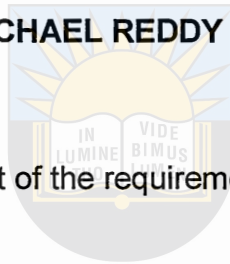


**PERFORMANCE MONITORING AND EVALUATION FOR  
SUSTAINABLE PUBLIC SERVICE DELIVERY:  
THE CASE FOR THE SOUTH AFRICAN POLICE SERVICE**

by

**MICHAEL REDDY**



Submitted in fulfillment of the requirements for the degree

**Doctor of Administration**  
*University of Fort Hare*  
*Together in Excellence*

In the Faculty of Management and Commerce

**UNIVERSITY OF FORT HARE**

Promoter: Professor EOC Ijeoma

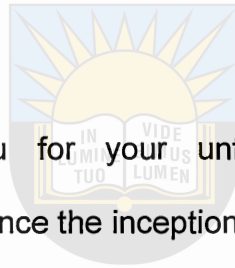
**APRIL 2012**

## ACKNOWLEDGEMENTS

To my Lord Jesus Christ, who has given me His Grace and strength, especially in times of despondency to complete this project; I am eternally grateful to Him.

To my promoter and mentor, Professor Edwin Ijeoma, who has always been there to spur me on to complete this project. Your insight, wisdom and unwavering support are dearly valued.

To my wife, Michelle, thank you for your unfailing emotional support and encouragement that you have given since the inception of this project.



University of Fort Hare

*Together in Excellence*

To my precious children, Michaela, Marion and Lincoln and my dear mother, thank you for your understanding and support that you have shown during the years of my study.

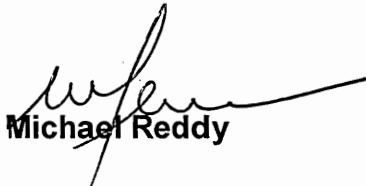
**Michael Reddy**

**Pretoria: South Africa**

**2012**

## DECLARATION

I hereby declare that the research report submitted for the Doctor of Administration to the University of Fort Hare, apart from the works recognized, is my own work and has not been submitted to another university for any degree.



**Michael Reddy**

**Fort Hare: South Africa**

**2012**



University of Fort Hare  
*Together in Excellence*

## ABSTRACT

The public service which is the delivery arm of government, has to rise constantly to the massive challenge of service delivery to ensure that government achieves its ideal of creating a better life for all in accordance with the people's contract. The research analyzed the question: To what extent can monitoring and evaluation of performance provide sustainable public service delivery by the public sector? Against this milieu, the study examined the monitoring and evaluation approaches adopted by the governments of Mexico and Spain (international) and South Africa (local). Further, an analogous of both the international and local experiences was conducted in the study. The state of service delivery was examined by studying the South African Police Service. It was evidenced in the study that sustainable service delivery in the SAPS is influenced by various factors, such as performance monitoring and evaluation. Although the SAPS reported the successful achievement of certain performance targets relating to its planned activities and financial performance, it became clear that the performance monitoring and evaluation framework is not adequate to effectively address the service delivery expectations in the South African context.

This thesis presents an inclusive and comprehensive approach towards performance monitoring and evaluation, which seeks to shape the South African Police Service's current framework positively towards promoting sustainable service delivery. The features of this new proposed approach include the involvement and/ or meaningful consultation with the broad South African community, effective communication;

promotion of accountability; professional and ethical standards; and expansion and development of the current and future leadership at all levels in the organization. Further, a call for greater regional and international cohesion is made, to benchmark best practices relating to performance monitoring and evaluation; this was found necessary, as a global effort is required to successfully prevent and realize a significant reduction in crime levels. The study finally presents an alternative In year Monitoring Model (IYMM) to manage the budget performance against the predetermined plan. It links the key performance areas, as contained in the cost centre's business plan to the allocated budget; produces unique projected spending patterns (PSP) for each cost centre; thereby propelling departments from old paradigms of monitoring financial performance. The IYMM provides management with an excellent tool to monitor and evaluate performance during the year.



University of Fort Hare  
*Together in Excellence*

The performance monitoring and evaluation approach and the IYMM developed in this study are flexible and adaptable, as it can be applied successfully in other government departments locally, regionally and internationally. The thesis thus proposes a pragmatic approach towards performance monitoring and evaluation that promotes sustainable service delivery in South Africa.

# TABLE OF CONTENTS

ACKNOWLEDGEMENTS	ii
DECLARATION	iii
ABSTRACT	iv
LIST OF ACRONYMS	xiv
<b>CHAPTER 1: INTRODUCTION AND BACKGROUND TO THE STUDY</b>	
GENERAL OVERVIEW OF THE STUDY	1
HISTORICAL OVERVIEW OF THE SOUTH AFRICAN CONTEXT	5
OVERVIEW OF SOUTH AFRICAN LEGISLATION GOVERNING THE STRUCTURE AND FUNCTIONING OF GOVERNMENT	10
DEFINITION AND OPERATIONALIZATION OF KEY CONCEPTS	
Monitoring	24
Evaluation	25
Performance Management	26
Performance Measurement	27
Service Delivery	28
Accountability	28
Economy	30
Effectiveness	31
Efficiency	31
MOTIVATION FOR RESEARCH	33
PROBLEM STATEMENT	34
RESEARCH QUESTION	35

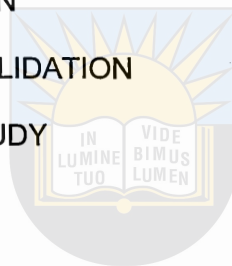


University of Fort Hare  
*Together in Excellence*

OBJECTIVES OF THE STUDY	35
CHAPTER OUTLINE	37

## **CHAPTER 2: RESEARCH METHODOLOGY**

INTRODUCTION	41
RESEARCH METHODOLOGY	
Case study approach	42
TARGET POPULATION (SAMPLE)	48
DATA AND INFORMATION COLLECTION	49
DATA ANALYSIS, REPORTING AND VALIDATION	51
SCOPE AND LIMITATIONS OF THE STUDY	53
SIGNIFICANCE OF THE STUDY	54
SUMMARY	56



University of Fort Hare  
*Together in Excellence*

## **CHAPTER 3: CONCEPTUAL FRAMEWORK OF THE STUDY: RELATIONSHIPS BETWEEN PUBLIC ADMINISTRATION (Financial & Performance Management), MONITORING AND EVALUATION AND SERVICE DELIVERY**

INTRODUCTION	57
PUBLIC ADMINISTRATION	
Definition of Public Administration	59
The History and Evolution of Public administration and management	60
Public Administration and Management as an academic discipline & an activity	62
Private sector vs. public sector management	69
Summary	72

## FINANCIAL MANAGEMENT

Introduction	73
Responsible financial management	74
Legislation governing financial management in the public sector	76
Budgeting	82
Primary sources of a budget	84
Importance of monitoring budgets	85
Role – players in the budgeting process	86
The South African budgeting system (MTEF)	88
The budget cycle	89
Key factors that reflect government's budget performance	91
The budget process	92
Conclusion	94



## PERFORMANCE MANAGEMENT

Introduction	96
Importance of measuring performance	97
Performance indicators	98
Incorporation of performance information into the budget process	99
Policy and legal requirements in South Africa	100
The planning, budgeting and reporting cycle in performance measurement	101
Accountability reports	102
Conclusion	103

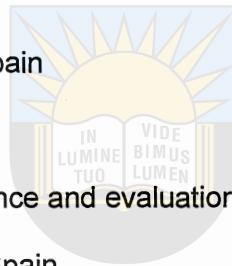
## MONITORING AND EVALUATION

General overview of Monitoring and evaluation	104
An outline of M&E in South Africa: The outcomes approach	108
Conclusion	111

RELATIONSHIPS BETWEEN PUBLIC ADMINISTRATION (Financial & Performance Management), MONITORING & EVALUATION AND SERVICE DELIVERY	112
SUMMARY	113

## **CHAPTER 4: AN OVERVIEW OF PERFORMANCE MONITORING AND EVALUATION APPROACHES: INTERNATIONAL AND LOCAL EXPERIENCES**

INTRODUCTION	115
PERFORMANCE MONITORING AND EVALUATION IN SPAIN	
Historical background	117
An examination of evaluation in Spain	119
The work of AEVAL	125
Motivation for the use of performance and evaluation Information	127
Creating an evaluation culture in Spain	137
Lessons learned & Summary	139
PERFORMANCE MONITORING AND EVALUATION IN MEXICO	
Introduction	144
Mexico's shift to a result – driven government	146
The work of CONEVAL	152
The performance evaluation system in Mexico	169
Mexico's M&E System: Strengths and Weaknesses	172
Lessons learned & Summary	184
PERFORMANCE MONITORING & EVALUATION IN SOUTH AFRICA	
Background	190
The establishment of the GWME in South Africa	191
Comparison with international experiences	211



University of Fort Hare  
*Together in Excellence*

Limitations in the implementation of GWME	217
Lessons learned	220
Summary	231

INTEGRATION OF INTERNATIONAL AND LOCAL APPROACHES	234
SUMMARY	238

**CHAPTER 5: ANALYSIS AND FINDINGS OF THE CASE STUDY: THE SOUTH AFRICAN POLICE SERVICE**

INTRODUCTION	241
CASE STUDY: THE SOUTH AFRICAN POLICE SERVICE	242
ANALYSIS AND FINDINGS OF THE CASE	305
SUMMARY	320



University of Fort Hare  
*Together in Excellence*

**CHAPTER 6: SUMMARY, RECOMMENDATIONS AND CONCLUSION**

SUMMARY	324
RECOMMENDATIONS	331
CONCLUSION	356

<b>LIST OF SOURCES</b>	<b>359</b>
------------------------	------------

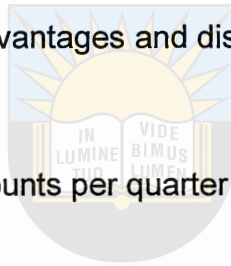
## TABLES

- Table 1: 1 Mid-year population estimates
- Table 1: 2 Disproportionate treatment between Blacks and Whites
- Table 3: 1 Difference between Monitoring and Evaluation
- Table 4: 1 Steps involved in developing performance indicators
- Table 4: 2 Summarized comparative analysis between Spain, Mexico and South Africa in terms of lessons learnt
- Table 5: 1 Financial programmes of the South African Police Service
- Table 5: 2 Annual Performance Planning Information, Programme 1: Administration, 2009/10 Financial Year
- Table 5: 3 Annual Performance Planning Information, Programme 2: Visible Policing, 2009/10 Financial Year
- Table 5: 4 Annual Performance Planning Information, Programme 3: Detective Services, 2009/10 Financial Year
- Table 5: 5 Annual Performance Planning Information, Programme 4: Crime Intelligence, 2009/10 Financial Year
- Table 5: 6 Annual Performance Planning Information, Programme 5: Protection and Security Services, 2009/10 Financial Year
- Table 5: 7 Actual Performance against Targets: Programme 1: Administration, 2009/10 Financial Year
- Table 5: 8 Actual Performance against Targets: Programme 2: Visible Policing, 2009/10 Financial Year



University of Fort Hare  
*Together in Excellence*

- Table 5: 9 Actual Performance against Targets: Programme 3: Detective Services, 2009/10 Financial Year
- Table 5: 10 Actual Performance against Targets: Programme 4: Crime Intelligence, 2009/10 Financial Year
- Table 5: 11 Actual Performance against Targets: Programme 5: Protection and Security Services, 2009/10 Financial Year
- Table 5: 12 ENE, Vote 22 – Safety and Security
- Table 5: 13 Actual expenditure: SAPS 2009/10
- Table 5: 14 Comparison between advantages and disadvantages of official crime statistics
- Table 6: 1 Capturing of budget amounts per quarter / per SCoA item



University of Fort Hare  
*Together in Excellence*

## FIGURES

- Figure 2: 1 Multiple focal points of qualitative research
- Figure 3: 1 Stages in the budget cycle
- Figure 3: 2 The planning, budgeting and reporting cycle
- Figure 4: 1 Mexico's government performance-based management system
- Figure 4: 2 CONEVAL's Main Evaluation Methods
- Figure 4: 3 Components of the Government-wide Monitoring and Evaluation System
- Figure 4: 4 Key Milestones in Implementing GWM &E in South Africa
- Figure 5: 1 Process flow: basic steps involved during the three phases of performance in departments
- Figure 5: 2 Serious Crime in South Africa: 2009/2010 (2 121 887 cases)
- Figure 5: 3 Relationship between the Estimates of National Expenditure (ENE) and Annual Financial Statements (AFS)
- Figure 5: 4 Graphical representation of % consumption of the appropriated budget by two main cost driver categories
- Figure 6: 1 Steps involved in the In – Year Management Model (IYMM)

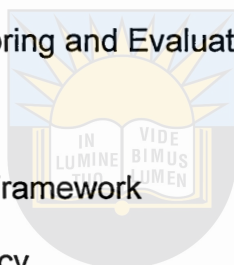
## LIST OF ACRONYMS AND ABBREVIATIONS

SA	South Africa
NP	National Party
ANC	African National Congress
PAC	Pan African Congress
SACP	South African Communist Party
COSATU	Congress of South African Trade Unions
DTI	Department of Trade and Industry
IGR	Intergovernmental Relations
CG	Co – operative Government
OECD	Organization for Economic Cooperation and Development
PSC	Public Service Commission
PFMA	Public Finance Management Act
SCOPA	Standing Committee on Public Accounts
AG	Auditor General
PALAMA	Public Administration Leadership and Management Academy
SAPS	South African Police Service
M & E	Monitoring and Evaluation
SMS	Senior Management Service
RDP	Reconstruction and Development Programme
MTEF	Medium Term Expenditure Framework
AusAID	Australian Agency for International Development



University of Fort Hare  
*Together in Excellence*

NRF	National Revenue Fund
MEC	Member of the Executive Council
ASB	Accounting Standards Board
NT	National Treasury
IDASA	Institute for Democracy in South Africa
PRC	Presidential Review Commission
MTEC	Medium Term Expenditure Committee
MFMA	Municipal Finance Management Act
GWME	Government Wide Monitoring and Evaluation
POA	Programme of Action
MTSF	Medium Term Strategic Framework
AEVAL	Spanish Evaluation Agency
CONEVAL	National Council for the Evaluation of Social Policy (Mexico)
EU	European Union
MI	Matrix Indicator
PI	Performance indicator
SASOAF	Statistical Quality Assurance Framework
PGDS	Provincial Growth and Development Strategy
IDP	Integrated Development Plan
Stats SA	Statistics South Africa
DPLG	Department of Provincial and Local Government
DPSA	Department of Public Service and Administration
PEAP	Poverty Eradication Action Plan



University of Fort Hare  
*Together in Excellence*

SARS	South African Revenue Services
PM &E	Performance Monitoring and Evaluation
DPME	Department of Monitoring and Evaluation
PFMFNFM	Public Financial Management for Non Financial Managers
SONA	State of the Nation Address
SDIP	Service Delivery Improvement Programme
ITP	Information and Technology Plan
NMF	National Management Forum
CAS	Crime Administration System
JCPS	Justice, Crime Prevention and Security
TRC	Truth and Reconciliation Commission
IJS	Integrated Justice System
JOINTS	Joint Operational and Intelligence Structure
BCOCC	Border Control Coordinating Committee
ENE	Estimates of National Expenditure
AFS	Annual Financial Statements
ERF	Economic Reporting Format
ICD	Independent Complaints Directorate
ISS	Institute for Security Studies
CIAC	Crime Information Analysis Centre
SARPCCO	Southern African Regional Police Chief Council Organization
VART	Specific, Measurable, achievable, Realistic, Time – bound
MM	In – Year Management Model



University of Fort Hare  
*Together in Excellence*

KPA	Key Performance Area
PSP	Projected Spending Pattern
APRM	African Peer Review Mechanism

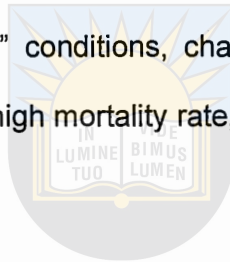


University of Fort Hare  
*Together in Excellence*

# CHAPTER 1: INTRODUCTION AND BACKGROUND TO THE STUDY

## GENERAL OVERVIEW OF THE STUDY

Since the advent of a democratic South Africa (SA) in 1994, several initiatives by government and civil society have attempted to address the social inequalities created by the apartheid era. The decades of the apartheid rule has left the distribution of income in South Africa highly skewed. About 13% of SA's population live in the "first world" conditions, while the majority of the citizenry live in the "third world" conditions, characterized by low levels of education, chronic malnutrition, high mortality rate, disease and abject poverty (Langa and Jerome 2004:5).



Central to the agenda of the new democratic order to instigate the process of reconstruction and development in South Africa was the creation of the new constitution for the people of South Africa. The 1996 Constitution of the Republic of South Africa (Act 108 of 1996), hereafter referred to the Constitution, is the supreme law of the land and is aimed at:

- 1) Healing the divisions of the past and establishing a society based on democratic values, social justice and fundamental human rights;
- 2) Laying the foundation for a democratic and open society in which government is based on the will of the people and every citizen is equally protected by law;
- 3) Improving the quality of all citizens and free the potential of each person; and

- 4) Building a united and democratic South Africa able to take its rightful place as a sovereign state in the family of nations.

Chapter two (2) of the 1996 Constitution outlines the Bill of Human Rights which confers on citizens their socioeconomic rights to health care, housing, education, water, and other basic necessities, that are to be progressively realized with available resources by the state.

Further, to serve as a delivery arm of government services to the public, chapter thirteen (13) of the 1996 Constitution provides for the establishment of a Public Service for the Republic, which is responsible for the provision of effective public administration. Section 212 (2) indicates that the public service shall:

- 1) Be non – partisan, career orientated and function according to fair and equitable principles;
- 2) Promote an efficient public administration broadly representative of the South African community;
- 3) Serve all members of the public in an unbiased and impartial manner;
- 4) Be regulated by laws dealing specifically with such service and in particular with its structure, functioning and terms and conditions of service;
- 5) Loyally execute the policies of the government of the day in the performance of its administrative functions; and
- 6) Be organized in departments and other organizational components and the head of such department or organizational component shall be

responsible for the efficient management and administration of his or her department or organizational component.

Finally, in 1994, ten (10) new legislatures were designed as the centerpieces of South Africa's new system of representative democracy. They were to be dynamic and pro-active institutions that would help build a democratic culture in South Africa. The former President of the Republic of South Africa, Nelson Mandela, captured the essence of the constitutional mandate of the government during his address to the National Assembly in 1999, "because the people of South Africa finally chose a profoundly legal path to their revolution, those who frame and enact constitution and law are in the vanguard of the fight for change. It is in the legislatures that the instruments have been fashioned to create a better life for all. It is here that oversight of government has been exercised. It is here that our society with all its formations has had an opportunity to influence policy and its implementation. "

The establishment of the Constitution, the Public Service and the Legislatures, among other vital components, facilitated government to commence redressing the inequalities of the past and giving effect to the Bill of Human Rights, as enshrined in the 1996 Constitution. The definitive goal of the South African Public Service is to render services to the citizenry of the country. Within the context of this study, the monitoring and evaluation of performance by public service departments is central to the rendering of sustainable public service delivery. Sustainable, within the context of this study, means the

effective, efficient, economical, transparent, accountable and equitable rendering of services.

This chapter presents a general overview of the study, commencing with a historical review of South Africa from 1652 to the modern day South Africa, thereby outlining the social, cultural and political features. This is followed by an overview of the South African legislation that governs the structure and functioning of government to render services to the community. The chapter proceeds to tackle the evolution of monitoring and evaluation (M&E) practices globally, followed by a general outline of M&E in South Africa: The Outcomes Approach.



Following the presentation of the overview, the chapter defines the concepts that are central to this research study, namely: monitoring, evaluation, performance measurement, performance monitoring, service delivery, accountability, economy, effectiveness and efficiency. Thereafter, the motivation for the research study is offered, followed by the problem statement and the research question. The objectives of the study and a chapter outline are finally captured.

## HISTORICAL OVERVIEW OF THE SOUTH AFRICAN CONTEXT

The historical overview contextualizes the study. It is prudent to understand the socioeconomic and political factors that affected and continues to affect South Africa as a developing country.

South Africa has, over the past ten to fifteen years, undergone some major changes on all level of society. Several planning initiatives have been formulated to enact appropriate public polices to effect the necessary transformation on institutional, social and economic levels in society with a view to satisfy the needs of the broader South African community. The public service must, therefore assume a broader and bigger responsibility in the development of the country, with special focus on the provision of services in the rural areas and the historically and previously disadvantaged people.

In 1652, the Dutch traders landed at the southern tip of current South Africa and established the stopover point on the spice route between the Netherlands and India, founding the City of Cape Town. The British seized the Cape of Good Hope in 1806, causing the Dutch settlers, known as the Boers to trek north to find their own land. The discovery of diamonds in 1867 and gold in 1886 stimulated the wealth and immigration, while escalating the suppressions of the native inhabitants. The Boers resisted the British infringements but were defeated in the Boer War between 1899 and 1902. In 1910, the Union of South Africa was formed between the British and the Boers and became known as the Afrikaners. This enabled them to rule together.

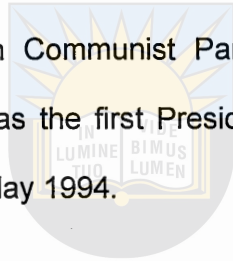
South Africa became a republic in 1961 after a whites only referendum was passed. In 1948, the National Party (NP) was voted into power and instituted a policy of apartheid. Apartheid is:

- 1) An official policy of racial segregation formerly practiced in the Republic of South Africa, involving political, legal, and economic discrimination against the nonwhites;
- 2) A policy or practice of separating or segregating groups; and
- 3) The condition of being separated from others – segregation  
(Access <<http://www.answers.com/topic/apartheid>: Retrieved: 1 March 2011).

The African National Congress (ANC) led the opposition to apartheid and many key ANC leaders, including Nelson Mandela, spent decades in South Africa's prisons. Internal protests and insurgency, as well as sanctions imposed by the global communities, led to negotiations that eventually ended the white minority in South Africa. On 2 February 1990, the former president F.W. de Klerk lifted restrictions on thirty three (33) opposition groups, including the ANC, the Pan African Congress (PAC) and the Communist Party, at the opening of Parliament. On 11 February 1990, Mandela, who had maintained a tough negotiating stance on the issue, was released after 27 years in prison.

The piecemeal dismantling of restrictive legislation began. Political groups commenced and started negotiating the ending of white minority rule, and in early 1992 the white electorate endorsed De Klerk's stance on these negotiations in a referendum. Violence, however, continued unabated; a

massacre at the township of Boipatong caused the ANC to withdraw temporarily from constitutional talks. In 1993, however, an agreement was reached on a Government of National Unity which would allow a partnership of the old regime and the new. This optimism generated by the negotiations was shattered by the assassination of Chris Hani, the secretary-general of the Communist Party: only a prompt appeal to the nation by Mandela averted a massive reaction. At the end of the year, an interim constitution was agreed to by twenty one (21) political parties. South Africa's first democratic election was held on 26, 27 and 28 April 1994, with victory going to the ANC in an alliance with the South African Communist Party (SACP) and COSATU. Nelson Mandela was sworn in as the first President of the new democratic Republic of South Africa on 10 May 1994.



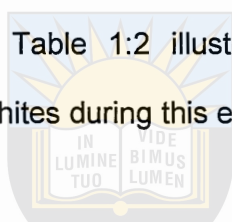
## University of Fort Hare

According to the annual midyear estimates (July 2010) by Statistics South Africa, the country's population was 49 991 300, of which 25 662 300 (51.3%) were female and 24 329 000 (48.7%) male. Africans are in the majority at 39.7 million, making up 79.4% of the total population. The white population is estimated at 4.6 million (9.2%), the coloured population at 4.4 million (8.8%) and the Indian/Asian population at 1.3 million (2.6%). The demographics are illustrated in Table 1:1.

MID-YEAR POPULATION ESTIMATES 2010		
POPULATION GROUP	NUMBER	% OF TOTAL
African	39 682 600	79.4%
White	4 584 700	9.2%
Coloured	4 424 100	8.8%
Indian/Asian	1 299 900	2.6%
<b>TOTAL</b>	<b>49 991 300</b>	<b>100%</b>

Table 1:1 – Mid-year population estimates, Statistics South Africa: 2010

The apartheid era has led to the severely skewed distribution of resources to the citizens of South Africa. Table 1:2 illustrates the disproportionate treatment between Blacks and Whites during this era.



APARTHEID AND THE PEOPLE OF SOUTH AFRICA		
	BLACKS	WHITES
Population	19 million	4.5 million
Land allocation	13 percent (%)	87 percent (%)
Share on National Income	< 20%	75%
Ration of average earnings	1	14
Minimum taxable income	R360	R750
Doctors / Population ratio	1: 44 000	1: 400
Infant mortality rate	20% urban 40% rural	2.7%
Annual expenditure on education per pupil	R845	R8 695
Teacher / Pupil ratio	1: 60	1: 22

Table 1: 2 – Disproportionate treatment between Blacks and Whites, Lee (1978: 25).

The following key developmental challenges face South Africa and require sustainable intervention by government. SA has one of the highest crime rates in the world, and violence against women and children is endemic. Domestic and foreign leaders frequently cite crime as the main impediment to investment and growth. Secondly, the migration of job seekers to urban centres has placed overwhelming pressure on housing, educational and health services in many SA cities. Thirdly, a highly unequal land ownership structure greatly undermines rural development. The problems stems from the apartheid regime, which attempted to cram 75 percent of the population onto 13 percent of the land, as depicted in the table *supra*. Fourthly, air and water pollution is on the rise. SA is among the top 20 air polluting countries in the world because of its heavy reliance on coal for power. Fifthly, the most important factor limiting agricultural production is the availability of water. Water shortages, which are expected to increase substantially, are already important constraints to national development. Rainfall is distributed unevenly across the country. Land and soil degradation are other major concerns. Lastly, in absolute numbers, SA has the highest number of people living with the HIV/AIDS epidemic. At the end of 2001, 20.1 percent of the adult population was infected with HIV and AIDS. (CIDA's Programming Framework in South Africa, 2004).

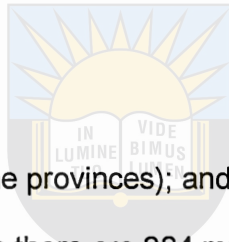
The situation, as depicted above, among many other factors has led government to focus its programmes and policies on addressing the developing needs and redressing the imbalances of the past that was wrought by the apartheid era. The following section will outline some of government's

legislation that governs the functioning, structure and coordination of the spheres of government to enable them to render services in a sustainable manner.

## **OVERVIEW OF SOUTH AFRICAN LEGISLATION GOVERNING THE STRUCTURE AND FUNCTIONING OF GOVERNMENT**

To organize the administration of government, the 1996 Constitution created three (3) distinct but interrelated spheres of government, namely:

- 1) national government;
- 2) provincial government (nine provinces); and
- 3) local government (of which there are 284 municipalities).



University of Fort Hare  
*Together in Excellence*

The Constitution defines the roles and responsibilities of national and provincial government with respect to local government. It obliges all spheres of government to co-operate with one another in mutual trust and good faith through fostering friendly relations; assisting and supporting one another; information sharing and coordination of actions and legislation with one another.

The following section focuses on the generic roles and responsibilities of the national and provincial governments with respect to local government to enable it to render service delivery.

## *National Government*

The White Paper on Local Government (1998) provides for the roles and responsibilities of national government, which are set out below:

- 1) Strategic role – national government is responsible for setting the overall strategic framework for the economic and social development of the nation and for all spheres of government. Local government must operate within an enabling framework that will best enable them to promote the development of citizens, local communities and the nation;
- 2) Coordinating the transition – local government is still in the process of transition envisaged by the Local Government Transition Act. National government, in partnership with other spheres, is responsible for the coordination, management and oversight of this transition process;
- 3) Providing a legislative framework – national government must provide an overall legislative framework within the general legislative framework set out in the Constitution. This includes providing a framework for intergovernmental relations, including the structures, procedures and mechanisms to promote and facilitate positive intergovernmental relations within the spheres of government;
- 4) Provision of finances – fiscal provisions, including managing the system of intergovernmental fiscal relations; and

- 5) Monitoring and oversight – to ensure the necessary levels of compatibility, uniformity and consistency, national government needs to develop a system of monitoring and oversight, within which organs of state will perform these functions.

### *Provincial Government*

The White Paper on Local Government (1998) provides for the roles and responsibilities of provincial government, which are set out below:

- 1) Strategic role – to develop a vision and framework for integrated economic, social and community development in the province through the provincial growth and development strategy;
- 2) Development role – provincial government should ensure that the municipal integrated development plans combine to form a viable development framework across the province and are vertically integrated to the provincial growth and development strategy. Provincial government is responsible for the processing of grants to municipalities for bulk infrastructure, housing, public works, etc. Provincial government must ensure that municipal planning and budgeting processes afford priority to the basic needs of the community and promote social and economic development of the community as set out in section 153 of the Constitution;

- 3) Intergovernmental role – to establish forums and processes for the purposes of including local government in decision making processes that affect it. They must promote horizontal cooperation between municipalities in the province;
- 4) Regulatory role – section 155(7) of the Constitution gives national and provincial government the legislative and executive authority to see to the effective performance by municipalities of their functions (as set out in schedule 4 and 5);
- 5) Institutional and capacity building role – provincial government establishes municipalities as set out in section 155(6) of the Constitution with promoting the development of local government capacity to enable municipalities to perform their functions and manage their own affairs. Further, training and capacity building are an integral part of institutional development; and
- 6) Fiscal role – plays a role in monitoring of financial status of municipalities through provincial task teams of Project Viability.

### *Local Government*

Local government does not determine the sustainability of human settlements alone. The other spheres of government, either by independently conducting their own programmes in the same area as a municipality, or by regulating the operation of municipalities in line with their own sectoral objectives, also affect the overall shape of settlements and the livelihoods of the people who live

there. Local government can be seen as a point of integration and coordination for the programmes of other spheres of government. The following national departments have proposed decentralizing significant functions to local government:

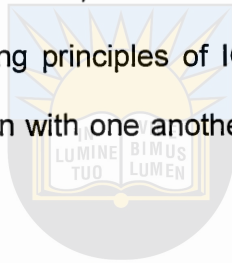
- 1) *Department of Health* – designation of local government as district health authorities;
- 2) *Department of Transport* – designation of municipalities as transport authorities;
- 3) *Department of Trade and Industry (DTI)* – the role of local government in boosting local economies and promoting small-scale enterprise will be enhanced by initiatives under the DTI. For example small, medium and micro-sized enterprise (SMME) initiatives;
- 4) *Department of Arts and Culture*: the Constitution lists culture as a concurrent competence. This means provincial and local government have some responsibility in promoting and developing arts and culture in their area;
- 5) *Department of Safety and Security*: local government has a key role to play in the promoting public values and education and transnational crime (two pillars of the national crime prevention strategy);
- 6) *Department of minerals and Energy Affair*. Currently, municipalities and Eskom reticulate electricity to different parts of the country; and

- 7) *Department of Housing*: In terms of the new housing bill, municipalities are required to ensure, within the frameworks of national provincial legislation and policy, that all inhabitants in their areas have access to adequate housing.

It is clear that national government is looking at the local government as a logical portal for coordination and as a vehicle for the implementation of policies and programmes. The end result is that government renders a dynamic service to the communities of South Africa. National and provincial government through intergovernmental structures can:

- 1) Work directly with local government – substantial resources could be made available to the municipalities – this will enhance service delivery;
- 2) Integrate programmes into municipal integrated development plans – the structure of local invest plans will ensue boosting of the local economy;
- 3) Coordinated and decentralization of powers – devolution of powers to local government – this will improve effectiveness. Since the devolution of powers can only be authorized by cabinet through the a consultative process between national, provincial and local government, healthy intergovernmental relations and co-operative government is mandatory, if government is serious about impacting service delivery in South Africa positively.

This complex, decentralized machinery of government, with powers and functions distributed across the three spheres, requires intricate coordination both across and within sectors. The strengthening of service delivery and the promotion of the country's stability and cooperation is heavily dependent on sound and effective Intergovernmental Relations (IGR) and Co-operative Government (CG) in South Africa. To that end, government has taken cognizance of the need to enhance IGR and CG among the three spheres of government so that service delivery can be rendered effectively. This has been entrenched in the Constitution, 1996. Chapter three (3) of the Constitution outlines the governing principles of IGR and CG, which further emphasizes on the co – operation with one another in mutual trust and good faith.



University of Fort Hare  
*Together in Excellence*

#### *Intergovernmental relations (IGR)*

Intergovernmental relations means relationships that arise between different governments or between organs of state from different governments in the conduct of their affairs (Intergovernmental Relations Framework Act, 2005 (Act No. 13 of 2005) – Section 1(g)).

Intergovernmental relations encompasses all the complex and interdependent relations among various spheres of government as well as the coordination of public policies (including policies on sustainable development) among national, provincial and local governments through programme reporting

requirements, grants-in-aid, the planning and budgetary process and informal communication among officials (Fox and Meyer, 1995: 66).

Furthermore, intergovernmental relations encompass all the interdependent relations among the various tiers/spheres/levels of government. It includes the co-ordination of public policies determined by the legislative and executive bodies of the various governmental structures. Intergovernmental relations also refer to the actions and transactions of political office bearers and officials on any sphere of government that have a bearing on the decisions and actions of another level/tier/sphere of government (Thornhill, et al, 2002: 8).

Although, it is evident from these definitions that government has taken adequate cognizance of the importance of IGR and CG by developing policies and structures to enhance partnership among spheres of government, in order to ensure that the level of service delivery is rendered at an optimal level, the central challenge exists for the various spheres of government to function autonomously yet harmoniously in upholding the spirit of the Constitution of the Republic.

#### *Cooperative government (CG)*

Cooperative government (CG) refers to the cooperation between two levels of government, e.g., national/central or regional/provincial or among all levels/tiers of government, e.g., national, provincial and municipal governments.

CG is a partnership among the three spheres of government requiring each government to fulfill a specific role; representing the values of government and the fundamental philosophy of government that governs all aspects of activities of government (Thornhill, et al 2002: 8).

An analysis of these definitions brings to light the issue of partnership with the intent of rendering an output that is in alignment with the values of government. The three spheres of government are distinctive, interdependent and interrelated. All spheres of government are obliged to observe the principles of cooperative government put forward in the Constitution. Cooperative government assumes the integrity of each sphere of government, but it also recognizes the complex nature of government in modern society.

*The Framework of IGR*



University of Fort Hare  
*Together in Excellence*

The White Paper on Local Government (1998) provides the framework of IGR. It further states that no country can effectively meet its challenges unless the components (spheres of government) function as a cohesive whole.

#### *Cooperative relations between spheres*

The cooperative functioning amongst the various spheres of government involves the following activities:

- 1) collectively harnessing all public resources behind common goals and within a framework of mutual support;

- 2) developing a cohesive, multi-sectoral perspective on the interests of the country as a whole and respecting the discipline of national goals, policies and operating principles;
- 3) coordinating their activities to avoid wasteful competition and costly duplication;
- 4) utilizing human resources effectively;
- 5) settling disputes constructively without resorting to costly and time consuming litigation; and
- 6) rationally and clearly dividing between them the roles and responsibilities of government, so as to minimize confusion and maximize effectiveness.



University of Fort Hare  
*Together in Excellence*

Proper cooperation and coordination amongst the spheres of government will result in services being rendered in the most economical, effective and efficient manner. Cooperation further, leads to distinction of roles, there is clarity in terms of who does what. There is no duplication of functions hence there is no fruitless or wasteful expenditure incurred. Cooperation leads to effective communication. This minimizes the litigation route of settling disputes. Disputable issues are in most instances amicably resolved. The existence of co-operative relations between spheres impacts positively on service delivery.

## *Intergovernmental relations*

Intergovernmental relations are the set of multiple formal and informal processes, channels, structures and institutional arrangements for bilateral and multilateral interaction within and between the spheres of government (White Paper on Local Government, 1998). In South Africa, a system of IGR is emerging to give expression to the concept of co-operative government as set out in the Constitution.

The system of Intergovernmental Relations has the following strategic purposes:



University of Fort Hare  
*Together in Excellence*

- 1) to promote and facilitate cooperative decision making;
- 2) to coordinate and align priorities, budgets, policies and activities across interrelated functions and sectors;
- 3) to ensure a smooth flow of information within government and between government and communities with a view of enhancing the implementation of policy and programmes; and
- 4) to prevent and resolve conflicts and disputes.

Finally, the White Paper on Local Government (1998) provides the strategic purposes but it can be critically argued whether or not these purposes are being realized in practice. Effective intergovernmental relations will result in

decisions being made at local government level that is aligned with national norms and standards. Further, priorities that are identified by parliament will be addressed at grass root levels ensuring that government is fulfilling their mandate by rendering services to the inhabitants of the country.

### *Basic values and principles governing public administration*

The South African Constitution also places a mandate on the public service to function in a designated manner, which must be effective and responsive to the changing needs of its citizenry. The public service which is the delivery arm of government, has to rise constantly to the massive challenge of service delivery to ensure that government achieves its ideal of creating a better life for all in accordance with the people's contract. The government has put in place sound legislation, regulations, systems and procedures to ensure that it executes its mandate effectively and seamlessly. The enhancement of the public service's capacity is critical to ensuring the alignment of its service delivery and sharpening of its effectiveness. Key among the capacity challenges in the public service is the need to strengthen human resource management and development to ensure that there is a skilled, professional, motivated and productive workforce that drives government programmes. The capacity for promoting and sustaining public participation is vital, to ensure that the rights of the people are met.

The establishment of public sector departments is motivated by the need for service delivery. Section 195 of the 1996 Constitution, provides the basic

values and principles governing public administration. Public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles:

- 1) A high standard of professional ethics must be promoted and maintained;
- 2) Efficient, economic and effective use of resources must be promoted;
- 3) Public administration must be development oriented;
- 4) Services must be provided impartially, fairly, equitably and without bias;
- 5) People's needs must be responded to, and the public must be encouraged to participate in policy making;
- 6) Public administration must be accountable;
- 7) Transparency must be fostered by providing the public with timely, accessible and accurate information;
- 8) Good human resource management and career development practices, to maximize human potential, must be cultivated;
- 9) Public administration must be broadly representative of the South African 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.

In response to the need for equitable service delivery, the South African government has embarked on a sustained programme of public sector reform, including reforms to the civil service performance management systems as well as budget reforms. These budget reforms initially focused on the

financial dimensions of public expenditure management. However, there is increasing emphasis on service delivery and the gathering of non financial information, in pursuit of greater value for money spent. The following section will examine the definitions and operationalization of key concepts.



University of Fort Hare  
*Together in Excellence*

## DEFINITION AND OPERATIONALIZATION OF KEY CONCEPTS

The definition and operationalization of salient concepts is central to the contextualization and understanding of this study. The detailed explanations provided in this section will clarify the terms and concepts and provide a clearer perspective on its use in this study. The various clarifications sourced from varying scholars, institutions and information portals; provide a holistic picture of the concepts. The definitions of these key concepts and perspectives on monitoring, evaluation, performance measurement, performance monitoring, service delivery, accountability, economy, effectiveness and efficiency follow.



### *Monitoring*

University of Fort Hare  
*Together in Excellence*

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (OECD, 2010: 28). The monitoring of government activities is key to promoting service delivery, as challenges can be detected at an early stage and interventions implemented timeously to ensure success. Monitoring serves as an information portal for management, as progress is being reported on a regular basis.

Bartle (2007: 3) defines monitoring as the regular observation and recording of activities taking place in a project or programme; it is a process of routinely gathering information on all aspects of the project. To monitor means to check on how project activities are progressing; it is observation, systematic and purposeful observation. Monitoring also involves giving feedback about the progress of the project to the sponsors, implementers and beneficiaries of the project, resultantly the reporting mechanism enables the gathered information to be used in making decisions for possible improvement of the project performance.



### *Evaluation*

Similar to most specific assignments that teachers give, writing evaluations depicts what happens so often in our day – to – day lives. Human beings are faced with questions each day, whether the temperature is cold enough to need a jacket or just a shirt will do; whether to change the route to the office; whether the prices at the grocery store tell us to continue shopping at the same place or somewhere else for a better value. Academic tasks rely on evaluation just as often. Is a source reliable? Does an argument convince? Is the article worth reading?

Keifer (2000: 2) states that to evaluate is to assess or appraise; evaluation is the process of examining a subject and rating it based on its important features. Further it involves determining how much or how little we value something, arriving at our judgment on the basis of criteria that we can define.

Evaluation is a systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results, whose aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability (OECD, 2010: 22)

An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision making process of both recipients and donors. Evaluation, thus refers to the process of determining the worth or significance of an activity, policy or programme, entailing an assessment, as systematic and objective as possible, of a planned, ongoing or completed development intervention. Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results and the identification of relevant lessons. Evaluation of government programmes assist management in determining whether targets are being met and service delivery standards are at acceptable levels. This is crucial, specifically within the South African context of the public service, as the delivery arm of government, seeking to redress the inequities of the past by rendering high quality services.

### *Performance Management*

While performance management would generally be referring to a system used to evaluate performance of people, here it refers to a combination of

both people and systems, and processes but very specific to the latter. Performance management is the means through which performance against objectives is reviewed, using appropriate performance measurement information and decisions made regarding direction, required action and resource allocation (Luthuli, 2005: 18).

Heathfield (2008: 17) defines performance management as the process of creating a work environment or setting where people are enabled to perform to the best of their abilities. Furthermore, it is a whole work system that begins when a job is defined as needed and ends when an employee leaves an organization. Organizations that effectively manage employee's performances will, in most cases, achieve their set targets, as a group of strong employees means a strong organization.



University of Fort Hare  
*Together in Excellence*

### *Performance Measurement*

Performance measurement can be defined as a system for assessing performance of development interventions against stated goals (OECD, 2010: 29). It is also a process of measuring or quantifying the efficacy of past actions through acquisition, collation, sorting, analysis, interpretation and dissemination of appropriate data (Neely, 1998: 12). Performance measurement provides the foundation on which performance management can take place.

## *Service Delivery*

Roberts (2009: 10) defines service delivery as a provision of a range of programmes, services, publications, activities, events, initiatives or benefits to one or more targeted audiences, by a nonprofit organization. Fox and Meyer (1995: 18) define service delivery as the provision of public activities, benefits or satisfactions; it relates to both the delivery of tangible public goods and of intangible services. Hence, in relation to the study, service delivery is concerned with the provision of a product or service by a government or government body to a community that it was promised to or which is expected by the community. The service delivery agents, which are government departments are expected to, place the needs of the citizenry first during the execution of their duties. Hence, government has adopted the Batho Pele principles which form the central pillar of service delivery initiatives in South Africa. This means 'people first'.

In a constitutional democracy, like South Africa, the people vote leaders into power; this places a responsibility on the political office bearers to account for their actions and or inactions to govern; this is tantamount to service delivery.

## *Accountability*

Accountability implies that public servants should be held answerable to government and the public for the achievement of service delivery objectives and proper utilization of resources (Public Service Commission Report: 2006: 56).

An important characteristic of a developmental nation is its commitment to accountability. Public institutions have been delegated many important management and regulatory powers and are expected to exercise these powers within the context of accountability. The South African Parliament has passed many acts that promote accountability. Such obligations are expressed in the Public Finance Management Act, the Promotion of Access to Information Act and the Protected Disclosures Act. It is vital for departments to implement sound performance management systems and to provide comprehensive reports as required. The Auditor General, as the parliament's independent and objective assurance provider, as well as the Standing Committee on Public Accounts (SCOPA) and Parliamentary Portfolio Committees are responsible for facilitating the promotion of accountability. Moreover, the evaluation of the heads of agencies of the various departments is imperative, because their performance can be measured in terms of service delivery objectives (Public Service Commission Report 2006:57).

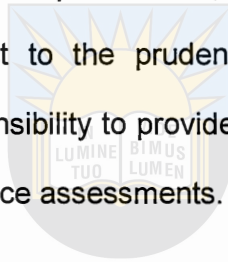
The departments must produce at least the following reports on an annual basis:

- 1) Annual report;
- 2) Strategic plan; and
- 1) Auditor General (AG): Audit Outcomes Report

These reports are accessible to the public for scrutiny. By putting this information in the public domain, it helps put external pressure on departments to perform better.

Accountability impacts positively on the capacity of government departments to render services in a more efficient, effective and economical manner to the citizenry of the country (Public Service Commission Report 2006: 58). Accountability is the obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results (OECD 2010: 15)

Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments.



University of Fort Hare  
*Together in Excellence*

### *Economy*

Economy is “doing things cheaply”. Economy refers to the terms and conditions under which an operation acquires its resources. An economical operation obtains these resources in an appropriate quantity and quality and at the lowest cost over the life cycle of the resource (PALAMA, 2009: 70). Economy is thus concerned with the inputs for a specific activity or project, keeping in mind that the resource available to procure these inputs is limited. Economy is the absence of waste for a given output (OECD, 2010: 20) and the minimization of resource consumption (Hilliard, 1995: 4).

According to Abedian *et al* (1998: 85) there are two generic questions related to economy:

- 1) Was the service delivered as budgeted for?; and
- 2) Did the services rendered cost more than comparable services elsewhere?

### *Effectiveness*

Effectiveness is “doing the right things”. Effectiveness refers to the degree to which objectives are achieved (PALAMA, 2009: 71). When evaluating the effectiveness of an activity, one should give consideration to both the outputs as well as the outcomes of that activity. It can be defined as the extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance (OECD, 2010: 20).

### *Efficiency*

Efficiency refers to “doing things well and right”. It is concerned with relating the inputs of an activity to the volume of resources consumed in obtaining those outputs (PALAMA, 2010: 71). Efficiency reports on the ratio of outputs to inputs. Efficiency can be broadly defined as the ability to bring limited resources of an organization into a proper relationship to the desired goals (Luthuli, 2005: 15).

In summary, economy deals with the inputs for a specific activity; effectiveness pertains to the outputs and outcomes (impact) of that activity, while efficiency is concerned with the way in which the inputs were used to produce the outputs. Due to the interrelatedness of these concepts, neither economy, effectiveness nor efficiency can be a meaningful measure of performance on their own, they should always be considered in conjunction with each other.



University of Fort Hare  
*Together in Excellence*

## MOTIVATION FOR RESEARCH

The South African population at large has not recovered from the socioeconomic effect of apartheid that has left millions of South Africans in an absolutely disadvantaged situation. The democratically elected government, since 1994, has commenced intensifying its efforts to redress the imbalances of the past with minimum success. This is largely due to the magnitude of the situation; which is fuelled by the huge expectations of the citizenry towards government, to deliver services (security, housing, grants, etc.) comprehensively, timely and equally.

In a society, like South Africa, transparency and accountability are but a few principles that form the cornerstone or pillars of its democracy. With the recent service delivery protests by several communities and the high levels of corruption within the public sector, it is clear that the South African Public Service is not delivering effectively on its mandate as given by the voters. Although, the needs of the community may be widespread and dire, the billions of rands spent on government activities on an annual basis by the public service, may certainly make significant progress towards the improvement of the present situation. To provide effective service delivery, within the budgetary constraints, a renewed approach towards the monitoring and evaluation of government's performance must be explored; 'things must be done differently in order to get different results'. The effectual application of reengineered monitoring and evaluation strategies to measure performance could serve as an important weapon in the arsenal of government in its pursuit

for sustainable public service delivery and probably exceed the demands of the deserving South African community at large.

## **PROBLEM STATEMENT**

South Africa's negotiated transition to a new democratic order in 1994 created immense pressures on the newly elected government. One of the key priorities was to overcome the legacy of racially skewed public service delivery under the apartheid regime by enhancing access to, and the quality of, services to previously disadvantaged communities and vulnerable groups, such as, women, children and people with disabilities. Ijeoma (2008: 64) argues that the high levels of underdevelopment and poverty experienced by many African countries can be attributed to non – establishment of processes and systems to deal with the challenges facing governments programmes. Hence, SA requires the will to avert and overcome this constraint. Poor service delivery and governance remains an overwhelming challenge in most levels of government structures. Of major concern is the degree of corruption, institutional capacity constraints relating to appropriate skills and staff, lack of transparency, the dysfunctionality of public servants, lack of accountability, lack of public participation in issues of governance, failure to comply with legislation, failure to prioritize community needs and budgeting processes not aligned. These are some of the major factors that are impacting the performance of government to render a sustainable service. To improve service delivery, it is vital that government adopts a renewed approach towards monitoring and evaluation of performance. It will thus be prudent to

examine the attributes of different approaches. In this study, the monitoring and evaluation system of the governments of Mexico and Spain are explored.

## RESEARCH QUESTION

To fully address the tenets of this study and to serve as a means of constant focusing throughout this thesis, a research question has been designed. A research question can be used to authenticate the contribution to knowledge in this area of study. The major research question that the research endeavors to answer is: *to what extent can the monitoring and evaluation of performance assure sustainable public service delivery in the public sector?*

This study examines international and local practices on monitoring and evaluation of performance, with a view to assessing how each experience could contribute towards realizing sustainability in the public service delivery.

