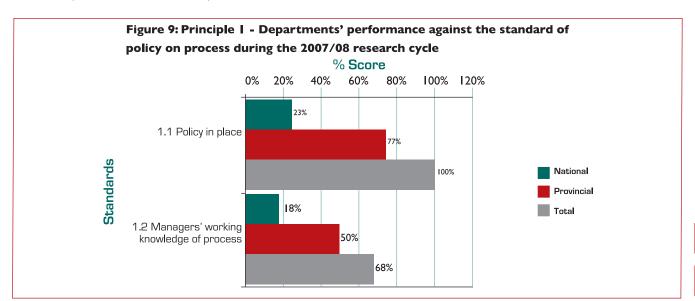
Eight of the twenty two sampled departments evaluated scored below 60% - see **Figure 8** below.

Figure 8: Principle 1 - Departments that scored below 60% during the 2007/08 research cycle

The GSSC scored the lowest (30%), which indicates that development is needed in all the standards. This is a concern because in the Gauteng Province all departments' cases of misconduct are dealt with by the GSSC. Five of these departments' score was 40%, which indicates that development is needed in most of the standards. The remaining two departments' score was 50%, which is indicative of almost performing at an adequate level.

2.5.3 Performance per standard for the 2007/08 research cycle

A further analysis of departments' performance against the standards set for professional ethics during the 2007/08 research cycle is discussed below per standard.

Figure 9: Principle 1 - Departments' performance against the standard of policy on process during the 2007/08 research cycle
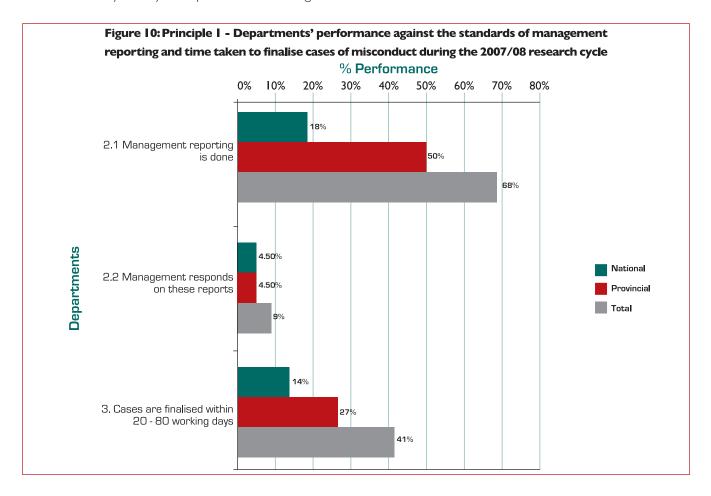
2.5.3.1 Policy on process

All twenty two of the sampled departments evaluated have a policy in place on how to deal with cases of misconduct – **Figure 9** above. At least five of each department's senior managers were interviewed to determine their working knowledge of the departments' policy on cases of misconduct. It was established that the senior managers of 68% of the twenty two sampled departments evaluated could show a working knowledge of their department's misconduct policy.

2.5.3.2 Management reporting

Figure 10 below shows that 68% of the twenty two sampled departments (23% national departments and 77% provincial departments) do report to management on cases of misconduct. However, only two departments' senior management (one national and one provincial) responded to the information provided in the reports. This poor reaction from senior managers on management reports on cases of misconduct is a cause for concern and may contribute to delays in the finalisation of cases. Senior managers need to give pro-active guidance on cases that drag on unnecessarily and by their pro-active action signal to officials a zero tolerance towards misconduct.

Figure 10: Principle 1 - Departments' performance against the standards of management reporting and time taken to finalise cases of misconduct during the 2007/08 research cycle

2.5.3.3 Time taken to finalise cases of misconduct

Nine of the twenty two sampled departments (14% national and 27% provincial) were able to finalise their misconduct cases within the time frame of 20 – 80 working days set by the DCPPS – **Figure 10** above. This is an indication that senior managers in departments did not take action on the information submitted in management reports on cases of misconduct.

A synopsis of the average time taken by the twenty two sampled departments for the 07/08 research cycle to finalise a case of misconduct in which a hearing was conducted appears in **Table 2** below – for the detail on each department refer to **Appendix E**.

Table 2: **Synopsis of the average time taken by departments to finalise a case of misconduct in which a hearing was conducted**
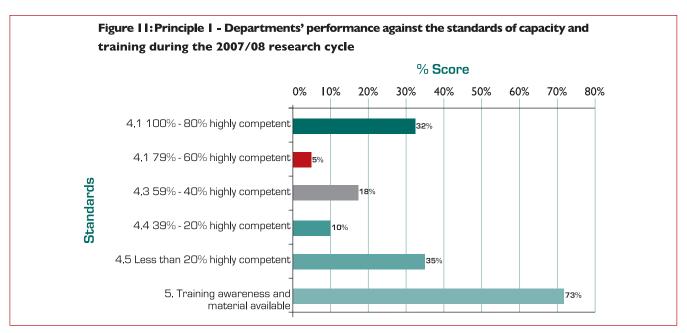
Average time taken	Frequency
No cases of misconduct	1
No information submitted for assessment	4
Up to 19 days	5
20 days to 80 days (Standard set by the DCPPS)	9
81 days plus	3

The ND of Environment Affairs and Tourism reported that it did not have any cases of misconduct during the research cycle 2007/08. The ND of Sport and Recreation, the GSSC, the Mpumalanga (Mpu) Department of Culture, Sport & Recreation and the Mpu Department of Roads and Transport could not be assessed since the departments failed to submit the necessary information despite numerous requests to do so.

If the correct procedures are followed in misconduct cases where a hearing has been conducted it should take at least 20 working days to finalise each of these cases. With this time frame in mind it is a concern that five departments finalised their cases of misconduct in less than the minimum required 20 working days, which means that the correct procedures in handling these cases were probably not followed. If senior management took cognisance of this low number of working days spent on a misconduct case where a hearing has been conducted when reported on to management, the necessary follow-ups and review of the process could have been required.

2.5.3.4 Capacity of department to deal with cases of misconduct and training awareness

Departments must have adequate capacity available to handle misconduct cases. Evaluation against this standard is done by requesting departments to provide their own assessment of their managers' (from levels nine to fourteen) competency to handle cases of misconduct. The competency levels of managers are also directly linked to the time taken to resolve cases of misconduct and the training provided to capacitate these managers.

Figure 11: Principle 1 - Departments' performance against the standards of capacity and training during the 2007/08 research cycle

% Score

Standards	
4.1 100% - 80% highly competent	32%
4.1 79% - 60% highly competent	5%
4.3 59% - 40% highly competent	18%
4.4 39% - 20% highly competent	10%
4.5 Less than 20% highly competent	35%
5. Training awareness and material available	73%

Only 32% of the twenty two sampled departments evaluated indicated that 80% to 100% of their managers are highly competent, whilst 35% indicated that less than 20% of their managers are highly competent – **Figure 11** above. However, 73% of these departments did provide training on how to deal with cases of misconduct to their officials.

The fact that 41% of the departments were able to finalise their cases within the time frame of 20 – 80 working days (**Figure 9** above) can be attributed to the fact that only 32% of the departments' managers are 80% to 100% competent. This suggests that the appropriate levels of competence and capacity have yet to be created in these departments.

2.6 Strategies for improvement

Departments have become aware of the need to adhere to ethical conduct and have put policies and procedure in place to deal with cases of misconduct. However, there is a need to constantly monitor the implementation of these policies to ensure that there is full compliance to the promotion of ethics in the Public Service.

An important piece of legislation that departments must utilise in conjunction with the DCPPS[7] is the Prevention and Combating of Corruption Activities Act, 2004 (Act 12 of 2004). The Act provides for specific requirements for reporting corruption and outlines investigative measures for dealing with such activities in its aim to prevent and combat corrupt activities[8]. A set of guidelines on the implementation of the Act was also published to simplify the content of the Act[9].

Departments are also referred to the Manual on the Code of Conduct for the Public Service[10] issued by the PSC. The aim of this guide is to generate a better understanding of the implications and applications of the DCPPS.

Departments that performed below 60% need to assess the extent to which they are conducting their business.

Managers should also refrain from abdicating their responsibility of dealing with cases of misconduct.

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7   *Republic of South Africa. Department of Public Service and Administration. PSCBC Resolution 2 of 1999. Disciplinary Code and Procedures for the Public Service.*
8   *Republic of South Africa. Prevention and Combating of Corrupt Activities Act. Act No. 12 of 2004.*
9   *National Anti-Corruption Forum. Guide to the Prevention and Combating of Corrupt Activities. 2007.*
10   *Republic of South Africa. Public Service Commission. Explanatory Manual on the Code of Conduct for the Public Service. A Practical Guide to Ethical Dilemmas in the Work Place. Pretoria 2002.*

Chapter Three

Efficiency, Economy and Effectiveness

3.1 Constitutional value
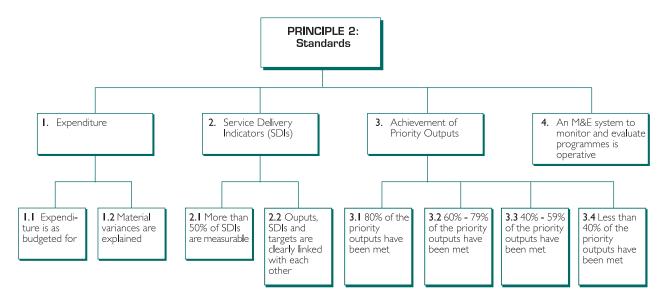
The second Constitutional principle states that the "efficient economic and effective use of resources must be promoted." Adherence to the principle of effectiveness, economy and efficiency in Public Service delivery is an important and yet complex area of public administration. It is recognised that public resources are finite and that the priorities they should fund are immense. It is, therefore, important to ensure that the limited resources available are spent in ways that achieve more value for money[11].

3.2 Performance indicator

The performance indicator selected to reflect how well departments promote this principle is whether expenditure is according to budget, and whether programme outputs are clearly defined with credible evidence reflecting that they have been achieved.

3.3 Standards

Since the 06/07 research cycle the existence and utilisation of an M&E system to evaluate programmes/projects by departments has been included as a standard to assess departments. The evaluation standards of this principle are summarised below.
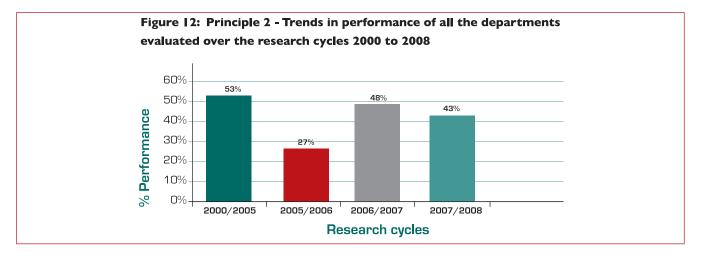
The maximum score for this principle is 5 (100%).

3.4 Trends in Performance for the period 2000 to 2008

3.4.1 Trends in performance over the research cycles 2000 to 2008
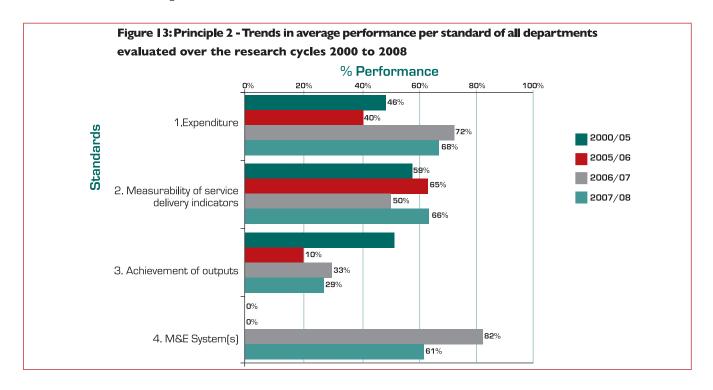
Figure 12 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

**Figure 12: Principle 2 - Trends in performance of all the departments
evaluated over the research cycles 2000 to 2008**

None of the 75 departments assessed during these periods scored above 60% (performance in several of the standards is adequate), which is a concern. However, the decline of 5% between the 06/07 and 07/08 research cycles raises a concern on departments' ability to efficiently, effectively and economically utilising their financial resources.

3.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 13** below) over the research cycles 2000 to 2008 reveals the following:

**Figure 13: Principle 2 - Trends in average performance per standard of all departments
evaluated over the research cycles 2000 to 2008**

3.4.2.1 Planned expenditure vs actual expenditure

Although Departments were able to improve on the expenditure trends during the 06/07 research cycle compared to the 2000 to 2005 and 05/06 research cycles there was a decrease of 4% in performance between the 06/07 and 07/08 research cycles. This performance indicates that departments are still not able to spend their budgets as budgeted for.

3.4.2.2 Measurability of service delivery indicators

With regard to the measurability of SDIs there was an improvement of 16% to 66% during the 07/08 research cycle compared to the 50% of the 06/07 research cycle. Compared to the 05/06 research cycle the improvement in performance was only 1%. This is an indication that departments are still facing a challenge in ensuring that their SDIs are measurable.

3.4.2.3 Achievement of outputs

It is also evident from **Figure 13** above that despite an improvement of 23% from 10% in the 05/06 research cycle to 33% in the 06/07 research cycle, a decline of 4% (33% to 29%) occurred in the 07/08 research cycle compared to the 06/07 research cycle. This poor performance can be linked to departments' inability to develop measurable SDIs, and the absence of proper alignment between departments' strategic plan, estimates of national/provincial expenditure (EN/PE) and the departmental annual report (DAR).

3.4.2.4 M&E System
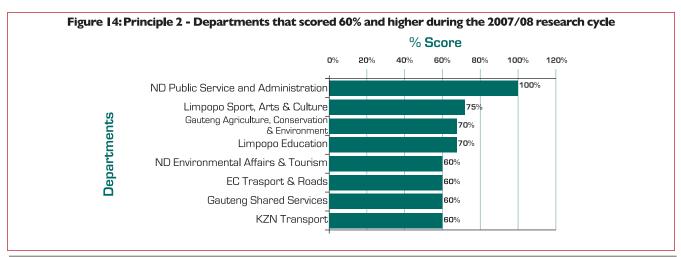
Departments' performance on this standard showed a sharp decline of 21% from 82% in the 06/07 research cycle to 61% in the 07/08 research cycle, which shows that M&E is not as yet taken seriously as a performance measurement mechanism. This situation is unacceptable in light of the Government-wide Monitoring and Evaluation System (GWM&ES)[12] that will draw information from departments' M&E systems. A study done by the PSC during the 06/07 financial year already has indicated that M&E development is inadequate in most departments[13].

3.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 5 (100%) and are divided into two groups which will be discussed in turn. The first group (**Figure 14**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 15**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix F** provides the detail per department.

3.5.1 Departments that scored 60% and higher

Eight of the twenty two sampled departments assessed scored 60% and higher, of which two were national departments and six were provincial departments (**Figure 14** below). Only the DPSA was able to achieve a full score of 100%.
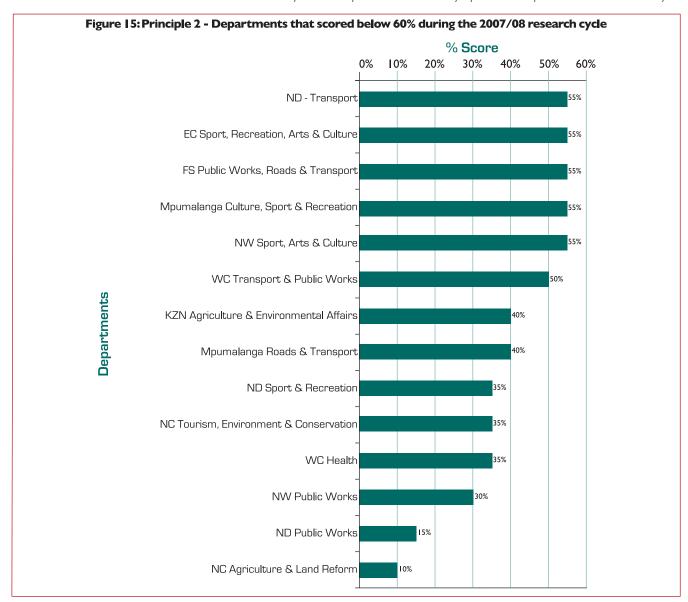
Figure 14: Principle 2 - Departments that scored 60% and higher during the 2007/08 research cycle

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12   Republic of South Africa. The Presidency. Policy Framework for the Government-wide Monitoring and Evaluation System. 2007.
13   Republic of South Africa. Public Service Commission. Report on the Audit of Reporting Requirements and Departmental Monitoring and Evaluation Systems within Central and Provincial Government. 2007.

The Limp Department of Sports, Arts and Culture achieved a score of 75%, followed by the Gaut Department of Agriculture, Conservation and Environment, and the Limp Department of Education both with a score of 70%. The remaining four of these eight departments were able to score 60% of which one was a national department and three were provincial departments.

3.5.2 Departments that scored below 60%

Fourteen of the twenty two sampled departments scored between 10%, which is indicative that all the standards need development) and 55% which is indicative that development is needed in most of the standard - see **Figure 15** below. Three of these fourteen departments were national departments and eleven were provincial departments. What is of concern about the low performance of these departments is that it signals that these departments, which are all service delivery departments such as agriculture, health, public works and transport, do not ensure that their financial resources are effectively, efficiently and economically spent on improved service delivery.

Figure 15: Principle 2 - Departments that scored below 60% during the 2007/08 research cycle
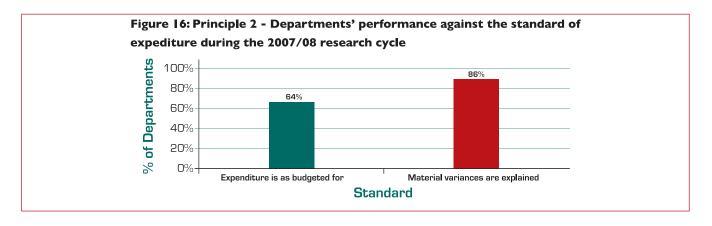
3.5.3 Performance per standard for the 07/08 research cycle

A further analysis of departments' performance against the standards set for efficiency, economy and effectiveness during the 07/08 research cycle is discussed below per standard.

Figure 16 below indicates the performance of departments with regard to standards pertaining to expenditure.

3.5.3.1 Planned expenditure vs. actual expenditure

It was found that fourteen of the twenty two sampled departments evaluated spent their budget as it was planned and budgeted for in their strategic plans and EN/PE. More than 36% departments (one national and seven provincial departments) did not comply with this standard. This means that departments' expenditure was outside the allowed threshold of 2% set by National Treasury. The ND of Transport under-spend for example 3.1% of its budget allocation, whilst the KwaZulu-Natal (KZN) Department of Agriculture and Environmental Affairs incurred a large overall unexplained over-expenditure of 7%.

Figure 16: Principle 2 – Departments' performance against the standard of expediture during the 2007/08 research cycle

3.5.3.2 Explanation of material variances

The majority (86%) of the twenty two sampled departments did provide an explanation of material variances in their spending patterns as reflected in **Figure 16** above. Most of the variances related to factors beyond the departments' control such as increased prices and the delay of submitting invoices by service providers. In other instances explanations provided for variances indicate that due processes were not followed, an aspect that could be addressed timeously if the necessary M&E systems were in place. The following explanations provided by the ND and EC Department of Transport serve as examples.
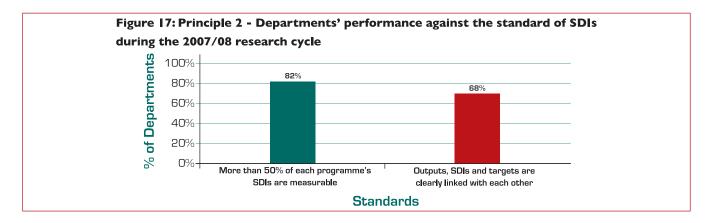
Table 3: **Explanations provided for variances on expenditure: National Department of Transport and Eastern Cape Department of Transport**

National Department of Transport	Eastern Cape Department of Transport
• Vacant posts that could not be filled.	• Vacant posts not filled and subsequent under-spending on overheads and capital.
• The budget for consultants and special services that were not finalised during the financial year.	• Cancelled human settlement redevelopment projects.
• Various planned projects that were not finalised within the financial year 2005/2006.	• Maintenance contracts not completed by 31 March 2006.
• The scrapping of old taxi vehicles that could not be initiated because of delays of finalising the safety specifications of new taxi vehicles.	• Municipal accounts not verified and paid by 31 March 2006.
	• The Disaster Relief Fund Projects that were not completed and claimed by municipalities.

3.5.3.3 Service delivery indicator

Eighty two percent of the twenty two sampled departments assessed were able to formulate more than 50% of each of their programmes' SDIs in measurable terms (quantity, quality and time dimensions) as indicated in **Figure 17** below. It was furthermore found that 68% of the departments' (three national and twelve provincial departments) outputs, SDIs and targets as they appear in the departments' strategic plans, DARs and EN/PEs are clearly linked with each other.

Figure 17: Principle 2 - Departments' performance against the standard of SDIs during the 2007/08 research cycle
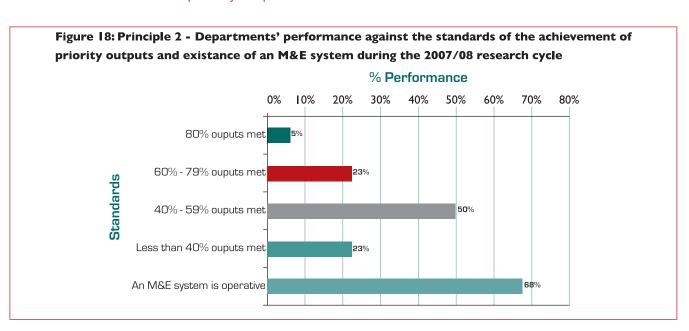
As a result of the poor linkages between outputs, SDIs and targets it becomes extremely difficult not only to assess departments' achievement of priority outputs, but also the assessment of whether departments' expenditure was on the approved outputs for which the budget was allocated for.

Departments whose outputs, SDIs and targets were not clearly linked with each as they appear in the departments' strategic plans, DARs and EN/PEs were:

• The ND of Public Works.

• The ND of Sport and Recreation.

• The EC Department of Sport, Recreation, Arts and Culture.

• The Mpu Department of Culture, Sport and Recreation.

• The NW Department of Sport, Arts and Culture.

• The WC Department of Health.

• The WC Department of Transport and Public Works.

3.5.3.4 Achievement of priority outputs

Figure 18: Principle 2 - Departments' performance against the standards of the achievement of priority outputs and existance of an M&E system during the 2007/08 research cycle

Only one of the sampled twenty departments, namely the DPSA, managed to meet more than 80% of its priority outputs. Twenty three percent of the departments achieved 79% to 60%, and 50% of the departments achieved 59% to 40% of their priority outputs (**Figure 18** above). Most of these departments were in the provinces.

The main reasons for the low percentage of achievement of priority outputs were mainly due to:

- The poor linkage between departments' strategic plan, EN/PEs and the DAR.

- The achievements were reported on in an essay format.

- Targets that have not been set for some of the outputs.

- The absence of information on actual achievement.

- Outputs that were either partly achieved or in the process of being finalised.

- The absence of reasons for the non-reporting or non-achievement of outputs.

The following five departments were unable to achieve at least 40% of their priority outputs.

Table 4: Departments that were unable to achieve at least 40% of their priority outputs

Department	% Priority outputs achieved	Reason(s) for poor performance
ND of Public Works	4%	Poor linkage of outputs, SDIs and targets with each other as they appear in the strategic plan, EN/PE and the DAR for the year under review.
NC Department of Agriculture and Land Reform	0%	None of the targets were measurable, the achievements and successes could therefore not be determined.
NC Department of Tourism, Environment and Conservation	37%	The majority of targets were not written in measurable terms.
NW Department of Public Works	36%	Most of the service delivery indicators were not always stated in quantity and time dimensions. As a result the achievements could not be validated.
WC Department of Health	39%	For 23% outputs no targets were set. In 12% of the cases no indication of the actual output achieved, were given. In 25% of the outputs no reasons were given for not meeting the output targets.

3.5.3.5 M&E System

Fifteen (**Figure 18** above) of the departments assessed utilise the government's transversal Personnel and Salary System (PERSAL), the Basic Accounting System (BAS) and the Logistical Information System (Logis) as a means to monitor and evaluate personnel, financial and procurements matters. In some instances management reporting is also utilised to monitor progress of programmes/projects. This does not constitute adequate M&E in departments, as other PSC studies have shown that M&E development remains rudimentary in most departments[14]. The lack of a dedicated M&E system undermines departments of their ability to monitor and evaluate their performance from time to time and therefore not taking corrective action in areas that demand such action.

14   Republic of South Africa. Public Service Commission. Report on the Audit of Reporting Requirements and Departmental Monitoring and Evaluation Systems

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3.6 Strategies for improvement

In improving on this important area of performance, the following recommendations are made:

Departments need to utilise National Treasury's *Framework for Managing Programme Performance Information*[15], *to ensure* improvement in the quality of performance data.

3.6.1 Service Delivery Indicators

Departments should ensure that the dimensions of quality, quantity and time are included when formalising service delivery indicators.

Departments need to ensure that there is a clear linkage between the outputs, SDIs and targets as they appear in the strategic plan, estimates of expenditure and the annual report for the year under review.

3.6.2 Achievement of priority outputs

Departments need to ensure that priority outputs planned and budgeted for are implemented and closely monitored for achievement. In order to enhance transparency reasons for non-achievement of outputs should also be provided.

3.6.3 M&E System

Departments should develop and institutionalise an M&E system. Such a system will enable departments to monitor and evaluate the performance of their various programmes so that they are geared to get early warning signals in areas that need attention, and thereby contributing to overall management and service delivery improvement. Departments are referred to the PSC's *Basic Concepts in Monitoring and Evaluation*[16] as a source for understanding M&E and the different perspectives of evaluation.

Other frameworks that departments need to consult in the development of an M&E system and to align their system to that of the GWM&ES are:

- Policy Framework for the GWM&ES issued by the Presidency in 2007[17].

- The Framework for Managing Programme Performance Information issued by National Treasury in 2007[18].

- The South African Statistical Quality Assessment Framework (SASQAF) (First edition) issued by Statistics South Africa in 2007[19].

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15   Republic of South Africa. National Treasury. Framework for Managing Programme Performance Information. 2007.
16   Republic of South Africa. Public Service Commission. Basic Concepts in Monitoring and Evaluation. Pretoria. February 2008.
17   Republic of South Africa. The Presidency. Policy Framework for the Government-wide Monitoring and Evaluation System. 2007.
18   Republic of South Africa. National Treasury. The Framework for Managing Programme Performance Information. 2007.
19   Republic of South Africa. Statistics South Africa. The South African Statistical Quality Assessment Framework (SASQAF) First edition. 2007.

