



Consolidated Public Service Monitoring Evaluation Report for the North West Province 2009/2010 Evaluation Cycle

Public Service Commission

June 2010



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.

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Foreword

It is with a sense of pride that I introduce the first consolidated provincial monitoring and evaluation (M&E) report, on an evaluation of departments of the North West Province. The Transversal Public Service M&E System (System) is a compendium of performance standards based on the 9 Constitutional values and principles (CVPs) for public administration. This report provides an evaluative commentary of how performance has been in areas such as professional ethics, financial management, public participation, transparency and accountability, to name a few. The assessment of the performance areas are telling of what the strengths and weakness within individual departments and the province are. As a "good governance scorecard" of departments, the System has drawn on the insights of other oversight bodies, such as the Auditor-General, and it is evolving into a comprehensive departmental governance assessment in our country.



An important purpose of the report is to provide decision-makers at all levels with a lens through which to view the quality of governance, at the level of departments and in the province. Critically important in taking the findings of this report forward and ensuring their utilisation is a set of concrete and actionable recommendations. These should focus the attention of the political and administrative leadership on *what must be done to improve upon their performance*. The Public Service Commission has engaged management throughout the process, and offered them an opportunity to respond to oral presentations and written reports to ensure that their voice is recorded in the finalised departmental reports. This approach is a step towards entrenching a reflective management culture.

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

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

DR RR MGIJIMA
CHAIRPERSON: PUBLIC SERVICE COMMISSION

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Acronyms

Acronym	Definition/Description
A-G	Auditor-General
CVPs	Constitutional values and principles
DAR	Departmental Annual Report
DCPPS	Disciplinary Code and Procedures for the Public Service
DIO	Deputy Information Officer
DPSA	Department of Public Service and Administration
EE	Employment Equity
EEP	Employment Equity Plan
EN/PE	Estimates of National/Provincial Expenditure
FPP	Fraud Prevention Plan
HoD	Head of Department
LDP	Local Development Plan
M&E	Monitoring and Evaluation
MEC	Member of the Executive Council
ND	National Department
NT	National Treasury
NW	North West
PAIA	Promotion of Access to Information Act, 2000 (Act 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)
PIs	Performance Indicators
PSC	Public Service Commission
PSCBC	Public Service Coordinating Bargaining Council
SDP	Skills Development Plan
System	Transversal Public Service Monitoring and Evaluation System

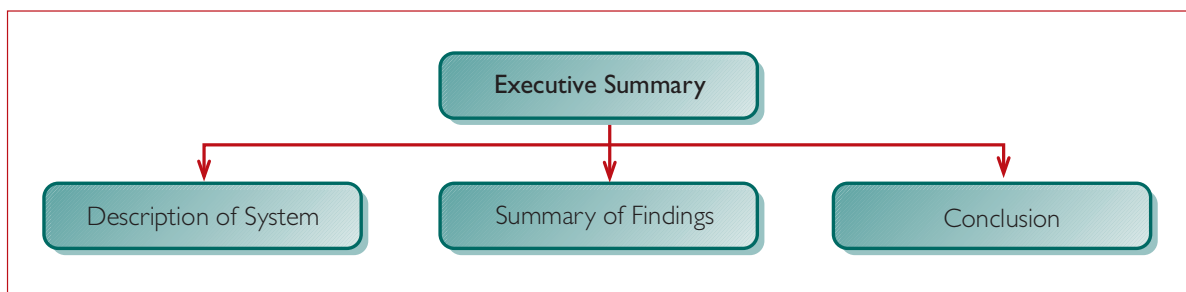
Executive Summary

1. INTRODUCTION

The aim of this first provincial consolidated M&E Report is to provide an assessment of the performance of departments within the North West (NW) Province, in terms of compliance with the nine Constitutional values and principles (CVPs) set out in section 195 of the Constitution of South Africa. It also provides a comparative analysis of results in the NW Province between the previous and the 2009/10 evaluation cycles - refer to **Appendix A** for a complete list of NW departments assessed since 2001/02. Finally, it highlights strengths and weaknesses in terms of departmental performance and recommends strategies for improvement.

It is generally accepted that weak corporate governance impacts negatively on the effectiveness of service delivery and may create space or grounds for corruption and fraud to flourish. To measure and evaluate these governance aspects, the PSC, as a custodian of good governance has introduced a System in 2000 that annually evaluates the performance of departments against the CVPs, using a few selected indicators and standards. This has enabled the PSC to establish a baseline and trends in performance over time. Up to now the PSC has evaluated 131 departments using the System, which is described hereunder:

The structure for the further discussion of the Executive Summary is organised as follows:



2. DESCRIPTION OF THE PSC'S SYSTEM

The System has selected one or two indicators per principle against which a sample of departments is assessed on an annual basis. Each indicator is further broken down into a number of standards. A rating scale is linked to each of the standards so that a score can be awarded for the performance of a department as measured against the standards. The performance indicator(s) and standards used for each CVP as well as the related policies and regulations are attached as **Appendix B**.

The ensuing findings emanate from the evaluation of all North West Departments during the previous and the 2009/10 evaluation cycles. They should be seen against the broader environment of the diverse administrative practices and processes that need to be followed to enhance good governance. The System focuses only on a small part of these administrative practices and processes per principle (performance indicators and standards) to establish departments' performance/compliance with the principle.

3. SUMMARY OF FINDINGS

The following is a summary of how the NW departments performed during the 2009/10 evaluation cycle and previous evaluation cycles, which allowed for base-lines of performance according to the System to be established, and performance trends to be identified. The comparison of cycles is thus based on two groupings or cohorts,

the first includes the different evaluations prior to 2009/10, and which is termed “previous”, and the second is the 2009/10. There are thus two sets of evaluation data that are compared.

3.1 Trends in Performance between First Assessment and Re-Assessment

Compared to the first assessments conducted between 2002 and 2008, the findings for the 2009/10 assessment have shown performance improvement in at least seven departments. This improvement is encouraging since it shows that departments are starting to attend to the most basic administrative practices required, to better enable them to improve service delivery and good governance.

The largest improvement in performance was achieved by the Department of Economic Development and Tourism, from 49% in the 2006/07 assessment, to 71% in the 2009/10 reassessment and the Department of Health, from 31% in the 2005/06 assessment, to 45% in the 2009/10 reassessment.

3.2 Trends in Performance across the Principles Between the First Assessment and Re-Assessment

Performance has gone up in seven of the nine principles, namely principles relating to professional ethics, efficiency, economy and effectiveness, impartiality and fairness, public participation in policy-making, good human resource management practices and representivity. Principles where performance has improved the most were principle 1 (Professional Ethics) from 50% to 61% and principle 6 (Accountability), from 50% to 60%. The most significant decline in performance occurred against principle 3 - development orientation, which dropped from good performance (64%) to adequate performance (59%) in 2009/10. This decline in performance in terms of being development oriented may be indicative of departments not paying enough attention to issues of development which are central to service delivery.

3.3 General Observations between First Assessment and Re-Assessment

Although the Province’s average performance against all the principles has improved from 47% in the previous evaluation cycles to 52% in the 2009/10 evaluation cycle it remained at an adequate level. This “stagnation” in level of performance is concerning since this is the second assessment conducted for all departments in the Province. The following **table** summarises departments’ overall performance for the 2009/10 evaluation cycle:

Departments’ overall performance for the 2009/10 evaluation cycle

Name of Department	Performance Band				
	Excellent 81%-100%	Good 61%-80%	Adequate 41%-60%	Poor 21%-40%	No performance 0% - 20%
Agriculture, Conservation and Environment		✓			
Education		✓			
Economic Development and Tourism		✓			
Finance			✓		
Health			✓		
Developmental Local Government and Housing				✓	
Premier			✓		
Public Works			✓		

Departments' overall performance for the 2009/10 evaluation cycle

Name of Department	Performance Band				
	Excellent 81%-100%	Good 61%-80%	Adequate 41%-60%	Poor 21%-40%	No performance 0% - 20%
Sport, Arts and Culture			✓		
Social Development				✓	
Transport, Roads and Community Safety			✓		
Total	0	3	6	2	0

It is evident from the above **table** that there is a variation in performance between departments. Departments that achieved good performance in accordance with the PSC's rating system were Economic Development and Tourism with a score of 71%, Education and Agriculture, Conservation and Environment, each with a score of 70%. The remaining eight departments either performed adequately (41%-60%) or poorly (21% - 40%). See **Chapter 2**, page 6, under "Overall performance for the 2009/10 evaluation cycle" for further details and **Appendix C**, page 45, for the overall scores per principle.

It is also important to mention that this assessment further found that despite the recommendations previously made to departments, only 3 achieved good performance and none achieved excellent performance.

It is a cause for concern that none of the departments evaluated during the 2009/10 evaluation cycle implemented all the recommendations made by the PSC during the previous assessment. The results have shown that where management has failed to implement the recommendations made to it, the departments have not improved their performance. The importance of implementing recommendations in order to improve performance is underscored by this observation.

3.4 Performance per Principle

The departments' compliance against each of the nine CVPs is highlighted below.

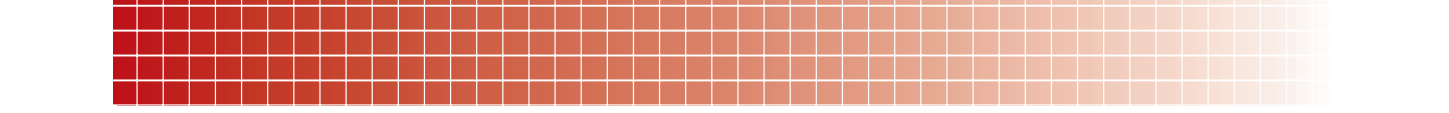
3.4.1 Principle 1: Professional Ethics

Departments have generally put in place policies/guidelines on managing cases of misconduct. However, this has not always been translated into better performance in managing these cases. For example, the average time taken to resolve cases of misconduct is 709 working days, which is far beyond the prescribed time frame of 20 - 80 working days set by Resolution 2 of 1999 of the Public Service Co-ordinating Bargaining Council. This can be linked to the absence of adequate management reporting on progress with the finalisation of cases of misconduct, which could have assisted in timeous intervention for resolving problems. The processes used to manage cases of misconduct must, therefore, be reviewed in order to ensure that line managers keep track of these cases and take corrective measures in time.

3.4.2 Principle 2: Efficiency, Economy and Effectiveness

A notable achievement is the improvement in the ability of departments to craft measurable performance indicators, which resulted in good performance against the standard that actual expenditure should be in accordance with the budget.

However, it was found that departments are still challenged when it comes to ensuring that a clear link exists between the planned outputs as they appear in their strategic plans, their budgets and annual reports. It was also found that there is no direct correlation between the measurability of indicators and the achievement of outputs. In order to address these problems, departments should strengthen their performance monitoring and evaluation



systems in order to ensure that all planned outputs are achieved. A good system will include appropriate management action if performance does not meet targets.

3.4.3 Principle 3: Development Orientation

Whilst development projects are increasingly better aligned to the Integrated Development Plans (IDPs), sound development principles such as ensuring the involvement of beneficiaries in the design, governance and monitoring of projects is lacking. Furthermore, the institutionalisation of lessons learnt to inform future practice reference remains a challenge.

If departments want beneficiaries to take ownership of poverty reduction projects, they need to ensure that beneficiaries are involved in the whole process of designing, managing and monitoring these projects. Another crucial aspect that departments need to attend to is to ensure that they put in place systems to institutionalise lessons learnt for application in future projects. This will ensure that challenges experienced during implementation of projects, do not recur in future.

3.4.4 Principle 4: Impartiality and Fairness

Departments generally still do not cite applicable legislation/policy as the basis for administrative decisions. On average, departments scored 47% which is adequate performance against this principle. This is a concern as it links to issues of justice and transparency, which relates to issues of accountability. If departments do not comply with these basic provisions, they can expose themselves in terms of Section 6 of PAJA to proceedings in a court or tribunal for judicial review, which can be instituted by any person who is convinced that his/her rights were negatively affected by a department's administrative action(s).

3.4.5 Principle 5: Public Participation in Policy-making


A clear pattern is discernable from the performance of departments against this principle. Whilst most departments do have systems in place for soliciting public participation in policy-making, most departments do not have systems for acknowledging or systematically considering inputs obtained through *Izimbizo*, *Izindaba* and outreach programmes. This confirmed the observation made regarding fair administrative procedures that by putting in place basic systems, such as a policy/guideline on public participation in policy-making, and the process to be followed during engagement with citizens, departments can make a big difference in giving people a voice and a choice in development and governance.

3.4.6 Principle 6: Accountability

A positive factor is that Departments have put in place performance management systems for all departmental programmes. Fraud Prevention Plans, based on a thorough risk analysis are in place in most departments, but they are not implemented. The existence of these plans, therefore, becomes meaningless.

A major challenge facing the Province is the capacity constraints of the Forensic Unit located in the Office of the Premier to investigate cases of fraud and corruption referred by departments. Linked to this is the finding of the Auditor-General (A-G) that 27% departments had no effective internal financial controls, which increases the risk of irregular expenditure, wasteful expenditure and over/under expenditure. Furthermore, five of the eleven departments received a **qualified audit opinion**, from the A-G.

These findings show basic failure in governance and administration, as well as improper or wasteful expenditure. The findings further suggest that the Province has a desperate need for appropriate financial controls so that the decline in confidence in the public sector can be reversed. Some of these controls, *inter alia*, include timely and



accurate reporting of suspicion of fraud, corruption and other irregularities by employees, monitoring the frequency of use of a single service provider; and determining the exact capacity requirements in the Office of the Premier for the handling of fraud cases.

3.4.7 Principle 7: Transparency

The overall average performance of the Province against this principle is adequate (50%). Departments generally still tend not to report on all the prescribed areas for annual report issued by the National Treasury and the Department of Public Service and Administration (DPSA). The two main areas where departments did not provide sufficient detail were Section A: General Information and Section B2: Overview of the Service Delivery Environment. As for access to information in terms of the Promotion of Access to Information Act (PAIA), 2000, departments are generally not complying with the Act. The lack of departments' compliance against this principle might signal that Departments are not taking issues of transparency seriously.

3.4.8 Principle 8: Good Human Resource Management and Career Development Practices

The average performance against the specific standards for this principle was adequate (49%). This low performance is mainly due to departments not following the most basic requirements for good human resource management, namely ensuring that:

- 3.4.8.1 The average number of months to fill a post in all departments, which is 11 months, does not exceed the PSC's standard period of 3 months.
- 3.4.8.2 Management pro-actively put preventative measures in place to ensure that the filling of vacancies do not take excessive time (nine of the eleven departments either do not report to management, on the matter or do not receive feedback from management on monthly progress reports).
- 3.4.8.3 Skills development plans are based on a thorough skills needs analysis. (Most of the departments' plans were not based on a thorough skills needs analysis).
- 3.4.8.4 Training needs are implemented as planned and the impact of these training on service delivery is assessed. (Departments did not implement the planned skills development activities and the impact of training was not assessed).

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

3.4.9 Principle 9: Representivity

Department's overall performance against this principle was poor (40%) due to the absence of an Employment Equity Policy and plan in most departments, the non-reporting to management on the progress with achieving employment equity targets. Furthermore, none of the eleven departments have met the representivity target of 2% for the disabled. However, most departments exceeded the 75% national target for Blacks at senior management level, and the 50% national target for women at senior management level. In order to address these deficiencies senior managers should be obliged to provide feedback or recommend interventions on management reports on representivity, and the Province should develop creative recruitment strategies for people with disabilities.



4. CONCLUSION

This report has provided an assessment of the state of the North West Province in terms of compliance with the nine CVPs. Furthermore, an overview of departments' performance within the Province was provided for the previous and the 2009/10 evaluation cycles, and it was noted that the overall performance of the Province has improved by 5%, from an average score of 47% in the previous evaluation cycles, to an average score of 52%, during the 2009/10 evaluation cycle. Although this performance remains within the "adequate performance" band, it is not significant given the fact that all departments evaluated in the 2009/10 were previously evaluated and were provided with a set of recommendations. However, it was evident from the findings that the best performing department had implemented the most recommendations which indicates the value added when departments implement recommendations.

Unless the recommendations contained in this report at the end of each principle are implemented, this will have a negative impact on effective public administration practices in the Province.