## OBJECTIVES OF THE STUDY

The objectives of this study are as follows:

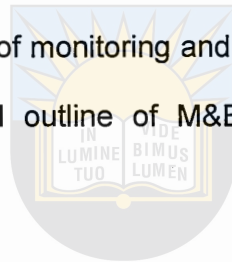
- 1) To provide a broad overview of public service delivery in South Africa, as a context within which to understand the issue of monitoring and evaluation of performance;

- 2) To discuss monitoring and evaluation approaches, by the governments of Mexico and Spain, that have been successfully adopted within an institutional or community context;
- 3) To critically analyze the current status of monitoring and evaluation of performance in South Africa by focusing on the experiences of the national department: The South African Police Service (SAPS); and
- 4) To provide recommendations on a range of strategies for performance improvement mechanisms that can be deployed to improving accountability and sustainable public service delivery. Mapping the proposed strategies would allow departments to perceive their desired mission prior to implementation and ask what factors are most critical for these strategies to succeed. Finally, the strategies would have its own unique characteristics that would accommodate the dynamics of South African Public Service.

## CHAPTER OUTLINE

### *Chapter 1: Introduction and Background to the study*

This chapter presents a general overview of the study, commencing with a historical review of South Africa from 1652 to the modern day South Africa, outlining the social, cultural and political features. This is followed by an overview of the South African legislation that governs the structure and functioning of government to render services to the community. The chapter proceeds to tackle the evolution of monitoring and evaluation (M&E) practices globally, followed by a general outline of M&E in South Africa: 'The Outcomes Approach'.



Following the presentation of the general overview, the chapter defines the concepts that are central to this study, namely: monitoring, evaluation, performance measurement, performance monitoring, service delivery, accountability, economy, effectiveness and efficiency. Thereafter, the motivation for the research is offered, followed by the problem statement and the research question. The objectives of the study and a chapter outline are finally captured.

### *Chapter 2: Research Methodology*

Chapter Two succinctly describes the research design and methodology used in this study. The purpose of this study is to provide qualitative information on

the level of performance by the South African Police Services. A qualitative case study approach is used. The chapter proceeds to describe the research method used, the selection of the sample, data collection and analysis, validation and reporting methods. The scope, limitations and significance of the study are finally outlined.

*Chapter 3: Conceptual framework of the study: Relationships between public administration (performance & financial management), monitoring and evaluation and service delivery*

This chapter commences with defining public administration and management and a brief history and its evolution. This provides a foundation to commence the examination of its existence as an academic discipline and an activity. A brief comparison between the public and private sector administration is also presented. The chapter proceeds to examine financial management in the public sector. It is important to provide for this background, as the monitoring and evaluation of the budget directly impacts an institution's performance; this will become clear during the case study analysis. Performance management, which is a control measure implemented by institutions, is then explained, as control is a generic function of public administration. An overview of monitoring and evaluation and specifically the 'outcomes approach' in South Africa is thereafter considered. The chapter is concluded by providing the relationship between public administration, monitoring and evaluation, and service delivery.

*Chapter 4: An overview of monitoring and evaluation approaches:  
International and local experiences*

Faced with fiscal constraints and demands for more and better public services, governments at every level are discussing, experimenting with and implementing new ways of improving performance. The budget is increasingly being viewed as a tool to promote government accountability and effectiveness, rather than merely a vehicle for allocating resources and controlling expenditures. Chapter Four provides an in-depth report on international and local experiences relating to performance monitoring and evaluation. There is a sharp focus on the successful implementation of performance monitoring and evaluation mechanisms in government programmes and activities. The countries of Spain and Mexico will be examined from an international perspective, while the South African approach will also be considered. These cases will be examined in detail, with a view of offering lessons for the South African Police Service in chapter five.

*Chapter 5: Analysis and findings of the case: The South African Police Service*

Chapter Five commences with a historical overview of the South African Police Service, its constitutional mandate and objectives. The case study is presented in detail, with an examination of the SAPS's performance in the 2009/2010 fiscal year and an evaluation of the current performance monitoring and evaluation mechanism. The budget performance in respect to

the 2009/10 financial year will also be presented. The methodology used to evaluate the department's performance will be elucidated in detail. The chapter then proceeds to analyze and report the findings of the case study. The findings will be compared against the lessons learnt from the local and international experiences, with a view to providing some valuable recommendations for the department in the final chapter of the study. The chapter concludes with a concise summary.

#### *Chapter 6: Summary, Recommendations and Conclusion*

Chapter Six provides an enlightening summary of the research by making references to the salient features presented in the various chapters. This is followed by several recommendations that have been developed from international best practices and analyses of data collected in the study. Recommendations are offered to the South African Police Services. The chapter ends with concluding remarks from the researcher.

## CHAPTER 2: RESEARCH METHODOLOGY

### INTRODUCTION

Research is a process that involves the exploration of scientific knowledge using various objective methods and procedures (Welman, *et al*, 2005: 2). Thus, it is a rigorous exercise that requires the development of reasonable arguments for conjecture, data collection, analysis, actual writing and the presentation of the findings; while the research methodology considers and explains the logic or rationale behind research methods and techniques.

This chapter describes the research design and methodology used in this study. The purpose of this study is to provide a qualitative examination of the performance of the South African Police Services. A qualitative case study approach is used because it has the propensity of strengthening the current understanding of institutional performance in the South African public service. The results of the case study are integrated into the thesis. The chapter proceeds to describe the research method used, the selection of the sample, data collection and analysis, validation and reporting methods. The scope, limitations, and significance of the study are finally outlined.

The qualitative case study approach requires the researcher to conduct an in-depth analysis of information from various authors and different sources of information known as triangulation (Naidoo, 2005: 40). The South African Police Service, a public service department, was selected for the study. The

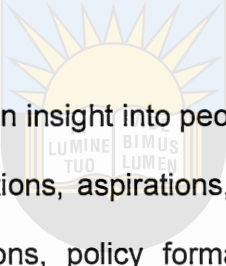
sources used to conduct the study included documents from the department, the National Treasury and discussions. The data analysis was performed concomitantly with the data collection from the sources, referred to *supra*. The conclusions were documented in the study.

## RESEARCH METHODOLOGY

The choice of which method to employ is dependent on the nature of the research problem. Morgan and Smircich (1980: 491 – 500) argue that the actual suitability of a research method is a function of the nature of the social phenomena to be explored. Noor (2008: 2) identifies the two basic traditions of research in social science, namely positivism and post positivism (phenomenology). Finch (1986: 6–10) defines positivism as an approach to the creation of knowledge through research which emphasizes the model of natural science, where the scientist assumes the position of objective researcher, who collects facts about the social world and then builds up an explanation of social life by arranging such facts in a chain of causality. In contrast, Easterby-Smith, *et al* (1991: 23–25) explains that post positivism is about a reality which is socially constructed rather than objectively determined, therefore, the task of social scientist should not be to gather facts and measure how often certain patterns occur, but to appreciate the different constructions and meanings that people place on their experience. Since positivism is based on the natural science model of dealing with facts, it is more closely associated with quantitative method of analysis; while post

positivism that deals with understanding the subjectivity of social phenomena requires a qualitative approach.

The researcher chose the qualitative method to carry out this study. According to Ereaut (2007) qualitative research seeks out the 'why', not the 'how' of its topic through the analysis of unstructured information, such as interview transcripts, open ended survey responses, emails, notes, feedback forms, photos and videos. It does not rely on statistics or numbers, which are the domain of quantitative researchers.



Qualitative research is used to gain insight into people's attitudes, behaviours, value systems, concerns, motivations, aspirations, culture or lifestyles. It is used to inform business decisions, policy formation, communication and research. Focus groups, in-depth interviews, content analysis, ethnography and evaluation are among the many formal approaches that are used, but qualitative research also involves the analysis of any unstructured material, including customer feedback forms, reports or media clips.

University of Fort Hare  
Together in Excellence

Ereaut (2007) elucidates that qualitative research has multiple focal points, as depicted in Figure 2: 1 below.

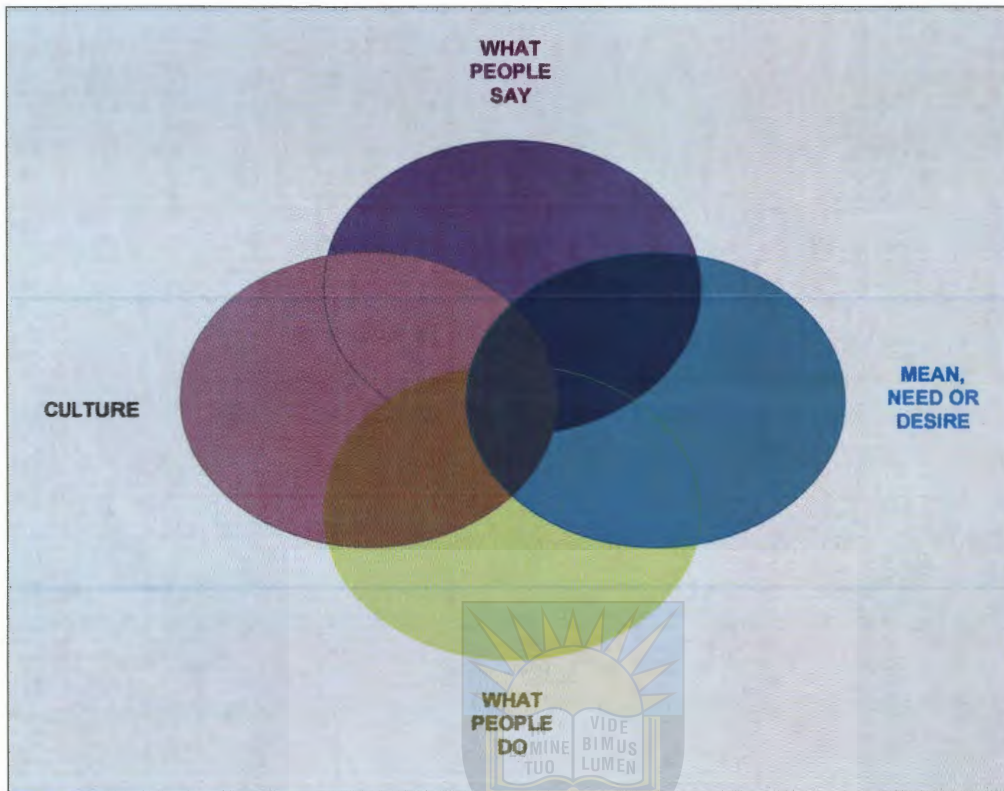


Figure 2: 1 – Multiple focal points of qualitative research, adapted from Ereaud (2007:4)

University of Fort Hare  
Together in Excellence

The focal points represent the following:

- 1) *What people say* – the knowledge they have or what they understand; researching the conscious mind;
- 2) *Mean, need or desire* – emotional drivers, includes conscious and unconscious or researching the psyche;
- 3) *What people do* – the actions they take and what they see themselves doing; researching meaningful behavior; and
- 4) *Culture* – includes cultural forces and meaning systems; researching shared meanings, norms and codes.

Further, qualitative research is aimed at gaining a deep understanding of a specific organization or event, rather than surface description of a large

sample of a population. It aims to provide an explicit rendering of the structure, order, and broad patterns found among a group of participants. Qualitative research does not introduce treatments or manipulate variables, or impose the researcher's operational definitions of variables on the participants. Rather, it lets the meaning emerge from the participants. It is more flexible because it can adjust to the setting. Concepts, data collection tools, and data collection methods can be adjusted as the research progresses.

According to Jacob in Key (1997), qualitative research is a generic term for investigative methodologies described as ethnographic, naturalistic, anthropological, field, or participant observer research; emphasizing the importance of looking at variables in the natural setting in which they are found. Interaction between variables is important. He further explains that detailed data is gathered through open ended questions that provide direct quotations, the interviewer being an integral part of the investigation. On the other hand, Smith in Key (1997) states that quantitative research attempts to gather data by objective methods to provide information about relations, comparisons, and predictions and attempts to remove the investigator from the investigation.

Qualitative research aims to get a better understanding through firsthand experience, truthful reporting, and quotations of actual conversations. It aims to understand how the participants derive meaning from their surroundings, and how their meaning influences their behaviors; further it uses observation

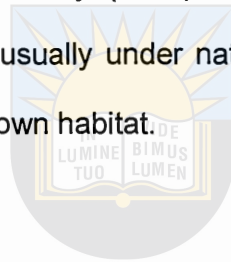
as the data collection method. Observation is the selection and recording of behaviors of people in their environment. Observation is useful for generating in-depth descriptions of organizations or events, for obtaining information that is otherwise inaccessible, and for conducting research when other methods are inadequate.

Denzin and Lincoln (1994: 3–5) state that qualitative implies an emphasis on processes and meanings that are not rigorously examined, measured, in terms of quantity, amount, intensity, or frequency. Merriam (1988: 5) argues that there are instances, particularly in the social sciences, where researchers are interested in insight, discovery, and interpretation rather than hypothesis testing. The research study is descriptive, since no hypothesis or cause and effect relationships were required. The case study approach with the case for the SAPS is used to investigate an issue of interest; namely, performance by a government department.

#### *Rationale for choice*

According to Yin (1993: 3) a case study method can include several case studies and multiple sources of evidence, such as documents, interviews and observations. Since this study is concerned with a management and administration phenomenon, it was deemed appropriate and logical to adopt a case study approach. Two issues are being considered in this study; namely, monitoring and evaluation of performance in a national department: the SAPS.

Polit and Hungler in Key (1997) states that case studies are detailed investigations of individuals, groups, institutions or other social units; the researcher conducting a case study attempts to analyze the variables relevant to the subject under study. The principal difference between case studies and other research studies is that the focus of attention is the individual case and not the whole population of cases. Most studies search for what is common and pervasive. However, in the case study, the focus may not be on generalization but on understanding the particulars of that case in its complexity. Moreover, Stake in Key (1997) indicates that a case study focuses on a bounded system, usually under natural conditions, so that the system can be understood in its own habitat.



Anderson (1993: 152–160) views case studies as being concerned with how and why things happen, allowing the investigation of contextual realities and the differences between what was planned and what actually occurred. He further explains that the case study is not intended as a study of the entire organization; rather it focuses on a particular issue, feature or unit of analysis.

Monitoring and evaluation of performance by government, is examined in this research, hence a case study method was chosen. This method enabled the researcher to fully understand the complex real life activities in which the various sources of evidence were used. Patton (1987: 18–20) states that case studies become particularly useful where one needs to understand some particular problem or situation in great depth and where one can identify cases rich in information.

Stated hereunder are some of the advantages of using the case study approach:

- 1) Enables the researcher to gain a holistic view of a certain phenomenon or series of events (Gummesson, 1991:90) – provides a round picture since many sources of evidence were used; and
- 2) Proves useful in capturing the emergent and immanent properties of life in organizations and the ebb and flow of organizational activity, especially where it is changing rapidly (Hartley, 1994:210).



#### **TARGET POPULATION (SAMPLE)**

Castillo (2009) states that a research population is generally a large collection of individuals or objects that is the main focus of a scientific query; further it is for the benefit of the population that researches are done. However, due to the large sizes of populations, researchers often cannot test every individual in the population because it is too expensive and time consuming; hence researchers use samples of the population. Castillo (2009) further defines a sample simply as a subset of the population; the concept of sample arises from the inability of the researchers to test all the individuals in a given population. The sample, however, must be representative of the population from which it was drawn, because this provides validity and reliability in the research.

The main function of the sample is to allow the researchers to conduct the study of individuals from the population so that the results of their study can be used to derive conclusions that will apply to the entire population. It is much like a give – and – take process; the population “gives” the sample, and then it “takes” the conclusions from the results obtained from the sample Castillo (2009). Retrieved (2011 – 04 – 01) from Experiment Resources: <http://www.experiment-resources.com/research-population.html>.

The boundaries of this study include the geographical location of South Africa, with the time limitation to 2010. The particular setting of this study is the South African Police Service. An initial examination of the South African Government’s Wide Monitoring and Evaluation System from a broader perspective is presented, where after a tighter focus was made on the South African Police Service. The sample thus comprised only the South African Police Service.

#### **DATA AND INFORMATION COLLECTION**

Data and information were gathered using several methods. Firstly, discussions and semi structured open interviews were conducted as a source of data collection. The case study, the South African Police Service was selected to indicate how monitoring and evaluation of performance is conducted on a practical level. Officials attached to the Senior Management Service (SMS), were approached to provide feedback in this regard. Robson (1993) defines interviews as a kind of conversation, with a purpose and a

flexible and adaptable way of findings things out. The interviews were free – range conversations and discussions using closed and open-ended questions. Semi structured interviews are more flexible than structured interviews thus allowing the interviewer to adapt an interview for specific situations.

Secondly, the researcher observed phenomena of interest in the environment and was able to draw information which was not obtainable from other methods. The researcher, who is a senior officer in the South African Police Service made significant observations at strategic meetings. What had been observed by the researcher, related to performance measurement exercises that were conducted regularly within the organization. Observation generated insight and better understanding on the phenomenon being investigated.

Finally, the collection of documents and information were important to supplement as well as to compensate for the limitations of other methods. Documentary evidence acts as a method to cross validate information gathered from the interviews and the observations made, given that sometimes what people say maybe different from what people do. Data and information were collected from the organizations' resource center, libraries of various universities, Internet websites, printed materials, journals, text books, conference reports, articles, training manuals and legislation for the purpose of the research study. The corroboration of multiple qualitative techniques for this case study research is triangulation, which enhances the validity and reliability of the findings.

## DATA ANALYSIS, REPORTING AND VALIDATION

### *Data analysis and reporting*

Data analysis is a body of methods that help to describe facts, detect patterns, develop explanations, and test hypotheses; it is used in all sciences, including business, administration, and in policy (Levine, 1996: 1). Data analysis in qualitative research is best conducted through the reduction of accumulated data to a manageable size to allow summarizing, comparing and synthesizing in order to interpret the results in relation to the research problem (Naidoo, 2005: 53).



The data and information has been collected from the organizations' resource center, libraries of various universities, Internet websites, printed materials, journals, text books, conference reports, articles, training manuals and relevant legislation. The presentation of the data has been collated in various forms, e.g. tabular, graphical and statements, to enhance comparability and simplicity.

### *Validity*

Most of the data collected presents hard, rigorous, credible and scientific information, as it is gathered from official publications and reports from the government agencies. Wolcott (1990) offers some key tips in maintaining the validity of qualitative research.

- 1) *Be a listener.* The subject(s) of qualitative research should provide the majority of the research input. It is the researcher's task to properly interpret the responses of the subject(s);
- 2) *Record accurately.* All records should be maintained in the form of detailed notes or electronic recordings. These records should also be developed during, rather than after, the data gathering session;
- 3) *Initiate writing early.* It is suggested that the researcher make a rough draft of the study before ever going into the field to collect data. This allows a record to be made when needed. The researcher is more prepared now to focus the data gathering phase on that information that will meet the specific identified needs of the project;
- 4) *Include the primary data in the final report.* The inclusion of primary data in the final report allows the reader to see exactly the basis upon which the researcher's conclusions were made. In short, it is better to include too much detail than too little;
- 5) *Include all data in the final report.* The researcher should not leave out pieces of information from the final report because she/he cannot interpret that data. In these cases, the reader should be allowed to develop his/her conclusions;

- 6) *Be candid.* The researcher should not spend too much time attempting to keep her/his own feelings and personal reactions out of the study. If there is relevance in the researcher's feelings to the matter at hand, these feelings should be revealed;
- 7) *Seek feedback.* The researcher should allow others to critique the research manuscript following the developmental process. Professional colleagues and research subjects should be included in this process to ensure that information is reported accurately and completely; and
- 8) *Attempt to achieve balance.* The researcher should attempt to achieve a balance between perceived importance and actual importance. Often, the information reveals a difference in anticipated and real areas of study significance.

University of Fort Hare  
*Together in Excellence*

The researcher was constantly guided throughout the study by the tips provided by Wolcott (1990), to ensure the validity and reliability of the findings. The corroboration of multiple qualitative techniques for this case study research, i.e. triangulation enhances the validity and reliability of the findings.

#### **SCOPE AND LIMITATION OF STUDY**

The researcher had selected the South African Police Service within which the case study was conducted; bearing in mind, ethical considerations at all times. The interest of the department was maintained during the study. Although, a

single public service department was selected, the benefits of the research will accrue to the public sector as a whole.

With due consideration to time and financial resources, the study did not expansively cover the topic. The researcher limited the time frame of the case study to the 2009/2010 financial year.

## **SIGNIFICANCE OF THE STUDY**

The objectives of this study are:



University of Fort Hare  
*Together in Excellence*

- 1) To provide a broad overview of service delivery by government in South Africa, as a context within which to understand the issue of monitoring and evaluation of performance;
- 2) To discuss monitoring and evaluation approaches, by the governments of Mexico and Spain, that have been successfully adopted within an institutional or community context;
- 3) To critically analyze the current status of monitoring and evaluation of performance in South Africa by focusing on the experiences of the national department: The South African Police Service; and
- 4) To make recommendations for a range of strategies on performance improvement related mechanisms that can be used to improve accountability and sustainable public service delivery. Mapping the proposed strategies would allow departments to perceive their desired

mission prior to implementation and ask what factors are most critical for the strategies to succeed.

Upon completion of the research, the recommendations will benefit many spheres, namely:

- 1) The Management of the South African Police Service in assisting future policy decisions that is directed towards service delivery;
- 2) The Chief Financial Officer of the SAPS in aligning the budget allocations to the strategic priorities of the department;
- 3) All key managers and budget controllers of the SAPS in realizing their contribution towards service delivery; and
- 4) Public service departments in South Africa and other developing countries may study the findings and recommendations in this study, to find its applicability and relevance.

It is hoped that the recommendations presented in this study for improving the current performance monitoring and evaluation system in the South African government sector will promote sustainable service delivery to all its citizens.

## SUMMARY

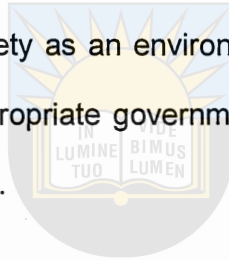
This chapter has clearly detailed the research methodology to be followed and provided a reasoning why the particular methodology was chosen. The case study approach was deemed most appropriate for the purpose of this study. The sample was defined. The data and information collection methods were listed, followed by the data analysis and reporting. The quest to maintain validity by adhering to sound advice provided in this chapter is explained. The scope and limitations were explained given the research problem and other constraints. The chapter concludes by highlighting the significance and benefits of such research studies being undertaken.

Prior to the examination of performance monitoring and evaluation approaches in Spain, Mexico and South Africa, it is critical to provide a conceptual framework of the study, by examining the relationships between public administration, monitoring and evaluation and service delivery. When dealing with the issue of public administration, a focus will also be made on the financial and performance management in the public sector. Chapter three will comprehensively address these issues.

# CHAPTER 3: CONCEPTUAL FRAMEWORK OF THE STUDY: RELATIONSHIPS BETWEEN PUBLIC ADMINISTRATION (Financial & Performance Management), MONITORING & EVALUATION AND SERVICE DELIVERY

## INTRODUCTION

Administration in Latin means 'to serve'. Fox, Schwella and Wissink (1991: 2) defined public administration as that system of structures and processes, operating within a particular society as an environment, with the objective of facilitating the formulation of appropriate government policy and the efficient execution of the formulated policy.



In view of this definition, the implementation of government policies (government services) to the citizenry is carried out by the public service; hence it is fair to say that public administration is primarily the study of the public service. To ensure that services are rendered in a sustainable manner, sound financial management and performance management practices must be implemented. Performance monitoring and evaluation of services, in hindsight, is paramount to this phenomenon of sustainability.

During the execution of public administration, which is the carrying out of various processes, environmental influences interact continuously to affect the outcomes of these processes and functions. The outcomes, in the form of policies, enable public management to take place, which implies the execution

of different processes during which environmental influences interact continuously to affect the managerial outcomes. The outcomes of both public administration and public management are aimed at service delivery and the improvement of the general welfare of the people. Within the context of this study, it is imperative that a lucid understanding of public administration and management is presented.

This chapter commences with defining public administration and management along with a brief history and its evolution. This provides a foundation to examine its existence as an academic discipline and an activity. A brief comparison between the public and private sector administration follows. The chapter proceeds to examine financial management in the public sector. It was important to provide for this background since the monitoring and evaluation of the budget directly impacts an institution's performance; this will become clear during the case study analysis. Performance management, which is a control measure implemented by institutions, is then explained because control is a generic function of public administration. An overview of monitoring and evaluation and specifically the 'outcomes approach' in South Africa is thereafter considered. The chapter concludes with a discussion of the relationship between public administration, monitoring and evaluation and service delivery.

## PUBLIC ADMINISTRATION

According to Cloete (1980:3), public administration refers to the administrative processes that must be carried out together with other actions undertaken by government institutions and public officials. Further, he stated that public administration only refers to those processes and actions executed by government executive institutions, excluding legislative procedures and the procedures executed by courts of law. At this stage, the author does mention management in his explanation of public administration, as he probably considered it to be included in the concept of public administration. Cloete (1996: 236–237) confirms this when he considers the public management processes as merely a continuation of the practice of public administration.

Fox, Schwella and Wissink (1991: 12) defined public administration as that system of structures and processes, operating within a particular society as environment, with the objective of facilitating the formulation of appropriate government policy and the efficient execution of the formulated policy. In this definition, the concept of public management was not defined. However, Fox, *et al*, (1991: 14) provided a public management model, which defined the functions of a public manager, namely: make policy, plan, organize, lead and motivate, and control and evaluate, apart from theoretical knowledge, apply certain management skills in the execution of management functions, apply appropriate applications such as strategic management and policy analysis to assist in the task of managing and make use of supportive technology and techniques. Du Toit and Van der Waldt (1999: 12) stated that public

management is a continuing activity that is made possible by public administration.

### **The History and Evolution of Public Administration and Management**

In 1887, Woodrow Wilson dealt with the study of administration. He defined administration as government in action; an executive operation, and the most visible side of government. In the historical development of public administration, there were four phases, namely, separation from politics (1900-1926), scientific management (1927-1937), identity crisis (1938-1970) and synthesis (1970-1987). Separation from politics (pioneered by Wilson, Goodnow and White), was a locus driven movement, advocating that public administration is found in executive institutions. Scientific management (pioneered by Taylor, Gulick and Urwick) was a focus driven movement which focused on the universally applicable functions of administration. Identity crisis (pioneered by Barnard, Von Morstein-Marx and Waldo) was a locus driven movement advocating that public administration should return to political science.

Syntheses was both a locus and focus driven movement, explaining how and why public activities take place, thus stating that public administration cannot be divorced from political science. In 1967, Cloete advanced the development of public administration in South Africa by creating a rational analytical framework, detailing the generic administrative approach to public administration and the integration between organizational and behavioral

sciences. This was followed by the New Public Management Theory (pioneered by Lane in 2000), which advocated the following: the separation of partisan politics from public administration; cultivation of civic duty among citizen and official is irrelevant; very client and customer driven movement; uses economic market model for political and administrative relationships; distortion of human nature – radical individualism not sustainable; encouraging administrators to become entrepreneurs – more likely to make decisions based on own personal agenda and not common good.

Du Toit and Van der Waldt (1999: 17) stated that public administration as an activity had definite origins, which stems from the needs of the people. There is reasonable certainty that people's first needs were the satisfaction of their survival needs, for example food, water and shelter. They further added that the people's need for increased services and the need for better distribution of services contributed to the development of the activities of public administration and public management. People's needs arise with the formation and growth of communities. As a result of this, the activities of public administration and public management must have emerged spontaneously. In satisfying the needs, not wants or desires, government institutions have to carry out numerous functions to ensure that satisfactory service delivery takes place. To achieve this, certain actions must be taken. These actions are important requirements of public administration and public management.

## Public Administration and Management as an academic discipline

Public Administration and Management originated as an academic discipline after it was practiced as an activity (Du Toit, et al 2001:17). According to Botes, et al (1998:258) the discipline originates from the practical environment within which public officials function. Further, Public Administration as a discipline is the result of the observations made by academics in the field of public administration and management. Public Administration and Management are capitalised to distinguish them as academic disciplines from public administration and management as activities (Du Toit, et al 2001:17).

Botes, et al (2006: section 3) states that in an academic context, it can be assumed that:

- 1) Public Administration is a science, because there exists a corpus of knowledge, which has repeatedly been proven to be valid, can be analysed systematically and contains aspects of universal applicability;
- 2) Public Administration is an academic discipline which can be dissected in systematic steps of study and research;
- 3) Public Administration is a university subject which enjoys universal acknowledgement and status; and
- 4) Public Administration finds a field of application in the public administration.

In light of these arguments regarding Public Administration which finds its application in public administration (the activity), we can proceed to define the purpose of public administration in a modern state. Every institution or organization must have a purpose. Without having such a purpose, the organisation would have no right to exist. Further, the purpose of any institution is to achieve the objectives that the institution has set for itself (Du Toit, et al 2001: 23-24).

### *Achievement of objectives*

The activity of public administration and consequently public management is the work public officials do to enable government institutions to achieve their objectives (Du Toit and Van der Waldt 1999:9). In the case of government institutions, like the SAPS, the achievement of its objectives is chiefly to improve the general welfare of society. Government departments are involved in addressing varying needs of the citizens in any state. Government organizations achieve their departmental objectives of improving the lives of the citizenry, when they successfully deliver the services, as set out initially.

## **Public Administration and Management as an Activity**

### *Public administration as an activity*

The activity of public administration is a process that lies in the execution of several administrative functions. Cloete (1998: 85) classified these administrative functions into four distinct classes, namely, conceptual and directive functions, auxiliary functions, instrumental functions and line functions.



### **Conceptual and directive functions**

Cloete (1998: 214) defines the conceptual and directive functions as the processes that facilitate or enable the execution of various functions. There are enabling administrative processes, namely:

- 1) Policy determination – involves consultation with the public, i.e., public participation, where their interest is taken into account together with the political environment. Further, it involves reconciling conflicting ideas and beliefs. Policy involves: consultation, legitimacy (policy can be legitimized through an act of parliament – green paper is a draft and white paper is final, this is after public scrutiny).
  
- 2) Organisation – involves the structural arrangement of an organisation to ensure it achieves the set targets and objectives. The 1996

Constitution clearly states that government in South Africa is constituted as national, provincial and local spheres of government. These three spheres are distinctive, interdependent and interrelated.

- 3) Financing – include drawing up of budgets; this could be seen as a determining factor in policy formulation.
- 4) Provision and utilization of personnel – This function is legislated by the Public Service Act of 1994. Training, recruitment, selection and placement processes involve staffing. Employment equity must be taken into account. The service must be rendered in the language of the citizens' preference.
- 5) Determination of work procedures and methods – Provides a mechanism through which to establish whether an official has carried out a function in a justifiable manner. Further, it enables a supervisor or parliament or a court of law to determine whether the actions comply with the guidelines of public administration (e.g., unbiased, fairness and reasonableness).
- 6) Control – Consists of checking and accountability. Political office bearers and officials must render account for their action.

7) Management – this function includes the policy implementation, organising, staffing, financing, determining work methods and controlling.

Cloete (1998: 86) further explains the remaining three classes of administrative functions, namely: auxiliary, instrumental and line functions:

### **Auxiliary functions**

Auxiliary functions can be described as those functions that support other functions that are being performed. They include processes such as data processing, and undertaking research about the possible consequences of a decision. Other examples include the setting up of an information system.

University of Fort Hare  
*Together in Excellence*

### **Instrumental functions**

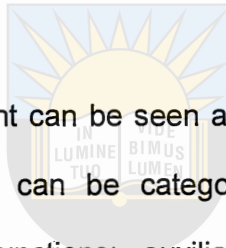
Instrumental functions can be described as processes instrumental to the execution of the generic administrative, auxiliary and line functions. For example, to make decisions, to communicate, to provide stationery and to arrange transport for an official to conduct his work. Decision making is important in all other processes. For example in policing making or financing, decisions must be made.

## **Line functions**

Line functions are a result of carrying out the enabling, auxiliary and instrumental function, which provides for the framework within which government institutions and public servants must fulfill their responsibilities, i.e., the line functions. Legislation provides the framework and boundary within which government institutions and officials may function.

### *Public management as an activity*

As an activity, public management can be seen as the execution of different categories of processes, which can be categorized as follows: delivery (managerial and operational) functions; auxiliary functions; instrumental functions and line functions.



University of Fort Hare  
*Together in Excellence*

## **Delivery functions**

Cloete (1998: 230) enumerated the following delivery functions of any organisation:

- 1) policy implementation;
- 2) organizing;
- 3) staffing;
- 4) financing;
- 5) determining work methods and procedures; and
- 6) controlling.

These functions are quite similar to the enabling processes in the conceptual and directive functions, under public administration. The difference is that the conceptual and directive functions facilitate the delivery functions. Fox, *et al*, (1991: 17) stated that although public management is part of public administration, public management is the skill to convert resources into services and products.

### **Auxiliary functions**

In public management, the auxiliary or support function are essentially the same as those on the public administration level. These include: conducting public relations; constructing and maintaining a management information system; and conducting research to use as an aid in decision making (Cloete, 1998: 231).



### **Instrumental functions**

Instrumental functions are the same on both management and public administration levels. These include the following: provision of stationery, furniture, offices, transport, etc. to be used in the effective achievement of institutional objectives, decision making and communicating and negotiating.

### **Line functions**

Line functions involve the work associated with occupations and professions. Cloete (1998: 233) lists examples of typical line functions: building of roads,

providing health services; transporting goods; education; foreign affairs or library services.

### **Private sector management versus Public sector management**

On the surface it may appear that management in the public sector and management in private sector are the same. Although there are similarities, for example, the generic management processes executed by both the public and private sectors, there are considerable differences between the two concepts. Du Toit and Van der Waldt (1999: 44) identified the following issues:



- 1) A service motive against a profit motive;
- 2) Transparency as opposed to obscurity;
- 3) Measurability of success; and
- 4) Origin.

Du Toit and Van der Walt (1999: 38) further explain that in terms of motive, public sector delivers services to improve the general welfare of all people and to provide a better quality of life for all, conversely, private enterprises deliver services with the primary purpose of making a profit on their investments. It is easier to measure success in the private sector, as compared to measuring success or quality of services in the public sector. The differences between management in the public sector and management in private sector can also be traced to their different origins. As public management originates from

politics, so public management stems from public administration, and thus has its origins in politics as well.

### *Private sector management*

Management in the private sector entails a process that is aimed at accomplishing the company's goals and objectives, which is driven by profit maximization. Smit, Cronje, et al (2007: 15) states that there are specialized areas of management that are identified according to various functions of an organisation. It has been identified as follows:

- 1) Planning – the purpose of any profit – seeking organisation is to realize an above – average return for its shareholders. Therefore, the object of every plan by managers in these organisations is therefore to facilitate the attainment of this purpose.
- 2) Organising – organising is the process of creating a structure for the organisation that will enable its people to work effectively towards its vision, mission and goals.
- 3) Leading – leading and directing the employees of an organisation towards its goals requires a complicated management activity, namely leadership. Leadership is the process of directing the behaviour of others toward the accomplishment of the organisation's goal.

- 4) Control – organisations utilize control measures and procedures to ensure that they are progressing towards their goals and that their resources are being used efficiently. Control therefore implies that the behaviour of individuals can be influenced in the course of activities and events; to ensure that things go according to plan.

Effective private sector management, being driven by profit maximization, allows any organisation to achieve its performance standards and targets, through all of its enabling processes and structures.

*Public sector administration*



Public administration implies the execution of different processes during which environmental influences interact continuously to affect the managerial outcomes. The outcomes of both public administration and public management are aimed at service delivery and the improvement of the general welfare of the people.

## SUMMARY

The research study deals with performance monitoring and evaluation of government programmes and activities, with a view to enhance sustainable service delivery to the citizenry. Public administration, which refers to those processes and actions executed by government (Cloete, 1980: 3), must be clearly understood, as this forms the solid foundation to the study.

Public administration, which gives rise to public management are examined as an academic discipline and an activity to highlight its relevance to the study.

Finally, the examination of private sector management provides the study impetus for government to adopt similar stances on performance monitoring and evaluation. Effective private sector management, being driven by profit maximization, allows any organisation to achieve its performance standards and targets, through all of its enabling processes and structures.

Financial and performance management in the public service are functions that are conducted by government officials to ensure that the plans of government materialize and that it is realized timely and responsively. The two mentioned functions are considered closely in the case study. The following section will deal with financial management followed by performance management.

## FINANCIAL MANAGEMENT

### Introduction

The South African government has prioritized the transformation of the public sector to enable it to meet the needs of the people and the objectives of the Reconstruction and Development Programme (RDP). In light of the enormous demand for services and the limited resources available to satisfy that demand, government had resolved that the overall available resources must be used as effectively, economically, efficiently and transparently as possible.

Government has further determined to modernize the management of the public sector, to make it more people friendly and sensitive to the communities it serves; the Batho Pele principles were introduced in this regard, which means 'people first'.

Budgetary and financial reforms were initiated soon after the 1994 elections. The first phase of reforms began with the introduction of a new intergovernmental system, which required all three spheres to develop and adopt their own budgets (decentralized budgeting). This was complemented by a system of significant transfers to provinces and municipalities. In addition, multi-year budgeting through the Medium Term Expenditure Framework (MTEF) was introduced in 1997/98 to replace the one-year incremental system; this will be explicated in the following section. The final elements in this phase of reforms were to deepen the budget process and

better align policy, planning and budgeting. The adoption and implementation of the Public Finance Management Act of 1999 (Act No. 1 of 1999) as amended by Act 29 of 1999 (hereinafter referred to as the 1999 PFMA) indicated the second phase of the programme of reforms, whose objective was to modernize financial management and enhance accountability. In the public sector, financial management focuses on transparency, prioritization of scarce resources and value for money, i.e., providing the best possible services with the available resources.

This section of the study proceeds to examine the meaning of responsible financial management, followed by an in-depth look at the 1999 PFMA, which is the governing legislation of financial management practice in the public service. A sharp focus is then made on government budgeting in South Africa which covers the areas of: primary sources of a budget, the importance of monitoring budgets, the role – players in the budgeting process, the MTEF, the budget cycle and the key factors that reflect a government's budget performance. Some concluding remarks by the researcher are finally made.

### **Responsible Financial Management**

Sound financial management practice in a democratic society like South Africa, leads to responsible financial management, accountability and transparency. This allows the state and the citizenry to constantly monitor the performance of organizations, as results will be made easily available for scrutiny. Responsible financial management, in respect of good governance

in organizations is imperative as it affects institutional performance eventually. Good governance means competent management of a country's resources and affairs in a manner that is open, transparent, accountable, equitable and responsive to the people's needs (AusAID, 2000: 2).

The Australian Agency for International Development (AusAID) identified the following key elements of good governance (2000: 3):

- 1) Good governance requires policies to promote broad-based economic growth, a dynamic private sector and social policies that will lead to poverty reduction. Economic growth is best achieved in an efficient, open, market-based economy;
- 2) Investment in people is a high priority, through policies and institutions that improve access to quality education, health and other services that underpin a country's human resource base;
- 3) Effective institutions and good corporate governance are needed to support the development of a competitive private sector. In particular, for markets to function, social norms are needed that respect contract and property rights; and
- 4) Careful management of the national economy is vital in order to maximize economic and social advancement.

Further, it is worthwhile to draw a parallel between financial management in the public and private sectors. In the private sector, financial management focuses on the examination of alternative sources of finance, the effective utilization of such finance, and cohesion between financial and utilization decisions; on the contrary, financial management in the public sector center's on the prioritization and use of scarce resources, on ensuring effective 'stewardship' over public money and assets, and on achieving value for money in meeting the objectives of government, i.e., rendering the best possible services. This must be done transparently and in terms of all relevant legislation. However, public sector organizations can learn from the private sector, where the success and survival of an organization depend on its financial results. This is not to suggest that the public sector should pursue profits, but rather to acknowledge that public spending is an investment made by taxpayers, which should therefore be managed optimally.

### **Legislation governing financial management in the public sector**

The 1999 PFMA is one of the most important pieces of legislation passed by the first democratic government in South Africa. The Act promotes the objective of good financial management in order to maximize service delivery through the effective and efficient use of the limited resources.

The key objectives of the Act may be summarized as follows:

- 1) Modernize the system of financial management in the public sector;

- 2) Enable public sector managers to manage, but at the same time be held more accountable;
- 3) Ensure the timely provision of quality information; and
- 4) Eliminate the waste and corruption in the use of public assets.

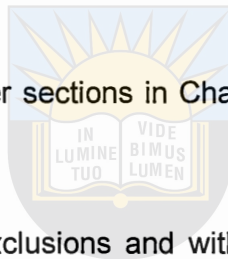
The Act, which came into effect on 1 April 2000, gives effect to sections 213 and 215 to 219 of The 1996 Constitution for the national and provincial spheres of government. The PFMA adopts an approach to financial management, which focuses on outputs and responsibilities rather than the rule driven approach of the previous Exchequer Acts. The Act is part of a broader strategy on improving financial management in the public sector.

## University of Fort Hare

Ramos (2000: 2), in her capacity as the Director – General of the National Treasury of South Africa stated that the 1999 PFMA is a key element in a set of reforms to the management of government finances. She further expressed that the implementation of the 1999 PFMA in the year 2000 represented a major challenge for the public sector, as its successful implementation required change in the work methodologies of all stakeholders concerned. Change is always not an easy issue to deal with especially at senior management levels, where personal ideologies are predominant.

The 1999 PFMA gives effect to section 216(1) of the 1996 Constitution. This requires national legislation to "establish a national treasury and prescribes measures to ensure transparency and expenditure control in each sphere of government, by introducing:

- 1) generally recognized accounting practice;
- 2) uniform expenditure classifications; and
- 3) uniform treasury norms and standards".



The Act also gives effect to other sections in Chapter 13 of the Constitution, 1996. These sections are:

- 1) Section 213 that limits exclusions and withdrawals from the National Revenue Fund through an Act of Parliament;
- 2) Section 215 which notes that budgets and the budgetary process "must promote transparency, accountability and the effective financial management of the economy, debt and the public sector" and for national legislation to "prescribe" budget formats for all the spheres of government;
- 3) Section 217 on procurement to be "in accordance with a system which is fair, equitable, transparent, competitive and cost-effective;
- 4) Section 218 on the conditions for the issue of guarantees by a government in any sphere;

- 5) Section 226 that limits an exclusion from a provincial revenue fund through an Act of Parliament; and
- 6) Sections 100 and 216 on intervention by the national government when an organ fails to perform an executive function related to financial management, and circumstances under which funds may be withheld.

### *Structure of the 1999 PFMA*

The 1999 PFMA comprises twelve (12) chapters which comprehensively deals with financial management issues within the national and provincial government. The National Treasury (2000: 79 - 80) provides the summary of the chapters as follows:

**Chapter 1 – Interpretation, objective, application and amendment of the Act (sections 1–4):** This chapter deals with definitions, the objectives of the PFMA, the departments to which it applies and a procedure for amending the Act. The PFMA applies to national and provincial departments, and to the entities under their control. The definitions of ownership control, national government business enterprise and public entity determine which entities fall under the control of a national or provincial executive authority.

**Chapter 2 – National Treasury and National Revenue Fund (NRF): (sections 5–16):** This chapter establishes the National Treasury and deals with its composition, functions, powers and responsibilities. It gives effect to section 213 of the Constitution on the management of the NRF, any exclusion to

depositing money received, and the authorization required before any money can be withdrawn from the NRF.

**Chapter 3 – Provincial treasuries and provincial revenue funds (sections 17 – 25):** It establishes provincial treasuries and deals with their composition, powers and functions, and the management of provincial revenue funds (PRF).

**Chapter 4 – National and provincial budgets (sections 26–35):** It gives effect to section 215 of the Constitution on the timing and content of national and provincial budgets, and sets out the reporting requirements for transparency in the implementation of a budget. It introduces the concept of measures and objectives, and deals with the authorization of unauthorized expenditure.

University of Fort Hare  
*Together in Excellence*

**Chapter 5 – Departments and constitutional institutions (sections 36–45):** This chapter ensures that constitutional institutions and national and provincial departments appoint accounting officers, and spells out their responsibilities. It also addresses the shifting of funds between programmes and the responsibilities of other officials.

**Chapter 6 – Public entities (sections 46–62):** All public entities are to be listed in terms of the PFMA. The chapter outlines the fiduciary and other responsibilities of the controlling bodies. Furthermore, it assigns certain responsibilities to the accounting officer of the department, as designated by the executive authority responsible for the public entity.

**Chapter 7 – Executive authorities (sections 63–65):** Executive authorities are defined as Ministers or MECs responsible for a department. This chapter deals with the responsibilities of the executive authorities of departments.

**Chapter 8 – Loans, guarantees and other commitments (sections 66–75):** This chapter outlines general principles on borrowing and the issuing of guarantees. It gives effect to section 218 of the Constitution on the issuing of guarantees.

**Chapter 9 – General Treasury matters (sections 76–80):** It lists areas over which the National Treasury is empowered to issue uniform norms and standards, and deals with the composition of audit committees.

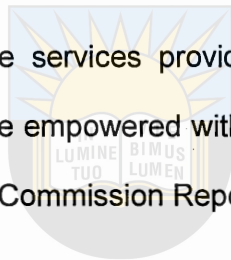
**Chapter 10 – Financial misconduct (sections 81–86):** It defines financial misconduct and lays down the procedures for disciplining public officials guilty of financial misconduct. It also includes provisions for criminal prosecution in cases of gross financial misconduct.

**Section 11 – Accounting Standards Board (sections 87–91):** An Accounting Standards Board (ASB) is to be established to set accounting standards for the public sector. The chapter also deals with the composition, powers and functions of the Board.

**Chapter 12 – Miscellaneous (sections 92–95):** It deals with sundry matters, including exemptions and transitional provisions.

Finally, the 1999 PFMA seeks to foster accountability and transparency in the management of financial resources; these features are the central tenets of any country's constitutional democracy. This is key in the South African context, as this also marks a sharp break with the apartheid era.

The Public Service Commission noted in its report on the 'State of the Public Service' that it is essential that the public service open its activities and conduct to the public in order to empower it to exercise its rights fully. The absence of timely and accurate information can severely handicap the ability of the public to benefit from the services provided by the public service. Correctly so, the citizenry must be empowered with such information to make informed choices (Public Service Commission Report 2006: 60).



University of Fort Hare  
*Together in Excellence*

### **Budgeting**

For any organization to manage its finances effectively, financial plans detailing policy priorities, targets and objectives must be compiled prior to the commencement of the financial year. These financial plans or otherwise stated as a budget must be compiled timely, to ensure that the financial activities take place smoothly. In the absence of effective budgeting, an organisation may not meet performance standards, thus leading government not to fulfill its mandate. Simply stated, a budget is a quantified, planned course of action over a definitive time period. Further, it is an attempt to estimate inputs and the costs of inputs along with estimated outputs and revenues from the outputs.

The creation of a budget is critical since it:

- 1) Forces an organization to carefully consider the expected demand for its products and services and resources that will be required to meet this demand;
  - 2) Translates the organisation's higher priorities into the appropriate resources required to achieve those priorities;
  - 3) Potential problems are highlighted early enough, so that appropriate corrective action can be taken; and
  - 4) Creates a baseline against which actual results can be compared
- Retrieved (2007 – 11 – 01) from the Department of Defence, United States. <http://www.defenselink.mil/budgets.html>

A government budget is a document that sets out how a government in power in a particular country proposes to collect and spend money. Streak (2003:7) states that the proposals contained in a government budget include:

- 1) Policy priorities of the government of the day;
- 2) Fiscal targets of the government; and
- 3) Objectives and aspirations of the government.

In a democratic society, the citizens provide a mandate to government through their votes, to manage their monies, ensuring that they receive essential services and that their basic human rights are upheld. According to the law of economics, "the limited resources are always met by the unlimited needs of mankind" and this is much a reality for government. It is true that

government is faced with the boundless array of needs to be met through public expenditure, and as such must continuously incorporate trade-offs between different spending priorities. The government budget therefore is not just a mere technical document; it is a powerful political instrument of government.

### **Primary sources of a budget**

The National Treasury of South Africa (NT) identifies three (3) primary inputs to a typical budgeting process, namely:

*Plans* – an organization's plans and priorities should be an important driver to the budgeting process. In government departments, a strategic plan which normally details the organisation's strategic direction over a five year period reflects management's planned activities, related costs and desired results (NT 2007: 14).

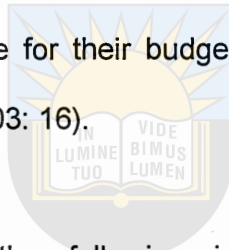
*Performance* – the past and current performance of an organization contributes largely to the budgeting process. Due consideration must also be given to external factors that could drastically effect the operations. Examples of such interventions include: rising energy costs, natural disasters, technological advancements / shifts and foreign threats (NT 2007:14); and

*People* – effective intra- and inter organizational communications are essential in the development of both good plans and good budgets. The higher the

quality of input, information and thought by the personnel, the more likely a more realistic budget will ensue (NT 2007: 15).

### **Importance of monitoring government budgets**

In any democratic society, there exists an obligation or responsibility on the side of government to render account on how the money of the citizenry was spent. This becomes a protocol as the citizens elect the government of the day as their representatives. It is only with this knowledge that the elected officials can be held accountable for their budget planning, allocations and policy implementation (Streak 2003: 16).



