



# Report on the implementation of the Batho Pele principle of Openness and Transparency in the Public Service

Public Service Commission

February 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 of the Public Service by investigating, monitoring, evaluating, communicating and reporting on public administration. Through research processes, it will ensure the promotion of excellence in governance and the delivery of affordable and sustainable quality services.

# Report on the implementation of the Batho Pele principle of Openness and Transparency in the Public Service



February 2008

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# Foreword



A handwritten signature in black ink that reads "S.S. Sangweni". The signature is stylized and cursive.

**PROFESSOR SS SANGWENI  
CHAIRPERSON**



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# Acronyms





# Executive Summary

## 1. Background to the study

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## 2. Scope

## 3. Methodology

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<sup>1</sup> Republic of South Africa, *The Constitution of the Republic of South Africa, Act 108 of 1996.*



## 4. Findings

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### 4.1 Findings on the First Phase

### 4.2 Findings on the Second Phase

#### 4.2.1 Understanding of the principle of Openness and Transparency

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#### 4.2.2 Development of Standards and Procedures for Implementing Openness and Transparency

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fi

#### 4.2.3 Allocating Responsibility and Budget for Implementing Openness and Transparency

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#### 4.2.4 Monitoring and Evaluation of Openness and Transparency

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## 5. Conclusion and recommendations

### 5.1 Conclusion

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### 5.2 Recommendations

#### 5.2.1 Openness and Transparency specific training should be provided

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<sup>2</sup> Republic of South Africa. Department of Public Service and Administration. *The White Paper on the Transformation of Public Service Delivery*. 1997.



5.2.2 Annual Reports to Citizens should be provided

5.2.3 Targets or standards for Openness and Transparency should be developed

5.3.4 A monitoring and evaluation system should be introduced

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# CHAPTER ONE

## INTRODUCTION

## 1.1 Background to the study

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<sup>3</sup> Access to information might be unrestricted but cannot be unregulated, meaning that access has to be balanced against the need to protect other rights and freedoms, or to protect legitimate public interest in withholding information. Grounds for not releasing information might include: the information being detrimental to the pursuit of a criminal case or law enforcement, where it violates personal privacy, where it constitutes a threat to national security, when it affects commercial or other kinds of confidentiality, it endangers the safety of the public or an individual or where it would undermine the effectiveness and integrity of the Public Service decision-making processes.

<sup>4</sup> Republic of South Africa, The Constitution of the Republic of South Africa, Act 108 of 1996.

<sup>5</sup> Republic of South Africa, Public Service Commission. Evaluation of Service Standards in the Public Service, 2005.

<sup>6</sup> Republic of South Africa, Public Service Commission. Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Access, 2006.

<sup>7</sup> Republic of South Africa, Public Service Commission. Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Redress, 2006.

<sup>8</sup> Republic of South Africa, Public Service Commission. Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Value for Money, 2007.

<sup>9</sup> Republic of South Africa, Public Service Commission. Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Consultation, 2007.

<sup>10</sup> Republic of South Africa, The Public Service Commission. Survey of Compliance with the Batho Pele Policy, 2000.



## 1.2 Aims of the study

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## 1.3 Structure of the report

**Chapter 2**

**Chapter 3**

**Chapter 4**

**Chapter 5**

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# CHAPTER TWO

## CONTEXTUAL BACKGROUND

## 2.1 Introduction

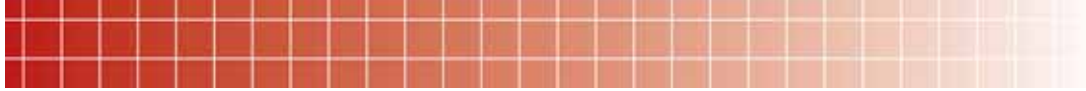
## 2.2 The Batho Pele principles

<b>1. Consultation</b>	
<b>2. Service Standards</b>	
<b>3. Access</b>	
<b>4. Courtesy</b>	
<b>5. Information</b>	
<b>6. Openness and Transparency</b>	
<b>7. Redress</b>	
<b>8. Value for Money</b>	fi

<sup>11</sup> Republic of South Africa, Public Service Commission: Evaluation of Service Standards in the Public Service, 2005.