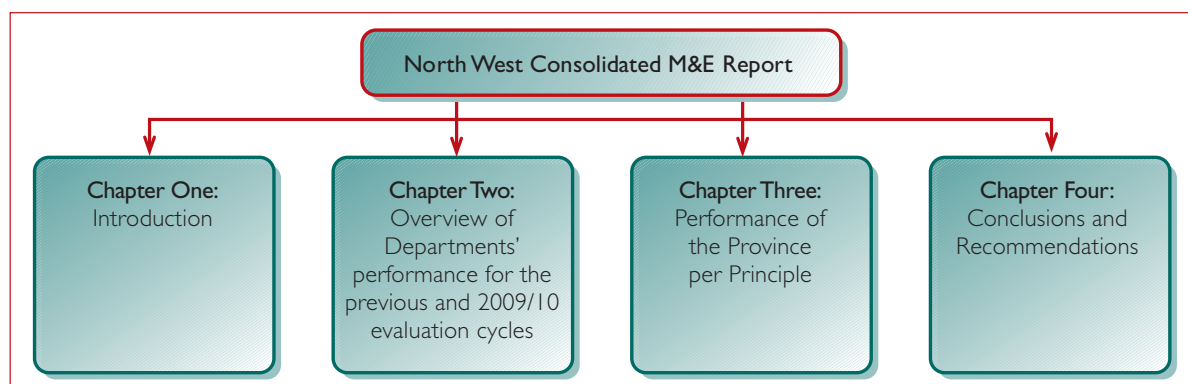
Chapter One

Introduction

1.1 BACKGROUND

This is the first Provincial Consolidated Monitoring and Evaluation Report, which is a product of data gathered through the System of the PSC. The report provides an assessment of the performance of departments within the NW Province, in terms of compliance with the nine CVPs set out in section 195 of the Constitution of South Africa. Since all provincial departments were assessed during the 2009/10 evaluation cycle, a comparative analysis was made against the previous assessments conducted in the province between the 2001/02 and the 2009/10 evaluation cycles. (Refer to **Appendix A** for a complete list of departments assessed since 2001/02).

This report consists of four chapters and is structured as follows:



In this introductory Chapter 1, an overview of the mandate of the PSC is provided, together with a description of the System. This is followed by a high level ranking of the performance of the departments for the current and previous cycles, and an overall performance assessment according to the principles.

In Chapter 2, assessments are made in terms of how the departments have adhered to the 9 constitutional principles and values. As the description of the system will indicate, there are performance indicators and measures for each, making it possible to quantify performance per principle. Chapter 2 also provides assessments across evaluation cycles, includes comparative assessments, highlights strengths and weaknesses and offers strategies for improvement. Chapter 3 presents the performance of the province per constitutional principle and Chapter 4 presents conclusions and recommendations.

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 this 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. In pursuing the achievement of its objectives, the PSC implements a series of monitoring and evaluation activities. This report emanates from the PSC's System.

1.3 BRIEF OVERVIEW OF THE SYSTEM

The PSC's System is but one of many research instruments used by the PSC to generate evaluative data on the performance of the Public Service. The System focuses on assessing the extent to which departments comply with the nine CVPs of public administration, as contained in Section 195 of the Constitution. Given that these principles are normative in nature, they serve as the benchmark for good governance. They thus serve as an appropriate framework for fostering good governance in the public sector. The nine CVPs 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 methodology applied by the System, in essence involves assessing the actual performance of the department against a set of indicators and standards - refer to **Appendix B** for a complete list of these indicators and standards per principle. Evidence about the actual state of practice for the nine CVPs was obtained by collecting and assessing policy and other documents, conducting interviews with samples of relevant persons and assessing qualitative and quantitative data according to templates and measures. By interrogating the evidence against the indicators and standards, a sense of the performance of the department against each of the nine CVPs was arrived at. Based on the assessment, a score is awarded to the department. The rating scale, consisting of five performance bands, is captured in the **Table I** below:

Table I: Exposition of the Scoring and Translation into Percentages

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

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

1.5 PROCESSES INVOLVED IN IMPLEMENTING THE SYSTEM

The process used in implementing the System aims to promote collaboration and partnership with departments. In this approach, communication throughout the cycle is important, starting from the initial process whereby the PSC's Transversal M&E System is introduced to top management, engaging them on the interim findings and finally presenting a report with recommendations. Departments are then provided with the opportunity to comment and give additional input on the draft report. In the process the principles of transparency and accountability are promoted. Departments, which are subjected to the System, should emerge as more self-critical and reflective. The process followed in the assessment of the performance of departments is captured in **Diagram I** on the next page:

**Diagram I:
Process of implementing the System 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 results to department

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

The next chapter covers an overview of Departments' performance for the previous and the 2009/10 evaluation cycles.

Chapter Two

Overview of the Departments' Performance

2.1 INTRODUCTION

The following is a synopsis of how the North West departments performed during the current (2009/10) and previous evaluation cycles. The comparison of cycles is thus based on the evaluations done prior to the 2009/10 financial year, and those done during the 2009/10 cycle. There are thus two sets of evaluation data that are compared.

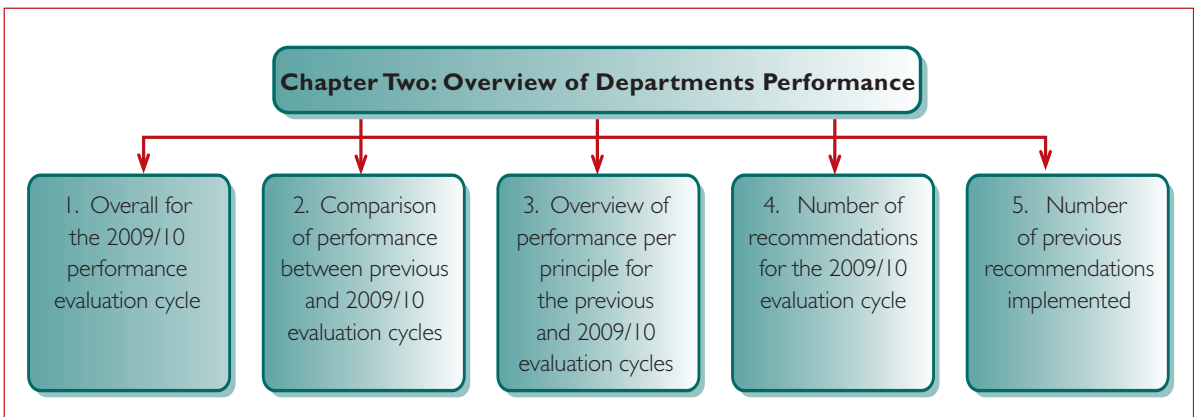
It should be understood that the assessment of departments used information from different periods for the different principles, as indicated below:

- Principles 2, 6, and 7: Information obtained from the departments' Annual Reports (AR) for the 2007/08 financial year.
- Principles 1, 3 to 5 and 8 to 9: The most recent information obtained from the departments for the 2009/10 financial year.

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

All the departments in the North West Province have been evaluated previously, and this allowed for base-lines of performance according to the system to be established, and performance trends identified. This chapter thus compares the two cycles, in terms of performance trends between departments and for the different CVPs.

This chapter is further structured as follows:

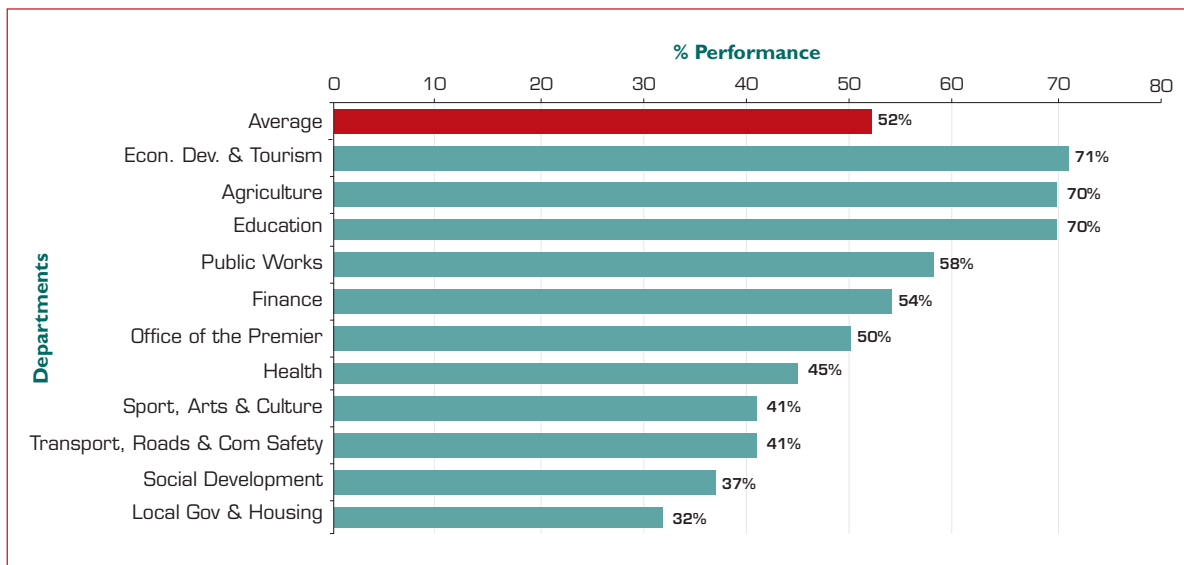


2.2 OVERALL PERFORMANCE FOR THE 2009/10 EVALUATION CYCLE

Figure 1 on the next page depicts the performance of departments in the Provincial Administration for the 2009/2010 evaluation cycle.

The overall average performance for the province was 52% which is regarded as “adequate performance” in terms of the PSC’s System - refer to **Figure 1** on the next page.

Figure 1: Overall performance of departments for the 2009/10 evaluation cycle



The best performers in the Province, which attained “good performance”, were the Departments of Economic Development and Tourism with a score of 71%, followed by the departments of Education and Agriculture, Conservation and Environment, each with a score of 70%. The remaining eight departments either performed adequately, (between 41% and 60%) or poorly (between 21% and 40%).

It is thus evident that there is a variation in performance between departments in the province. Overall, there is a need for most departments to significantly improve upon their performance when it comes to adhering to the CVPs. There should have been a significant improvement in the overall departmental averages in the 2009/10 cycle, given that the departments were previously assessed and provided with a set of recommendations. As this chapter will show, there has been an equally poor implementation of the recommendations made previously by the PSC.

2.3 COMPARISON OF PERFORMANCE BETWEEN THE PREVIOUS AND 2009/10 EVALUATION CYCLES

Figure 2 on the next page gives a comparative provincial performance assessment between the previous and 2009/10 evaluation cycles.

Although the Province’s average performance has improved from 47% in the previous valuation cycles to 52% in the 2009/10 evaluation cycle it remained at an adequate level.

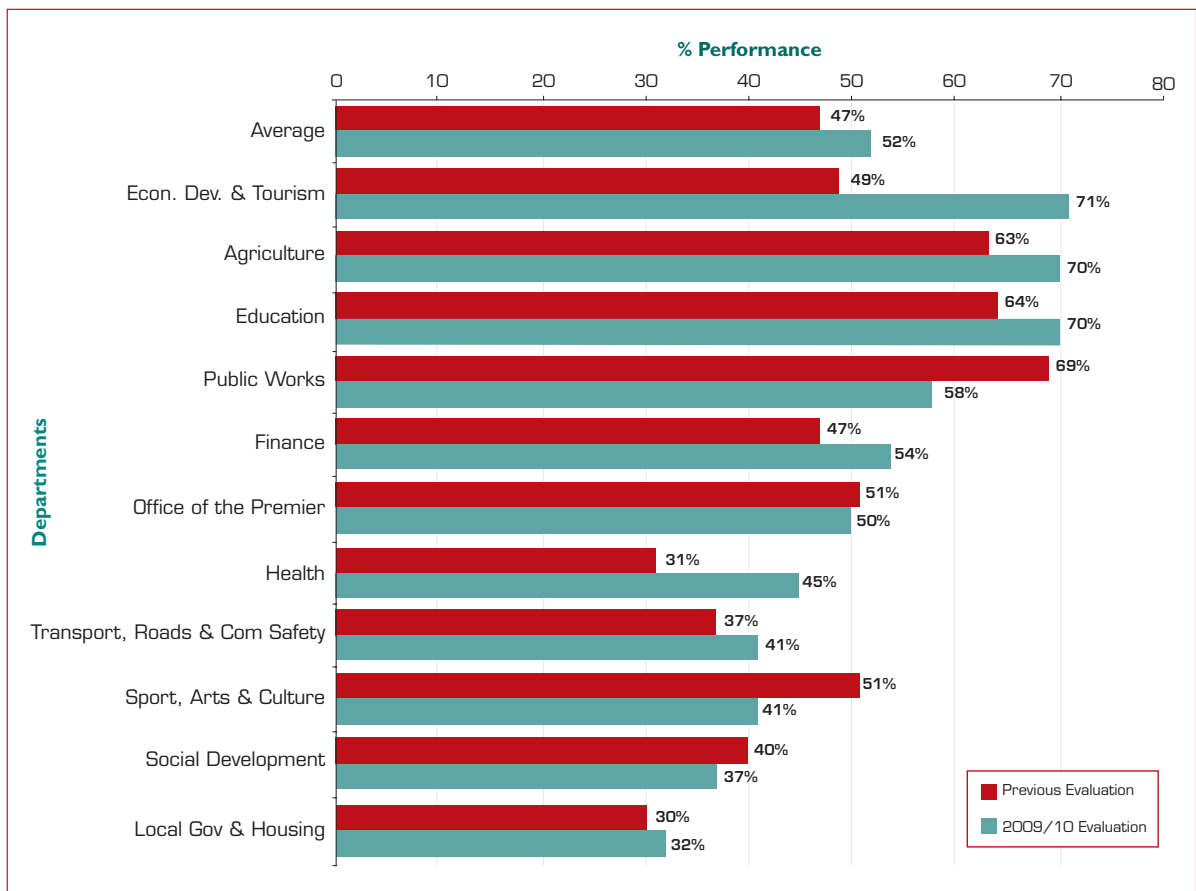
At a departmental level, there has been some improvement, with the following departments improving their performance significantly. These are:

- Economic Development and Tourism from adequate performance (49%) to good performance (71%).
- Health from poor performance (31%) to adequate performance (45%).
- Transport from poor performance (37%) to adequate performance (41%).

Of concern is the decline in performance in the following departments:

- Public Works from good performance (69%) to adequate performance (58%).
- Sport, Arts and Culture from adequate performance (50%) to poor performance (39%).

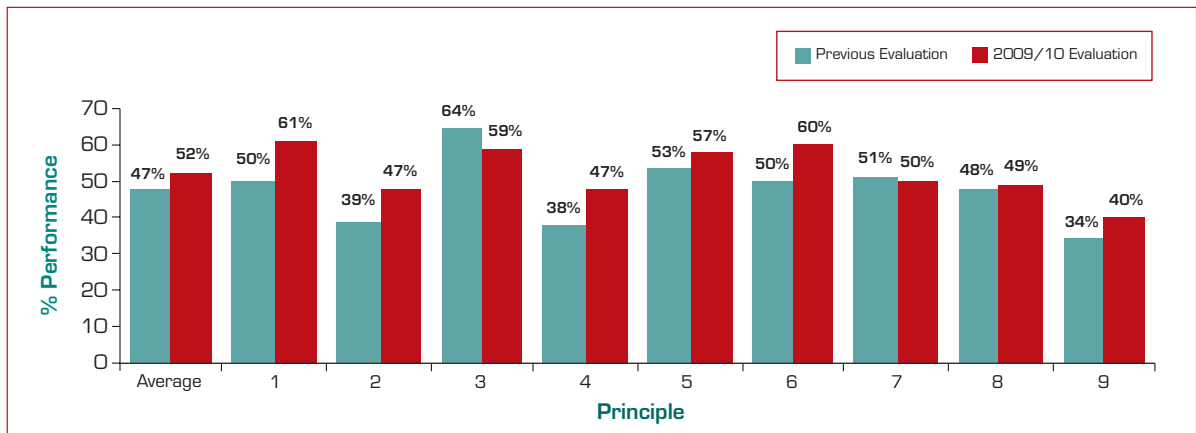
Figure 2: Comparison of performance between the previous and 2009/10 evaluation cycles



2.4 OVERVIEW OF PERFORMANCE PER PRINCIPLE FOR THE PREVIOUS AND 2009/10 EVALUATION CYCLES

Figure 3 below provides a comparative overview of the trends in performance per Constitutional principle between the previous and the 2009/10 evaluation cycles.