Streak (2003: 17) identifies the following importance for monitoring governmental budgets:

University of Fort Hare  
*Together in Excellence*

- 1) Makes it more conducive to better decision making; and
- 2) Provides a forum for purposeful and concrete engagement between the executive, the legislatures and civil society around critical choices and outcomes.

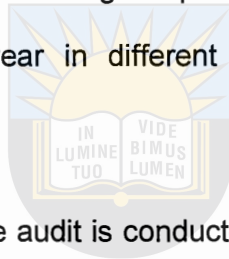
The monitoring of the budget will be elucidated in greater detail in chapter five, where the case study is conducted. The importance of monitoring governmental budgets as mentioned *supra*, will be examined against the monitoring mechanisms that exist in the SAPS; further, the effects that monitoring has on performance will be also be considered.

## Role players in budgeting processes

There are various role players typically involved at different stages of the budget process. Streak (2003) identifies the role players that are involved at different stages of the budget process, as follows:

- 1) **Budget draft or formulation stage** – this takes place largely within the executive branch of the state. This part of the process is usually managed and co-ordinated by a specific office, which is typically the budget office in the ministry of finance. The drafting stage often involves balancing the needs and proposals derived from various government departments against the priorities set by political office-bearers and fiscal advisors (Streak 2003: 31).
- 2) **Enactment of the budget** – gives the legislature the opportunity to debate and ultimately approve the budget. This part of the process usually begins with the executive formally proposing the budget to the legislature. The legislature then discusses the budget, often including intensive work in legislative committees. In some countries, this phase involves public hearings where members of civil society can give input on the budget proposals. It is typically during the budget enactment stage that public attention on the budget is greatest and information about the budget is disseminated by the media (Streak 2003: 34).
- 3) **Implementation of the budget and monitoring of spending** – The key role players during this stage therefore include departmental

officials and service providers responsible for programme implementation. Governments differ widely in how they regulate and monitor spending to ensure adherence to budgets. In some cases, the treasury (or finance ministry) exercises strong central control over spending, reviewing allocations to departments and approving major expenditures. Where departments are more independent, treasuries will monitor expenditures by requiring, for instance, regular reporting by each department on its spending. In most countries, the executive (led by the finance ministry) issues regular public reports on the status of expenditure during the year in different programmes and sectors (Streak 2003: 36).

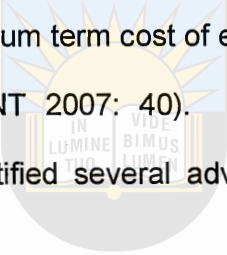


- 4) **Budget assessment** – the audit is conducted to establish whether the budget has been implemented as planned and whether funds have been used effectively. Ideally during this stage, the executive branch reports extensively on its fiscal activities to the legislature and to the public. In addition, the implementation of the budget is reviewed by an established, independent and professional body, such as an audit institution or an Auditor General (Streak 2003: 38).

The assessment stage of the budget process will be examined in greater detail in chapter five, with a sharp focus on whether the SAPS have utilized funds on items of expenditure as planned at the commencement of the financial year.

## South African Budgeting System – Medium Term Expenditure Framework (MTEF)

The year 1998 marked the adoption of a rolling budget system in South Africa. This system was called the Medium Term Expenditure Framework (MTEF). It allows the government to plan its spending over a three-year horizon in line with its medium term policy priorities (IDASA 2003: 34). The MTEF budget process is designed to match the overall resource envelope estimated through ‘top – down’ macroeconomic and fiscal policy processes with the ‘bottom – up’ estimation of the current and medium term cost of existing departmental plans and expenditure programmes (NT 2007: 40). In 1998, the Presidential Review Commission (PRC) identified several advantages of the MTEF as follows:

- 
- University of Fort Hare  
*Together in Excellence*
- 1) Permits policy development to be linked with resources over time;
  - 2) Creates a predictable medium term planning environment;
  - 3) Provides a framework for assessing priorities; and
  - 4) Promotes the credibility of the fiscal strategy, by making explicit assumptions on which projections and prioritization are based.

The MTEF is normally made public annually on Budget Day by the Minister of Finance and contains the following elements:

- 1) **A medium – term fiscal framework** – this provides an overview of how the South African economy is expected to perform over the next

three years. Further, it provides three-year projections of expected economic growth, inflation rate targets, how much revenue government expects to receive through taxation and what portion of government revenue will be used to reduce government debt. The medium-term fiscal framework determines the size of the public spending pot (IDASA 2003: 35).

- 2) **An overview of how revenue will be divided within government every year over the medium-term period** – this part of the MTEF includes government's proposals as of the vertical split of revenue amongst the spheres of government. This also includes the vertical split of revenue amongst the various provinces and municipalities (IDASA 2003: 36).

  
University of Fort Hare  
*Together in Excellence*

- 3) **The spending plans of each national and provincial department for the next three years** – These plans indicate how each department allocates its portion of the budget to their various programmes and sub-programmes (IDASA 2003: 36).

### **The Budget Cycle**

The Institute for Democracy in South Africa (IDASA) agrees that the budget cycle is made up of major events or stages in making decisions about the budget, implementing and assessing those decisions. Generally, a budget cycle has the following four stages as depicted in Fig. 3: 1 below.

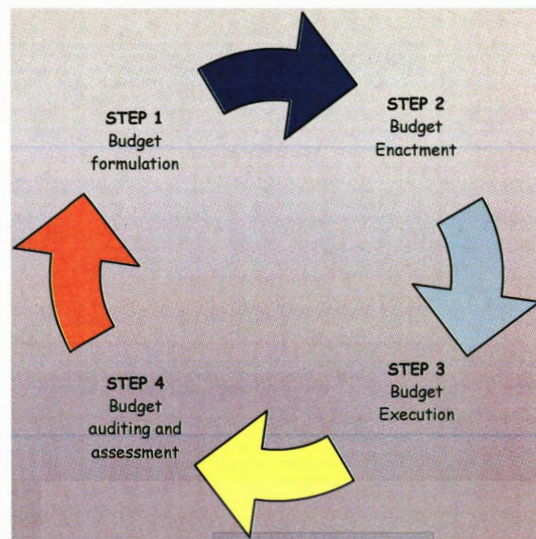


Fig 3: 1. Stages in the budget cycle. Adapted from <http://www.idasa.org.za>. (Retrieved on 2011-02-11).

In summary (IDASA, 2003), the various stages comprise the following activities:

- 1) **Step 1: Budget Formulation** – the executive branch of government puts together the budget plan;
- 2) **Step 2: Budget Enactment** – the budget may be debated, altered and eventually approved by the legislative branch of government;
- 3) **Step 3: Budget Execution** – the policies of government are carried out by government; and

- 4) **Step 4: Budget auditing and assessment** – the actual expenditures of the budget are accounted for and assessed for effectiveness.

#### **Key factors that reflect a government's budget performance**

Finally, Streak (2003: 41) suggests three key factors that reflect a government's budget performance. The budget inputs, outputs and outcomes assist in the measurement of the performance.

- 1) **Budget Inputs** – are the resources allocated to produce certain results? Budget inputs may include, money, labour and time.
- 2) **Budget Outputs** – are the results that are produced by the budget inputs. For example, the output of a policing budget may be reflected by the number of contact crimes that has been prevented nationally by the South African Police Service.
- 3) **Budget Outcomes** – are the changes in the quality of life that are achieved as a result of the outputs.

## **The Budget Process**

The National Treasury's MTEF Treasury Guidelines for the preparation of budget proposals for the 2005 MTEF period (2004: 15) identifies two broad activities that comprise the budget process, namely, medium term policy review and departmental and agency planning and budgeting.

### *Medium term policy review*

The inception of the budget process is triggered by the establishment of priorities by the relevant executive authorities that guide the preparation a spending priorities memorandum. The memorandum outlines the broad priorities of government and there is a link to the several choices and trade-offs that government is likely to make in deciding how its set out targets will be met (National Treasury, 2004: 4).

The tabling of the Medium Term Budget Policy Statement (MTBPS) is the outcome of the review of the top-down stage of the budget process. The Minister of Finance tables the MTBPS at the end of October or early November in Parliament. The statement outlines Government's tax, fiscal and budget intentions at least four (4) months before the final budget is presented (National Treasury 2004: 5).

### *Departmental and agency planning and budgeting*

Planning and budgeting are closely interrelated processes. Planning guides the preparation of the MTEF budget proposals that are submitted to the relevant treasury. These proposals are evaluated against government's priorities and recommendations on the medium term allocations made to the Cabinet, or the relevant provincial executive council (National Treasury, 2004:5).

The Medium-term expenditure committee (MTEC) focuses on the following aspects of the budget proposals:



- 1) The proposed revisions to the department's medium-term plans and the link to government's broad policy priorities and key challenges identified for each of the sectors;
- 2) The credibility of the costing and affordability of the new proposals;
- 3) The department's ability to implement its new proposals over the MTEF period based on past performance and expenditure trends; and
- 4) The outputs to be achieved in support of measurable objectives (National Treasury 2004: 6).

The MTEC is responsible to discuss each of the above-mentioned focus areas and formulate a report in consultation with the relevant department. The report is then tabled at the Minister's Committee on the Budget (MinComBud) and Cabinet. The MinComBud will consider each of the new policy proposals and their funding implications in conjunction with the Treasury's analysis (National Treasury, 2004: 7).

## **Conclusion**

As clearly indicated in this section, the need for transparent financial systems is vital in a democratic society. The proper management budget invariably affects the performance of any organization. South Africa has established the MTEF process in 1998 which allows government to plan its spending over a three-year horizon in line with its medium-term policy priorities. The budget is monitored at various levels, with the highest level being the MTEC. One of the responsibilities of the MTEC is to focus on the outputs that an organization must achieve in support of its measurable objectives. This translates into the performance of the organization.

As part of answering the research question, it was prudent to examine financial management, with a focus on budgeting within an organization, to examine how the performance monitoring and evaluation thereof affect its service delivery. This will be examined in chapter five, where financial management with a focus on budget management in the SAPS will be examined in detail, with a view to offer recommendations that enhance

monitoring and evaluation of performance, invariably improving service delivery to the communities within South Africa.

Responsible financial management, with a view to improve the performance of an organization, is very much integrated into its planning processes. Most organizations have advanced performance management systems that monitor and evaluate its various functions, from the planning to the implementation stages. The next section will examine performance management in detail to provide a clear picture that will be used in chapter five's case study.



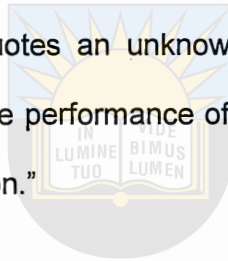
University of Fort Hare  
*Together in Excellence*

---

# PERFORMANCE MANAGEMENT

## Introduction

While performance management would generally be referring to a system used to evaluate performance of people, here it refers to a combination of both people and systems and processes. Williams (2002: 1) argues that performance management is one which focuses on the individual and which, for the most part, is essentially an evolutionary extension or traditional appraisal practice; he further quotes an unknown author, who coined this catchy phrase, "if you manage the performance of an individual, you manage the performance of an organization."



Performance management is the means through which performance against objectives is reviewed, using appropriate performance measurement information and decisions made regarding direction, required action and resource allocation (Luthuli, 2005: 18). Heathfield (2008: 17) defines performance management as the process of creating a work environment or setting where people are enabled to perform to the best of their abilities; further it is a whole work system that begins when a job is defined as needed and ends when an employee leaves an organization.

Organizations that effectively manage their employee's performances will in most cases achieve their set targets because a group of strong employees means a strong organization. Performance evaluation is a cyclical process

that starts with strategic planning and moves through programme implementation and monitoring to performance evaluation. The findings are then reported objectively to accounting officers and executive authorities for use in the next strategic planning process (National Treasury, 2000: 9). It is pertinent to note that an acknowledgement of the linkages between planning, implementation, monitoring, evaluation and reporting is critical to good resource management.

### **Importance of measuring performance**

Performance information provides an indication on how well an organization is meeting its aims and objectives as set out in its plans. Further, a real test on the success of all implemented policies and processes are done. Optimal utilization of the available data and knowledge is crucial to improving the execution of government's mandate. The information provided on the performance of its organization is important to an effective management, including planning, budgeting, and implementation, monitoring and reporting. Performance information also promotes effective accountability, thus enabling legislators, members of the public and other relevant role players to track the progress of the organization against the originally set out plans and priorities (National Treasury, 2007: 5).

The public sector renders services that are essential to the well-being, improvement of the quality of life, and development of the nation at large. It is therefore crucial that public service delivery is rendered in an efficient and

economical manner. All government departments are required to formulate strategic plans over a five-year horizon, allocate resources to the implementation of those plans and monitor and report the results. Performance information is essential to focus the attention of the public and other oversight bodies on whether public institutions are delivering value for money, by comparing their performance against their budgets and service delivery plans and alerting managers to specific areas that require corrective action (The National Treasury 2007: 6).

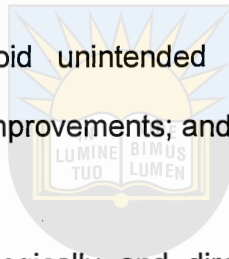
### Performance Indicators

Suitable indicators must be used to measure performance in relation to the identified concepts through inputs, activities, outputs, outcomes and impacts. It can be argued that suitable indicators are seldom chosen (National Treasury 2007: Chapter 3: 7).

The manager must possess a thorough understanding of the nature of the input, output, and the desired outcomes and impact prior to selecting suitable indicators. The National Treasury (2007: Chapter 3: 8) states that performance indicators must be:

- 1) **Reliable** – the indicator must be accurate and flexible in terms of responding to changes in the level of performance;

- 2) **Well defined** – must a clear, unambiguous definition, to ensure consistent collection of data;
- 3) **Verifiable** – must be possible to validate the processes and systems that produce the indicator;
- 4) **Cost effective** – the usefulness of the indicator must justify the cost of collecting the data;
- 5) **Appropriate** – must avoid unintended consequences and must enhance service delivery improvements; and
- 6) **Relevant** – must relate logically and directly to an aspect of the mandate and the realization of the objects and goals of the organisation.



University of Fort Hare  
*Together in Excellence*

### **Incorporation of performance information into the budget process**

The National Treasury (2007: 4) provides three (3) primary ways in which performance information can be incorporated into the budget process.

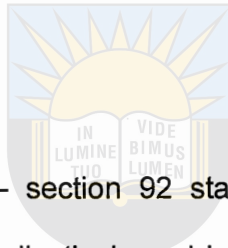
Governments can:

- 1) Allocate resources based on results – additional funding may be made available to high performing areas;

- 2) Improve internal management of a given level of resources; and
- 3) Use performance measures in financial reporting – this is done by departments in their annual reports.

### **Policy and legal requirements in South Africa**

The following policy and legal requirements have been put in place with the aim of improving public sector financial and performance information management.



- 1) **The 1996 Constitution** – section 92 states that “members of the Cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions”, and that that they must “provide Parliament with full and regular reports concerning matters under their control”. Section 133 provides for the accountability of members of the Executive Council (MECs) of a province to the provincial legislature. Similar arrangements are specified for municipalities as contemplated in the Municipal Structures Act of 1998.
- 2) **Public Sector Management Forum** – The 1999 PFMA, the Municipal Finance Management Act of 2003 (MFMA, 2003) and the Public Service Act of 1994 (as amended) have enhanced the control of public expenditure and empowered public sector managers. The 1999 PFMA

promotes the effective, efficient and economical use of resources; however this still remains a central challenge to all departments.

- 3) **The Government–Wide Monitoring and Evaluation System (GWME)** – In 2004, the Cabinet initiated plans for a monitoring and evaluation system for government, and the Presidency subsequently developed the GWME Framework. The GWME has three (3) components: (1) programme performance information, (2) social, economic and demographic statistics, and (3) evaluations.

#### **The planning, budgeting and reporting cycle in performance measurement**

The planning, budgeting and reporting cycle represents a strong relationship between these related processes. The executive authority is responsible for the entire process and the relevant reporting must be done at the end of each stage. The framework for managing Programme Performance Information published by the National Treasury of South Africa in May 2007 provides a clear picture of the planning, budgeting and reporting cycle. Since South Africa uses the MTEF system of budgeting, at any given time, government considers information from multiple years, plans and budgets for the next year and previous years' performance (National Treasury 2007: 12). Fig. 3: 2 below depicts the planning, budgeting and reporting cycle.

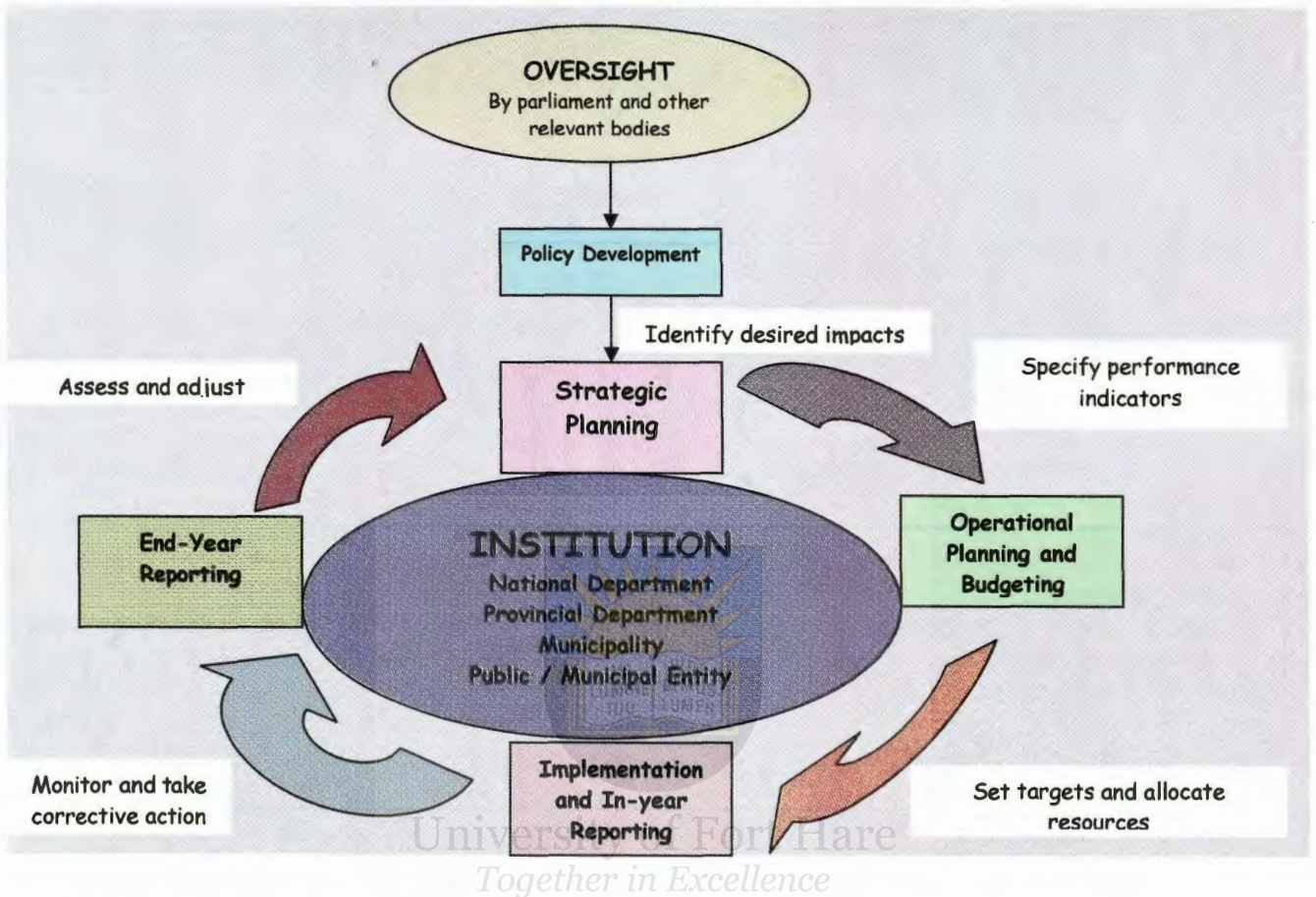


Fig 3: 2 – The planning, budgeting and reporting cycle (National Treasury, 2007: 10)

### Accountability reports

Parliament has developed many accountability reports to ensure that the departments are performing as set out in their initial plans, thereby achieving the desired results. The various national departments must compile and submit the following accountability reports to parliament annually:

- 1) Policy documents;
- 2) Strategic plans;
- 3) Corporate plans;
- 4) Operational plans;
- 5) Budgets;
- 6) Performance Agreements;
- 7) Monthly budget reports ( in terms of section 40 of the PFMA, 1999);
- 8) Quarterly performance reports; and
- 9) Annual Reports.

This information is vital in that the public can track government's performance and hold it accountable. To the management, this information is important to each stage of the planning, budgeting and reporting cycle, so that they can adopt a result-based approach to managing service delivery; this approach will focus on obtaining the desired results.

## **Conclusion**

As set out in this section, it is imperative that organizations implement effective performance management systems to ensure that set targets are met, which ultimately benefits the citizenry in terms of receiving goods and services. A sharp focus of the elements of this section will be made in chapter five. The following section of this chapter will examine briefly, the concept of monitoring and evaluation and the 'Outcomes Approach' in South Africa.

## **MONITORING AND EVALUATION**

Monitoring and evaluation (M&E) are imperative for systematically appraising progress during and after the implementation of government's projects and programmes (Ijeoma, 2008: 74). At the same time, M&E is an extremely complex, multidisciplinary and skill-intensive endeavor. Government-wide M&E (GWM&E) is even more complex because it requires detailed knowledge both across and within sectors as well as the interactions among planning, budgeting, and implementation functions in the public sector. The complexity of the situation is exacerbated further when the machinery of government is decentralized, with powers and functions distributed across three spheres of government. It is precisely this kind of complex intergovernmental structure, with diffuse powers and functions, which requires strong M&E systems to promote coordination and prevent fragmentation (Ajam 2010: 1).

### **General overview of monitoring and evaluation**

Monitoring and evaluation are essentially the core processes for "learning from experience." Learning implies a process of analysis which, in turn, requires the existence of relevant information or evidence on which to base the analysis (Edmunds, 2008: 8).

The primary function of M&E is to provide pointers on how to do things better through a better understanding of what works and what does not. M&E is the bringing together of information and learning. Data are the raw material used

to fuel the monitoring and evaluation process. Access to appropriate data and datasets that can be processed into usable, timely and relevant statistical information is essential for effective monitoring and evaluation that in turn can lead to a learning experience.

Marchant (2008: 9) explains that a fully evolved monitoring and evaluation system is much more than simply a means of tracking and measuring performance and outcomes; it is a central component of the process of management for results. He further clarifies that M&E is a cyclical approach to management in which:

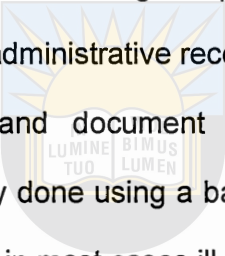


- 1) planning involves the articulation of strategic choices in light of past performance;
- 2) implementation includes ongoing performance monitoring and periodic evaluation that provide opportunities for learning and adjustment; and
- 3) reporting on results is used for both internal management purposes and for external accountability to stakeholders including, in particular, civil society.

Monitoring and evaluation was used as early as the 1970s in the area of development and across the broader sectors of government priorities globally. Edmunds (2008: 19) provides a summary of the evolution of M&E, specifically focusing on one of government's priorities, namely poverty.

## **THE BEGINNINGS: 1970s**

- 1) M&E is fundamentally project – based.
- 2) It became common practice for major projects to maintain its own M&E unit.
- 3) The main purpose of M&E serves as a management tool to provide timely feedback and serve as an early warning system.
- 4) M&E provides an indication whether the project is on track or not. There is a shift towards the monitoring of inputs and outputs, which are largely extracted from the administrative records.
- 5) The need to establish and document the baseline situation is recognized. This is usually done using a baseline household survey – an activity which they were in most cases ill – equipped to embark on.

The logo of the University of Fort Hare, featuring a sunburst design with the Latin motto 'LUMINE BIMUS TUO LUMEN' inside a shield.  
**University of Fort Hare**  
*Together in Excellence*

## **EXPANDING HORIZONS: 1980s**

- 1) Shift in focus from the “project” to Sector Wide Approaches (SWAPs), commonly known today as Government–Wide.
- 2) A re – focus of many M&E activities from the project level to the sectoral level. M&E becomes the business of all sectoral ministries, which is supported by appropriately established M&E units at the Ministry level.
- 3) Shift in emphasis away from the monitoring of inputs and outputs to the measurement of “results” – a much more difficult task involving collection of data from the beneficiaries themselves.

- 4) Need to call on a much wider range of data tools and sources, including surveys and beneficiary interviews; these levels of expertise were unavailable at project and or ministry level.

#### **ARRIVAL OF POVERTY MONITORING: 1990s**

- 1) The ever – increasing concern surrounding the issue of poverty, necessitated a new branch of monitoring activity, namely poverty monitoring; this was created around the tracking of living standards with a view to anticipating the direction in which they would likely move as a result of macroeconomic policy.
- 2) Only the National Statistics Office had the capacity to undertake such large-scale national household surveys, but even then in most cases they did not have the capacity to analyze them.
- 3) Establishment of national Poverty Monitoring Units; these units were distinct and separate from other monitoring and evaluation capacity – building efforts.

#### **MONITORING POVERTY REDUCTION STRATEGIES: BUILDING NATIONAL M&E CAPACITY: 2000s**

- 1) By the turn of the millennium, poverty alleviation had moved from being a marginal issue to being a central concern for almost all countries. All member states of the United Nations (UN) committed to reducing global poverty by 50% by the year 2015; this was endorsed through the

adoption of the Millennium Development Goals (MDG).

- 2) A National Poverty Reduction Strategy introduced to serve as a framework for promoting vision of “pro – poor growth.”

Monitoring and evaluation are closely related, but there are several differences. Ijeoma (2010: 350) clarifies the differences between the concepts as illustrated in Table 3.1 below.

<b>MONITORING</b>	<b>EVALUATION</b>
Clarifies programme objectives	Assesses why intended results were or not achieved
Links activities and their resources to objectives	Assesses specific causal contributions of activities to results
Translates objectives into performance indicators and set targets	Examines the implementation process
Routinely collects data on these indicators and compares actual results with targets	Explores unintended results
Reports progress to managers and alerts them to problems	Provides lessons, highlights, accomplishments or potential and offers recommendations
Collects basic information over time – constant methods	Analyses information in depth – various methods

Table 3.1: Difference between monitoring and evaluation. Ijeoma (2010: 350)

### **An outline of M&E in South Africa: ‘The outcomes approach’**

South Africa, like other developing countries, are faced with challenges, such as, among others, unemployment and abject poverty. In order to guarantee that government addresses these challenges, a programme of action (POA) is formulated by government. The POA can only be successfully implemented if the delivery agents (Public Service) are committed to high levels of commitment and excellence. It is vital for government to constantly monitor

and evaluate the performance of the relevant departments to ensure that the delivery of services is rendered at the acceptable level.

In 2010, the government of South Africa published a guide that describes the M&E system and the management of outcomes that have been approved by the cabinet. South Africa has introduced an outcomes approach to measuring performance. To give effect to the outcomes approach, the President, Mr. Jacob Zuma, has signed performance agreements with each Minister (The Presidency 2010: 6). The South African government has chosen the 'outcomes approach' which is results – driven, envisioning continuous improvement in service delivery through performance monitoring and evaluation. Further, it promotes cohesion among key partners to improve government performance in achieving desired outcomes and to improve service delivery through changing the way government works. This will be done through coherent priority setting; robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, monitoring of frontline service delivery; and supporting change and transformation through innovative and appropriate solutions and interventions.

In the main, the outcomes approach:

- 1) Focuses on results;
- 2) Makes explicit and testable the chain of logic in the planning, to ascertain the assumptions made about the results required;


- 3) Links activities to outputs and outcomes and to test what works and what does not;
- 4) Ensure expectations are as clear and unambiguous as possible;
- 5) Provides a clear basis for discussion, debate and negotiation about what and how things should be done;
- 6) Enables learning and regularly revising and improving policy, strategy and plans through experience; and
- 7) Makes coordination and alignment easier (The Presidency 2010: 10).

Based on the Election Manifesto of the ANC and the Medium Term Strategic Framework (MTSF), a set of twelve outcomes were developed through extensive consultation and debate at both ministerial and administrative levels. In the Presidency's Guide to the Outcomes Approach (2010: 13) the twelve outcomes are as follows:

- 1) Improved quality of basic education;
- 2) A long and healthy life for citizens of South Africa;
- 3) All people in South are and feel safe;
- 4) Decent employment through inclusive economic growth;
- 5) A skilled and capable workforce to support an inclusive growth path;
- 6) An efficient, competitive and responsive economic infrastructure network;
- 7) Vibrant, equitable and sustainable rural communities with food security for all;
- 8) Sustainable human settlements and improved quality of household life;

- 9) A responsive, accountable, effective and efficient local government system;
- 10) Environmental assets and natural resources that are well protected and continually enhanced;
- 11) Create a better South Africa and contribute to a better and safer Africa and World; and
- 12) An effective, efficient and development – orientated public service and an empowered, fair and inclusive citizenship.

## Conclusion



The strategic direction and priorities of government are encapsulated in the twelve mentioned outcomes *supra*. Performance monitoring and evaluation in South Africa is being taken seriously by government; this has been proven by: (1) the signing of performance agreements between the President and the Ministers; and (2) the establishment of the M&E department within the Presidency.

An examination of the performance monitoring and evaluation systems in the SAPS will be conducted in chapter five of the study; constant reference will be made to the 'Outcomes Approach' of the South African government. The President has, on several occasions, indicated that all government departments (public service), the delivery agents of government, are to subscribe to the Medium Term Strategic Framework (MTSF) of government. This is to ensure that the twelve outcomes are achieved. The final section of

the chapter seeks to establish the relationship between public administration (financial & performance management), monitoring and evaluation, and service delivery.

### **Relationships between public administration (financial and performance management), monitoring & evaluation and service delivery**

The implementation of government policies (government services) is carried out by the public service; hence it is fair to say that public administration is primarily the study of the public service. To ensure that services are rendered in a sustainable manner, sound financial management and performance management practices must be implemented. Performance monitoring and evaluation of services, in hindsight, is paramount to this phenomenon of sustainability. During the execution of public administration, which is the carrying out of various processes, environmental influences interact continuously, thus affecting the outcomes of these processes and functions. The outcomes in the form of policies will enable public management to take place, which implies the execution of different processes during which environmental influences interact continuously to affect the managerial outcomes. The outcomes of both public administration and public management are aimed at service delivery and the improvement of the general welfare of the people. There is a strong relationship or link between these concepts, as they work together to meet the expectations of the citizenry of the country.

## SUMMARY

This chapter commenced by defining public administration and management, providing a brief history and its evolution. This has certainly provided a foundation to examine its existence as an academic discipline and an activity. A brief comparison between the public and private sector administration was conducted because valuable lessons could be learned from the private sector for implementation within the public sector.

The chapter proceeded to examine financial management in the public sector, followed by a zooming in on government budgeting. It was important to provide for this background since monitoring and evaluation of the budget directly impacts an institution's performance. Performance management was then examined, providing clarity on how performance information integrates into the budget process and its importance.

This was followed by an overview of monitoring and evaluation, and specifically the 'outcomes approach' in South Africa. To provide the linkage between public administration, monitoring and evaluation and service delivery, its relationship was finally outlined; this provides the basis for the case study in chapter five.

In view of the fact that public administration, monitoring and evaluation, and service delivery has been contextualized and its relationship established, the following chapter will provide an in-depth report on international and local

experiences relating to performance monitoring and evaluation. There is a sharp focus on the successful implementation of performance monitoring and evaluation mechanisms in government programmes and activities. The countries of Spain and Mexico will be examined from an international perspective, while the local South African approach will also be considered, with a view to offering lessons and recommendations for the South African Police Service.



University of Fort Hare  
*Together in Excellence*

## CHAPTER 4: AN OVERVIEW OF PERFORMANCE MONITORING & EVALUATION APPROACHES: INTERNATIONAL AND LOCAL EXPERIENCES

### INTRODUCTION

In view of the fact that the preceding chapter has comprehensively contextualized and defined the relationship between public administration, monitoring and evaluation and service delivery, this chapter will immediately proceed to examine performance monitoring and evaluation approaches both internationally and locally. Spain and Mexico will be examined from an international perspective, while the South African approach will be considered from a local view.



University of Fort Hare  
*Together in Excellence*

The chapter examines the performance monitoring and evaluation approach by the Kingdom of Spain (known as Spain). Firstly, a historical background is provided, detailing the evolution of the evaluation concept in Spain. This is followed by an examination of evaluation in Spain. To give effect of the government of Spain's commitment to performance monitoring and evaluation, a focus is then made on the work of the established Spanish Evaluation Agency (AEVAL). The section proceeds to provide the motivation for the use of performance and evaluation information; this is followed by considering how Spain had commenced creating an evaluation culture. The section is concluded by offering some lessons learnt from the Spanish experience.

Performance monitoring and evaluation in the United Mexican States (known as Mexico) is thereafter considered as the second international approach. After providing a brief introduction, the report proceeds to capture Mexico's shift to a result – driven government. To give effect of the government of Mexico's commitment to performance monitoring and evaluation, a focus is then made on the work of the established National Council for the Evaluation of Social Policy (CONEVAL). This is followed by an assessment into the performance evaluation system in Mexico. The strengths and weaknesses identified within the M & E system are then enumerated. The section is concluded by offering some lessons learnt from the Mexican experience.

The local experience of the Republic of South Africa (known as South Africa) is finally considered. As an introduction to this section an informative background into performance monitoring and evaluation in South Africa is provided; this is followed by the establishment of the Government Wide Monitoring and Evaluation (GWME) in South Africa. The GWME is then paralleled against other international experiences, followed by capturing some existing limitations in the implementation of GWME. The section is concluded by offering some lessons learnt from the South African experience.

Finally, an integration of both the international and local approaches is provided as an accurate summation of the chapter.

## PERFORMANCE MONITORING & EVALUATION IN SPAIN

### HISTORICAL BACKGROUND

The Spanish evaluation experience cannot be fully analysed without taking two major historical events into account, as this has made a significant impact. This includes: the political transition of the 1970s and Spain's membership into the European Community in 1986. The political transition in the mid-1970s led to the 1978 Constitution, which strengthened accountability in the public sector, but it was Spain's entry into the European Union (EU) in 1986 that was the turning point and represented a great challenge and opportunity in several areas, including the evaluation of public programmes and policies (Feinstein 2010: 1).



The year 1988 marked the initiation of amendments to structural funds regulations, to include mandatory evaluation, by the European Commission and the member states, of European structural policies, and in 1999 reform strengthened evaluation requirements. The interest of the Spanish government in improving public services led to the establishment of several sector – oriented institutions aimed at, first, assessing levels of demand and types of service provision and, then, evaluating the effects of public policies on their target populations (Vinas 2009: 15).

The early 1990s saw regional governments undertaking specific initiatives on programme evaluation and public service assessment especially in the field of

social services, as this affected the citizenry directly. Most evaluation efforts were descriptive and mainly focused on measurement of objectives and performance; in some cases, they were assessments of citizens' opinions and needs (Zapico–Goni 2010: 1).

Spain was one of the greatest recipients of European funds, and the evaluation of these funds was one of the most important factors for launching evaluation practices and infrastructure. The European Commission therefore had a significant influence on the initial development of evaluation in Spain (Feinstein 2010: 1).

The perception and practice of programme evaluation evolved from a measurement of effects to a broader approach, where the aim became analysis of many aspects of the often huge set of factors that structural programmes contain. After an interval, Spain followed the international trend on programme evaluation, including some ad–hoc experiences since the 1980s, particularly in the area of social services, health programmes and many others (Sanchez 2004: 4).

In modern day, there is widespread and growing concern for the improvement of policy making and the emergence of policy and programme evaluation in Spain, as best evidenced by the creation of the Spanish Agency for the Evaluation of Public Policies and Quality of Services (AEVAL) at the end of 2006 (Zapico–Goni 2010: 2).

## AN EXAMINATION OF EVALUATION IN SPAIN

In Spain, rather than a cohesive evaluation system, there exists a constellation of organizations with evaluation mandates and/or practices, which are not interrelated. These organizations and their respective practices have been evolving without coordination over the past three decades. An evaluation culture is slowly emerging but with a diversity of conceptual approaches used by different organizations that are managing and/or conducting evaluations. Also, organizational learning has been sparse and there is no active dissemination of results from evaluations (Furubo 2008:12).

(Zapico–Goni 2010: 2) identifies the various organizations in Spain that are involved in evaluation, performance measurement, and/or audit of government performance as follows:

- 1) AEVAL, under the Office of the First Vice President;
- 2) Council of Ministers;
- 3) Court of Auditors (TCE);
- 4) Ministry of Economy and Finance (MEH);
- 5) Directorate General Budget (DGP);
- 6) General Comptroller of the State Administration (IGAE);
- 7) Directorate General of European Community Funds (DGFC);
- 8) Institute for Fiscal Studies (IEF);
- 9) Parliament (Las Cortes);
- 10) Regional governments (Comunidades Autónomas, or CCAA);

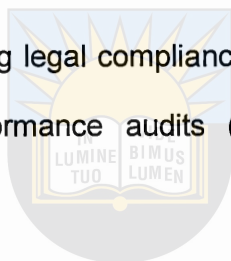
- 11) Sector ministries;
- 12) Sectoral evaluation units;
- 13) State agencies; and
- 14) Other public entities

Evaluation activities and competencies are scattered among different sectors which include, sector ministry units and internal and external auditing bodies at the central and regional levels. Among the main organisations, other than AEVAL that are involved in evaluation in Spain, as indicated supra, are explained in a little more detail.



- 1) *General Comptroller of the State Administration (IGAE)* – IGAE is located within the Secretary of the State Finance and Budgets, in the Ministry of Economy and Finance. IGAE is the internal control unit of economic and financial management of the state's public sector, and the executive and management center of public accounts. As an internal control unit, it is in charge of verifying that the economic and financial activities of the public sector follow the principles of legality, economy, efficiency, and efficacy. As the managing and executive center of the public accounts, it is responsible for providing reliable comprehensive, professional, and independent information on public financial management and for issuing the necessary norms and procedures for its proper development. Retrieved on 2011-02-01. (<http://www.igae.pap.meh.es>).

2) *Spanish Court of Audit (TCE)* – In pursuance of the powers vested in the Spanish Constitution, TCE performs the external audit of the General State Account, which integrates the accounts of the entire state public sector. These accounts are sent by the government, at the end of each financial year, to the court to issue a statement about it. Similarly, the court receives the accounts of public institutions of regional and local public sectors, about which the court also issues an annual report. Moreover, from these examinations of the accounts, the court carries out special audits on entities or actions, which may be compliance audits (verifying legal compliance and financial and assets representation) and performance audits (economy and efficiency) (Zapico – Goni 2010: 27).



3) *Institute for Fiscal Studies (IEF)* – The IEF, which is within the MEH, includes among its research and training activities some that correspond to economic evaluation of fiscal policy initiatives. Retrieved on 2011-02-01 (<http://www.ief.es>).

4) *Sub-National Regional Government* – Recently, evaluation initiatives have commenced at the level of the regional governments. The AEVAL is playing a catalytic role in supporting them. To date, the most developed of these initiatives is in Catalunya, where an Institute for the Evaluation of Public Policies (IVALUA) was recently created, with representatives from the regional and local governments, a private and independent foundation, and a regional university. This institute

published in 2009 five practical evaluation guides and continue to develop a set of evaluation reports on evaluation training, and is developing a website containing evaluation resource materials. Retrieved on 2011-02-01 (<http://www.ivalua.cat>).

It is important to address the confusion, which can be found in discussions and in the literature concerning evaluation in Spain, about which organizations are actually involved in the evaluation of government performance and public policies. To clarify this issue, it is important to distinguish between organizations that have a mandate to manage or conduct evaluations and those organizations that are actually involved in evaluation. This is particularly the case for auditing institutions, which are entitled (and expected) to conduct performance audits, but have not been doing so in either a relevant or transparent way as follows (Feinstein, 2010: 3):

The following bodies are producers of evaluations: central multi-sector evaluation unit: AEVAL; programme/sector evaluation units: DGPOLDE, ANECA, and IEF; and regional evaluation units: operating at the CCAA level (regional governments). The following bodies are producers of performance audits: IGAE; TCE; and regional auditing bodies operating at the CCAA level. The users (potential and actual) of evaluations and performance audits include: parliament (Las Cortes); civil society; council of ministers; and sector ministries and state agencies.

Evaluation in Spain, until 2007, was based on two main pillars, namely, the evaluation of European Union co-funded programmes and the evaluation of

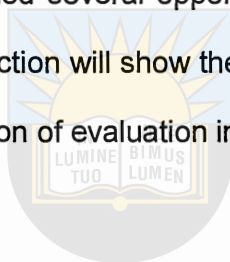
development cooperation programmes. The former are coordinated by different entities, depending on the policy sector; for example, the Ministry of Economy and Finance (Nuño & Moreiras 2009: 34). For many years, Spain was a passive participant in the Network on Development Evaluation, a situation that changed in the twenty-first century when Spain became an active participant in this network (Feinstein 2007:13). There are also public sector institutions involved in evaluation (or evaluation-related activities) as well as evaluations of public policies or programmes conducted by individual researchers and research institutions, which are not commissioned by “public clients”. The evaluation efforts of these entities and researchers are unrelated to one another and are not linked to the work of any central department or agency. However, they do contribute through their work to developing the stock of evaluations and, as a by-product, their evaluation capacities are developed through learning by doing (Larru 2009: 13).



At the sector level, evaluation initiatives are spread among different policies. This is due to the influence of some important factors: mainly the effect of the European integration, regional devolution, and increasing demands for effective public services with fewer resources (trying to achieve “more with less”). Traditionally, main efforts to develop evaluation and analysis in Spain have started within government, but the recent role played by universities and regional and local governments has been essential for developing evaluation supply. The external pressure from the European Commission triggered momentum for programme monitoring and evaluation (Vinas 2009: 17).

Regulation policies focussed attention to policy evaluation; this is general serious demand in the EU (with the Impact Assessment initiative) and in some member states. The rationale for implementing better regulations, and ex-post analysis, was to assess their cost–benefit. Retrieved on 2011-02-02 (<http://www.aeval.es>).

To give effect to the commitment of the Spanish government to performance monitoring and evaluation, the Spanish Evaluation Agency (AEVAL) was established; this has spear-headed several opportunities to further progress in this direction. The following section will show the promising steps that have been taken in the institutionalisation of evaluation in Spain.



University of Fort Hare  
*Together in Excellence*

## THE WORK OF THE SPANISH EVALUATION AGENCY (AEVAL)

The Spanish Agency for the evaluation of public policies and quality of services (AEVAL) was created at the end of 2006. The creation of the AEVAL signalled the importance that the current government of the day attached to public policy evaluation as a pillar of good governance and further a way to strengthen the democratic process (AEVAL: 2007).

The formalization of AEVAL's legal framework was preceded by the work of a commission of experts, which analyzed international experiences in evaluation and prepared a diagnosis and recommendations for institutionalization of the agency within the specific context and for the needs of Spain (Roca 2005: 11).

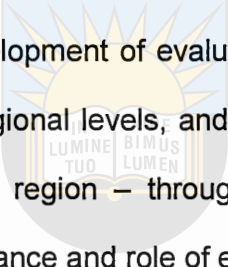
AEVAL (2007) states that the mission of the agency is to promote evaluation; to evaluate public policies and programmes; and to enhance the quality of services in order to improve the use of public resources and accountability.

Further, AEVAL (2007) provides the following stated objectives:

- 1) To promote an evaluation culture and quality within the public sector;
- 2) To develop and propose methodologies for the implementation of quality indicators and standards for public services;
- 3) To assess agencies' activities related to their commitment to improve public services and to report annually to the Congress;

- 4) To improve the transparency of the impact of public services on society and to increase the accountability of public servants to citizens;
- 5) To promote increased rationality in the use of public resources; and
- 6) To favour economic productivity and competitiveness by reducing excessive levels of government bureaucracy.

The agency has chosen to add value in three main areas of work: in carrying out strategic evaluations, supporting better quality of public services, and promoting a culture of evaluation and quality. This last area of work has included contributions to the development of evaluation capacities in Spain's government at the central and regional levels, and, more widely, in the Latin America and Spanish Caribbean region – through evaluation training and awareness – raising on the importance and role of evaluation (AEVAL: 2007).

  
University of Fort Hare  
*Together in Excellence*

AEVAL introduced innovation into Spain's public sector not only in terms of its functions but also in the way it organises its structure. AEVAL was the first organization created under a new institutional arrangement; a state agency with a new structure that is more flexible, autonomous, and incorporates an operational culture of performance at its core. AEVAL started its operations as a unit within the Ministry of Public Administration and since 2009 has been located within the Office of the President (AEVAL: 2007)

Feinstein (2010: 7) identifies two main elements driving the functioning of AEVAL: a management contract and the Governing Council. The management contract is for a period of four years and sets out the objectives

and expected performance, which have implications on future resource allocations for the agency. The management contract outlines four areas of work: institutionalization of the agency, promotion of an evaluation culture, evaluation of programs and policies, and the improvement in the quality of management of public organizations.

To date, the AEVAL's evaluations are not actually linked to current budget allocation decisions. The link to future allocations of resources will likely be tighter as the dissemination and outreach of evaluations is enhanced, and their planning becomes more connected to decision making. During its initial years of operations, AEVAL focused on conducting evaluations without paying much attention to dissemination, which will be given increased importance in the future (Zapico–Goni 2010: 7).



University of Fort Hare  
*Together in Excellence*

## **MOTIVATION FOR THE USE OF PERFORMANCE AND EVALUATION INFORMATION**

### *Evaluation and the Public Budget*

Similar to other countries, the preparation of the annual government budget in Spain is a process of negotiation between the Ministry of Finance (MEH) and the sector ministries (Feinstein 2010: 18). The process includes several instances in which information from formal evaluations, assessments and audits, such as those conducted by AEVAL, IGAE, and other organizations

could be used and would enrich the quality of the debate and analysis of budget proposals (Feinstein 2010: 18).

Zapico–Goni (2010: 12) identifies the following commissions that play a key role in the preparation and discussion of the budget and are, or may be, appropriate forums for using evaluative information.

- 1) Expenditure Policy Commission: chaired by the MEH and composed of all the other ministers. This commission discusses the likely consequences of major public policies that the government seeks to implement, and their overall alignment with the resources estimated for the next year. An agreement should be reached on an initial overall allocation of these resources in accordance with the macroeconomic and fiscal scenario. The commission establishes the guidelines that must subsequently be followed for allocating budgetary resources and proposing the functional allocation of the appropriations, which serve as the budget ceiling for the ministries when they prepare their respective proposals.
- 2) Revenue Commission: chaired by the Secretary of State for Finance and Budgeting. This commission is responsible for coordinating preparation of the revenue forecasts.
- 3) Departmental Budget Commissions: composed of representatives of the various expenditure units, chaired by the Deputy Secretary of the

department. Their task is to make proposals for the preliminary draft budget, formulate priority criteria, review existing programs, and monitor their implementation.

- 4) Programme Analysis Commissions: at least one per department, chaired by the Secretary of State for Finance and Budget. The commissions' functions include analysis of the adequacy and validity of the expenditure programs, relative to the objectives pursued, and deciding the corresponding financial allocations within the ceilings and priorities defined by the Expenditure Policy Commission. Functions also include analysis of expenditure program impact on gender equality and assessment of the degree of compliance with the objectives sought the year before. The debate at the commissions is the stage at which evaluative information could provide evidence based arguments for resource allocations, based on evaluation conclusions and recommendations.

#### *Opportunities for Better Integration of Evaluation Results in the Budgetary Process*

In response to the opportunity offered by new legislation for developing performance budgeting in Spain, the Secretary of State for Finance and Budgeting had, by the end of 2004, organized several working groups to study possible measures for improving the functioning of the Directorate General Budget (Ballart 2010: 31).

One of the working groups focused on the functioning of the Program Analysis Commissions (CAPs) and the quality of information presented in budget programs. The key limitations identified by this working group (and consequently the opportunities for improvement, which provide room for more and better use of evaluative information) were the following (Ballart 2010: 34):

- 1) There is an imbalance between the volume of information requested and what is actually received from the expenditure management units. The capacity to process and analyze that information is limited. Most of the information is financial in nature, and the indicators for monitoring objectives still have significant weaknesses. Similarly, the analysis lacks sufficient depth. Most budget commitments are considered unavoidable, without adequate attention to the possibility of analysis and revision over a medium or long-term horizon, which would make it possible to release sizable volumes of resources. In the short run, the possible use of evaluation for annual budgeting is limited, given the budget's rigidities. In fact, about 90 percent of the budget is committed (public debt, salaries, transfers and entitlements). Furthermore, evaluation reports rarely recommend elimination of programs or direct cuts in line items. Program modifications are often subject to preconditions (need for approval of new legislation, reallocation of personnel, rewriting contracts or agreements with third parties). However, the possibility of using evaluation for budgeting is increased when a longer time frame is considered, because it can be used to change perceptions concerning policy issues and to identify

benefits and opportunity costs of policy options, going beyond the annual process of resource allocation.