Chapter Four

Development Orientation

4.1 Constitutional value
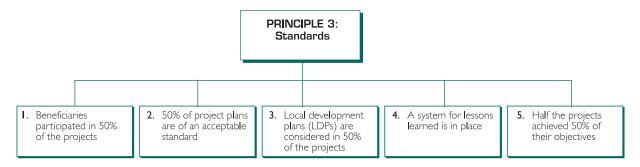
The Constitution requires that the Public Service be developmental in its orientation. Government is committed through its electoral mandate and resulting policies to pursue a path that seeks to redress the skewed socio-economic relations that resulted from Apartheid. The Public Service in a developmental state is expected to focus on the eradication of poverty, as a first step towards achieving equity. This means that departments need to consciously build development considerations into their programmes and monitor the outcome thereof. The net effect of a developmentally orientated Public Service will be one that meets the Millennium Development Goals[20].

4.2 Performance indicator

The performance indicator for this principle is an assessment of how effective departments are in implementing programmes/projects that aim to promote development and reduce poverty.

4.3 Standards

A range of standards have to be met to indicate whether departments do in fact promote a development orientation. The following is a synopsis of the PSM&ES standards:

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                        ┌────────────────────┐
                        │   PRINCIPLE 3:     │
                        │    Standards       │
                        └────────────────────┘
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| 1. Beneficiaries participated in 50% of the projects | 2. 50% of project plans are of an acceptable standard | 3. Local development plans (LDPs) are considered in 50% of the projects | 4. A system for lessons learned is in place | 5. Half the projects achieved 50% of their objectives |

The maximum score for this principle is 5 or 100%.

4.4 Trends in Performance for the period 2000 to 2008

4.4.1 Trends in performance over the research cycles 2000 to 2008

Figure 19 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008. The overall average performance for the 2000 to 2005 research cycles was 35%. A decline to 26% occurred in 05/06 after which the following two research cycles showed an improvement to 54% and 63% respectively for the 06/07 and 07/08 research cycles.

Figure 19: Principle 3 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

20   Republic of South Africa. Public Service Commission. State of the Public Service Report 2008.

4.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' performance per standard (**Figure 20** below) over the research cycles 2000 to 2008 shows that projects relating to development are moving towards a performance of 60% and higher.

Figure 20: Principle 3 - Trends in average performance per standard of all departments evaluated over the research cycles 2000 to 2008

4.4.2.1 Participation of beneficiaries in the design of the project

The first standard of this principle requires that development projects should be of an acceptable standard with regard to beneficiary participation in the design, governance and monitoring of projects. The research cycles 2000 to 2005 recorded the best average performance of 85% followed by a decline to 30% in 05/06. Performance in the 06/07 improved to 75% and dropped again in 07/08 to 68%. This uneven performance is an indication that departments do not take beneficiary participation in the design, governance and monitoring of development projects in consideration. Ignoring beneficiaries in development projects can lead to the failure of such projects and consequently fruitless expenditure.

4.4.2.2 Good project management standards

This standard focuses on whether objectives, time frames, budget, and issues such as HIV/Aids, gender and the environment are addressed in departments' project plans on development projects. The analysis shows that departments' performance improved through all the research cycles from 10% in the 2000 to 2005 research cycles to 82% in 07/08.

4.4.2.3 Alignment of projects with local development plans

Departments are increasingly including local development plans (LDPs) in their development projects. Performance has increased form 20% in the 2000 to 2005 research cycles to 68% in the 07/08 research cycle. In including LDPs in development projects departments are ensuring that these projects are aligned to the needs of the community and are therefore to succeed.

4.4.2.4 A system is in place for lessons learned

In this standard the performance has also improved from 30% in the 2000 to 2005 and 05/06 research cycles to 36% in the 07/08 research cycle. This improvement indicates that departments start to realise the importance to keep records on lessons learned during the development and implementation processes of poverty reduction projects which can be avoided or applied in future.

4.4.2.5 Success of projects
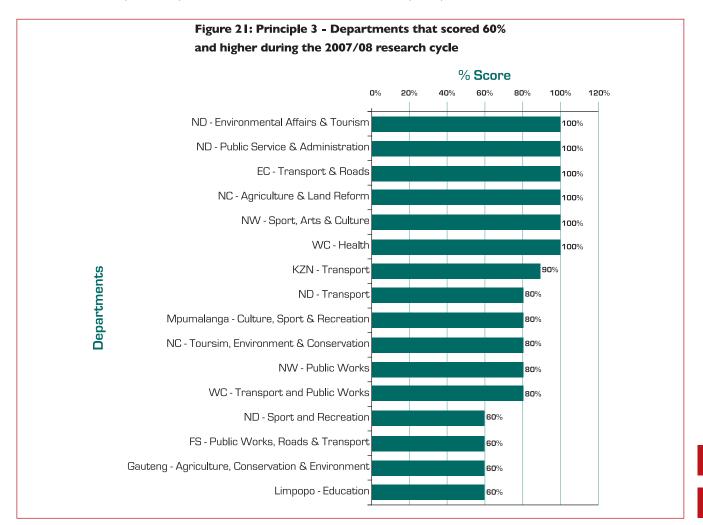
A decline of 3% in the performance occurred in the 07/08 research cycle (61%) compared to the 63% of the 06/07 research cycle. Although the performance is indicative of adequate performance it is nevertheless an indication that departments are becoming more focused on implementing development orientated projects.

4.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 21**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 22**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix G** provides the detail per department.

4.5.1 Departments that scored 60% and higher

It is encouraging to note that sixteen of the twenty two sampled departments evaluated scored 60% and higher, of which four were national departments and twelve were provincial departments (**Figure 21** below). The performance also revealed that six departments (two national and four provincial) scored 100%, followed by one provincial department that scored 90%, which is indicative of excellent performance in all the standards. Five departments (one national and four provincial) scored 80%, which is indicative of good performance and the remaining four departments (one national and three provincial) scored 60%, which is indicative of adequate performance in several of the standards.

Figure 21: Principle 3 – Departments that scored 60% and higher during the 2007/08 research cycle

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4.5.2 Departments that scored below 60%
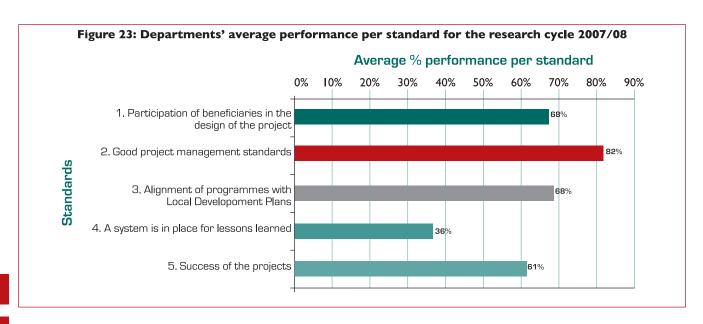
Six of the twenty two sampled departments scored below 40% - see **Figure 22** below. One scored 40% which is indicative of development that is needed in most of the standards and one scored 20%, which is indicative that development is needed in all the standards.

Figure 22: Departments that scored below 60% during the 2007/08 research cycle

% Score

Four of these departments' performance was 0% which is indicative of none of the standards have been met. These four departments were the ND of Public Works, the GSSC, the KZN Department of Agriculture and Environmental Affairs and the Mpu Department of Roads and Transport. These departments' performance could not be assessed because they failed to submit any documentation on this principle.

4.5.3 Performance per standard for the 2007/08 research cycle

A further analysis of departments' performance against the standards set for development orientation (**Figure 23** below) during the 07/08 research cycle is discussed below per standard.

Figure 23: Departments' average performance per standard for the research cycle 2007/08

Average % performance per standard

4.5.3.1 Participation of beneficiaries in the design of the project

Fifteen departments increasingly ensure that beneficiaries participate in the design, governance and monitoring of development projects, although not directly but indirectly.

The Free State (FS) Department of Public Works, Roads and Transport, for example, utilises a Steering Committee which involves community members to manage projects and is assisted by a Project Manager. Members do meet regularly to discuss progress. Minutes of the meetings are kept.

Financial projections are made regarding equipment, training and payment of labour. The projects benefit women, youth and people with disabilities by creating jobs for these groups.

4.5.3.2 Good project management standards

The best average performance (82%) occurred in the standard on project plans. This performance of 85% shows that project plans on development are of an acceptable standard. This means that departments' project plans on development have at least the following prerequisites:

• Clear measurable objectives.

• Clear targets set.

• Detailed financial projections.

• Aligned with LDPs.

• Clearly stipulated problems experienced.

• Clearly stipulated the successes of the projects.

4.5.3.3 Alignment of programmes with local development plans

An average performance of 68% against the standard on the alignment of programmes with LDPs was achieved. This is indicative of departments that are increasingly realising the importance of LDPs in the designing of developmental projects.

4.5.3.4 Learning and success of projects

The average performance in the achievement of poverty reduction objectives was 61%. While his is encouraging, departments could do even better if they could pay attention to generating and sharing lessons from experience. The average performance against the standard relating to the availability of a system on lessons learned was a low 36%. The latter sends a signal that monitoring and evaluation is not done to ensure that projects are implemented as planned, that these projects meet their objectives, and that lessons learned in the process are applied in new projects.

4.6 Strategies for improvement

4.6.1 Participation of beneficiaries in the design of the project

It is crucial for departments to meaningfully involve beneficiaries in the design, governance and monitoring of projects. For development purpose, beneficiaries should be afforded the opportunity to make inputs in the design of projects and these inputs should be acknowledged and taken into consideration.

4.6.2 Good project management standards

Departments should have a standardised project plan format showing all relevant details including objectives, clear governance arrangements, and detailed financial projections per project reflecting the budget allocation breakdown per target output including considering cross-cutting priorities such as gender, the environment and HIV/AIDS.

4.6.3 Alignment of programmes with local development plans

Departments need to secure the involvement and participation of Local Authorities to ensure that all poverty reduction programmes and projects are aligned with LDPs.

4.6.4 Learning

Departments should put in place specific systems to consciously identify lessons learned and how to apply these to future poverty reduction projects.

4.6.5 Success of the projects

Departments must ensure that the project plan for each project has clearly defined objectives, budget projections, service delivery indicators and targets in respect of the intended number of beneficiaries and the anticipated impact. Without these indicators it may not be possible to properly determine achievements and the success of a project.

For the enhancement of departments' efforts to implement development projects it is recommended that greater coordination between departments should take place in terms of planning, implementation and the generation of appropriate performance data. Such coordination would not only assist in identifying the good practices amongst departments but also provide valuable information for wider application in the Public Service.

Chapter Five

Impartiality and Fairness in Service Delivery

5.1 Constitutional value
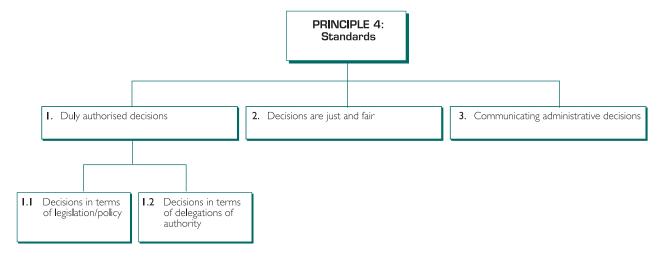
The Promotion of Administrative Justice Act (PAJA)[21] provides the framework for assessing this principle which acts as a benchmark for impartiality, fairness, equity and non-biasness. Complying with PAJA requires that the procedures followed to take administrative actions be clearly stated. The Act also requires that affected people be given notice of their right to review or appeal decisions and also be provided with the reasons why decisions were made. The issue of fairness and impartiality in service delivery is, therefore, a critical matter for the South African Public Service.

5.2 Performance indicator

The performance indicator selected for this principle is whether there is evidence that the department follows the prescribed procedures of the PAJA when making administrative decisions.

5.3 Standards

A summary of the standards against which departments are evaluated appears below.

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                        ┌─────────────────────┐
                        │    PRINCIPLE 4:     │
                        │     Standards       │
                        └─────────────────────┘
              ┌────────────────────┼────────────────────┐
┌───────────────────────┐ ┌───────────────────────┐ ┌───────────────────────────────┐
│ 1.  Duly authorised   │ │ 2.  Decisions are just│ │ 3.  Communicating             │
│     decisions         │ │     and fair          │ │     administrative decisions  │
└───────────────────────┘ └───────────────────────┘ └───────────────────────────────┘
     ┌──────────┴──────────┐
┌──────────────────┐ ┌──────────────────┐
│ 1.1  Decisions in│ │ 1.2  Decisions in│
│  terms of        │ │  terms of        │
│  legislation/    │ │  delegations of  │
│  policy          │ │  authority       │
└──────────────────┘ └──────────────────┘
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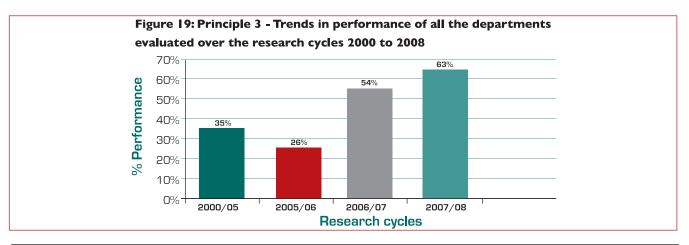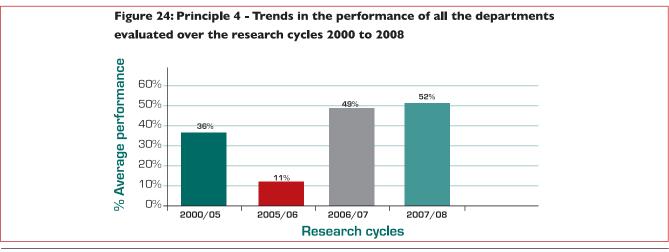
The maximum score for this principle is 5 or 100%.

5.4 Trends in Performance for the period 2000 to 2008
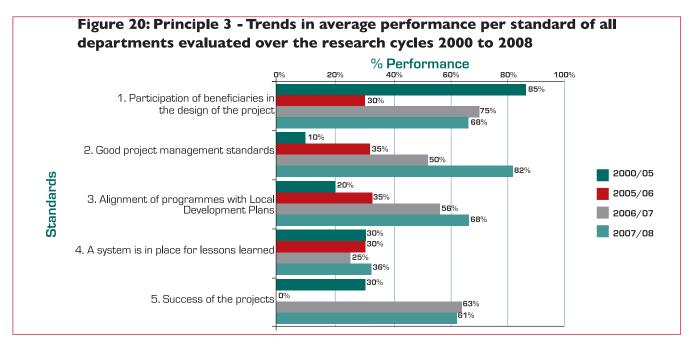
5.4.1 Trends in performance over the research cycles 2000 to 2008

Figure 24 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

Figure 24: Principle 4 - Trends in the performance of all the departments evaluated over the research cycles 2000 to 2008

21   Republic of South Africa. Department of Justice and Constitutional Development. Promotion of Administrative Justice Act. Act 3 of 2000.

The overall average performance of the departments evaluated was 36% for the research cycles 2000 to 2005, 11% for 05/06, 49% for 06/07 and 52% for 07/08.
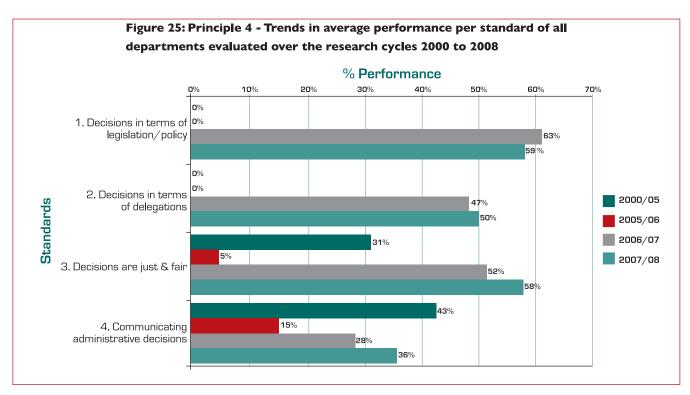
Although the average performance for the 07/08 research cycle showed an improvement of 3% against the 06/07 research cycle, the performance remains unsatisfactory, since it did not even reach the 60% threshold for adequate performance in several of the standards.

5.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 25** below) over the research cycles 2000 to 2008 reveals the following:

5.4.2.1 Decisions taken in terms of legislation/policy

The standard for decisions to be taken in terms of legislation/policy was first introduced in the 06/07 research cycle. As a result no information on this standard is available for the periods 2000 to 2006. This standard showed a decline of 4% from 63% in 06/07 to 59% in 07/08. This implies that departments did not make sufficient progress in implementing the requirements of PAJA with regard to the mapping of decision-making processes.

Figure 25: Principle 4 - Trends in average performance per standard of all departments evaluated over the research cycles 2000 to 2008

5.4.2.2 Decisions taken in terms of delegations

The standard for decisions to be made in terms of delegations was also introduced for the first time in the 06/07 research cycle. The departments' performance in 06/07 (47%) compared to that in 07/08 (50%) showed an improvement of 3%. This is an encouraging sign since it shows that departments increasingly ensure that their decisions are taken by duly authorised officials.

5.4.2.3 Just and fair decisions/communication of administrative decisions
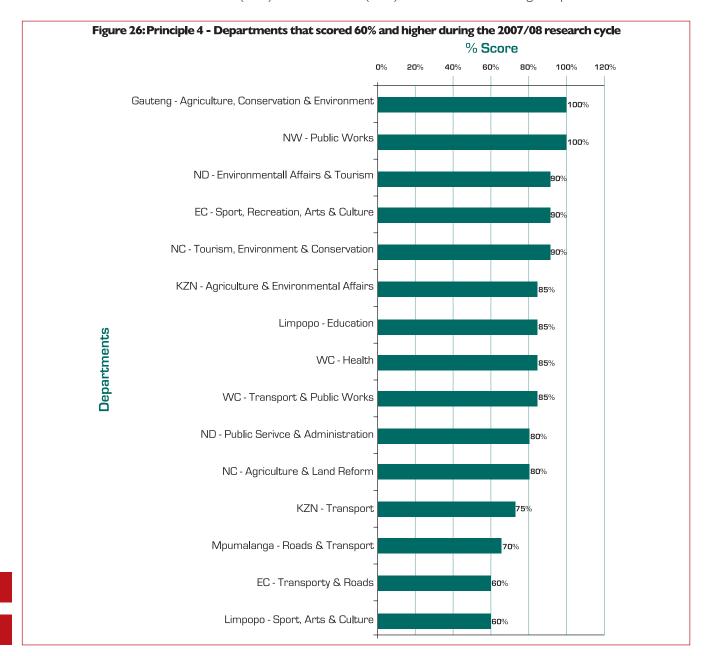
Departments' performance during the 07/08 research cycle in the standards of just and fair decisions (58%) and the communication thereof (36%) respectively showed a slight improvement of 6% and 8% against the 06/07 research cycle. The improvement in performance shows that departments are increasingly taking cognisance of and adhere to PAJA's requirements in this regard. However, they still need to lift the bar to work towards 100% compliance.

5.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 26**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 27**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix H** provides the detail per department.
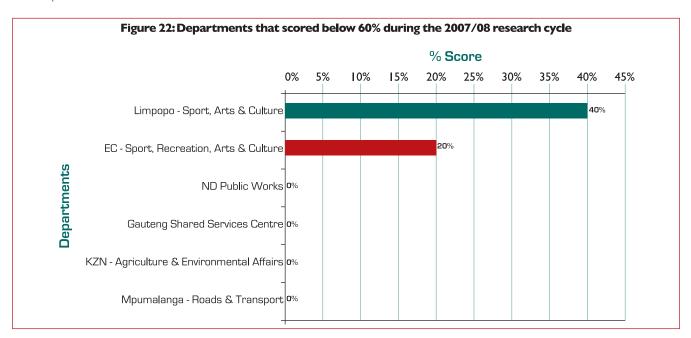
5.5.1 Departments that scored 60% and higher
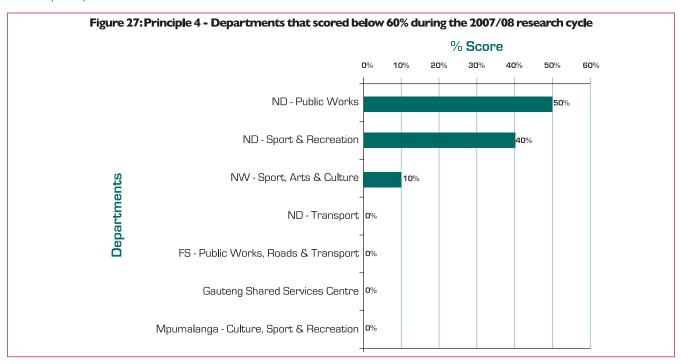
It is encouraging to note that fifteen of the twenty two sampled departments' score was 60% and higher, of which two were national departments and thirteen were provincial departments. The scores also revealed that two provincial departments' scored 100%. This is been followed by three departments that scored 90%. The remaining ten departments scored between 85% and 60%. Only two national departments scored above 60%, namely the ND of Environmental Affairs and Tourism (90%) and the DPSA (80%), which is indicative of good performance.

Figure 26: Principle 4 – Departments that scored 60% and higher during the 2007/08 research cycle

5.5.2 Departments that scored below 60%

Seven of the twenty two sampled departments scored between 0% and 50% - see **Figure 27** below. These scores indicate that either none of the standards have been met or that development is needed in most of the standards.

Four of these departments' performance was 0%, which is indicative that none of the standards were met. These four departments were the ND of Transport, the FS Department of Public Works, Roads and Transport, GSSC, the KZN Department of Agriculture and Environmental Affairs and the Mpu Department of Culture, Sport and Recreation. These departments' performance could not be assessed because they failed to submit the necessary documentation on this principle.

Figure 27: Principle 4 - Departments that scored below 60% during the 2007/08 research cycle
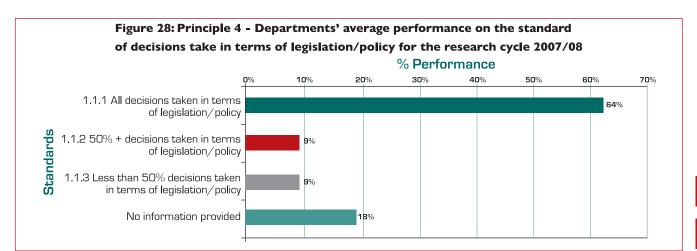
5.5.3 Performance per standard for the 07/08 research cycle

A further analysis of departments' compliance with the standards during the 07/08 research cycle revealed the following:

5.5.3.1 Decisions taken in terms of legislation/policy.

Figure 28 below indicates that 64% of the departments evaluated did take decisions in terms of their departmental legislation/policy, whilst in 9% of the departments 50% + decisions were taken in terms of legislation/policy.

Figure 28: Principle 4 - Departments' average performance on the standard of decisions take in terms of legislation/policy for the research cycle 2007/08
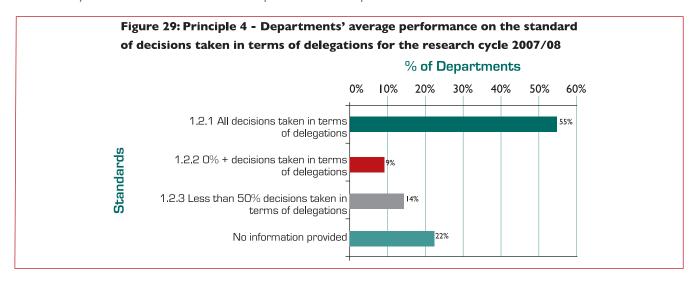
In another 9% of the departments less than 50% of their decisions were taken in terms of legislation/policy. Eighteen percent of the departments did not submit any information for assessment.

It is of concern that 36% departments' decisions could not be linked to any legislation/policy. The legality of their decisions can then be disputed, and if the decisions were linked to expenditure of any kind then it could be regarded as fruitless, wasteful and fraudulent expenditure.

5.5.3.2 Decisions taken in terms of delegations
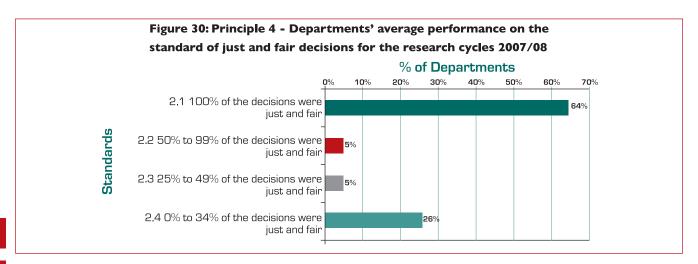
The decisions of 55% of the twenty two sampled departments evaluated were taken by duly authorised officials in terms of the departmental delegations of authority (**Figure 29** below). This raises a concern about the legitimacy of decisions and whether these decisions will remain valid should they be challenged. Decisions taken by officials that are not duly authorised are fraudulent and pose a risk to departments.

Figure 29: Principle 4 - Departments' average performance on the standard of decisions taken in terms of delegations for the research cycle 2007/08

5.5.3 3 Just and fair decisions
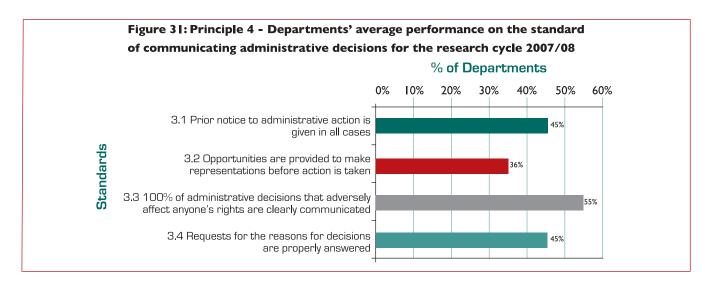
Figure 30 below is a breakdown of departments' performance with regard to just and fair decisions.

An analysis of the information indicates that 100% of the decisions taken by 64% of the twenty sampled departments evaluated met the standard of being just and fair. Considering that only 64% departments' decisions were taken in terms of legislation and policy, and that only 55% departments' decisions were taken by duly authorised officials, it can still be argued that although decisions were just and fair, they can still be nullified if contested.

Figure 30: Principle 4 - Departments' average performance on the standard of just and fair decisions for the research cycles 2007/08

5.5.3.4 Communicating administrative decisions

According to **Figure 31** below 45% of the twenty two sampled departments gave prior notice before an administrative decision was given. For example, in respect of tenders a prior warning of intended action was made by placing advertisements in the media whereas in misconduct cases affected officials were given prior notice of the nature and purpose of the contemplated administrative action in terms of the applicable legislation and policies.

Figure 31: Principle 4 - Departments' average performance on the standard of communicating administrative decisions for the research cycle 2007/08

Sixty three percent of the sampled departments provided opportunities to make representations before administrative actions could be taken. For example, letters of dismissal would clearly state the right to appeal as well as to whom to direct an appeal.