Figure 3: Overall performance of departments per principle



The overall average performance against all the principles remained at an adequate level for both evaluation cycles. Compared to the previous evaluations, there has been a significant improvement from adequate performance to good performance against principle 1 (50% to 61%) and principle 6 (50% to 60%). The most significant decline in performance occurred against principle 3 - development orientation, which dropped from good performance (64%) to adequate performance (59%). This decline in performance against principle 3 is concerning as it may be indicative of departments not paying enough attention to "this critical aspect," which is central to service delivery.

Appendix C provides the detail per principle per department for previous assessments and the 2009/10 evaluation cycle, respectively.

2.5 NUMBER OF RECOMMENDATIONS FOR THE 2009/10 EVALUATION CYCLE

The PSC made a total number of **348** recommendations during the 2009/2010 evaluation cycle. **Table 2** below provides the breakdown of the number of recommendations for each department. As can be seen a similar number of recommendations were made for each department.

Table 2: No. of Recommendations per Department during the 2009/2010 Financial Year

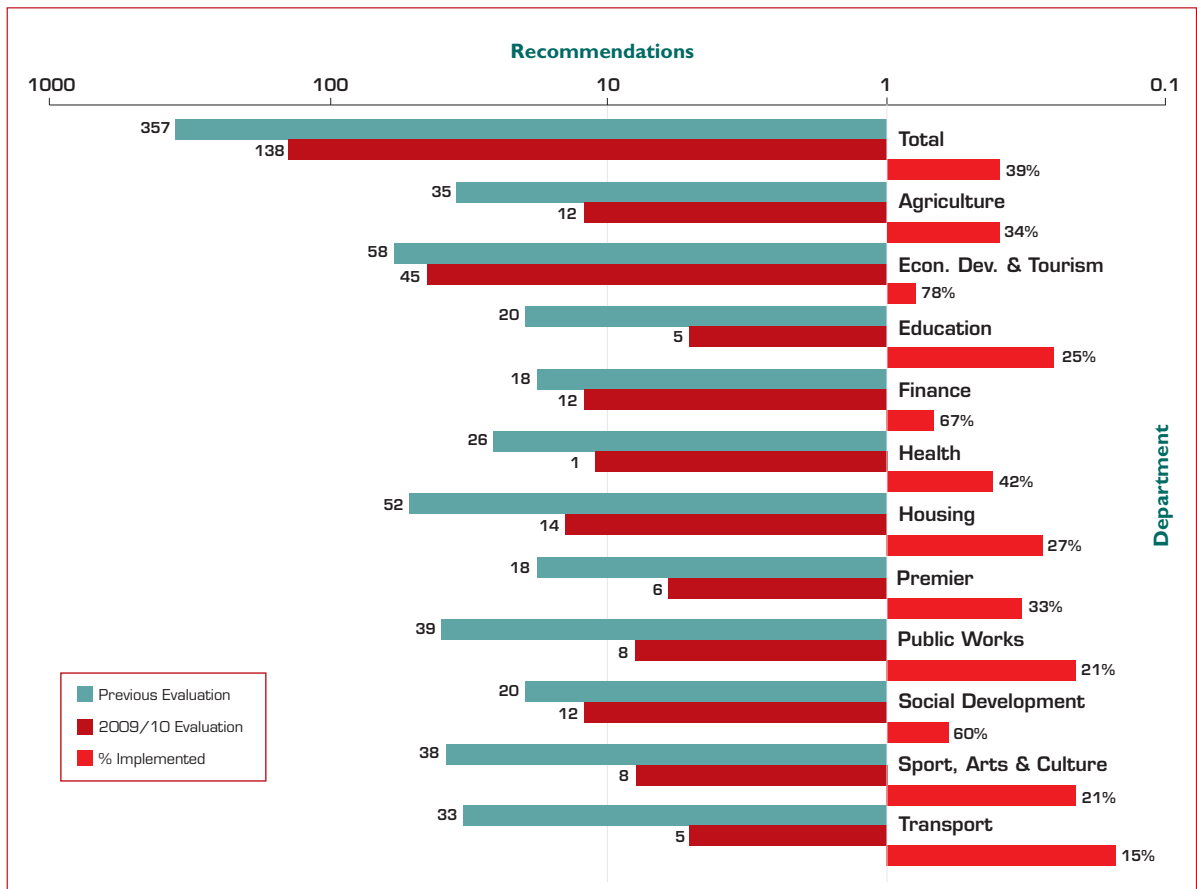
Department	No. of Recommendations	% of Total
Agriculture, Conservation and Environment	23	6
Economic Development and Tourism	29	8
Education	15	4
Finance	22	6
Health	27	7
Developmental Local Government and Housing	39	11
Premier	32	9
Public works	45	12
Sports, Arts and Culture	37	10
Social Development	41	11
Transport, Roads and Community Safety	38	10
Total	348	100%

2.6 NUMBER OF PREVIOUS RECOMMENDATIONS IMPLEMENTED

Figure 4 on the next page compares the number of recommendations, per department, made during the previous evaluation cycle found to be implemented when these departments were re-assessed in the 2009/10 evaluation cycle.

As reflected in **Figure 4** on the next page, none of the 11 Departments has implemented all recommendations made by the PSC. The Department of Economic Development implemented the highest number of recommendations made, 45 of the 58 (78%), and has improved its performance by two performance bands, from poor (49%) to good (71%), and this indicates the importance for departments to act on recommendations made. The Department of Transport, Roads and Community Safety has implemented the least number of recommendations, 5 out of 33 (15%).

Figure 4: Recommendations made and implemented per department



The Departments of Sport, Arts and Culture and Developmental Local Government and Housing, implemented less than 27% of recommendations made to them during the previous assessment cycle, and their performance level has remained poor, having achieved 39% and 32%, respectively. These results clearly indicate that where management has failed to implement the recommendations made to it, the departments have not improved their performance. The next chapter looks at the performance of the province per constitutional principle.

Chapter Three

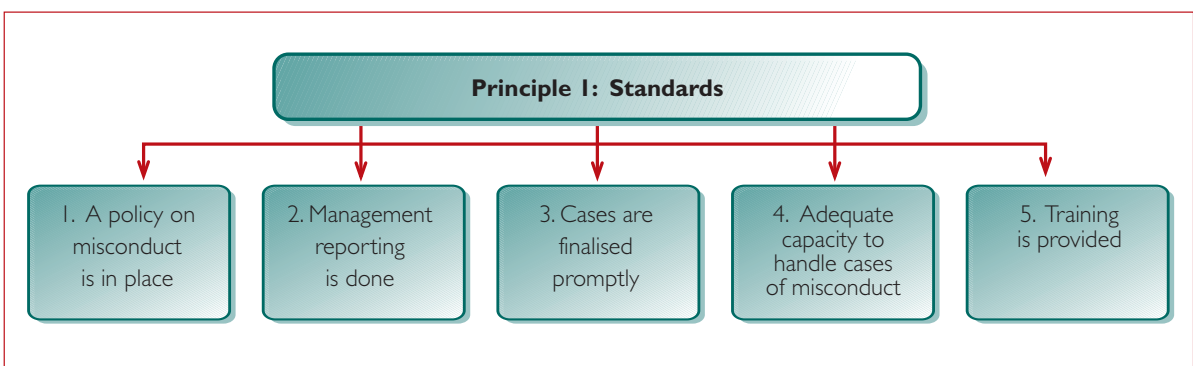
Performance of the Province per Principle

3.1 PRINCIPLE ONE: PROFESSIONAL ETHICS

This CVP requires departments to promote and maintain a high standard of professional ethics, which emphasises that officials should exercise their duties honourably to ensure a Public Service that serves as an example of clean administration and high professional ethical conduct. When government policy is not adhered to or is breached, such behaviour is not in the best interest of the Public Service. It is unethical, and is regarded as misconduct.

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

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

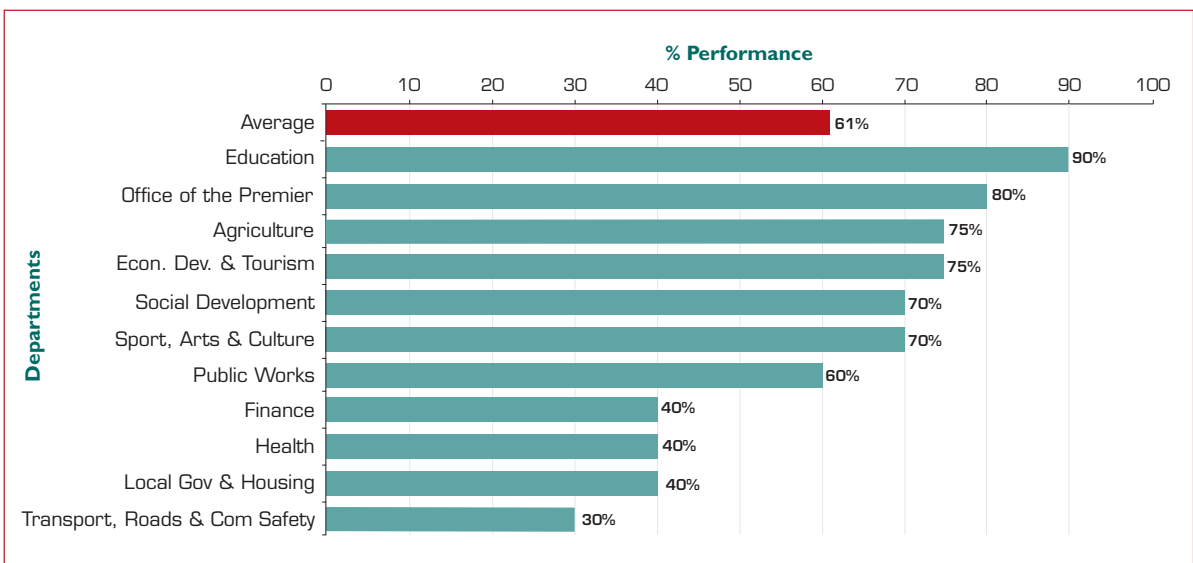


Each department's compliance against this principle is highlighted below.

3.1.1 Comparison of Departments' Performance against Principle 1 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of Professional Ethics (**Figure 5**) was good (61%). **Appendix D** provides the detail per department.

Figure 5: Departments' performance against professional ethics for the 2009/10 evaluation cycle



The best performer was the Department of Education with excellent performance (90%). The lowest performance was recorded by the departments of Transport, Roads and Community Safety (30%), Health, Finance and Developmental Local Government and Housing (all scoring 40%) which constitutes poor performance against the standards.

3.1.2 Strengths

The Province's average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 3** below: See **Appendix D** for detail

Table 3: The Province's average scores against the specific standards of principle 1

Standard	Policy guideline on managing cases of misconduct	Time to resolve cases	Management reporting	Capacity to handle misconduct cases	Training and awareness
Average	86%	50%	45%	59%	55%

An average score for the province of 61%, constituting good performance, suggests that at an aggregated level this aspect is well managed. It is important to highlight that the Province has fully complied with the submission of financial disclosure forms, as required in terms of the Financial Disclosure Framework and Chapter 3 of the Public Service Regulations. This shows leadership and management resolve in ensuring that managers disclose their financial interests, which is commendable.

The average performance of departments regarding the requirement that a policy guideline on managing cases of misconduct should be in place was 86%, which indicates excellent performance against the standard. Departments either do have their own policies or are utilising Public Service Coordinating Bargaining Council Resolution 1 of 2003 to guide them in dealing with cases of misconduct.

Whilst there has been an improvement compared to the previous assessment, there is room for improvement in several critical areas, the most serious being the time taken to address cases of misconduct.

3.1.3 Weaknesses

The capacity to handle misconduct cases remains an area requiring improvement, with departments scoring 59%, which is adequate performance against the standard. Whilst departments have policies in place all departments have exceeded the range of 20-80 working days within which cases should be finalised, set by Public Service

Co-ordinating Bargaining Council Resolution 1 of 2003, as reflected in **Table 4** on the next page. The delay in resolving cases of misconduct may send a wrong message that unethical behaviour is tolerated and could thus result in a breakdown in discipline.¹ Furthermore, it was noted that a clear challenge is institutionalisation of management reporting on cases of misconduct, since departments scored only 45% (adequate performance) against this standard. This could be an indication that management does not always monitor progress or intervene, where necessary, in resolving cases of misconduct.

In this province the average time taken to resolve cases of misconduct is 709 days, or 23 months, which is unacceptable. Both the capacity and resolve to deal with such cases requires urgent attention.

Table 4: Time frames for resolving cases of misconduct

Department	Average number of working days to finalise a case of misconduct
Agriculture, Conservation and Environment	2 047
Economic Development and Tourism	472
Education	820
Finance	899
Health	1 797
Developmental Local Government and	222
Premier	1 10
Public works	920
Sports, Arts and Culture	128
Social Development	96
Transport, Roads and Community Safety	2 293
Province Average	709 days (23 months)

3.1.4 Recommendations

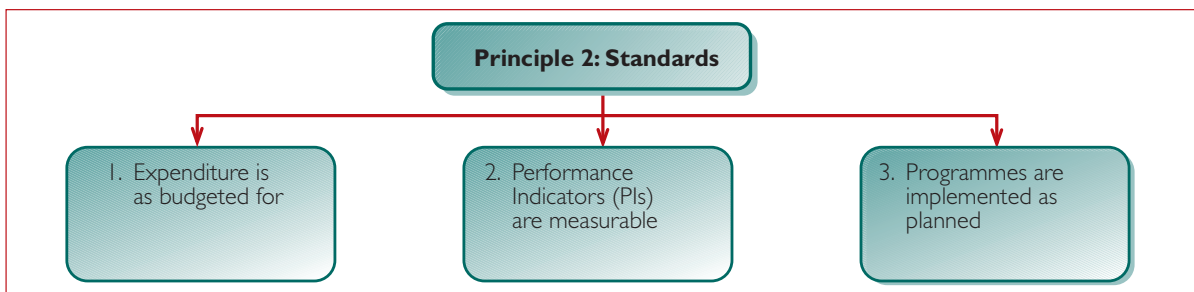
The Departments should pay attention to the following critical areas:

- 3.1.4.1 The processes used to manage cases of misconduct must be reviewed, in order to ensure that line managers keep track of these cases and take corrective measures in time.
- 3.1.4.2 A performance improvement plan to reduce the turnaround time must be put in place, monitored and reported on to the Provincial Cabinet.
- 3.1.4.3 Departments should institutionalise professional ethics into their work plans by organising awareness campaigns on the Code of Conduct and training managers on the processes for dealing with misconduct.

3.2 PRINCIPLE TWO: EFFICIENCY, ECONOMY AND EFFECTIVENESS

This Constitutional principle relates to the area of financial management, and as such, addresses departments' ability to ensure that their limited resources are spent in ways that achieve more value for money. The ultimate goal is to provide cost-effective services of a high quality that have the interests of citizens at heart. The efficient, economic and effective utilisation of resources is thus internationally recognised as being of critical importance in public service delivery. To assess whether government is performing efficiently, economically and effectively there should be a clear link to strategic planning, budgeting, performance management and service delivery.²

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



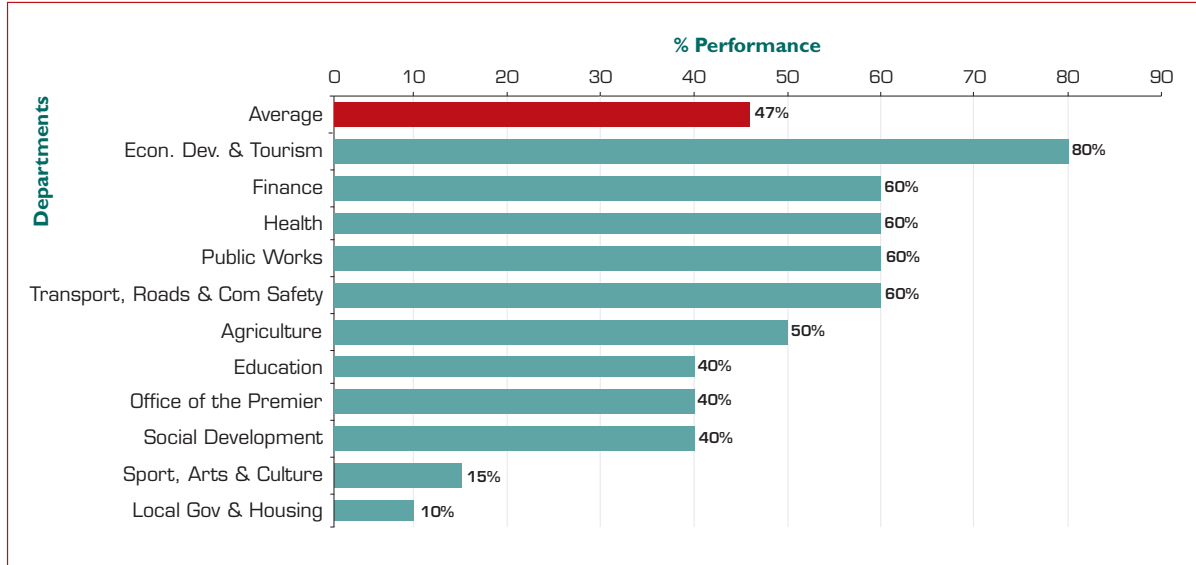
² Republic of South Africa. Public Service Commission. 6th Consolidated M&E Report. Evaluation cycle 2008/09.