- 2) The expenditure management units do not have enough accurate information about the budgetary implications of the departmental plans, reform programs, or legislative proposals, thus complicating oversight of the adaptation of annual plans to the medium-term budget scenarios.
- 3) The time for debate is insufficient. In general, discussions in the CAPs are incremental and, frequently, focused on the maximum percentage increases authorized for budget chapters. There is scarcely any systematic debate about spending policies or ministerial priorities and performance. There is no debate about interdepartmental programs since CAPs are bilateral meetings between MEH and each sector ministry.

In Zapico–Goni (2010: 13) another working group focused on suggesting ways to improve the quality of information presented in budget documents with regard to expenditure programmes. Espadas (2005: 13), provides a record of six pilot programmes that were analyzed, with a view toward assessing the consistency among their objectives, activities, and indicators, and, where appropriate, to propose changes in their substance and structure. The main (and recurring) weaknesses that were identified and stated are as follows:

- 1) the overly broad nature of the programmes;
- 2) limited definition of objectives (excessively general strategic objectives, not strongly linked to operational objectives, operational objectives not ways related to activities, and limited quantification); and
- 3) the predominance of indicators based on resources (without reflecting outcomes) (Espadas 2005: 15).

All these weaknesses revealed the scarce involvement of managers in the procedure. Based on the appraisals of the working groups, Espadas (2005: 16) details the following principal areas of action that were identified:

- 1) reviewing the inconsistencies found between indicators and objectives;
- 2) improving the program information system;
- 3) identifying of the department responsible for program evaluation (to achieve greater involvement of management); and
- 4) conducting full quality appraisals (including options and management risks of programs, adequacy of organizational structures, human resources, performance incentives, and information collection systems).

Following up on its recommendations, the working group prepared guidelines for expenditure management, covering the basic requirements that must be met during the preparation of budgetary programs in order to achieve the proposed aims, provide adequate follow-up and evaluation on program achievements, and provide the information necessary for adoption of

performance-based decisions during the process of preparing the Annual Budget Laws (DG: Budget 2006: 12).

The aim of these guidelines is to exploit the potential of the General Budgetary Law of 2003 regarding the functional classification of expenditure, which links each program with the main expenditure policies, and also continues to move forward on alignment with international classifications (Report MEH 2004: 3-5).

Zapico–Goni (2005: 35) suggests several other recommendations with a view to improve budgeting, which would increase the probability of using information produced by evaluations in the budgeting process. The recommendations included:

- 1) organizing more strategic and participatory debates;
- 2) using incentives and criteria of success that encourage efficiency and interdepartmental collaboration;
- 3) providing flexible and regular efforts for integrating budgeting, audits, and evaluations; and
- 4) enabling proactive participation in the early stages of preparation of sector ministries' plans.

There is a general perception among budget actors that programme evaluation and performance audit reports are not useful, and, thus far, they have not been used for budgeting. The Departmental Budget Commissions in

ministries may use, directly or indirectly, the findings of sectoral evaluations, but they do not support their budget requests with evaluation results. A cooperative approach between all role-players and eventually with other government organisations might be conducive to the use of evaluative information in budget decisions (Feinstein 2010: 14).

### *Evaluation and Devolved Management*

According to Spanish law, managers of state agencies have the authority to make decisions regarding their own resources, and managers will be held accountable for achieving their objectives (LAE Report: 2006: 12). Further, the law introduces a system of Transparent Management by Objectives, based on the notion of multiyear management contracts. LAE Report (2006: 14) states that these contracts must present, among other elements:

- 1) the objectives to be pursued, outcomes to be obtained, and, in general, the activity to be carried out;
- 2) the plans necessary for achieving the objectives, specifying the corresponding timeframes, the projects associated with each strategy, and its duration, as well as the indicators for evaluating the results;
- 3) the staffing, material, and budgetary resources to be provided to achieve the objectives;
- 4) the effects associated with the degree of compliance with established objectives;

- 5) the procedure to be followed for covering whatever annual deficits may arise, owing to a shortage in real revenue from the estimated levels, and the consequences, in terms of accountability for management, which may result from such deficits; and
- 6) the procedure for introducing annual changes or adaptations which may occur, as appropriate.

The management contract should determine the responsibilities for failing to achieve the objectives. Agencies are required to prepare an annual action plan, an activity report on the preceding fiscal year, and annual accounts, which are to be made available to the public (LAE Report 2006: article 15).

With respect to the financial management regime, the law created new freedom for agencies to shift estimates between types of inputs (line items), with the exception of personnel costs and agencies are subject to the accounting principles and system established for public entities and to external auditing by the Court of Auditors as well as oversight by the IGAE, thus the reorganization of central government and the introduction of the management contract are in an initial phase of development, but the definition and distribution of roles, responsibilities, and coordination mechanisms among the departments responsible for the agencies (Office of the Vice President, the sector ministry under which each agency functions, and the MEH) are well established (Zapico–Goni 2010: 15).

Feinstein (2010: 15) states that the speed of implementation of the new model is slow and some decision making processes and functional links are still to be developed. Further, coordination of the creation of the agencies and their follow-up processes were first established in the Ministry of Public Administration (MAP) and the MEH.

Notably, evaluation and performance management reforms and institutionalization in Spain have been slow in achieving actual changes. Most performance-related reforms have focused on legal and technical aspects (for example, new norms, methodologies, data, formats, and working procedures) (Feinstein 2010: 15).



Lack of emphasis on other reform drivers may explain a delay in the actual initiation of effective performance reforms and the institutionalization of evaluation in Spain, which include (Zapico–Goni, 2010: 15):

- 1) discontinuous political support and interest for performance management and related reforms (such as policy and program evaluation and performance budgeting);
- 2) weak integration among departments responsible for reform; and
- 3) limited participation in the diagnosis, design, and development of the reform model.

## CREATING AN EVALUATION CULTURE IN SPAIN

The development of an evaluation culture facilitates the evaluation of government performance and policies by strengthening both demand and supply of evaluations as well as the links between supply and demand (Feinstein 2010: 16). To this end, the Spanish Society for Evaluation was established in 2001, with the aim of contributing to the development of a culture of public policy evaluation and as a tool for improving the efficacy, efficiency, and usefulness for society of public administration intervention. It further contributes to promoting awareness of the role that evaluation can play in public policy decisions, and helps establish a network of Spanish evaluators. Retrieved on 2011-02-10. ([www.sociedadevaluacion.org](http://www.sociedadevaluacion.org)). Furthermore, in Spain there has been a significant increase in the number of professionals, researchers, and private sector enterprises specializing in the evaluation of public policies and programs, generating demand for specialized training for both graduate and undergraduate students (Ramirez and Reboloso 2006: 24).

Since 1994, academic journals have given special attention to government performance evaluation and several Spanish economic journals have devoted monographic issues to evaluation; and some Spanish evaluators are publishing in mainstream evaluation journals. To further exacerbate the evaluation culture, some Spanish foundations have also started to sponsor evaluation work, thus contributing to an enabling environment for evaluation in Spain (Montalvo 2008: 42).

In Bustelo and Fitzpatrick (2009: 22), a preliminary presentation of a 2009 Spanish Community of Evaluators survey results showed the following:

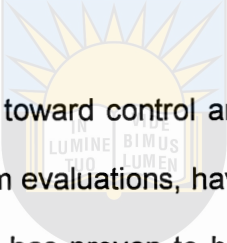
- 1) fifty nine percent of evaluation community members were working in Madrid, while 88 percent travelled to Madrid, Andalucía, and Cataluña;
- 2) sixty-one percent of respondents were women;
- 3) twenty-three percent of the sample population that answered the questionnaire were working for private consulting firms, 22 percent for central government, and 19 percent for sub national governments; and
- 4) most of the evaluators were involved in two areas: international development cooperation (18 percent) and employment (17 percent).



University of Fort Hare  
*Together in Excellence*

## SUMMARY: LESSONS LEARNED

The preceding sections highlighted both the achievements of and opportunities for strengthening evaluation of government performance and public policies in Spain. This final section draws some lessons from the Spanish experience, with the main purpose of building a set of relevant experiences, which developing and transition countries, like South Africa can take into account for institutionalizing performance budgeting and creating an evaluation culture.



Organizations traditionally oriented toward control and legal compliance, and that have a new mandate to perform evaluations, have difficulty adopting their directives. Adherence to old ways has proven to be very strong. However, Spain's creation of a new agency with an evaluation mandate, such as AEVAL, has created the opportunity to move away from traditional paths and to adopt new approaches to deal with the evaluation of complex programmes and policies.

The process of creating the new evaluation agency took several years, during which experiences of other countries were considered and consultations were made with a variety of public and private experts, which led to the formation of a Commission of Experts to advise on what process to follow and on the characteristics that the new agency should have, given the Spanish institutional framework (Feinstein 2010: 17).

Another aspect of the AEVAL experience that is remarkable, and which may be considered by other countries, is the combination of the evaluation of public policies with quality assessment of public services in a single organization. There are significant synergies that can be exploited through this combination of responsibilities and activities.

The use of evaluation results and recommendations for decision making and policy development in Spain is weak. Links between the results from evaluations and budgeting decisions are, to date, very limited. The lack of such links reduces the influence that evaluations can have on the budgeting process, and on the quality of public expenditure. Therefore, it is important to develop formal and practical integrating procedures between evaluation and budgeting.



University of Fort Hare  
*Together in Excellence*

An important step in this direction is facilitating public access to audits and evaluations, so that citizens are informed about the results of government policies and programs (Zapico–Goni 2010: 18). Zapico–Goni (2010: 18) further identifies the use of mass media and seminars in which evaluation results and recommendations are presented and discussed with policy makers and citizens as types of active dissemination modes. Given the worldwide and growing importance of the devolution of government expenditure, it is important to promote evaluation not only at the central government level but also at the sub-national level and at autonomous state agencies. In Spain, this is one of the tasks on AEVAL's agenda (and one with which evaluation agencies can and should try to get involved).

The use of diverse evaluation methods and approaches is one of the hallmarks of the Spanish evaluation experience where the fit for purpose (and context) principle has been applied. This is worth highlighting given that, in the evaluation field, there have been attempts to apply a single approach to all contexts, without adequately acknowledging the need for a variety of approaches, according to circumstances (Leeuw and Vaessen 2009: 44).

Furthermore, the section considered selective aspects of Spain's experience in evaluating government performance and public policies and the impact on the government budget. Rather than a cohesive evaluation system, there is instead a constellation of organizations, with evaluation mandates and/or practices which are not interrelated. These organizations and their respective practices have been evolving without coordination over the past three decades. An evaluation culture is slowly emerging, amid different conceptual approaches used by different organizations that are managing and/or conducting evaluations. Evaluation activity has been taking place in Spain for years, with a marked acceleration and qualitative shift since 2005. The creation of the Spanish Evaluation Agency, AEVAL, did much to advance the goal of institutionalizing evaluation and performance based budgeting. A part of this section therefore, focuses on AEVAL, with a review of its strengths and weaknesses. The hope is that an examination of Spain's experience will be useful to developing and transition countries in the process of building their own evaluation capacities.

The following eleven (11) lessons are drawn from the AEVAL experience, which may be valuable to other countries:

- 1) Derive inspiration from other experiences but do not attempt to copy them;
- 2) Take into account that the institutionalization of evaluation requires significant time;
- 3) Establish advisory bodies as mechanisms for support and legitimation;
- 4) Incorporate representatives from academic institutions and from the public sector;
- 5) Involve different levels of government, including sectors and regions;
- 6) Establish quality control assurance of the evaluations, practices, and systems;
- 7) Link policy evaluation with the assessment of the quality of services;
- 8) Use different methods and approaches according to context, needs and capacities;
- 9) Institutional location should optimize coordination, accountability, and learning;
- 10) Develop procedures to link policy evaluation with programming and budgeting; and
- 11) Disseminating evaluations should go beyond simply posting them on the Internet for public information and consumption.

The following section will examine the experiences of Mexico in its pursuit to create a service delivery based government, through the institutionalisation of evaluation and performance management in its public policies and administration.



University of Fort Hare  
*Together in Excellence*

## PERFORMANCE MONITORING AND EVALUATION IN MEXICO

### INTRODUCTION

Mexico's attempts to establish the evaluation of federal programmes, as a government practice, dates back to the mid-1970s, however, it was only at the end of the 1990s that performance monitoring and evaluation (M&E) reforms started to take root in the federal public administration (Castro, 2009: 1).

One of the catalysts of the institutionalization process for evaluation was the creation of the National Council for the Evaluation of Social Policy (CONEVAL). The unique characteristics of CONEVAL, namely, its independence, technical capacities, and mandate allowed it to advance in the construction of the social sector M&E system, while also influencing the development of performance management in the federal government more broadly. With the creation of CONEVAL in 2005, there has been increasing enthusiasm for results-based management in Mexico. Interest from social sector secretaries, for example, from the Secretariat of Social Development (SEDESOL) and the Secretariat of Education to other key cross-cutting agencies, including the President's Office, Secretariat of Finance, and Secretariat of Public Administration, has grown tremendously (Lopez-Acevedo, 2009:2).

Resultantly, Mexico has introduced standardized M&E practices and tools at the government-wide level, as well as mandates to increase the focus on

results. Following a constitutional amendment in 2007, sub-national governments have followed the federal administration in reforms toward performance – based budgeting (Castro 2009:1).

Mexico's path to a national M&E system cannot be understood without acknowledging the political changes sweeping the country at the end of the 20th century. Seven decades of one-party rule had steadily been replaced by a functioning democracy and a call for greater accountability of government. Economic and social considerations also played a role. At the beginning of this decade, Mexico saw 20 percent of its population living in extreme poverty and still suffering from the impacts of two large-scale financial crises. Some questions were voiced about the extent to which social spending was helping to alleviate this problem. Mexico is one case of a country that was able to change from limited use of evaluation concentrated in specific pockets of the administration to greater use of an increasingly sophisticated, whole-of-government evaluation system, with differentiated methodologies, growing capacities, and progressive input into government decision making, thus creating a gradual construction of performance-based management institutions, taking into account the international experience but also introducing a high degree of innovation and country-specific development (Busjeet 2009:1).

This section provides a detailed overview of Mexico's progressive transition from a private sector-based to a government-wide M&E system, highlighting the critical institutional reforms introduced, the policy decisions, and the most

important operational steps taken, thus offering an account of the political context within which such changes and decisions were possible. Special attention is given to the role of CONEVAL in paving the way for these reforms, particularly in the emergence of the Performance Evaluation System under the leadership of the Ministry of Finance and Public Credit. A quick review of the system's strengths and challenges are discussed, followed by the identification of lessons of potential interest to other countries, like South Africa as will be discussed in the following chapters.

### **MEXICO'S SHIFT TO A RESULT – DRIVEN GOVERNMENT**

Ordonez (2009:2) categorises Mexico's path to a results-oriented system into three (3) periods, namely:

- 1) Period 1 – The late 1970s to 1990s – characterized by ad hoc evaluation initiatives in particular sectors, often supported by international agencies;
  
- 2) Period 2 – The late 1990s – facilitated by the opening up of the national political system, which saw the formalisation of accountability mechanisms through a flurry of comprehensive legal initiatives. Formalisation, followed by the implementation of a very successful and influential social program impact evaluation helped to change the federal administration to a performance results orientation and the identification of government entities responsible for conducting

evaluations. The progress made during these years allowed Mexico to move to the third, ongoing stage; and

- 3) Period 3 – The formal institutionalisation of evaluation in the social sector under the framework of the CONEVAL and the movement to a government-wide system of evaluation and performance management, which is strongly linked to the implementation of performance-based budgeting in Mexico.

#### *Efforts to Implement M&E systems from 1970s to 1990s*

Pioneering program evaluations were being undertaken in Mexico as early as the 1970s, often supported by international organizations such as the World Bank and the Inter-American Development Bank; for example the Public Investment Program for Rural Development, which was one of the first rural poverty reduction programs in Mexico (Cardozo 2006: 155).

More systematic initiatives were introduced in the fiscal control area during the late 1980s and early 1990s. Integral audits performed by the then-new Federal Audit Institution introduced performance measurement concepts. At the beginning of the 1990s there were attempts to create formal evaluation schemes for federally funded programs but various reasons prevented these initiatives from materialising (Hernandez 2008: 13).

By the mid-1990s scattered evaluations, such as those of the Milk Social Supply Program, the Rural Supply program, the National Solidarity Program

and several job training programs were being conducted in the social sector, but they remained isolated and, to a large extent, ad hoc. Furthermore, the Program for the Modernisation of the Public Administration, created in 1996, introduced performance indicators and internal evaluations, however, it is important to emphasize that these initiatives in the first period focused solely on strengthening internal controls and did not make results publicly available, thus limiting incentives for external accountability (Castro 2009: 2).

### *Establishing a systemic role for Evaluation (1997 – 2003)*

In the late 1990s, Mexico underwent an important change in political control and democratisation, which consequently affected the character of accountability and evaluation reforms in the country. Prior to this period there had been little incentive for transparency and accountability in the public sector because the country had been under a single-party regime since the 1920s, however, beginning in the late 1990s, political events led to the institutional strengthening of government accountability (Busjeet 2009: 2).

It was during this period that Mexico implemented its first rigorously planned and conducted program evaluation. This impact evaluation in 1997 was innovative and influential and became a successful case study. The evaluation became internationally known as a best practice, and similar programmes with corresponding evaluations were implemented in a number of developing countries (Lopez-Acevedo 2009: 3).

The pro-performance approach gained international visibility at a critical political moment. Mexico's government took notice of the important role that evaluation could play in public administration, and the experience opened the way for a more systematic evaluation function. The Secretariat for Social Development pioneered an effort to implement a sector-wide monitoring and evaluation system and progressively used evaluation information in policy decision making. This was an important influence on other cabinet secretaries and the federal government (Ordonez 2009: 4).

In 1998, the Congress introduced a requirement that all federal programs providing subsidies had to prepare rules of operation (ROP), with basic information about a program's design, objectives, performance indicators beneficiary populations, and operations. ROPs greatly improved the availability and quality of performance data as well as the quality and ease of M&E (Perez 2009: 15).

In 1999, a major milestone for evaluation occurred when Congress mandated that all programmes with ROPs had to be evaluated annually by external evaluators. The mandate covered approximately 25 – 30 percent of the federal budgets for programmes and the number of evaluations escalated from single digits to over a hundred in 2001 and in subsequent years (Hernandez 2007b: 13).

Castro (2009:3) argues that additional changes that helped to build a foundation for performance evaluation in government included:

- 1) the introduction of a “Presidential Goals” system;
- 2) the creation of the Federal Superior Auditing Office;
- 3) passage of the Transparency and Public Information Access Law; and
- 4) creation of the Public Administration Secretary.

#### *Progress toward Government–Wide Performance Based System since 2004*

The first articulated vision for a government–wide performance management system was in the 2006 Federal Budget and Fiscal Responsibility Law, particularly with the creation of the Performance Evaluation System; unlike previous efforts, this reform was driven and led by high–level officials seeking to modernize the budget and to facilitate evaluation of public expenditures, among other things. Important parts of this reform were:

- 1) institutionalizing the links between strategic planning and the budget process,
- 2) the launch of a performance-based budgeting initiative, and
- 3) the introduction of planning and evaluation tools at the programme level (Cardozo 2006: 121).

Instrumental to the reform was that the Performance Evaluation System led by the Ministry of Finance was to be integrated with two existing activities: the Management Improvement Program, under the Secretariat of Public Administration and the Social Program Evaluations, coordinated and

conducted by CONEVAL. Evaluations of other sectors were to be undertaken by the Secretariat of Finance and Public Credit and other and other agencies, as illustrated in Figure 4.1 below. The implementation of the integrated agencies started in 2007 with the launch of the National Evaluation Guidelines which was actually a first step toward harmonizing and unifying evaluation practices across all federal agencies (Busjeet 2009: 4).

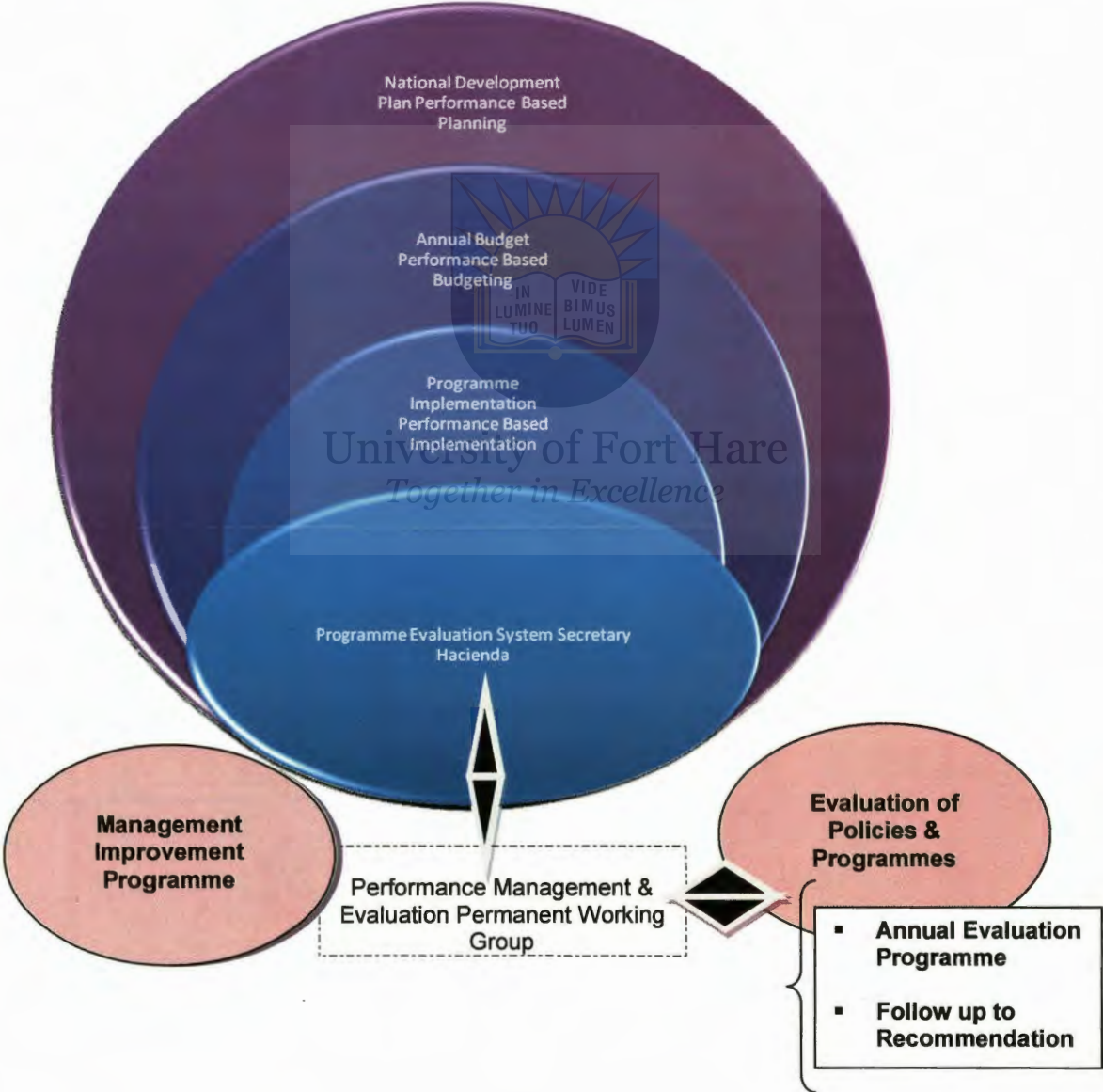


Fig. 4: 1 - Mexico's Government Performance-Based Management System. Adapted from Busjeet (2009: 4).

## THE WORK OF THE NATIONAL COUNCIL FOR THE EVALUATION OF SOCIAL POLICY (CONEVAL)

The transition to democracy, which took place in Mexico at the end of the 1990s, brought about important changes in the political environment and these changes helped the development of new evaluation and results-based management institutions. The emergence of CONEVAL was a landmark response to those changes from both a political and administrative standpoint. Politically, the end of the single-party regime prompted the Congress to find different ways to exert control over the executive branch and so to ensure greater political accountability over social spending (Ordonez 2009: 5).

Administratively, Mexico had a long history of many good government programmes being halted when new administrations came into office because the new politically appointed officials wanted to implement their own programs, without much evidence on the benefits and costs of such decisions (Levy 2007: 14). Introducing evaluations in Mexico was an opportunity for the professional administrators to strengthen and modernize government decision-making processes, and the creation of CONEVAL was an institutional solution that aligned both political and administrative incentives (Ordonez 2009: 5).

## *The Objectives of CONEVAL*

The Social Development Law: 2004 and the statute that supports the creation of CONEVAL state the objectives of the council as follows:

- 1) regulate, conduct, and coordinate the evaluation of social development policies at the national level, as well as the programmes, funds, and actions executed by public agencies; and
- 2) set up the guidelines and criteria for identifying and measuring poverty at the national, state, and municipal levels of government, ensuring the transparency, objectivity, and technical rigor that such activity requires.

This very unique combination of objectives explicitly makes poverty reduction the main performance indicator of social development policy; all social interventions should therefore contribute to this outcome. In addition, the law also clearly points out that poverty measurement needs to be treated as an evaluation itself, making use of independent analyses as well as technically robust and credible methodologies. The strategic rationale behind these objectives was to contribute throughout the production and progressive utilization of M&E information, toward increasing the efficiency, effectiveness, and accountability of social development policies and poverty reduction strategies.

## *Organisational Structure, Roles and Responsibilities of Key Stakeholders*

CONEVAL is the lynchpin of the social sector M&E system in Mexico. In this capacity, it acts as one of the leading agencies in the implementation of results-based management in the public sector more broadly.

CONEVAL is involved in the following mainline functions:

- 1) cross – sectoral evaluation activities;
- 2) sets out standards and methodologies for the evaluation of social programs;
- 3) provides technical assistance to ministries and agencies and undertakes or manages some specific evaluations;
- 4) concurs with development organizations to plan and undertake evaluation work;
- 5) advise national entities and sub-national governments in implementation of their M&E systems, as well as on how to conduct good-quality program evaluations;
- 6) prepares and consolidates evaluation reports and disseminates the evaluation findings among Congress, government agencies, and civil society. Retrieved on 2011-02-17 ([www.coneval.gob.mx](http://www.coneval.gob.mx)).

The first feature that deserves attention is the mixed nature of CONEVAL as a relatively independent government agency with a unique governance structure. Although it is located within the executive branch, and its executive director is appointed by the federal government, leadership of CONEVAL relies on an independent collegiate body made up of six academic councillors. These six individuals are democratically elected for a period of four years, and they are chosen from certified academic institutions. The councillors are involved in all of the agency's decisions and the definition and review of evaluation projects; and also provide general guidance on the administrative direction of the institution and play an important role in the methodologies for poverty measurement (Lopez–Acevedo 2009: 6).

A second feature is CONEVAL's particular focus on the social sector. It was conceived as a sectoral institution and legally supported by a sectoral mandate, namely, the Social Development Law, followed by the integration of social program evaluation and poverty measurement functions under the purview of one Executive Secretariat. In most developing countries, these two activities are usually managed by separate institutions, even though they share common objectives, for example, the assessment of government results; and the key requirements, such as independence and credibility of its products (Lopez–Acevedo 2009: 6).

CONEVAL is charged with another important institutional mandate which is poverty measurement in the country. CONEVAL devotes substantial work and staff to the estimation of poverty, analysis, and the gathering of

information to improve monitoring; consistent with international best practices, CONEVAL not only monitors income or poverty measures but is moving toward the estimation of multidimensional poverty. Granting CONEVAL these unique institutional characteristics and mandate has had advantages and disadvantages.

The advantages stem from the fact that Mexico has created a valuable champion for the development of evaluation. The expertise and specialization of its staff, and the participation of academics, has enabled CONEVAL to develop methods and to conduct and commission evaluations that are technically reliable and credible to both internal and external stakeholders. Similarly, CONEVAL has contributed to the use of evaluation information and, arguably, its coordination and technical support has lowered the costs of evaluation practices in all social agencies. Integrating poverty measurement and social program evaluations provided an additional advantage by increasing the utilization and sharing of surveys and statistical information for measuring the performance of social interventions.

However, there are some disadvantages of using the CONEVAL approach too. On the one hand, its social sector focus limits CONEVAL from evaluating programmes in key areas of the government (e.g., infrastructure, industry, internal security), some of which may have important effects on social outcomes. There are also legal limits to CONEVAL's evaluation oversight of the public sector, and even limits to its providing technical assistance to key government departments. Without specialized institutions to oversee and

support the areas of the public sector that CONEVAL cannot, the technical capacity gap in evaluation between the social sector and other relevant areas and levels of the public administration has been increasing. CONEVAL's relations with ministries have also been difficult at times, particularly when evaluations point out implementation problems and programme shortfalls (Castro 2009: 7).

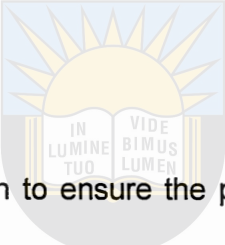
Another related and important point is that being separate from the government's decision-making processes limits CONEVAL's capacity to enforce the use of evaluation information to directly influence policy and budget decisions (e.g., in budget and planning), even in the social sector. Despite these drawbacks, the evaluation knowledge that CONEVAL has been providing has significantly contributed to the improved technical quality of evaluations in the social sector. Its products and technical support are highly visible and appreciated as a net value added throughout the public administration. Furthermore, CONEVAL is unique within Mexico because there is, as of yet, no other entity capable of providing this high level of expertise (Busjeet 2009: 7).

#### *Main M&E Tools and Methodologies*

The responsibility of leading the evaluation of social programs and poverty reduction prompted CONEVAL to develop a number of basic tools to effectively carry out its mandate. These principally included performance evaluation guidelines, programme planning, and evaluation frameworks; a

range of evaluation methodologies suited to different performance measurement purposes. These elements have been developed or improved since 2005 following international standards but a high degree of innovation and customization has also been introduced in response to Mexico's particular needs. It is important to note that although CONEVAL's mandate is exclusively focused on the social sector, most of the tools it developed were eventually adopted by the federal government to serve broader M&E purposes, such as performance-based management (Castro 2009: 8).

### *General guidelines for Evaluation*



Introducing a culture of evaluation to ensure the proper implementation and use of evaluation is a complex and long-term effort. To address resistance by public servants anxious to maintain the status quo, what is often needed is standardization in the concepts and in the language of program results, as well as clear definitions of the steps all agencies must follow. The assimilation of these M&E reforms often leads to the adoption of formal regulations, which might enable sustained use of effective practices and tools over time (Busjeet 2009:8).

CONEVAL took the lead in conveying the importance of having a formal set of policy guidelines. No other public agency at the time had the technical capacity and the credibility to take the lead in the formulation and implementation of such guidelines. Having such guidelines represented an opportunity to make the institutionalization of links between strategic planning

and the budget process operational, as stated in the 2006 Budgeting and Fiscal Responsibility Law. In March 2007, CONEVAL and government jointly launched the General Guidelines for the Evaluation of Federal Programmes. These guidelines introduced technical criteria for regulating the evaluation of federal programs (e.g., mechanisms to ensure quality and utilization), standardized procedures for improving the formulation of performance indicators and strategic objectives, and called for the development of M&E systems at all agencies of the federal government (Ordonez 2009: 8).

The first stage of the guidelines implementation focused on the development of evaluative frameworks (matrix indicators) as well as consistency and results analyses for all federal programmes. The second stage focused on annual evaluation plans, including the whole range of evaluation methodologies designed and put into place by CONEVAL. Significant accomplishments brought about by the General Guidelines in Mexico's public sector included: having specific steps for the application of logic frameworks to all budget programmes; adopting a single, results-based, M&E language in the federal government; providing standardized M&E methodologies; and initiating a government-wide, learning-by-doing M&E process among federal agencies and officials. In conclusion, the guidelines integrated, and were an improvement over, all previous mandates; fostered evaluation in government; contributed to the consolidation of a solid legal base; and advanced the public sector in terms of M&E international standards (Ordonez 2009: 8).


### *Matrix Indicators (MIs)*

The results orientation adopted by Mexico progressively created powerful demands for performance information at different government levels. One source of such demand has been the push by the President's Office to have the National Development Plan (NDP) serve as the main reference point against which to align sector plans and program goals as well as measure their progress. Another strong source of demand has been the Secretariat of Finance and Public Credit's movement toward performance budgeting and implementation of the Performance Evaluation System. Owing to this move, a need developed for a mechanism to strengthen programme planning and the results focus of the government budget.

In response to such needs, CONEVAL and other government institutions introduced the international standard logic framework methodology, widely known as the matrix indicators (MIs), into the Mexican context (Ordonez 2009:9). The introduction of the matrix into all programs was challenging, as it involved the review of all programmes designs and their internal and external logic as well as identifying performance indicators. This, in turn, required the development of program planning and evaluation capacities at all agencies. Consequently, CONEVAL, with the support of its partners, led an intense training initiative in the logic framework methodology, which was supported by international and national institutions; resulting in over 1,620 officials being trained in 65 workshops, and MIs were set up in 389 programs (covering 70% of the federal budget (Burgos 2008: 24).

The use of MIs in Mexico was initially focused on programmes with rules of operation (ROP), that is, programmes giving subsidies. However, because of high demand, MIs were rapidly rolled out with the objective of having them in all federal programs by 2010. CONEVAL also held training workshops with sub-national governments, to begin transferring the principles of the MI in performance-based government, in accordance with the mandates of the 2006 Law of Fiscal and Budget Responsibility (Perez 2008: 17).

Ordenez (2009: 9) identifies three (3) multiple benefits to the federal administration due to the introducing the MI as one to the main system's tools in Mexico, as follows:

- 
- The logo of the University of Fort Hare is a shield-shaped emblem. At the top is a sun with rays. Below the sun is an open book. The text 'IN LUMINE TUO' is written on the left page of the book, and 'VIDE BONUS LUMEN' is written on the right page. Below the book, the text 'University of Fort Hare' is written in a serif font, and 'Together in Excellence' is written in a smaller, italicized serif font below it.
- 1) an operational way to facilitate the shift from traditional management (input/ activity-based) toward performance management (output/ outcome-based);
  - 2) a unified program and planning and evaluation framework to standardize results measurement; and
  - 3) improved consistency and quality in programme design.

In Mexico, as in many countries, as governments create and modify programmes, the original rationale of many of them tends to be weakened over time, as does their alignment to national and sector plans. Therefore, the impact of the MIs and accompanying changes is expected to be significant.

The standardization of the quality and content of the MIs in Mexico still requires attention just as much as a process for their periodic review is also required. An analysis of a non-random sample of matrixes shows there is still uneven quality among the various sectors. Some matrixes present very high standards in terms of the technical definition of assumptions, goals, indicators, and identification of financial resources and information, while other matrixes are unclear regarding many of these aspects and are lacking in sequencing among inputs, activities, products, and outcomes (Burgos 2008: 27).

Internal validation of many of the matrixes by the respective agencies' higher-ranking officials is also critical. Without such political endorsement, the process remains mostly at mid-level and does not advance beyond the technical echelons of the government. Additional training and guidance at the national and sectoral levels will also be needed to help in changing the perception, which currently exists at different levels of the MI, that it is yet another administrative requirement from CONEVAL and other institutions, rather than as a managerial tool that will actually benefit the agencies themselves (Perez-Jacome 2008: 19).

### *Programme Evaluation Methodologies*

One of the main challenges of institutionalizing evaluation is the development of technically sound and standardized methodologies. One of CONEVAL's first steps was therefore to develop a "menu of evaluations" that could provide

specific performance information to suit the needs of different institutions within and outside the government.

The menu included a host of evaluation techniques designed or adapted to cover all levels of the government's program implementation chain. The primary implicit logic of the methodological approach and the scope of each method are presented in Figure 4.2 below.

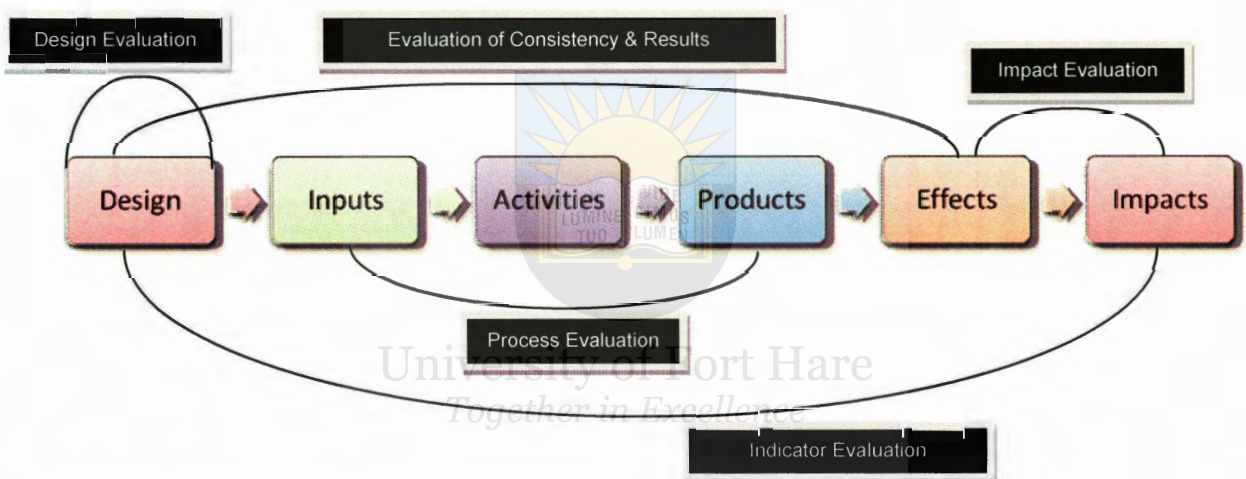


Figure 4: 2 CONEVAL's Main Evaluation Methods, Adapted from Castro 2009:

10.

The methodologies cover areas such as the quality of programme design, indicators, processes, and strategic planning and impact of programmes.

Castro (2009:10–11) explains the various evaluation steps and processes, as depicted in the figure supra as follows:

Design evaluation – is conducted on programmes that are in their first year of implementation. The evaluation assesses if a programme makes a clear

contribution to the solution of a particular policy problem and if the objectives of the program are aligned with the objectives of its ministry. This evaluation only uses secondary information and involves no original data collection. It is mandatory for all new programmes and is targeted to inform programme managers, budget officials, and other ministry staff. This assessment is designed to help identify any potential problems or flaws in the programmes thereby increasing the likelihood of more effective interventions. It also expected that this assessment will clarify how a new programme will add to existing policies, thereby reducing the likelihood of duplication.

Process evaluation – appraises the efficiency and efficacy of operational processes of a programme during its implementation and provides feedback for improvement before the programme ends. It allows programme managers to identify bottlenecks in the programmes service delivery mechanisms and leads to improvements in the programme’s operation, which then benefit the target population. As such, it should play an important role in providing explanations for low performance. The process evaluation is implemented on a case-by-case basis and is targeted for use by programme managers, budget officials, and other ministry staff.

Programme consistency and results evaluation – is a rapid assessment used to obtain a general and comparative perspective of the design, strategic planning, coverage and targeting mechanisms, operation, beneficiary perception, and results. It is used to highlight specific strengths and weaknesses of programmes and to motivate decision makers to consider

which of these should be evaluated in a more rigorous way, using the other methods. This type of evaluation only uses secondary information and involves no original data collection. It is targeted at a broad range of users, including programme managers, high-level decision makers and the general public.

Indicators evaluation – is a methodology that has commenced development in 2009. It will measure the quality of indicators, including in the MIs by considering whether they are clear, relevant, adequate, and monitorable, as well as whether their information comes from reliable data sources. The objective is to ensure that accurate information is collected for performance-based monitoring, evaluation, planning, and budgeting. The indicators evaluation is to be implemented on a case-by-case basis and is targeted at programme managers and mid-level ministry staff.

Impact evaluation – seeks to measure changes in the conditions of well being of the target population that are attributable to a specific programme. This type of evaluation provides the most technically robust evidence about whether a programme is working or not. As such, its purpose is to inform high-level officials on the extent to which a programme should be continued or not, and if there are any potential modifications needed. This kind of evaluation is implemented on a case-by-case basis and is usually completed at various points in the programme along with the other methods, and is targeted toward more executive levels of government, though it does provide

useful information to programme managers and all kinds of government officials.

Hernandez (2007: 15) identifies a number of benefits that have been derived from the use of standard methodologies as follows:

- 1) Mexico has built a performance information database with comparable information across its programmes which allow CONEVAL to analyze the effectiveness of wider policies and even institutions more accurately in the future; and
- 2) the database will also create a larger “critical mass” of evaluation knowledge, particularly if public access to this information is facilitated in a more robust manner.



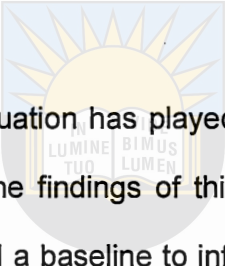
University of Fort Hare  
*Together in Excellence*

#### *Annual Evaluation Programme & Sector Evaluation Units*

To implement the diversified menu of evaluations, CONEVAL persuaded its partners, to support the establishment of a national Annual Evaluation Programme (PAE) every year. The PAE grew out of the need for advance planning of evaluation activity, making sure that the programmes to be evaluated are strategically selected and that appropriate evaluation methods are chosen to assess them. The PAE also serves as a tool to match the demand and supply sides for evaluation, and seeks to ensure that the findings manage to influence decision – making processes. This is expected to work,

in particular, through the influence that, CONEVAL, and other institutions can exert, from different perspectives, over the programme (Lopez–Acevedo 2009: 12).

CONEVAL is the principal technical leader of the PAE, working closely with line ministries, while other institutions primarily play supporting roles. The PAE is published in the middle of the calendar year before the period it covers so that line ministries can plan and budget ahead of time for the evaluations (Lopez–Acevedo 2009: 12)



The consistency and results evaluation has played a special role in terms of informing the PAE. Based on the findings of this evaluation, completed in 2007, CONEVAL had constructed a baseline to inform future decisions about which programmes would need deeper evaluation. As an aid in setting priorities, the consistency and results evaluation provided a snapshot of key areas of performance, including design, targeting, and operation, which were important in the negotiations of the 2008 and 2009 PAEs with sector and agencies (Lopez–Acevedo 2009:13).

The administrative units that manage the evaluation menu within existing line ministries were introduced in 2007. The main responsibility of these units, among other, involved:

- 1) coordination;
- 2) contracting and supervision of evaluations; and

3) evaluating work within each ministry is conducted properly and with the needed human and financial resources (Castro 2009:13).

### *Poverty Reduction Evaluation Methods*

Ordonez (2009: 13) explains that until recently Mexico did not have an official position on how to define poverty. He indicates that this is not unusual among countries, though a few, notably India and the United States, have a long tradition of maintaining an official poverty line. Because the definition of poverty is necessarily a product of both technical analysis and political process, it is a major asset to have such an official position, as this can help shift debate from the number of poor people to the really important questions of causes, trends, and what to do.

University of Fort Hare  
*Together in Excellence*

In 2000, the government of Mexico convened a committee of experts to prepare an official position on poverty, the Technical Committee for Poverty Measurement (CTMP), which was comprised of academics from a range of fields, along with observers from the government. CONEVAL adopted the recommendations from the CTMP. The assessment work of the committee was of high quality, and made full use of the international literature on poverty measurement. One of the most important contributions of the CTMP was setting up a transparent process on poverty measurement, which has been carried out by CONEVAL.

## THE PERFORMANCE EVALUATION SYSTEM IN MEXICO

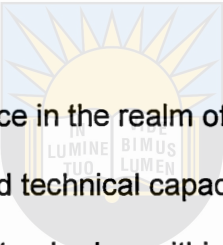
The Federal Law on Budget and Fiscal Responsibility, amended in 2007, updated the Mexican budget and was the basis for guiding federal spending toward performance budgeting. To that end, the law created the Performance Evaluation System (SED), which eventually integrated all previous evaluation efforts into a single nationwide M&E system. It is important to note the progressive evolution of the SED, which was first suggested in 1995 as part of a series of reforms to the budget system. Substantive efforts only materialized after more than a decade, in 2008, when the SED began its formal operation. It was not easy to determine all of the factors that contributed to the evolution of the SED. It is possible, however, to point out that the establishment of CONEVAL's M&E model and system, the progress already achieved in setting up MIs in all programmes, as well as the existence of a pool of evaluation methods applied to more than 130 programmes annually, all created a solid foundation from which the system could take off (Lopez–Acevedo 2009: 17).

Castro (2009: 17) identified two (2) pillars by which the Performance Evaluation System in Mexico operated by:

- 1) the monitoring of programmes supported by the federal budget using the information base of matrix indicators – this activity takes place during programme implementation and seeks to warn budget officials about possible delays in the achievement of the outcomes; and

- 2) the evaluation of programme results, which, in turn, has two subcomponents. These subcomponents are the evaluation of federal programmes (including the evaluation of social programmes undertaken by CONEVAL), and the evaluation of processes and public services, which takes place within the Management Improvement Programme, led by government.

Castro (2009: 17) provides the specific roles and responsibilities of the operating agencies:

- 
- 1) provides technical assistance in the realm of monitoring and evaluation, based on its experience and technical capacities;
  - 2) secures management standards within the agencies through certification methods;
  - 3) leads the performance-based budgeting initiative and ensures that the information produced by all agencies is funneled into the budgetary decision-making process; and
  - 4) provide regulatory guidance on the conduct of evaluations and the follow-up on the implementation of recommendations.

The SED, making use of the logical framework methodology (that is, the MIs), aligns the objectives of the National Development Plan, sector programmes, and the budget. In order to inform the budget, the SED continually produces M&E information regarding the extent to which goals and objectives of the federal programmes have been achieved. With this evaluative information

being supplied by the MIs and the Annual Evaluation Programme, it is hoped that budget officials can provide early warnings about possible delays in the development of such goals, and thus propose actions for improvement (Busjeet 2009:18).

To ensure institutional coordination in the implementation of performance-based management activities, the government of Mexico established a Performance Management and Evaluation Working Group involving the relevant role-players involved with performance evaluations. This establishment formulated regulations (e.g. General Guidelines for Evaluation) and in the performance of relevant cross-cutting tasks such as dissemination events and training, among others (Castro 2009: 18).

The Ministry of Finance, who is responsible for the compilation of the annual budget, together with engagement with other line-function ministries, decides the expenditure priorities and the allocation of resources. Based on SED's M&E information and the results obtained from implementing agencies in the preceding year, the Ministry of Finance can propose improvements in programmes, policies, or institutional settings. Resource allocations can increase depending on performance and the implementation of evaluation recommendations for programme improvement. Similarly, programmes can suffer potential reductions or elimination altogether depending on M&E information and government priorities (Busjeet 2009:18).

Once the budget is approved by Congress and the fiscal year begins, the Ministry of Finance is responsible for monitoring the day-to-day execution of the budget (i.e., the way line ministries spend). However, through the SED, the Ministry of Finance also monitors the achievement of performance objectives and goals (i.e., the extent to which agencies attain their programmes' stated results). It took Mexico at least 10 years and an enormous amount of work, carried out by many different government agencies, to accomplish such a comprehensive M&E system. Full and complete institutionalisation of the SED has yet to be achieved, but there has been solid foundation laid for performance-based budgeting and programme evaluation to be enhanced. CONEVAL's performance evaluations of programmes are now being used by the Ministry of Finance in the preparation and negotiation of the budget and the SED has proven to provide the potential to become a systematic and recurrent source of information on programme performance (Castro 2009: 19).

#### **MEXICO'S M & E SYSTEM: STRENGTHS AND WEAKNESSES**

Mexico has been a pioneer in Latin America, in particular with regard to the importance placed on robust impact evaluation of social programmes, as evidenced by the evaluations as depicted in the earlier sections. The country has also made significant progress in managing public institutions and programmes more efficiently. Governments have begun to move away from the traditional forms of management. Instead of solely focusing on the monitoring of inputs, there is a trend toward focusing on results and impacts.

Mexico commenced in 2005, by introducing a series of M&E and performance-based budgeting reforms, followed by consolidation thereof in 2007, when the SED integrated previously disparate but well-oriented M&E efforts. CONEVAL was a significant development for institutionalising the evaluation function within the public administration because it granted the system independence, credibility, and technical capacities; CONEVAL paved the way for mainstreaming evaluation methodologies and helped to foster broader performance management reforms. The council's role as a key champion of evaluation has also been unprecedented and its capacity to manage the performance of more than 100 evaluations annually was impressive. In fact, the CONEVAL model has become a benchmark for other developing countries undertaking M&E reforms (Lopez-Acevedo 2009:19).

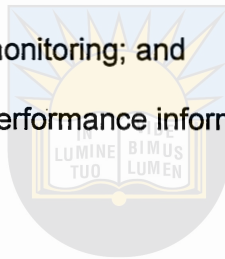


All in all, Mexico had set out strong institutional foundations for its M&E system. The legislation had provided a modern framework and made the system operational. The progressive assimilation of results-based practices, tools, and codes were initiated at all levels of the public sector, with increasing use of the evaluation findings. Moreover, the system relies heavily on a country-led rather than a donor-led strategy which increases the likelihood of long-term sustainability. Although, good progress has been reported, there still remain a number of challenges to achieving full institutionalisation of evaluation and results-based management in Mexico (Lopez-Acevedo 2009: 19).