Fifty five percent of the departments evaluated communicated 100% of their administrative decisions that adversely affect anyone's rights. An example of such a decision is that artists whose applications for financial assistance were declined were provided with clear reasons for this decision by the WC Department of Transport and Public Works were also given an opportunity to appeal against the decision.

Requests for reasons for decisions are properly answered by ten of the twenty two sampled departments evaluated, for example bidders who wanted to know why their applications have not been successful were given reasons in writing by the NW Department of Public Works.

These figures imply that, although there are pockets of compliance with PAJA, much still needs to be done by departments to promote just administrative practices.

5.6 Strategies for improvement

Departments' failure to adhere to the requirements of the PAJA has been repeatedly reported on in the Consolidated M&E Reports since August 2003[22], and the State of the Public Service Reports since 2004[23] with no material improvements. It is suggested that Parliament now takes the necessary steps to ensure that departments do adhere to the PSC's recommendations in this regard.

The following specific compliance requirements should be taken into account by departments:

• Quoting the relevant legislation/policy in terms of which all decisions/recommendations are made.

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22   *Republic of South Africa. Public Service Commission. First Consolidated Monitoring and Evaluation Report. August 2003.*
23   *Republic of South Africa. Public Service Commission. State of the Public Service Report. 2004.*

- Delegations of authority should be developed and implemented as a matter of priority. This would eliminate the possibility of officials taking unauthorised decisions which could create unnecessary administrative problems for departments in future.

Departments should utilise the Basic Implementation Strategy: Promotion of Administrative Justice Act[24] as a guideline to compile a PAJA implementation plan for the department. This strategy forms part of the Training Course, "The Promotion of the Administrative Justice Act."

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24   Republic of South Africa. Department of Justice and Constitutional Development. Training Course, "The Promotion of the Administrative Justice Act." Basic Implementation Strategy: Promotion of Administrative Justice Act.

Chapter Six

Public Participation in Policy-Making

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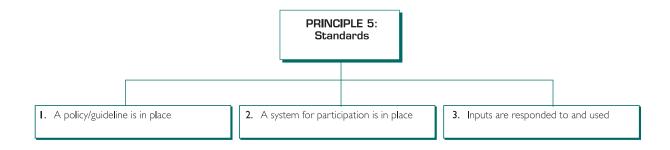
The fifth Constitutional principle states that "people's needs must be responded to and the public must be encouraged to participate in policy making." It is a participative, consensus model of policy-making that also takes into cognisance the fact that public participation is more likely to produce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

6.2 Performance indicator

The performance indicator for measuring public participation is that departments must facilitate public participation in policy-making.

6.3 Standards

The standards against which departments are evaluated are summarised below.

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                        ┌──────────────────────┐
                        │    PRINCIPLE 5:      │
                        │     Standards        │
                        └──────────┬───────────┘
           ┌───────────────────────┼───────────────────────┐
┌──────────┴──────────┐ ┌──────────┴───────────┐ ┌──────────┴───────────┐
│ 1. A policy/guideline│ │ 2. A system for      │ │ 3. Inputs are        │
│    is in place       │ │    participation is  │ │    responded to and  │
│                      │ │    in place          │ │    used              │
└─────────────────────┘ └──────────────────────┘ └──────────────────────┘
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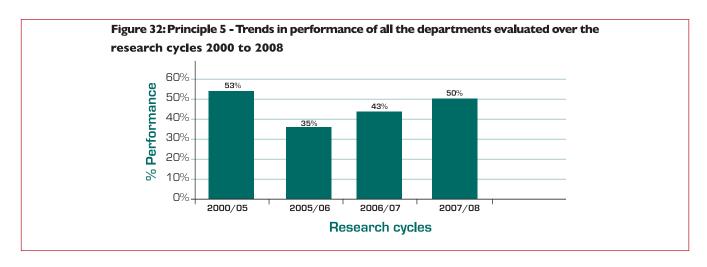
The maximum score for this principle is 5 or 100%.

6.4 Trends in Performance for the period 2000 to 2008

6.4.1 Trends in performance over the research cycles 2000 to 2008
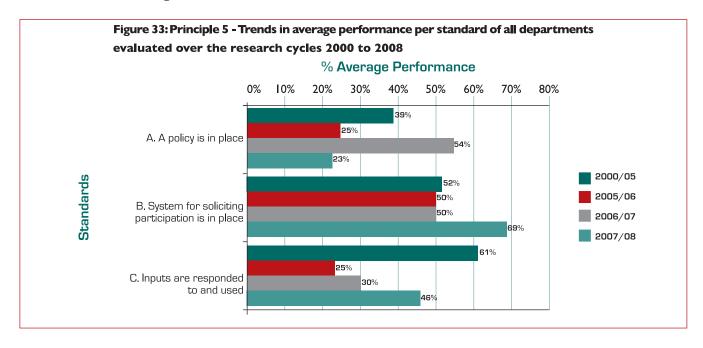
Figure 32 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

Figure 32: Principle 5 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

The overall average performance of the departments evaluated was 53% for the research cycles 2000 to 2005, 35% for 05/06, 43% for 06/07 and 50% for 07/08. The overall average performance remains unsatisfactory, since it remains below the threshold of 60% which requires adequate performance in several of the standards.

6.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 33** below) over the research cycles 2000 to 2008 reveals the following:

Figure 33: Principle 5 - Trends in average performance per standard of all departments evaluated over the research cycles 2000 to 2008

6.4.2.1 A policy and guideline on public participation in policy-making is in place

An improvement of 29% (from 25% to 54%) in performance was noticed between the 05/06 and 06/07 research cycles. However, performance in the 07/08 research cycle went down by 31% to 23% compared to 06/07. This is an indication that departments started to neglect the importance of having a policy to engage with the public in policy-making. This neglect may lead to engagement with the public on important policy issues taking place haphazardly.

6.4.2.2 System for participation

The performance over the research cycles 05/06 and 06/07 remained at 50% which is a decline of 2% compared to the 2000 to 2005 research cycles. However, an improvement of 19% occurred in 07/08 compared to the previous two research cycles. Although the performance is still unsatisfactory, it nevertheless indicates that despite the absence of a policy on public participation in policy-making departments do utilise some system to solicit inputs from the public.

6.4.2.3 Inputs are responded to and used

The average performance against this standard declined from 61% in 2000 to 2005 to 46% in the 07/08 research cycle, which is an indication that departments are still not responding to public inputs received during the participation process.

6.5 Overview of Departments' Performance for the 2007/2008 Research Cycle
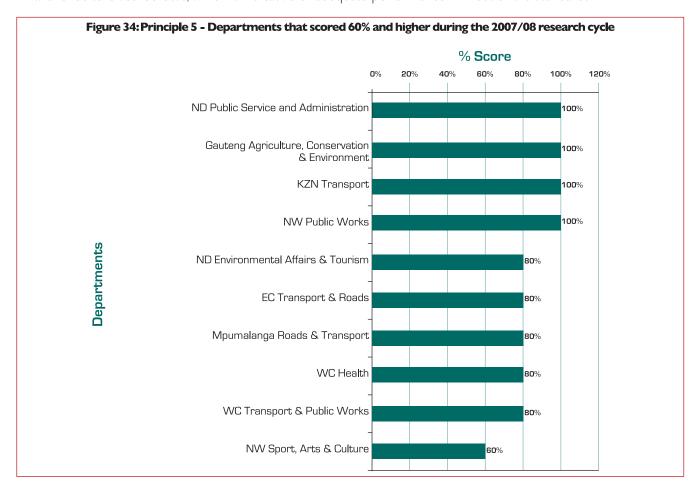
Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn.

The first group (**Figure 34**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 35**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix I** provides the detail per department.

6.5.1 Departments that performed 60% and higher

Ten of the twenty two sampled departments evaluated scored
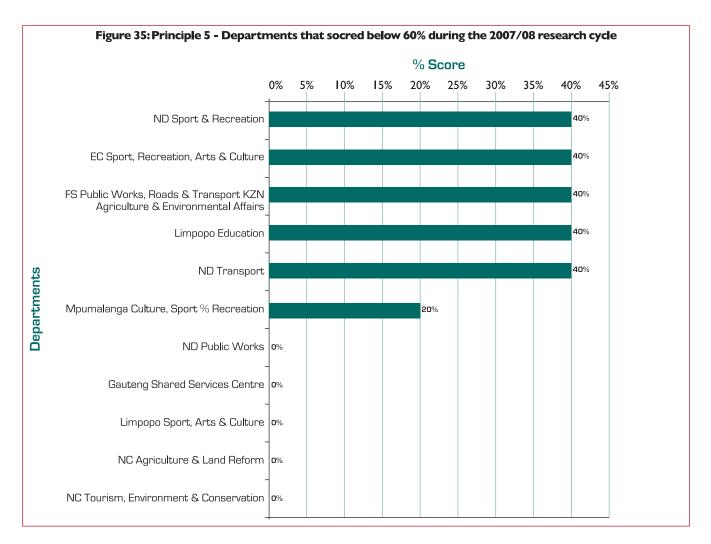
60% and higher, of which only one was a national department and the rest were provincial departments (**Figure 34** below). Four departments scored 100%, which is indicative of excellent performance. This is followed by five provincial departments that scored 80%, which is indicative of good performance. The NW Department of Sport, Arts and Culture scored 60%, which is indicative of adequate performance in most of the standards.

Figure 34: Principle 5 – Departments that scored 60% and higher during the 2007/08 research cycle

6.5.2 Departments that performed below 60%

Twelve of the twenty two sampled departments performed between 0% and 40% - see **Figure 35** below, which is indicative that either none of the standards have been met or that development is needed in most of the standards. Three of these departments were national departments and nine were provincial departments.

Figure 35: Principle 5 – Departments that socred below 60% during the 2007/08 research cycle

% Score

Department	Score
ND Sport & Recreation	40%
EC Sport, Recreation, Arts & Culture	40%
FS Public Works, Roads & Transport KZN Agriculture & Environmental Affairs	40%
Limpopo Education	40%
ND Transport	40%
Mpumalanga Culture, Sport % Recreation	20%
ND Public Works	0%
Gauteng Shared Services Centre	0%
Limpopo Sport, Arts & Culture	0%
NC Agriculture & Land Reform	0%
NC Tourism, Environment & Conservation	0%

(Chart axis: 0%, 5%, 10%, 15%, 20%, 25%, 30%, 35%, 40%, 45%. Y-axis label: Departments)

Five of these departments scored 0%, which is indicative that none of the standards have been met. These five departments were the National Department of Public Works (DPW), the GSSC, the Limp Department of Sport, Arts and Culture, the NC Department of Agriculture and Land Reform and the NC Department of Tourism, Environment and Conservation. The DPW's and GSSC's performance could not be assessed because they failed to submit the necessary documentation on this principle.

6.5.3 Performance per standard for the 07/08 research cycle

A further analysis of departments' compliance with the standards during the 07/08 research cycle revealed the following:

6.5.3.1 A policy and guideline on public participation in policy-making is in place

Figure 36 below indicates that 63% of the sample departments assessed did not have any policy/guideline on public participation in policy-making in place, whilst three departments did not provide any information in this regard. These departments were DPW, the ND of Transport and GSSC.

Figure 36: Principle 5 - Departments' average performance on the standard of the availability of a policy/guideline on public participation in policy-making for the research cycle 2007/08
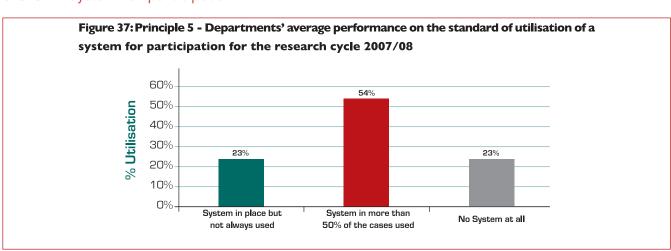
This high percentage of departments not having a policy/guideline on public participation in policy-making in place suggests that departments still do not appreciate the need to have a policy in place for such an important principle of the Constitution. Without such a policy, public participation takes place haphazardly or not at all. As a result policies/ legislation can be contested, processes can be delayed and additional funds can be incurred in the process to rectify the policies/legislation.

The KZN Department of Agriculture and Environmental Affairs, which did not have the necessary document available, expressed the sentiment during an interview with managers that a guideline in this regard would be expected from the national department that would be applicable to all provinces instead of provincial department compiling its own. Public participation processes need to be informed by the contextual realities of each department, and the PSC believes that it would be unrealistic to expect a national department to put in place a guideline that would adequately address the needs of all provincial departments in this regard.

Five (two national and three provincial departments) of the sampled departments do have a policy/guideline on public participation in policy-making in place. The ND of Environmental Affairs and Tourism for example has a document called "Stakeholder Engagement Strategy" in place that outlines specific goals and objectives of the department in its decision-making engagement with stakeholders. It is a living document and strives towards establishing and prioritising stakeholder needs. The Department's Stakeholder Engagement Strategy is a document of high quality and should be shared with other departments.

The NW Department of Sport, Arts and Culture developed a document entitled "Listening Campaign Program of Action" through the Office of the MEC. This document guides the MEC's Listening Campaigns through which the Department consults with members of the public with the assistance of different municipalities in the North West Province.

6.5.3.2 System for participation

Figure 37: Principle 5 - Departments' average performance on the standard of utilisation of a system for participation for the research cycle 2007/08

The findings of the assessment for the 07/08 research cycle on the utilisation of a system for public participation in obtaining inputs on policy issues have shown that 23% of the departments (one national and four provincial departments) do have a system in place but they do not always use it – **Figure 37** above.

Fifty four percent of the departments (three national and nine provincial) do have a system in place and utilises it in more than half of their policy-making processes for public participation purposes. The systems utilised for public participation include for example:

- Inter-departmental forums.

- Workshops.

- Indabas.

- Outreach programmes.

- Provincial summits.

- "Exco meets the people" campaigns.

- "Cabinet Meets the People" programme .

- MEC's Listening Campaigns.

- Task teams to generate the required inputs from the public/stakeholders.

- Written requests are made to specific stakeholders and the public for comments or proposals.

- Publishing policy/paper for public comment.

- Izimbizo.

- Community meetings.

- Community Police Forums.

- Radio talk shows.

What remains a concern is that there are still departments that do not have any system in place for public participation in policy-making. For the 07/08 research cycle there were five of the sampled departments without any system in place.
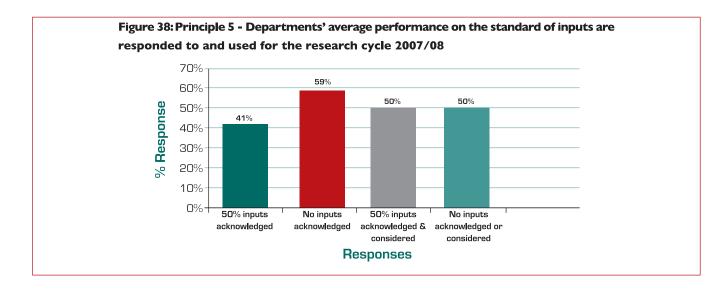
6.5.3.3 Inputs are responded to and used

Fourty one percent of the departments acknowledged contributions in at least half of the cases, whilst 50% of the departments do acknowledge and consider contributions in at least half their cases (**Figure 38** below).

Although the systems for participation might not be departmental specific the results thereof (50% acknowledgment and consideration) is a positive spin-off that cannot be ignored.

The DPSA, for example, incorporates these contributions where applicable in policy documents/frameworks, whilst the NW Department of Public Works designed the plans for community halls according to the inputs of the public.

Another example of departments' concerted efforts to respond to and use inputs is the NW Department of Sport, Arts and Culture. The department developed two documents, namely "Listening Campaign Findings" and "Listening Campaign Implementation Matrix" through which it intends to acknowledge and consider inputs made by the people at the MEC's Listening Campaigns. The WC Department of Transport and Public Works takes a step further and communicates the outcome of the participation processes by means of follow-up meetings, workshops and correspondence to stakeholders, customers and communities.

Figure 38: Principle 5 - Departments' average performance on the standard of inputs are responded to and used for the research cycle 2007/08

6.6 Strategies for improvement

6.6.1 Policy and guidelines

The recommendation made in the Fourth Consolidated PSM&ES Report is reiterated again, namely that departments need to develop and implement a policy/guideline on public/ stakeholder participation in policy-making. Such a policy/ guideline is crucial as it will *inter alia* guide departments on the inclusion of public comments in policy formulation, which in turn will enrich and promote comments and participation.

It is recommended that departments should address the following areas in such a policy/guideline:

• What do departments want to achieve by such a participation process?

• Whose inputs should be obtained? (What client segment/ category, for example, business/labour/other government, rural/ urban, rich/poor?)

• On what? (Is the policy/framework/project simply published for comment or are specific questions asked?)

• How? What are the procedures to be followed? Should the input be obtained from the public/stakeholders directly or through representative bodies (other than legislatures) or special interest groups?

• The methods that should be considered, are:

   • Giving information. (I can't participate if I don't know what the issues are.)

   • Seeking information. (The views of the public/ stakeholders can be researched.)

   • Sharing information. (There is some interaction between the members of the public/stakeholders and the policy maker.)

6.6.2 System for soliciting participation

Departments should implement a formal system for soliciting public participation in policy-making. In this regard departments are referred to the Step-by-Step Guide to Holding Citizens' Forums issued by the PSC[25].

25   Republic of South Africa: Public Service Commission. Step-By-Step Guide to Holding Citizens' Forums. Pretoria September 2005

6.6.3 Inputs are responded to and used

Departments should develop proper systems for the inclusion of public comments, which should at least cover the following areas:

• Formal acknowledgement of public contributions.

• Recording the results of the participation process.

• Acceptance and incorporation of public contributions/inputs in decision-making and policy-making.

• Feedback, follow-up meetings/workshops after the initial public–participation events; and

• Advice on the outcome of inputs to participants in the consulting process.

Having such a system in place will assist departments in their reviewing process and account to the public on their inputs.

Chapter Seven

Accountability

7.1 Constitutional value
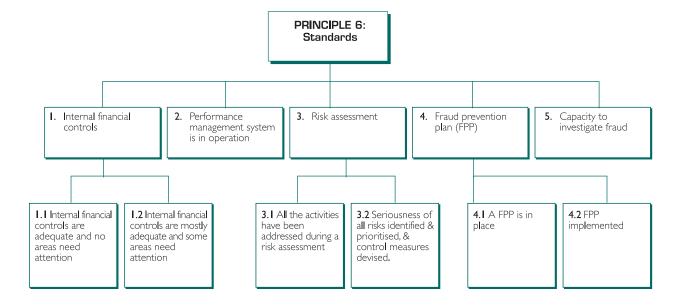
The sixth Constitutional principle states that: "public administration must be accountable". Accountability involves an obligation on the part of public officials to account for their performance on deliverables and how this performance takes place[26].

7.2 Performance indicator

For departments to perform in this area adequate internal controls must be exerted over all departmental financial transactions and fraud prevention plans (FPP), based on thorough risk assessments, must be in place and must be implemented.

7.3 Standards

A summary of the standards against which departments are evaluated appears below.
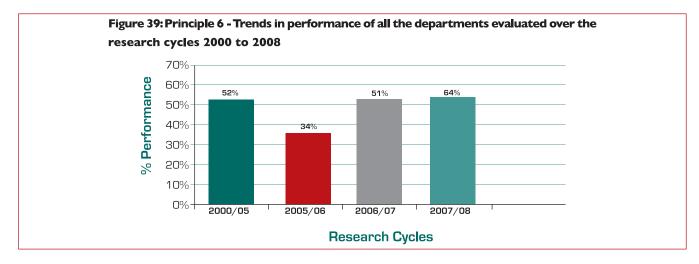
The maximum score for this principle is 5 or 100%.

7.4 Trends in Performance for the period 2000 to 2008

7.4.1 Trends in performance over the research cycles 2000 to 2008

Figure 39 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

The overall average performance of the departments against a total performance of 100% for accountability was 52% for the 2000 to 2005 research cycles, 34% for the 05/2006, and 51% for the 06/07 research cycles. The 07/08 research cycle shows an improvement from 51% in the 06/07 research cycle to 64% – an improvement of 12% in performance, and the best performance since 2000. This is an indication that departments are increasingly becoming aware of their accountability responsibility towards the utilisation of their resources, the legislature and the public.

Figure 39: Principle 6 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

7.4.2 Trends in performance per standard over the research cycles 2000 to 2008
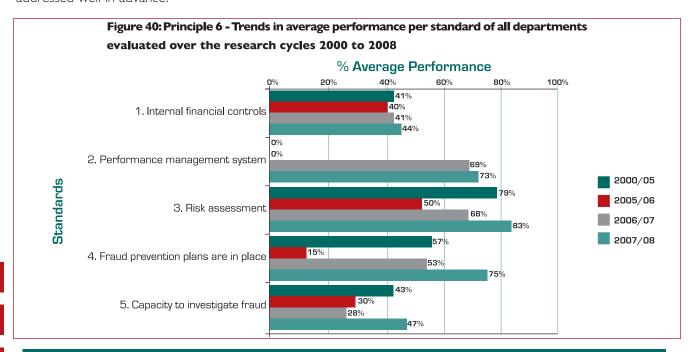
An analysis of departments' average performance per standard (**Figure 40** below) over the research cycles 2000 to 2008 reveals the following:

7.4.2.1 Internal financial controls

The average performance of the departments against the performance standards on financial controls assessed by the A-G is very low. Out of a total expected total performance of 100%, the performance of the departments was found to vary between 40% and 44% indicating that financial controls still need much attention.

7.4.2.2 Performance management (M&E) system on all departmental programmes is in operation

The assessment of departments' performance on operating an M&E system only started during the 06/07 research cycle. Evidence obtained thus far indicates that departments still do not have the necessary M&E systems in place to monitor and evaluate performance of programmes. There was only a 4% improvement from 69% in 06/07 to 73% in 07/08 out of a possible 100% performance. This raises a serious concern considering the envisaged GWM&ES which will require performance statistics on programmes from departments. With the 2010 Soccer World Cup an M&E system for departments is vital to ensure that gaps in project planning and the execution thereof are identified and addressed well in advance.

Figure 40: Principle 6 - Trends in average performance per standard of all departments evaluated over the research cycles 2000 to 2008

7.4.2.3 Risk assessment

The findings of 06/07 showed that departments' performance reached a score of 68% out of possible total of 100% for executing a comprehensive risk assessment on all departmental activities. However, during the 07/08 research cycle the situation has markedly improved by 15% to 83%. When the 07/08 performance is compared to the 05/06 (50%) performance of departments in this area there was an improvement of 33%. These figures are an indication that departments have realised the importance of risk assessments to improve accountability on all their activities.

7. 4.2.4 Fraud prevention plans

A critical aspect of financial management is to have a fraud prevention plan that is based on a thorough risk assessment and to ensure that the strategies of the plan are implemented by all officials. In comparison to the previous cycles, departments assessed during the 07/08 research cycle showed an improvement of 22% from 53% in 06/07 to 75% in 07/08 in having a fraud prevention plan. This performance of departments is a positive move in the right direction in ensuring that the necessary policy and plans are in place to deal with fraud should it occur in the department. This finding is in line with the findings made in the PSC's Report on the implementation of fraud prevention plans in the public sector issued in November 2007[27].

7.4.2.5 Capacity to deal with fraud

Departments' performance on having capacity to investigate fraud remains low. The performance varied between 43% in 2000 to 2005 to 30% in 05/06 and further down to 28% in 06/07, with an encouraging improvement of 19% to 47% in 07/08 compared to 06/07. This means that departments, despite their policy on fraud prevention and risks assessments are unable to do the necessary investigations into fraud should it occur.
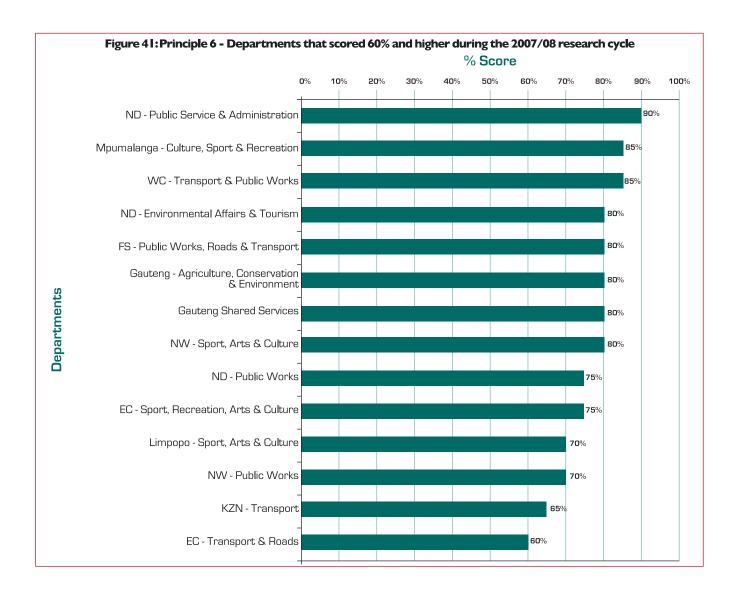
7.5   Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 41**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 42**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix J** provides the detail per department.

7.5.1 Departments that scored 60% and higher
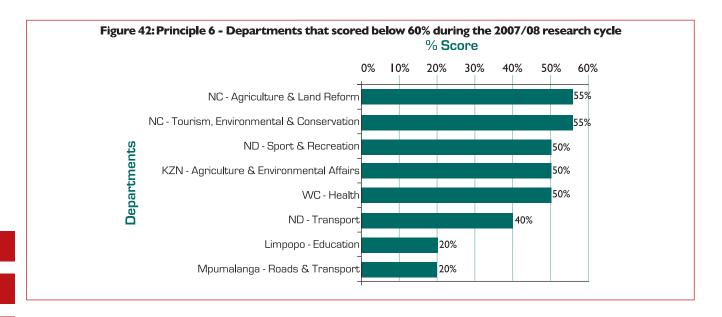
Fourteen out of twenty two sampled departments scored 60% and above on this principle. Of these fourteen departments only the DPSA scored 90%, which is indicative of excellent performance on all the standards. Seven of these departments scored between 80% and 85% of which two were national departments and five were provincial departments. The remaining six departments scored between 60% and 75% indicative that performance in several of the standards is adequate.

Three of the five national departments and eleven of the seventeen provincial departments evaluated fell within the departments that scored 60% and higher.

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27   Republic of South Africa. Public Service Commission. Report on the Implementation of Fraud Prevention Plans in the Public Sector November 2007.