This section provides an exposition of the departments' performance against this principle.

3.2.1 Comparison of Departments' Performance against Principle 2 during the 2009/2010 Research Cycle

The overall average performance against the principle of Efficiency, Economy & Effectiveness (**Figure 6** below) was adequate (47%). **Appendix E** provides the detail per department.

Figure 6: Departments' performance against economy, efficiency and effectiveness for the 2009/10 evaluation cycle



The only department that achieved a performance rating of “good” was Economic Development and Tourism (80%). Five departments performed adequately, namely, the Department of Finance (60%), the Department of Health (60%), the Department of Agriculture, Conservation and Environment (50%), the Department of Public Works (60%) and the Department of Transport, Roads and Community Safety (60%). The lowest performers were the Departments of Developmental Local Government and Housing and Sport, Arts & Culture which scored 10% and 15% respectively, which is indicative of poor performance.

3.2.2 Strengths

The Provinces' average scores against the specific standards applied by the PSC under this principle are reflected in **Table 5** below: See **Annexure E** for detail.

Table 5: The Province's Average Scores against the Specific Standards of Principle 2

Standard	Expenditure	Performance Indicator	Achievement of Priority Outputs
Average	68%	73%	32%

A notable achievement is the improvement in the ability of departments to craft measurable performance indicators. On average, the performance of departments against this standard was 73%, which is good performance. This should assist departments to monitor and evaluate programme performance. It is also encouraging that departments achieved good performance (an average score of 68%) against the standard regarding planned versus actual expenditure. This signals that departments are exercising better financial control over their expenditure as required by the PFMA. However, as discussed later, this does not necessarily mean effective delivery of outputs.

3.2.3 Weaknesses

The main improvement required across all the departments relates to the ability to produce priority outputs. On average, departments scored only 32%, which suggests poor performance.

An area of concern is that departments that spent the allocated budget did not necessarily achieve the planned outputs. It would be logical to assume that if a department has spent according to budget, then all the planned outputs will be achieved, as there should have been an alignment between planning, budgeting, monitoring and achievement of specific projects/activities. It, therefore, raises serious questions if departments exhaust the budget **without** achieving all the planned outputs. For example, five departments (see **Table 6** below) that spent the available budget, achieved less than 61% of the planned outputs.

Table 6: Expenditure, achievement of outputs and measurability of indicators

Departments that Spent According to Budget	% of Achievement of Outputs	% of Measurable Indicators
Agriculture, Conservation and Environment	46%	86%
Economic Development and Tourism	61%	95%
Health	61%	99%
Public works	59%	98%
Transport, Roads and Community Safety	59%	85%

Furthermore, the findings as reflected in **Table 6** above, indicate that there is no direct correlation between the measurability of indicators and the achievement of outputs. In all five departments the measurability of indicators ranged between 85 and 99%, yet the achievement of outputs ranged between 46 and 61%, which suggests that the measurability of indicators did not have any direct positive effect on the achievement of planned outputs. The reason for this could be that departments lack effective monitoring and evaluation systems.

3.2.4 Recommendations

The Departments should prioritise the following areas:

- 3.2.4.1 Departments should strengthen their performance monitoring and evaluation systems in order to ensure that all planned outputs are achieved. A good system will include appropriate management action if performance does not meet targets.
- 3.2.4.2 Particular attention should be paid to monitoring expenditure patterns in order to ensure that expenditure is always in accordance with the budget. Departments should explain variances when they have either under-spent or over-spent.

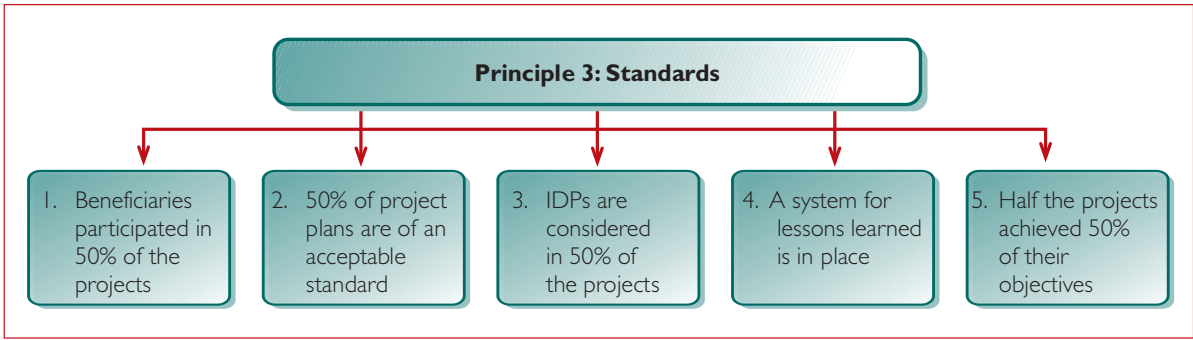
3.3 PRINCIPLE THREE: DEVELOPMENT ORIENTATION

This principle requires from departments to ensure that they, within their respective mandates, drive development orientation projects, and thus contribute to the national effort of government to promote development in the eradication of poverty. This means that departments need to consciously build development considerations into their programmes/projects and monitor the outcome thereof.³ The net effect of a developmentally orientated Public Service will be one that meets the Millennium Development Goals.⁴

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

³ Republic of South Africa. Public Service Commission. Fifth Consolidated Report. Evaluation Cycle 2007/08.

⁴ Republic of South Africa. Public Service Commission. 6th Consolidated M&E Report. Evaluation Cycle 2008/09.



This section provides an exposition of the departments' compliance against this principle.

3.3.1 Comparison of Departments' Performance against Principle 3 during the 2009/2010 Assessment

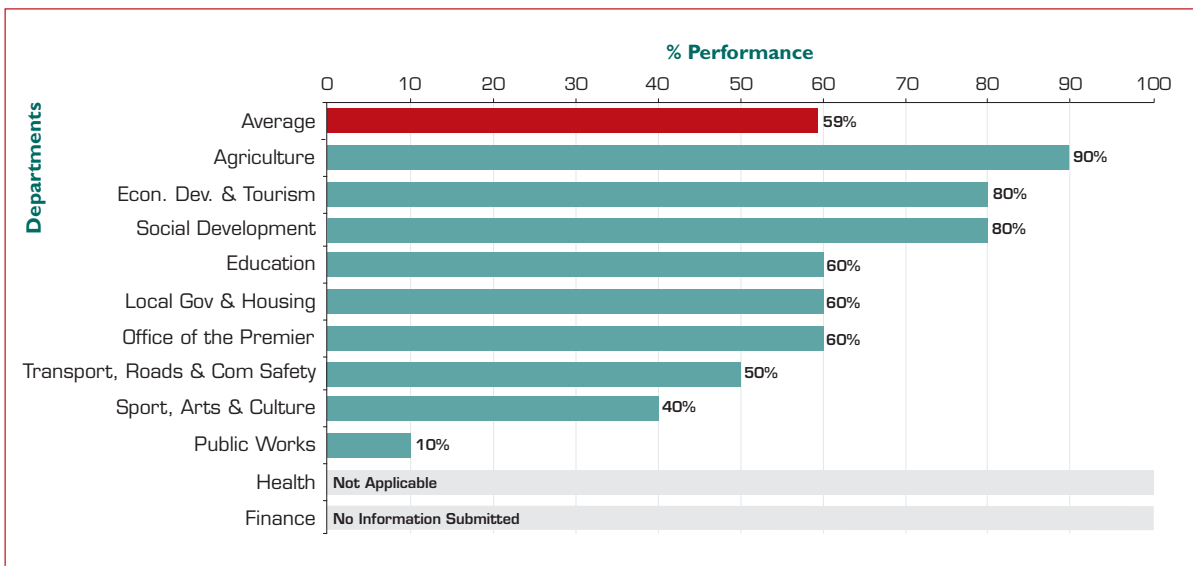
The overall average performance against the principle of development orientation (**Figure 7 below**) was adequate (59%). **Appendix F** provides the detail per department.

The Department of Health did not submit the necessary documentation to the PSC, whilst the Department of Finance was of the opinion that this principle is not applicable to them due to their function as provincial treasury. As a result this departments' performance against this principle could not be assessed. This had a negative effect on the overall performance of the Province against this principle.

The only department that achieved a performance rating of "excellent" was Agriculture (90 %), followed with good performance by the Departments of Economic Development and Tourism, and Social Development both with a score of 80%.

With the exception of the Department of Public Works, which obtained a no performance rating of 10%, and the Department of Sport, Arts and Culture which performed poorly (40%), the performance of the remaining three departments was adequate (50% - 60%).

Figure 7: Departments' performance against development orientation for the 2009/10 evaluation cycle



3.3.2 Strengths

The Provinces average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 7** below: **See Annexure F** for detail.

Table 7: The Province's Average Scores against the Specific Standards of Principle 3

Standards	At least half the projects are of an acceptable standard in terms of beneficiary participation	At least half the project plans are of an acceptable project management standard	At least half of the projects are aligned with local development plans	A system is in place for systematically institutionalising lessons learnt	Success of projects
Average	43%	45%	72%	20%	55%

On average, departments scored 78% against the standard that development projects should be aligned with Integrated Development Plans, which represents good performance. One of the benefits of this alignment is that projects and programmes are implemented in a coordinated and integrated manner, thus fast tracking service delivery. With regard to the overall coordination of Provincial programmes, the Directorate Policy & Planning in the Office of the Premier monitors, coordinates and guides the development programmes of the provincial administration through the Cluster Programmes of Action. According to the Office of the Premier, this directorate also monitors and coordinates contributions of municipalities and departments into the formulation of Municipal IDPs, Departmental Strategies and Annual Performance Plans on an annual basis. The Provincial Growth and Development Strategy (PGDS) Committee under chair of the Premier, and 7 Sector Working Groups, meet regularly to review growth and development initiatives in the PGDS and monitor and coordinate implementation of programmes and projects.⁵

3.3.3. Weaknesses

Beneficiary participation in the design of poverty reduction projects seems to be one of the main areas where improvement is needed in the Province. Departments scored 43% against this standard which reflects adequate performance. Failure by provincial departments to involve beneficiaries throughout the life cycle of the project might cause dissatisfaction and even trigger protests, especially when beneficiaries' expectations are not met.

A major cause for concern is that departments scored 20%, which is poor performance against the standard that a system should be in place for systematically institutionalising lessons learnt from development projects. This means that departments do not learn from their successes and failures, and are unable to apply good practices, drawn from these experiences, to future projects. With regard to the success of the projects, the departments' average score was 55%, which suggests adequate performance against the standard. Although performance was adequate, there is room for improvement in the monitoring and evaluation of projects in order to ensure that all set objectives are achieved.

3.3.4 Recommendations

The Departments should pay attention to the following critical areas:

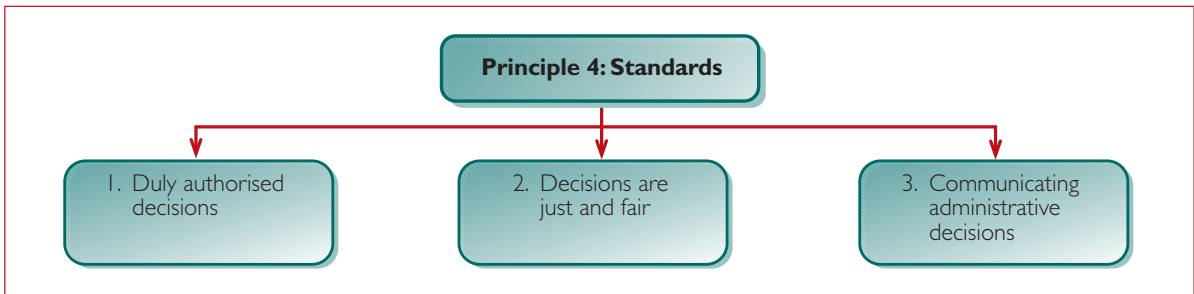
- 3.3.4.1 Departments should ensure that beneficiaries participate in the design, management and monitoring of poverty reduction projects in order to ensure ownership of the poverty reduction projects.
- 3.3.4.2 Departments must put in place systems to institutionalise lessons learnt for application in future projects. This will ensure that challenges experienced during implementation of projects, do not recur in future.

⁵ Schoeman, D. *DDG Policy and Governance: Office of the Premier: North West. Response to the Public Service Commission Report on the Monitoring and Evaluation of the Office of the Premier. 5 February 2010.*

3.4 PRINCIPLE FOUR: IMPARTIALITY AND FAIRNESS

This Constitutional principle states that services be provided impartially, fairly, equitably and without bias. Government has addressed this need for fairness in service delivery in a number of ways. One such initiative was the promulgation of PAJA 2000, passed as Act 3 of 2000. The PAJA ensures procedurally fair administrative actions, gives people the right to request reasons for actions and also give them the right to have such actions reviewed in court.

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



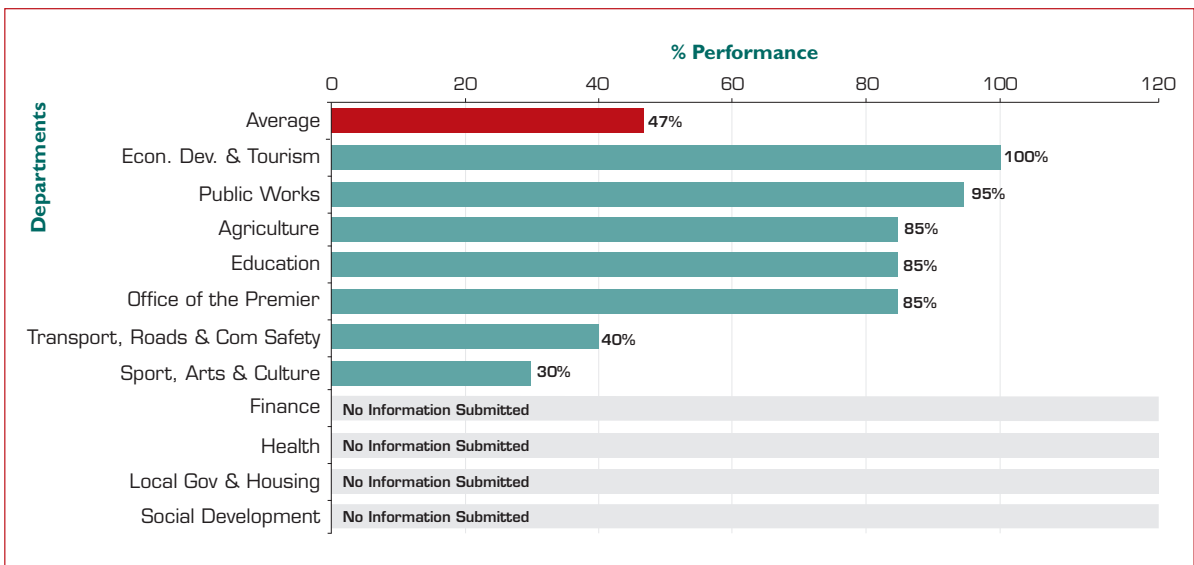
Adherence to these three standards is important since a department can expose itself in terms of Section 6 of PAJA to proceedings in a court or tribunal for judicial review, which can be instituted by any person who is convinced that his/her rights were negatively affected by a department’s administrative action(s).

This section provides an exposition of the departments' compliance against this principle.

3.4.1 Comparison of Departments' Performance against Principle 4 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of impartiality and fairness (**Figure 8** below) was adequate (47%). **Appendix G** provides the detail per department.

Figure 8: Departments' performance against impartiality and fairness for the 2009/10 evaluation cycle



The Departments of Finance, Health, Developmental Local Government and Housing and Social Development did not submit the necessary documentation to the PSC. As a result, these departments' performance against this principle could not be assessed. This had a negative effect on the overall performance of the Province against this principle.