## *Strengths & Main Challenges*

Alcade (2008: 2 – 7) highlights six (6) strengths and main challenges in the M&E system in Mexico, namely,

- 1) managing change;
- 2) developing evaluation capacity;
- 3) institutional coordination;
- 4) strengthening the role of planning;
- 5) strengthening the role of monitoring; and
- 6) strengthening the role of performance information.




### *Managing change*

University of Fort Hare  
*Together in Excellence*

Between 2005 and 2009, Mexico underwent significant fundamental changes in performance management. The list of institutional reforms, new practices, roles, and agencies involved in the management of the Mexico's policy landscape was. These changes were not adopted overnight by officials and agencies; in fact, as is the case in other countries, the Mexican experience indicates that many of these changes created confusion and even frustration in some entities. Furthermore, substantial increases in the workload of a number of civil servants, coupled with the long-term character of the reform, which also meant slow rewarding of benefits; this had produced resistance at some levels. A key challenge for the federal government was thus, overcoming such resistance by ensuring the proper balance between the

spacing and sequencing of the reforms. It will also consist of an adequate adoption of, and adaptation to, the changes. International experience indicates that Mexico will benefit greatly from a carefully planned, reform management strategy. Such a strategy could integrate actions taken at the highest level of government and encourage managers and political officials to adopt a results orientation, while at the same time creating conditions at lower levels that enable programmes and officials to respond to these changes.

Some of these actions include:

- 
- 1) strategically communicating the overarching philosophy of change;
  - 2) maintaining high-level political commitment both in government and Congress;
  - 3) strengthening the technical capacities of key reform “champions”;
  - 4) providing applied training and specific advisory services to line ministries; and
  - 5) developing incentive plans to reward good performance.

Some of these actions have already been implemented or are currently taking place, but their integration under a coherent and, above all, systematic and medium-term change strategy could give organisations the capacities and the time to absorb the scope and depth of the reforms. This is an important consideration, in particular, for reducing the risks of “reform fatigue”.

## *Developing Evaluation Capacity*

One challenge that deserves particular attention is the ongoing need for evaluation capacity building. The good practice of widespread training, led by CONEVAL and the Ministry of Finance in 2007, should not be seen as a once-off investment but rather as the first step in a long-term process for developing M&E capacities in government. There are still many areas in which training is needed. If a performance orientation is to penetrate deeper into the public administration, further capacities in planning, financial and performance management, and in the supervision of evaluation methodologies will have to be developed.

If a results "culture" is to be nurtured and sustained, Congressional units, control agencies' technical staff, the media, and key civil society and professional organisations will need to acquire more knowledge of the scope, purpose, and potential use of performance information and M&E tools. The participation of academic institutions in such endeavors will be crucial. The sophisticated evaluation menu that Mexico has developed has, in turn, imposed a challenge in ensuring that an adequate pool of qualified external evaluators is available to complete evaluation work according to the standards set up by the evaluation agencies of government. Though the number of contracted evaluations has grown rapidly, there are still a relatively modest number of professional evaluators available in universities and consulting firms to fill market needs.

It is not uncommon to find that the same people have evaluated numerous programmes over a number of years, sometimes even evaluating the same programme more than once. Now that evaluation demand is growing, a larger and more qualified cadre of external evaluators is needed. An aspect closely related to these concerns is the wide variation in the quality of evaluation work completed between 1999 and 2006. A number of calls to enhance the quality assurance process of external evaluators have come from the executive government, academia, and even Congress.

CONEVAL has taken some initial steps to regulate the quality of external evaluators by setting up a national registry of existing professionals, but more will be needed, particularly under the SED, to address these challenges. In terms of expanding the supply of qualified evaluators, there is an important opportunity for Mexico's universities and other academic institutes to introduce more training-related knowledge products, as well as to increase the supply of advisory services for practitioners. CONEVAL and the Ministry may consider involvement in this agenda through accrediting university courses in the evaluation of public programmes, creating incentives for evaluations to include an explicit knowledge-transfer component through, for example, peer-to-peer learning activities so that informal training of practitioners takes place.

## *Institutional Coordination*

The performance management reforms introduced have created new roles for a number of entities which require a host of new interactions between the political and technical levels of government agencies, and among these agencies, Congress, and the control entities. Ensuring that M&E information effectively influences policy making and strengthens accountability requires that these relationships be clearly defined. However, the clear definition of roles, leadership, and authority has not necessarily been accomplished or appropriately coordinated. In fact, the creation of new institutions, the introduction of performance indicators, the performance evaluations, the implementation of performance budgeting, and the increasing accountability practices are all new activities that strain the capacities of existing institutional mechanisms leading to challenges in terms of coordination and efficient use of resources by avoiding duplication.

This is particularly true with respect to collaboration between the so-called, cross-cutting agencies and other key stakeholders such as Congress and control agencies. Current regulations, for example, have not yet established the specific roles and scope of some of these agencies' evaluation functions and, therefore, potential conflicts and duplications may start to emerge. In practice, the question of "who does or leads what?" has been managed in relatively ad hoc ways, in order to keep the process going; there has, until 2009 been an implicit consensus and understanding of the division of labour. However, tensions could increase over time, thus posing potential threats to

the process. Something similar has been done in Colombia since 2000, and more recently in the European Union, with the goal of training evaluators working in new member states.

A similar challenge relates to the roles, responsibilities, and mechanisms for coordination at the sector level. The National Evaluation Guidelines and the wider SED initiative introduced a host of new performance-oriented functions and processes, which go way above and beyond the traditional responsibilities of the administrative units, and which will require the cooperation of various units within the ministries (e.g., budgeting, planning, evaluation, and intelligent technology departments). There is still a long way to go in defining roles at these levels. For example, interviews conducted in 2008 showed that the contracting of evaluators was still being done by both administrative units and the programmes themselves, and that the various processes connected to contracting were not well defined, with the result that hiring evaluators is still, in many cases, an extremely slow process. That being said, it is important not to over-regulate how line ministries should organise evaluation work. At the same time, additional support could be given to line ministries as they implement and absorb the new evaluation framework within their structures. Given that the M&E system has entered a period of consolidation, emphasis should be placed on facilitating coordination within the line ministers and on empowering evaluation units in relation to the cross-cutting agencies leading the SED. In this way, communication and coordination between these different stakeholders can become more effective. One opportunity exists in selecting leading sectors to showcase different

models on what the basic structure and capacities of evaluation units should look like, and even more important, on how the lines of coordination between these and budget and planning units could work. Making the M&E system operational at the sector level is a key institutionalisation challenge ahead.

### *Strengthening the Role of Planning*

Strategic planning is a key pillar of the Mexican performance-based management model, because it should provide both strategic direction to overall spending and results frameworks (benchmarks) at different levels of the administration. It is primarily against this framework and that of the budget that the overall government performance can be measured. The role of planning has been significantly augmented by the initiatives implemented between 2006 and 2007. The introduction of goals and quantifiable indicators to the National Development Plan (NDP), the requirement that line ministries align their sector plans with the NDP, and the development of MIs at the programme level have all contributed to enhancing the role of performance based planning in Mexico. Nevertheless, there is still a fundamental challenge regarding planning namely, its effective harmonization with budgeting processes. At national and sector levels these processes currently take place separately, undertaken by different units for whom coordination of work is made it difficult by the fact that, for example, the two processes follow different calendars. Meeting this challenge thus requires a revalidation of planning as a managerial tool at sectors and agencies so as to change the perception that the planning function is a procedural, compliance – related

activity, with relatively low value added to the public management processes. In addition, the technical and operational elements associated with harmonizing planning and budgeting will also require investments.

Another area where room exists to strengthen the links between the government's performance and planning is the systematic evaluation of the current national and sector planning exercises. Currently, evaluation tools are mainly focused at the programme level and no assessment methodology for plans exists. Evaluating plans will create incentives for the agencies to undertake these processes in a more managerial and less procedural manner. The challenge for the evaluating agencies is the creation of incentives and the tools for reinvigorating the planning function, and conveying its crucial role for performance-based management and budgeting.

University of Fort Hare  
*Together in Excellence*

#### *Strengthening the Role of Monitoring*

The Mexican model has put a premium on evaluations conducted with a high level of sophistication. However, a standardized, systematic, and consolidated monitoring function has yet to be developed. A well-developed monitoring function is essential to effective planning and budgeting, because government performance is strongly linked to services and products that need to be managed on a daily basis (normally using administrative records produced by the programmes). This rather contrasts with the evaluation function which focuses more heavily on outcomes and impacts, and relies more strongly on statistics and longer-term, in-depth analyses. As such, a

core challenge for the Mexican M&E system was to reach a proper balance between these two different activities. Part of this challenge is ensuring that both activities are conducted in a technically sound and complementary manner. Monitoring tools should facilitate timely assessment of key performance parameters, allowing managers to deal with problems before they become critical. An additional, often overlooked, benefit is that monitoring data can be collected at relatively low cost and the data can be later used to conduct more extensive and systematic evaluations.

The Performance Evaluation System should aim to fill the monitoring gap. However, it still faces the challenge of setting a framework with sound technical and institutional rules to cover the whole management cycle. This would involve producing monitoring information all the way up and down the implementation chain, from inputs and activities at the bottom, to products, outcomes, and impacts at the top. A systematic collaboration among the relevant stakeholders could have a significant pay-off for ensuring success in this effort.

#### *Strengthening the Quality of Performance Information*

Having a dependable information infrastructure that supports performance-based management is extremely important. This infrastructure is the single, most important foundation for the availability and quality of the government's M&E work. A rapid review of current practices in line ministries shows, among other weaknesses, lack of standardization in quality protocols for managing

data, disparate information on programmes' beneficiaries, limited harmonization of surveys and thematic coverage for priority programme evaluations, and limited capacities to manage information by management staff.

If decision makers perceive that bad information is feeding into the system, its short-term credibility and longer-term sustainability can be seriously damaged. Action to enhance the quality of performance information is, therefore, an important challenge for Mexico.

CONEVAL's decision to establish a formal partnership with the National Institute of Geography and Information (INEGI) should increase the performance information collected through surveys, thereby providing more data for strengthening poverty measurement and evaluation work. Although this is a good step forward, the challenge lies in the expansion of this effort to cover the entire SED and in extending collaborative work to the other statistical institutes in Mexico.

## SUMMARY: LESSONS LEARNT

This section presented a review of the steps taken by Mexico's federal government to create a country-wide M&E system, as well as the principal achievements and challenges on the path toward institutionalizing the system. Full institutionalization has not been accomplished yet but there are ongoing initiatives on several fronts to strengthen, expand, and consolidate the depth and scope of the M&E reforms in the public sector. Although the process is not yet complete, Mexico has achieved definite successes in the last decade and, particularly, since 2005 when an in-depth performance management reform commenced.

The system evolved from a sector-wide, mainly accountability-based endeavor, to a national level, centrally driven initiative closely linked to the annual budget process. The principal champion of the system, owing to its main area of influence, is the Ministry of Finance, with the powerful support of other evaluation agencies like CONEVAL. Each of these agencies is in charge of operating key components of the system. The political support of the President's Office has also played a part due to its increasing support and encouragement of performance management reforms in progress. The system's rapid implementation has also been the result of the combination of these three agencies' influence, power, and technical capacities (Mackay 2007: 18).

Important lessons in a number of areas can be drawn from Mexico's experience in implementing a government-wide M&E system. These lessons

are related to the successful integration of different pieces of M&E work, the obstacles encountered in the process, and the solutions advanced.

Some of lessons, which can be useful to other countries, like South Africa, endeavoring to strengthen the overall government's performance based budgeting system and its M&E system, include the following:

- 1) Adopting an opportunistic approach toward implementation was effective top-down state or budget reforms often offer unique opportunities for introducing, strengthening, or broadening the scope of the M&E practices in government. Capitalizing on the reform momentum may require the forging of partnerships even if the lines of their responsibilities are not entirely clear. In Mexico, even when roles seemed to overlap and tensions among agencies emerged, interested government agencies worked to keep the process moving forward, without stopping to formally define their respective functions. Caution should nevertheless be taken not to leave too many roles and responsibilities of key stakeholders without clear definition because in time, the costs could exceed the benefits. Agreements can be useful for creating frameworks and for advancing the initial implementation. However, long-lasting and effective operation in advanced stages (e.g. for ensuring utilization) can be difficult, and the risks of implementation obstructions can be high if the functions among key actors are not clearly defined. International experience indicates that whenever

possible, making those functions clear from the start offers substantial benefits in the long run.

- 2) The introduction of M&E practices and tools needs to respond both to political and technical requirements – Evaluation in Mexico was an answer to, and a consequence of, the political transition to democracy, specifically, to the increasing calls for accountability in government. But it was also a technically planned effort in response to Congress' political decisions to demand performance evaluations of all government programmes. The bottom line, in this particular respect, is that the implementation of M&E reforms should not simply be seen as a technical issue, to be solved by the executive. Congress and the political context play a crucial role if an M&E reform is to be truly internalized by the whole government. Unfortunately, there are no formulae to ensure that these two requirements go hand in hand.
  
- 3) The risks of overly engineering the M&E systems, both in quantity and quality of the methodologies and information they produce, are present in many countries. In Mexico, the law mandates and enforces annual evaluation of all government programmes, but the capacity to accomplish such mandates both at the government level and in the supply of evaluators does not yet exist. CONEVAL has learned from this experience and has adjusted its Annual Programme of Evaluation to identify the sequence and types of evaluation that need to be implemented in the future. This is an important step since excessive

development of evaluation methods and production of performance information might simultaneously weaken the demand for results information itself.

- 4) Institutional arrangements to foster the demand for evaluation might be useful. The Mexican case shows that proactive steps are needed to integrate performance information in decision making and accountability processes, in order to enhance coordination and ensure appropriate dissemination of performance information. In countries with a legal tradition, these arrangements are normally supported by laws and permanent regulations, while in countries with a more embedded managerial tradition, the use of performance information will depend more on largely accepted practices.

University of Fort Hare  
*Together in Excellence*

- 5) Mexico's momentum for the institutionalization of M&E has been effectively seized by key government champions. The development of the system has helped to move the modernization of government forward, bringing a large array of improvements, which affected accountability and transparency mechanisms, the planning and budgeting process, and the professionalization of the public service. For Mexico, the institutionalization of M&E, in parallel with the opening up of the political system at the beginning of this decade, has contributed toward helping the country to overcome a legacy of intense mistrust in government.

In conclusion, the achievements of the M&E system in Mexico are impressive but still incomplete. Planning, measuring, and reporting government results have been widespread, and capacities particularly in the federal government have improved. However, actual use of the results; the clearest and most potent sign of successful institutionalization, is still a challenge, though it is greater today than it was several years ago. The risks of information overload and agency fatigue due to increasing demands on line ministries, and the need for further coordination, are still present. The solid foundation already built will probably result in greater use of the system, but expectations should be managed (Castro 2009:27).



The enthusiasm for performance management is conspicuous among stakeholders in the Mexican public administration. This enthusiasm has been fuelled by important legislation as well as a number of extremely influential impact evaluations of key social programs in Mexico. The national and international recognition, which the impact evaluations have gathered, have played an important role in putting evaluation on the map in Mexico. In terms of the legislative framework, this diagnostic indicates that Mexico has succeeded in creating a solid foundation upon which the ambitious agenda of M&E initiatives can be built. Key legislative initiatives, including the Fiscal Responsibility Law, Management Improvement Program legislation, and the Social Development law have provided frameworks to strengthen pre – existing evaluation laws. This is extremely important for the sustainability of the system in the longer term and is a clear strength for Mexico as it moves forward.

This section commenced by providing an invaluable introduction to monitoring and evaluation in Mexico. This was followed by a fair review of Mexico's progressive movement from a sectoral to a government-wide M&E system. It further highlighted the critical institutional reforms introduced, the policy decisions, and the most important operational steps that were taken, offering an account of the political context within which such changes and decisions were possible.

The report proceeded to examine the specific role of the National Council for the Evaluation of Social Policy (CONEVAL) as an innovative development, which furthered institutionalisation of evaluation and a results focus at the federal government level through the implementation of the System for Performance Evaluation. This was followed by a review of the government-wide system's strengths and main challenges for the future. The section concluded by offering some lessons for other countries.

Finally, a local approach towards performance and monitoring is presented in the following section, where there is a sharp focus on the Government Wide Monitoring and Evaluation (GWME) in South Africa.

## PERFORMANCE MONITORING & EVALUATION IN SOUTH AFRICA

### BACKGROUND

Monitoring and evaluation (M&E) is an extremely complex, multidisciplinary and skill-intensive endeavor. Government-wide M&E (GWM&E) is even more so because it requires detailed knowledge both across and within sectors, and as well as of interactions among planning, budgeting, and implementation functions in the public sector. The complexity of the situation is exacerbated further when the machinery of government is decentralized, with powers and functions distributed across three spheres of government. It is precisely this kind of complex intergovernmental structure, with diffuse powers and functions, which requires strong M&E systems to promote coordination and prevent fragmentation (Ajam 2010: 1).

South Africa's negotiated transition to a new democratic order in 1994 created immense pressures on the newly elected government. One of the key priorities was to overcome the legacy of racially skewed public service delivery under the apartheid regime by enhancing access to, and the quality of, services to previously-disadvantaged communities and vulnerable groups, such as, women, children and people with disabilities. Ijeoma (2008: 64) argues that the high levels of underdevelopment and poverty experienced by many African countries can be attributed to non-establishment of processes and systems to deal with the challenges facing government's programmes. Hence, SA requires the will to avert and overcome this constraint.

## THE ESTABLISHMENT OF GOVERNMENT WIDE MONITORING & EVALUATION IN SOUTH AFRICA

In 2005, the South African Cabinet approved recommendations from the President's Office on "an implementation plan to develop a monitoring and evaluation (M&E) system." The system was to include functions such as monitoring, evaluation, early warning, data verification, data collection, analysis, and reporting. The role of M&E in the policy cycle of planning, implementation, and monitoring was established. A conceptual anchor for the system was the establishment of a set of national indicators.

Engela (2010: 2) indicates that the implementation plan included dates for phased implementation of the system. Work was to be carried out by an interdepartmental task team, led by the Department of Public Service and Administration (DPSA), along the following work streams:

- 1) Principles and practices, led by the President's Office;
- 2) Reporting and databases, led by the DPSA; and
- 3) Capacity building, led by the Public Administration, Leadership and Management Academy (PALAMA).

However, after the government's initial interest in the GWM&E initiative, it lost momentum for about a year. During this time there was little discernible progress on the assigned tasks and, instead, a lot of energy was spent on clarifying roles and developing terms of reference for the various working

groups. While joint governmental initiatives can succeed, representatives from various departments need to align individual departmental resources with the project and such an alignment, or realignment, often takes considerable time. Representatives also have to contend with competing policy demands and interests as well as linkages to budget and planning cycles. This protracted period of internal norm setting and resource alignment, unfortunately, was not factored into the proposed work plan and, for a period, the interdepartmental task team stopped meeting, while deadline after deadline in the initial project plan was missed.

The Government-wide Monitoring and Evaluation System seeks to enhance these systems by describing them and explaining how they relate to each other. National Treasury (2007: 2) indicates that the GWM&E System has three components:

- 1) Programme performance information;
- 2) Social, economic and demographic statistics; and
- 3) Evaluations.

The following Figure 4:3 illustrates the relationship between these components. It highlights that there will be frameworks dealing with each component. The Framework for Managing Programme Performance Information deals with the management of the programme performance information component, although the terminology and definitions outlined in it

are generally applicable throughout the Government–Wide Monitoring and Evaluation System.

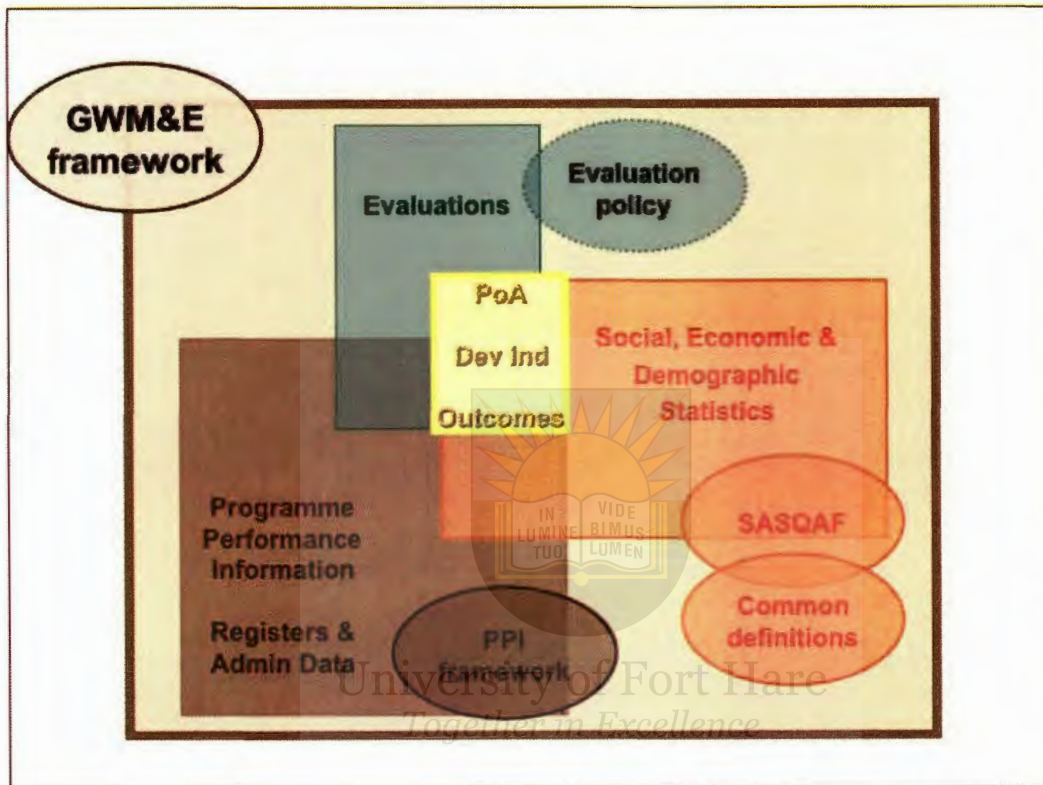
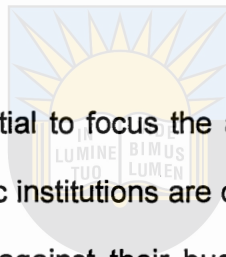


Figure 4:3 – Components of the Government-wide Monitoring and Evaluation System, adapted from Ajam (2010: 3).

### *The Value of Measuring Performance*

Performance information indicates how well an institution is meeting its aims and objectives, and which policies and processes are working. Making the best use of available data and knowledge is crucial for improving the execution of government's mandate. Performance information is key to effective management, including planning, budgeting, implementation,

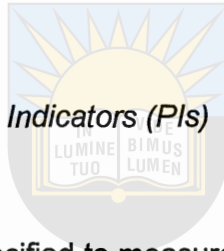
monitoring and reporting. Performance information also facilitates effective accountability, enabling legislators, members of the public and other interested parties, e.g., civil society, to track progress, identify the scope for improvement and better understand the issues involved. The public sector delivers services essential to the well-being and development of the nation. To ensure that public service delivery is as efficient and economical as possible, all government institutions are required to formulate strategic plans, allocate resources to the implementation of those plans, and monitor and report the results.



Performance information is essential to focus the attention of the public and oversight bodies on whether public institutions are delivering value for money, by comparing their performance against their budgets and service delivery plans, and to alert managers to areas where corrective action is required. Performance information also plays a growing role in budget allocations and will increasingly be used to monitor service delivery. This means the information must be accurate, appropriate and timely. The most valuable reason for measuring performance is that what gets measured gets done. If an institution is aware that its performance is being monitored, it is more likely to perform the required tasks well. In addition, the availability of performance information allows managers to pursue results-based management approaches, such as performance contracts, risk management, benchmarking and market testing (National Treasury 2007: 1).

Osborne and Gaebler (1992: 14) provide benefits for the measurement of results:

- 1) If you do not measure results, you can not tell success from failure;
- 2) If you cannot see success, you cannot reward it;
- 3) If you cannot reward success, you are probably rewarding failure;
- 4) If you cannot see success, you cannot learn from it;
- 5) If you cannot recognize failure, you cannot correct it; and
- 6) If you can demonstrate results, you can win public support.



### *The Development of Performance Indicators (PIs)*

Suitable indicators need to be specified to measure performance in relation to inputs, activities, outputs, outcomes and impacts. The challenge is to specify indicators that measure things that are useful from a management and accountability perspective. This means managers need to be selective when defining indicators. Defining a good performance indicator requires careful analysis of what is to be measured. One needs to have a thorough understanding of the nature of the input or output, the activities, the desired outcomes and impacts, and all relevant definitions and standards used in the field. It may be prudent to include the use of subject experts and line managers in the process.

National Treasury (2007: 8) describes the various types of indicators, as follows:

- 1) Cost or Price indicators are both important in determining the economy and efficiency of service delivery;
- 2) Distribution indicators relate to the distribution of capacity to deliver services and are critical to assessing equity across geographical areas, urban–rural divides or demographic categories. Such information could be presented using geographic information systems;
- 3) Quantity indicators relate to the number of inputs, activities or outputs. Quantity indicators should generally be time-bound; e.g., the number of inputs available at a specific point in time, or the number of outputs produced over a specific time period;
- 4) Quality indicators reflect the quality of that which is being measured against predetermined standards. Such standards should reflect the needs and expectations of affected parties while balancing economy and effectiveness. Standards could include legislated standards and industry codes;
- 5) Dates and time frame indicators reflect timeliness of service delivery. They include service frequency measures, waiting times, response

time, turnaround times, time frames for service delivery and timeliness of service delivery;

- 6) Adequacy indicators reflect the quantity of input or output relative to the need or demand: "is enough being done to address the problem?" and
- 7) Accessibility indicators reflect the extent to which the intended beneficiaries are able to access services or outputs. Such indicators could include distances to service points, travelling time, waiting time, affordability, language, accommodation of the physically challenged.

To give effect to their mandates, each government institution are expected to develop appropriate indicators that measure economy, efficiency, effectiveness and equity using data collected through these and other direct indicators.

National Treasury (2007: 9), in its formulation of the Framework for Programme Performance, provides a solid explanation of such indicators,

- 1) Economy indicators: explore whether specific inputs are acquired at the lowest cost and at the right time; and whether the method of producing the requisite outputs is economical. Economy indicators only have meaning in a relative sense. To evaluate whether an institution is acting economically, its economy indicators need to be compared to similar measures in other state institutions or in the private sector,

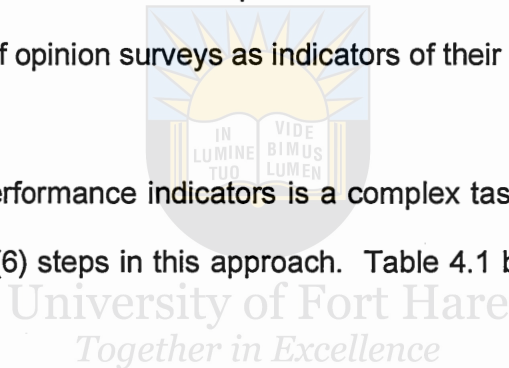
either in South Africa or abroad. Such indicators can also be compared over time, but then prices must be adjusted for inflation;

2) Efficiency indicators: explore how productively inputs are translated into outputs. An efficient operation maximises the level of output for a given set of inputs, or it minimises the inputs required to produce a given level of output. Efficiency indicators are usually measured by an input: output ratio or an output: input ratio. These indicators also only have meaning in a relative sense. To evaluate whether an institution is efficient, its efficiency indicators need to be compared to similar indicators elsewhere or across time. An institution's efficiency can also be measured relative to predetermined efficiency targets;

3) Effectiveness indicators: explore the extent to which the outputs of an institution achieve the desired outcomes. An effectiveness indicator assumes a model of how inputs and outputs relate to the achievement of an institution's strategic objectives and goals. Such a model also needs to account for other factors that may affect the achievement of the outcome. Changes in effectiveness indicators are only likely to take place over a period of years, so it is only necessary to evaluate the effectiveness of an institution every three to five years; or an institution may decide to evaluate the effectiveness of its different programmes on a rolling 3–5 year schedule; and

4) Equity indicators: explore whether services are being provided impartially, fairly and equitably. Equity indicators reflect the extent to which an institution has achieved and been able to maintain an equitable supply of comparable outputs across demographic groups, regions, urban and rural areas, and so on. Often specific benefit-incidence studies will be needed to gather information on equity. The aim of such studies would be to answer the question: "Who benefits from the outputs being delivered?" Usually equity is measured against benchmark standards or on a comparative basis. Institutions may also use the results of opinion surveys as indicators of their performance.

The development of performance indicators is a complex task. The National Treasury identifies six (6) steps in this approach. Table 4.1 below details the steps involved.



STEP 1	<p>Agree on what you are aiming to achieve:</p> <p>The first step in developing robust indicators is to agree on the problem you seek to remedy. Based on an understanding of the problem, what is the solution? Or expressed in social terms, what would society look like if the desired changes could be effected? This enables you to define a clear set of outcomes and impacts. These are the institution's strategic goals and objectives, which need to be defined in measurable terms. Well-defined strategic goals and objectives provide a better basis from which to develop suitable programmes and projects, as well as appropriate</p>
--------	---

	<p>indicators. Once an institution has decided on what is to be achieved, it then needs to decide what it needs to deliver to do so.</p>
<p>STEP 2</p>	<p>Specify the outputs, activities and inputs:</p> <p>The second step is often the most difficult – specifying what the institution needs to do to achieve the desired outcomes and impacts. You may find it useful to reverse the thought process: having defined the outcomes and impacts the institution is aiming to achieve, you should then examine:</p> <ul style="list-style-type: none"> <li>• What parties are likely to be positively or negatively affected? What are their relevant characteristics? This information is important when planning interventions that will affect them and for designing appropriate indicators;</li> <li>• What does the institution need to do in the short term to achieve the desired outcomes and impacts? These will be the outputs for the institution. The choice of outputs needs to take into account who will be affected by the intervention;</li> <li>• What does the institution require to produce these outputs? These will be the activities the institution needs to undertake;</li> <li>• What is needed to perform these activities? These will be the inputs the institution requires.</li> </ul>

	<p>This approach to planning is called the "logic model", and is a useful way to plan and order information. In determining the logic model, risk and assumptions must be identified for each of the levels of the planning process. Specifying appropriate outputs often involves extensive policy debates and careful analysis. The process of defining appropriate outputs needs to take into consideration what is practical and the relative costs of different courses of action. The assessment of its effectiveness is vital.</p>
<p>STEP 3</p>	<p>Select the most important indicators:</p> <p>There is no need to measure every aspect of service delivery and outputs. Fewer measures may deliver a stronger message. Institutions should select indicators that measure important aspects of the service that is being delivered, such as critical inputs, activities and key outputs. When selecting indicators, the following must be noted:</p> <ul style="list-style-type: none"> <li>• Clear communication: the indicators should communicate whether the institution is achieving the strategic goals and objectives it set itself. The indicators should also be understandable to all who need to use them;</li> <li>• Available data: the data for the chosen indicators needs to be readily available; and</li> <li>• Manageability: the number of indicators needs to be manageable. Line managers would be expected to track a greater number of</li> </ul>

	<p>indicators pertaining to a particular programme, as compared to merely the head official of the institution or the executive authority.</p>
<p>STEP 4</p>	<p><b>Set realistic performance targets</b></p> <p>When developing indicators there is always a temptation to set unrealistic performance targets. However, doing so will detract from the image of the institution and staff morale. Effective performance management requires realistic, achievable targets that challenge the institution and its staff. Ideally, targets should be set with reference to previous and existing levels of achievement (i.e. current baselines), and realistic forecasts of what is possible. Where targets are set in relation to service delivery standards it is important to recognise current service standards and what is generally regarded as acceptable.</p> <p>The chosen performance targets should:</p> <ul style="list-style-type: none"> <li>• Communicate what will be achieved if the current policies and expenditure programmes are maintained;</li>   <li>• Enable performance to be compared at regular intervals - on a monthly, quarterly or annual basis as appropriate; and</li>   <li>• Facilitate evaluations of the appropriateness of current policies and expenditure programmes.</li> </ul>

STEP 5	<p>Determine the process and format for reporting performance:</p> <p>Performance information is only useful if it is consolidated and reported back into planning, budgeting and implementation processes where it can be used for management decisions, particularly for taking corrective action. This means getting the right information in the right format to the right people at the right time. Institutions need to find out what information the various users of performance information need, and develop formats and systems to ensure their needs are met.</p>
STEP 6	<p>Establish processes and mechanisms to facilitate corrective action:</p> <p>Regular monitoring and reporting of performance against expenditure plans and targets enables managers to manage by giving them the information they need to take decisions to keep service delivery on track. The information should help managers establish</p> <ul style="list-style-type: none"> <li>• What has happened so far?</li> <li>• What is likely to happen if the current trends persist, say, for the rest of the financial year?</li> <li>• What actions, if any, need to be taken to achieve the agreed performance targets?</li> </ul>

Table 4:1 – Steps involved in developing performance indicators. Adapted from National Treasury (2007: 12)

## *Policy Platform*

One of the first tasks under the revived GWM&E initiative was the development of a policy framework, as alluded to in the previous section. Although the initial intent was to produce a set of guidelines on M&E principles and practices, it became increasingly clear that the guiding framework had to be more formally structured.

The President's Office developed an overarching framework and produced a document containing a set of principles, key monitoring and evaluation concepts, GWM&E system goals, descriptions of the various component parts of the system (shown in Figure 3:4), the roles of departments and civil servants as implementing agents of M&E, and the institutional arrangements and legal mandates underpinning these roles and responsibilities. The document concludes with guiding principles for implementation of future M&E systems (The Presidency 2007: 4).

Cabinet approval of the implementation of the GWM&E system at its inception in 2005 helped in giving legitimacy to the policy framework of 2007. The executive authority of Cabinet was supposed to provide direction to departments in the national and provincial spheres of government and to the municipalities. The policy framework was comprised of a mosaic of existing and some new, tailored requirements, for example, the South African Statistical Quality Assurance Framework (SASQAF). The new requirements were designed to complement the existing components in a synergistic,

systemic manner. The policy framework therefore recognized that the GWM&E system was not being implemented from scratch, but had to accommodate bottom-up input from actors already actively engaged in M&E systems implementation. The policy framework was an important and necessary step in developing the GWM&E system, and it serves the function as conceptual anchor. However, the task of policy guidance needed to be supported by an additional best practice guideline documents. The most urgent need was in the area of coordination (Engela, 2010: 4).

In 2008, the Presidency published an Annual Work plan, named: From Policy Vision to Implementation Reality. The publication outlined the current and planned M&E initiatives of all the core coordinating departments and agencies. In addition, it provided information for each sector (including health, education, and water), and encompassed both national and provincial public institutions. The aim of the document was to allow the broader M&E community to understand forthcoming reform processes and to encourage core coordinating departments to better align their M&E and related initiatives (The Presidency: 2008).

Also in 2008, the Presidency published another document entitled, The Role of Premiers' Offices in Government-Wide Monitoring and Evaluation: A Good Practice Guide. The publication addresses the complex M&E roles of coordinating structures at the provincial government level. The nine provinces form an independent tier of government in South Africa, and the Constitution provides them with considerable latitude in crafting their own planning and

M&E systems. One example is the Provincial Growth and Development Strategies (PGDS) which are developed by provincial governments, and which articulate both national government priorities as well as those of the provinces. The PGDSs are also intended to align with Integrated Development Plans (IDPs) prepared by municipalities. The quality of the PGDSs and the degree of alignment with municipal IDPs varies considerably across provinces (The Presidency: 2008). Figure 4:4 below provides a graphical representation of the key milestones in the implementation of GWM & E in South Africa.

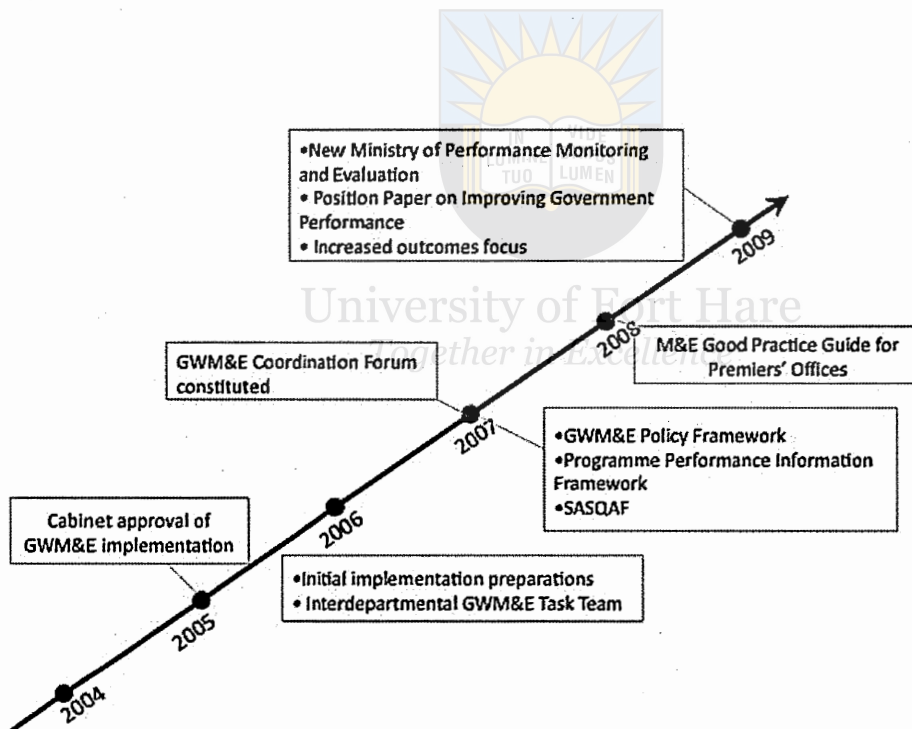


Figure 4:4 – Key Milestones in Implementing GWM&E in South Africa. Adapted from Ajam (2010: 6).

## *Key Stakeholders: Legal Mandates and Responsibility Areas*

### The Presidency

Section 85 of the Constitution requires that the President, together with other Cabinet Members, should, inter alia, exercise executive authority through the development and implementation of national policy and the coordination of the functions of state departments and administrations. The 1996 Constitution requires that all three spheres of government work together and participate in development programmes to redress poverty, under-development, marginalisation of people and communities.



The Presidency plays a crucial role in the coordination, monitoring, evaluation and communication of government policies and programmes, and accelerating integrated service delivery. The Presidency also aims to evaluate the implementation of government strategy, including its impact as measured against desired outcomes (The Presidency 2007: 26).

### National Treasury

The National Treasury's mandate is informed by sections 215 and 216 of the 1996 Constitution and other legislation such as the Public Finance Management Act (PFMA) of 1999 and the Municipal Finance Management Act (MFMA) of 2003. The Treasury's engagement with the GWM&E framework revolves around ensuring that information on inputs, outputs and

outcomes underpins planning, budgeting, implementation, management and accountability reporting to promote transparency and expenditure control (National Treasury, 2007).

#### Statistics South Africa (Stats SA)

The mandate of Stats SA is informed, inter alia, by the Statistics Act (No. 6 of 1999), the 2002 January Cabinet Legkotla and State of the Nation Addresses 2004 and 2005. Section 14.6 (a), (b) and (c) of the Statistics Act makes provision for the Statistician-General to advise an organ of state on the application of quality criteria and standards. Section 14.7 (a) and (b) confers upon the Statistician-General power to designate statistics produced by other organs of state as official statistics. Section 14.8 clauses (a) and (b) authorizes the Statistician-General to comment on the quality of national statistics produced by another organ of state; and to publish such other department's statistics.

#### Department of Provincial and Local Government (DPLG)

The DPLG derives its mandate from the Constitution, Chapters 3 and 7 as well as other legislation such as the Municipal Systems Act and Municipal Structure's Act. Its core function is to develop national policies and legislation with regards to provinces and local government, to monitor their implementation and to support them in fulfilling their constitutional and legal mandate.

## Department of Public Service Administration (DPSA)

The DPSA's mandate is framed by the Public Service Act of 1994. This department is responsible for public service transformation to increase public service effectiveness and improve governance. It acts as the custodian of public management frameworks, performance and knowledge management and service delivery improvement; further it co-chairs the Governance and Administration Cluster and the GWM& E Working Group.

## Public Administration Leadership and Management Academy (PALAMA)

The PALAMA's mandate is informed by the Public Service Act of 1994, Chapter II Section 4 (2). PALAMA:

- 1) shall provide such training or cause such training to be provided or conduct such examinations or tests or cause such examinations or tests to be conducted, as the Head: PALAMA may with the approval of the Minister of the DPSA decide or as may be prescribed as a qualification for the appointment, promotion or transfer of persons in or to the public service;
- 2) may issue diplomas or certificates or cause diplomas or certificates to be issued to persons who have passed such examinations. It is envisaged that PALAMA will play an important capacity building role in rolling out the GWM&E framework.

## Office of the Public Service Commission (OPSC)

The OPSC derives its mandate from sections 195 and 196 of the 1996 Constitution. It has been tasked with investigating, monitoring, and evaluating the organisation and administration of the public service. This mandate also entails the evaluation of achievements, or lack thereof of government programmes. The PSC also has an obligation to promote measures that would ensure effective and efficient performance within the Public Service and to promote values and principles of public administration as set out in the Constitution, throughout the Public Service (e.g., professional ethics, efficient, economic and effective use of resources, impartial, fair and equitable service provision, transparency and accountability etc) (Public Service Commission Review, 2006: 4).

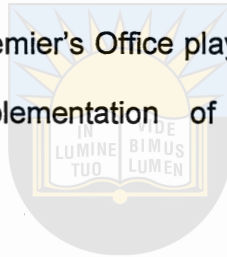
University of Fort Hare  
*Together in Excellence*

### Auditor – General (AG)

The annual reports of provincial government department need to include, inter alia, audited financial statements and statements of programme performance. Section 20(1) (c) of the Public Audit Act (25 of 2004) requires that the Auditor General express an opinion or conclusion on “reported information of the auditee against pre-determined objectives”. Similar provisions exist in terms of the Municipal Systems Act and the Municipal Finance Management Act at local level.

## Provincial Offices of the Premier

Section 125 (1) of the 1996 Constitution vests the executive authority of a province in the Premier, who together with the provincial executive council exercises this authority through the development and implementation of provincial policy, the implementation of national policies in concurrent function areas, and the coordination of the functions of the provincial departments. The Premier, as the political head of the Provincial Government, is also responsible for the implementation of Chapter 3 of the Constitution on cooperative government. The Premier's Office plays a critical leadership role in the development and implementation of Provincial Growth and Development Plans.



## COMPARISON WITH INTERNATIONAL EXPERIENCES

University of Fort Hare  
*Together in Excellence*

In analysing the implementation of the GWM&E system in South Africa, some thematic areas will be briefly considered against other international experiences.

### *Political Leadership and Championing of M&E*

Kusek and Rist (2002: 153) emphasize that introducing and sustaining a GWM&E is essentially a political rather than a bureaucratic or technical act:

Creating within government a new information system that brings more transparency, more accountability, and visibility can alter political power bases in organizations, challenge conventional wisdom on programme and policy performance, drive new resource allocation decisions, and call into question the leadership of those responsible.

A precondition for starting results-based M&E system seems to be an unambiguous and sustained political commitment, from officials at the highest levels, to a performance-based ethos in the public sector. Influential and visible champions can play a crucial role in mobilizing support for M&E systems implementation. Stability in the political environment is also crucial since results-based based M&E only yields results slowly although there can be "quick wins."



In Australia, the election of a conservative government in 1996 led to a downsizing of the civil service and a reduced role for the Department of Finance. This resulted in the decade-long performance evaluation strategy being abandoned (Mackay 2007: 43).

Where the M&E system is driven by a central agency, then any reduction of the power and influence of that central agency could threaten the perceived relevance and utilization of the system (Mackay 2007: 28). In South Africa, the leadership for the GWM&E system is shared by the President's Office, the National Treasury, and Statistics South Africa, with support from other agencies. This joint leadership should help mitigate the sustainability risk. It

is interesting to note that the Office of President Zuma has signaled that M&E and the objective of evidence-based policy making will continue to be a high priority on the agenda of government. This augurs well for the continuing sustainability of the GWM&E system (Ajam 2010:16).

### *Incentives for M&E*

In most governments, incentives or sanctions are generally focused on policy formulation, spending allocations, and the early stages of implementation, rather than on actual results achieved or on the feedback loop from implementation experiences to new policies, strategies, or budgets. The implementation of any M&E system will have to create incentives for carrying out effective M&E and building capability for M&E improvement. Even if more information is available through better M&E, the crucial question is whether it actually results in behavioral change that improves service delivery. If not, M&E systems implementation just becomes a complicated and frustrating exercise in bureaucratic futility (Engela 2010:17). Mackay (2007: 45) refers to “carrots, sticks, and sermons” as ways to create incentives.

In the South African scenario, audits of non-financial information by the Auditor-General could potentially serve as a severe stick. In addition, the GWM&E Policy Framework and the Framework for the Management of Programme Performance Information stress the need to reflect M&E responsibilities in the performance agreements of senior managers. The Department of Public Service and Administration has changed the individual

performance agreements in government to include a component that will reflect on organizational performance (Engela 2010: 17).

### *Top–Down and Bottom–Up Convergence*

In many countries, the development of a GWM&E system tends to be evolutionary and syncretistic rather than consciously designed from scratch with a clean slate. The implementation period may also be quite protracted (Mackay 2007: 45). For example, in Chile, widely held up to be an example of good practice, ex–ante cost-benefit analysis was introduced in 1974; performance indicators were piloted in 1994; comprehensive management reports per ministry and evaluations of government programmes were initiated in 1996; rigorous impact analyses were first conducted in 2001; and comprehensive spending reviews first conducted in 2002 (Mackay 2007: 45).

A new national M&E initiative is often superimposed on existing organization–specific or specific–purpose systems, which had evolved in the past. An example would be Tanzania (Kabunduguru 2004: 10). The challenge therefore is integration, rationalization, and further development of various disparate systems. Furthermore, the institutional arrangement for M&E tends to differ from one public institution, programme, or project to the next.

Kusek and Rist (2001: 17) stress the need for articulation across project, programme, sector, and country levels. But in the end, it is the creation of a system that is aligned from one level to the others that is most critical, in this

way information can flow up and down in a governmental system rather than it being collected at only one level or another, stored and used at that level but never being shared across level.

Some M&E systems remain largely divorced from other public sector processes, such as planning and budgeting processes, as was identified as one of the current weaknesses of the Colombian system (Mackay 2007: 47). In South Africa, there is already some linkage between the M&E process and the planning, budgeting, in-year reporting, annual reporting, and auditing processes, but this needs to be strengthened.



### *Monitoring before Evaluation*

In many developing countries, the initial focus was on strengthening monitoring and performance information first, before enhancing evaluation (Ajam 2010: 18). The Ugandan government established an integrated national monitoring and evaluation mechanism for the Poverty Eradication Action Plan (PEAP), with a focus on outcome indicators. A poverty M&E system to track progress using a core set of indicators has been established in Tanzania. However, the need for a greater emphasis on evaluation has been identified (Morris 2006: 11). Similarly, in the early stages of the Colombian M&E system, the major emphasis was also initially on the monitoring dimensions (Mackay 2007: 31).

In Australia, however, the initial focus in the late 1980s was on evaluations, with performance information being seen as something to be managed by line departments. In 1995, increased concern about the quality of performance information led to detailed reviews of departmental performance information (Mackay 2007: 31).

In South Africa, now that the monitoring systems have been established, the quality of the data must be improved. The next stage of GWM&E implementation focuses on evaluations, which are more skill intensive. Fortunately, in South Africa there is a strong academic sector as well as private sector providers, so a good mix between in-house and independent evaluations is achievable (Engela 2010: 18).



*Managing Change: Formal versus Informal Rules*

University of Fort Hare  
Together in Excellence

There is an ongoing need to create a culture in the public sector which demands and rewards good performance and which sanctions inefficiency and corruption. Reflecting on the Tanzanian experience, Kabunduguru (2004: 12) notes that M&E is a new culture and that there could well be lack of a shared view among civil servants on why and how M&E should be conducted, as there is a danger of M&E degenerating into a “compliance” reporting culture, with little critical organizational introspection and proactive managerial action.

One of the critical questions in South Africa is whether there is sufficient political and managerial maturity to deal with politically sensitive and potentially embarrassing information. On a more operational level, civil servants often fiercely resist M&E systems as “policing systems,” both actively and passively (for example, not showing up at meetings, not gathering or sharing information or making any effort to ensure its quality, not following up on promised actions); managing change is a crucial challenge in the South African context, to ensure that M&E practitioners are not viewed with suspicion or that M&E implementation is resisted (Ajam 2010: 19).