Figure 41: Principle 6 - Departments that scored 60% and higher during the 2007/08 research cycle

% Score

Department	Score
ND - Public Service & Administration	90%
Mpumalanga - Culture, Sport & Recreation	85%
WC - Transport & Public Works	85%
ND - Environmental Affairs & Tourism	80%
FS - Public Works, Roads & Transport	80%
Gauteng - Agriculture, Conservation & Environment	80%
Gauteng Shared Services	80%
NW - Sport, Arts & Culture	80%
ND - Public Works	75%
EC - Sport, Recreation, Arts & Culture	75%
Limpopo - Sport, Arts & Culture	70%
NW - Public Works	70%
KZN - Transport	65%
EC - Transport & Roads	60%

Departments (y-axis label)

7.5.2 Departments that Scored Below 60%

Eight of the twenty two sampled departments scored between 20% and 55% - see **Figure 42** below, which is indicative of development that is needed in either all or most of the standards.

Figure 42: Principle 6 - Departments that scored below 60% during the 2007/08 research cycle

% Score

Department	Score
NC - Agriculture & Land Reform	55%
NC - Tourism, Environmental & Conservation	55%
ND - Sport & Recreation	50%
KZN - Agriculture & Environmental Affairs	50%
WC - Health	50%
ND - Transport	40%
Limpopo - Education	20%
Mpumalanga - Roads & Transport	20%

Departments (y-axis label)
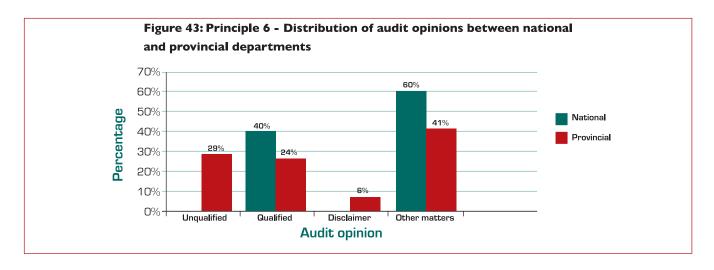
7.5.3 Performance per standard for the 07/08 research cycle

A further analysis of departments' compliance with the standards during the 07/08 research cycle revealed the following:

7.5.3.1 Internal Financial Controls
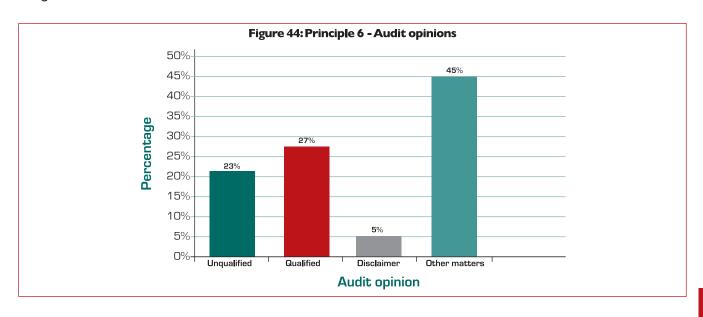
The distribution of audit opinions between national and provincial departments evaluated is depicted in **Figure 43** below.

Figure 43: Principle 6 – Distribution of audit opinions between national and provincial departments

None of the five national departments evaluated received an unqualified audit opinion as opposed to 29% of the eighteen provincial departments.

In general the provincial departments performed better than the national departments in respect of qualified audit opinions (24% provincial departments against 40% national departments). In respect of other matters reported, provincial departments had 41% as opposed to national departments' 60%.
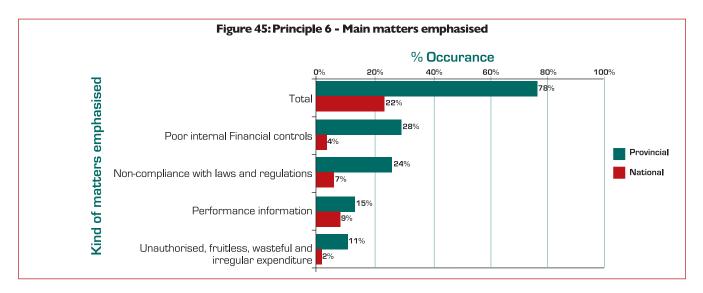
The audit opinions for the 06/07 financial year for the departments included in the 07/08 research cycle are depicted in **Figure 44** below.

Figure 44: Principle 6 - Audit opinions

Twenty three percent of the twenty two sampled departments evaluated in the 07/08 research cycle received and unqualified audit opinion, whilst 27% received qualified audit opinions for the 06/07 financial year. The 27% departments that received a qualified audit opinion were the ND of Public Works, the ND of Sport and Recreation, the EC Department of Transport and Roads, the EC Department of Sport, Recreation, Arts and Culture, the FS Department of Public Works, Roads and Transport and the NW Department of Public Works.

This means that in fact seventeen of the twenty two sampled departments evaluated did not receive a clean audit report as a number of internal control weaknesses were highlighted under the heading "Emphasis of Matter" in the A-Gs' report. The main matters emphasised are depicted in **Figure 45** below.

It was found that the provincial departments assessed were worse off with 78% matters emphasised by the A-G than national departments with only 22%. In analysing the kind of matters mostly emphasised, poor internal financial controls are the highest 32%. The provincial departments were again the poor performers with 28% as opposed to national departments with 4%.

Figure 45: Principle 6 - Main matters emphasised
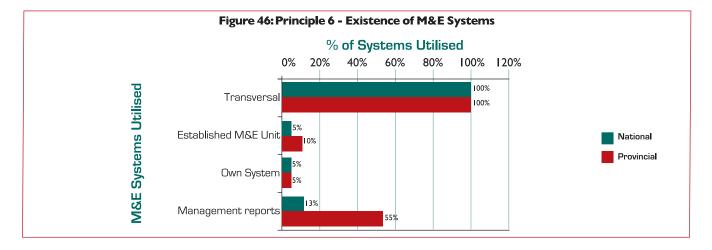
This poor performance might be attributed to departments' non-compliance with laws and regulations (31%) and the lack of performance information which comprised 24% of the matters emphasised. Unauthorised, fruitless, wasteful and irregular expenditure comprised only 13%, which might be a sign that departments are now more conscience in ensuring that their budgets are properly management. However, this contradicts the fact that laws and regulations are not properly followed.

7.5.3.2 Performance management (M&E) system

All the departments in the sample utilise the transversal systems of government, namely BAS, Persal and Logis – see **Figure 46** below.
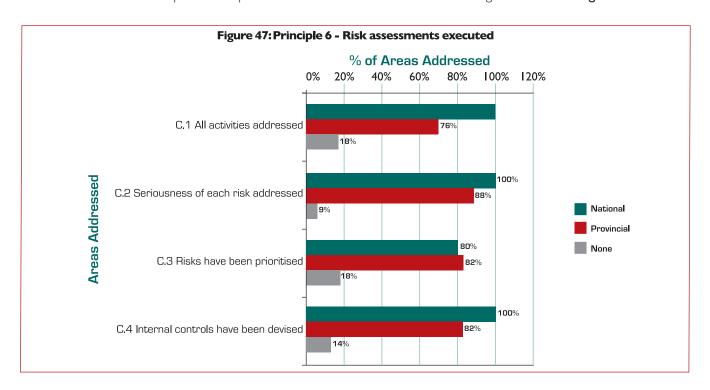
What is of concern is that only three of the twenty two sampled departments evaluated have an established M&E system of which one is a national department, namely the DPSA. The other two departments that have an established M&E system are the EC Department of Roads and Transport and the Mpu Department of Culture, Sport and Recreation.

Figure 46: Principle 6 - Existence of M&E Systems

The majority of the departments, of which 13% are national and 55% are provincial, utilise monthly and quarterly reports as a means to monitor progress on their work plans. In some instances departments also utilise the performance management and developments system for this purpose. It is of concern that M&E does not as yet get the attention it requires.

7.5.3.3 Risk assessment

In this area most of the departments' performance in most of the standards was good – refer to **Figure 47** below.

Figure 47: Principle 6 - Risk assessments executed
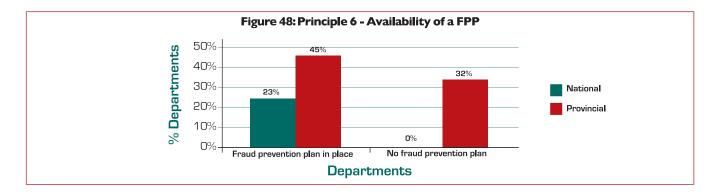
All five national departments did a thorough risk assessment on all their activities, addressed each risk's seriousness, prioritised them and devised internal control measures for each of these risks.

The provincial departments' performance in most of the standards was also good and varied between 76% and 88%. Only three of the seventeen provincial departments' performance indicated that either none of the standards have been met or development is needed in all the standards. These three departments were the Limp Department of Education, the Mpu Department of Roads and Transport and the NC Department of Tourism, Environment and Conservation.
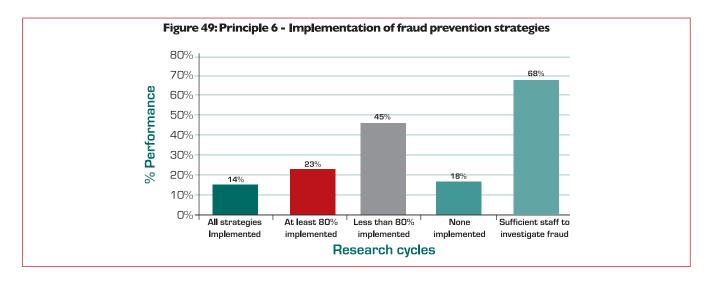
7.5.3.4 Fraud prevention plans (FPP)

Sixty eight percent of all the twenty two sampled departments at the time of the evaluation had an appropriate FPP plan in place – **Figure 48** below. Of these 86% departments, 23% were national departments and 45% were provincial departments. Thirty two percent of the sampled provincial departments did not have a FPP.

Figure 48: Principle 6 - Availability of a FPP

7.5.3.5 Implementation of the fraud prevention plan

What is of concern is that only 14% of the twenty two sampled departments have implemented all the strategies of their FPP. Twenty three percent implemented at least 80% of the strategies, 45% implemented less than 80% of the strategies and 18% implemented none of the strategies – **Figure 49** below.

Figure 49: Principle 6 - Implementation of fraud prevention strategies

7.5.3.6 Capacity to deal with fraud

Sixty eight percent of the twenty two sampled departments have a sufficient number of staff members to investigate fraud should it occur. However, looking at the overall picture, four of the fifteen sampled departments that did have a FPP in place did not have any capacity to deal with fraud cases. Three of these four departments were national departments, namely the ND of Environmental Affairs and Tourism, the ND of Sport and Recreation and the ND of Transport. All three these departments are vulnerable when it comes to fraud and having a FPP and strategies but without any capacity to implement these strategies or to investigate alleged cases of fraud leaves the FPP nil and void.

7.6 Strategies for improvement

The following matters need to be addressed to ensure that departments' accountability to the legislature and the public is enhanced.

7.6.1 Internal Controls

Departments need to address the deficiencies in internal control measures highlighted in the A-Gs Report.

7.6.2 Risk Assessment

Departments' risk assessment should be reviewed at least every three years to accommodate new developments in the department.

7.6.3 Performance management system

There is a need to expedite the implementation of M&E systems in departments to enhance the monitoring and evaluation activities of the department. This implies alignment and streamlining of various reporting tools such as the quarterly reports and the Project Progress Report for SDIs to feed into the objective, outputs and targets of each programme.

A guiding document should also be put in place that maps out the department's monitoring and evaluation system with particular references to the systems, tools and mechanisms that apply to each programme for the generating of accurate and reliable information.

Departments need to make a concerted effort to fill all the critical positions in the M&E unit with competent staff as soon as possible.

7.6.4 Fraud Prevention Plan (FPP)

Departments should devise, formally approve, implement and monitor their FPPs on a continuous basis.

Key staff for ensuring implementation of fraud prevention plans, especially investigation of fraud, should be in place and operational. These staff should be capacitated in terms of extensive training pertaining to the investigation of fraud.

Only when departments address these basic accountability measures would they be able to adequately deal with their financial management weaknesses.

Chapter Eight

Transparency

8.1 Constitutional value

The seventh Constitutional principle states that "transparency must be fostered by providing the public with timely, accessible and accurate information. A DAR is one of the key documents that enhance transparency. However, the DAR must comply with the key requirement that departments should report on their actual achievements against predetermined objectives as stated in their strategic plans and in the EN/DE. DARs are widely distributed and serve as a valuable reference source for government and citizens alike. In addition to DARs, departments also need to promote transparency by ensuring that they are accessible to provide information as required by the Promotion of Access to Information Act (PAIA)[28].
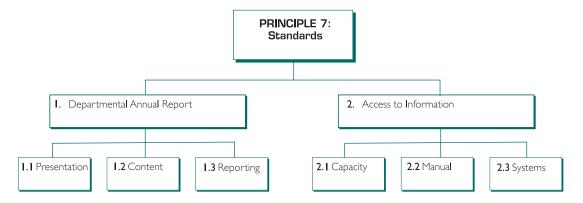
8.2 Performance indicator

The performance indicator for this principle is whether the DAR complies with National Treasury's guideline on annual reporting, and whether the department complies with the provisions of PAIA.

8.3 Standards

Following is a synopsis of the standards to evaluate departments' compliance with the principle on transparency.
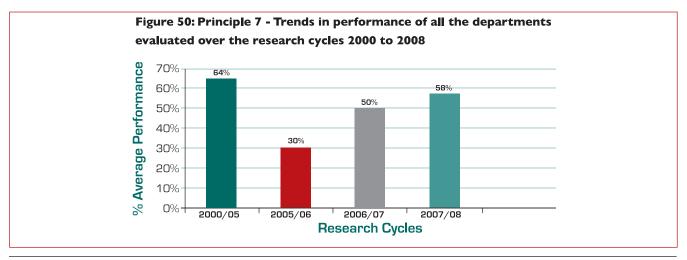
The maximum score for this principle is 5 or 100%.

8.4 Trends in Performance for the period 2000 to 2008

8.4.1 Trends in performance over the research cycles 2000 to 2008
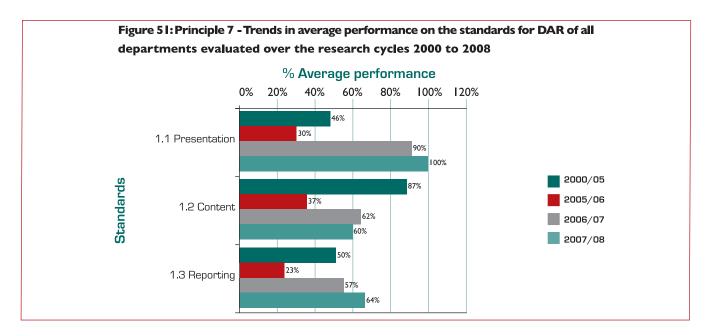
Figure 50 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

Figure 50: Principle 7 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

The best performing period was in the 2000 to 20005 research cycles when the average performance reached 64%. The average performance dropped to 30% in the 05/06 research cycle. Performance gradually improved to 50% in the 06/07 research cycle, and again in the 07/08 research cycle to 58%. Despite these improvements over the last three research cycles, the average performance is still below the threshold of 60%, which is supposed to represent adequate performance.

8.4.2 Trends in performance per standard over the research cycles 2000 to 2008

8.4.2.1 Departmental Annual Reporting

Figure 51: Principle 7 - Trends in average performance on the standards for DAR of all departments evaluated over the research cycles 2000 to 2008

An analysis of departments' average performance on the standard of DARs over the research cycles 2000 to 2008 reveals the following (**Figure 51** above):
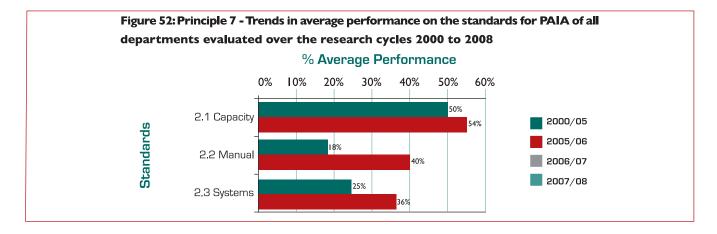
The DAR is a critical accountability tool in the Public Service, and is therefore the main source of information to assess departments' performance against the standards on transparency.

An analysis of departments' performance on the three standards set for DARs shows an improvement in two of these standards, namely the presentation of DARs (10% improvement) and reporting on performance against predetermined outputs (7% improvement). There is, however, a decline from 87% between the 2000 to 2005 research cycles to 37% in the 05/06 research cycle regarding the content of DARs – a decline of 50% An improvement occurred in the content of DARs in the 06/07 research cycle (62%) and then again a decline to 69% in the 07/08 research cycle. The latter is a concern because it is an indication that departments do not comply with the requirements set by National Treasury and the DPSA on annual reporting.

8.4.2.2 Promotion of Access to Information Act (PAIA)
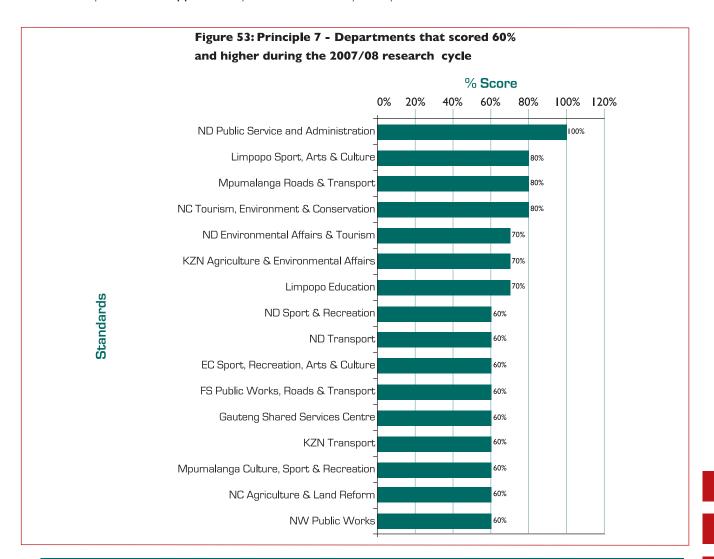
The PAIA as a standard was assessed for the first time since the 06/07 research cycle. **Figure 52** below provides the trends in performance over the research cycles 2000 to 2008 on the PAIA.

It is clear from the figures above that improvement in the average performance occurred in all three standards on PAIA since 06/07. In particular capacity to deal with information requests improved from an average of 50% to 54% in 07/08, the availability of a manual on access to information improved from 18% to 40% and the utilisation of a system for managing information requests improved from 25% to 36%. Despite these improvements the average performance, which should be 100%, is still unsatisfactory low and is an indication that departments do not as yet comply with the requirements of PAIA.

Figure 52: Principle 7 - Trends in average performance on the standards for PAIA of all departments evaluated over the research cycles 2000 to 2008

8.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 53**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 54**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix K** provides the detail per department.

Figure 53: Principle 7 - Departments that scored 60% and higher during the 2007/08 research cycle
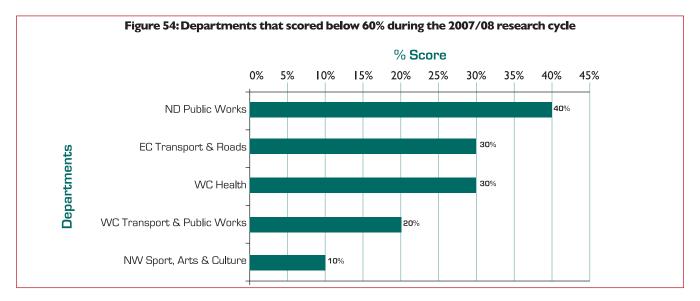
8.5.1 Departments that scored 60% and higher

Seventeen of the twenty two sampled departments scored 60% and higher on this principle. Of these seventeen departments only the DPSA scored 100% which is indicative of excellent performance in all the standards. Three departments scored 80% and three departments scored 70%, which is indicative of performance that is good in most of the standards.

Ten of the twenty two sampled departments scored 60% which is indicative of adequate performance in several of the standards. Four of the five national departments fell within this bracket of departments that scored 60% and higher. However, two of these four departments only performed adequately (60%). These two departments were the ND of Sport and Recreation and the ND of Transport.

8.5.2 Departments that scored below 60%

Five of the twenty two sampled departments evaluated scored below 60% of which two scored 30% and the remaining three respectively scored 40%, 20 % and 10% - **Figure 54** below. These scores are indicative of development that is needed in all the standards (10%) to development that is needed in most of the standards (40%).

Figure 54: Departments that scored below 60% during the 2007/08 research cycle

8.5.3 Performance per standard for the 07/08 research cycle

An analysis of the department's performance per standard on the DAR (**Figure 55** below) reveals the following:
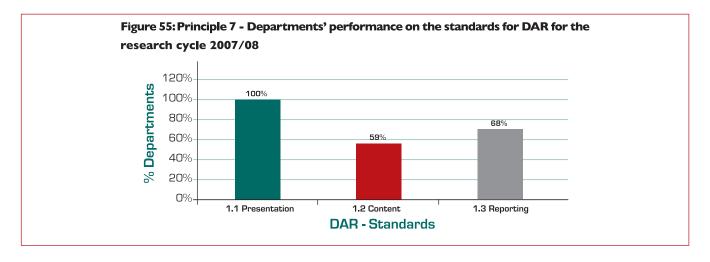
8.5.3.1 Departmental Annual Report

8.5.3.1.1 Presentation

It is encouraging to notice that all twenty two sampled departments whose DARs were evaluated were attractively and clearly presented, and were well written in simple accessible language.

However, some concerns raised on the availability of the DARs are that some of these DARs:

• Were not easily accessible on both the departments' website and in the form of hard copies.

• Were available only in English which deprives a large number of non-English speakers access to the valuable information about the departmental programmes, organisational structure, activities, projects, spending patterns and general achievements.

Figure 55: Principle 7 – Departments' performance on the standards for DAR for the research cycle 2007/08

A good example of a DAR was that of the WC Department of Health. This department's DAR was written in the three predominantly spoken official languages in the WC Province, namely, English, Afrikaans and Xhosa. It was also accessible via the Department's website, the Directorate: Communication of the Department and the Library of the Provincial Administration.

8.5.3.1.2 Content

Departments' performance against the standard of content is a disappointing 59%. This standard assesses whether departments' DARs cover in sufficient detail at least 90% of the areas prescribed by National Treasury and the DPSA. This low performance sends a negative message about departments' willingness to account on all their activities in a transparent manner. The following ten departments' DARs that did not in sufficient detail covered more than 90% of the areas prescribed by National Treasury and the DPSA were (refer to **Appendix L** for detail on the areas not covered per department):

Table 5: Departments that did not fully comply with the requirements of NT and DPSA for DARs

Department	% Compliance
1. Mpu Department of Roads and Transport	85%
2. EC Department of Transport	84%
3. FS Department of Public Works, Roads and Transport	82%
4. Limp Department of Sports, Arts & Culture	82%
5. WC Department of Health	79%
6. NC Department of Tourism, Environment & Conservation	73%
7. KZN Department of Agriculture & Environmental Affairs	65%
8. KZN Department of Transport	68%
9. NW Department of Sport, Arts & Culture	63%
10. NC Department of Agriculture & Land Reform	61%

8.5.3.1.3 Reporting

The DAR of 68% of the twenty two sampled departments evaluated clearly reported on performance against predetermined outputs in at least two thirds of the programmes listed.

The departments that failed to clearly report on their performance against predetermined outputs in at least two thirds of their listed programmes were:
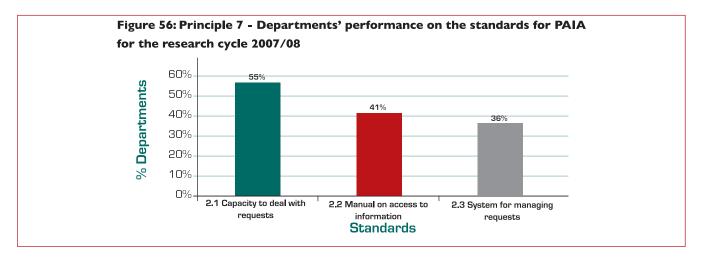
- ND of Public Works.

- EC Department of Roads and Transport.

- Gaut Department of Agriculture, Conservation and Environment.

- NW Department of Public Works.

- NW Department of Sport, Arts and Culture.

- WC Department of Health.

- WC Department of Transport and Public Works.

The main reasons for this unclear reporting on performance was that SDIs and targets were not clearly formulated in time, quality and quantity dimensions, as well as the poor linkage between SDIs, targets and achievement of outputs as they appear in the departments' strategic plans, the estimate of expenditure and the DARs.

This failure of departments not reporting on their performance against predetermined outputs is a violation of the requirements set in section 40 (d) (i) of the Public Finance Management Act 1999, Act no 1 of 1999[29]. This section requires that an accounting officer must report on the activities of that department on an annual basis to the legislature. These departments furthermore do not adhere to the requirements set in section 3.2 of National Treasury's Guide for the Preparation of Annual Reports[30].

8.5.3.2 Access to information

An analysis of the departments' performance per standard on the requirements of the Promotion of Access to Information Act 2000, Act 2 of 2000 (PAIA) – **Figure 56** below – reveals the following:

Figure 56: Principle 7 - Departments' performance on the standards for PAIA for the research cycle 2007/08

Fifty five percent of the twenty two sampled departments have appointed at least one Deputy Information Officer (DIO) with duly delegated authority. Fourty one percent of the departments have a manual in place on functions of and an index of records held by the department that complies with the requirements of the PAIA. Thirty six percent of the departments have a system in place for managing requests for access to information.

29   Republic of South Africa. National Treasury. Public Finance Management Act, 1999 (as amended). Act No 1 of 1999. Formeset Printers. Cape.
30   Republic of South Africa. National Treasury. Guide for the Preparation of Annual Reports. Pretoria. November 2004.

Three of twenty two sampled departments fully complied with the requirements of the PAIA. These departments were the DPSA, the Gaut Department of Agriculture, Conservation and Environment and the NW Department of Public Works.

It remains a concern that one of the major legislation pieces on transparency is so poorly implemented. This lack of compliance might signal the message that government is not serious about transparency – especially with regard to information on policies and government activities.

8.6 Strategies for improvement

8.6.1 Annual Reporting

The placing of the DARs on the departments' website or Government portal must be explored to enhance accessibility.

Departments need to ensure that their DARs comply with the requirements on performance reporting set by National Treasury and the DPSA.

To enhance the DARs on the achievement of outputs it is recommended that departments on a monthly basis monitor their programmes' performance (outputs) against predetermined objectives to ensure that all objectives have been achieved by the end of a financial year.

8.6.2 Access to information

8.6.2.1 Capacity to deal with requests

For purposes of compliance with section 17 of PAIA departments must have a DIO appointed by the HoD in writing. Such a DIO must have delegated authority to provide access to information, as well as a job description and a performance contract reflecting his/her tasks in this regard.

8.6.2.2 Manual on access to information

Departments must initiate with immediate effect, the process of developing manuals on functions of and an index of records held by the departments that comply with the requirements of section 14 of the PAIA.