However, it is encouraging to note that five departments' performance against this principle was excellent, with their scores ranging from 85% to 100%. These departments were Economic Development and Tourism, at (100%), Public Works (95%), followed by Agriculture, Conservation and Environment, Education, and the Office of the Premier which scored 85% each. The performance of the Departments of Transport, Roads and Community Safety (40%) and Sport, Arts and Culture (30%) against this principle was poor.

3.4.2 Strengths

The Provinces average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 8** below - see **Annexure G** for detail.

Table 8: The province's average scores against the specific standards of principle 4

Standards	Decisions in terms of legislation/policy	Decisions in terms of delegations	Decisions are just and fair	Communicating administrative decisions
Average	36.3%	55%	55%	30%

The indicator used by the PSC under this principle is compliance with the PAJA. If departments systematically check whether decisions comply with all the requirements of the Act and the documentation reflects that, then they score well against this indicator: Five departments scored excellently against this indicator - see **Figure 8** on the previous page. However, during the evaluation of the departments, documentation of administrative decisions was either incomplete or not submitted to the PSC. Consequently, most departments recorded no or poor performance against this principle. This is reflected by **Figure 8** on the previous page. These figures imply that although some departments achieved excellent performance, much still needs to be done by most departments to promote just administrative practices.

3.4.3 Weaknesses

A critical weakness was that a rating of "no or poor performance" was recorded if departments were unable to cite applicable legislation/policy as the basis for administrative decisions. On average departments scored 36%, which is poor performance against this standard. When departments do not base decisions explicitly on legislation or policy, it increases the risk that the legality or fairness of the decisions could be challenged. Furthermore, it was noted that departments do not comply with PAJA when communicating administrative decisions. This is reflected in the departments' poor performance of 30% against this standard. Such performance implies that departments generally do not give prior notice before administrative action is taken, and opportunities are not provided in all cases to make representations before action is taken. Furthermore, adequate notice is not given of the right to appeal or review, or request reasons for decisions.

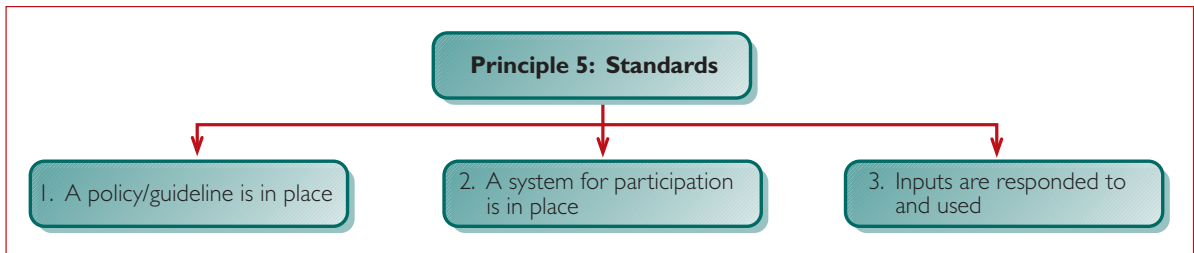
3.4.4 Recommendation

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

3.5 PRINCIPLE FIVE: PUBLIC PARTICIPATION IN POLICY MAKING

This Constitutional principle states that “people’s needs must be responded to and the public must be encouraged to participate in policy making” It is a participative, consensus model of policy-making that also takes into cognizance the fact that public participation is more likely to produce solutions that are sustainable. The performance indicator for measuring public participation is that departments must facilitate public participation in policy-making.

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

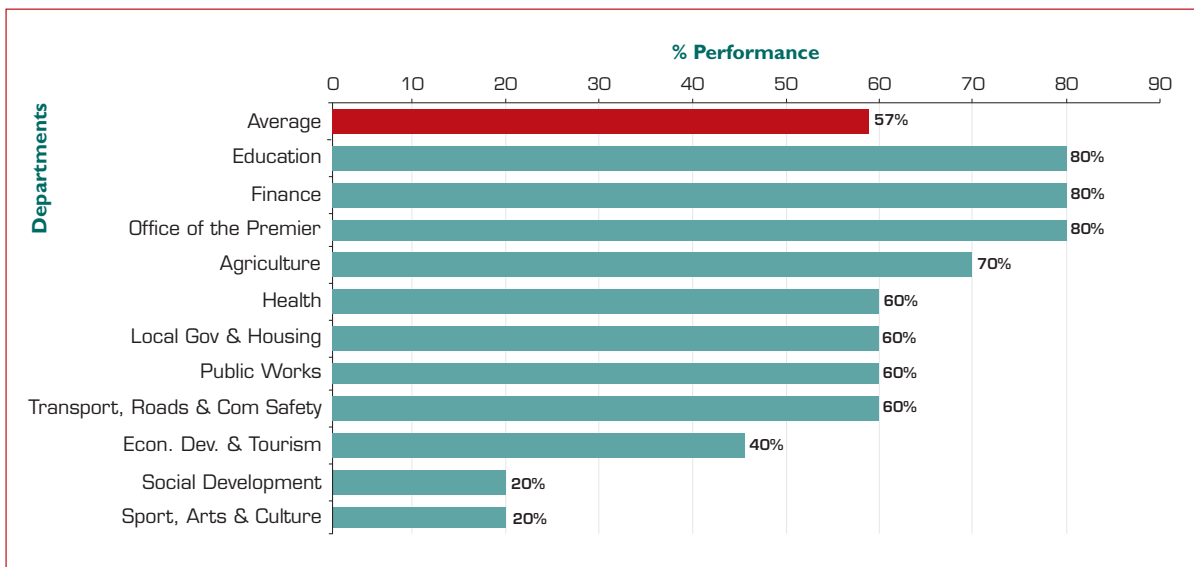


The Constitution provides for the involvement of citizens in all spheres of public administration, including in the conceptualisation, design, implementation and monitoring and evaluation of projects. Meaningful public participation gives people a voice and a choice in development and governance. This section provides an exposition of the departments’ compliance against this principle.

3.5.1 Comparison of Departments’ Performance against Principle 5 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of public participation in policy-making (Figure 9 below) was adequate (57%). Appendix H provides the detail per department.

Figure 9: Departments’ performance against public participation in policy-making for the 2009/10 evaluation cycle



It is encouraging that four departments' performance against this principle was good with scores ranging from 70% to 80%. These departments were Education, Finance and the Office of the Premier which scored 80%, followed by the Department of Agriculture with a score of 70%. The performance of the Departments of Health, Developmental Local Government and Housing, Public Works and Transport, Roads and Community Safety was adequate with a score of 60% each. The poor performance of the Department of Economic Development and Tourism (40%) and the no performance of the Departments of Social Development and Sport, Arts and Culture with a score of 20% each, is of great concern to the PSC.

3.5.2 Strengths

The Provinces average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 9** below - see **Annexure H** for detail.

Table 9: The Province's Average Scores against the Specific Standards of Principle 5

Standards	An approved policy/guideline on public participation in policy-making is in place	System for participation	Inputs are responded to and used
Average	45%	77%	41%

The Departments scored an average of 77%, which is good performance, in terms of putting in place systems for soliciting public participation in policy-making. Even though there is room for improvement in some departments, it is encouraging that departments use mechanisms to solicit inputs from the public.

3.5.3 Weaknesses

Despite the PSC's recommendations made during the previous assessment, some departments still do not have an approved policy or guideline on public participation in policy-making. Although the departments scored 45% against this standard, which is adequate performance, there is still room for improvement considering the fact that the existence of policies /guidelines better enable departments to facilitate public participation in their environments.

Furthermore, departments either could not show that they have considered inputs made by the public or did not provide feedback to the public. This is evident in the average score of 41% (adequate performance) achieved by departments against this standard. This requirement determines the meaningfulness of public participation, does not influence policy or application of policy, the public need not have been consulted in the first place.

3.5.4 Recommendations

The Departments should pay attention to the following three critical areas:⁶

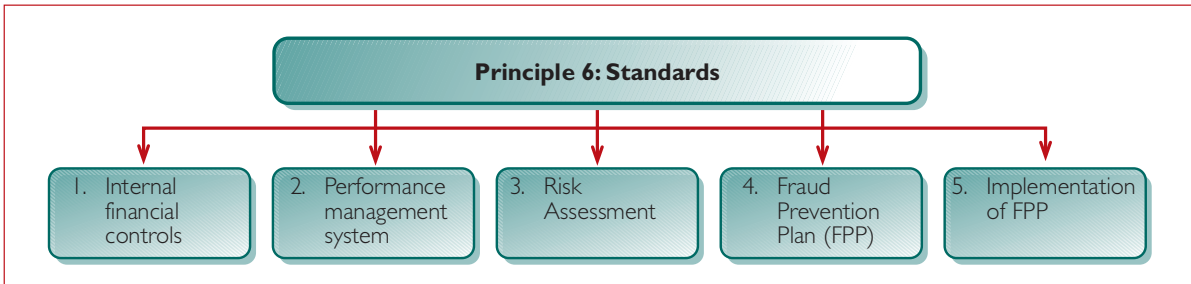
- 3.5.4.1 Departments should develop guidelines/policy on public participation that clearly articulates the objectives of public participation and the process to be followed during engagement with citizens. The policy/guidelines on public participation must include how advice and comments from by citizens are factored into their work plans for implementation and that a database on Citizens' comments should be kept or maintained.
- 3.5.4.2 Departments should make use of findings contained in reports on public engagement, including citizens' satisfaction surveys, to address citizens' concerns and to incorporate these findings in policy making. It is through engagement with such reports that potential service delivery protests can be averted.
- 3.5.4.3 Departments should familiarise themselves with the Citizens' Forums Toolkit developed by the Public Service Commission because it is a useful resource for public participation.

⁶ Republic of South Africa. Public Service Commission. Report on the Assessment of Public Participation Practices in the Public Service. December 2008, page x.

3.6 PRINCIPLE SIX: ACCOUNTABILITY

This Constitutional principle emphasises that “*public administration must be accountable.*” Accountability involves an obligation on the part of public officials to account for their performance against deliverables, fulfil public obligations and it means that the Public Service agrees to be held up to public scrutiny so that the decisions and processes used can be evaluated and re-assessed. This principle, together with that of transparency, also enables citizens to exercise their democratic right to keep the institution of the Public Service honest and competent.⁷

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

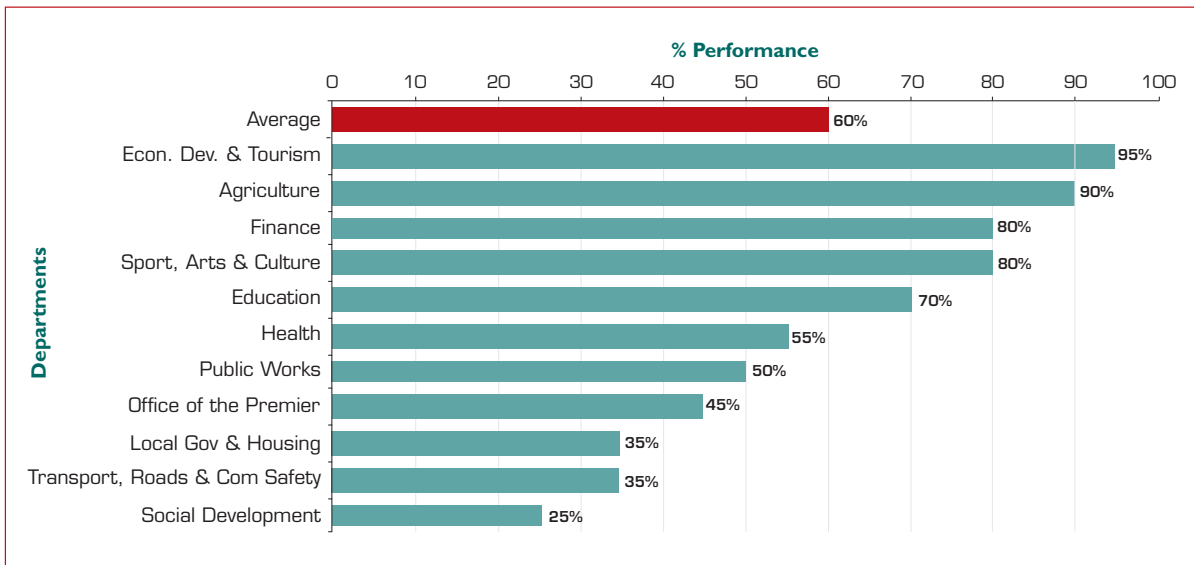


This section provides an exposition of the departments' compliance against this principle.

3.6.1 Comparison of Departments' Performance against the Principle 6 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of accountability (**Figure 10** below) was adequate (60%). **Appendix I** provides the detail per department.

Figure 10: Departments' performance against accountability for the 2009/10 evaluation cycle



Excellent performance is noted for the Departments of Agriculture, Conservation and Environment and Economic Development and Tourism, scoring 90% and 95% respectively. At the low end were the Departments of Social

⁷ Republic of South Africa. Public Service Commission. Sixth Consolidated Public Service Monitoring and Evaluation Report Research Cycle 2008/09.

Development with 25%, Developmental Local Government and Housing with 35% and Transport with 35%, which is indicative of poor performance.

3.6.2 Strengths

The Provinces average scores against the specific standards applied by the PSC under this principle are reflected in **Table 10** below: See **Annexure I** for detail.

Table 10: The Province’s average scores against the specific standards of principle 6

Standards	Internal financial controls	A performance management (M&E) system on all departmental programmes is in operation	Risk Assessment	Fraud Prevention Plan	Implementation of the fraud prevention plan
Average	27%	82%	75%	77%	16%

A positive factor is that Departments have put in place performance management systems for all departmental programmes. This is evident from the excellent performance of 82% against this standard. However, it is also a cause for concern that departments achieved a low score of 32% regarding the achievement of priority outputs (see **Appendix E**), which signal the ineffectiveness of these systems.

Seventy-seven percent (77%) of departments had Fraud Prevention Plans, based on a thorough risk analysis, at the time of the evaluation. This indicates good performance against this standard. It is also encouraging that 75% of departments conduct risk assessment on all their activities. This implies that risks are prioritised and internal control measures are devised for each of these risks.

3.6.3 Weaknesses

An area of concern is that, whilst the departments’ performance regarding the existence of Fraud Prevention Plans was good (77%), there was no performance with regard to the implementation thereof, since departments achieved a low score of only 16%. The existence of these plans, therefore, becomes meaningless. Refer to **Appendix I** for detail. As reflected in **Table 11** below, an analysis of the quality of Fraud Prevention Plans of all eleven (11) departments indicates that the following three issues are frequently not provided for:

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

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

Table 11: Checklist on Fraud Prevention

Standard	Departments											
	1	2	3	4	5	6	7	8	9	10	11	
1. Comprehensive implementation plan and responsibility structure must be developed to implement and give effect to the department's fraud control strategy.												No

Table 11: Checklist on Fraud Prevention

Standard	Departments											
	1	2	3	4	5	6	7	8	9	10	11	
2. Fraud prevention strategies must be based on a thorough risk assessment.												No
3. Fraud database should be in place.	No	No				No	No					
4. It must be clear that every employee has a responsibility to contribute towards eliminating fraud.												
5. Service users, suppliers and the broader community should be made aware of the department's stance on fraud and corruption.					No			No	No	No		
6. It should be clear to everybody to whom and how fraud should be reported.												
7. A clear policy on protected disclosures must be in place.		No						No				
8. Accounting officers must be clear that there is no discretion in the reporting of fraud to either the police or other independent anti-corruption agencies.			No			No						
9. All instances of suspected fraud must be promptly examined by the department to establish whether a basis exists for further investigation.	No											
10. All instances of suspected fraud must be promptly examined by the department to establish whether a basis exists for further investigation.								No				
11. Fraud investigations must be conducted without interference from management.						No			No	No	No	
12. Investigations must be undertaken by skilled officers.	No											
13. The expected standards of conduct (code) must be clear. The Code of Conduct for the Public Service must be applied to the specific circumstances of the department.		No							No			
Total Requirements to comply with	13	13	13	13	13	13	13	13	13	13	13	13
Number of Requirements met (Yes)	10	10	12	13	12	10	10	12	9	11	10	
Number of Requirements not met (No)	3	3	1	0	1	3	3	1	1	2	3	
% of requirements met	77%	77%	92%	100%	92%	77%	77%	92%	69%	85%	77%	

Department 1 = Finance, Department 2 = Health, Department 3 = Social Development, Department 4 = Agriculture, Department 5 = Sport, Arts & Culture, Department 6 = Education, Department 7 = Housing, Department 8 = Public Works, Department 9 = Transport, Department 10 = Economic Development, Department 11 = Office of the Premier. No = Requirements not met.