<sup>12</sup> Republic of South Africa, Public Service Commission: Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Access, 2006.

<sup>13</sup> Republic of South Africa, Public Service Commission: Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Redress, 2006.



## 2.3 Openness and Transparency

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**Annexure A**

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<sup>14</sup> Republic of South Africa, Public Service Commission, *Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Consultation, 2007.*

<sup>15</sup> Republic of South Africa, Public Service Commission, *Report on the Evaluation of Performance and Compliance with the Batho Pele Principle of Consultation, 2007.*

<sup>16</sup> Republic of South Africa, The Department of Public Service and Administration, *White Paper on Transforming Public Service Delivery, 1997.*



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## 2.4 Legislative context

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### 2.4.1 Chapter 2 of the Constitution on the Bill of Rights

<sup>17</sup> Republic of South Africa, *Public Service and Administration. Public Service Regulation, 2001.*

<sup>18</sup> Republic of South Africa, *Treasury Regulations. Public Finance Management Act, 2000.*

<sup>19</sup> Republic of South Africa, *The Constitution of the Republic of South Africa, Act 108 of 1996.*





## 2.4.2 The Promotion of Access to Information Act

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## 2.4.3 The Promotion of Administrative Justice Act

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## 2.5 Overview of PSC studies related to Openness and Transparency

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<sup>20</sup> Republic of South Africa, Promotion of Access to Information Act, Act 2 of 2000.

<sup>21</sup> Republic of South Africa, Public Service Commission, Public Service Monitoring and Evaluation System is a Transversal Monitoring and Evaluation System of the Public Service Commission that Assesses Adherence to the Nine Constitutional Principles for Public Administration.

<sup>22</sup> Republic of South Africa, Public Service Commission, State of the Public Service Report, 2007.



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<sup>23</sup> According to the Public Service Commission's Case Management System for the Anti-Corruption Hotline, allegations of fraud and procurement irregularities are the second most frequently reported cases.



# CHAPTER THREE

## METHODOLOGY





### 3.1 Introduction

### 3.2 Scope

### 3.3 Methodology

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**Table I**

**Table I**





### 3.4 Data collection instrument

### 3.5 Data analysis

### 3.6 Limitations of the study

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# CHAPTER FOUR

## FINDINGS OF THE STUDY



## 4.1 Introduction

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## 4.2 Key findings

### 4.2.1 Findings on the First Phase

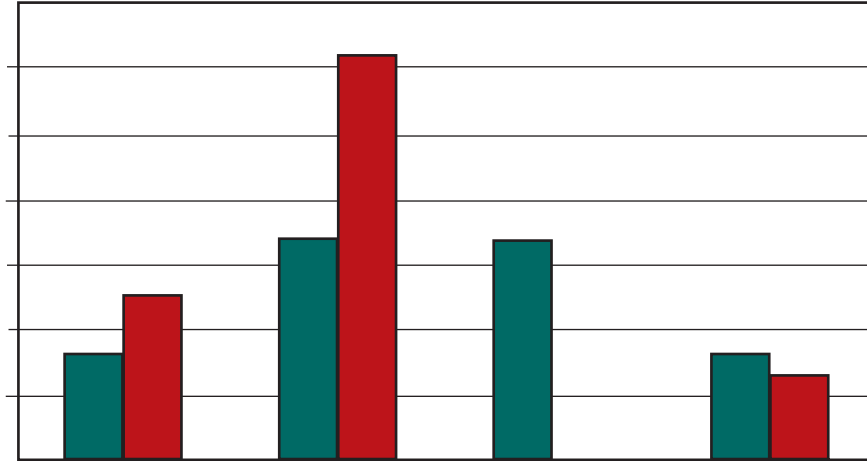
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Figure I