8.6.2.3 Systems for managing requests

Departments need to put in place proper information management systems to deal with requests for access to information.

Good Human Resource Management and Career Development Practices

9.1 Constitutional value
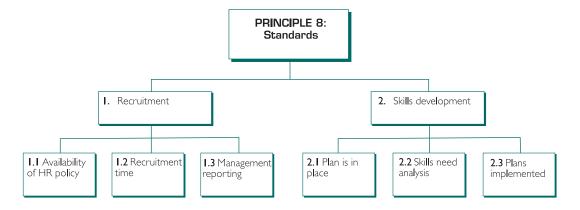
The eighth Constitutional principle states that "good human resource management and career development practices, to maximize human potential, must be cultivated". Adherence to this principle is critical in that a competent Public Service corps is essential to supporting the policies of government.

9.2 Performance indicator

In assessing how well departments perform against this principle, two indicators have been selected. These are whether vacant posts are filled in a timely manner and the implementation of the Skills Development Act.

9.3 Standards

A synopsis of the standards against which departments are evaluated for this principle appears below.
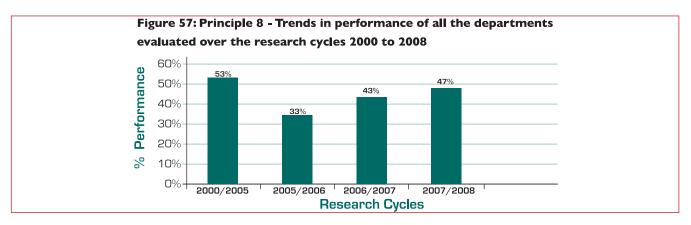
The maximum score for this principle is 5 or 100%.

9.4 Trends in Performance for the period 2000 to 2008

9.4.1 Trends in performance over the research cycles 2000 to 2008
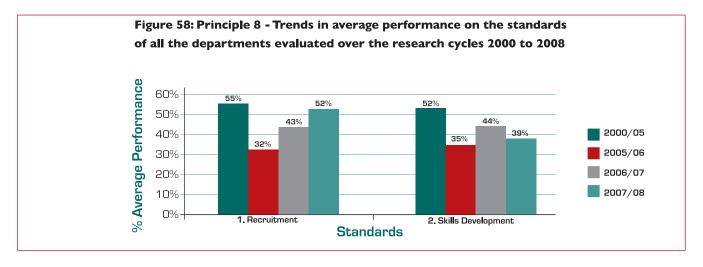
Figure 57 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

The overall average performance of the departments against a possible total performance of 100% for human resource management and career development practices was 53% for 2000 to 2005, 33% for the 05/06, 43% for the 06/07 and 47% for the 07/08 research cycles. Through all the years between 2000 and 2008 none of the 75 evaluated departments' performance reached the threshold of 60% which is indicative of adequate performance in most of the standards. Throughout the years these departments' performance lingered between 33% and 53% indicative of development that is needed in most of the standards.

Figure 57: Principle 8 - Trends in performance of all the departments evaluated over the research cycles 2000 to 2008

9.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 58** below) over the research cycles 2000 to 2008 reveals the following:

Figure 58: Principle 8 - Trends in average performance on the standards of all the departments evaluated over the research cycles 2000 to 2008

9.4.2.1 Recruitment
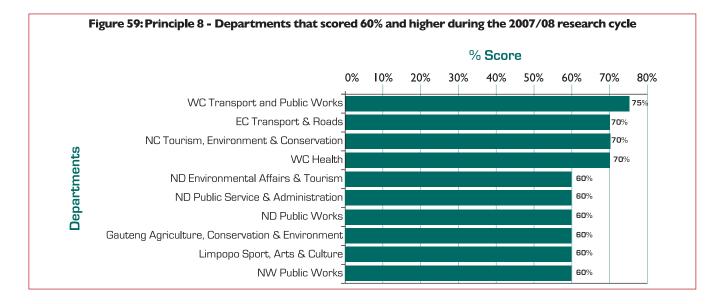
The best performing period was 2000 to 2005 where departments were able to obtain an average of 55%. A sharp decline of 23% occurred in performance from 55% in 2000 to 2005 to 32% in 05/06. Thereafter a steady increase in performance occurred in 06/07 (43%) and 07/08 (52%). The main area that negatively affected the departments' performance was the slow filling of vacancies.

9.4.2.2 Skills development

The averages performance of the 75 departments evaluated during the 2000 - 2005 to 07/08 research cycles is relatively low. The period with the best average performance recorded was 2000 to 2005 with 52%. A decline in average performance of 17% to 35% occurred in 05/06 in comparison with 2000 to 2005. An improvement of 9% to 44% occurred between 05/06 and 06/07, where after the average performance in 07/08 again declined with 5% to 39%. The main area that negatively affected the departments' performance was skills development activities planned for that was not implemented and their impact on service delivery that was not assessed.
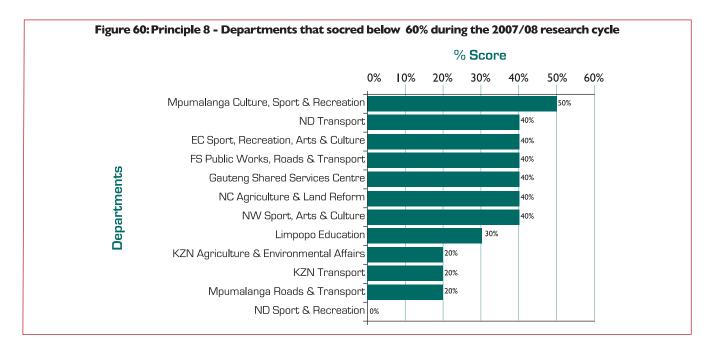
9.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 100% and are divided into two groups which will be discussed in turn. The first group (**Figure 59**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second (**Figure 60**) group comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix M** provides the detail per department.

Figure 59: Principle 8 - Departments that scored 60% and higher during the 2007/08 research cycle

% Score

Department	Score
WC Transport and Public Works	75%
EC Transport & Roads	70%
NC Tourism, Environment & Conservation	70%
WC Health	70%
ND Environmental Affairs & Tourism	60%
ND Public Service & Administration	60%
ND Public Works	60%
Gauteng Agriculture, Conservation & Environment	60%
Limpopo Sport, Arts & Culture	60%
NW Public Works	60%

9.5.1 Departments that scored 60% and higher

Ten of the twenty two sampled departments scored between 60% (adequate performance in several standards) and 75% (performance in most of the standards is good) – **Figure 59** above. Only the WC Department of Transport and Public Works scored 75%. The remaining nine (three national and six provincial) departments' score lingered between 70% and 60%.

Figure 60: Principle 8 - Departments that socred below 60% during the 2007/08 research cycle

% Score

Department	Score
Mpumalanga Culture, Sport & Recreation	50%
ND Transport	40%
EC Sport, Recreation, Arts & Culture	40%
FS Public Works, Roads & Transport	40%
Gauteng Shared Services Centre	40%
NC Agriculture & Land Reform	40%
NW Sport, Arts & Culture	40%
Limpopo Education	30%
KZN Agriculture & Environmental Affairs	20%
KZN Transport	20%
Mpumalanga Roads & Transport	20%
ND Sport & Recreation	0%

9.5.2 Departments that performed below 60%

Twelve of the twenty two sampled departments assessed scored below 60% (**Figure 60** above) of which six scored 40%, which is indicative of development that is needed in most of the standards. The remaining six scored 50% (Mpu Department of Culture, Sport and Recreation), 30 % (Limp Department of Education), 20% (three provincial departments) and 0% (the ND of Sport and Recreation).
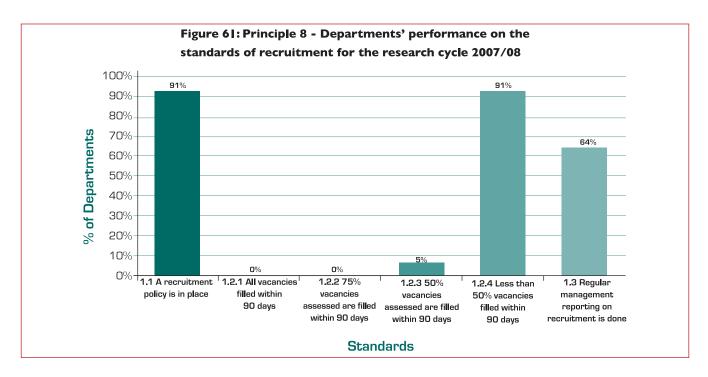
9.5.3 Performance per standard for the 2007/08 research cycle

9.5.3.1 Recruitment

Following is an analysis of the department's performance on the standards on recruitment (**Figure 61** below) which will be discussed in turn.

9.5.3.1.1 Human Resource Recruitment Policy

Twenty of the twenty two sampled departments evaluated for the 07/08 research cycle did have a detailed policy on recruitment, selection and appointments that complies with good practice, and with detailed processes spelled out. Each of these policies did enshrine the principle of fairness, equity, transparency and merit.

Figure 61: Principle 8 - Departments' performance on the standards of recruitment for the research cycle 2007/08

The following observations with regard to some departments' human resource recruitment policy were made:

- At the time of the evaluation the ND of Sport and Recreation did have a draft recruitment policy in place, but the policy did not address the following important areas:

    - Time frames for completing each phase.

    - The delegations of authority in terms of approval of appointments for various post-levels.

    - Issues of conflict of interest of the panel members.

    - The role/functions of the selection committee.

    - The role/functions of the interviewing panel.

- In the case of the Limp Department of Education it was found that foreign qualifications are not verified before submitting the applications to the Selection Committee despite of this requirement in the department's human resource recruitment policy.

- At the time of the evaluation the KZN Department of Agriculture and Environmental Affairs' human resource plan was still in a draft form.

This plan did not cover recruitment and selection matters. As a result the department utilised the Public Service Act, 1994 (PSA) and the Public Service Regulations, 2001 (PSR) for recruitment and selection purposes. However, the impact of the absence of a departmental policy and procedure pertaining to recruitment and selection might lead to line managers taking wrong decisions during the process on the basis of not knowing all the steps that must be followed.

9.5.3.1.2 Recruitment Times

One of the important aspects of service delivery is to ensure that the necessary competent capacity is available to deliver the department's services. It is therefore crucial that departments' need to ensure that vacant posts are filled as quickly as possible and that the necessary skills development of officials take place. These two aspects, recruitment and skills development, are still not receiving the attention as it should. It was found that none of the sampled departments were able to fill their assessed vacancies within the time frame of 90 days set by the PSC's PSM&ES. Ninety one percent departments were not able to fill less than 50% of their assessed vacancies within the set time frame of 90 days.

A synopsis of the average time taken by departments to fill a vacancy from the date the post became vacant to the date of appointment appears in **Table 6** below – for the detail of departments refer to **Appendix N**.

Table 6: Synopsis of the average time taken by departments to fill a vacancy

Average time taken to fill a vacancy from the date the post became vacant to the date of appointment	Frequency
No information submitted for assessment	3
Up to 90 days (Standard set by PSC's PSM&ES	0
91 days to 200 days	10
201 days to 300 days	5
301 days to 400 days	3
401 days plus	1

The ND of Environment Affairs and Tourism, the ND of Transport, and the GSSC could not be evaluated since the departments failed to submit the necessary information despite numerous requests to do so.

Reasons for the long delays in the filling of posts are ascribed to:

• The large volume of applications received.

• Insufficient applicants with potential from the designated groups, especially for health related occupations in the rural areas.

• Budgetary constraints.

• The non-availability of the relevant managers to finalise the short-listing process.

9.5.3.1.3 Regular management reporting on recruitment

Regular management reporting on progress with recruitment is an important monitoring and accountability mechanism to ensure that vacancies are filled as soon as possible. Such reporting also assists in taking good time remedial action where progress is unacceptable.

It was found that fourteen of the twenty two sampled departments do regular management reporting on recruitment. However, actions taken on the basis of reporting on recruitment and selection was not always evident, which is reflected in the high turnaround time on recruitment (**Table 6** above). It was also found that information contained in these reports is not always adequate to assist management in giving guidance in this regard.

Departments, such as the ND of Environmental Affairs and Tourism, only report annually on recruitment. Information included in this report focus on the reduced vacancy rate over two financial years for the whole department as well as per branch. Achievements, challenges and interventions to address these challenges on recruitment, selection and appointments are also addressed. Other departments such as the ND of Sport and Recreation interact verbally with the Director-General on posts that need to be advertised, those filled by a certain date, interviews that are being arranged, times of interviews and dates as well as the drafting of minutes, letters and submissions.

The KZN Department of Transport's view, for example, for not reporting on a regular basis to management on recruitment and selection was that submissions for approval of appointments go through management anyway, so management reporting thereon is regarded as duplication of work.
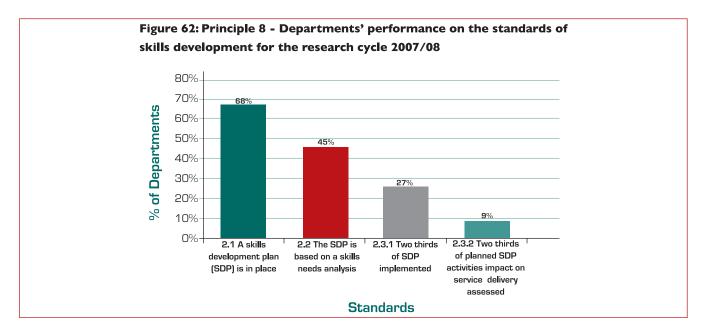
9.5.3.2 Skills development

Departments cannot perform effectively and efficiently without competent officials. It is therefore important for departments to know what the specific skills needs are compared to the current officials' skills profile, and where necessary ensure that training takes place in those areas where a lack of competency exists.

The departments' performance per standard in this specific area of skills development is depicted in **Figure 62** below followed by a discussion on each of the standards in turn.

9.5.3.2.1 Skills development plan (SDP)

Sixty eight percent of the twenty two sampled departments did have a SDP in place at the time of the evaluation. The SDPs clearly stipulate the details of people who are in the employ, which is done according to occupational category, gender, population group, disability status and age group. The SDPs also detail information on scarce skills and the need thereof.

Figure 62: Principle 8 – Departments' performance on the standards of skills development for the research cycle 2007/08

The SDP of the GSSC for example, was not detailed enough for a fair assessment and it was difficult to reach a conclusion on the developmental needs of the GSSC and its implementation. The NC Department of Agriculture & Land Reform is one of the departments that did not have a SDP at the time of the evaluation and reported that training is done on a needs only basis.

However, it was found that although some departments do have a SDP, most of the SDPs fall short of indicating the skills that the departments' officials already possesses, the essential skills required to execute the activities of the department per occupational category, and how many people in each category of staff needs to undergo training in a specific skill.

Some SDPs also do not always address the specific training needs of the previously disadvantaged groups in order to meet the employment equity requirements or prioritise certain training needs as a measure to overcome the shortage of people with scarce and critical skills.

9.5.3.2.2 The skills development plan is based on a thorough skills needs analysis

The abovementioned shortcomings in departments' SDPs can be directly linked to the fact that only 45% of the twenty two sampled departments' SDPs were based on a thorough skills needs analysis. That is why training occurred on a needs only basis. Departments are, therefore, to be blamed for inadequate skilled officials and poor service delivery.

9.5.3.2.3 Two thirds of planned skills development activities have been implemented

Twenty seven percent of the departments evaluated were able to implement at least two thirds of their planned training activities. It cannot be assumed that these planned activities were really needed considering that only 45% of the departments' SDPs were based on a skills needs analysis. Eight of the departments' performance could not be determined due to insufficient or lack of information.

Table 7 below provides the success rate of those departments that did implement planned training activities.

Table 7: Implementation of planned training activities

Department	% of planned activities implemented
WC Department of Transport and Public Works	127%
WC Department of Health	85%
EC Department of Transport	82%
KZN Department of Agriculture & Environmental Affairs	78%
Mpu Department of Culture, Sport & Recreation	70%
NW Department of Sport, Arts & Culture	61%
Gaut Department of Agriculture, Conservation and Environment	51%
DPW	48%
DPSA	39%
NW Department of Public Works	32%
FS Department of Public Works, Roads and Transport	10%
KZN Department of Transport	0%
Limp Department of Education	0%

Departments cited the following as reasons for not fully implementing their SDPs:

- Lack of accredited training institution within the Province.

- Lack of sufficient training budget.

- Cost of the external training institutions extremely high.

- Shortage of training Officers.

9.5.3.2.4 Two thirds of planned skills development activities' impact on service delivery has been assessed

Nine percent of the twenty two sampled departments evaluated, assessed the impact of their skills development activities' on service delivery. These two departments were the EC Department of Transport and the WC Department of Transport and Public Works. The latter department obtained the services of an independent service provider to make the impact assessment[31].

Some departments reported that, because of the low attendance and other skills development implementation challenges, training only partially contributed towards improving of service delivery.

However, departments must realise that to train just for the sake of training without even assessing the impact thereof on departments' service delivery is not the way to go in a country that is already crippled by scarce skills and unemployment.

9.6 Strategies for improvement

9.6.1 Recruitment

9.6.1.1 Policy on recruitment

The Public Service Commission's Toolkit on Recruitment and Selection[32] can be utilised as a guideline to develop a departmental specific recruitment and selection policy.

9.6.1.2 Recruitment times

It is proposed that departments put a strategy in place in which the filling of vacancies are prioritised and monitored to ensure that vacancies are filled within the time frame of twelve weeks on average.

9.6.1.3 Management reporting on recruitment

In order to enhance departments' monitoring of their vacancies and recruitment it is recommended that reporting on recruitment and selection should be at least on a quarterly basis. These quarterly reports should be included as a requirement into the departmental policy on recruitment, selection and appointment.

Departments furthermore need to ensure that the reporting format should includes at least the following information:

* Post designation

* Date when post became vacant.

* Date when post was advertised.

* Closing date for applications.

* Date of interviews.

* Date of decision on appointment.

* Appointment date.

* Management comments.

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31   *Republic of South Africa. Provincial Government Western Cape. Training Impact Assessment Report for the Department of Transport and Public Works. 7 September 2007.*
32   *Republic of South Africa. Public Service Commission. A Toolkit on Recruitment and Selection. Pretoria. Formeset Printers Cape.*

9.6.2 Skills Development

9.6.2.1 Skills development plan

Departments' SDPs must be based on a thorough skills needs analysis. The SDPs must at least include the following information:

- The skills the departments' officials already possess.

- The number of officials in each category of staff that need to undergo training in a specific skill.

- The specific training needs of the previously disadvantaged groups in order to meet the Employment Equity requirements.

- Indicates the skills already possessed per post level.

- Addresses issues around the shortage of people with scarce and critical skills within departments and put in it place

- Measures and a succession strategy to address the skills shortage in terms of gaps identified during the skills need analysis.

- Steps to be taken to reconcile needs with development in order to comply with the Skills Development Act

Departments need to closely monitor the implementation of planned training activities to ensure that all the planned activities take place. An impact assessment of the implemented skills development activities on the departments' ability to deliver services should also be done.

Chapter Ten

Representivity

10.1 Constitutional value
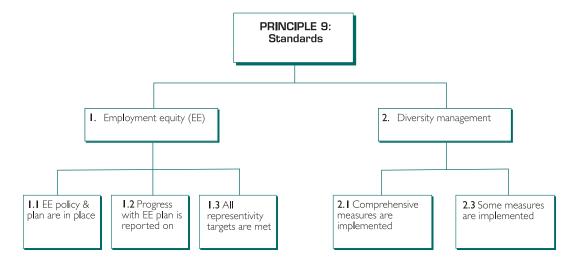
The ninth constitutional principle focuses on representivity which requires that employment and personnel management practices must be based on ability, objectivity, fairness and the need to redress the imbalances of the past so that public administration can become broadly representative of the SA people. The objective in this regard is to ensure that a dynamic work environment is created in which the diverse work force feels comfortable and cared for instead of just meeting numerical targets. Attending to both the targets and the diversity in a department will enhance the importance of change[33].

10.2 Performance indicator

The performance indicators utilised to evaluated departments' performance in this principle are whether departments' employment practices contribute to be representative of the South African people and whether diversity management measures are implemented.

10.3 Standards

A synopsis of the standards against which departments are evaluated for this principle appears below.
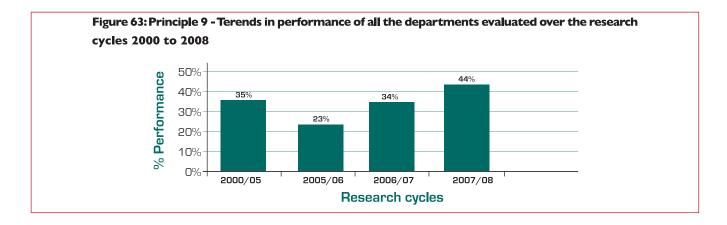
The maximum score for this principle is 5 or 100%.

10.4 Trends in Performance for the period 2000 to 2008

10.4.1 Trends in performance over the research cycles 2000 to 2008
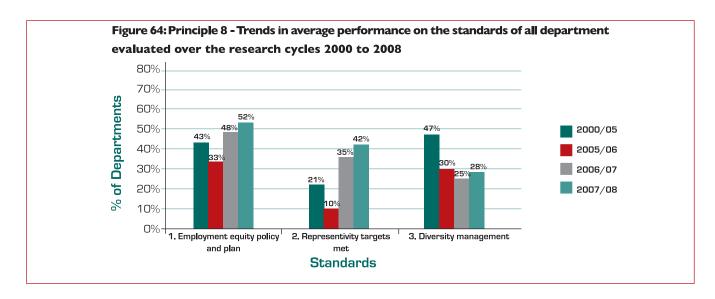
Figure 63 below, depicts the trends in performance of all the departments evaluated between 2000 and 2008.

The average performance of departments in the 2000 to 2005 research cycles was 35% followed by a decline to 23% in 05/06. The performance in 06/07 improved to 34% and again in 07/08 to 44%. However, through all the years since 2000 to 2008 none of the 75 evaluated departments' performance reached the threshold of 60% which is indicative of adequate performance in most of the standards. Throughout the years these departments' performance lingered between 23% and 44% indicative of development that is needed in most of the standards. This poor performance shows that departments do not make concerted efforts in ensuring that representivity targets are met and that provision is made for diversity in the work place.

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33   *Republic of South Africa. Public Service Commission. State of the Public Service Report 2008.*

Figure 63: Principle 9 - Terends in performance of all the departments evaluated over the research cycles 2000 to 2008

10.4.2 Trends in performance per standard over the research cycles 2000 to 2008

An analysis of departments' average performance per standard (**Figure 64** below) over the research cycles 2000 to 2008 reveals the following:

Figure 64: Principle 8 - Trends in average performance on the standards of all department evaluated over the research cycles 2000 to 2008

10.4.2.1 Employment equity policy and plan

The best performing period was 07/08 where departments were able to obtain an average of 52%, which is an improvement of 6%, compared to the 06/07 research cycle where the performance only reached 46%. This improvement is a positive sign indicating that departments now ensure that they do have an EE policy and plan in place.

10.4.2.2 Representivity targets met

The performance on this standard shows also an improvement since 2005/06 from a mere 10% to 35% in the 06/07 research cycle and a further improvement to 42% in the 07/08 research cycle. This is an indication that departments are increasingly meeting their representivity targets.

10.4.2.3 Diversity management

Statistics over the years show that diversity management remains an area of negligence. The highest performance of 47% was recorded in the 2000 to 2005 research cycles. The average performance during the other three research cycles lingered between 30% (05/06), 25% (06/07) and 29% for 07/08, which is indicative of development that is needed in all the standards set for diversity management.
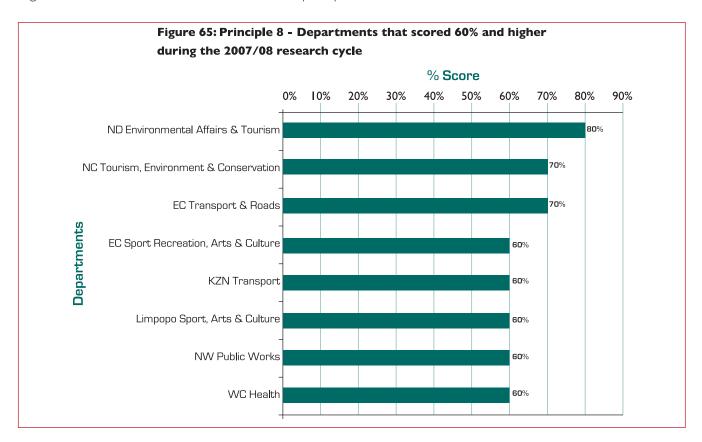
10.5 Overview of Departments' Performance for the 2007/2008 Research Cycle

Following is a reflection of the performance of the twenty two sampled departments evaluated during the 07/08 research cycle. Departments are ranked in order of their performance out of a total score of 5 (100%) and are divided into two groups which will be discussed in turn. The first group (**Figure 65**) comprises those departments that scored 60% and higher indicative of adequate performance in several of the standards to excellent performance in all the standards. The second group (**Figure 66**) comprises those departments that scored below 60% indicative of areas that need improvement. **Appendix O** provides the detail per department.

10.5.1 Departments that scored 60% and higher

Eight of the twenty two sampled departments scored between 60% (adequate performance in several standards) and 80% (performance in most of the standards is good) – **Figure 65** below.
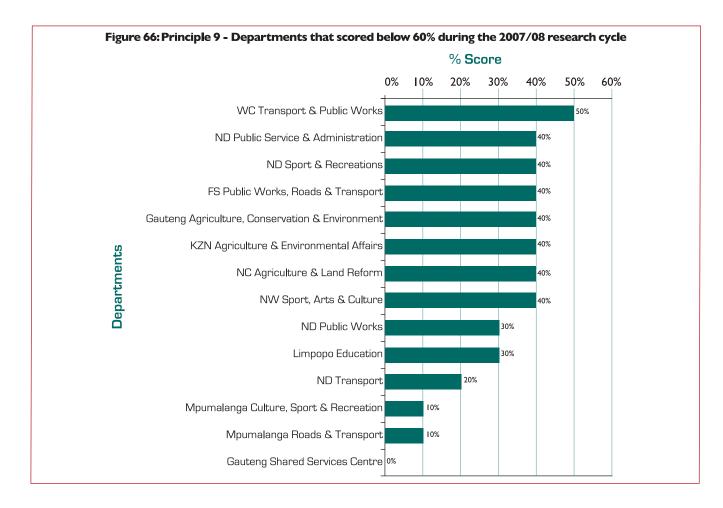
Only the ND of Environmental Affairs and Tourism scored 80%. The remaining six (all provincial) departments' score lingered between 70% and 60% indicative of adequate performance in most of the standards.