As reflected in **Table 11** on the previous page, the Department of Agriculture's Fraud Prevention Plan meets all 13 standards set by the PSC. All departments are adhering to standard 6, which states that; *it should be clear to everybody to whom and how fraud should be reported.*

A major challenge facing the Province is the capacity constraints of the Forensic Unit located in the Office of the Premier. This unit handles cases of fraud and corruption referred by departments. During the evaluation of the Premier's Office, the PSC found that posts are available, but most of them have not been filled, mainly due to budgetary constraints and a moratorium placed on the filling of posts. The Office of the Premier indicated that the budget for the Forensic Unit was spent on consultants to conduct investigations of fraud cases referred by departments. Despite several requests, the Office of the Premier did not disclose details of the expenditure on these consultants.

As a result of capacity constraints, the Province is unable to investigate and provide feedback to the Public Service Commission on corruption cases referred from the National Anti-Corruption Hotline. The statistics reflected in **Table 12** below indicate a similar trend over the past three financial years:

Table 12: Status of National Anti-Corruption Hotline (NACH) Cases for North West Province as at 19 March 2010⁸

Status of Cases	2007 - 2008	2008 - 2009	2009 - 2010
No of Cases Received & referred to departments	67 (100%)	47 (100%)	50 (100%)
Feedback rate per annum from departments	24 (36%)	17 (41%)	1 (2%)
Of the cases received, the following number and percentage of cases were resolved:	17 (25%)	17 (41%)	1 (2%)
The following number and percentage of cases are pending:	50 (75%)	24 (59%)	49 (98%)

At the time of the evaluation of the Office of the Premier, the post structure of the Forensic Unit consisted of the following vacant positions: 1 Director, 2 Deputy Directors, 4 Assistant Directors, 1 Investigator and 1 Secretary.⁹

Another area of concern is that, based on the Auditor-General's findings, 27% of departments had no effective internal financial controls at the time of the evaluation (see **Appendix I**, for details). These departments are, Social Development, Agriculture, Conservation and Environment, Education, Developmental Local Government and Housing, Transport, Roads and Community Safety, Economic Development and Tourism. The poor performance against this standard increases the risk of irregular expenditure, wasteful expenditure and over/under expenditure in departments. Furthermore, five of the eleven departments received a qualified audit opinion, (see **Table 13** below). One of the five departments, i.e. Developmental Local Government and Housing, received a disclaimer of opinion.

Table 13: Effectiveness of Financial Controls in North West Province

Department	Qualified / Unqualified Audit Opinion	Reasons (if department received a Qualified Audit Opinion)
Finance	Unqualified	
Health	Qualified	Asset register inadequate with unsubstantiated adjustments. Lack of adequate project files that did not permit the application of alternative audit processes regarding tangible capital assets.

⁸ Republic of South Africa. Public Service Commission. Status of National Anti-Corruption Hotline (NACH) Cases for North West Province. 19 March 2010.

⁹ Republic of South Africa. Public Service Commission. Monitoring and Evaluation Report for the Office of the Premier, North West Provincial Administration. February 2010. Page 107.

Table 13: Effectiveness of Financial Controls in North West Province

Department	Qualified / Unqualified Audit Opinion	Reasons (if department received a Qualified Audit Opinion)
Social Development	Qualified	Under-spent on budget for payments for capital assets. Unauthorised expenditure. Internal financial controls inadequate and inefficient in most cases.
Agriculture, Conservation and Environment	Qualified	Various payments and debts that could not be confirmed. Certain important internal control measures that need attention.
Sports, Art & Culture	Unqualified	
Education	Qualified	Weaknesses in the Department's internal controls were highlighted.(2006/07)
Developmental Local Gov & Housing	Disclaimer of opinion	AG unable to obtain sufficient, appropriate audit evidence for expenditure of R785 516 336. Discrepancy in figures between those entered in financial statements and the asset register. Accruals grossly understated.
Public works	Unqualified	
Transport, Roads and Community Safety	Qualified	Internal financial controls measures inadequate. Unauthorised expenditure.
Economic Development and Tourism	Unqualified	
Premier	Unqualified	
Total	6 (55%) = Qualified 5 (45%) = Unqualified	

As reflected in **Table 13** above, reasons cited by the Auditor-General for issuing audit opinions, include, amongst others, under-spending, unauthorised expenditure and inadequate financial controls.

3.6.4 Recommendations

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

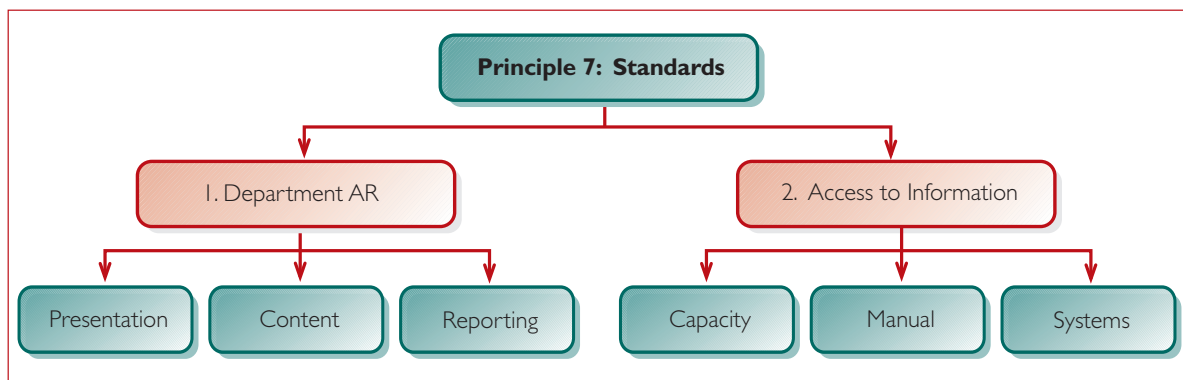
- 3.6.4.1 The timely and accurate reporting of suspicion of fraud, corruption and other irregularities by employees should be encouraged by management in terms of the Protected Disclosures Act, 2000.¹⁰
- 3.6.4.2 Regular fraud detection reviews should be undertaken to ensure the timely identification of potential fraud and other irregularities.
- 3.6.4.3 Management should also regularly review reports related to the frequency of use of a single service provider.
- 3.6.4.4 The Office of the Premier should determine the exact capacity requirements for the handling of fraud cases and ensure that the necessary training is provided to officials in these units to investigate fraud and corruption cases.

3.7 PRINCIPLE SEVEN: TRANSPARENCY

Departments' annual reports (ARs) are one of the key documents that enhance transparency. If ARs comply with

¹⁰ Republic of South Africa. Public Service Commission. Assessment on Disability Equity in the Public Service. January 2008.

the requirement that departments should report on their actual achievements against predetermined objectives as stated in their Strategic Plans and in the Estimates of National Expenditure (ENE), they hold government accountable in their use of state resources.¹¹ Annual Reports are distributed widely and serve as valuable reference documents for government and citizens alike. Accurate annual reports allow citizens and beneficiaries to judge the achievement on pre-approved objectives/outputs. Departments are also assessed whether they comply with the requirements of the Promotion of Access to Information Act (PAIA).¹² The following two standards, with three sub-standards each are applied to establish whether departments do in fact promote transparency:

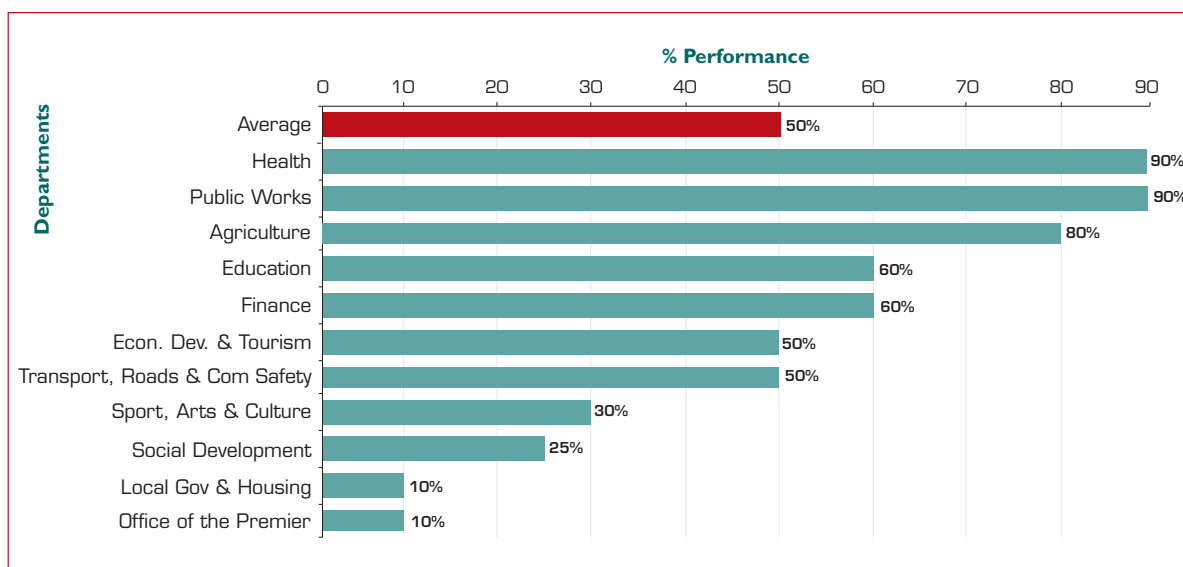


This section provides an exposition of the departments' compliance against this principle.

3.7.1 Comparison of Departments' Performance against Principle 7 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of accountability (**Figure 11** below) was adequate (50%). **Appendix J** provides the detail per department.

Figure 11: Departments' performance against transparency for the 2009/10 evaluation cycle



11 Schoeman, D. DDC Policy and Governance: Office of the Premier, North West Provincial Administration. Response to Public Service Commission's Report on Office of the Premier. 5 February 2010.

12 Republic of South Africa. Department of Justice and Constitutional Development. Promotion of Access To Information Act. Act No. 2 of 2000.

Excellent performance (90%) is noted for the Departments of Health and Public Works. At the low end were the Department of Developmental Local Government and Housing and the Office of the Premier, with each obtaining 10%, which is regarded as “no performance” in terms of the System.

3.7.2 Strengths

The Province’s average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 14** below: **See Annexure J** for detail.

Table 14: The province’s average scores against the specific standards of principle 7

Standards	Presentation	Content	Reporting	Appointed DIO	MIA	System
Average	95%	27%	68%	9%	18%	36%

The main provincial strength is that the Annual Reports of 95% of departments are attractively presented and written in simple and accessible language. This good performance against this standard indicates that the information needs of various stakeholders, including ordinary citizens, are considered during the compilation of the Annual Reports. Furthermore, it is encouraging that 68% of departments report on performance against predetermined outputs for at least two thirds of the objectives listed, which also reflects good performance.

3.7.3 Weaknesses

Two areas were identified as deficiencies in most of the Departments, namely, the fact that the Annual Report does not cover all the areas prescribed by the National Treasury, and lack of compliance with the Promotion of Access to Information Act, 2000.

In terms of the contents of the Annual Report, the performance of departments has declined by 6%, from 81% in the previous assessment cycle, to 75% in the 2009/10 cycle. In both assessment cycles, departments failed to achieve 90% compliance rate prescribed by the System. The required detail was not always provided in two sections, namely: Section A: General Information and Section B2: Overview of the Service Delivery Environment. **Table 15** below provides an overview of the compliance rate of departments for both assessment cycles.

Table 15: Departments’ compliance with National Treasury’s and DPSA’s guideline on Departmental Annual Reporting

Department	% Compliance	
	Previous Evaluation Cycle (2002/08)	Current Evaluation Cycle (2009/10)
1. Public works	91	95
2. Sports, Arts and Culture	63	53
3. Agriculture, Conservation and Environment	100	Not Assessed
4. Social Development	Not Assessed	60
5. Education	74	Not Assessed
6. Finance	80	84
7. Developmental Local Government and Housing	90	63
8. Transport, Roads and Community Safety	93	74
9. Economic Development and Tourism	69	88
10. Office of the Premier	67	67
11. Health	84	93



With regard to the Promotion of Access to Information Act (PAIA), 2000, departments in the province are generally not complying with the Act. Regarding the appointment of Deputy Information Officers and publishing a Manual on Promotion of Access to Information, departments scored 9% and 18% respectively, which amounts to no performance against these standards. Furthermore, at the time of the assessment, only 36% of departments had put procedures in place for managing requests for access to information, which also reflects poor performance against the standard. Lastly, departments generally do not submit section 32 reports to the Human Rights Commission, as required by the Act. According to section 32 of the Act, these reports must include statistics for a particular financial year regarding, amongst others, the number of requests received and the number of requests granted in full.

The lack of compliance with the Promotion of Access to Information Act (PAIA), 2000 might signal the message that North West Provincial Departments are not taking issues of transparency seriously.

3.7.4 Recommendations

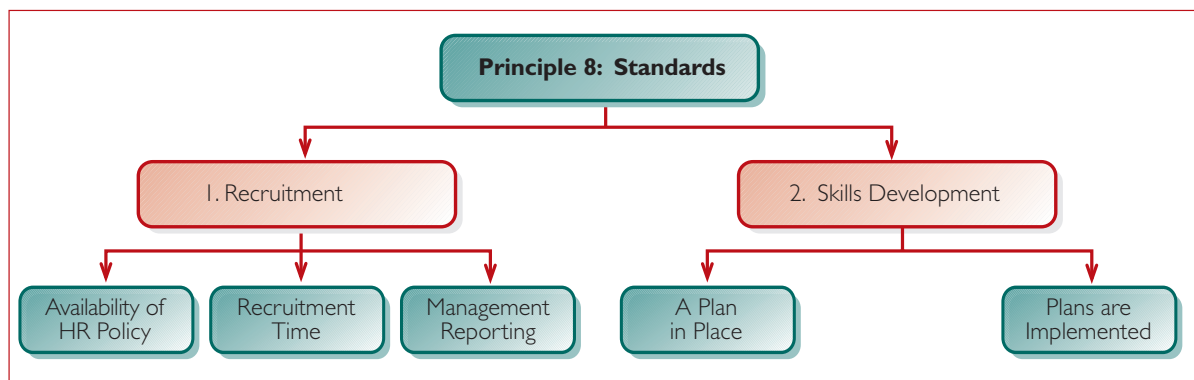
The Departments should strive to comply with the principle of transparency by adhering to the following requirements:

- 3.7.4.1 Departments should provide all the details in their annual reports as required by the National Treasury and the Department of Public Service and Administration.
- 3.7.4.2 Departments should prioritise the appointment of Deputy Information Officers with delegated authority to deal with requests for access to information.

3.8 PRINCIPLE EIGHT: GOOD HUMAN RESOURCE MANAGEMENT PRACTICES

This Constitutional principle states that “good human resource management and career development practices, to maximise human potential, must be cultivated.” Adherence to this principle is critical in that a competent Public Service corps is essential to ensure that the policies of government are implemented. Departments, therefore, must continuously assess their employment policies, management practices and the working environment in order to promote representivity, fairness and assist in the identification of barriers that may contribute to inequalities.¹³

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



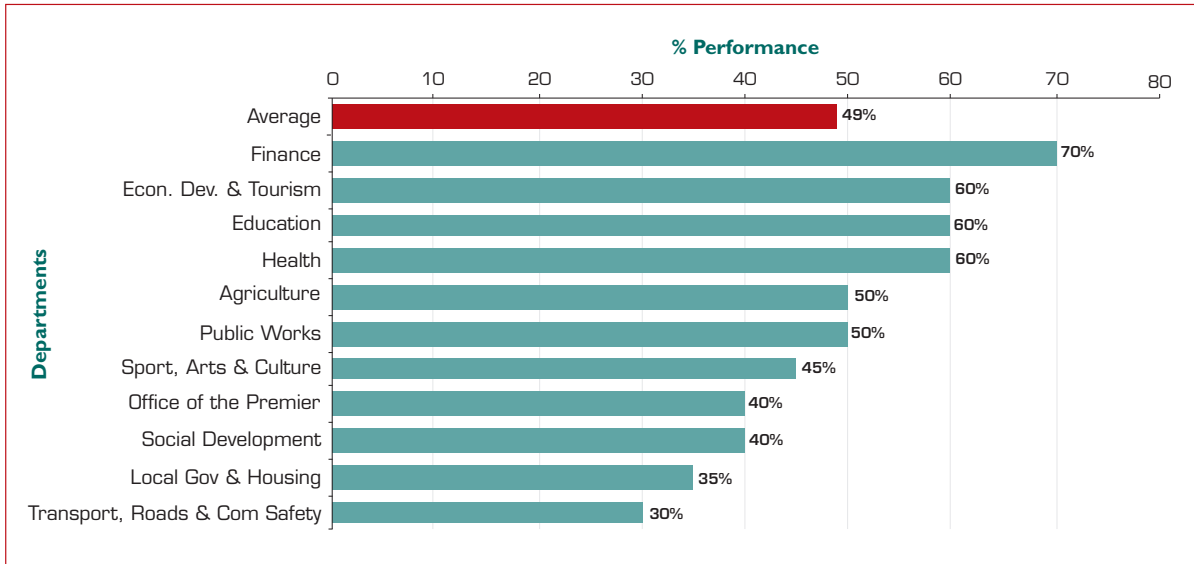
This section provides an exposition of the departments' compliance against this principle.