#### **LIMITATIONS IN THE IMPLEMENTATION OF GWM&E**

The principles according to which the GWM&E system was conceptualized in South Africa can be seen as largely consistent with international practices; however, the strategy that was proposed for rolling out the system did not sufficiently take account of intergovernmental complexity; neither was there enough clarity about existing systems used for sectoral and institutional monitoring (Ajam 2010: 20).

The review, in 2007, by the Office of the Public Service Commission (OPSC) on M&E systems in government and reporting requirements indicated that the central coordinating departments did not have a comprehensive view of the existing M&E practices across all spheres of government; and the original design also did not take account of the extensive non-financial monitoring done by the National Treasury through the formalization of the accountability

cycle in strategic plans, annual performance plans, budget statements, and annual reports (PSC 2008: 9).

### *Tensions between Budget – Linked and Policy – Linked M&E*

The National Treasury, drawing on a performance budgeting approach, has stressed the link between performance information and the budget structure and cycle (National Treasury 2007). This emphasis permits a closer link between resource inputs and service delivery outputs, which are critical to assessing value – for – money. However, many line ministries view this focus as being too narrow, and the Treasury's conception of the results chain among input, outputs, outcomes, and impacts as being too linear, mechanical and hierarchical. Furthermore, operational programme structures may differ markedly from budget programme structures and organisational structures may not map closely to budget programme structures; further attenuating the purported link between personal accountability and outputs. In addition, operational programme and project structures may span many public sector institutions in various sectors and tiers, unlike budget programme structures which are tied to specific institutions. The Treasury's emphasis on the budget structure tends to result in a focus on the performance of the public institution rather than the performance of the sector as a whole.

Treasury's concern with fiscal accountability also means that the focus is often on outputs (which are under managerial control) rather than outcomes (which tend to be influenced by exogenous factors). While treasuries have a

tendency to standardise, line departments often prefer to customize their own M&E approaches. Furthermore, while national and provincial treasuries have emphasized an approach to collecting information that is based on a logical framework results chain, they have not focused on attribution or causality. This is because their focus, so far, has been relatively short term. The time horizon of analysis could be extended when more rigorous public expenditure reviews are conducted (Ajam 2010: 24).

The main point here is that a GWM&E system serves many different objectives, such as comparing policy realisation relative to policy intent, public resource allocation, accountability, etc. Therefore, trade-offs will have to be made and there will always be some degree of tension regarding fulfillment of these multiple objectives. Moreover, it is very difficult to attribute causality. Many public sector institutions have begun to adopt a log-frame based approach that is comprised of a results chain linking their application of resource inputs to producing service delivery outputs, which in turn contribute to desired program or project outcomes.

## LESSONS LEARNED

In the previous sections the implementation process, to date, of the GWM&E system in South Africa was described. This was followed by a comparison between the South African experience and other countries, highlighting similarities and differences. One of the fault line encountered in the implementation process was also described and analyzed. This section offers reflections on the South African experience, which will be useful to the case that will be examined in the following chapter.



*Appropriate balance between deliberate systemic design and evolution*

In the development of the GWM&E system in South Africa, the original conceptualization did not adequately take into account key aspects of provincial government and existing monitoring systems. This led to a delay in the process and negatively affected the rollout and reception of the GWM&E system. It is important that reforms be applicable, and not selected without due consideration of the preceding and existing processes and interdependencies. Too often in government, new initiatives are launched without a careful understanding of the existing situation. However, one also needs to be cautious about thinking that a system can be comprehensively designed. To try and design such a system would necessitate the identification of every possibly relevant issue beforehand and this would unrealistically entail very protracted review and planning. Instead, one needs to make a start, often with an incomplete product, and allow the system to

evolve over time. The key is to be flexible enough to allow a change in course when needed. This flexibility needs to be coupled with regular assessment of progress in implementation and strong political oversight to ensure that objectives and timelines are met.

*When sequencing reforms, do the basics first*

Ultimately, the aim of a GWM&E system is to promote “learning organizations.” In developing countries like South Africa, this is likely to be a medium-to-long term enterprise. Before more sophisticated M&E approaches, systems, and instruments are employed, the basic administrative processes have to be in place. The credibility of administrative data systems and administrative registers in departments depend on the efficiency of the underlying core business processes. For instance, database information on identity documents issued can only be credible if the administrative process for issuing the identity documents is sound. Similarly, financial information on local government revenue receipts depends on accurate meter reading, credit control, billing and other revenue management systems. No amount of sophisticated data mining using IT systems will improve the credibility of the data unless the underlying transaction-level data are accurate.

As discussed earlier, the initial emphasis in South Africa has been on monitoring rather than evaluation. This is partly a result of the National Treasury’s emphasis on the system’s development, as well as the need to embed basic management information systems in the South African public

sector. While this is clearly less than ideal, this approach is at least consistent with the country's capacity constraints (which should become less binding over time) and it can serve as a springboard to institutionalizing M&E as a mechanism for improving service delivery.

*Coordination is critical in a decentralized system; factors inhibiting coordination are multifaceted*

The strength in the design of the GWM&E system is the recognition of the need for a composite system that allows expertise in various sectors and tiers of government to develop appropriate M&E strategies. In many ways, M&E expresses the realities of governance in austere terms. Although coordination and linked-up government are not new concepts, we still have not developed strong protocols about how to proceed with these issues. Departments are very protective of their mandates, and often such mandates can overlap. In the M&E design, it becomes difficult to coordinate when people do not want to be coordinated. Those who seek alignment are always cooperative, but those who do not want it will just continue with their projects and claim that it is their mandate. M&E systems will need to develop strong protocols on coordination and alignment.

*There should be balance between top-down guidance and bottom-up expertise*

In the initial design stages of the GWM&E system, it was optimistic to think that one could end up with a set of indicators that would reflect a simple hierarchy, moving from output, to outcome and to impact. However, such a simplistic “nesting” of indicators assumes that all users have similar needs. It quickly became apparent that, at different points in the system, different stakeholders have different needs. The difference in the information needs of departments, which have policy imperatives, and the needs of the National Treasury, which is focused on budget accountability, is quite substantial. Similarly, the needs of the national Cabinet and the strategic oversight they seek, versus community-level indicators, are obvious. One solution is to develop sets of indicators that have different entry points.

Characteristic of such a system will be ongoing, and perhaps necessary, tension over indicators that are developed by sector specialists and the more strategic and overarching indicators called for by the national government. It would be naïve to think that there can be a single decision point in government that will decide on all indicators; no government can function that way. These types of imposed indicators are also generally resisted. It is perhaps more fruitful to think of an approach involving ongoing dialogue on the development of shared and commonly agreed indicators.

*There should be a dual implementation approach combining short-term visible M&E achievements with longer-term strategic direction*

In the South African experience, it was clear that a successful GWM&E system had to achieve two things simultaneously:

- 1) provide clarity on policy; and
- 2) produce a suite of M&E products as soon as possible.

In the development of the GWM&E system it became apparent that one would need a more formal policy guidance environment than simply a “community of practice.” Understanding the exact nature of the system though is only possible after some systemic M&E activities have been conducted for a period of time. If it were possible to have greater conceptual clarity before this period of activity, such an approach would save a lot of wasted time and effort. Once there is greater conceptual clarity about what the system entails, who the main actors are, and what their true focus and areas of expertise are, we could then move on to constructing a formal policy framework.

However, to give the system credibility, to make it a “real” product in the eyes of the executive government and other stakeholders, it was useful to support the policy frameworks and systemic discussions with some very real products that could demonstrate the value of the approach. The South African government made an effort to provide credible products that could provide

new insights and quickly demonstrate that time and effort expended in creating an M&E system does produce valuable results.

*GWM&E is a management system not an IT system*

In the early stages of the GWM&E system it was conceptualized as a government-wide IT system. Later versions of the GWM&E Policy Framework have stressed that the framework is primarily a management system. Information technology can, however, be used as a crucial M&E enabler.

The GWM&E policy framework seeks to embed within public sector organizations a performance management system that is clearly defined along with other internal management systems (such as planning and budgeting). The term "system," in this context, refers to policies, strategies, structures, processes, information flows, and accountability relationships, which underpin the practice of M&E across government. This may or may not be supported by IT software and other tools. If so, the emphasis is therefore on systems integration, interoperability, and standards for data exchange.

While judicious use of IT systems can facilitate M&E enormously, IT systems alone will fail unless public sector institutions modify their business processes to support the M&E system, capacity is created to sustain the system, and a self-reflective, mature management culture is created that demands M&E information and responds constructively, rather than defensively, to M&E findings. In South Africa, where management systems in certain provincial

governments and municipalities are very weak, the importance of this cannot be overemphasized since IT systems are often perceived as an instant solution.

*Resistance is inevitable and managing change is therefore critical*

Past experience with public sector reform in South Africa has shown that “malicious compliance” is possible. In other words, there is compliance according to the letter of a law, regulation, or reporting format, but the spirit of the law or regulation is deliberately undermined. So, even though M&E frameworks and other guidelines are legislated or adopted, this does not change the informal institutions in the public institution (that is, “the way things actually are done”) or the organizational culture or the management mindset. The crucial criterion by which the effectiveness of South African GWM&E system will be judged is to see if it actually has impacts on managerial behavior and executive decision making.

In rolling out the system further, there has to be a mix of compliance and collaborative approaches to building ownership of M&E systems by line ministries. To date this has been achieved to an extent by involving the relevant sector departments and their provincial counterparts in designing indicator frameworks.

The South African public service has been in a state of continual transformation since the transition to democracy in 1994. Not surprisingly,

many civil servants suffer from “reform fatigue.” When implementing the GWM&E system, the President’s Office has attempted to communicate the linkages with previous public sector reform initiatives and the intention to build on previous achievements, rather than displacing them.

Another source of resistance is that managers in the public sector may perceive the GWM&E system as an instrument of management control rather than an aid to improving future performance by reflecting critically on current practices. The effectiveness of the GWM&E system is inextricably linked to the broader task of creating and institutionalizing a performance orientation in the South African public service. This is complicated by the practical difficulties in linking service delivery progress (or lack thereof) to personal accountability. A recurring refrain heard in implementing the Public Finance Management Act of 1999 was the need to hold managers accountable for service delivery outputs. Accomplishing this in practice can prove challenging though.

Furthermore, changes in strategic planning, annual performance planning formats, and quarterly non-financial information indicators were initially driven by the National Treasury and its provincial counterparts. Understandably, the reforms mainly reached finance officials, and insufficient attention was paid to drawing in officials involved in strategy and policy. At present there is a need for a common understanding of policy performance in the South African public service to transcend the traditional dichotomy between financial and service delivery (non-financial) information. Finance officials increasingly are

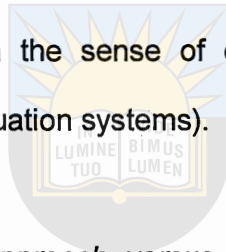
required to play a support role with respect to resource allocation decision making and service delivery. On the other side, line managers are increasingly being required to account for value-for-money. Ongoing cooperation among the President's Office, the National Treasury, and other key departments will be needed to create this common vision of policy performance.

In the aftermath of the global economic meltdown, South Africa's fiscal position has swung from a modest surplus to an anticipated deficit of over 7 percent of GDP in the 2009/10 fiscal year. For the first time since the transition to democracy, government revenues have been under-collected by more than ZAR 60 billion. In previous years, improvements in revenue collection by the South African Revenue Service (SARS) had resulted in revenue over – collections (Minister of Finance: 2010).

At the same time, increased poverty and unemployment have significantly increased the demand for government services and social grants. This environment of increased fiscal austerity over the medium term could create a powerful incentive for line departments to use performance information intensively in pursuit of value-for-money and the elimination of wasteful and unproductive expenditures.

*M&E is an art as well as a science, and there is no substitute for learning by doing*

South Africa has been in the privileged position of being able to learn from the experiences of other developed and developing countries. It has become clear that there is no blueprint for developing an effective GWM&E system. In the final analysis, each country will have to craft a pragmatic response that relates to its own political, development, and governance context, within its own prevailing resource and capacity constraints. Sequencing M&E reforms will also depend heavily on the specific country circumstances and the specific objectives of the country's own GWM&E system. The process of implementing a GWM&E system also creates opportunities for learning-by-doing and "meta-evaluation" (in the sense of evaluating the process of establishing and maintaining evaluation systems).



*Choice of a principles-based approach versus a firmer policy regulatory approach depends on country context*

University of Fort Hare  
Together in Excellence

Principles-based approach is desirable because it permits innovation while maintaining the coherence of an M&E system. This allows individual managers to innovatively apply the principles of M&E to their own sectors. However, such an approach assumes that managers are empowered and motivated to improve service delivery. This may not always be the case in developing countries where lack of capacity is pervasive and incentives may be skewed. Regulatory approaches present a standard set of requirements for compliance, which can be uniformly enforced across sectors. This may obviously constrain innovation, may erode a sense of ownership and induce malicious compliance. On the other hand, it does provide clarity of purpose

and expectations, and may be more appropriate in less sophisticated institutional environments. The position a developing country chooses along this spectrum depends crucially on its specific institutional and governance context.



University of Fort Hare  
*Together in Excellence*

## SUMMARY

The section outlined the process of implementing a government-wide monitoring and evaluation (GWM&E) system in South Africa. The first section presented the context that created the impetus for establishing such a system. This context is continues to shape the evolution of the system and influencing its longer – term sustainability.

The second section outlined the various stages of conceptualising and implementing the GWM&E system, which is currently very much a “work in progress.” Key components of the South African GWM&E framework were described in detail, such as: the policy platform upon which it is based, the specific M&E products and their uses, as well as the major actors. The creation of a dedicated Ministry of Performance Monitoring and Evaluation (PME) within the President's Office in 2009 signaled a new phase in the development trajectory of M&E systems in the South African public sector. The new ministry introduced a Policy Paper on Improving Government Outcomes in Parliament in 2009, outlining an approach. The policy position focused on the existing GWM&E system and expands its policy reach by introducing a specific focus on performance and monitoring at the level of politically determined outcomes.

The third section reviewed international experiences for lessons learned which may also be germane to the South African context, noting similarities and differences in approach. Some of the critical implementation factors relate to

the role of political leadership and championing of M&E, incentives for promoting usage of M&E findings, dealing with information and data constraints, capacity building, "ownership" of the M&E system by line ministries and other agencies, and managing the challenges of change.

The fourth section examined a fault line encountered in the implementation of the M&E system in South Africa. The final section reflected on lessons distilled from the South African experience to date.

Some key lessons learned from the South African experience, are summarised as follows:



- 1) There needs to be an appropriate balance between deliberate systemic design and organic evolution;
- 2) Coordination is critical, and factors inhibiting coordination are multifaceted;
- 3) A dual implementation approach, which combines short-term visible M&E achievements with longer-term strategic direction, is desirable;
- 4) GWM&E is a management system, not an information technology (IT) system;
- 5) There should be an appropriate balance between top-down guidance and bottom-up expertise;

- 6) When sequencing reforms, do the basics first;
- 7) Resistance is inevitable and managing change is critical to successful implementation; and
- 8) The choice between a principles – based policy versus a firmer policy regulatory approach depends on the specific country context.



University of Fort Hare  
*Together in Excellence*

## INTEGRATION OF INTERNATIONAL AND LOCAL APPROACHES

In his article, Ijeoma (2008: 65) indicates that there are no countries in Africa that have achieved a fully developed M&E system that is suited to its needs. He adds that to a great extent, African countries are still experimenting with several methods of M&E that aim to provide plausible solutions to their programme implementation. South Africa has made significant progress to date, in this regard. This has been demonstrated in the establishment of the Department of Monitoring and Evaluation (DPME) in 2010 by the Zuma presidency.



The driving force behind both the international and local approaches to performance monitoring and evaluation is enhanced service delivery to the communities which they serve. Table 4.2 below provides a summarized comparison between the three (3) countries in terms of lessons learnt from their individual approaches:

SPAIN	MEXICO	SOUTH AFRICA
Derive inspiration from other experiences but do not attempt to copy them;	Adopting an opportunistic approach toward implementation was effective – Top – down state or budget reforms often offer	There needs to be an appropriate balance between deliberate systemic design and organic evolution;
Take into account that the institutionalization of evaluation requires significant time;	unique opportunities for introducing, strengthening, or broadening the scope of the M&E practices in government;	Coordination is critical, and factors inhibiting coordination are multifaceted;

<p>Establish advisory bodies as mechanisms for support and legitimatising;</p> <p>Incorporate representatives from academic institutions and from the public sector;</p> <p>Involve different levels of government, including sectors and regions;</p> <p>Establish quality control assurance of the evaluations, practices, and systems;</p> <p>Link policy evaluation with the assessment of the quality of services;</p> <p>Use different methods and approaches according to context, needs and capacities;</p> <p>Institutional location should optimize coordination, accountability, and learning;</p> <p>Develop procedures to link policy evaluation with programming and budgeting;</p> <p>and</p>	<p>The introduction of M&amp;E practices and tools needs to respond both to political and technical requirements;</p> <p>The risks of overly engineering the M&amp;E systems, both in quantity and quality of the methodologies and information they produce, must be considered at all times;</p> <p>Institutional arrangements to foster the demand for evaluation might be useful; and</p> <p>Mexico's momentum for the institutionalization of M&amp;E has been effectively seized by key government champions</p>	<p>A dual implementation approach, which combines short-term visible M&amp;E achievements with longer-term strategic direction, is desirable;</p> <p>GWM&amp;E is a management system, not an information technology (IT) system;</p> <p>There should be an appropriate balance between top-down guidance and bottom-up expertise;</p> <p>When sequencing reforms, do the basics first;</p> <p>Resistance is inevitable and managing change is critical to successful implementation; and</p> <p>The choice between a principles – based policy versus a firmer policy regulatory approach depends on the specific country context.</p>
--	--	---

Table 4.2: Summarized comparative analysis between Spain, Mexico and South Africa in terms of lessons learnt (Reddy, 2011).

The decision made by all governments in the establishment of evaluation agencies/departments is indicative of their commitment to performance monitoring and evaluation of government programmes and activities. Spain established AEVAL in 2006, Mexico established CONEVAL in 2004, while South Africa established the Department of Performance Monitoring and Evaluation (DPME) in 2010.

South Africa's establishment of the Department of Performance Monitoring and Evaluation on 1 January 2010 was a clear demonstration of government's commitment to ensure that its performance makes meaningful impact in the lives of the people of South Africa. The DPME, in close cooperation with the National Planning Commission, seeks to play an important role in setting expectations of improved outcomes across government; it will drive a results-oriented approach across the three spheres and other organs of state, while reviewing the data architecture of government so that the required performance information is generated and finally will ensure that this information is actually used in intergovernmental planning and resource allocation. (Access: <http://www.thepresidency.gov.za/pebble.asp?relid=1689>). Retrieved on 2011-02-23.

According to the DPME (2010), its vision is to strive for continuous improvement in service delivery through performance monitoring and evaluation, while its mission is to work with partners to improve government performance in achieving desired outcomes and to improve service delivery through changing the way government works. This will be done through

coherent priority setting; robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, monitoring of frontline service delivery; and supporting change and transformation through innovative and appropriate solutions and interventions. The lessons learnt and other key issues derived from this analogous of approaches will be referred to, in the case of the South African Police Service, in chapter five.



University of Fort Hare  
*Together in Excellence*

## SUMMARY

The chapter commenced examining the performance monitoring and evaluation approach by Spain. Firstly, an historical background was provided, detailing the evolution of the evaluation concept in Spain. This was followed by an examination of evaluation in Spain. To give effect of the government of Spain's commitment to performance monitoring and evaluation, a focus was then made on the work of the established Spanish Evaluation Agency (AEVAL). The section then proceeded to provide the motivation for the use of performance and evaluation information; this was followed by considering how Spain had commenced creating an evaluation culture. The section was concluded by offering some lessons learnt from the Spanish experience.

The logo of the University of Fort Hare, featuring a sunburst design with the motto 'LUMEN TUO' and 'LUMEN' visible.  
University of Fort Hare  
*Together in Excellence*

The section went on to examine performance monitoring and evaluation in Mexico, which was the second international approach considered. After providing a brief introduction, the report proceeded to capture Mexico's shift to a result-driven government. To give effect of the government of Mexico's commitment to performance monitoring and evaluation, a focus was then made on the work of the established National Council for the Evaluation of Social Policy (CONEVAL). This was followed by an assessment into the performance evaluation system in Mexico. The strengths and weaknesses identified within the M&E system were then enumerated. The section was concluded by offering some lessons learned from the Mexican experience.

Thereafter, the local experience of the Republic of South Africa (known as South Africa) was finally considered. As an introduction to this section an informative background into performance monitoring and evaluation in South Africa was provided; followed by the establishment of the Government Wide Monitoring and Evaluation (GWME) in South Africa. The GWME was then paralleled against other international experiences, followed by capturing some existing limitations in the implementation of GWME. The section was concluded by offering some lessons learned from the South African experience.

Finally, an integration of both the international and local approaches was provided. The lessons learned from all the approaches were tabulated in a systematic format to provide an analogous of the three approaches considered in this study.



University of Fort Hare  
*Together in Excellence*

Chapter five will present the case study for the South African Police Service. This will be followed by the analysis and findings of the case, with a focus on the SAPS's performance in the 2009/2010 and an evaluation of the current performance monitoring and evaluation mechanism. Further, the findings will be compared against the lessons learned in the local and international experiences, with a view to provide some valuable recommendations for the department in the final chapter of the study. Key to note is an examination on the performance monitoring and evaluation of the budget for the reporting period, as an overview of the annual financial statements are considered. Chapter three of the study clearly emphasized that the budget is the financial

expression of an organization's strategic plan, hence it was considered prudent to evaluate this important organizational function.

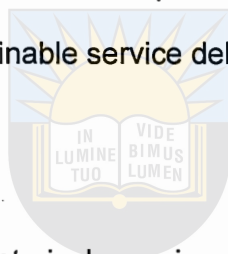


University of Fort Hare  
*Together in Excellence*

## CHAPTER 5: ANALYSIS AND FINDINGS OF THE CASE STUDY: THE SOUTH AFRICAN POLICE SERVICE (SAPS)

### INTRODUCTION

The preceding chapter captured the quintessence of both the international and local approaches to performance monitoring and evaluation; this provides a fair benchmark against which the case for the South African Police Service will be considered. The rationale for this is to provide a few recommendations to be considered to promote sustainable service delivery through performance monitoring and evaluation.



This chapter commences with a historical overview of the South African Police Service, its constitutional mandate and objectives. The case study is presented in detail, with an examination of the SAPS's performance in the 2009/2010 and an evaluation of the current performance monitoring and evaluation mechanism. The budget performance in respect of the 2009/10 financial year will also be presented. The methodology implemented to evaluate the department's performance will be elucidated in detail.

The chapter then proceeds to analyze and report the findings of the case. The findings will be compared against the lessons learned from the local and international experiences, with a view to providing some valuable recommendations for the department in the final chapter of the study. The chapter concludes with a concise summary.

## CASE STUDY: THE SOUTH AFRICAN POLICE SERVICE

### *Historical Overview of the SAPS*

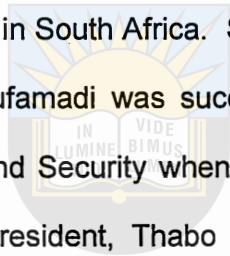
In 1994, the new democratic order brought about many changes in the country and also had a substantial impact on policing. Mr Sydney Mufamadi was appointed as the first Minister for Safety and Security in the new South Africa and was assisted by Deputy Minister Joe Matthews. Prior to 1995, South Africa was divided into the so-called TBVC States, Self-Governing Territories and Development Regions (old South Africa). The TBVC States had independent status but were not widely recognized by the international community. The TBVC States and Self-Governing Territories were also referred to as Homelands. These so-called Homelands were the following:

- 1) **TBVC States:** Transkei, Bophuthatswana, Venda and Ciskei
- 2) **Self-Governing Territories:** Gazankulu, Kangwane, Kwandebele, Kwazulu, Lebowa and Qwaqwa.

Every homeland had its own policing agency, bringing the total number of policing agencies in the country to eleven (10 homelands and the old South African Police). All eleven policing agencies had different uniforms, rank structures and conditions of service and were established under different pieces of legislation. With the adoption of the interim Constitution in 1994, the Homelands and old development regions were abolished and integrated into a united South Africa with nine provinces. The new 1996 Constitution established a single National Police Service for South Africa under the

executive command and control of a National Commissioner who is appointed by the President.

On 29 January 1995, General George Fivaz was appointed by President Nelson Mandela as the first National Commissioner of the new South African Police Service. George Fivaz had the responsibility to first and foremost amalgamate the eleven policing agencies into a single united South African Police Service and secondly to align the new Police Service to new legislation and the process of transformation in South Africa. South Africa held elections in 1999 and Minister Sydney Mufamadi was succeeded by Minister Steve Tshwete as Minister for Safety and Security when he was appointed in that position by the country's new President, Thabo Mbeki. Mr Joe Matthews remained as Deputy Minister for Safety and Security.



University of Port Hare  
*Together in Excellence*

National Commissioner George Fivaz's term of office expired during January 2000 and he was succeeded by Jackie Selebi. Minister Tshwete was succeeded by Minister Charles Nqakula during May 2002. During the Election of 2004 Deputy Minister Joe Matthews was succeeded by Deputy Minister S. Shabangu when she was appointed as the Deputy Minister for Safety and Security. A decade and a half after Nelson Rolihlahla Mandela was formally elected as the first President of a democratic South Africa, and after President Mbeki took the oath of office, as the second President of the Republic in June 1999, Mr Jacob Zuma became the fourth President of the Republic of South Africa on 9 May 2009.

After the inauguration, President Jacob Zuma on 10 May 2009 announced the appointment of a new cabinet. Minister Nathi Mthethwa was appointed as the Minister of Police and Deputy Minister Fikile Mbalula was appointed as the Deputy Minister of Police. As one of the priorities in his Medium Term Strategic Framework, President Zuma outlined the importance of working together with all South Africans, so as to intensify the fight against crime and corruption. He stressed the need to build cohesive, caring and sustainable communities. The name of the Ministry for Safety and Security was also changed to Ministry of Police to emphasize real operational energy in police work that will contribute to the reduction of serious and violent crimes.

General Bheki Hamilton Cele was appointed by President Zuma as Police Commissioner of the South African Police Service on 2 August 2009. On 31 October 2010 President Jacob Zuma announced changes to the National Executive. These changes were guided by the mission of the government, which is to improve the quality of life for all South Africans especially the poor, working with all the people, providing access to basic services and addressing the need to see a visible improvement in safety and security and a host of other basic needs. Makhotso Magdeline was appointed as the new Deputy Minister of Police (Access: [http://www.saps.gov.za/saps\\_profile/history/history.htm](http://www.saps.gov.za/saps_profile/history/history.htm)). Retrieved on 2011-03-01.

## *Constitutional mandate and Objectives*

The Constitutional mandate of the South African Police Service is reflected in Section 205(3) of the 1996 Constitution. The 1996 Constitution lays down that the South African Police Service has a responsibility to:

- 1) prevent, combat and investigate crime;
- 2) maintain public order;
- 3) protect and secure the inhabitants of the Republic and their property;
- 4) uphold and enforce the law;
- 5) create a safe and secure environment for all people in South Africa;
- 6) prevent anything that may threaten the safety or security of any community;
- 7) investigate any crimes that threaten the safety or security of any community;
- 8) ensure criminals are brought to justice; and
- 9) participation in efforts to address the causes of crime.

The fundamental role that the Department is required to fulfill is clearly defined by the 'Objects of Policing' (constitutional mandate). This constitutes the core objectives of the SAPS and informs its strategic and operational activities. The mandate of the SAPS is also defined by a number of other South African statutes, all of which are subordinate to the 1996 Constitution but which collectively determine the authority of the SAPS. The following key statutes constitute the primary legislative mandate of the SAPS:

- 1) **The South African Police Act of 1995 (Act No 68 of 1995);**
- 2) Criminal Procedure Act of 1977 (Act No 51 of 1977);
- 3) Domestic Violence Act of 1998 (Act No 116 of 1998);
- 4) Extradition Act of 1962 (Act No 67 of 1962);
- 5) Financial Intelligence Centre Act of 2001 (Act No 38 of 2001);
- 6) Firearms Control Act of 2000 (Act No 60 of 2000);
- 7) Firearms Control Amendment Act of 2003 (Act No 43 of 2003);
- 8) Immigration Act of 2002 (Act No 13 of 2002);
- 9) Interception and Monitoring Prohibition Act of 1992 (Act No 127 of 1992);
- 10) Internal Security Act of 1982 (Act No 74 of 1982);
- 11) Public Finance Management Act of 1999 (Act No 1 of 1999);
- 12) Promotion of Access to Information Act of 2000 (Act No 2 of 2000);
- 13) Promotion of Administrative Justice Act of 2000 (Act No 3 of 2000);
- 14) Second Criminal Law Amendment Act of 1992 ( Act No 126 of 1992);
- 15) Sexual Offence Act of 1957 ( Act No 23 of 1957);
- 16) Public Service Regulations of 2001; and
- 17) Treasury Guidelines of 2005.

Section 205(2) of the 1996 Constitution states that National Legislation must establish the powers and functions of the South African Police Service and must enable the SAPS to discharge its responsibilities effectively, taking into account the requirements of the Provinces. On 4 October 1995, the President of South Africa assented to No. 68 of 1995: South African Police Service Act of 1995 and it was published for general information. The SAPS Act of 1995

provides for the establishment, organization, regulation and control of the South African Police Service and for matters in connection therewith.

In terms of the legislative mandate, the SAPS have developed a Vision, Mission and a set of values that governs its activities, to ensure that the actions of the organization are: in alignment with the 1996 Constitution and within the legislative framework.

The vision of the SAPS is to:



*Create a safe and secure environment for all people in South Africa*

The mission of the SAPS is to:

University of Fort Hare  
*Together in Excellence*

- 1) *Prevent anything that may threaten the safety and security of any community;*
- 2) *Investigate any crimes that threaten the safety and security of any community;*
- 3) *Ensure criminals are brought to justice; and*
- 4) *Participate in efforts to address the root causes of crime*

The values of the SAPS are to:

- 1) *Protect everyone's rights and to be impartial, respectful, open and accountable to the community;*

- 2) *Use the powers given to them in a responsible way;*
- 3) *Provide a responsible, effective and high-quality service with honesty and integrity;*
- 4) *Evaluate their service constantly and make every effort to improve on it;*
- 5) *Use the resources in the best possible way;*
- 6) *Develop the skills of all members through equal opportunities; and*
- 7) *Co-operate with the community, all levels of government and other role-players. (Source: SAPS Annual Report 2007/2008: 3).*



#### *Programmes and measurable objectives of the SAPS*

Based on the legislative mandate, the SAPS have been organized into five programmes. Key measurable objectives have been identified for each programme, which makes it possible to assess the impact of each programme as a whole. Financial and other resources are allocated to the five departmental programmes and the independent performance is also measured similarly (SAPS Annual Report 2007/2008:9).

A detailed description of the five (5) programmes of the SAPS is depicted in Table 5: 1 below:

PROGRAMME	PURPOSE & OBJECTIVE	SUB - PROGRAMME
1. Administration	Develop departmental policy; Manage the department - including administrative support; Support services, incl, IT, capital works and property management; and Provides training of personnel	Minister; Deputy Minister; Management; and Corporate Services
2. Visible Policing	Enable police stations to preserve safety and security; Provide for specialized interventions; and Policing of South Africa's borderlines.	Crime Prevention; Borderline Security; and Specialized Interventions
3. Detective Services	Enable the investigation work of the SAPS; Provide support to investigators in terms of forensic evidence and the Criminal Record Centre; and Contribute to the successful prosecution of crime, by investigating, gathering and analyzing related evidence.	Crime Investigations; Criminal Record Centre; and Forensic Science Laboratory.
4. Crime Intelligence	Manage crime intelligence; Analyze crime information; Provide technical support for crime prevention operations and for investigations; and Contribute to the neutralization of crime by gathering, collating and analyzing intelligence and information.	Crime Intelligence Operations; Intelligence and Information management

5. Protection and Security	Provide protection and security service to all identified dignitaries and government interests; Minimize security violations by protecting foreign and local prominent people; and Securing strategic interests.	VIP Protection Services; Static and Mobile Security; Ports of Entry – Security and Exit; Government Security Regulator Rail Police; and Operational Support
----------------------------	--	--

Table 5: 1. Financial programmes of the SAPS, adapted from the Annual Report of the SAPS (2007 – 2008: 10).

*Performance of the SAPS: 2009/2010 Financial Year*



Like all departments in the South African public sector, the South African Police Services had its set of challenges to deal with, including:

University of Fort Hare  
*Together in Excellence*

- 1) The skewed distribution of human and physical resources to policing stations across SA;
- 2) The inaccessibility of certain communities to policing services; and
- 3) The inequitable distribution of financial resources to rural police stations.

Amidst the challenges, the scourge of crime has penetrated the South African society, irrespective of colour and creed. Hence, a more robust, responsive and responsible police service is required in order to successfully prevent, investigate and eradicate all elements of crime. The fundamental role that the Department of Police is required to fulfill is clearly defined by the objects of

policing. These objects of policing constitute the core objectives of the Department, and inform the strategic and operational activities of the organization (Strategic Plan for the SAPS 2005-2010).

Treasury Regulation (TR) 5.1.1 states that each year, the Accounting Officer (Head of Department) must prepare a strategic plan for the forth coming medium term expenditure framework (MTEF) period for approval by the relevant executive authority. Strategic planning charts the direction of a department or institution over the next three to five years, while the medium term budget provides the resources to implement the plan (PALAMA: PFMFNFM – 2010: 30).



In order for the SAPS to execute its mandate, the researcher has arranged a process-flow diagram (Figure 5.1) that depicts the basic steps involved during the three phases on an annual basis. The three phases are: planning phase (prior to the commencement of the financial year); implementation phase (during the financial year); and reporting phase (at the end of the financial year). It is important to make such depiction prior to examining the reported actual results by the SAPS; it is prudent to also consider what performance targets and priorities were set for the department prior to the commencement of the financial year. This means that a comparison must be made between actual results against predetermined targets.

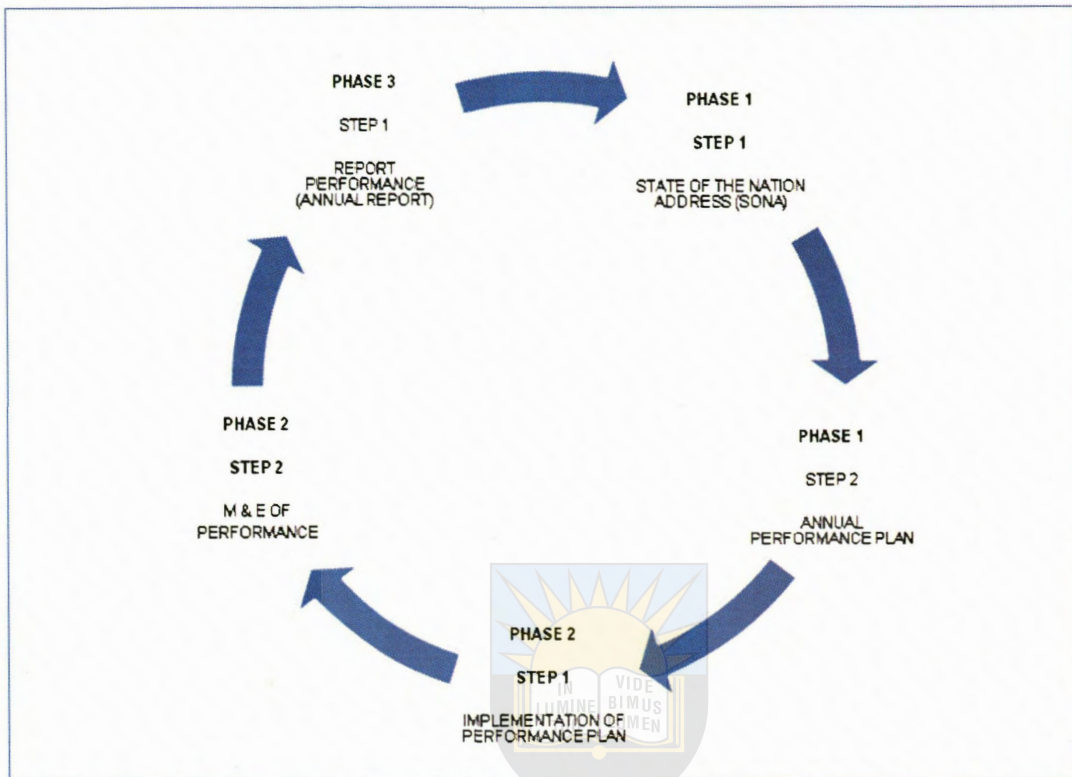


Figure 5: 1 - Process flow: basic steps involved during the three phases of performance in departments (Reddy, 2011).

The reporting done in this case study relates to the performance of the SAPS for the reporting period, namely 2009/10 financial year (01 April 2009 to 31 March 2010). The systematic approach, as captured accurately in Figure 5.1, will be used in this section of the study to report on the three mentioned phases, namely: planning; implementation; and reporting, with a view to provide: the President's call to the SAPS during the State of the Nation Address (SONA); details of what priorities and activities were planned for by the SAPS (Annual performance plan); and what was achieved at the end of the reporting period (Annual report).

## PHASE 1 – PLANNING PHASE

### Step 1 – State of the Nation Address (SONA) – 2009

The State of the Nation Address of the President of South Africa, Kgalema Motlanthe, to the joint sitting of Parliament, Cape Town was presented on the 6 February 2009. The purpose of a State of a Nation Address is simply:

- 1) To show the country's roadmap to the people;
- 2) To make people understand on the President's vision of economic opportunity, social cohesion and democratic faith; and
- 3) To unveil what had been done so far in his/her past year of service and the future projects he/she has to carry out towards unsurpassed, sustainable and equitable progress. (Access: <http://salaswildthoughts.blogspot.com/2006/07/state-of-nation-address-sona-2006.html>). Date retrieved: 2011-01-09.

The President made specific reference to the issue of crime in his address, as was done in every SONA year after year. The following was stated:

*“The scourge of crime remains a major source of insecurity for South Africans. Daily experience, in poor and affluent neighbourhoods alike, is one of apprehension at the possibility of violent attack. Within public and private institutions, the possibility of nefarious schemes siphoning off resources through corruption is always a source of great concern.*

*Of course, the overall crime rate, having peaked in 2002, has consistently declined. All kinds of statistics can be cited to attest to this.*

*But we do know that the reduction has not been fast enough, not even at the 7-10% rate that we set ourselves for various categories of contact crime. The fact that incidents of violent robberies in households and businesses have been on the increase; and crimes against women and children have not abated in any significant measure, is a matter of great concern.*

*These points to weaknesses in our neighbourhoods, especially in building the bonds of community solidarity that would assist us in preventing and combating crime. It points to systemic weaknesses in the criminal justice system, from investigation of crimes to rehabilitation of offenders. It points to weaknesses in the efficiency of the court system, both in terms of technical and other infrastructure and management” (Motlanthe, 2009: 11).*

It is important to note that there were two State of the Nation Addresses presented, the second was by His Excellency J.G. Zuma, President of the Republic of South Africa, Joint Sitting of Parliament, Cape Town on 3 June 2009 – this was after the 22 April 2009 general elections which saw Zuma elected as South Africa’s new President. The new President also made specific reference to the issue of crime in his address. The following was stated:

*“Together we must do more to fight crime. Our aim is to establish a transformed, integrated, modernized, properly-resourced and well-managed criminal justice system. It is also critically important to improve the efficiency of the courts and the performance of prosecutors and to enhance detective, forensic and intelligence services. This work has started in earnest, and it will be undertaken with new energy and vigour.*

*Among the immediate targets is to ensure that we increase the number of prosecutors and Legal Aid Board personnel. We will do the same with police detectives. We changed the name of the relevant Ministry from Safety and Security to Police to emphasize that we want real operational energy in police work. This will contribute to the reduction of serious and violent crimes by the set target of 7% to 10% per annum. The most serious attention will also be given to combating organized crime, as well as crimes against women and children” (Zuma, 2009: 12).*

It is clear from the SONA that one of government's key priorities is eradicating the scourge of crime in South Africa. It is therefore, required of the Accounting officer, who is the National Commissioner, to publish a Performance Plan for the financial year; this is explicated in the following section, Phase 1: Step 2.

#### **PHASE 1 – PLANNING PHASE**

*Step 2 – Publication of Annual Performance Plan by the National Commissioner of the South African Police Service – 2009/10 Financial Year*

Section 11 (2) (a) of the South African Police Service Act of 1995 (Act No. 68 of 1995) requires the National Commissioner to develop a one-year plan, setting out the priorities and objectives of policing for the following financial year. The Annual Performance Plan for the South African Police Service for 2009/2010 was developed in accordance with the South African Police Service Act of 1995 and is an extension of the South African Police Service

Strategic Plan for 2005 to 2010. The purpose of the SAPS Strategic Plan 2005 to 2010 is to direct strategic and operational planning within the SAPS for a five-year period, while the Annual Performance Plan, extrapolated from the Strategic Plan 2005 to 2010, provides a clear indication of the strategic priorities within the context of the prevailing financial year, the measurable objectives and targets associated with the priorities, and guidelines for the implementation of the one-year focus. The Annual Performance Plan for the SAPS for 2009/2010 therefore extended the policing priorities and objectives within the strategic direction provided by the Strategic Plan 2005 to 2010. This is also in line with Treasury Regulations of 2005, subparagraph 5.2.2 (d) which stipulates that the Performance Plan must include measurable objectives, expected outcomes, programme outputs, service delivery indicators and targets in respect of the Department's programmes ( SAPS, Annual Performance Plan 2009/10: 1).

Table 5.1 provided the five key departmental/financial programmes of the SAPS, together with their purpose. This section of the study (Table 5.2 to Table 5.6) will provide the following information per financial programme:

- 1) Sub-programme;
- 2) Priorities;
- 3) Outputs;
- 4) Service delivery indicators; and
- 5) Targets.

This information will be compared against the actual performance provided by the department (Phase 3) under the analysis and findings of the case.

## Key Departmental Programme 1: Administration

*Purpose: Develop policy and manage the Department, including providing administrative support*

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Minister Deputy Minister Management	Maintaining a minimum level of personnel in relation to the approved establishment.	Maintained a minimum number of employees to provide a policing service.	Percentage of personnel in terms of the approved establishment.	Maintain a minimum workforce of 95% in terms of the approved establishment.
Corporate Services Property Management	Developing Human Resources	Provision of Needs – based training.	Percentage of training provided in terms of the Training Provisioning Plan (TPP).	80% of training provided for in the TPP.
	Optimizing the balance between personnel and operational expenditure	Return on investment.	Compensation Expenditure vs. Operational expenditure.	Maintain expenditure ratio of not more than 73/27% for compensation/ operational expenditure.
	Optimizing the management of physical resources	Management of Supply Chain	Implementation of capital investment, asset management and maintenance plan.	80% of the planned for assets procured and distributed.

Table 5.2: Annual Performance Planning Information, Programme 1: Administration, 2009/10 Financial Year – (SAPS, Annual Performance Plan 2009/10: 8).

## Key Departmental Programme 2: Visible Policing

*Purpose: Enable police stations to institute and preserve safety and security, and provide for specialized interventions and the policing of South Africa's borderlines.*

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Crime Prevention	<p>To provide a proactive and reactive policing service relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common Assault</li> <li>• Aggravated robbery</li> <li>• Car / truck - jacking</li> <li>• Robbery at residential / business premises</li> <li>• Bank robbery</li> <li>• Cash-in-transit robbery</li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking (residential and nonresidential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> </ul>	Visible crime deterrence.	Number and type of partnerships to prevent contact and property related crimes.	Initiatives established at the 169 high-contact crime stations and other priority stations.
			Police actions conducted to prevent contact and property related crimes and crimes dependent on police action for detection.	<p>Actions undertaken at the 169 high contact crime stations and other priority stations.</p> <p>Recovery of 85% stolen/lost firearms in 2009/2010.</p> <p>Recovery of 46% stolen/robbed vehicles in 2009/2010.</p>

	<p><b>Crimes dependent on police action for detection</b></p> <ul style="list-style-type: none"> <li>• Illegal possession of firearms.</li> <li>• Drug-related crime.</li> <li>• Driving under the influence of alcohol.</li> </ul>		Rate of reduction of contact crimes.	Contact crimes to be reduced by 7% in 2009/2010.
			Rate of reduction of contact crimes	Contact crimes to be reduced by 7% in 2009/2010
			Number of escapes from police custody	Decrease the number of incidents of escapes from police custody relative to the baseline figure of 700 incidents in 2009/2010
Borderline Security	<p>To secure borderlines by focusing on arrest and seizures in respect of:</p> <ul style="list-style-type: none"> <li>• Criminal organizations involved in crimes relating to drugs, firearms, vehicles, human trafficking, human organ trafficking, prostitution, endangered species, precious metal and stones and non-ferrous metals.</li> <li>• Corruption.</li> <li>• Stock Theft</li> <li>• Marine life resources.</li> <li>• Illegal firearms, illegal drugs, stolen vehicles and illegal goods.</li> <li>• Illegal smuggling and trafficking in humans.</li> <li>• Prevention and combating of transnational crimes</li> </ul>	Deterrence of illegal activities at borderlines	Extent of cross border crime at South Africa's land, sea and air borderlines.	<p>Increase the recovery of stolen vehicles relative to the baseline figure of 208 in 2009/2010.</p> <p>Increase the recovery of illegal firearms relative to the baseline figure of 120 in 2009/2010.</p> <p>Increase the recovery of cannabis relative to the baseline figure of 65 000 kg in 2009/2010.</p>

Table 5.3: Annual Performance Planning Information, Programme 2: Visible Policing, 2009/10

Financial Year – (SAPS, Annual Performance Plan 2009/10: 9 – 10).

## Key Departmental Programme 3: Detective Services

**Purpose:** Enable the investigative work of the South African Police Service, including providing support to investigators in terms of forensic evidence and the Criminal Record Centre.

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Crime Investigations	<p>To investigate, gather and analyze evidence relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common assault</li> <li>• Aggravated robbery                             <ul style="list-style-type: none"> <li>➢ Carjacking</li> <li>➢ Truck-jacking</li> <li>➢ Robbery at residential premises</li> <li>➢ Robbery at business premises</li> <li>➢ Bank robbery</li> <li>➢ Cash-in-transit robbery</li> <li>➢ Other robbery</li> </ul> </li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking residential and non-residential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> <li>• Other theft.</li> </ul>	Crimes investigated	Percentage of charges (cases) to court for contact crimes, contact – related crimes, property-related crime, crimes dependent on police action for detection and other serious crime.	33% for 2009/2010.
			Detection rate for contact crimes, contact-related crimes, property related crime, crimes dependent on police action for detection and other serious crime.	43% for 2009/2010
			Conviction rate for contact crimes, contact-related crimes, property related crime, crimes dependent on police action for detection and other serious crime.	15% for 2009/2010

Key Departmental Programme 3: Detective Services continues...

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Crime Investigations	<p>To investigate, gather and analyze evidence relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common assault</li> <li>• Aggravated robbery                             <ul style="list-style-type: none"> <li>➢ Carjacking</li> <li>➢ Truck-jacking</li> <li>➢ Robbery at residential premises</li> <li>➢ Robbery at business premises</li> <li>➢ Bank robbery</li> <li>➢ Cash-in-transit robbery</li> <li>➢ Other robbery</li> </ul> </li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking residential and non-residential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> <li>• Other theft.</li> </ul>	Crimes investigated	Percentage of commercial crime charges in respect of:	
			Charges (cases) to court	25% for 2009/2010.
			Detection rate	37% for 2009/2010.
			Conviction rate.	35% for 2009/2010.
			Percentage charges (cases) to court for crimes against women (18 years and above) (Murder, attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	40% for 2009/2010
			Detection rate for crimes against women (18 years and above). (Murder attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	42 % for 2009/2010

Key Departmental Programme 3: Detective Services continues...

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Crime Investigations	<p>To investigate, gather and analyze evidence relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common assault</li> <li>• Aggravated robbery                             <ul style="list-style-type: none"> <li>➢ Carjacking</li> <li>➢ Truck-jacking</li> <li>➢ Robbery at residential premises</li> <li>➢ Robbery at business premises</li> <li>➢ Bank robbery</li> <li>➢ Cash-in-transit robbery</li> <li>➢ Other robbery</li> </ul> </li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking residential and non-residential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> <li>• Other theft.</li> </ul>	Crimes investigated	Percentage charges (cases) to court for crimes against children (under 18 years) (Murder, attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	30% for 2009/2010
			Detection rate for crimes against children (under 18 years) (Murder, attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	40% for 2009/2010
			Conviction rate regarding charges (cases) of corruption against police officials in relation to cases reported.	To be benchmarked in 2009/2010.

Key Departmental Programme 3: Detective Services continues...