Figure 65: Principle 8 - Departments that scored 60% and higher during the 2007/08 research cycle

% Score

Department	Score
ND Environmental Affairs & Tourism	80%
NC Tourism, Environment & Conservation	70%
EC Transport & Roads	70%
EC Sport Recreation, Arts & Culture	60%
KZN Transport	60%
Limpopo Sport, Arts & Culture	60%
NW Public Works	60%
WC Health	60%

10.5.2 Departments that performed below 60%

Fourteen of the twenty two sampled departments evaluated performed below 60% (**Figure 66** below).

Seven scored 40% indicative of development that is needed in most of the standards. The remaining seven scored 50% (WC Department of Transport and Public Works), 30% (DPW and Limp Department of Education), 20% (ND Transport), 10% (Mpu Department of Culture, Sport and Recreation and Mpu Department of Roads and Transport) and 0% (GSSC).

Figure 66: Principle 9 - Departments that scored below 60% during the 2007/08 research cycle

% Score

Department	Score
WC Transport & Public Works	50%
ND Public Service & Administration	40%
ND Sport & Recreations	40%
FS Public Works, Roads & Transport	40%
Gauteng Agriculture, Conservation & Environment	40%
KZN Agriculture & Environmental Affairs	40%
NC Agriculture & Land Reform	40%
NW Sport, Arts & Culture	40%
ND Public Works	30%
Limpopo Education	30%
ND Transport	20%
Mpumalanga Culture, Sport & Recreation	10%
Mpumalanga Roads & Transport	10%
Gauteng Shared Services Centre	0%

10.5.3 Performance per standard for the 07/08 research cycle

Following is an analysis of departments' performance per standard for the 07/08 research cycle which will be discussed in turn.

10.5.3.1 Employment Equity policy and plan

One of the basic requirements to ensure that requirements set forth by government are adhered to is to ensure that concurrent departmental policies and plans are put in place. Such policies will ensure that plans are executed in line with the policy and expectation of government. The same apply to employment equity where it is expected of departments to have an employment policy and plan[34] in place to ensure that their establishment mirrors the South African Population.

Figure 67: Principle 9 - Departments' performance on the standards of employment equity for the research cycle 2007/08

% Departments

Standard	%
1.1 EE Policy & plan in place	55%
1.2 EE Mangement reporting twice a year	48%

Standard

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34   Republic of South Africa. Department of Labour. Employment Equity Act, 1998. Act No. 55 of 1998.

During the 2007/08 research cycle it was found that 55% of the twenty two sampled departments evaluated do have an EE policy and plan in place that comply with section 20 of the Employment Equity Act 1998, Act No. 55 of 1998 (**Figure 67** above). However, at the time of the evaluation some of the EE plans have not been formally adopted and certain areas such as employment equity targets, communication and grievances were not always clearly covered in the EE plans.
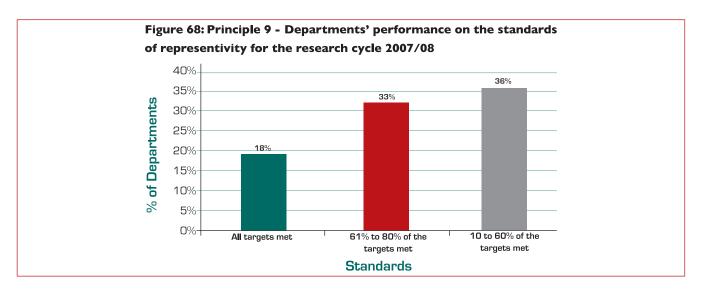
10.5.3.2 Management reporting on the EE plan is done twice a year

Fourty Eight percent of the twenty two sampled departments evaluated do report at least twice a year to management on the progress made on the implementation of the EE plan. The non-reporting to management on EE is a concern, because without such reports management is unable to make informed decisions on the departments' representivity for recruitment and selection purposes or giving guidance on redress.

The following departments' performance could not be assessed because they failed to submit any documentation on this standard, namely the National Department of Transport, GSSC and the Mpumalanga Department of Roads and Transport.

10.5.3.3 Representivity targets are met

Apart from departments' own targets on EE, government has also set national EE targets in respect of population group, gender, disability and management. In this standard departments were evaluated against meeting the national targets for 75% Blacks at senior management level (2005), 30% women at senior and middle management level (2000) and 2% people with disability (2005). The summary of the result of this evaluation appears in **Figure 68** below – for detail per department refer to **Appendix P**:

Figure 68: Principle 9 – Departments' performance on the standards of representivity for the research cycle 2007/08
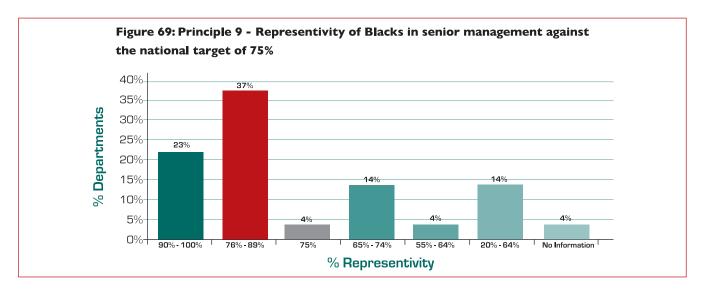
Three of the twenty two sampled departments evaluated were able to meet and exceed the abovementioned targets. These three departments were the ND of Sport and Recreation, the Limp Department of Sports, Arts and Culture and the NC Department of Tourism, Environment and Conservation. Thirty two percent of the departments met 61% to 80% of the national targets and 36% departments met between 10% and 60% of the national targets. The performance of the GSSC could not be assessed due to a lack of information.

A further breakdown of the representivity targets into the national targets set for Blacks, women and people with disability between 2000 and 2010 are highlighted and discussed in turn below.
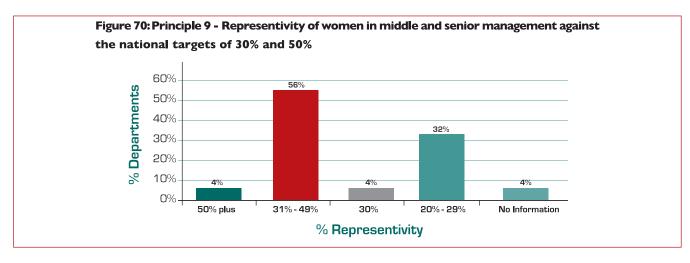
10.5.3.3.1 Representivity of Blacks in senior management

Figure 69 below shows that 60% of the twenty two sampled departments' representivity with regard to Blacks in senior management exceeds the national target of 75% set for 2005. Twenty three percent of these departments' Black senior managers are between 90% - 100% and 37% are between 76% and 89%. Another 32% departments' Black representivity at senior management level were below the target of 75%. These departments' representivity varied between 20% and 65%. It is clear from these figures that most of the twenty two sampled departments are over represented with regard to the Black population group in senior management positions and needs attention to ensure that these departments reflect the demography of the country in these positions.

Figure 69: Principle 9 - Representivity of Blacks in senior management against the national target of 75%

10.5.3.3.2 Representivity of Blacks women in middle and senior management
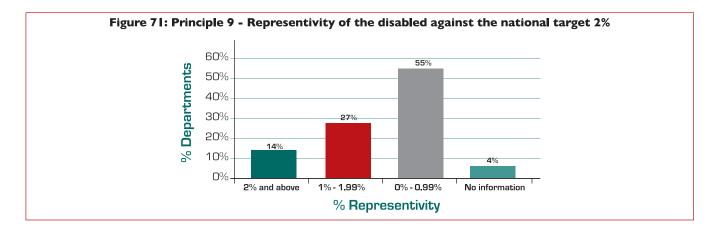
Figure 70 below shows that only 4% of the twenty two sampled departments' representivity with regard to women in middle and senior management position exceeds the national target of 50% set for 31 March 2009. The department that was able to exceed this target was the EC Department of Sport, Recreation, Arts and Culture with 92% representivity in this category.

Figure 70: Principle 9 - Representivity of women in middle and senior management against the national targets of 30% and 50%

Sixty percent of the departments were able to reach and exceed the target of 30% women in middle and senior management positions set for 2000, whilst 32% of the departments have not even yet reached the target of 30% for 2000. These figures show that departments are still patriarchal orientated and have no dedication to appoint women in management positions.

10.5.3.3.3 Representivity of those with disabilities
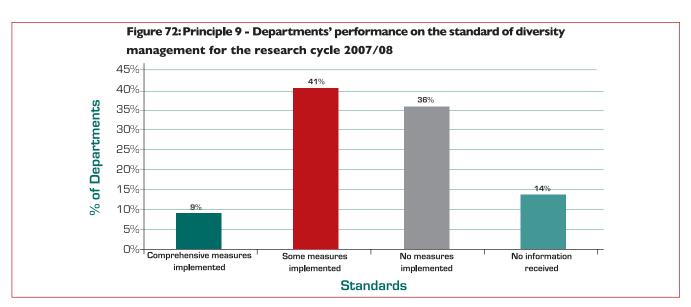
The national target of government for people with disability is 2%. This was the target set for 2005 and has since been extended to 2010. Departments' adherence to this target remains slow and disappointing. **Figure 71** below shows that 14% of the twenty two sampled departments evaluated were able to reach or exceed this target. These three departments are the ND of Sport and Recreation (3%), the Limp Department of Sports, Arts and Culture (4%) and the NC Department of Tourism, Environment and Conservation (2%). Fifty five of these departments have not even yet reached a representivity of 1% disabled people on their establishment.

Figure 71: Principle 9 – Representivity of the disabled against the national target 2%

10.5.3.4 Diversity management

The evaluation of department's performance on diversity management is aimed at practical ways in which departments go about in integrating the rich diversity of cultures and management styles in a department to improve service delivery and a team spirit amongst officials. **Table 72** below shows that although departments did perform relatively well when it comes to chasing representivity targets, their performance in managing diversity is poor. Only 9% of the departments, namely the ND of Environmental Affairs and Tourism and the EC Department of Transport were able to implement comprehensive diversity management measures. Some of these measures are, for example, having road shows, sensitize employees on diversity issues through in a monthly newsletter, and commitment from top management by declaring a diversity management week, for declarations and verifications of disabilities.

The ND of Environmental Affairs and Tourism also hosted a Women's Dialogue that focused on issues, which affected women in particular. A Cultural Audit was also recently conducted to establish the prevailing diverse culture, which report will be released soon.

Figure 72: Principle 9 – Departments' performance on the standard of diversity management for the research cycle 2007/08

Fourty one percent of the departments implemented some measures, whilst 36% of the departments did not implement any diversity measures.

10.6 Strategies for improvement

10.6.1 Employment Equity

Employment equity in the workplace remains an area that departments need to address rigorously in a responsible manner. The aim should not be to trace targets for the sake of the target, but to ensure that the best possible person is appointed to execute the functions of the department effective and efficiently and thereby improve service delivery. Part of the success in this area is that departments need to ensure that the most basic requirements on EE are in place. Recommendations on a few of these requirements are highlighted below.

10.6.1.1 EE Policy and plan

Departments need to ensure that their EE policy and plan comply with the requirements of the Employment Equity Act, 1998, (Act No 55 of 1998). The inclusion of EE targets in the policy will enhance consciousness as well as addressing imbalances that may exist through monitoring and evaluation of these targets.

10.6.1.2 Management reporting

Departments need to incorporate issues of employment equity in their management reports on vacancies and recruitment. Alternatively a separate report should be produced that indicate the performance of the department against the targets.

10.6.1.3 Representivity targets

Departments should put in place a monitoring and evaluation mechanism to ensure that employment equity targets are met, and where imbalances exists, for example over or under representivity in respect of population group, gender and disability, these imbalances can be addressed.

Departments are also encouraged to implement the Minister for Public Service and Administration' suggested eight principles on women empowerment that should be included in departmental action plans[35]. These principles include, among others, incorporating gender perspectives into all the work of departments, the provision of adequate resources to advance gender equality, and meeting equity targets.

Departments should also actively engage with organisations representing people with disabilities to consider a targeted recruitment approach for this group.

10.6.2 Diversity management

There is a need for a comprehensive and well implemented diversity management programme in Departments. Such a programme should include and address for example the following:

• The development of a policy on diversity management.

• Include diversity management in induction programmes, the skills development plan, and in the recruitment process.

• Provision of access into buildings for people with disabilities.

• Incorporate diversity management in procedure manuals, job descriptions and performance agreements for managers.

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35   Republic of South Africa. Ministry for Public Service and Administration. Head of Department's 8- Principle Action Plan for Promoting Women's Empowerment and Gender Equality within the Public Service Workplace. Undated.
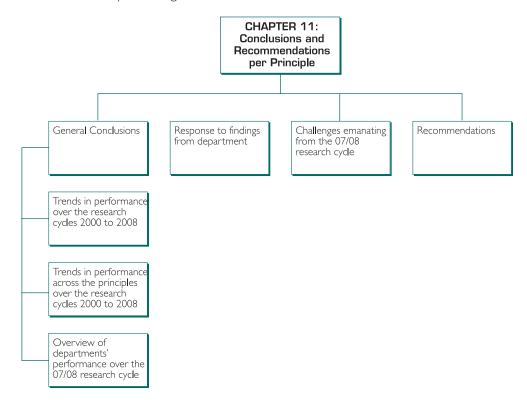
- Upgrade the working environment to accommodate diversity.

- Set targets and departmental objectives for achieving diversity management.

- Awareness amongst officials on diversity issues such as culture, language, gender, disability, ethnicity, religion, and sexual orientation. Implementation strategies, plans and directives in respect of the different elements of diversity management should be developed so that diversity management receives ongoing attention.

- The Head of Department by means of the quarterly performance assessments must ensure top management's commitment to promote sound diversity management within the Department.

- Strategies that address work arrangements and/or management styles that values diversity should be developed and implemented.

Chapter Eleven

Conclusions

11.1 Structure of Chapter

The structure for this chapter is organised as follows:

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                    ┌─────────────────────────┐
                    │      CHAPTER 11:        │
                    │    Conclusions and      │
                    │    Recommendations      │
                    │     per Principle       │
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        ┌───────────────┬───────────────┬───────────────┐
  ┌───────────┐  ┌───────────┐  ┌───────────┐  ┌───────────┐
  │  General  │  │ Response  │  │Challenges │  │Recommen-  │
  │Conclusions│  │to findings│  │ emanating │  │dations    │
  │           │  │from dept  │  │from 07/08 │  │           │
  └───────────┘  └───────────┘  └───────────┘  └───────────┘
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  │ Trends in │
  │performance│
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  │ Overview  │
  │of depts'  │
  │performance│
  └───────────┘
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11.2 General conclusions

11.2.1 Trends in performance over the research cycles 2000 to 2008

It was found that whereas the overall average performance of departments for the periods 2000 to 2005 and 06/07 was almost the same (between 47% and 48%), a slight improvement in performance (55%) occurred in the 07/08 research cycle compared to the overall average performance in the previous three research cycles. This improvement is encouraging since it shows that departments are now starting to attend to the most basic administrative practices required, to better enable them to improve service delivery and good governance.

11.2.2 Trends in performance across the principles over the research cycles 2000 to 2008

Looking at the overall trend of performance across the principles, it was found that there was an improvement in principle 3 which has steadily gone up from 24% in 2000/05 to 63% in 07/08, and principle 4 which has gone up from 8% in 05/06 to 61% in 07/08.

The improvements in principles 3 and 4 show that departments are increasingly focussing on poverty reduction programmes and that have started to ensure that their administrative decisions are fair and impartial.

What remains a concern is that performance in principles 8 and 9, which focuses on human resource practices and representivity, remains at an inadequate level (below 50%). Negligence in these two areas negatively impacts on service delivery. It also shows that departments need to improve on recruitment times, pay attention to the development of officials to improve capacity, and do more to promote a representative Public Service, especially in terms of gender and disability.

11.2.3 Overview of departments' performance for the 07/08 research cycle

The overall performance of the twenty two sampled departments evaluated during the 2007/08 research cycle showed that 41% scored 60% (performance in several of the standards is adequate) and above on the whole evaluation of which two were national departments and seven were provincial department. The DPSA received the best average score of 82%, which is an indication that performance in most of the standards is good.

Fifty nine percent of the twenty two sampled departments performed on average between 30% and 55%. This performance is indicative of development that is needed in most or all the principles.

11.3 Responses to findings from departments

However, some concerns raised on the availability of the DARs are that some of these DARs:

- Were not easily accessible on both the departments' website and in the form of hard copies.

- Were available only in English which deprives a large number of non-English speakers access to the valuable information about the departmental programmes, organisational structure, activities, projects, spending patterns and general achievements.

The opportunity that departments are afforded to respond to the findings of a report before the official approval thereof is very successful. It was found that when these reports were presented to management the findings and recommendations were taken seriously. In some instances departments were eager to provide additional information to enhance the findings in the report and thus improve their performance. This new process of direct engagement with senior managers and the HoDs created a climate of understanding and co-operation that benefited both the department and the PSC in creating a spirit of good governance.

As a result of this interaction with departments, some of them have afterward engaged with the Office to provide guidance on the implementation of M&E Units in their departments in response to recommendations in this regard.

11.4 Challenges

The challenges that emanate from the 07/08 research cycle on the nine Constitutional principles should be seen against the broader environment of the diverse administrative practices and processes that need to be followed to enhance good governance. The PSM&ES of monitoring and evaluating the nine Constitutional principles focuses only on a small part of these administrative practices and processes per principle (performance indicators and standards) to establish departments' performance/compliance in fulfilling their mandate. The challenges highlighted and the recommendations made are therefore an effort to assist departments to not only look at the smaller detail of their processes but also reassess their own administrative practices in order to improve on their service delivery and thus enhance good governance.

The following challenges for departments on specific administrative processes are highlighted:

- There is a relative improvement with regard to the existence of a policy and procedures of dealing with cases of misconduct, but only 50% of the twenty two sampled departments evaluated were able to complete their cases of misconduct within the 20-80 days period as required by the standard. This again highlights the need for development in building the capacity to deal with cases of misconduct in the Public Service.

- Departments are still facing a challenge in ensuring that their performance indicators are measurable in terms of quality, quantity and time dimensions.

- M&E is not as yet taken seriously as a performance measurement mechanism. Evidence obtained thus far indicates that departments still do not have the necessary M&E systems in place to monitor and evaluate performance of programmes. This raises a serious concern considering the envisaged Government Wide M&E System which will require performance statistics on programmes from departments.

- Projects aimed at development orientation are not yet of an acceptable standard, because departments might lack the necessary monitor and evaluation systems. LDPs are increasingly taken into account in development projects. However, it remains crucial for departments to meaningfully involve beneficiaries in the design, governance and monitoring of projects.

- Decisions taken in terms of the relevant legislation/policy and by duly authorised officials in terms of departmental delegations are still not satisfactorily. Departments still do not adhere to the requirements of PAJA.

- Fourteen (or 63%) of the sample departments evaluated did not have any policy/guideline on public participation in policy-making in place. Inputs obtained through Izimbizo, Indabas and outreach programmes are not always acknowledged or considered.

- Fifteen (or 68%) of all the departments at the time of the assessment had an appropriate FPP plan in place of which three have implemented all the strategies of the FPP. Four of the fifteen departments that did have a FPP in place did not have any capacity to deal with fraud cases.

- It is a concern that the performance of departments against the standards set for DARs showed a marked decline. This decline in performance is despite the clear guidelines issued by National Treasury and the Department of Public Service and Administration.

- Departments are still far from complying with the requirements on PAIA.

- Through all the years between 2000 and 2008 none of the 75 evaluated departments' performance reached an adequate performance against most of the standards. The main areas that negatively affected the departments' performance were the long time (more than 90 days on average) taken to fill vacancies and skills development activities planned for that were not implemented and their impact on service delivery not assessed.

- Employment equity, meeting national representivity targets and diversity management are still problem areas that need to be addressed.

11.5 Recommendations

The following recommendations relate to those areas highlighted above that were identified as challenges. These recommendations are linked to the specific performance indicators and standards set in the PSM&ES for the various principles. It is believed that if departments attend to these recommendations their administrative processes in these areas will be streamlined and improved for better service delivery.

- The development of performance indicators that are measurable is of vital importance. Linked to performance indicators is the development of an institutionalised M&E system. Such a system will enable departments to monitor and evaluate the performance of all the various programmes so that they are geared to get early warning in areas that need attention, and thereby contributing to overall management and service delivery improvement.

- Departments need to make a concerted effort to fill all the critical positions in M&E Units with competent staff as soon as possible.

- Departments must ensure that a standardised project management system for poverty reduction projects is followed which makes provision for clearly defined objectives, budget projections, service delivery indicators and targets. The necessary processes of institutionalising lessons learned from these poverty reduction programmes should also be put in place.

- Departments' failure to adhere to the requirements of the Promotion of Administrative Justice Act 2000, Act No. 1 of 2000 has been repeatedly reported on in the Consolidated M&E Reports since August 2003[36], and the State of the Public Service Reports since 2004[37] with only marginal improvement. It is suggested that the Portfolio Committee on Public Service and Administration now takes the necessary steps to ensure that departments do adhere to the PSC's recommendations in this regard for the past five years.

- It is recommended that departments utilises the Step-by-Step Guide to Holding Citizens' Forums issued by the PSC[38] as an example of a mechanism for facilitating public participation in policy-making.

- Key staff for ensuring implementation of fraud prevention plans, especially investigation of fraud, should be in place and operational. These staff should be capacitated in terms of extensive training pertaining to the investigation of fraud.

- Departments need to utilise the guideline on preparing DARs published by National Treasury. Consideration could also be given to publish DARs in the three dominant official languages in a department's area for the benefit of the non-English speakers. The placing of the DARs on the departments' website or Government portal may be explored to enhance accessibility.

- Departments should ensure compliance with all the requirements of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000).

- Department should put a strategy in place wherein the filling of vacancies is prioritised and monitored to ensure that vacancies are filled within the time frame of twelve weeks on average. The PSC's Toolkit on Recruitment and Selection can be utilised to assist departments in this regard[39].

- Departments need to closely monitor the implementation of planned training activities to ensure that all the planned activities take place. An impact assessment of the implemented skills development activities on the departments' ability to deliver services should also be done.

- Departments should put in place a monitoring and evaluation mechanism to ensure that employment equity targets are met, and where imbalances exists, for example over or under representivity in respect of population group, gender and disability, these imbalances are addressed by filling all the most critical positions as soon as possible.

- Departments should implement a comprehensive diversity management programme that should address diversity issues such as culture, language, gender, disability, ethnicity, religion, and sexual orientation.

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38   Republic of South Africa: Public Service Commission. Step-By-Step Guide to Holding Citizens' Forums. Pretoria. September 2005.
39   Republic of South Africa. Public Service Commission. A Toolkit on Recruitment and Selection. Pretoria. Formeset Printers Cape.
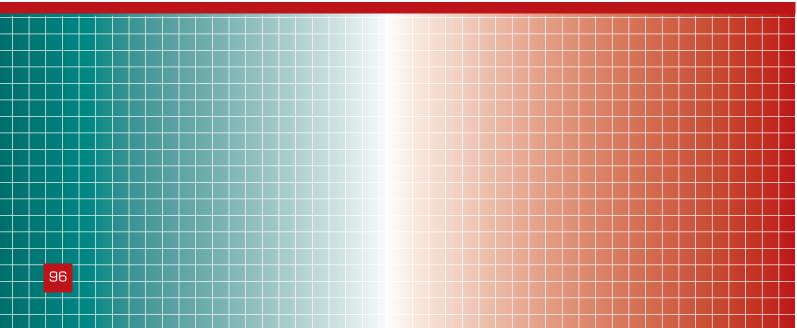
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25. Republic of South Africa. Public Service Commission. Third Consolidated Public Service Monitoring and Evaluation Report: Research Cycle 2005/2006. March 2007. Pretoria. 2007.

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Appendix

Appendix A – Complete list of departments assessed: 2000 - 2008

2000 - 2005	2005 - 2006	2006 - 2007	2007 - 2008
National Departments		**National Departments**	**National Departments**
1. Agriculture		1. Labour	1. Environment Affairs and Tourism
2. Arts and Culture		2. National Secretariat for Safety and Security	2. Public Service and Administration
3. Education		3. Public Enterprises	3. Public Works
4. Foreign Affairs		4. Water Affairs and Forestry	4. Sport and Recreation
5. Health			5. Transport
6. Housing			
7. Justice and Constitutional Development			
8. Minerals and Energy			
9. National Treasury			
10. Provincial and Local Government			
11. Social Development			
12. Trade and Industry			

Provincial Departments	Provincial Departments	Provincial Departments	Provincial Departments
Eastern Cape	**Eastern Cape**	**Eastern Cape**	**Eastern Cape**
		1. Housing, Local Government & Traditional Affairs	1. Sport, Recreation, Arts and Culture
		2. Public Works	2. Transport
		3. Social Development	
Free State	**Free State**	**Free State**	**Free State**
		1. Local Government and Housing	1. Public Works, Roads and Transport
Gauteng	**Gauteng**	**Gauteng**	**Gauteng**
Health	1. Local Government	1. Community Safety	1. Agriculture, Conservation and Environment
	2. Public Transport, Roads and Works	2. Sports, Arts, Culture and Recreation	2. Gauteng Shared Services

2000 - 2005	2005 - 2006	2006 - 2007	2007 - 2008
KwaZulu-Natal	KwaZulu-Natal	KwaZulu-Natal	KwaZulu-Natal
1. Provincial Treasury		1. Education	1. Agriculture & Environmental Affairs
			2. Transport
Limpopo	Limpopo	Limpopo	Limpopo
1. Office of the Premier	1. Public Works	1. Agriculture	1. Education
2. Health and Social Development	2. Roads and Transport		2. Sports, Arts & Culture
3. Local Government and Housing			
4. Provincial Treasury			
Mpumalanga	Mpumalanga	Mpumalanga	Mpumalanga
1. Finance	1. Education	1. Safety and Security	1. Culture, Sport & Recreation
2. Health and Social Services	2. Housing and Land Administration		2. Roads and Transport
3. Local Government and Housing			
Northern Cape	Northern Cape	Northern Cape	Northern Cape
	1. Housing and Local Government	1. Sport, Arts and Culture	1. Agriculture & Land Reform
	2. Transport, Roads and Public Works		2. Tourism, Environment & Conservation
North West	North West	North West	North West
1. Office of the Premier	1. Developmental Local Government and Housing	1. Economic Development and Tourism	1. Public Works
2. Finance	2. Transport and Roads		2. Sport, Arts & Culture
1. Health			
2. Social Development			
Western Cape	Western Cape	Western Cape	Western Cape
1. Office of the Premier		1. Local Government and Housing	1. Health
2. Social Services and Poverty Alleviation			2. Transport and Public Works
Total National Departments: 12	Total National Departments: 0	Total National Departments: 4	Total National Departments: 5
Total Provincial Departments: 15	Total Provincial Departments: 10	Total Provincial Departments: 12	Total Provincial Departments: 17

Appendix B – Performance indicator and applicable policies/regulations per principle

Constitutional Principle	Performance Indicator	Applicable Policies and Regulations
1. Professional ethics.	Cases of misconduct where a disciplinary hearing has been conducted, comply with the provisions of the Disciplinary Code and Procedures for the Public Service.	1. Disciplinary Codes and Procedures for the Public Service. 2. Public Service Coordinating Bargaining Council (PSCBC) Resolution 2 of 1999 as amended by Public Service Coordinating Bargaining Council Resolution 1 of 2003. 3. Code of Conduct for the Public Service.
2.. Efficient economic and effective use of resources must be promoted.	1. Expenditure is according to budget. 2. Programme outputs are clearly defined and there is credible evidence that they have been achieved.	1. Public Finance Management Act, Act 1 of 1999, Sections 38 to 40. 2. Treasury Regulations. Part 3: Planning and Budgeting. 3. Public Service Regulations. Part III/B. Strategic Planning. 4. Treasury Guidelines on preparing budget submissions for the year under review. 5. Treasury Guide for the Preparation of Annual reports of departments for the financial year ended 31 March. 6. National Planning Framework.
3. Public administration must be development oriented.	The department is effectively involved in programmes/ projects that aim to promote development and reduce poverty.	Section 195 (c) of the Constitution.
4. Services must be provided impartially, fairly, equitably and without bias.	There is evidence that the department follows the prescribed procedures of the Promotion of Administrative Justice Act (PAJA) when making administrative decisions.	1. Promotion of Administrative Justice Act, 2000. 2. Regulations on Fair Administrative Procedures, 2002. 3. Departmental delegations of authority.
5. Peoples' needs must be responded to and the public must be encouraged to participate in policy making.	The department facilitates public participation in policy-making.	White Paper for Transforming Public Service Delivery (Batho Pele).