¹³ Republic of South Africa. Public Service Commission. 6th Consolidated M&E Report. Evaluation cycle 2008/09.

3.8.1 Comparison of Departments' Performance against Principle 8 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of good human resource management and career development practices (**Figure 12** below) was adequate (49%). **Appendix K** provides the detail per department.

Figure 12: Departments' performance against good human resource management and career development practices for the 2009/10 evaluation cycle



The performance of the Department of Finance against this principle was good (70%), whilst the majority of the departments' performance was adequate with a score of between 45% and 60%. The performance of the Office of the Premier (40%), Social Development (40%), Developmental Local Government and Housing (35%), and Transport (30%) was poor.

3.8.2 Strengths

The Province's average scores (all departments) against the specific standards applied by the PSC under this principle are reflected in **Table 16** below: See **Annexure K** for detail.

Table 16: The province's average scores against the specific standards of principle 8

Standards	Policy	Recruitment Times	Management Reporting	Skills Development Plan	Implementation of the Plan
Average	95%	7%	41%	61%	32%

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

3.8.3 Weaknesses

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



in **Table 17** below, on average, it takes North West Provincial Departments 11 months to fill a vacant post. The Office of the Premier and the Department of Economic Development and Tourism, furthermore, did not provide sufficient information for the PSC to make an informed assessment against this standard. When taking into account the PSC's standard of filling a vacant post within 3 months / 90 days, none of the departments could meet this standard.

The lack of effective monitoring of the recruitment process could be one of the possible reasons for the delay in filling posts. Findings show that nine of the eleven departments either do not report to management on the matter, or receive feedback from management on such reports is made. This suggests that monitoring and intervention by management in the recruitment process is minimal, or does not exist at all in most Departments.

Table 17: Average number of months to fill a post in North West Province

Department	Average Number of Months to Fill a Post
Agriculture, Conservation and Environment	10 months
Education	15 months
Economic Development and Tourism	Information not Available
Finance	16 months
Health	12 months
Developmental Local Government and Housing	4 months
Office of the Premier	Information not Available
Public works	5 months
Sports, Arts and Culture	8 months
Social Development	18 months
Transport, Roads and Community Safety	9 months
Average Number of Months (÷ by 9)	11 months

With regard to skills development, 61% of departments have put in place Skills Development Plans, which indicates good performance against this standard. However, it was noted that most of these plans are not based on a thorough skills needs analysis. Furthermore, the skills development activities are not implemented as planned and the impact of training is not assessed.

3.8.4 Recommendations

The Departments should focus on the following critical priority areas:

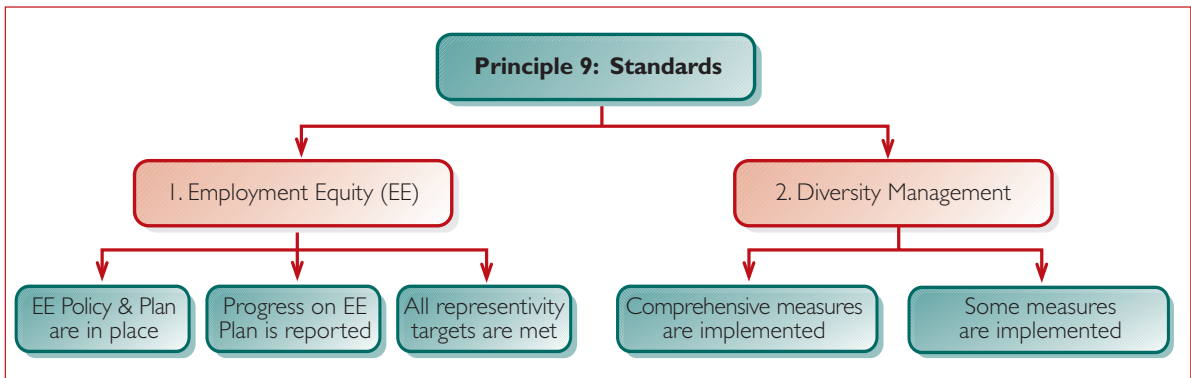
- 3.8.4.1.1 Departments should put measures in place to reduce the recruitment period from an average period of 11 months to 3 months. Monthly management reporting on this aspect must be instituted.
- 3.8.4.1.2 Departments should ensure that all the necessary details prescribed by the Department of Labour are included in the Skills Development Plans.

3.9 PRINCIPLE NINE: REPRESENTIVITY

This Constitutional principle focuses on representivity, which requires that employment and personnel management practices contribute to representivity of the South African people in government. The objective is to ensure that a dynamic work environment is created in which the diverse work force feels included and cared for. Attending to both the representivity targets and the diversity in a department will ensure that this value is applied in a manner that it benefits South African society.¹⁴

¹⁴ Republic of South Africa. Public Service Commission. 6th Consolidated M&E Report. Evaluation Cycle 2008/09.

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

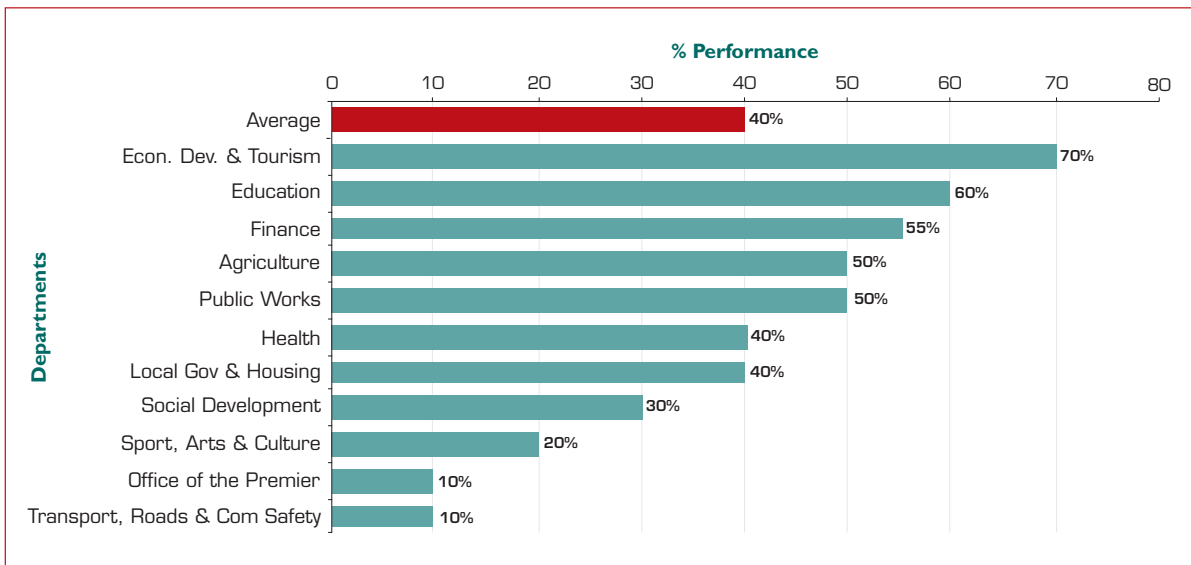


This section provides an exposition of the departments' compliance against this principle.

3.9.1 Comparison of Departments' Performance against Principle 9 during the 2009/2010 Evaluation Cycle

The overall average performance against the principle of representivity (**Figure 13** below) was poor (40%). **Appendix L** provides the detail per department.

Figure 13: Departments' performance against representivity for the 2009/10 evaluation cycle



Three departments achieved a performance rating of "good", namely Economic Development and Tourism (70%) followed by Education (60%) and Finance (55%). The Departments of Sport, Arts & Culture (20%), the Office of the Premier (10%) and Transport, Roads and Community Safety (10%) contributed to the low average with scores that are deemed as no performance against this principle.

3.9.2 Strengths

The Province's average scores (against the specific standards applied by the PSC under this principle are reflected

in **Table 18** below: **See Annexure L** for detail.

Table 18: The province's average scores against the specific standards of principle 9

Standards	Employment Equity Act (EEA)	Representivity	Management Reporting on Representivity	Diversity Management
Average	57%	32%	41%	36%

Despite a general poor performance against this principle, 57% of departments have put in place employment equity policies that comply with section 1 of the Employment Equity Act, 1998, Act no. 55 of 1998. Although this performance is adequate, it was noted that most of these departments have not yet put in place employment equity plans in terms of section 20 of the same Act. In addition, the existence of the policies did not translate into compliance with the representivity targets and the implementation of diversity management as indicated in the next section.

3.9.3 Weaknesses

There is a widespread need for improvement, in that the Province did not perform well against three of the four standards set by the PSC, namely, meeting of the representivity targets (average performance of 32%), management reporting on representivity (average performance of 41%) and diversity management (average performance of 36%). Refer to **Appendix L** for details on individual departments' performance. **Table 19** below reflects the breakdown of the departments' compliance with the representivity targets in terms of race, gender and people with disabilities.

Table 19: Whether North West departments are achieving representivity targets

Department	Race	Gender	Disability
Agriculture, Conservation and Environment	Yes	Yes	No
Education	Yes	Yes	No
Economic Development and Tourism	Yes	Yes	No
Finance	No	No	No
Health	Yes	No	No
Developmental Local Government and Housing	Yes	No	No
Office of the Premier	Yes	No	No
Public works	Yes	No	No
Sports, Arts and Culture	Yes	No	No
Social Development	Yes	Yes	No
Transport, Roads and Community Safety	Yes	No	No
Number of Departments meeting the Targets:	10	4	0
Number of Departments that have not met the Targets:	1	7	11

It is evident from the above table that all eleven departments are not meeting the 2% employment target set for people with disabilities. In addition, the representivity of women in senior management positions needs attention. Amongst others, failure to meet representivity targets could be attributed to the general lack of management reporting on representivity. Forty-one percent (41%) of departments (adequate performance) do not report to management on representivity. Furthermore, these departments could not provide evidence of management feedback/ intervention on these management reports, which effectively means that management monitoring of the implementation of employment equity, does not take place.

3.9.4 Recommendations

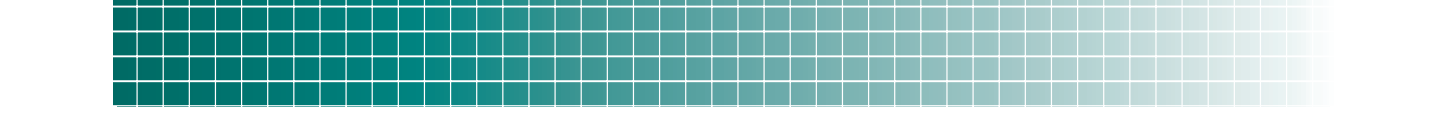
The Departments are advised to implement the following strategies in order to comply with the principle of representivity:

- 3.9.4.1 Departments should strive to meet the 2% target set aside for people with disabilities, by adopting the following creative recruitment practices.¹⁵
 - 3.9.4.1.1.1 Advertisements need to explicitly target persons with disabilities by indicating that the persons with disabilities will receive preference during selection process and the wheel chair emblem must be included on such advertisement;
 - 3.9.4.1.1.2 Links with organisations representing persons with disabilities should be fostered to create access to persons with disabilities;
 - 3.9.4.1.1.3 At Provincial level, a Job Access event should be held during which managers can meet potential candidates in their region and elaborate on employment opportunities in their departments.
- 3.9.4.2 The contracts of senior managers should include monitoring the achievement of representivity targets in their environments. In this regard, senior managers should be obliged to provide feedback or recommend interventions on management reports on representivity.

¹⁵ Republic of South Africa. Public Service Commission. Assessment on Disability Equity in the Public Service. January 2008, page 56.

Chapter Four

Conclusion



This report has provided an assessment of the state of the North West Province in terms of compliance with the nine CVPs. Furthermore, an overview of departments' performance within the Province was provided for the previous and the 2009/10 evaluation cycles, and it was noted that the overall performance of the Province has improved by 5%, from an average score of 47% in the previous evaluation cycles, to an average score of 52, during the 2009/10 evaluation cycle. Although this performance remains within the "adequate performance" band, it is not significant given the fact that all departments evaluated in the 2009/10 were previously evaluated and were provided with a set of recommendations. However, it was evident from the findings that the best performing department had implemented the most recommendations which indicates the value added when departments implement recommendations.

This chapter covers the following topics:

- Trends in performance between first assessment and re-assessment.
- Trends in performance across the principles.
- General observations.
- Recommendations per principle.

4.1 TRENDS IN PERFORMANCE BETWEEN FIRST ASSESSMENT AND RE-ASSESSMENT

For the 2009/10 evaluation cycle, the Province has scored at an average of 52%. Although this implies adequate performance, this level of performance is concerning since this is the second assessment conducted for all departments in the Province. A major concern is that the average performance of 2 departments is below 40%, which is poor performance against most or all the standards. This assessment further found that despite the recommendations previously made to departments, only 3 achieved good performance and none achieved excellent performance.

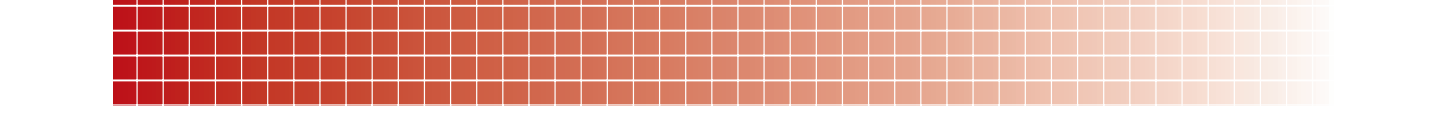
However, compared to the first assessments conducted between 2002 and 2008, the findings for the 2009/10 assessment have shown significant performance improvements in at least five departments. This improvement is encouraging since it shows that departments are now starting to attend to the most basic administrative practices required, to better enable them to improve service delivery and good governance.

While the departments of Economic Development and Tourism (71%); Agriculture, Conservation and Environment (70%); and Education (70%) were the best performing departments for the 2009/10 re-assessment, the largest improvements were achieved by Economic Development and Tourism, from 49% in the 2006/07 assessment, to 71% in the 2009/10 reassessment and Health, from 31% in the 2005/06 assessment, to 45% in the 2009/10 reassessment. Of major concern are the four departments whose performance has declined, particularly Sport, Arts and Culture, from 51% in the 2007/08 assessment, to 41% in the 2009/10 re-assessment and Public Works, from 69% in the 2007/08 assessment, to 58% in the 2009/10 re-assessment.

4.2 TRENDS IN PERFORMANCE ACROSS THE PRINCIPLES

Performance has gone up in seven of the nine principles, principles 1, 2, 4, 5, 6, 8 and 9. Principles where performance has improved the most were principle 1 (Professional Ethics) from 50% to 61% and principle 6 (Accountability), from 50% to 60%. The biggest drop in performance is in principle 3 (Development Orientation), from 64% to 59%. This drop in performance in principle 3 is concerning as it may suggest that Provincial departments are not paying enough attention to the application of sound development principles and the development impact of programmes.

The level of compliance of provincial departments with PAJA (principle 4) is unsatisfactory. For example, during the 2009/10 re-assessment, the departments of Finance, Health, Local Government and Housing and Social



Development received 0%. This is mainly due to the fact that they did not avail the necessary documentation to the PSC to make an assessment.

4.3 GENERAL OBSERVATIONS

All Provincial departments were cooperative and the response was positive. Further, following a presentation of the findings by the PSC, some departments provided additional information to enhance the findings in the reports and expressed a willingness to engage with the findings and recommendations and to put measures in place to improve administrative practices.