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Criminal Record Centre	<p>To provide fingerprint evidence relating to contact crime, property-related crimes, crimes dependent on police action for detection and commercial crime in respect of:</p> <ul style="list-style-type: none"> <li>• Crime scene management</li> <li>• Evidence management</li> <li>• Presentation of evidence in court</li> <li>• Providing information on crime history</li> </ul>	Fingerprint identification	Percentage of Offender's previous conviction reports generated within 30 days.	85% generated within 30 days in 2009/2010.
Forensic Science Laboratory	<p>To provide forensic evidence relating to contact crime, property-related crime, crimes dependent on police action for detection and commercial crime in respect of:</p> <ul style="list-style-type: none"> <li>• Crime scene management</li> <li>• Evidence management</li> <li>• Explosive response, evidence presentation in court</li> </ul>	Forensic evidence	Percentage of exhibits analyzed within 35 days.	92% analyzed within 35 days in 2009/2010

Table 5.4: Annual Performance Planning Information, Programme 3: Detective Services, 2009/10 Financial Year – (SAPS, Annual Performance Plan 2009/10: 11 – 14).

## Key Departmental Programme 4: Crime Intelligence

*Purpose: Manage crime intelligence and analyze crime information, and provide technical support for investigations and crime prevention operations.*

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Crime Intelligence Operations	<p>To conduct crime intelligence operations/ investigations relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common assault</li> <li>• Aggravated robbery               <ul style="list-style-type: none"> <li>➢ Carjacking</li> <li>➢ Truck-jacking</li> <li>➢ Robbery at residential premises</li> <li>➢ Robbery at business premises</li> <li>➢ Bank robbery</li> <li>➢ Cash-in-transit robbery</li> <li>➢ Other robbery</li> </ul> </li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking (residential and non-residential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> <li>• Other theft</li> </ul>	Infiltration / penetration and collection on identified threats.	Number of operations / investigations conducted.	Maintain/increase the number of operations/ investigations conducted relative to the baseline figure of 19 000 operations / investigations in 2009/2010.

Key Departmental Programme 4: Crime Intelligence continues...

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Intelligence and information management	<p>To gather, collate and analyze intelligence products relating to:</p> <p><b>Contact crime</b></p> <ul style="list-style-type: none"> <li>• Murder and attempted murder</li> <li>• Sexual offences (rape, attempted rape and indecent assault)</li> <li>• Assault GBH</li> <li>• Common assault</li> <li>• Aggravated robbery                             <ul style="list-style-type: none"> <li>➢ Carjacking</li> <li>➢ Truck-jacking</li> <li>➢ Robbery at residential premises</li> <li>➢ Robbery at business premises</li> <li>➢ Bank robbery</li> <li>➢ Cash-in-transit robbery</li> <li>➢ Other robbery</li> </ul> </li> </ul> <p><b>Contact-related crimes</b></p> <ul style="list-style-type: none"> <li>• Arson</li> <li>• Malicious damage to property</li> </ul> <p><b>Property-related and other serious crime</b></p> <ul style="list-style-type: none"> <li>• Housebreaking residential and non-residential)</li> <li>• Theft of motor vehicles</li> <li>• Theft out of/from motor vehicles</li> <li>• Commercial crime</li> <li>• Shoplifting</li> <li>• Other theft</li> </ul>	Crime intelligence products.	Number of crime intelligence products.	Maintain/increase crime intelligence products relative to the baseline figure of 85 000 products in 2009/2010.



University of Fort Hare  
Together in Excellence

Table 5.5: Annual Performance Planning Information, Programme 4: Crime Intelligence, 2009/10 Financial Year – (SAPS, Annual Performance Plan 2009/10: 15 – 16).

## Key Departmental Programme 5: Protection and Security Services

Purpose: Provide protection and security services to all identified dignitaries and government interests.

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
VIP Protection Services	The protection of the President, the Deputy President, former Presidents and other VIPs while in transit.	Protection of all identified VIPs while in transit.	Percentage of security breaches in relation to security provided.	98-99% protection provided without security breaches in 2009/2010.
Static and Mobile	The protection of VIPs and their property, as well as valuable cargo.	Static protection of all identified VIPs and their property, including persons related to the president and deputy President.	Percentage of security breaches in relation to security provided.	98-99% protection provided without security breaches in 2009/2010.
		Protection of valuable cargo	Safe delivery rate of valuable cargo	98 – 99 % safe delivery in 2009/2010



Key Departmental Programme 5: Protection & Security Services continues...

Sub Programme	Priorities	Output	Service Delivery Indicator	Target
Ports of Entry Security	<p>To police and secure ports of entry and exit by focusing on arrest and seizures in respect of:</p> <ul style="list-style-type: none"> <li>• Criminal organizations involved in crimes relating to drugs, firearms, vehicles, human trafficking, prostitution, endangered species, precious metal and non – ferrous metals;</li> <li>• Corruption</li> <li>• Stock theft</li> <li>• Marine life resources</li> <li>• Illegal firearms, illegal drugs, stolen vehicles and illegal goods</li> <li>• Illegal smuggling and trafficking in humans</li> <li>• Prevention and combating of transnational crimes</li> </ul>	Security and policing at ports of entry and exit.	The extent of crimes at Ports of Entry and Exit.	<p>Increase the recovery of stolen vehicles relative to the baseline figure of 500 in 2009/2010.</p> <p>Increase the recovery of illegal firearms relative to the baseline figure of 400 in 2009/2010.</p> <p>Increase the recovery of cannabis relative to the baseline figure of 80 000kg in 2009/2010.</p> <p>Increase the number of arrests for illegal firearms, stolen vehicles, illegal drugs, illegal goods, human smuggling and trafficking and undocumented persons relative to the baseline figure of 40 000 arrests in 2009/2010.</p>
Government Security Regulator	Regulating physical security in the government sector and strategic installations	Institutionalized security of National Key Points and strategic installations.	Degree of compliance with institutional framework	<p>50% from a total of 265 identified strategic installations appraised by 31 March 2010.</p> <p>All national key points (156) evaluated in 2009/2010.</p>

Table 5.6: Annual Performance Planning Information, Programme 5: Protection and Security Services, 2009/10 Financial Year – (SAPS, Annual Performance Plan 2009/10: 17–18).

*Summary of Information: Table 5.2 to 5.6*

The information in the tables mentioned *supra*, provides the study a clear picture of the pre-determined objectives and targets that the SAPS had set for itself prior to the commencement of the 2009/2010 financial year, per financial programme. Further, this information forms part of Phase 1: Step 2 of the flow diagram. It is common knowledge that all targets set may not be necessarily achieved due to factors that negate such intents. Due consideration must be given to these factors when measuring the performance of an organization during and at the end of a financial year. However, quality service delivery is what is required by the citizens of the country; hence it is incumbent on any organization to develop strategies to facilitate the implementation of the strategic priorities identified in the strategic plan. The following implementation phase (phase 2: step 1) will consider the strategies developed by the SAPS to facilitate the actual execution of the strategic priorities identified in the strategic plan.

## PHASE 2 – IMPLEMENTATION PHASE

### *Step 1 – The actual execution of plan (policing functions)*

The implementation phase involves the actual execution of the activities (policing functions) and this must be guided by a set of implementation strategies that will promote this cause. The purpose of the various implementation strategies developed by the SAPS was to focus on implementation with respect to specific organizational priorities. The SAPS had developed the following implementation strategies for the 2009/10 financial year: the Service Delivery Improvement Programme, the Risk Management Strategy, the Corruption and Fraud Prevention Plan, the Information Technology Strategy and the Prevention of Attacks on and Murders of Police Officials Strategy.

University of Fort Hare  
*Together in Excellence*

Despite the fact that the implementation strategies which the SAPS had developed were to expressly facilitate focused implementation, this implementation has been slow to materialize at most organizational levels within the SAPS. The Office of the Auditor General (AG) has been concentrating increasingly on effective implementation of stated organisational priorities and objectives and has, during 2008/2009 financial year, conducted audits on a number of the strategies. These audits have confirmed the inconsistent implementation of the strategies (Annual Report, SAPS: 2008/2009: 147).

The Annual performance plan of the SAPS (2009/2010: 19–21) provides the implementation strategies, enumerated below, which described clearly what steps should be taken by who within the SAPS in addressing the particular priority issue. It was therefore incumbent on the relevant head office division and/or province to place considerable emphasis on implementing the strategies effectively at their level and, in the case of the provincial offices, ensuring effective implementation at station level.

### *The Service Delivery Improvement Programme (SDIP)*

The Service Delivery Improvement Programme (SDIP) of the SAPS requires that divisional, provincial and station commissioners develop and implement Batho Pele Action plans and service delivery charters in support of the implementation of the Batho Pele principles.

### *The SAPS Risk Management Strategy*

The SAPS had to develop and implement an effective system of risk management in terms of the 1999 PFMA and the Treasury Regulations of 2005. The SAPS Enterprise Risk Management Framework and the Risk Management National Instruction 1 of 2009 had been approved by the National Commissioner. The development of an organisational risk register for the SAPS contained risks that are applicable to all organisational levels. The police stations were to address their applicable organizational risks through the Station Commissioner's Performance Plan. In the 2009/2010

financial year, divisions and provinces were to be held accountable for the effective management of the risk registers.

#### *The Corruption and Fraud Prevention Plan*

The purpose of the SAPS Corruption and Fraud Prevention Plan is to educate all SAPS employees and the public at large on the nature and consequences of corruption; what action can be taken to expose corruption and fraud in the SAPS; and to provide a clear indication of the measures that the SAPS will implement to address corruption and fraud within its ranks. Based on the Prevention and Combating of Corrupt Activities Act of 2004 (Act No.12 of 2004), the Corruption and Fraud Prevention Plan was revised in 2007 to include specific implementation guidelines at national, provincial and station levels. These guidelines were to be implemented in 2009/2010 financial year and will be subject to monitoring from the national office.

#### *Prevention of Attacks on and Murders of Police Officials Strategy*

The purpose of the Prevention of Attacks on and Murders of Police Officials Strategy is to eradicate attacks on and the killing of SAPS police officials. The strategy provided a clear indication of the measures that the SAPS had to implement to address attacks on and murders of police officials.

The Prevention of Attacks on and Murders of Police Officials Strategy focused on the following three objectives:

- 1) SAPS personnel members must be adequately equipped with critical items to perform operational duties;
- 2) SAPS personnel members must have received the prescribed official training to enable them to better perform key operational functions; and
- 3) Managers, and in particular front-line supervisors, e.g., station commissioners and shift commanders must ensure that the relevant operational procedures are adhered to, e.g., search and seizure and detention management.



*The SAPS Information Systems and Information Communication Technology Resources Strategy*

University of Fort Hare  
*Together in Excellence*

The SAPS Information and Technology Plan (ITP), which sets out the SAPS Information, Applications Systems and Information Communication (IS/ICT) requirements and strategic intent, provided for a competitive edge in combating crime. This long-term strategic plan defined fifty five possible logical business systems for electronic automation and enhancements; a further two hundred IS/ICT strategic initiatives were identified, scheduled and costed. These initiatives were to ensure improved police service delivery to the community and streamlined, expeditious and cost-effective back-end administration and decision-making.

The Annual Performance Plan (planning information) for the SAPS, 2009/2010 formed an integral part of the Strategic Plan for the SAPS, 2005–2010. It established the link between the operational and strategic planning within the SAPS. The Strategic Plan for the SAPS (2005–2010: 33–46) identified additional strategies to facilitate the implementation of the SAPS strategic priorities. These are primarily cross-cutting in nature as they extend across functional capacities within the department.

### *Human Resource Strategy*

The purpose of the human resource strategy was to secure the creation and maintenance of an effective police service through:

- 1) utilization and management of personnel;
- 2) quality education, training and development; and
- 3) professional legal advisory and support services.

The goals of the HR Strategy support the SAPS strategic priorities and focused on:

- 1) optimizing personnel utilization;
- 2) developing human resources;
- 3) implementing Employment Equity;
- 4) institutionalizing performance management;
- 5) institutionalizing a professional service ethos;
- 6) institutionalizing an employee assistance service;
- 7) institutionalizing legal advisory and support services; and

- 8) ensuring policy compliance in support of strategic priorities.

### *National Crime Combating Strategy*

The National Crime Combating Strategy was implemented in April 2000 as part of the SAPS Strategic Plan 2000 to 2003. The Strategy was executed in two phases, namely: Phase 1 – stabilizing of crime over the period 2000 to 2003; and Phase 2 – normalizing of crime over the period 2004 to 2010.

The implementation of the National Crime Combating Strategy is impacted on negatively by the prevailing, unfavorable socioeconomic conditions in the country, such as abject and wide-spread poverty, lack of access to basic services and unemployment; this may contribute to the root causes of crime, thereby increasing the likelihood for the perpetration of crime (SAPS, Strategic Plan, 2005–2010:37).

### *The Firearm Strategy*

The purpose of the Firearm Strategy is to eradicate the proliferation of firearms available for use in crime and violence in South Africa, consisting of a number, as follows:

- 1) *Pillar 1*: Development and maintenance of appropriate firearm – related regulators – e.g., the Firearms Control Amendment Act of 2003 (Act No 43 of 2003) which was fully implemented by 1 July 2004, intended to

direct the maintenance of appropriate firearm-related regulators by the SAPS;

- 2) *Pillar 2*: Development and maintenance of effective control processes and procedures regarding firearms – this involves the business process re-engineering of the Firearm Control System which supports the implementation of the Firearms Control Regulations of 2004.
- 3) *Pillar 3*: Reduction and eradication of the illegal pool and criminal use of firearms in the society;
- 4) *Pillar 4*: Prevention of crime and violence through awareness and social crime prevention partnerships; and
- 5) *Pillar 5*: Regional Cooperation – this involves the continuous engagements with regional counterparts on various levels regarding the implementation of the Southern African Development Community (SADC) Firearms Protocol that primarily deals with firearms control on a regional level.



University of Fort Hare  
*Together in Excellence*

### *Crimes against Women and Children Strategy*

The purpose of the strategy was to reduce the incidence of crimes against women and children, as well as to ensure the proper investigation of sexual offences such as rape and indecent assault. The strategy includes the

following initiatives: Anti-Rape Strategy; implementation of the Domestic Violence Act of 1998 (Act No. 116 of 1998); the Victim Empowerment Programme; Youth Crime Prevention; Prevention of Violence Programme; and Reactive Measures and Conversations with Women Initiatives.

### *Conclusion*

The strategies described supra, had been developed by the SAPS management, with the express intent of driving the implementation of the strategic priorities and plans of the organization. The successful dissemination of these strategies to police station level remains to be tested. This will be examined later, during the analysis and findings of the case study. The SAPS has employed several performance monitoring and evaluation strategies to assist in the realization of its mandate, in that it seeks to provide responsive, relevant, effective service delivery to the citizens of South Africa. These M&E strategies are presented in the following section of this study.

## PHASE 2 – IMPLEMENTATION PHASE

### *Step 2 – Performance monitoring and evaluation (In-Year mechanism)*

Step 2 of Phase 2 involves the strategies that the SAPS have employed to monitor and evaluate its performance, while the annual performance plan is being implemented. This is an in-year monitoring mechanism that is designed to enhance sustainable service delivery.

There is no formal M&E strategy currently in the SAPS, however the following existing elements of an M&E system that are being employed to monitor and evaluate performance and service delivery within the SAPS will be presented in this section and analyzed later in the study:

- 1) Employment of a crime analyst in the SAPS and the National Management Forum (NMF);
- 2) The Presidency: Government's programme of action (PoA); and
- 3) Quarterly reporting responsibility.

#### **Employment of a crime analyst in the SAPS and the NMF**

Thirbeni (2011: Discussion) indicates clearly that the SAPS has appointed a crime analyst who is appointed as the National Head: Crime Information Analysis Centre (CIAC). The official is responsible to extract system-generated reports on all reported crime within the boundaries of South Africa. The following systems are accessed, Crime Administration System (CAS) and

Business Intelligence System (BI System). All reported cases of crime, in the various categories are extracted and then analyzed. This information is provided to the National Commissioner of Police and top management on a monthly basis at the National Management Forum (NMF). The establishment of the NMF, which comprises all Provincial and Divisional (Head Office) Commissioners, also serves as a performance M&E tool. The monitoring of progress relating to the timely implementation of the performance plan, and realization of pre-determined targets are being evaluated at this forum.

### **Government's programme of action (PoA)**

The Department of Performance Monitoring and Evaluation (DPME), which is situated in the Presidency is responsible for, among others, monitoring and evaluating the implementation of government's PoA. The President has signed "Delivery Agreements" with the various Executive Authorities (EA)/Ministers (also known as the political head of a department), which facilitates the government's PoA. The establishment of delivery agreements serves as an in-year monitoring and evaluation mechanisms within departments. Thirbeni (2011: Discussion) confirmed that feedback on Delivery Agreement for Outcome 3: *"All people in South Africa are and feel safe"* must be provided to DME by the Justice, Crime Prevention and Security Cluster (JCPS). Government departments have been clustered into groups comprising departments with similar sectoral challenges, in order to promote integrated governance. The SAPS is an integral part of the JCPS Cluster,

which coordinates interdepartmental crime prevention and security initiatives across the integrated justice system.

SAPS Annual Performance Plan (2009: 5–6) provides the broad JCPS Cluster priorities in relation to the SAPS, as follows: crime prevention and public safety; organized crime; improving the effectiveness of the Integrated Justice System (IJS); upholding national security; matters outstanding from the Truth and Reconciliation Commission (TRC); and major events (for example the 2010 FIFA World Cup and the general elections).

JCPS priorities are revised annually by the sub-structures of the JCPS Cluster, namely the Joint Operational and Intelligence Structure (JOINTS), the IJS Development Committee and the Border Control Coordinating Committee (BCOCC), based on the January Lekgotla and the President's State of the Nation Address. Proposals/changes to the priorities are submitted to the Policy and Advisory Services Unit (PCAS) at the Presidency which is responsible for drawing up the Government PoA (SAPS Annual Performance Plan (2009: 6)).

The JCPS is expected to provide feedback to the DPME on the following eight (8) outputs that have been identified in terms of the Delivery Agreement for Outcome 3:

*Output 1:* Reduced the overall levels of serious crime in particular contact and trio crimes;

*Output 2:* An effective Criminal Justice System;

*Output 3:* Corruption within the JCPS Cluster combated to ensure its effectiveness and its ability to serve as deterrent against crime;

*Output 4:* Perceptions of crime among the population managed and improved;

*Output 5:* Level of corruption reduced thus improving investor perception, trust and willingness to invest in South Africa;

*Output 6:* South Africa's Borders effectively safe guarded and secured;

*Output 7:* Integrity of identity and status of citizens and residents secured; and

*Output 8:* ICTS systems integrated and Cyber crime combated (DPME, 2010:7).



#### **Quarterly reporting responsibility**

In terms of Treasury Regulation 5.3 of 2005 and section 27 (4) of the 1999 PFMA performance information is *monitored* through quarterly reports, to ensure effective management, including planning, budgeting and implementation of the performance plan. The SAPS, hence compiles and submits performance reports on a quarterly basis to the Portfolio Committee on Police and to the National Treasury on programme performance. This exercise invariably serves as a handy tool in the hand of the department to track their actual performance against their pre – determined plans.

The following section will consider the final phase of the performance management approach, namely, the reporting phase.

### PHASE 3 – REPORTING PHASE

#### Step 1

#### *Release of Annual Crime Statistics*

&

#### *Reporting of actual results in the Annual report*

*(Activities and Financial / Budget Performance)*

This phase provides for the reporting of actual results of a department at the end of a financial year on a dual level, namely the achievement of results on activities and the achievement of results against the budget (financial performance). The SAPS management reports the performance/achievements of the department in a twofold manner:

- 1) Release of annual crime statistics – the report is presented by the Minister of Police on an annual basis; it deals with the reported national serious crime figures and ratios for the financial year in question, in this case the 2009/2010 financial year (that is the period 1 April 2009 to 31 March 2010); and
- 2) Publication of the Annual Report: Activities – this report is published by the National Commissioner of the SAPS, within five months of the end of the financial year; it contains an in-depth account of the performance of the SAPS during the reporting period, in this case the 2009/10 financial year, in relation to the policing priorities and elementary objectives determined for this period.

Finally, the financial/budget performance will also be considered, with a view of analyzing the impact that such resource injection has on service delivery at large, under the analysis and findings of the case study, later in the chapter.

The format of Phase 3 will be dealt with as follows:

- 1) release of annual crime statistics (*summary*);
- 2) publication of Annual Report: Activities (*detailed report*); and
- 3) publication of Annual Report; Financial/budget performance (*overview*).



University of Fort Hare  
*Together in Excellence*

## **Introduction**

In a democratic society like South Africa, accountability and transparency are part of the central tenets that promotes its sustainability, hence it is required that the SAPS releases the Annual Crime Statistics to the citizens of South Africa timely, to attempt to provide statistical measures of the crime within societies. Further, this constitutes the reporting responsibility of a department to communicate the achievements and/or failures in executing its mandate. On 9 September 2010, the National Minister of Police Nathi Mthethwa released the national crime statistics to the South African public. The report dealt with the reported national serious crime figures and ratios for the 2009/2010 financial year (that is the period 1 April 2009 to 31 March 2010). These were compared to the figures recorded during the preceding financial years since 2003/2004 (SAPS Crime Statistics, 2010: 1). For the purpose of this section (Release of Crime Statistics), only the summarized crime situation will be considered, while more attention to detail will be given to the crime under the reporting in the Annual Report. Analysis of the national crime situation is facilitated by grouping the 20 serious crime tendencies into the following broad crime types: contact crime (crimes against the person); contact-related crime; property-related crime; other serious crime; and crime detected as a result of police action (SAPS Crime Statistics, 2010: 1).

## Summary of the reported crime situation in SA: 2009/2010

During 2009/2010, a total of **2, 121, 887** (approximately 2.1 million) serious crime cases were registered in South Africa. Figure 5.2 illustrates the proportional contribution of each of the above broad crime types to the total crime picture in South Africa. Of the approximately 2.1 million cases, roughly a third (**31.9%**) were contact crimes, **26.1%** were property – related crimes, **25.5%** were other serious crimes and **10.0%** and **6.5%** were crimes detected as a result of police action and contact–related crimes respectively.

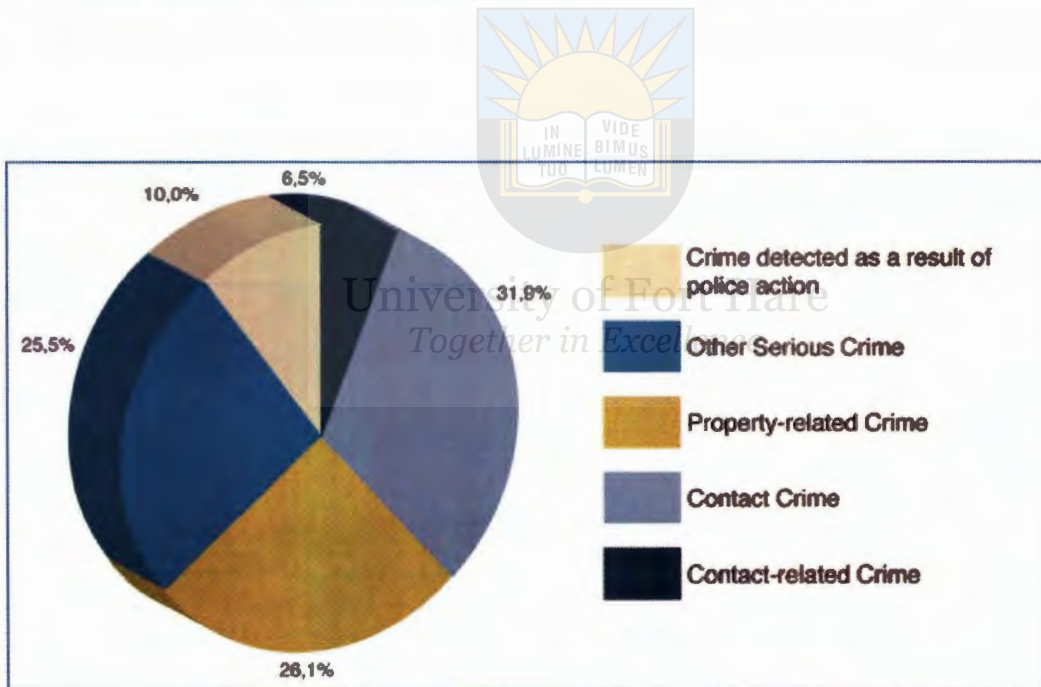


Figure 5.2: Serious Crime in South Africa: 2009/2010 – 2, 121, 887 cases (SAPS Crime Statistics, 2010: 2).

## Summary of the reported crime successes in SA: 2009/2010

Mthethwa (2010: 1) reported that the SAPS have recorded significant successes in combating crime. He further indicated that three key categories of contact crime decreased, namely, murder, attempted murder and robbery with aggravating circumstances. For the first time since the establishment of the South African Police Service in 1995/1996, murder declined to below 17,000 cases; this decrease from 26,877 to 16,834 cases between 1995/1996 and 2009/2010 represent a 50% reduction in the murder ratio (Cele: 2010: 2). Murder and attempted murder decreased by  $-8.6\%$  and  $-6.1\%$  respectively, while there was a reductions of  $-10.4\%$  in street / public robbery and  $-6.8\%$  in carjacking (SAPS Crime Statistics, 2010: 1).

This section, dealing with the release of the annual crime statistics, has provided a broad overview of the reported crimes and reported successes, as contained in the SAPS Crime Statistics Report, 2010; however the following section will focus sharply on specific activities of the department, among others, the detailed reporting of the actual results in crime combating in South Africa. The results offered through both the annual crime statistics and the annual report will be analyzed and the findings reported later in the chapter.

### *Publication of Annual Report: Activities*

Section 40 of the 1999 PFMA provides for the reporting responsibilities of an accounting officer. Specific reference is made in subsection (d), which

stipulates that an accounting officer must submit within five months of the end of a financial year to the relevant treasury and, in the case of a department or trading entity, also to the executive authority responsible for that department or trading entity:

- 1) an annual report on the activities of that department, trading entity or constitutional institution during that financial year;

This section will report the actual results achieved by the SAPS, as published in the Annual Report for the 2009/2010 financial year, against the targets that were set out in the Annual Performance Plan, as depicted in Phase 1: Step 2 *supra*. Cele (2010: vii) introduces the Annual Report as an in-depth account of the performance of the SAPS during 2009/10 in relation to the policing priorities and elementary objectives determined for this period and taking into consideration the resources utilized by the SAPS in achieving desired and focused driven results.

## Key Departmental Programme 1: Administration

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/10
Minister Deputy Minister Management	Maintained a minimum number of employees to provide a policing service.	Percentage of personnel in terms of the approved establishment.	Maintain a minimum workforce of 95% in terms of the approved establishment.	Achieved 99% workforce. <b>TARGET ACHIEVED</b>
Corporate Services Property Management	Provision of Needs – based training.	Percentage of training provided in terms of the Training Provisioning Plan (TPP).	80% of training provided for in the TPP.	88.1% of training provided for in the TPP <b>TARGET ACHIEVED</b>
	Return on investment.	Compensation Expenditure vs. Operational expenditure.	Maintain expenditure ratio of not more than 73/27% for compensation/operational expenditure.	71/29% for compensation/operational expenditure <b>TARGET ACHIEVED</b>
	Management of Supply Chain	Implementation of capital investment, asset management and maintenance plan.	80% of the planned for assets procured and distributed.	Due to suppliers not being able to meet delivery time – frames, only: <b>2 OF 3 TARGETS ACHIEVED</b>

Table 5.7: Actual Performance against Targets: Programme 1: Administration, 2009/10 Financial Year – (SAPS, Annual Report 2009/10: 42 – 43).

## Key Departmental Programme 2: Visible Policing

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/10
Crime Prevention	Visible crime deterrence.	Number and type of partnerships to prevent contact and property related crimes.	Initiatives established at the 169 high-contact crime stations and other priority stations.	<p>183 arrests were made from 1 April 2009 to 31 March 2010 as a result of the partnership between the SAPS and the PRIMEDIA Group, which was established in 2007 to encourage the community to blow the whistle on crime by reporting it anonymously.</p> <p>The partnership with Business against Crime South Africa, one of the key partners of the SAPS in the fight against crime, continued with the following specific focus areas: the Criminal Justice Review &amp; Improvement Programme; the Violent Organised Crime Reduction Programme; and the Non-Ferrous Metal Theft Reduction Programme.</p> <p>The National Community Police Board (NCPB) continued with initiatives to support the objectives of CPF's.</p> <p><b>TARGET ACHIEVED</b></p>
		Police actions conducted to prevent contact and property related crimes and crimes dependent on police action for detection.	Actions undertaken at the 169 high contact crime stations and other priority stations.	<p>52 233 roadblocks (42 601 roadblocks in 2008/09), 1 542 031 stop and search operations (1 006 186 in 2008/09) and various other actions led to 1 361 504 arrests. 44% (596 447) of these arrests were made within the boundaries of the 169 high-contact crime police stations.</p> <p><b>TARGET ACHIEVED</b></p>

			<p>Recovery of 46% stolen/robbed vehicles in 2009/2010</p> <p>Recovery of 85% stolen/lost firearms in 2009/2010.</p>	<p>46% (38 028) vehicles recovered relative to 82 661 vehicles stolen/robbed.</p> <p><b>TARGET ACHIEVED</b></p> <p>61.6% (7 376) firearms recovered relative to 11 982 firearms stolen/lost.</p> <p><b>TARGET NOT ACHIEVED</b></p>
		Rate of reduction of contact crimes.	Contact crimes to be reduced by 7% in 2009/2010.	<p>Percentage increase/decrease of contact crime between 2008/09 and 2009/10 (based on raw figures):</p> <p>Murder -7,2%  Sexual Offences -3,1%  Attempted murder -4,9%  Assault GBH 0.7%  Common assault 2,3%  Robbery (violent) -6,3%  Common robbery -2,9%</p> <p><b>NOT ALL TARGETS ACHIEVED</b></p>
		Number of escapes from police custody	Decrease the number of incidents of escapes from police custody relative to the baseline figure of 700 incidents in 2009/2010	<p>602 escape incidents occurred in 2009/10 during which 857 persons escaped from police custody compared to 719 incidents in 2008/09 during which 1 144 persons escaped.</p> <p><b>TARGET ACHIEVED</b></p>



Borderline Security	Deterrence of illegal activities at borderlines	Extent of cross border crime at South Africa's land, sea and air borderlines.	Increase the recovery of stolen vehicles relative to the baseline figure of 208 in 2009/2010.	340 vehicles recovered <b>TARGET ACHIEVED</b>
			Increase the recovery of illegal firearms relative to the baseline figure of 120 in 2009/2010.	179 illegal firearms recovered <b>TARGET ACHIEVED</b>
			Increase the recovery of cannabis relative to the baseline figure of 65 000 kg in 2009/2010.	87 175kg cannabis recovered <b>TARGET ACHIEVED</b>

Table 5.8: Actual Performance against Targets: Programme 2: Visible Policing, 2009/10 Financial Year – (SAPS, Annual Report 2009/10: 45 - 47).

### Key Departmental Programme 3: Detective Services

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Crime Investigations	Crimes investigated	Percentage of charges (cases) to court for contact crimes, contact – related crimes, property-related crime, crimes dependent on police action for detection and other serious crime.	33% for 2009/2010.	37.08 % <b>TARGET ACHIEVED</b>
		Detection rate for contact crimes, contact-related crimes, property related crime, crimes dependent on police action for detection and other serious crime.	43% for 2009/2010	46.16 % <b>TARGET ACHIEVED</b>
		Conviction rate for contact crimes, contact-related crimes, property related crime, crimes dependent on police action for detection and other serious crime.	15% for 2009/2010	30.36 % <b>TARGET ACHIEVED</b>

Key Departmental Programme 3: Detective Services continues...

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Crime Investigations	Crimes investigated	Percentage of commercial crime charges in respect of:		
		Charges (cases) to court	25% for 2009/2010.	23.79 % <b>TARGET NOT ACHIEVED</b>
		Detection rate	37% for 2009/2010.	36.55 % <b>TARGET NOT ACHIEVED</b>
		Conviction rate.	35% for 2009/2010.	46.28 % <b>TARGET ACHIEVED</b>
		Percentage charges (cases) to court for crimes against women (18 years and above) (Murder, attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	40% for 2009/2010	56.81 % <b>TARGET ACHIEVED</b>
Detection rate for crimes against women (18 years and above). (Murder attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	42 % for 2009/2010	71.92 % <b>TARGET ACHIEVED</b>		

Key Departmental Programme 3: Detective Services continues...

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Crime Investigations	Crimes investigated	Percentage charges (cases) to court for crimes against children (under 18 years) (Murder, attempted murder, rape, attempted rape, assault GBH, indecent assault and common assault).	30% for 2009/2010	51.57 % <b>TARGET ACHIEVED</b>
		Detection rate for crimes against children (under 18 years) – as above	40% for 2009/2010	66.27 % <b>TARGET ACHIEVED</b>
		Conviction rate regarding charges (cases) of corruption against police officials in relation to cases reported.	To be benchmarked in 2009/2010.	19.30 %  Note – The conviction rate does not accurately reflect the outcome of the investigative process of these cases.
Criminal Record Centre	Fingerprint identification	Percentage of Offender's previous conviction reports generated within 30 days.	85% generated within 30 days in 2009/2010.	63.41% generated within 30 days. <b>TARGET NOT ACHIEVED</b>
Forensic Science Laboratory	Forensic evidence.	Percentage of exhibits analyzed within 35 days.	92% analyzed within 35 days in 2009/2010	86% analyzed within 35 days. <b>TARGET NOT ACHIEVED</b>

Table 5.9: Actual Performance against Targets: Programme 3: Detective Services, 2009/10 Financial Year – (SAPS, Annual Report 2009/10: 49 – 51).

## Key Departmental Programme 4: Crime Intelligence

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Crime Intelligence Operations	Infiltration / penetration and collection on identified threats.	Number of operations / investigations conducted.	Maintain/increase the number of operations/ investigations conducted relative to the baseline figure of 19 000 operations / investigations in 2009/2010.	An increase from 17 035 operations/ investigations in 2008/09 to 24 368 operations / investigations.  <b>TARGET ACHIEVED</b>
Intelligence and information management	Crime intelligence products.	Number of crime intelligence products.	Maintain/increase crime intelligence products relative to the baseline figure of 85 000 products in 2009/2010.	An increase from 142 020 intelligence reports in 2008/09 to 234 231 intelligence reports.  <b>TARGET ACHIEVED</b>

Table 5.10: Actual Performance against Targets: Programme 4: Crime Intelligence, 2009/10 Financial Year – (SAPS, Annual Report 2009/10: 53).

## Key Departmental Programme 5: Protection and Security Services

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
VIP Protection Services	Protection of all identified VIPs while in transit.	Percentage of security breaches in relation to security provided.	98-99% protection provided without security breaches in 2009/2010.	Protection provided to 453 South African and visiting foreign dignitaries with no security breaches. <b>TARGET ACHIEVED</b>
Static and Mobile	Static protection of all identified VIPs and their property, including persons related to the president and deputy President.	Percentage of security breaches in relation to security provided.	98-99% protection provided without security breaches in 2009/2010.	99, 98% protection was provided without security breaches. In 13 instances there was security breaches <b>TARGET ACHIEVED</b>
	Protection of valuable cargo	Safe delivery rate of valuable cargo	98 – 99 % safe delivery in 2009/2010	Protection provided to 203 cargos with no security breaches. <b>TARGET ACHIEVED</b>
Railway Police	Crime prevention / combating in the rail environment.	Priority crime rate in the rail environment.	Contact crimes to be reduced by 7% in 2009/2010.	Contact crimes reduced by - 25, 7%. 2 475 contact crimes reported in 2009/10 compared to 3 333 in 2008/9. <b>TARGET ACHIEVED</b>
		Number of arrests in the rail environment.	Increase the number of priority crime arrests in the railway environment relative to the baseline figure of 2500 arrests in 2009/2010.	3 549 priority crime arrests. <b>TARGET ACHIEVED</b>

Key Departmental Programme 5: Protection & Security Services continues...

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Ports of Entry Security	Security and policing at ports of entry and exit.	The extent of crimes at Ports of Entry and Exit.	Increase the recovery of stolen vehicles relative to the baseline figure of 500 in 2009/2010.	845 stolen vehicles recovered <b>TARGET ACHIEVED</b>
			Increase the recovery of illegal firearms relative to the baseline figure of 400 in 2009/2010.	152 illegal firearms recovered <b>TARGET NOT ACHIEVED</b>
			Increase the recovery of cannabis relative to the baseline figure of 80 000 kg in 2009/2010.	29 521kg cannabis recovered <b>TARGET NOT ACHIEVED</b>
			Increase the number of arrests for illegal firearms, stolen vehicles, illegal drugs, illegal goods, human smuggling and trafficking and undocumented persons relative to the baseline figure of 40 000 arrests in 2009/2010.	22 671 arrests for illegal firearms, stolen vehicles, illegal drugs, illegal goods, human smuggling and trafficking and violations of the Immigration Act. <b>TARGET NOT ACHIEVED</b>
Government Security Regulator	Institutionalized security of National Key Points and strategic installations.	Degree of compliance with institutional framework	50% from a total of 265 identified strategic installations appraised by 31 March 2010.	60,4% (160) strategic installations appraised <b>TARGET ACHIEVED</b>
			All national key points – (156) evaluated in 2009/2010.	130 National Key Points evaluated <b>TARGET NOT ACHIEVED</b>

Table 5.11: Actual Performance against Targets: Programme 5: Protection and Security Services, 2009/10 Financial Year – (SAPS, Annual Report 2009/10: 55 – 56).

*Summary of Information: Table 5.7 to 5.11*

The information in the tables mentioned *supra*, provides the study a clear picture of the actual results that the SAPS has achieved at the end of the 2009/2010 financial year, per financial programme; the targets reported in tables 5.2 to 5.6 were used as the benchmark, however the degree to which the SAPS has achieved will be discussed in detail under the analysis and findings of the case study. Further, this information forms part of Phase 3: Step 1 of the flow diagram, i.e., the reporting phase. It is common knowledge that all targets set may not necessarily be achieved due to factors that negate such intents; this became clear in the results that were reported *supra*.

The following section will examine the financial/budget performance of the SAPS for the same period, i.e., 2009/2010 financial year, as reported in the Annual Report, SAPS.

*Publication of Annual Report; Financial/Budget Performance of the SAPS:  
2009/2010 Financial Year*

Section 40 of the 1999 PFMA provides for the reporting responsibilities of an accounting officer. Specific reference is made in subsection (d), which stipulates that an accounting officer must submit within five months of the end of a financial year to the relevant treasury and, in the case of a department or trading entity, also to the executive authority responsible for that department or trading entity:

- 1.) an annual report on the activities of that department, trading entity or constitutional institution during that financial year;
- 2.) the financial statements for that financial year after those statements have been audited; and
- 3.) the Auditor – General's report on those statements.

This section will report the actual results achieved by the SAPS, as published in the Annual Report for the 2009/2010 financial year, on the allocated budget for the period under review. In order to draw a proper comparison between the planned budgetary actions and the actual performances achieved on the budget, the researcher has formulated Figure 5.3 that illustrates the relationship between them. The two steps involved in the illustration are as follows: (1) Estimates of National Expenditure (ENE); and (2) Annual Financial Statements (AFS). The ENE is formulated prior to the commencement of the financial year, while the latter, after the closure of the financial year. It is always important to make such depiction prior to examining the reported

actual results by the SAPS, as this enhances the comparison between actual results against predetermined targets.

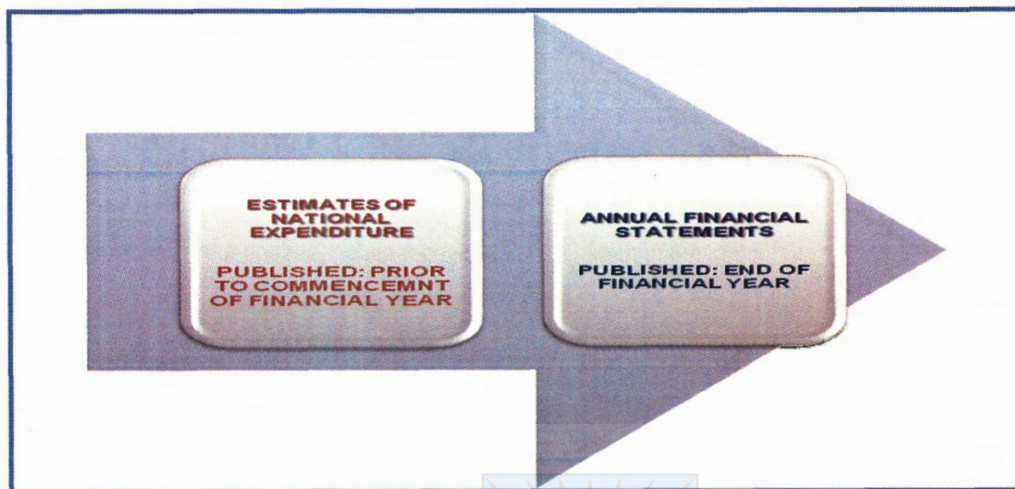


Figure 5.3: Relationship between the ENE and AFS (Reddy, 2011).

#### **Estimates of National Expenditure (ENE)**

The ENE is a tool to enhance the accountability of the executive to Parliament and civil society, and to allow for the review and monitoring of government's service delivery and spending plans. By providing information that links service delivery to budgets, the ENE deepens the quality of trusteeship over public funds allocated for government programmes (Annual Performance Plan: SAPS, 2009/2010: 6). Kganyago (2009: iii), the Director General of the National Treasury, at the time, explains that the ENE goes beyond providing a comprehensive review of actual and planned expenditure, but provides extensive information linking the strategies, objectives and performance targets of the department to their spending plans. The ENE provides an allocation to the department per financial program, prior to the commencement of the financial year.

Table 5.12 provides a budget summary of the SAPS for the 2009/2010 financial year as contained in the ENE of 2009. This initial allocation will be compared with the final expenditure as contained in the annual financial statements. According to the comments made by Kganyago (2009: iii), it is evident that the ENE has been compiled as part of the strategic planning process and is linked to the departmental priorities, hence it will be prudent to note the deviations, if any. If there are major deviations, this will tantamount to ineffective monitoring mechanisms being implemented.

### Budget Summary

R thousand (R' 000)	2009/10			
	Total to be appropriated	Current payments	Transfers & Subsidies	Payment for capital assets
<b>MTEF Allocation</b>				
Administration	15 449 150	14 066 674	206 134	1 176 342
Visible Policing	19 015 537	17 859 199	129 641	1 026 297
Detective Services	7 625 060	7 403 859	36 016	185 185
Crime Intelligence	1 714 134	1 668 038	7 633	38 463
Protection & Security Services	2 605 812	2 521 205	3 357	81 250
<b>Total expenditure estimates</b>	<b>46 409 693</b>	<b>43 518 975</b>	<b>382 781</b>	<b>2 507 937</b>

Executive authority

Minister for Safety and Security

Accounting officer

National Commissioner of the South African Police Service

Table 5.12: ENE, Vote 22 – Safety and Security (National Treasury, 2009: 1).

The total amounts to be appropriated are apportioned to the expenditure categories, namely, current payments, transfers and subsidies and payment for capital assets; this is in alignment to the Economic Reporting Format (ERF) that was introduced by the National Treasury in 2004. The next section will present the actual expenditure per financial programme as reported in the SAPS Annual Financial Statements, contained in the Annual Report for the 2009/2010 financial year. This comparison will be analyzed and the findings reported later in this chapter.

## Annual Financial Statements (AFS)

The AFS, as prescribed by section 40 of the 1999 PFMA, must be submitted to the Auditor General (AG) for auditing, prior to publishing such information in the Annual Report. The audited AFS, as reflected in the SAPS Annual Report 2009/10 reflect the actual expenditure at the end of the financial year, per programme.

The AG (SAPS, Annual Report 2009: 122) reported the following irregularities for the period under review:



### *Fruitless and wasteful expenditure*

Fruitless and wasteful expenditure to the amount of R1, 127, 000 was incurred for the year under review. This was mainly due to the late payment of licence fees and dormant fuel cards.

### *Irregular expenditure*

Irregular expenditure to the amount of R3, 399, 000 (2009 – R15, 482, 000) was incurred for the year under review. The department incurred this mainly as a result of non-compliance with the supply chain management process.

Table 5.13 provides the actual summary of the final expenditure for the period under review. The researcher has arranged this table to provide for the ENE estimates; this will assist in the analysis later in this chapter.

R thousand (R, 000)	2009/10			
	Total to be appropriated (ENE)	Final Appropriation	Actual Expenditure	Expenditure as a % of the Final Appropriation
<b>MTEF Allocation</b>				
Administration	15 449 150	16 009 520	16 009 520	100%
Visible Policing	19 015 537	19 769 866	19 769 866	100%
Detective Services	7 625 060	7 493 634	7 493 634	100%
Crime Intelligence	1 714 134	1 658 046	1 658 018	100%
Protection & Security Services	2 605 812	2 690 929	2 690 929	100%
<b>Total expenditure estimates</b>	<b>46 409 693</b>	<b>47 621 995</b>	<b>47 621 967</b>	<b>100%</b>

Table 5.13: Actual expenditure: SAPS 2009/10 (National Treasury, 2009: 136 – 146).

The total expenditure (R 47, 621, 995, 000) as indicated *supra*, is divided between the following two cost drivers, namely: compensation of employees and departmental operational costs. Figure 5.4 provides a graphical representation of the consumption of the budget by these cost drivers.

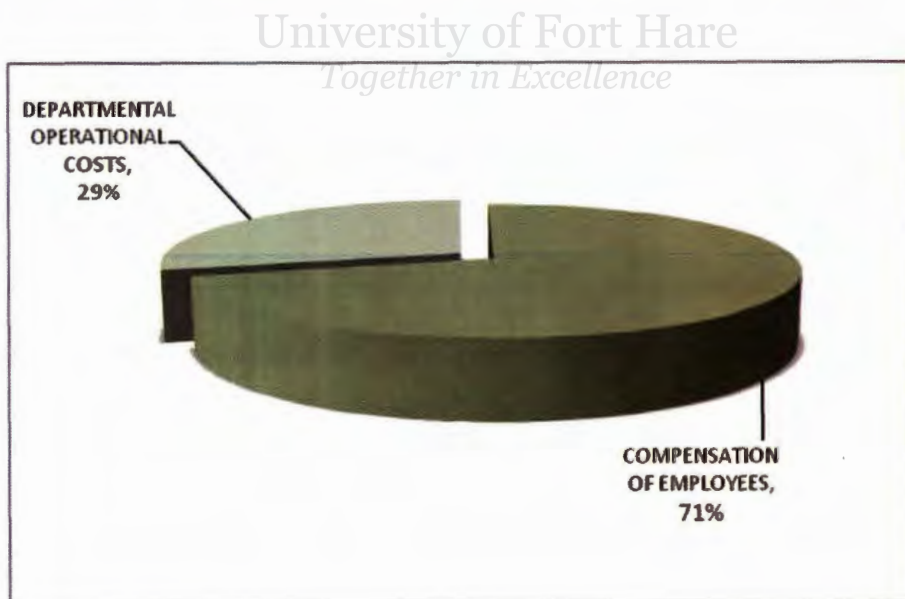


Fig 5.4: Graphical representation of % consumption of the appropriated budget by two main cost driver categories (Annual Report: SAPS, 2009: 126).

### *Summary of the case study*

The presentation of the case study was done in a methodical manner. The precursor to the case study was a historical overview of the South African Police Service followed by its constitutional mandate and objectives.

The case study has adopted a three-phase approach, namely, planning, implementation and reporting. During the planning phase, the SONA and the publication of the Annual Performance Plan were extensively considered. The implementation phase was thereafter presented, commencing with implementation strategies followed by an examination of the performance monitoring and evaluation system of the SAPS. Finally, the reporting phase was presented in a threefold manner: (1) release of annual crime statistics; (2) annual report: activities; and (3) annual financial statements.

In summation, the information presented in terms of the three-phase approach will be analyzed and the findings reported in the following section of this chapter of the study. The phases will be integrated to some extent to allow the researcher to perform a comparative analysis as follows:

- 1.) performance targets (*beginning of financial year*) **vs.** actual performance results (*end of financial year*); and
- 2.) budget appropriations (*beginning of financial year*) **vs.** actual budget expenditure (*end of financial year*).

## ANALYSIS AND FINDINGS OF THE CASE STUDY

The analysis and findings of the data that were collated in the section *supra*, will now be presented in a systematic approach (three-phase approach); this will allow for recommendations to be offered in the following chapters. Also some lessons that were learned from the local and international experiences presented in the early chapters of the study were incorporated into the analysis.

### Analysis: Phase 1: Planning (SONA)

The content of the SONA that was presented by both Presidents Motlanthe and Zuma in 2009 was analyzed: in view of this, the following findings are presented:



University of Fort Hare  
*Together in Excellence*

Firstly, a specific reference was made to the crime situation in South Africa – this authenticates the government’s seriousness to this issue. Resultantly, a clarion call is made to Minister of Police (political head) and the Accounting Officer (administrative head) to ensure that all levels of crime are significantly reduced and that a safe and secure South Africa is created for all its citizens;

Secondly, there was a call made to establish a transformed, integrated, modernized, properly-resourced and well-managed criminal justice system. This means that a more integrated and well-coordinated approach between

the SAPS and Department of Justice and Constitutional Development (DOJCD) is required; and

Thirdly, there was an acknowledgement made that crime reduction had not been fast enough, including the 7–10% rate that government has previously set for themselves regarding the various categories of contact crime, since the incidents of violent robberies in households and businesses have been on the increase. In fact, crimes against women and children have not abated in any significant measure; an echo of great concern resounded at parliament on the said day.