Constitutional Principle	Performance Indicator	Applicable Policies and Regulations
6. Public administration must be accountable.	1. Adequate internal financial controls and performance management is exerted over all departmental programmes. 2. Fraud prevention plans, based on thorough risk assessments, are in place and are implemented.	1. Public Finance Management Act, Act 1 of 1999. 2. Treasury Regulations. Part 3: Planning and Budgeting. 3. White Paper for Transforming Public Service Delivery (Batho Pele). 4. Public Service Regulations. Part III/B. Strategic Planning. 5. Treasury Guidelines on preparing budget submissions, 2002. 6. Treasury Guide for the Preparation of Annual Reports of departments for the financial year ended 31 March. 7. National Planning Framework.
7. Transparency must be fostered by providing the public with timely, accessible and accurate information.	**A. Departmental Annual Report** • The departmental annual report complies with National Treasury's guideline on annual reporting. **B. Access to Information** • The Department complies with the provisions of the Promotion of Access to Information Act (PAIA).	1. Public Finance Management Act 1999, Act 1 of 1999. 2. National Treasury's guideline for the Preparation of Annual Reports. 3. The Department of Public Administration's guide for an Oversight Report on Human Resources. 4. Public Service Commission. Evaluation of Departments' Annual Reports as an Accountability Mechanism. October 1999. 5. White Paper for Transforming Public Service Delivery (Batho Pele). 6. Promotion of Access to Information Act 2000, Act 2 of 2000. 7. Departmental delegations of authority.
8. Good human resource management and career development practices, to maximize human potential, must be cultivated.	**A. Recruitment** • Vacant posts are filled in a timely and effective manner. **B. Skills Development** • The department complies with the provisions of the Skills Development Act.	1. Public Service Regulations, 2001 as amended. 2. Public Service Act, 1994 as amended.
9. 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 Department is representative of the South African people and is implementing diversity management measures	1. Part VI Public Service Regulations, 2001 as amended. 2. Employment Equity Act, Act 55 of 1998. 3. White Paper on the Transformation on Public Service – 15/11/1995. 4. White Paper on Affirmative Action in the Public Service, 2001.

Appendix C – Overall scores: Research Cycle 2007/08

Department	PRINCIPLES									Total	Average
	1	2	3	4	5	6	7	8	9		
ND Pubic Service and Administration	3.50	5.00	5.00	4.00	5.00	4.50	5.00	3.00	2.00	37.00	**4.11**
ND Environmental Affairs and Tourism	3.00	3.00	5.00	4.50	4.00	4.00	3.50	3.00	4.00	34.00	**3.78**
Gaut Agriculture, Conservation & Environment	3.50	3.50	3.00	5.00	5.00	4.00	3.00	3.00	2.00	32.00	**3.56**
NW Public Works	3.00	1.50	4.00	5.00	5.00	3.50	3.00	3.00	3.00	31.00	**3.44**
EC Transport and Roads	3.75	3.00	5.00	3.00	4.00	3.75	1.50	3.50	3.00	30.50	**3.39**
KZN Transport	3.50	3.00	4.50	3.75	5.00	3.25	3.00	1.00	3.00	30.00	**3.33**
WC Transport and Public Works	3.50	2.50	4.00	4.25	4.00	4.25	1.00	3.75	2.50	29.75	**3.31**
WC Health	3.00	1.75	5.00	4.25	4.00	2.50	1.50	3.50	3.00	28.50	**3.17**
NC Tourism, Environment & Conservation	3.50	1.75	4.00	4.50	0.00	2.75	4.00	3.50	3.50	27.50	**3.06**
EC Sport, Recreation, Arts & Culture	3.50	2.75	1.00	4.50	2.00	3.00	3.00	2.00	3.00	24.75	**2.75**
Limp Sports, Arts & Culture	2.50	3.75	2.00	3.00	0.00	3.50	4.00	3.00	3.00	24.75	**2.75**
NC Agriculture and Land Reform	4.50	0.50	5.00	4.00	0.00	2.75	3.00	2.00	2.00	23.75	**2.64**
NW Sport, Arts & Culture	3.00	2.75	5.00	0.50	3.00	4.00	0.50	2.00	2.00	22.75	**2.53**
Limp Education	2.00	3.50	3.00	4.25	2.00	1.00	3.50	1.50	1.50	22.25	**2.47**
FS Public Works, Roads and Transport	3.25	2.75	3.00	0.00	2.00	4.00	3.00	2.00	2.00	22.00	**2.44**
KZN Agriculture and Environmental Affairs	2.00	2.00	0.00	4.25	2.00	2.50	3.50	1.00	2.00	19.25	**2.14**
Mpu Culture, Sport & Recreation	2.00	2.75	4.00	0.00	1.00	4.25	3.00	2.50	0.50	20.00	**2.22**
ND Sport and Recreation	2.00	1.75	3.00	2.00	2.00	2.50	3.00	0.00	2.00	18.25	**2.03**
ND Transport	2.50	2.75	4.00	0.00	1.00	2.00	3.00	2.00	1.00	18.25	**2.03**
Mpu Roads and Transport	2.00	2.00	0.00	3.50	4.00	1.00	4.00	1.00	0.50	18.00	**2.00**
ND Public Works	3.25	0.75	0.00	2.50	0.00	3.75	2.00	3.00	1.50	16.75	**1.86**
Gauteng Shared Services Centre	1.50	3.00	0.00	0.00	0.00	4.00	3.00	2.00	0.00	13.50	**1.50**
Total	64.25	56.0	69.5	66.7	55.0	70.7	64.0	51.5	47.0	544.50	24.75
Average	2.92	2.55	3.16	3.03	2.50	3.22	2.91	2.33	2.14	24.75	

Appendix D – Principle 1: Professional Ethics. Departments' score per standard

Department	Standard *A		*B		*C	*D					*E	Tot out of 5
	1	2	1	2	1	1	2	3	4	5	1	
NC Department of Agriculture & Land Reform	0.50	0.50	0.50	0.00	1.00	1.00	-	-	-	-	1.00	**4.50**
EC Department of Sport, Recreation, Arts and Culture	0.50	0.50	0.50	0.00	1.00	-	-	-	0.25	-	1.00	**3.75**
ND Public Service and Administration	0.50	0.50	0.50	0.00	1.00	-	-	-	-	0.00	1.00	**3.50**
EC Department of Transport	0.50	0.50	0.50	0.00	1.00	-	-	-	-	0.00	1.00	**3.50**
Gaut Department of Agriculture, Conservation and Environment	0.50	0.50	0.50	0.00	0.00	1.00	-	-	-	-	1.00	**3.50**
KZN Department of Transport	0.50	0.00	0.50	0.00	1.00	-	-	0.50	-	-	1.00	**3.50**
NC Department of Tourism, Environment & Conservation	0.50	0.50	0.50	0.00	0.00	1.00	-	-	-	-	1.00	**3.50**
WC Department of Transport and Public Works	0.50	0.00	0.50	0.00	1.00	-	-	0.50	-	-	1.00	**3.50**
ND Public Works	0.50	0.50	0.50	0.00	0.00	-	0.75	-	-	-	1.00	**3.25**
FS Department of Public Works, Roads and Transport	0.50	0.50	0.50	0.50	0.00	-	-	-	0.25	-	1.00	**3.25**
ND Environment Affairs and Tourism	0.50	0.50	0.50	0.50	0.00	1.00	-	-	-	-	0.00	**3.00**
NW Department of Public Works	0.50	0.50	0.50	0.00	1.00	-	-	0.50	-	-	0.00	**3.00**
NW Department of Sport, Arts & Culture	0.50	0.00	0.50	0.00	1.00	-	-	-	-	0.00	1.00	**3.00**
WC Department of Health	0.50	0.50	0.00	0.00	1.00	-	-	-	-	0.00	1.00	**3.00**
ND Transport	0.50	0.50	0.50	0.00	1.00	-	-	-	-	0.00	0.00	**2.50**
Limp Department of Sports, Arts & Culture	0.50	0.00	0.00	0.00	0.00	1.00	-	-	-	-	1.00	**2.50**
ND Sport and Recreation	0.50	0.00	0.00	0.00	1.00	-	-	0.50	-	-	0.00	**2.00**
KZN Department of Agriculture & Environmental Affairs	0.50	0.00	0.50	0.00	0.00	-	-	-	-	0.00	1.00	**2.00**
Limp Department of Education	0.50	0.50	0.00	0.00	0.00	1.00	-	-	-	-	0.00	**2.00**
Mpu Department of Culture, Sport & Recreation	0.50	0.50	0.00	0.00	0.00	-	-	-	-	0.00	1.00	**2.00**
Mpu Department of Roads and Transport	0.50	0.50	0.00	0.00	0.00	1.00	-	-	-	-	0.00	**2.00**
Gaut Department of Gauteng Shared Services	0.50	0.00	0.00	0.00	0.00	-	-	-	-	0.00	1.00	**1.50**

Department	Standard											Tot out of 5
	*A		*B		*C	*D					*E	
	1	2	1	2	1	1	2	3	4	5	1	5
TOTAL	11.0	7.5	7.5	1.0	11.0	7.0	0.75	2.00	0.50	0.00	16.0	64.3
Average score per standard (Total ÷ 22 departments assessed)	0.50	0.34	0.34	0.05	0.50	0.32	0.03	0.09	0.02	0.00	0.73	2.92

*   Legend

A.   Policy on process
1.   A policy document is in place that sets out the procedure and time frames to be followed when handling cases of misconduct.
2.   **All** five senior managers surveyed have a working knowledge of the system

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

C.   Time taken to resolve cases

D.   Capacity to handle misconduct cases
1.   100% to 80% of the managers are highly competent to deal with cases of misconduct.
                              OR
2.   60% to 79% of the managers are highly competent to deal with cases of misconduct.
                              OR
3.   40% to 59% of the managers are highly competent to deal with cases of misconduct.
                              OR
4.   20% to 39% of the managers are highly competent to deal with cases of misconduct.
                              OR
5.   Less than 20% of the managers are highly competent to deal with cases of misconduct.

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

Appendix E – Average time taken by departments to finalise cases of misconduct where a hearing was conducted

Department	Average days
NC: Department of Tourism, Environment & Conservation - No cases of misconduct where a disciplinary hearing have been conducted were dealt with during the year under review	
ND Sport and Recreation – No information submitted for assessment	0
Gauteng Shared Services – No information submitted for assessment	0
Mpu Department of Culture, Sport & Recreation – No information submitted for assessment	0
Mpu Department of Roads and Transport – No information submitted for assessment	0
Limp Department of Education	2
WC Department of Transport and Public Works	5
ND Transport	8
WC Department of Health	13
KZN Department of Transport	14
Limp Department of Sports, Arts & Culture	21
NC Department of Agriculture & Land Reform	21
NW Department of Sport, Arts & Culture	27
EC Department of Transport	29
NW Department of Public Works	35
ND Public Works	40
EC Department of Sport, Recreation, Arts and Culture	40
ND Public Service and Administration	55
ND Environment Affairs and Tourism	60
Gaut Department of Agriculture, Conservation and Environment	121
FS Department of Public Works, Roads and Transport	147
KZN Department of Agriculture & Environmental Affairs	178

Appendix F – Principle 2: Efficiency, Economy and Effectiveness. Departments' score per standard

| Department | Score per Standard | | | | | | | | | Tot out of 5 |
| | *A | | *B | | *C | | | | *D | |
	1	2	1	2	1	2	3	4	1	
ND Public Service and Administration	0.25	0.25	0.25	0.25	3	-	-	-	1.00	**5.00**
Limp Department of Sports, Arts & Culture	0.00	0.25	0.25	0.25	-	2.00	-	-	1.00	**3.75**
Gaut Department of Agriculture, Conservation and Environment	0.00	0.25	0.00	0.25	-	2.00	-	-	1.00	**3.50**
Limp Department of Education	0.00	0.00	0.25	0.25	-	2.00	-	-	1.00	**3.50**
ND Environment Affairs and Tourism	0.25	0.25	0.25	0.25	-	-	1.00	-	1.00	**3.00**
EC Department of Sport, Recreation, Arts and Culture	0.25	0.25	0.25	0.25	-	-	1.00	-	1.00	**3.00**
Gaut Department of Gauteng Shared Services	0.25	0.25	0.25	0.25	-	-	1.00	-	1.00	**3.00**
KZN Department of Transport	0.25	0.25	0.25	0.25	-	-	1.00	-	1.00	**3.00**
ND Transport	0.00	0.25	0.25	0.25	-	2.00	-	-	0.00	**2.75**
EC Department of Transport	0.25	0.25	0.25	0.00	-	2.00	-	-	0.00	**2.75**
FS Department of Public Works, Roads and Transport	0.00	0.25	0.25	0.25	-	-	1.00	-	1.00	**2.75**
Mpu Department of Culture, Sport & Recreation	0.25	0.25	0.25	0.00	-	-	1.00	-	1.00	**2.75**
NW Department of Sport, Arts & Culture	0.25	0.25	0.25	0.00	-	-	1.00	-	1.00	**2.75**
WC Department of Transport and Public Works	0.25	0.00	0.25	0.00	-	-	1.00	-	1.00	**2.50**
KZN Department of Agriculture & Environmental Affairs	0.00	0.00	0.25	0.25	-	-	1.00	-	0.50	**2.00**
Mpu Department of Roads and Transport	0.25	0.25	0.25	0.25	-	-	1.00	-	0,00	**2.00**
ND Sport and Recreation	0.25	0.25	0.25	0.00	-	-	1.00	-	0.00	**1.75**
NC Department of Tourism, Environment & Conservation	0.25	0.25	0.00	0.25	-	-	-	0.00	1.00	**1.75**
WC Department of Health	0.25	0.25	0.25	0.00	-	-	-	0.00	1.00	**1.75**
NW Department of Public Works	0.00	0.25	0.00	0.25	-	-	-	0.00	1.00	**1.50**
ND Public Works	0.25	0.25	0.25	0.00	-	-	-	0.00	0.00	**0.75**
NC Department of Agriculture & Land Reform	0.00	0.25	0.00	0.25	-	-	-	0.00	0.00	**0.50**
TOTAL	3.50	4.75	4.50	3.75	3.00	10.00	11.00	0.00	15.50	56.00
Average score per standard (Total ÷ 22 departments assessed)	0.16	0.22	0.20	0.17	0.14	0.45	0.50	0.00	0.70	2.55

*   Legend

A.   Expenditure

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

B.   Service delivery indicators
1.   More than half of each programme's SDIs are measurable in terms of quantity, quality and time dimensions.
2.   Outputs, SDIs 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% - 79% of the priority outputs have been met.
                        OR
3.   40% - 59% of the priority outputs have been met.
                        OR
4.   Less than 40% of the priority outputs have been met.

D.   Monitoring and Evaluation System

Appendix G - Principle 3: Development Orientation. Departments' score per standard

Department	*1	*2	*3	*4	*5	Tot out of 5
ND Environment Affairs and Tourism	1.00	1.00	1.00	1.00	1.00	**5.00**
ND Public Service and Administration	1.00	1.00	1.00	1.00	1.00	**5.00**
EC Department of Sport, Recreation, Arts and Culture	1.00	1.00	1.00	1.00	1.00	**5.00**
NC Department of Agriculture & Land Reform	1.00	1.00	1.00	1.00	1.00	**5.00**
NW Department of Sport, Arts & Culture	1.00	1.00	1.00	1.00	1.00	**5.00**
WC Department of Health	1.00	1.00	1.00	1.00	1.00	**5.00**
KZN Department of Transport	1.00	1.00	1.00	1.00	0.50	**4.50**
Limp: Department of Education	1.00	1.00	1.00	1.00	0.50	**4.50**
ND Transport	1.00	1.00	1.00	0.00	1.00	**4.00**
Mpu Department of Roads and Transport	1.00	1.00	1.00	0.00	1.00	**4.00**
NC Department of Tourism, Environment & Conservation	1.00	1.00	1.00	0.00	1.00	**4.00**
NW Department of Public Works	1.00	1.00	1.00	1.00	0.00	**4.00**
WC Department of Transport and Public Works	1.00	1.00	1.00	0.00	1.00	**4.00**
ND Sport and Recreation	1.00	1.00	1.00	0.00	0.00	**3.00**
FS Department of Public Works, Roads and Transport	1.00	1.00	1.00	0.00	0.00	**3.00**
Gaut Department of Agriculture, Conservation and Environment	0.00	1.00	1.00	0.00	1.00	**3.00**
Limp Department of Sports, Arts & Culture	1.00	1.00	0.00	0.00	1.00	**3.00**
Mpu Department of Culture, Sport & Recreation	0.00	1.00	0.00	0.00	1.00	**2.00**
EC Department of Transport	0.00	1.00	0.00	0.00	0.00	**1.00**
ND Public Works	0.00	0.00	0.00	0.00	0.00	**0.00**
Gaut Department of Gauteng Shared Services	0.00	0.00	0.00	0.00	0.00	**0.00**
KZN Department of Agriculture & Environmental Affairs	0.00	0.00	0.00	0.00	0.00	**0.00**
TOTAL	15.00	18.00	15.00	8.00	13.50	69.50
Average score per standard (Total ÷ 22 departments assessed)	0.68	0.82	0.68	0.36	0.61	3.16

* Legend

1. At least half the projects are of acceptable standard in terms of beneficiary participation

2. At least half the project plans are of an acceptable project management standard

3. At least half of the local development plans are accommodated

4. A system is in place for systematically institutionalising lessons learnt

5. Success of projects.

Appendix H – Principle 4: Impartiality and Fairness in Service Delivery. Departments' score per standard

Department	* A.1			* A.2			* B				* C				Tot out of 5
	1	2	3	1	2	3	1	2	3	4	1	2	3	4	
Gaut Department of Agriculture, Conservation and Environment	1.50	-	-	1.50	-	-	1.00	-	-	-	0.25	0.25	0.25	0.25	5.00
NW Department of Public Works	1.50	-	-	1.50	-	-	1.00	-	-	-	0.25	0.25	0.25	0.25	5.00
ND Environment Affairs and Tourism	1.50	-	-	1.50	-	-	1.00	-	-	-	0.25	0.00	0.25	0.00	4.50
EC Department of Transport	1.50	-	-	1.50	-	-	1.00	-	-	-	0.00	0.00	0.25	0.25	4.50
NC Department of Tourism, Environment & Conservation	1.50	-	-	1.50	-	-	1.00	-	-	-	0.25	0.00	0.25	0.00	4.50
KZN Department of Agriculture & Environmental Affairs	-	0.75	-	1.50	-	-	1.00	-	-	-	0.25	0.25	0.25	0.25	4.25
Limp Department of Education	1.50	-	-	1.50	-	-	-	0.50	-	-	0.25	0.25	0.25	0.00	4.25
WC Department of Health	1.50	-	-	-	0.75	-	1.00	-	-	-	0.25	0.25	0.25	0.25	4.25
WC Department of Transport and Public Works	1.50	-	-	-	0.75	-	1.00	-	-	-	0.25	0.25	0.25	0.25	4.25
ND Public Service and Administration	1.50	-	-	1.50	-	-	1.00	-	-	-	0.00	0.00	0.00	0.00	4.00
NC Department of Agriculture & Land Reform	1.50	-	-	1.50	-	-	1.00	-	-	-	0.00	0.00	0.00	0.00	4.00
KZN Department of Transport	-	0.75	-	1.50	-	-	1.00	-	-	-	0.00	0.00	0.25	0.25	3.75

Department	Standard														Tot out of 5
	*A.1			*A.2			*B				*C				
	1	2	3	1	2	3	1	2	3	4	1	2	3	4	
Mpu Department of Roads and Transport	1.50	-	-	0.00	-	-	1.00	-	-	-	0.25	0.25	0.25	0.25	**3.50**
EC Department of Sport, Recreation, Arts and Culture	1.50	-	-	1.50	-	-	-	-	-	0.00	0.00	0.00	0.00	0.00	**3.00**
Limp Department of Sports, Arts & Culture	1.50	-	-	1.50	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	**3.00**
ND Public Works	1.50	-	-	-	-	0.00	1.00	-	-	-	0.00	0.00	0.00	0.00	**2.50**
ND Sport and Recreation	-	-	-	-	-	-	1.00	-	-	-	0.25	0.25	0.25	0.25	**2.00**
NW Department of Sport, Arts & Culture	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.25	**0.50**
ND Transport	-	-	-	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	**0.00**
FS Department of Public Works, Roads and Transport	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	**0.00**
Gaut Department of Gauteng Shared Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	**0.00**
Mpu Department of Culture, Sport & Recreation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	**0.00**
TOTAL	21.0	1.50	0.00	18.0	1.50	0.00	14.0	0.50	0.25	0.00	2.50	2.00	3.00	2.50	66.8
Average score per standard (Total ÷ 22 departments assessed)	0.95	0.07	0.00	0.82	0.07	0.00	0.64	0.02	0.01	0.00	0.11	0.09	0.14	0.11	3.03

*   Legend

A.1   Decisions in terms of legislation/policy

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

<div align="center">OR</div>

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

<div align="center">OR</div>

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.

<div align="center">OR</div>

2.   Fifty percent and more of the decisions were taken by duly authorised officials in terms of the departmental delegations of authority.

<div align="center">OR</div>

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 the decisions were just and fair.

<div align="center">OR</div>

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

<div align="center">OR</div>

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

<div align="center">OR</div>

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

C.   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 I – Principle 5: Public Participation in Policy-Making. Departments' score per standard

Department	Standard *A	Standard *B 1	Standard *B 2	Standard *C 1	Standard *C 2	Tot out of 5
ND Public Service and Administration	1.00	-	2.00	1.00	1.00	**5.00**
Gaut Department of Agriculture, Conservation and Environment	1.00	-	2.00	1.00	1.00	**5.00**
KZN Department of Transport	1.00	-	2.00	1.00	1.00	**5.00**
NW Department of Public Works	1.00	-	2.00	1.00	1.00	**5.00**
ND Environment Affairs and Tourism	1.00	-	2.00	1.00	0.00	**4.00**
EC Department of Sport, Recreation, Arts and Culture	0.00	-	2.00	1.00	1.00	**4.00**
Mpu Department of Roads and Transport		1.00	1.00	1.00	1.00	**4.00**
WC Department of Health	0.00	-	2.00	1.00	1.00	**4.00**
WC Department of Transport and Public Works	0.00	-	2.00	1.00	1.00	**4.00**
NW Department of Sport, Arts & Culture	0.00	-	2.00	0.00	1.00	**3.00**
ND Sport and Recreation	0.00	-	2.00	0.00	0.00	**2.00**
EC Department of Transport	0.00	-	2.00	0.00	0.00	**2.00**
FS Department of Public Works, Roads and Transport	0.00	-	2.00	0.00	0.00	**2.00**
KZN Department of Agriculture & Environmental Affairs	0.00	1.00	-	0.00	1.00	**2.00**
Limp: Department of Education	0.00	1.00	-	0.00	1.00	**2.00**
ND Transport	0.00	1.00	-	0.00	0.00	**1.00**
Mpu Department of Culture, Sport & Recreation	0.00	1.00	-	0.00	0.00	**1.00**
ND Public Works	0.00	0.00	0.00	0.00	0.00	**0.00**
Gaut Department of Gauteng Shared Services	-	-	-	-	-	**0.00**
Limp Department of Sports, Arts & Culture	-	-	-	-	-	**0.00**
NC Department of Agriculture & Land Reform	0.00	0.00	0.00	0.00	0.00	**0.00**
NC Department of Tourism, Environment & Conservation	0.00	0.00	0.00	0.00	0.00	**0.00**
TOTAL	5.00	5.00	25.00	9.00	11.00	**55.00**
Average score per standard (Total ÷ 22 departments assessed)	0.23	0.23	1.14	0.41	0.50	**2.50**

*   Legend

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

B.   System for participation
1.   A system is in place and used for generating inputs in more than half the cases.
2.   A system is in place, but not always used.

C.   Inputs are responded to and used
1.   In at least half the cases contributions are acknowledged and considered.
2.   In at least half the cases contributions are acknowledged, but not considered.