Figure 1: Availability of Annual Reports to Citizens



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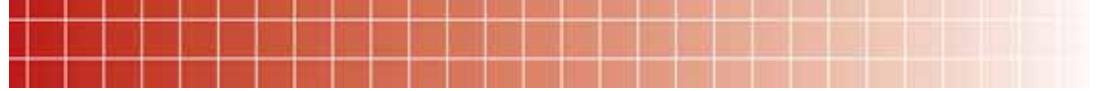
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#### 4.2.2.3 Development of standards and procedures for implementing Openness and Transparency

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#### 4.2.2.4 Allocating responsibility and budget for implementing Openness and Transparency

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#### 4.2.2.5 Monitoring and evaluation of Openness and Transparency

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#### 4.2.2.6 Barriers in the implementation of Openness and Transparency

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4.2.2.7 Departments that have provided training

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Figure 2: Training on Openness and Transparency provided

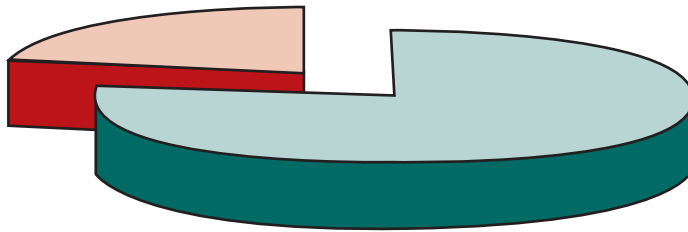
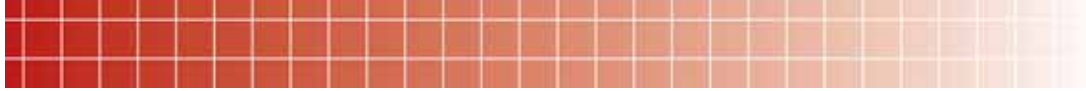


Figure 2

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#### 4.2.2.8 Senior management support to the implementation of the principle of Openness and Transparency

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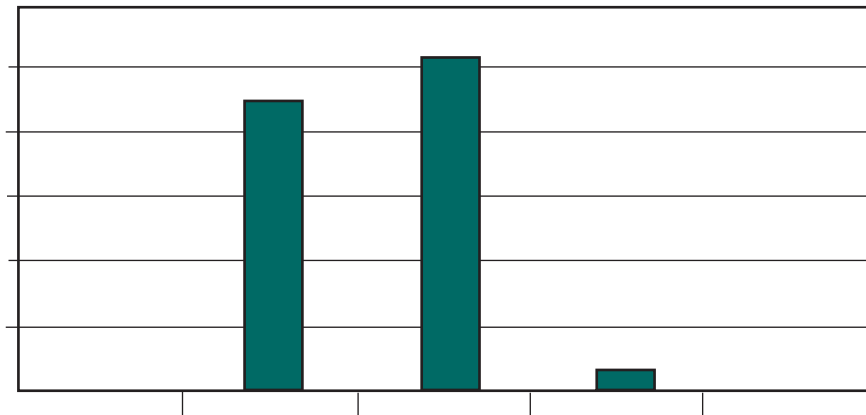
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#### 4.2.2.9 Departments' self rating on the implementation of the principle of Openness and Transparency

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Figure 3: Self-rating by departments







# CHAPTER FIVE

## CONCLUSION AND RECOMMENDATIONS



## 5.1 Introduction

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## 5.2 Conclusion

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## 5.3 Recommendations

### 5.3.1 Openness and Transparency specific training should be provided

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### 5.3.2 The Annual Report to Citizens





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### 5.3.3 Development of targets or standards for Openness and Transparency

### 5.3.4 Monitoring and evaluation

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# ANNEXURE A

## MODEL ANNUAL REPORT TO CITIZENS

DEPARTMENT OF .....  
REPORT TO CITIZENS: [YEAR]

**Who we are**

---

**What we do**

Our main services are

-

---

**Who is in charge**

The Minister / C other executing authority is name

She is an elected politician. She is responsible for directing the department's activities in line with the national / Provincial governments policies.

The Director- General is name a public servant, appointed to ensure that the department implements the Ministers / Cs other executing authority's policies efficiently and effectively.