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Appendices

APPENDIX A:

Complete list of North West departments assessed: 2002 - 2009

Since all 11 departments in the North West Province had been assessed before, they were therefore, all included in the 2009/10 evaluation cycle, for a review. The table below indicates the year during which each of the 11 departments was assessed.

Department	1st Year of Assessment	2nd Year of Assessment
1. Office of the Premier	2002/03	2009/10
2. Social Development	2002/03	2009/10
3. Finance	2003/04	2009/10
4. Developmental Local Government and Housing	2004/05	2009/10
5. Transport, Roads and Community Safety	2004/05	2009/10
6. Health	2005/06	2009/10
7. Economic Development and Tourism	2006/07	2009/10
8. Public works	2007/08	2009/10
9. Sport, Arts and Culture	2007/08	2009/10
10. Agriculture, Conservation and Environment	2008/09	2009/10
11. Education	2008/09	2009/10

APPENDIX B:

Performance indicators and applicable policies/regulations per principle

Constitutional Principle	Performance Indicator	Applicable Policies/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.	<ul style="list-style-type: none"> Disciplinary Codes and Procedures for the Public Service Public Service Coordinating Bargaining Council (PSCBC) Resolution 2 of 1999 as amended by PSCBC Resolution 1 of 2003. Code of Conduct for the Public Service.
2. Efficient economic and effective use of resources must be promoted	Expenditure is according to budget, Programme outputs are clearly defined and there is credible evidence that they have been achieved.	<ul style="list-style-type: none"> Public Finance Management Act, Act No. 1 of 1999, sections 38 to 40. Treasury Regulations Part 3: Planning and Budgeting. Public Service Regulations, Part 111/b: Strategic Planning. Treasury Guidelines on preparing submissions for the year under review. Treasury Guide for the Preparation of Annual Reports.
3. Public administration must be development oriented.	The department is effectively involved in programmes/projects that aim to promote development and reduce poverty.	<ul style="list-style-type: none"> 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.	<ul style="list-style-type: none"> Promotion of Administrative Justice Act, 2000. Regulations on Fair Administrative Procedures, 2002. Departmental delegations of authority.
5. Needs must be responded to and the public must be encouraged to participate in policy-making	The department facilitates public participation in policy making	<ul style="list-style-type: none"> White Paper for Transforming the Public Service.
6. Public administration must be accountable.	Adequate internal financial controls and performance management is exerted over all departmental programmes. Fraud prevention plans based on a thorough risk assessment are in place and are implemented.	<ul style="list-style-type: none"> Public Financial Management Act, Act 1 of 1999. Treasury Regulations, Part Planning and Budgeting. White Paper for Transforming the Public Service. Public Service Regulations, Part 111/b: Strategic Planning. Treasury Guidelines on preparing budget submissions, 2002. Treasury Guide for the Preparation of Annual Reports. National Planning Framework.
7. Transparency must be fostered by providing the public with timely, accessible and accurate information	<p>A. Departmental Annual Report - The departmental annual report complies with National Treasury's guideline on annual reporting.</p> <p>B. Access to information - The Department complies with the provisions of the Promotion of Access to Information Act (PAIA).</p>	<ul style="list-style-type: none"> Public Finance Management Act 1999, Act 1 of 1999. National Treasury's guideline for the Preparation of Annual Reports. The Department of Public Service Administration's Oversight Report on Human Rights, Public Service Commission, Evaluation of Departments' Annual Reports as an Accountability Mechanism, October 1999. White Paper for Transforming Public Service Delivery (Batho Pele). Promotion of Access to Information Act 200, Act 2 of 2000. Departmental delegations of authority.
8. Good human resource management and career development practices to maximise human potential, must be cultivated	<p>A. Recruitment - Vacant posts are filled in a timely and effective manner.</p> <p>B. Skills Development - The Department complies with the provisions of Skills Development Act.</p>	<ul style="list-style-type: none"> Public Service Regulations, 2001 as amended. 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.	<ul style="list-style-type: none"> Part VI of the Public Service Regulations, 2001 as amended. Employment Equity Act, Act 55 of 1998. White Paper on the Transformation of the Public Service - 15/11/1995. White Paper on Affirmative Action in the Public Service, 2001.

APPENDIX C:

Overall Scores: Previous and 2009/10 Evaluation Cycles

Overall Scores - North West Departments																						
Princ/ Dept	PI	Pre	P2	Pre	P3	Pre	P3	Pre	P4	Pre	P5	Pre	P6	Pre	P7	Pre	P8	Pre	P9	Pre	Ave 9/10	Ave Pre
Fin	40%	50%	60%	55%	n/a	0%	0%	80%	100	80%	20	60%	80	70%	50	60%	20	54%	47			
Health	40%	10%	60%	60%	0%	0%	0%	55%	40	60%	40	90%	80	60%	60	40%	30	45%	31			
Soc Dev	70%	40%	40%	40%	80%	60%	0%	25%	40	25%	40	25%	40	40%	60	30%	20	37%	40			
Agric	75%	45%	50%	50%	90%	80%	85%	90%	60	90%	70	80%	80	50%	50	50%	50	71%	63			
DAC	70%	60%	15%	55%	40%	30%	10	20%	60	80%	80	30%	10	45%	40	20%	40	39%	51			
Edu	90%	90%	40%	40%	60%	85%	85	80%	80	70%	60	60%	50	60%	40	70%	70	69%	64			
LGH	40%	40%	10%	0%	60%	0%	40	60%	0	35%	40	10%	30	35%	30	40%	20	32%	30			
DPW	60%	60%	60%	30%	10%	95%	100	60%	100	50%	75	90%	60	50%	60	50%	60	58%	69			
Trans	30%	50%	60%	20%	50%	40%	0	60%	80	35%	30	50%	40	30%	30	10%	0	41%	37			
EDT	75%	40%	80%	40%	80%	100%	20	40%	20	95%	40	50%	40	60%	60	55%	20	71%	36			
OTP	80%	60%	40%	40%	60%	85%	40	80%	60	45%	60	10%	50	40%	40	10%	40	50%	51			

APPENDIX D:

Principle 1 - Departments' score per standard

Standard	Policy Guidelines on Managing Cases of Misconduct	Time to Resolve Cases	Management Reporting	Capacity to Handle Misconduct Cases	Training & Awareness	Total
Maximum Score per Standard	1	1	1	1	1	5
Finance	0.5	0	0.5	0	1	2
Health	1	0	0.5	1	0	2.5
Social Development	1	0	0.5	1	1	3.5
Agriculture	1	0.75	0.5	0	0	2.25
Sport, Arts & Culture	1	1	0	0.5	1	3.5
Education	1	1	0.5	1	1	4.5
Housing	0.5	1	0.5	0	0	2
Public works	1	0.5	0.5	1	0	3
Transport	1	0.5	0	0	0	1.5
Economic Development & Tourism	0.5	0.75	0.5	1	1	3.75
Office of the Premier	1	0	1	1	1	4
Average	86%	50%	45%	59%	55%	59%

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 managers are highly competent to deal with cases of misconduct.
OR
4. 20% to 39% of managers are highly competent to deal with cases of misconduct.
OR
5. Less than 20% of managers are highly competent to deal with misconduct cases.

E. Training awareness

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

APPENDIX E:

Principle 2 – Departments' score per standard

Department	Expenditure 1	Performance Indicator 1	Achievement of outputs 3	Total 5
Finance	0.5	0.5	2	3
Health	1	1	1	3
Social Development	0	1.5	0.5	2
Agriculture	1	0.5	1	2.5
Sport, Arts & Culture	0.5	0.5	0	1
Education	0.5	0.5	1	2
Housing	0.5	0	0	0.5
Public works	1	1	1	3
Transport	1	1	1	3
Economic Development & Tourism	1	1	2	4
Office of the Premier	0.5	.5	1	2
Average	68%	73%	32%	47%

Legend:

A. Expenditure

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

B. Service delivery indicators

1. More than half of each programmes' 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% TO 79% of priority outputs have been met.
OR
3. 40% TO 59% of the priority outputs have been met.
OR
4. Less than 40% of the priority outputs have been met.

APPENDIX F:

Principle 3 - Departments' score per standard

	At least half the projects are of an acceptable standard in terms of beneficiary participation 1	At least half the projects plans are of an acceptable management standard participation 2	At least half the projects plans are aligned with development plans 3	A system is in place for systematically institutionalising lesson learnt 4	Success of projects 5	Total 5
Finance	0	0	0	0	0	0
Health	0	0	0	0	0	0
Social Development	1	1	1	0	1	4
Agriculture	1	1	1	0	1	4
Sport, Arts & Culture	0	0	1	1	0	2
Education	0	1	1	0	1	3
Housing	1	0	1	1	0	3
Public works	1	0	0	0	0.5	0.5
Transport	1	1	1	0	0.5	2.5
Economic Development & Tourism	1	1	1	0.25	1	4
Office of the Premier	1	0	1	0	1	3
Average	43%	45%	72%	20%	55%	47%

Legend:

1. At least half the projects are of an acceptable standard in terms of beneficiary participation.
2. At least half the project plans are of an acceptable standard project management standard.
3. At least half of the local development plans are accommodated.
4. A system is in place for systematically institutionalising lessons learnt.
5. Success of projects.

APPENDIX G:

Principle 4 - Departments' score per standard

	Decisions in terms of legislation/policy 1.5	Decisions in terms of delegations 1.5	Decisions are just & fair 1	Communicating administrative decisions 2	Total 5
Finance	0	0	0	0	0
Health	0	0	0	0	0
Social Development	0	0	0	0	0
Agriculture	1.5	1.5	1	0.25	4.25
Sport, Arts & Culture	0	0.75	0.5	0.25	1.5
Education	0.75	1.5	1	1	4.25
Housing	0	0	0	0	0
Public works	1.5	1.5	1	0.75	4.75
Transport	0	0.75	0.5	1.25	2
Economic Development & Tourism	1.5	1.5	1	2	5
Office of the Premier	0.75	1.5	1	1	4.25
Average	36.3%	55%	55%	30%	47%

Legend:

A.1 Decisions in terms of legislation/policy

1. All decisions were taken in terms of the appropriate legislation/policy.
OR
2. Fifty percent and more of the decisions were taken in terms of the appropriate legislation/policy.
OR
1. 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 authorized officials in terms of the Departmental delegations of authority.
OR
2. Fifty per cent and more of the decisions were taken by duly authorized officials in terms of the Departmental delegations of authority.
OR
1. Less than fifty percent of the decisions were taken by duly authorized officials in terms of the Departmental delegations of authority.

B. Decisions are just and fair

1. 100% of decisions were just and fair.
OR
2. 50% to 99% of the decisions were just and fair
OR
3. 25% to 49% of the decisions were just and fair:
OR
4. 0% to 24% of the decisions were just and fair.

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 H:

Principle 5 - Departments' score per standard

	An approved policy/ guideline on public participation in policy-making is in place 1	System for participation 2	Inputs are responded to and used 2	Total 5
Finance	1	2	1	4
Health	1	2	0	3
Social Development	0	1	0	1
Agriculture	0	1	2	3
Sport, Arts & Culture	0	1	0	1
Education	0	2	2	4
Housing	1	2	0	3
Public works	1	1	1	3
Transport	0	2	1	3
Economic Development & Tourism	0	1	1	2
Office of the Premier	1	2	1	3
Average	45%	77%	41%	55%

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 use.
2. In at least half the cases contributions are acknowledged but not used.

APPENDIX I:

Principle 6 - Departments' score per standard

	Internal financial controls	A performance management (M&E) system on all departmental programmes is in operation	Risk assessment	Fraud prevention plan	Implementation of the fraud prevention plan	Total
	1	1	1	1	1	5
Finance	1	1	1	1	0	4
Health	0	1	0.75	1	0	2.75
Social Development	0	0	0.25	1	0.05	1.25
Agriculture	0	1	1	1	0.5	3.5
Sport, Arts & Culture	1	1	1	1	0	4
Education	0	1	1	1	0	3
Housing	0	0	0.5	1	0.25	1.75
Public works	0.5	1	1	1	0	2.5
Transport	0	1	0	0.5	0.25	1.75
Economic Development & Tourism	0	1	1	1	0.75	3.75
Office of the Premier	0.5	1	0.75	0	0	2.25
Average	27%	82%	75%	77%	16%	55%

Legend:

A. Internal financial controls

- The Auditor-General concluded that the internal financial control measures are adequate in all respects with no areas flagged as needing attention.
OR
- The Auditor General concluded that the internal financial control measures are mostly adequate with certain important areas flagged as needing attention.

B. Performance management system

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

C. Risk assessment

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

D. Fraud prevention plan

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

E. Implementation of the fraud prevention plan

- All strategies of the fraud prevention plan have been implemented.
OR
- At least 80% of the strategies of the fraud prevention plan have been implemented.
OR
- Less than 80% of the strategies of the fraud prevention plan have been implemented.
OR
- Sufficient staff members to investigate cases of fraud are in place.

APPENDIX J:

Principle 7 - Departments' score per standard

	Presentation 0.5	Content 0.5	Report 2	Appointed 0.5	MAI 0.5	System 1	Total 5
Finance	0.5	0	2	0	0	0.5	3
Health	0.5	0.5	2	0	0.5	1	4.5
Social Development	0.2	0	0	0	0	1	1.2
Agriculture	0.5	0	2	0.5	0	0.5	4
Sport, Arts & Culture	0.5	0.5	1	0	0	0	1.5
Education	0.5	0	2	0	0	0	2.5
Housing	0.5	0	0	0	0	0	0.5
Public works	0.5	0.5	2	0	0	1	4.5
Transport	0.5	0	2	0	0	0	2.5
Economic Development & Tourism	0.5	0	2	0	0	0	2.5
Office of the Premier	0.5	0	0	0	0	0	0.5
Average	95%	27%	68%	9%	18%	36%	50%

Legend:

A.1 Presentation

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

A.2 Content

The DAR covers in sufficient detail at least 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration.

A.3 Reporting

The DAR clearly reports on performance against predetermined outputs in at least two thirds of the programmes listed.

A. Access to Information

B.1 Appointed DIOs to deal with requests for access to information

The department has at least one DIO with duly delegated authority.

B.2 MAI

The department does have a MAI in place that complies with the requirements of the PAIA.

B.3 System

Systems for managing requests for access to information are in place.

APPENDIX L:

Principle 9 – Departments' score per standard

	Employment Equity Act (EEA) 1	Representivity 2	Management reporting on representivity 1	Diversity Management 1	Total 5
Finance	1	0	0.5	1	2.5
Health	0.5	0.5	0.5	0.5	2
Social Development	0	1	0	0	1
Agriculture	1	1	1	0.5	3.5
Sport, Arts & Culture	0.5	0.5	0	0	1
Education	1	1	1	0.5	3.5
Housing	0.5	0.5	0.5	0.5	2
Public works	1	0.5	0.5	0.5	2.5
Transport	0	0.5	0	0	0.5
Economic Development & Tourism	0.75	1	0.5	0.5	2.75
Office of the Premier	0	0.5	0	0	0.5
Average	57%	32%	41%	36%	40%

Legend

1. An employment equity plan has been formerly 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% to 100% of the representivity targets have been met.
- OR**
4. 61% to 80% of the cases the representivity targets have been met.
- OR**
5. 10% to 60% of the cases the representivity targets have been met.
 6. Comprehensive diversity measures are implemented.
- OR**
7. Some diversity measures are implemented.

APPENDIX K:

Principle 8 - Departments' score per standard

	Policy 	Recruitment times 	Management reporting 	Skills dev. plan 	Implementation of plan 0.5	Total 5
Finance		0			0.5	3.5
Health		0	0.5	0.5	0.5	2.5
Social Development		0	0	0.5	0.5	2
Agriculture		0	0.5	0.5	0.5	2.5
Sport, Arts & Culture		0.5	0	0.75	0.5	2.75
Education		0		0	0	2
Housing	0.5	0.25	0	0.5	0.5	1.75
Public works		0	0.5		0	2.5
Transport		0	0	0.5	0	1.5
Economic Development & Tourism		0	0.5		0.5	3
Office of the Premier		0	0.5	0.5	0	2
Average	95%	7%	41%	61%	32%	47%

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 are filled within 90 days - including advertisement time.
OR
3. 75% of vacancies are filled within 90 days - including advertisement time.
OR
4. 50% of vacancies are filled within 90 days - including advertisement time.
OR
5. Less than 50% Of vacancies 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.

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