Appendix J – Principle 6: Accountability. Departments' score per standard

Department	* A		* B	* C				* D		* E				Tot out of 5
	1	2		1	2	3	4	1	2	1	2	3	4	
ND Public Service and Administration	1.00	-	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.50	**4.50**
Mpu Department of Culture, Sport & Recreation	-	0.50	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	0.25	-	0.50	**4.25**
WC Department of Transport and Public Works	-	0.50	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	0.25	-	0.50	**4.25**
ND Environment Affairs and Tourism	1.00	-	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.00	**4.00**
FS Department of Public Works, Roads and Transport	-	0.50	1.00	0.00	0.25	0.25	0.25	0.50	0.50	-	0.25	-	0.50	**4.00**
Gaut Department of Agriculture, Conservation and Environment	-	0.50	1.00	0.25	0.25	0.25	0.25	0.50	0.50	0.00	0.00	0.00	0.50	**4.00**
Gaut Department of Gauteng Shared Services	-	0.50	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.50	**4.00**
NW Department of Sport, Arts & Culture	-	0.50	1.00	0.25	0.25	0.25	0.25	0.50	0.50	0.50	-	-	0.00	**4.00**
ND Public Works	1.00	-	0.00	0.25	0.25	0.00	0.25	0.50	0.50	0.50	-	-	0.50	**3.75**
EC Department of Sport, Recreation, Arts and Culture	0.00	0.00	1.00	0.25	0.25	0.25	0.25	0.50	0.50	-	0.25	-	0.50	**3.75**
Limp Department of Sports, Arts & Culture	-	0.00	1.00	0.00	0.25	0.25	0.25	0.50	0.50	-	0.25	-	0.50	**3.50**
NW Department of Public Works	-	0.50	1.00	0.25	0.25	0.25	0.25	0.00	0.50	-	-	0.00	0.50	**3.50**
KZN Department of Transport	-	0.50	1.00	0.25	0.25	0.25	-	0.00	0.50	-	-	0.00	0.50	**3.25**
EC Department of Transport	-	0.50	0.00	0.25	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.50	**3.00**
NC Department of Agriculture & Land Reform	-	0.50	0.00	0.00	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.50	**2.75**

Department	Standard *A		*B	*C				*D		*E				Tot out of 5
	1	2		1	2	3	4	1	2	1	2	3	4	
NC: Department of Tourism, Environment & Conservation	-	0.50	1.00	0.25	0.00	0.00	0.00	0.00	0.00	0.50	-	-	0.50	2.75
ND Sport and Recreation	-	0.50	0.00	0.25	0.25	0.25	0.25	0.50	0.50	-	-	0.00	0.00	2.50
KZN Department of Agriculture & Environmental Affairs	0.00	0.00	1.00	0.25	0.25	0.25	0.25	0.00	0.50	0.00	0.00	0.00	0.00	2.50
WC Department of Health	0.00	0.00	1.00	0.25	0.25	0.25	0.25	0.00	0.00	-	-	0.00	0.50	2.50
ND Transport	0.00	0.00	0.00	0.25	0.25	0.25	0.25	0.50	0.50	0.00	0.00	0.00	0.00	2.00
Limp Department of Education	-	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	-	-	0.00	0.00	1.00
Mpu Department of Roads and Transport	-	0.50	0.00	0.25	0.25	0.00	0.00	0.00	0.00	-	-	-		1.00
TOTAL	3.00	6.50	16.0	4.50	5.00	4.50	4.50	7.50	9.00	1.50	1.25	0.00	7.50	70.7
Average score per standard (Total ÷ 22 departments assessed)	0.14	0.30	0.73	0.20	0.23	0.20	0.20	0.34	0.41	0.07	0.06	0.00	0.34	3.22

* Legend

A. Internal financial controls
1. The Auditor-General concluded that the internal financial control measures are adequate in all respects with no areas flagged as needing attention.

OR

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

B. Performance management system
A performance management (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

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

<div align="center">OR</div>

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

<div align="center">OR</div>

3.   Less than 80% of the strategies of the fraud prevention plan have been implemented.

<div align="center">AND</div>

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

Appendix K – Principle 7: Transparency. Departments' score per standard

Department	1	2	3	4	5	6	Total out of 5
	Annual Report			PAIA			
Description of standard	Pre-sen-tation	Con-tent	Re-porting	Capac-ity to deal with re-quests	Manual avail-able	System to manage re-quests avail-able	
ND Public Service and Administration	0.50	0.50	2.00	0.50	0.50	1.00	**5.00**
Limp Department of Sports, Arts & Culture	0.50	0.50	2.00	0.50	0.50	0.00	**4.00**
Mpu Department of Roads and Transport	0.50	0.00	2.00	0.00	0.50	1.00	**4.00**
NC Department of Tourism, Environment & Conser-vation	0.50	0.00	2.00	0.50	0.00	1.00	**4.00**
ND Environmental Affairs and Tourism	0.50	0.50	2.00	0.50	0.00	0.00	**3.50**
KZN Department of Agriculture and Environmental Affairs	0.50	0.00	2.00	0.50	0.50	0.00	**3.50**
Limp Department of Education	0.50	0.50	2.00	0.50	0.00	0.00	**3.50**
ND Sport and Recreation	0.50	0.50	2.00	0.00	0.00	0.00	**3.00**
ND Transport	0.50	0.50	2.00	0.00	0.00	0.00	**3.00**
EC Department of Sport, Recreation, Arts & Culture	0.50	0.50	2.00	0.00	0.00	0.00	**3.00**
FS Department of Public Works, Roads and Transport	0.50	0.00	2.00	0.00	0.50	0.00	**3.00**
Gaut Department of Agriculture, Conservation & Environment	0.50	0.50	0.00	0.50	0.50	1.00	**3.00**
Gaut Shared Services Centre	0.50	0.50	2.00	0.00	0.00	0.00	**3.00**
KZN Department of Transport	0.50	0.00	2.00	0.50	0.00	0.00	**3.00**
Mpu Department of Culture, Sport & Recreation	0.50	0.50	1.00	0.00	0.00	1.00	**3.00**
NC Department of Agriculture and Land Reform	0.50	0.00	1.00	0.50	0.00	1.00	**3.00**
NW Department of Public Works	0.50	0.50	0.00	0.50	0.50	1.00	**3.00**
ND Public Works	0.50	0.50	0.00	0.50	0.50	0.00	**2.00**
EC Department of Transport and Roads	0.50	0.00	0.00	0.00	0.00	1.00	**1.50**
WC Department of Health	0.50	0.00	0.00	0.50	0.50	0.00	**1.50**
WC Department of Transport and Public Works	0.50	0.50	0.00	0.00	0.00	0.00	**1.00**
NW Department of Sport, Arts & Culture	0.50	0.00	0.00	0.00	0.00	0.00	**0.50**
TOTAL	11.00	6.50	28.00	6.00	4.50	8.00	**64.00**
Average score per standard (Total ÷ 22 departments assessed)	0.50	0.30	1.27	0.27	0.20	0.36	2.91

Appendix L – Departments' non-compliance with NT and DPSA Guideline on Departmental Annual Reporting

Department	% Com-pliance	Areas not covered in departments' annual report
Mpu Department of Roads and Transport	85%	Executive authority's official visits abroad. Main services provided, access strategy and standards. Consultation arrangements with customers. Complaints mechanism. Information on the results of job evaluation. Skills development. Strike actions. Precautionary suspension. Utilisation of consultants.
EC Department of Transport	84%	Bills submitted during the reporting period. Official visits abroad. Programme performance.
FS Department of Public Works, Roads and Transport	82%	Information on the ministry. Inadequate performance information. HIV/AIDS and Health promotion programmes. Utilisation of consultants.
Limp Department of Sports, Arts & Culture	82%	HIV/AIDS & Health Promotion Programmes. Use of consultant utilizing donor funds or voted funds. Service delivery. Recruitment. Training. Misconduct and disciplinary hearings finalized. Grievance lodged.
WC Department of Health	79%	Names of institutions falling under the Minister's control. Bills submitted during the reporting period. The Minister's official visits abroad (dates and purpose). A list of all key services rendered to the public. Overview of the organisational environment. Strategic overview and key policy developments. Impact variance on service delivery. Measures to improve the efficiency and economy spending on each programme. Aim of the vote. Service delivery.
NC Department of Tourism, Environment & Conservation	73%	Information on the Ministry. Legislative mandate. Listing of key services rendered to the public. Departmental receipts. Voted funds. Aim of votes. Summary of programmes. Service delivery – lack of a Service Delivery Improvement Plan
KZN Department of Transport	68%	Overview of service delivery and organisational environments. Strategic overview and key policy developments. Departmental receipts and order of reporting per programme. Service delivery. Annual turnover rates by salary band and critical occupation. The reasons why staff is leaving the Department.

Department	% Compliance	Areas not covered in departments' annual report
KZN Department of Agriculture & Environmental Affairs	65%	Performance information submitted more than a month late. Performance rewards. Utilisation of consultants. Promotions. Non-disclosure of executing authority's salary. Debtors at notes do not reconcile with each other. An annexure relating to local & foreign aid has not been completed. No explanations for not resolving the SCOPA resolutions arising from 2003/2004.
NW Department of Sport, Arts & Culture	63%	Information on the Executing Authority overseas trips. Overview of service delivery environment. Aspects pertaining to the Human Resource oversight report. The Accounting Officer's presentation of the report to the Executing Authority as prescribed.
NC Department of Agriculture & Land Reform	61%	Trading and/or public entities controlled by the department. Overview of service delivery environment. Overview of organisational environment. Strategic overview and key policy developments. Transfer payments. Disclosure notes to the Annual Financial Statements. Service delivery. Job evaluation. Disciplinary actions Skills development. Foreign workers by major occupation. Steps taken to reduce the risk of occupational exposure. Precautionary suspensions. Utilisation of consultants.

Appendix M – Principle 8: Good Human Resource Management and Career Development Practices. Departments' score per standard

Department	Standard										Tot out of 5
	Recruitment						Skills Development				
	* 1	* 2	* 3	* 4	* 5	* 6	* 1	* 2	* 3	* 4	
WC Department of Transport and Public Works	1.00	-	-	0.25	-	1.00	0.50	0.50	0.50	0.00	**3.75**
EC Department of Sport, Recreation, Arts and Culture	1.00	-	-	-	0.00	1.00	0.50	0.00	0.50	0.50	**3.50**
NC Department of Tourism, Environment & Conservation	1.00	-	-	-	0.00	1.00	0.50	0.50	0.50	0.00	**3.50**
WC Department of Health	1.00	-	-	-	0.00	1.00	0.50	0.00	0.50	0.50	**3.50**
ND Environment Affairs and Tourism	1.00	-	-	-	-	1.00	0.50	0.50	0.00	0.00	**3.00**
ND Public Service and Administration	1.00	-	-	-	0.00	1.00	0.50	0.50	0.00	0.00	**3.00**
ND Public Works	1.00	-	-	-	0.00	1.00	0.50	0.50	0.00	0.00	**3.00**
Gaut Department of Agriculture, Conservation and Environment	1.00	-	-	-	0.00	1.00	0.50	0.50	0.00	0.00	**3.00**
Limp Department of Sports, Arts & Culture	1.00	-	-	-	0.00	1.00	0.50	0.00	0.50	0.00	**3.00**
NW Department of Public Works	1.00	-	-	-	0.00	1.00	0.50	0.50	0.00	0.00	**3.00**
Mpu Department of Culture, Sport & Recreation	1.00	-	-	-	0.00	0.00	0.50	0.50	0.50	0.00	**2.50**
ND Transport	1.00	-	-	-	0.00	1.00	0.00	0.00	0.00	0.00	**2.00**
EC Department of Transport	1.00	-	-	-	0.00	1.00	0.00	0.00	0.00	0.00	**2.00**
FS Department of Public Works, Roads and Transport	1.00	-	-	-	0.00	0.00	0.50	0.50	0.00	0.00	**2.00**
Gaut Department of Gauteng Shared Services	1.00	-	-	-	0.00	1.00	-	-	-	-	**2.00**
NC Department of Agriculture & Land Reform	1.00	-	-	-	0.00	1.00	0.00	0.00	0.00	0.00	**2.00**
NW Department of Sport, Arts & Culture	1.00	-	-	-	0.00	0.00	0.50	0.50	0.00	0.00	**2.00**
Limp Department of Education	1.00	-	-	-	0.00	0.00	0.50	0.00	0.00	0.00	**1.50**
KZN Department of Agriculture & Environmental Affairs	0.00	-	-	-	0.00	0.00	0.50	0.00	0.50	0.00	**1.00**
KZN Department of Transport	1.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	**1.00**
Mpu Department of Roads and Transport	1.00	-	-	-	0.00	0.00	0.00	0.00	-	-	**1.00**
ND Sport and Recreation	0.00	-	-	-	0.00	0.00	0.00	0.00	0.00	0.00	**0.00**
TOTAL	20.0	0.00	0.0	0.25	0.00	14.0	7.50	5.00	3.50	1.00	51.25
Average score per standard (Total ÷ 22 departments assessed)	0.91	0.00	0.0	0.01	0.00	0.64	0.34	0.23	0.16	0.05	2.33

* Legend

A. Recruitment
1. A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.
2. All vacant posts assessed are filled within 90 days – including advertisement time.

OR

3. 75% of vacant posts assessed are filled within 90 days – including advertisement time.

OR

4. 50% of vacant posts assessed are filled within 90 days – including advertisement time.

OR

5. Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.
6. Regular management reporting on recruitment is done.

B Skills Development
1. A skills development plan is in place.
2. The skills development plan is based on a thorough skills needs analysis
3. Two thirds of planned skills development activities have been implemented.
4. Two thirds of planned skills development activities' impact on service delivery has been assessed.

Appendix N – Average time taken by departments to fill a vacancy

Department	Average time taken to fill a vacancy from the date the post became vacant to the date of appointment
KZN Department of Transport	454
ND Sport and Recreation	377
Mpu Department of Culture, Sport & Recreation	357
NC Department of Tourism, Environment & Conservation	315
Gaut Department of Agriculture, Conservation and Environment	276
ND Public Service and Administration	259
Limp Department of Education	239
FS Department of Public Works, Roads and Transport	223
EC Department of Sport, Recreation, Arts and Culture	210
WC Department of Health	198
KZN Department of Agriculture & Environmental Affairs	186
NC Department of Agriculture & Land Reform	174
Limp Department of	163
EC Department of Transport	161
NW: Department of Public Works	150
Mpu Department of Roads and Transport	141
NW Department of Sport, Arts & Culture	138
ND Public Works	102
WC Department of Transport and Public Works	100
ND Environment Affairs and Tourism	No information submitted for assessment
ND Transport	No information submitted for assessment
Gaut Shared Services Centre	No information submitted for assessment

Appendix O – Principle 9: Representivity. Departments' score per standard

Department	Standards							Tot out of 5
	*1	*2	*3	*4	*5	*6	*7	
National Department of Environment Affairs and Tourism	1.00	1.00	-	1.00	-	1.00	-	**4.00**
Eastern Cape: Department of Transport	1.00	1.00	-	-	0.50	1.00	-	**3.50**
Northern Cape: Department of Tourism, Environment & Conservation	0.00	1.00	2.00	-	-	-	0.50	**3.50**
Eastern Cape: Department of Sport, Recreation, Arts and Culture	1.00	1.00	-	-	0.50	-	0.50	**3.00**
KwaZulu-Natal: Department of Transport	1.00	1.00	-	-	0.50	-	0.50	**3.00**
Limpopo: Department of Sports, Arts & Culture	1.00	0.00	2.00	-	-	0.00	0.00	**3.00**
North West: Department of Public Works	1.00	1.00	-	-	0.50	-	0.50	**3.00**
Western Cape: Department of Health	1.00	1.00	-	-	0.50	-	0.50	**3.00**
Western Cape: Department of Transport and Public Works	0.00	0.00	2.00	-	-	-	0.50	**2.50**
National Department of Public Service and Administration	0.00	1.00	-	-	0.50	-	0.50	**2.00**
National Department of Sport and Recreation	0.00	0.00	2.00	-	-	-	-	**2.00**
Free State: Department of Public Works, Roads and Transport	1.00	0.00	-	-	0.50	-	0.50	**2.00**
Gauteng: Department of Agriculture, Conservation and Environment	0.00	1.00	-	1.00	-	0.00	0.00	**2.00**
KwaZulu-Natal: Department of Agriculture & Environmental Affairs	0.00	1.00	-	1.00	-	0.00	0.00	**2.00**
Northern Cape: Department of Agriculture & Land Reform	1.00	0.50	-	-	0.00	-	0.50	**2.00**
North West: Department of Sport, Arts & Culture	1.00	0.00	-	1.00	-	0.00	0.00	**2.00**
National Department of Public Works	1.00	0.00	-	-	0.50	-	-	**1.50**
Limpopo: Department of Education	1.00	0.00	-	-	0.50	0.00	0.00	**1.50**
National Department of Transport	0.00	0.00	-	1.00	-	0.00	0.00	**1.00**
Mpumalanga: Department of Culture, Sport & Recreation	0.00	0.00	-	-	0.00	-	0.50	**0.50**
Mpumalanga: Department of Roads and Transport	0.00	0.00	-	-	0.50	0.00	0.00	**0.50**
Gauteng: Department of Gauteng Shared Services	-	-	-	-	-	-	-	**0.00**
TOTAL	12.00	10.50	8.00	6.00	4.50	2.00	4.50	48.50
Average score per standard (Total ÷ 22 departments assessed)	0.55	0.48	0.36	0.27	0.20	0.09	0.20	2.20

* Legend

1. An employment equity plan has been formally adopted.
2. Apart from reporting to the Department of Labour, implementation of the plan is reported to management at least twice a year.
3. 81% - 100% of the representivity targets have been met.

OR

4. In 61 – 80% of the cases the representivity targets have been met.
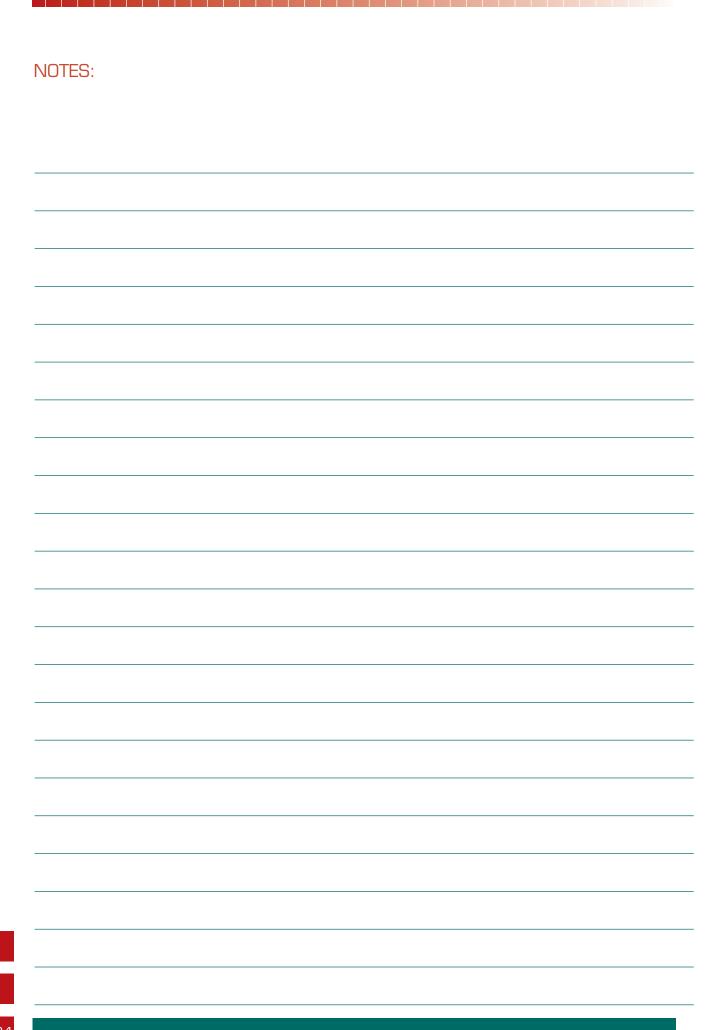
OR

5. In 10 – 60% of the cases the representivity targets have been met.
6. Comprehensive diversity measures are implemented.
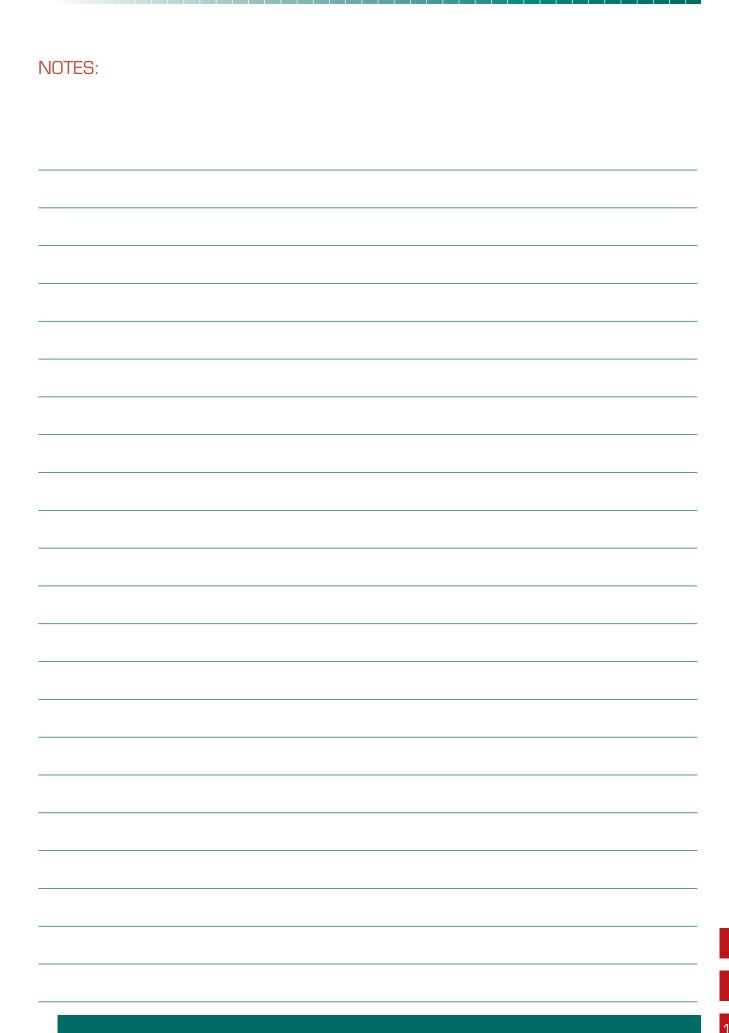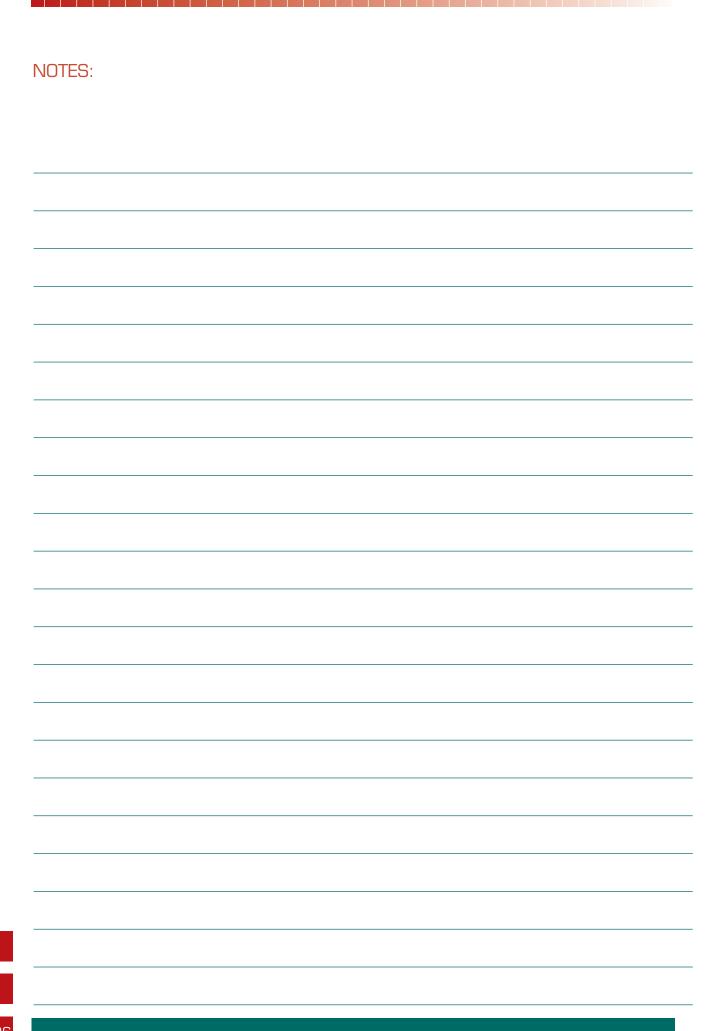
OR

7. Some diversity measures are implemented.

Appendix P – Principle 9: National representivity targets met per population group, gender and disability

| Department	National Targets		
	75% Black at Senior Management at April 2005	30% at Senior & Middle Management by 2000	2% Disability by 2005
ND Environment Affairs and Tourism	79%	41%	1%
ND Public Service and Administration	64%	45%	0.67%
ND Public Works	77%	29%	0.63%
ND Sport and Recreation	78%	39%	3%
ND Transport	89%	40%	1,6%
EC Department of Sport, Recreation, Arts and Culture	100%	92%	0%
EC Department of Transport	81%	21%	0.50%
FS Department of Public Works, Roads and Transport	75%	41%	0.80%
Gaut Department of Agriculture, Conservation and Environment	72%	48%	1.8%
Gaut Department of Gauteng Shared Services	No information submitted		
KZN Department of Agriculture & Environmental Affairs	69%	30%	0%
KZN Department of Transport	65%	31%	0.27%
Limp Department of Education	94%	24%	0.10%
Limp Department of Sports, Arts & Culture	100%	45%	4%
Mpu Department of Culture, Sport & Recreation	33%	25%	1.4%
Mpu Department of Roads and Transport	86%	23%	0.10%
NC Department of Agriculture & Land Reform	100%	32%	0%
NC Department of Tourism, Environment & Conservation	88%	34%	2%
NW Department of Public Works	80%	31%	0%
NW Department of Sport, Arts & Culture	91%	41%	0.40%
WC Department of Health	24%	21%	1.6%
WC Department of Transport and Public Works	52%	26%	1.4%

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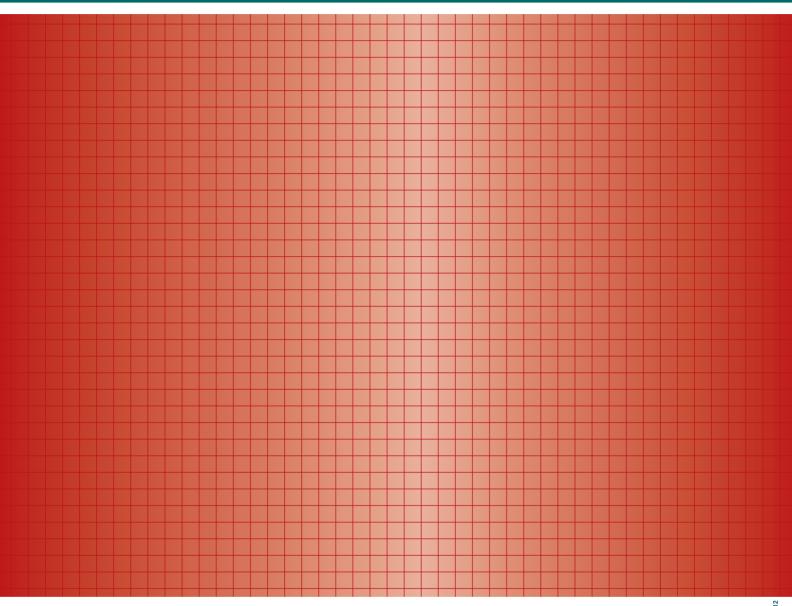
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