---

**Our standards- and how we met them**

Our service standards are set in consultation with our customers. These are our service standards, and the results we achieved last year

---

**Standard**

-

-

---

**Results achieved**

-

---

**How we intend to improve services** next year we plan to improve our services still further

---

**Current standard**

-

-

---

**Target for [date]**

-

-

---

**Our organization and staffing**

We employ staff located in at list location s and numbers employed at each . Additional information, e.g.

- of our staff are black , white, Indian and coloured
- of our staff are women we employ
- persons with disabilities
- of our staff are language speakers list all languages spoken

---

**Our budget**

Our budget was last year . This is how we spent it

Staff salaries

Other running costs equipment, training, etc

Programmes

Other items

---

**TOTAL R**

**For more information please call [name, telephone number]**

**Or write to [name] at [address/ e-mail address]**

ANNE URE B

U ST ONNA R



Interview questionnaire on the evaluation of the Batho Pele principle of Openness and Transparency	
Name of interviewee	
Department	
Department's physical address	
National provincial	
Province if relevant	
Designation	
Telephone number	
Cell phone number	
Email address	
For follow-up meeting:	
Interviewer name	
Date of interview	

1. How long have you been employed by this department

Less than a year	
No. of years	

2. In which section of the department are you employed

---

3. What is your position within this department

---

4. Please provide an outline of the main services that your department provides.

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## Understanding of the Batho Pele principle of Openness & Transparency

What is your department's understanding/definition of the Batho Pele Principle of Openness and Transparency?

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6. Does your department inform citizens about the services provided?

No	
Yes	

If yes, how?

Annual report to citizens	
Other - specify	

---



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## Mechanisms for Openness and Transparency

What is included in the Annual Report to Citizens?

What the department does	
Who is in charge	
The department's standards	
Results achieved	
How it intends to improve the services	
All of the above	
Other-state	

---



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10. If not provided through the Annual Report to Citizens, how and what information is provided

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9. When is this Annual Report to Citizens made available

End financial year	
With Annual Report of Department	
The department's standards	
Other - state	

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10. If the Annual Report to Citizens is not provided, how does your department communicate information about its services

---

---

---

11. Is there a communication plan or methods that are followed to ensure that your department is open and transparent to the public

---

---

---

12. What does your department consider as being open and transparent

Discussion	
Information sharing sessions	
Conferences	
Surveys	
Referendums	
Other - state	

15. Is there a link between your department's communication strategy and the government's and departmental programmes? If there is, specify programmes.

Programme	Notes

16. Has the responsibility of ensuring openness and Transparency been delegated to a specific unit or person? Please elaborate below and provide documentary evidence.

Yes	1
No	

17. If yes, which unit/post is responsible for this? (Atho Pele principle)

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18. Are staff sufficiently trained to ensure that the Atho Pele principle of openness and Transparency is complied with? Please provide a copy of any training schedules or materials that may be used.

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19. Has your department identified specific groups or communities that require additional attention?

Yes	
No	



1. Please indicate which groups or communities have been identified and what measures have been put in place to improve openness and Transparency. *Please provide examples and documentary evidence of these measures*

Groups or Communities	Specific Measures in Place
Local	
Urban	
Rural	
Not literate	
Women	
Other - state	

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**Setting Openness and Transparency standards and developing procedures**

1. Has your department developed standards for openness and Transparency in providing services? *If yes, please provide a copy of these standards*

Yes	
No	

19. What do these standards entail

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Has the department met these standards? Please explain your answer.

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1. If openness and Transparency standards have not been developed by the department, what are the reasons for not having developed them

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.Are there procedures manuals or guidelines to deal with transparency

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### Communication and feedback

.Please specify the internal stakeholders who were consulted during the development of standards for Openness and Transparency.

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. Were contributions from internal stakeholders incorporated into improving the quality of information and service provided

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.Please specify the external stakeholders who were consulted during the development of the standards on Openness and Transparency

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6. How did this consultation with external stakeholders take place

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. How was information from external stakeholders incorporated

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Are participants informed of how their inputs have contributed in the department's decision-making process

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9. Only if no stakeholders were consulted If stakeholders were not consulted, why not

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### Conditions required for Openness and Transparency

Which of the following tools of Openness and Transparency does your department utilise to ensure Openness and Transparency

Television	
Print media	
Radio	
Newspaper	
Magazines	
Electronic media	
Online	
Other - state	

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10. Does your department have a communication strategy and policy to raise awareness about your services Please provide a copy of this

Yes	
No	

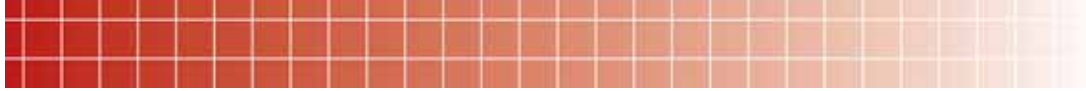
What factors informed the selection of the above-mentioned strategy

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How does this policy impact on openness and Transparency about services provided

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How does your department's communication, information sharing, openness and Transparency strategy differentiate between groups based on different languages or urban and rural areas Please elaborate.

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**Budget**

How does your department budget for the implementation of the *atho Pele* principle Please explain.

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6. What amount has the department budgeted for initiatives e.g. staff training, meetings, transportation, etc. to improve openness and Transparency on an annual basis *Please provide documentation to support this*

initiatives	and - alue	stimated Percentage of budget of the department

List difficulties experienced by your department in implementing strategies to increase openness and Transparency Please explain.

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## Accessibility of Openness and Transparency

1. Are your openness and transparency approaches viewed as accessible to all

Yes	
No	

2. If the answer to 1 above is yes, how is accessibility made possible in terms of the areas stated below

Inconvenience	
Time of the meeting	
Location venue	
Transportation	
Access to information	
Other-state	

## Barriers to improving Openness and Transparency

3. List problems and challenges your department has experienced in communicating with citizens in order of severity

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4. How has the department addressed these challenges

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## Monitoring and evaluation of Openness and Transparency

5. Does the department have a system for monitoring information flow to citizens and its effectiveness? Please elaborate on your answer below. *Please provide a copy of the monitoring system*

Yes	
No	

If a monitoring system is not in place, how does the department determine the effectiveness of external communication

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Has there been an improvement in service delivery as a result of providing the Annual Report to Citizens? Please provide copies of monitoring reports and/or annual reports recording the department's performance in terms of information, openness and transparency

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How does senior management in the department ensure continued support and resources for improving openness and Transparency

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**Links to other legislation & government policies**

6. Has your department appointed a deputy information officer/s as required by the Promotion of Access to Information Act (PAIA)

Yes	
No	

If the answer to question 6 above is no, provide reasons for not appointing a

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Does your department have a manual setting out the information requirements as stipulated in the Promotion of Access to Information Act

Yes	
No	

9. As your department submitted to the Minister of Justice, a list of records that are automatically available to the public

es	
o	

. If yes provide evidence.

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1. What measures has your department put in place to ensure the application of the Promotion of Administrative Justice Act (PAJA) in the department

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. Is there a manual in your department detailing procedures for dealing with PAJA

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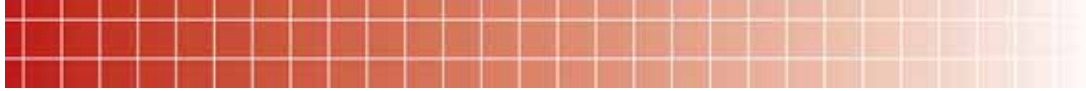


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### General

. Thinking about your experiences in this department, how would you rate the overall provision of full and accurate information about services

Excellent	1
Good	
Adequate	
Poor	
Very poor	



How would you rate your department's compliance with the *atho Pele* principles of openness and Transparency

Excellent	1
Good	
Adequate	
Poor	
Very poor	

What are the areas that need to be given priority in order for awareness about the department's services to be improved

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6. Do you have any other comments on the implementation of the principles of openness and Transparency

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