University of Fort Hare  
*Together in Excellence*

**Analysis: Phase 1: Planning (Annual Performance Plan) versus Phase 3: Reporting (Annual Report: Activities) and Annual Crime Statistics**

An analysis of the actual performance results presented in the annual report against the targets that set out in the annual performance plan was conducted and the following findings are reported:

**Programme 1: Administration** – of the four (4) output areas, targets were not achieved in respect to the following service delivery indicators, as depicted in Table 5.7 *supra*.



Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/10
Minister Deputy Minister Management Corporate Serv.	Management of Supply Chain	Implementation of capital investment, asset management and maintenance plan.	80% of the planned for assets procured and distributed.	Due to suppliers not being able to meet delivery time – frames, only:  <b>2 OF 3 TARGETS ACHIEVED</b>

**Programme 2: Visible Policing** – of the two (2) output areas, targets were not achieved in respect to the following service delivery indicators, as indicated in Table 5.8 *supr.*

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/10
Crime Prevention	Visible crime deterrence.	Number of escapes from police custody	Recovery of 85% stolen/lost firearms in 2009/2010.	61.6% (7 376) firearms recovered relative to 11 982 firearms stolen/lost. <b>TARGET NOT ACHIEVED</b>
		Extent of cross border crime at South Africa's land, sea and air borderlines.	Contact crimes to be reduced by 7% in 2009/2010.	Percentage increase/decrease of contact crime between 2008/09 and 2009/10 (based on raw figures):  Murder -7,2% Sexual Offences -3,1% Attempted murder -4,9% Assault GBH 0.7% Common assault 2,3% Robbery (violent) -6,3% Common robbery -2,9% <b>NOT ALL TARGETS ACHIEVED</b>

**Programme 3 – Detective Services** – of the five (5) output areas, targets were not achieved in respect to the following service delivery indicators, as indicated in Table 5.9 *supra*

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Crime Investigations	Crimes investigated	Percentage of commercial crime charges in respect of:		
		Charges (cases) to court	25% for 2009/2010.	23.79 % <b>TARGET NOT ACHIEVED</b>
		Detection rate	37% for 2009/2010.	36.55 % <b>TARGET NOT ACHIEVED</b>
Criminal Record Centre	Fingerprint identification	Percentage of Offender's previous conviction reports generated within 30 days.	85% generated within 30 days in 2009/2010.	63.41% generated within 30 days. <b>TARGET NOT ACHIEVED</b>
Forensic Science Laboratory	Forensic evidence.	Percentage of exhibits analyzed within 35 days.	92% analyzed within 35 days in 2009/2010	86% analyzed within 35 days. <b>TARGET NOT ACHIEVED</b>

**Programme 4 – Crime Intelligence** – of the two (2) output areas, all targets were achieved in respect to all service delivery indicators; this is indicated in Table 5.10 *supra*.

**Programme 5 – Protection & Security Services** – of the six (6) output areas, targets were not achieved in respect to the following service delivery indicators, as indicated in Table 5.11, *supra*.

Sub Programme	Output	Service Delivery Indicator	Target	Actual Results 2009/2010
Ports of Entry Security	Security and policing at ports of entry and exit.	The extent of crimes at Ports of Entry and Exit.	Increase the recovery of illegal firearms relative to the baseline figure of 400 in 2009/2010.	152 illegal firearms recovered <b>TARGET NOT ACHIEVED</b>
			Increase the recovery of cannabis relative to the baseline figure of 80 000 kg in 2009/2010.	29 521kg cannabis recovered <b>TARGET NOT ACHIEVED</b>
			Increase the number of arrests for illegal firearms, stolen vehicles, illegal drugs, illegal goods, human smuggling and trafficking and undocumented persons relative to the baseline figure of 40 000 arrests in 2009/2010.	22 671 arrests for illegal firearms, stolen vehicles, illegal drugs, illegal goods, human smuggling and trafficking and violations of the Immigration Act. <b>TARGET NOT ACHIEVED</b>
Government Security Regulator	Institutionalized security of National Key Points and strategic installations.	Degree of compliance with institutional framework	All national key points – (156) evaluated in 2009/2010.	130 National Key Points evaluated <b>TARGET NOT ACHIEVED</b>

In terms of the above–mentioned findings presented, only thirteen (13) targets were not achieved. This may appear to be acceptable by generic standards, taking into account the overwhelming number of achievements made during the period under review.

However, upon conducting an analysis of these findings the following questions are raised:

- 1.) To what degree are the crime statistics manipulated to portray this picture? and
- 2.) Are the achievements reported a realistic picture of the crime situation on the ground?

In attempting to address question one, it must be noted that the crime information is generated from within the organization; that is, the number of reported cases, the successes of such cases and the performance information, which is the annual statistics (Thirbeni, 2001: Discussion). The method of operation employed by the SAPS can be viewed negatively by the ordinary citizens, as it encourages the view that crime information is being manipulated to present a better picture than the actual situation. This school of thought was fueled when Underhill reported in the Mail & Guardian (05 March 2010) that fictitious dockets were meant to create the impression that SAPS: Kirstenhof had reflected more arrests than they had actually effected, as a means of boosting the station's low performance ratings; this was reported by an ex-employee. It was also reported that these revelations gave rise to the launch of an investigation by the Independent Complaints Directorate (ICD) in June 2009 into claims that police stations in Paarl, Paarl East, Mbekweni, Wellington and Oudtshoorn had been involved in manipulating crime statistics.

Bruce (2010: 9) argues that the identified peculiarities in crime statistics can be understood as linked to non-recording, which is shaped by a hierarchy of violent crime in which some categories of crime are viewed as important while others are viewed as unimportant; implying that the violent crime statistics cannot be relied on as an indicator of trends in violent crime. In his article, 'the reliability of violent crime statistics', Bruce(2010) considered a number of peculiarities in the statistics on violent crime and argued that these peculiarities make sense when understood in relation to the 'perverse incentives' created by the establishment of the SAPS Performance Chart and pressure from government for the SAPS to reduce violent crime by seven to ten per cent per annum.



The implication is that the non-recording of crime is widespread within the SAPS and that this non-recording is responsible for much of the reduction in crime that has been reported in statistics over recent years. The implication of this, in turn, is that crime statistics cannot be regarded as a reliable indicator of trends in crime, particularly violent crime.

In addressing question two, Burton, *et al* (2003: 22) explains that victim surveys have been developed and utilized over the last four decades to complement police statistics in formulating a holistic picture of crime. It is further suggested that official crime statistics, while essential for tracking crime trends, cannot be regarded as an entirely adequate source because they depend almost wholly on the public to report crimes to the police. By asking victims directly about their experience of crime, victim surveys avoid

many of the problems relating to non – reporting that affect police data. It is further believed that the surveys also substantially improve the ability to understand the impact of crime on society, by providing more accurate estimates of the volume of crime and how it changes over time, as well as the nature of crime.

In her article, 'Falling Crime, Rising Fear', Mistry (2004) argues that although the SAPS has continuously reported decreases in crime levels, the victim survey indicates that the public's fear of crime has simultaneously increased; this counter intuitive trend, she indicates, may be explained by a number of factors such as increasing public awareness of other people's victimization and the high level of violence that typifies some criminality. Finally, it was reported that citizens in South Africa expressed that the feelings of safety were much worse at that stage than they were five years ago. This indicates that the public perception on safety is deteriorating.

Finally, Burton, *et al* (2003: 23) provides advantages and disadvantages of official crime statistics. Table 5.14 provides a comparative analysis in this regard.

ADVANTAGES OF OFFICIAL CRIME STATISTICS	DISADVANTAGES OF OFFICIAL CRIME STATISTICS
<ol style="list-style-type: none"> <li>1) Measure official response to crime, i.e., all individuals that report crime;</li> <li>2) Include crimes against business and industry;</li> <li>3) Include crimes against children;</li> <li>4) Offences are recorded immediately, or shortly after the incident, so recall is usually accurate;</li> <li>5) Offences are ordered in time so that the number of crimes reported in different months or days is easily established; and</li> <li>6) Crimes are recorded throughout the entire country, providing some information about all urban and most rural areas.</li> </ol>	<ol style="list-style-type: none"> <li>1) Non-reporting by victims for a variety of reasons, including thinking the crime is not serious enough, the inconvenience it causes especially when access to the police is a problem, intimidation by the offender or fear thereof, the belief that the police can't help or won't take the matter seriously, embarrassment, and pressure from family or community not to report;</li> <li>2) Bias or error on the part of the person taking report;</li> <li>3) Often little information about the victim is collected (e.g., age, sex, relationship with offender);</li> <li>4) Little information about the circumstances of the crime is captured for analysis (e.g., known characteristics of perpetrators, methods used in committing the crime, etc.);</li> <li>5) Not all crimes reported are recorded, as only charges in dockets are entered into the official statistics; and</li> <li>6) Political pressures to reduce crime levels may impact police recording practice.</li> </ol>

Table 5; 14: Comparison between advantages and disadvantages of official crime statistics (Burton, *et al*, 2003: 23).

## **Analysis: Phase 2: Implementation (Performance Monitoring and Evaluation)**

Earlier in this chapter it was reported that the following M&E systems primarily exist within the SAPS:

- 1) Employment of a crime analyst in the SAPS and the National Management Forum (NMF);
- 2) The Presidency: Government's programme of action (PoA); and
- 3) Quarterly reporting responsibility.

In providing analysis on point 1, *supra*, in 2007, Dr Chris De Kock, head of the Crime Information Analysis Center (CIAC) of the SAPS, made a presentation, at the Roundtable Discussion Report on Crime Statistics at the Open Society Foundation for South Africa (OSF-SA), on the operational and strategic use of crime statistics in crime combating from the perspective of the Department of Police. De Kock presented on the functionality of the CAS and further alluded to crime statistics primarily as a SAPS tool. His presentation was strongly debated and arguments questioning the integrity of such information were presented. Tshehla (2007: 4) argued that the general public of South Africa remained suspicious of crime statistics. This he primarily related to the following five issues: under-reporting; perverse incentives; delayed release of crime statistics; offending in South Africa; and capacity, integrity, and training of police officers who record and analyze crime information.

The generating and validation of crime information and statistics from within the SAPS only, remains a central challenge in South Africa. It also weakens

the performance monitoring and evaluation system within the organization. Leadership and management are excellent tools that can be effectively used to closely monitor and evaluate performance at grassroots levels, thereby enhancing service delivery. With specific reference to the 2009/2010 financial year, the Auditor General (2010: 124) expressed that management at the station and unit levels responsible for visible policing and investigating organized crime did not exercise oversight responsibility over reporting of predetermined objectives, to ensure that entries have occurred, were authorized, and all entries captured. The strengthening of management and leadership capacities at local levels is fundamental to supporting the performance monitoring and evaluation initiatives of the National management Forum (NMF).



University of Fort Hare  
Together in Excellence

The AG further reported that the SAPS have inadequate performance management systems. For instance, manual or automated controls were not adequately designed to ensure that the entries that have been captured on the applicable systems used to report on the predetermined objectives, have occurred, were authorized, and complete. As stated earlier in the chapter, the Treasury Regulation 5.3 of 2005 and section 27 (4) of the 1999 PFMA provides that performance information is *monitored* through quarterly reports, to ensure effective management, including planning, budgeting and implementation of the performance plan. In terms of personal observation at Head Office level within the SAPS, this reporting is seen more and more as a compliance act rather than a meaningful one (Reddy, 2011). This invariably

leads to the provision of information that is of poor quality, inaccurate and even incorrect at times.

Finally, it is evident that the current M&E systems within the SAPS can be strengthened and possibly new interventions considered, with a view to enhance service delivery, especially at grassroots levels. Recommendations will be proposed in the following chapter

### Analysis: Phase 3: Reporting on Budget Performance – Annual Financial Statements



Earlier in the case study, the actual expenditure of the SAPS for the 2009/2010 financial year was presented in Table 5.13, *supra*. The information is reflected below for ease of reference and for the purpose of the analysis.

University of Port Harcourt  
Together in Excellence

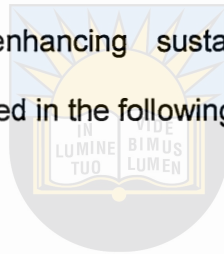
R thousand (R, 000)	2009/10			
	Total to be appropriated (ENE)	Final Appropriation	Actual Expenditure	Expenditure as a % of the Final Appropriation
<b>MTEF Allocation</b>				
Administration	15 449 150	16 009 520	16 009 520	100%
Visible Policing	19 015 537	19 769 866	19 769 866	100%
Detective Services	7 625 060	7 493 634	7 493 634	100%
Crime Intelligence	1 714 134	1 658 046	1 658 018	100%
Protection & Security Services	2 605 812	2 690 929	2 690 929	100%
<b>Total expenditure estimates</b>	<b>46 409 693</b>	<b>47 621 995</b>	<b>47 621 967</b>	<b>100%</b>

The final appropriation was adjusted upwardly by R1, 212, 302. The SAPS managed to successfully realize 100% expenditure performance in respect to the period under review. However, from personal observation, the researcher, who is currently appointed as a Financial Head of a Head Office Directorate, the following factors may also be considered:

**Carry over expenditure** – the SAPS, like other public service departments operates on a modified cash basis of accounting, this simply means that this method combines elements of the two major accounting methods, the cash method and the accrual method. The cash method recognizes income when it is received, and expenses when they are paid for. Whereas the accrual method recognizes income when it is earned (for example, when the terms of a contract are fulfilled), expenses are recognized when they are incurred. The modified cash basis method uses accruals for long-term balance sheet elements and the cash basis for short-term ones. The annual financial statements presented do not reflect all outstanding obligations by the department at the end of the financial year under review. It will therefore be prudent to consider the total obligations which were meant to be paid within the specific financial year but were not due to the prevention of over-spending on the vote. The unfulfilled obligations of a department will result in a carry-over of expenditure into the new financial year; this carry-over expenditure may place undue pressure on the new budget if not managed in an effective manner.

**Fiscal dumping** – IDASA defines fiscal dumping as the transfer of funds by the transferring department at a rate faster than the receiving agency. In essence, within a department, funds are made available at the commencement of a financial year. The tendency of departments to increase spending normally occurs towards the latter part of the financial year. Fiscal dumping commonly leads to a build-up of unspent money. It will be worthwhile to consider the spending patterns of the department per quarter to

examine the volume of spending with a view to examine the spending against the pre-determined plans. From personal observation at head office level within the SAPS, the mere 100% utilization of allocated budgets to the various financial programmes at the end of the financial year may be viewed as merely a balancing act or an actual picture that has been realized over the course of the financial that has been strategically plan-driven; it is hoped that the latter is true (Reddy, 2011). There is probably a need to strengthen the current monitoring and evaluation mechanism within the SAPS to ensure that the budget performance achieved is in fact aligned to the identified priorities and key activities, invariably enhancing sustainable service delivery. Recommendations will be considered in the following chapter.



University of Fort Hare  
*Together in Excellence*

## SUMMARY

The chapter commenced with a historical overview of the South African Police Service, its constitutional mandate and objectives. In order to present the performance of the SAPS, the researcher presented a process – flow diagram that depicted the basic steps involved during the three phases on an annual basis. The three phases presented were: (1) planning phase (prior to the commencement of the financial year); (2) implementation phase (during the financial year); and (3) reporting phase (at the end of the financial year). The first step of the planning phase presented, signaled a clear message through the President's SONA that one of government's key priorities is eradicating the scourge of crime in South Africa. This was followed by a tabular representation of the accounting officer's annual performance plan (step 2).

University of Fort Hare  
*Together in Excellence*

The chapter then proceeded to phase 2, the implementation phase, which involved the actual execution of the activities (policing functions). The set of implementation strategies for the 2009/10 financial year was then offered as follows: the Service Delivery Improvement Programme; the Risk Management Strategy; the Corruption and Fraud Prevention Plan; the Information Technology Strategy; the Prevention of Attacks on and Murders of Police Officials Strategy; Human Resource Strategy; National Crime Combating Strategy; The Firearm Strategy; and Crimes against Women and Children Strategy. This was followed by step 2, namely, the performance monitoring and evaluation phase. This step presented the various strategies that the SAPS have employed to monitor and evaluate its performance, while the

annual performance is being implemented. The following existing M&E systems within the SAPS were explicated in detail, namely, (1) employment of a crime analyst in the SAPS and the National Management Forum (NMF); (2) the Presidency: Government's Programme of Action (PoA); and (3) quarterly reporting responsibility. The final phase was then presented in the study, namely, the reporting phase, which provided the reporting of actual results of the SAPS at the end of the 2009/10 financial year on a dual level, viz. the achievement of results on activities and the achievement of results against the budget (financial performance). The results on activities were offered in a two-fold manner, namely, the release of annual crime statistics and the publication of the annual report. The phase was concluded with an overview on the financial/budget performance, as presented in the annual report, with a view of analyzing the impact that such resource injection has on service delivery at large.

  
University of Fort Hare  
*Together in Excellence*

The chapter concluded with a presentation of the analysis and findings of the case study. This was done in a systematic approach, using the three-phase approach used in the case study. The rationale of such analysis would allow the researcher to present a few recommendations, taking into account some lessons that were learned from the local and international experiences presented in the early chapters of the study.

Now that the study has been contextualized, the local and international experiences explored and the case study with the analysis and findings

presented, the study will proceed to finally offer a summary, recommendations, and concluding remarks in the following final chapter.



University of Fort Hare  
*Together in Excellence*


## CHAPTER 6: SUMMARY, RECOMMENDATIONS AND CONCLUSION

The research analyzed the question: *To what extent can monitoring and evaluation of performance provide sustainable public service delivery by the public sector?* Against this milieu, the study examined the monitoring and evaluation approaches adopted by the governments of Mexico and Spain (international) and South Africa (local). Furthermore, an analogous of both the international and local experiences was conducted in the study. The state of service delivery was examined by studying the South African Police Service. It was evidenced in the study that sustainable service delivery in the SAPS is influenced by various factors, such as performance monitoring and evaluation. Although the SAPS made progress in the 2009/10 financial year in terms of achieving several targets, the study found that the performance monitoring and evaluation framework is not very effective in redressing service delivery expectations in the South African context. This became evident during the analysis and findings of the case study.

Several lessons learned from the monitoring and evaluation experiences of other governments are relevant to South Africa, as a developmental state. The study promotes the need for enhanced and improved performance monitoring and evaluation approaches in the SAPS, to accelerate service delivery at the pace that is needed by the citizens and fulfilling its vision to create a safe and secure environment for all people in South Africa.

The creation of a monitoring and evaluation culture within government departments, for example, can be viewed as international best practice. However, this has not been successfully integrated into the current M&E strategies within the SAPS. On the other hand, the mere achievement of targets relating to financial performance does not mean that services have been delivered in a sustainable manner. The study points to a need for an improved performance monitoring and evaluation system that positively contributes to the achievement of sustainable service delivery.

## **SUMMARY**



*Chapter One* provided an introduction and background to the study, commencing with a historical overview of South Africa from 1652 to the modern day South Africa, outlining the social, cultural and political features. This is followed by an overview of the South African legislation that governs the structure and functioning of government to render services to the community. The chapter proceeded to tackle the evolution of monitoring and evaluation (M&E) practices globally, followed by a general outline of M&E in South Africa: 'The Outcomes Approach'. Following the presentation of an overview above, the chapter defined the following concepts that are central to this study, namely: monitoring, evaluation, performance measurement, performance monitoring, service delivery, accountability, economy, effectiveness, and efficiency. Thereafter, the motivation for the research was offered, followed by the problem statement and the research question. The objectives of the study and a chapter outline are finally captured.

*Chapter Two* presented clearly the research methodology that was used in the study, providing a reasoning why the particular methodology was chosen. After defining that the purpose of the study was to provide qualitative information on the level of performance by the South African Police Services, a qualitative case study approach was employed. Consequently, it has the propensity of strengthening the current understanding of institutional performance by the South African public service in general. The results of the case study were integrated into the thesis. The triangulation approach was used to increase the scope and depth of the study. The SAPS was selected for the case study. The data and information collection methods were listed, followed by the data analysis and reporting. The quest to maintain validity by adhering to sound advice provided in this chapter, was explained. The scope and limitations were explained given the research problem and other constraints. The chapter concluded by highlighting the significance and benefits of the research studies being undertaken.

*Chapter Three's* main purpose was to contextualize the study and provide the linkage between public administration, monitoring and evaluation, and service delivery. As a point of departure, the definitions of public administration and management were presented, followed by providing a brief history and its evolution. This has certainly provided a foundation for commencing the examination of its existence as an academic discipline and an activity. A brief comparison between the public and private sector administration was

conducted, since, it was agreed that valuable lessons could be learned from the private sector for implementation within the public sector.

The chapter proceeded to examine financial management in the public sector, followed by a zooming in on government budgeting. It was important to provide for this background, as monitoring and evaluation of the budget directly impacts an institution's performance. Performance management was then examined, providing clarity on how performance information integrates into the budget process and its importance.

Finally, an overview of monitoring and evaluation, with specific emphasis on the 'outcomes approach' in South Africa, was presented. To provide the linkage between public administration, monitoring and evaluation, and service delivery, its relationship was finally outlined.

*Chapter Four* provided an overview of performance monitoring and evaluation approaches: International and local experiences. The chapter commenced with an examination of performance monitoring and evaluation approach in the Kingdom of Spain (known as Spain). Firstly, a historical background was provided, detailing the evolution of the evaluation concept in Spain. This was followed by an examination of evaluation in Spain. To give effect of the government of Spain's commitment to performance monitoring and evaluation, a focus was then made on the work of the established Spanish Evaluation Agency (AEVAL). The section then proceeded to provide the motivation for the use of performance and evaluation information; this was

followed by considering how Spain had commenced creating an evaluation culture. The section concluded by offering some lessons learned from the Spanish experience.

The chapter proceeded to examine performance monitoring and evaluation in the United Mexican States (known as Mexico), which was the second international approach considered. After providing a brief introduction, the report proceeded to capture Mexico's shift to a result-driven government. To give effect of the government of Mexico's commitment to performance monitoring and evaluation, a focus was then made on the work of the established National Council for the Evaluation of Social Policy (CONEVAL). This was followed by an assessment into the performance evaluation system in Mexico. The strengths and weaknesses identified within the M&E system were then enumerated. The section concluded by offering some lessons learned from the Mexican experience.

Finally, the local experience of the Republic of South Africa (known as South Africa) was finally considered. As an introduction to this section an informative background into performance monitoring and evaluation in South Africa was provided; followed by the establishment of the Government Wide Monitoring and Evaluation (GWME) in South Africa. The GWME was then paralleled against other international experiences, followed by capturing some existing limitations in the implementation of GWME. The section concluded by offering some lessons learned from the South African experience.

Finally, an integration of both the international and local approaches was provided. The lessons learned from all the approaches were tabulated in a systematic format to provide an analogous of the three approaches considered in this study.

*Chapter Five* provided the analysis and findings of the case: the South African Police Service. The chapter commenced with a historical overview of the South African Police Service, its constitutional mandate and objectives.

In order to present the performance of the SAPS, the researcher presented a process-flow diagram that depicted the basic steps involved during the three phases on an annual basis. The three phases presented were: (1) planning phase (prior to the commencement of the financial year); (2) implementation phase (during the financial year); and (3) reporting phase (at the end of the financial year). The first step of the planning phase presented, signaled a clear message through the President's SONA that one of government's key priorities is eradicating the scourge of crime in South Africa. This was followed by a tabular representation of the accounting officer's annual performance plan (step 2).

The chapter then proceeded to phase 2, the implementation phase, which involved the actual execution of the activities (policing functions). The set of implementation strategies for the 2009/10 financial year was then offered as follows: the Service Delivery Improvement Programme; the Risk Management Strategy; the Corruption and Fraud Prevention Plan; the Information

Technology Strategy; the Prevention of Attacks on and Murders of Police Officials Strategy; Human Resource Strategy; National Crime Combating Strategy; The Firearm Strategy; and Crimes against Women and Children Strategy.

This was followed by step 2, namely, the performance monitoring and evaluation phase. This step presented the various strategies that the SAPS have employed to monitor and evaluate its performance, while the annual performance is being implemented. The following existing M&E systems within the SAPS were explicated in detail, viz. (1) employment of a crime analyst in the SAPS and the National Management Forum (NMF); (2) the Presidency: Government's Programme of Action (PoA); and (3) quarterly reporting responsibility.

The logo of the University of Fort Hare, featuring a sunburst design with the motto 'IN LUMINE VERITAS' and 'BIMUS LUMEN'.  
University of Fort Hare  
*Together in Excellence*

The final phase was then presented in the study, namely, the reporting phase (phase 3), which provided the reporting of actual results of the SAPS at the end of the 2009/10 financial year on a dual level, viz. the achievement of results on activities and the achievement of results against the budget (financial performance). The results on activities were offered in a twofold manner, namely, the release of annual crime statistics and the publication of the annual report. The phase was concluded with an overview on the financial/budget performance, as presented in the annual report, with a view of analyzing the impact that such resource injection has on service delivery at large.

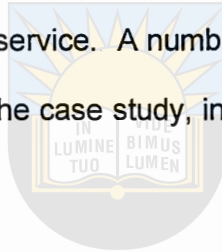
The chapter concluded with a presentation of the analysis and findings of the case study. This was done in a systematic approach, using the three-phase approach in the case study. The rationale of such analysis would allow the researcher to present a few recommendations, taking into account some lessons that were learned from the local and international experiences presented in the early chapters of the study.

*Chapter Six* provides for an accurate summation of the study, detailing the finding and conclusions and providing pragmatic recommendations. It further offers various ways to enhance and accelerate service delivery performance by the SAPS. The existing performance and monitoring mechanism adopted by the SAPS has proven inadequate to deliver on its mandate that is to create a safe and secure South Africa; this became evident during the analysis and findings. The chapter therefore focuses on addressing identified gaps and challenges, by offering sound performance monitoring and evaluation alternatives for consideration.

Taking cognizance of the scourge of crime that faces South Africans on a daily basis on the one hand and the socio-economic and other developmental needs of South Africa that has been wrought by apartheid, it is argued that it is indispensable that the SAPS adopts an enhanced performance monitoring and evaluation framework. Successful delivery by the SAPS on its mandate will augment the much needed international trade and investment in the economy.

## RECOMMENDATIONS

The study proposes an augmented approach to the current performance monitoring and evaluation system that endeavors to promote sustainable service delivery within the South African Police Service. Performance monitoring and evaluation is central to ensuring that an institution achieves its service delivery targets. It is therefore indispensable for the SAPS to address the challenges and weaknesses that impact on its ability to effectively monitor and evaluate its performance; which invariably impacts on its sustainability to render effective an effective police service. A number of recommendations to address the problems identified in the case study, in terms of the three-phase approach, are presented below.



University of Fort Hare  
*Together in Excellence*

### **Develop a National Performance Monitoring and Evaluation Unit**

South Africa's establishment of the Department of Performance Monitoring and Evaluation on 1 January 2010 was a clear demonstration of government's commitment to ensure that its performance makes meaningful impact in the lives of the people of South Africa. Public service departments are hence obliged to follow such trends that are set by the government of the day. Furthermore, the study also highlighted during the examination of international approaches, that other governments equally demonstrated such commitment to performance monitoring and evaluation of their programmes and activities, with a view to enhance sustainable service delivery. The governments of

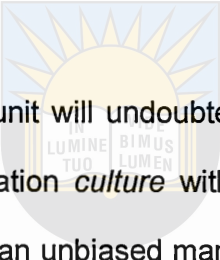
Spain and Mexico established AEVAL in 2006 and CONEVAL in 2004, respectively.

It is recommended that the SAPS, being a national department, establish a National Unit with sub-units at provincial levels that are exclusively responsible for performance monitoring and evaluation. This unit, among others, must drive the following initiatives:

- 1) Establish expectations of improved outcomes across the SAPS, through a results-oriented approach;
- 2) Review performance information on a continuous basis that will influence future management decisions;
- 3) Ensure that performance information, that is generated, is actually used in strategic planning and resource allocation processes; and
- 4) Strive for continuous improvement in service delivery through lucid priority setting; robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, monitoring of frontline service delivery; and supporting change and transformation through innovative and appropriate solutions; and interventions.

Some of the lessons from Spain and Mexico will be central to the functioning of this Unit. The derivation of inspiration from other performance monitoring and evaluation experiences is encouraged, but should be copied in totality.

The dynamics of South Africa, as a developing nation, with its challenges and socio-political features must be factored into its functioning and M&E techniques. Further, coalition with other stakeholders, like advisory bodies, academic institutions and sub-unit representation, must be encouraged to promote support and legitimatizing. Finally, Mexico's momentum for the institutionalization of performance monitoring and evaluation was effectively seized by key government champions. Hence, the supportive role of the National Commissioner and the Ministry of Police cannot be over-emphasized.



Finally, the establishment of such unit will undoubtedly initiate the birth of a performance monitoring and evaluation *culture* within the SAPS. The unit must function independently and in an unbiased manner to be able to provide management with objective views and solutions that will improve service delivery. With a manifested demonstration of top management's commitment to a sustainable policing service in South Africa, the establishment of such unit will yield the desired result.

### **Expand and develop leadership at all levels**

A leader is a person who inspires others; one who is able to identify deficiencies and implement policies to counteract that deficiency. Leadership is a process of directing the behavior of others towards the accomplishment of the organization's goals. It means to bridge the gap between formulating plans and reaching goals, that is, translating plans into reality. Further,

leadership can be described as the activity that infuses energy into the organization to activate its members and resources to get things moving and keep them in motion. Leadership is an excellent tool that can be effectively used to closely monitor and evaluate performance at grassroots levels, thereby enhancing service delivery.

The Auditor General, in 2010, submitted that management at station and unit levels responsible for visible policing and investigating organized crime, did not exercise oversight responsibility over reporting of predetermined objectives to ensure that entries have occurred, were authorized and all entries captured. There exists an urgent need for the SAPS to invest in developing, capacitating and strengthening leaders within all spheres of the SAPS; this is entrenched in the provisions of the 1996 Constitution that requires South African public service to be development-oriented. There is a distinction between leaders at national and local levels in terms of required skill. Leaders at a national level are primarily responsible for strategic planning, policy formulation and monitoring and evaluation, while leaders at local levels, lead, manage and direct the implementation of service delivery plans. However, in the study, it became clear that drivers of policy and plans (at local level) lack serious leadership ability to exercise oversight responsibility over reporting of pre-determined objectives and to ensure that activities have in fact taken place. Leaders both at local and national levels be trained and appropriately developed on strategic issues, to enable them to see the 'bigger picture'. Further, a sharp focus must be directed towards

management training on performance monitoring and evaluation at the appropriate level.

The researcher strongly recommends that greater emphasis be placed on strengthening and capacitating leadership and management skills for members of the Senior Management Service (SMS), which include Directors, Chief Directors, Deputy Directors General and Director General, at all levels within the SAPS. Members of the SMS operate at a strategic level within the organization and as such must possess ability to reflect a professional, responsive and knowledgeable approach to service delivery issues. Expansive training modules on performance monitoring and evaluation must be incorporated into the current SMS Training Programme of the SAPS.

It is further recommended that all Station Commanders, irrespective of rank level, should be trained and extensively exposed to strategic management issues, also the issue of performance monitoring and evaluation. The study has clearly shown that crime information and performance information originates at station level, where crimes are reported. Further, station commanders have the ultimate responsibility of leading a workforce that is directly responsible for executing the constitutional mandate of the SAPS. This responsibility can in no way be downplayed; hence leadership at these levels within the organization is of paramount importance in the department's pursuit to deliver a policing service of the highest quality to the citizens. Finally, it must be noted that the strengthening of management and leadership capacities at local levels is fundamental to supporting the performance

monitoring and evaluation initiatives of the National Management Forum (NMF).

### **Promote accountability relating to M&E**

Accountability is elemental to management's pursuit in exercising control over its employees, with a view to ascertain how their actions or inactions have contributed to the organization in achieving its set targets over a period of time. Accountability implies that public servants should be held answerable to for the achievement of service delivery objectives and proper utilization of resources. The research proposes greater levels of accountability from managers, relating to their individual and broader departmental performance. This must certainly be matched with a greater level of authority to execute management decisions.



University of Fort Hare  
*Together in Excellence*

Furthermore, performance monitoring and evaluation by station and provincial commanders must be entrenched within their performance enhancement programmes. This will ensure that line managers account for their successes and/or failures. It is incumbent of a manager at local level to continuously monitor the performance/non-performance of activities, so that risks are easily and timeously mitigated. Further, managers must continuously assess what is being done to enable them to determine whether the activities are adding value to service delivery or posing more of a hindrance. Managers must therefore be held highly accountable in this regard, as this directly links to the achievement of departmental goals and objectives. These

recommendations will certainly contribute positively towards rendering sustainable services to the communities.

### **Strengthen the M&E system relating to releasing of crime statistics**

The study identified serious allegations of manipulation of crime statistics in South Africa. The study showed that David Bruce (2010) argued that if the police are being evaluated on how many cases they report, they will be motivated to discourage reporting or otherwise manipulate the recording process to get the numbers down. He therefore concluded that it was only viable to use crime statistics as a police performance measure in circumstances where the process of recording crime itself has a high level of integrity and reliability. The following recommendations are therefore made:

  
University of Fort Hare  
*Together in Excellence*

### **Use external/independent expertise to validate crime statistics**

Statistics SA can be approached to develop strategy to validate crime statistics prior to them being released to the South African public. Typically, the National Treasury and the South African Reserve Bank are responsible for economic growth and development in South Africa, but Stats SA is responsible to generate the inflation numbers periodically. This makes sense; as the Statistician General is best suited execute this function. Hence, it is recommended that a similar approach be considered, as this will assist in preventing manipulation of data.

## **Extend the performance indicators of SAPS**

Secondary to this approach, the victim survey that was described in the study should be considered as an additional indicator that measures the performance of the SAPS and not only the published crime statistics. It became clear from the study that the results obtained from the crime statistics and the victim surveys diametrically opposed each other.

One of the several lessons learned from the experience of the government of Spain promoted the establishment of quality control *assurance* of the evaluation practices and systems. The strengthening of the current M & E system relating to the relating of crime statistics will unquestionably promote sustainable service delivery in South Africa.

The logo of the University of Fort Hare, featuring a sunburst design with the motto 'IN LUMINE VERITAS' and 'BIMUS LUMEN'.  
University of Fort Hare  
*Together in Excellence*

## **Embrace Regional and International cohesion**

The African Peer Review Mechanism (APRM) whose mandate is to ensure the policies and practices of the participating countries conform to the agreed political, economic and corporate governance values, codes and standards contained in the Declaration on Democracy, Political, Economic and Corporate Governance; further the APRM is a mutually agreed instrument for self – monitoring by the participating member governments. The primary purpose of the APRM is to foster the adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable development and accelerated sub–regional and continental economic

integration through sharing of experiences and reinforcement of successful and good practices, including identifying deficiencies and assessing the need for capacity building (Ijeoma, 2008: 65). Platforms like these provide an ideal opportunity for member countries to embrace regional cohesion and benchmark best practices.

The South African Police Service is a member of the Southern African Regional Police Chief Council Organization (SARPCCO). SARPCCO is an official forum comprising all the police chiefs from Southern Africa. It was established in 1995 at a conference of Police Chiefs at Victoria Falls, Zimbabwe, and it was decided that the Council of Police Chiefs should meet at least once a year. A Secretariat, comprising officers from the member countries, has been formed as the permanent administrative and technical body through which SARPCCO operates. The member countries of SARPCCO are Angola, Botswana, Lesotho, Malawi, Mauritius, Mozambique, Namibia, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe (Access: <http://www.interpol.int/public/Region/Africa/Committees/SARPCCO.asp>).

Retrieved on 2011 – 02 – 14.

The SAPS became a member of INTERPOL in 1993. INTERPOL is an organization that ensures and promotes mutual assistance between all criminal police authorities within the limits of laws existing in different countries and in the spirit of the Universal Declaration of Human Rights. It is a global policing organization that has the capacity to serve the policing world on a global basis to ensure day-to-day international police cooperation (Access:

<http://www.dirco.gov.za/foreign/Multilateral/inter/interpol.htm>). Retrieved on 2011-02-14.

The study has provided an examination on both local and international experiences of countries dealing with performance monitoring and evaluation. It is recommended that the SAPS, through its affiliations to SARPCCO and INTERPOL, embrace monitoring and evaluation initiatives, specifically employed by their policing agencies. This benchmarking exercise may yield good lessons and proposals for possible implementation within the SAPS. The fostering of regional cooperation in the enhancement of M&E systems, may prove invaluable, when considering the uniqueness and developmental agenda on the Southern African Region.

#### **Adopt an all-inclusive pragmatic M&E policy system**

Sustainable public service delivery in any society is made achievable through an all-inclusive pragmatic performance monitoring and evaluation system. The approach must be proactive, as this directly impacts on the quest to improve the lives of people in the respective policy areas.

It is recommended that the SAPS adopt a policy stance on M&E that embraces an all-inclusive approach. A multi-pronged stance to monitor and evaluate performance will promote: early warning mechanisms; surveys from the community and the SAPS; enhanced corrective action; and evaluation

techniques from multi-disciplinary sources. An application of such policy objectives may ensure sustainable service delivery by the department.

### **Assimilate a private sector management approach in M&E**

On the surface it may appear that management in the public and private sectors is the same. Although there are similarities, for example, the generic management processes executed by both the public and private sectors, there are considerable differences between the two concepts. These differences centre on issues such as:

- 1) A service motive against a profit motive;
- 2) Transparency as opposed to obscurity;
- 3) Measurability of success; and
- 4) Origin.

In terms of motive, the public sector delivers services to improve the general welfare of all people and to provide a better quality of life for all. Conversely, private enterprises deliver services with the primary purpose of making a profit on their investments. It is easier to measure success in the private sector as compared to measuring success or quality of services in the public sector. For example, the provision of services by a nurse may be measured in terms of an individual's personal judgment. Management in the private sector is a process of planning, organizing, leading and control with an aim to accomplish the company's goals and objectives, which is driven by profit maximization.

The controlling function in the private sector includes the following actions:

- 1) Are the activities achieving the desired results; and
- 2) Measuring performance.

It is recommended that the SAPS adopt the dynamics of the private sector's controlling function. One of the key features of private sector management is its ability to measure success easily. The M&E process in the SAPS needs to be re-engineered in such a manner that successes being achieved by the department are easily identified during the M&E process. The development of objectives that are measurable and in terms of the 'SMART' principle, would categorically facilitate such intention. Further, the private sector is driven by profit maximization, while the public sector conversely should be driven by sustainable service delivery that is fuelled by a passion to serve the citizens of the country.

  
University of Fort Hare  
*Together in Excellence*

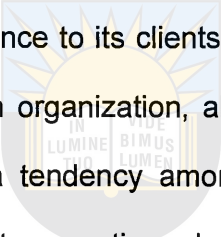
### **Enforce professionalism and ethical standards in M&E**

Section 195 of the 1996 Constitution states that a high standard of professional ethics must be promoted and maintained in the Public Service. The aim of this principle is to build and sustain credible capacity in the public service to protect its integrity and efficacy. Ethics therefore can be defined as any set of moral principles or values, or the rules and standards governing the conduct of the members of a profession. The study revealed that the manipulation of performance information may have occurred; this is done for many reasons, e.g., political pressure to reduce crime.

The study recommends that the SAPS develop capacity in its M&E system to promote and ensure a high standard of professional ethics, which will be central to the maintenance of credibility, efficiency and effectiveness. Promoting transparency builds and restores public confidence and trust, which is what, is required.

### **Encourage continuous review and improvement of M&E policy**

Periodic review of policy is fundamental to an organization that displays high levels of responsiveness and relevance to its clients. Furthermore, the issue of encouraging innovation within an organization, allows it to remain on the 'top of its game' There exists a tendency among the public service to function at mediocre levels across its operations, because the public has no option but to receive its service from them.



University of Fort Hare  
*Together in Excellence*

The study recommends that the SAPS encourage a culture of continuous review and improvement of its M&E policy; this will ensure that managers at all levels remain in the ideal position of monitoring the implementation of planned activities, while evaluating its efficacy and value-adding abilities. This approach may promote sustainable service delivery by the SAPS.

## **Improve policy implementation through effective communication strategy**

Many organizations possess the ability to develop sound and workable policies, however the implementation thereof remain a central challenge. Through the recommendations offered, *supra*, the SAPS may find itself well poised with valuable inputs to develop sound and effective M&E policy. It has been agreed that the implementation of M&E strategies are executed at all levels within the department, with a view to deriving the maximum benefit.

It is recommended that effective communication strategy be employed to reach all stakeholders equitably, with the intent of improving implementation. The communication barriers, for example, structural and technological factors must be mitigated, at all cost. The use of technology must be exploited fully, to enjoy maximum coverage in this regard. Improved M&E policy implementation through effective communication strategy, may promote sustainable service delivery by the SAPS.

## **Develop an all inclusive in-year monitoring model to manage budget performance against the plan**

The current in-year monitoring and evaluation mechanism present in the SAPS, relating to budget management, may be improved significantly to ensure that there is constant alignment between the allocated budget and the planned activities, as determined by the Annual Performance Plan on an

annual basis. As pointed out clearly in the previous chapter, merely expending the allocated budget in totality does not necessarily tantamount to good financial management. The following questions were raised:

- 1) Were the funds spent on activities that were planned for, at the beginning of the financial year?
- 2) What was the value of the carry-over expenditure into the following (new) financial year?
- 3) Did fiscal dumping take place, in other words, was there a significantly higher concentration of expenditure towards the end of the financial year to merely expend unspent funds?

The researcher strongly maintains that the above-mentioned questions ought to be answered in the affirmative, in light of the constitutional mandate and expectation of the general public of the SAPS. The study offers the following In-Year Monitoring Model as a supplementary or an alternative in-year monitoring mechanism.

This model offers the following benefits:

- 1) Links the key performance areas, as contained in the cost centre's business plan to the allocated budget;
- 2) Produces unique projected spending patterns (PSP) for each cost centre; and

- 3) Shifts away from generic measurement tools used widely in financial circles (e.g., 25%, 50%, 75%, and 100%, per quarter respectively) to a more activity-based measurement tool.

### **The In-Year Management Model (IYMM)**

Stockburger (2000: 18) defines a model as a representation containing the essential structure of some objects or events in the real world. The representation may take two major forms:

- 1) Physical – as in a model airplane or architect's model of a building; or
- 2) Symbolic – as in a natural language, a computer program, or a set of mathematical equations.

University of Fort Hare  
*Together in Excellence*

In either form, certain characteristics are present by the nature of the definition of a model. The IYMM offered in the study takes on a symbolic form of representation.

The development of the IYMM was guided by the steps offered by Kurz (2009). Kurz (2009) summarizes the steps in the development of a generic model as follows:

- 1) Collect the relevant business information and behaviour,
- 2) Analyze this information, and

- 3) Record the essentials in a new, abstracted, consistent, comprehensive and redundancy free form.

Figure 6: 1 below depicts the three (3) steps involved in the IYMM.

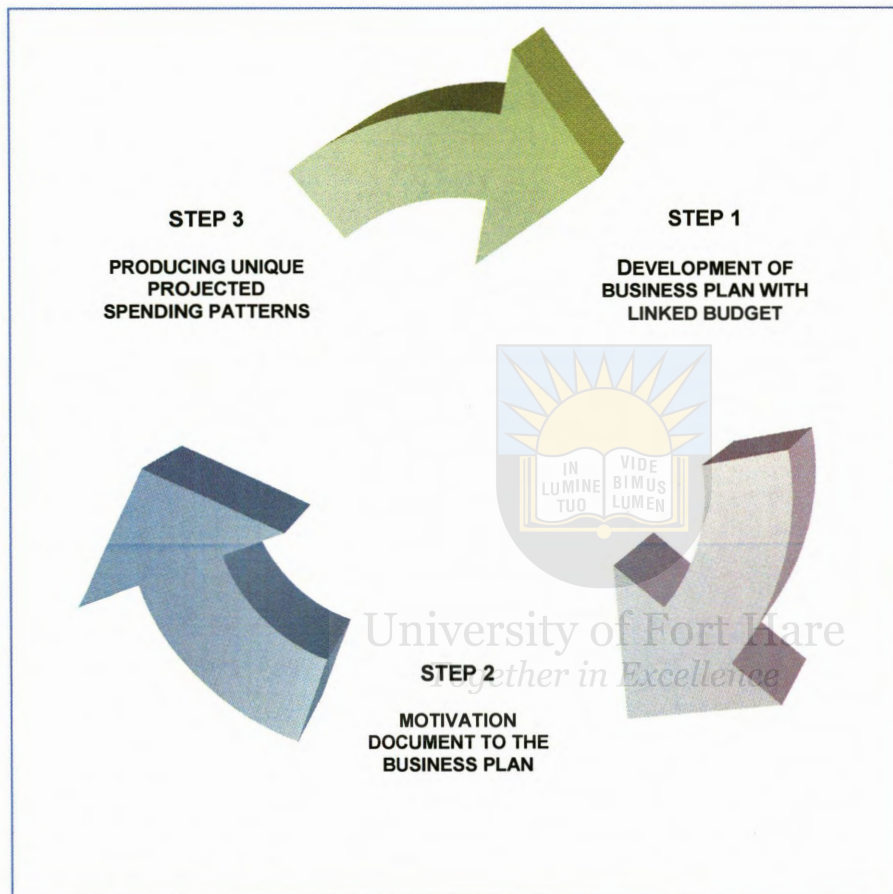


Fig 6: 1 – Steps involved in the IYMM (Reddy: 2011).

The IYMM is presented in a document format, comprising a Microsoft Excel and Microsoft Word document. Prior to the completion of the document, the following 'Guidelines for completion' is provided.

## Guidelines to complete this Report

- 1) In terms of the general law of economics: “man’s unlimited needs will always be met with limited resources” hence the issue of prioritization of one’s needs becomes imperative.
- 2) Goods and services that support the key performance areas of the relevant business unit must receive priority.
- 3) Estimates must be indicated on a monthly basis, as this provides an effective in – year monitoring mechanism.
- 4) Constant comparison will be made between the business plan and budget performance to ensure that the performance targets are being achieved.
- 5) Estimates must be realistic.
- 6) The amounts indicated per month must be followed by a detailed motivation, which must include, baseline allocations; methodology of calculations; factors that necessitated sharp increases to the baseline allocations.

### STEP 1: DEVELOPMENT OF BUSINESS PLAN WITH LINKED BUDGET

A cost centre must compile a business plan. A business plan sets out the activities of a centre, in respect of a specific financial year; the activities are informed by the operational and strategic priorities of the cost centre. The document will contain the following sections:

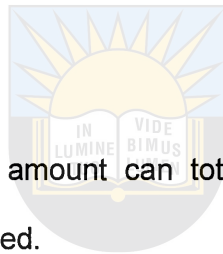
## **Cover page**

The page contains the details of the cost centre; the responsible budget controller's details; and details of the compiler of the business plan.

## **Key Performance Areas (KPA)**

The KPA's of the specified business unit must be completed in this part of the document. This includes:

- 1) Deliverables;
- 2) Key actions; and
- 3) Total budget amounts; this amount can totaled after the individual budget estimates are calculated.



University of Fort Hare  
*Together in Excellence*

## **Budget Estimates**

The budget estimates, which must be captured in respect to the following financial year, are indicated in this final part of the document, under step 1. The amounts are indicated per SCoA item, per expenditure category. The column 'amount per deliverable' must be completed as this provides a link between the KPA and the budget estimates. Estimates that support the key performance areas of a business unit will receive priority in respect of the funding. The total amount estimated, per SCoA item must be then divided into the twelve (12) months of the financial year, equitably. This division will be informed by the need for that activity to occur within the specified period.

## **STEP 2: MOTIVATION DOCUMENT TO THE BUSINESS PLAN WITH LINKED BUDGET**

The motivation document to the business plan will provide succinct, yet comprehensive motivation for each SCOA item. The motivation may include:

- 1) The factors that influenced the need for such items;
- 2) Personnel strength (e.g., budgeting for overtime remuneration);
- 3) Vehicle strength (e.g., budgeting for repairs and maintenance of vehicles); or
- 4) Details of existing and / or new contractual obligations.

## **STEP 3: PRODUCING UNIQUE PROJECTED SPENDING PATTERNS (PSP)**

Once the budget estimates per SCOA item, per month, and with detailed motivations are captured, the total estimated expenditure per quarter (i.e., on a three month basis) is calculated. Finally, through a simpler mathematical calculation, a unique projected spending pattern (PSP) is developed per cost centre. The actual budget performance of the relevant cost centre, at the end of a specific quarter, can then be measured against the unique PSP which was determined at the beginning of the financial year.

Table 6: 1 below, provides the study a tabular representation of how a typical cost centre's budget amounts are captured and calculated per quarter and the producing of unique PSP are produced. The IYMM provides management with an excellent tool to monitor and evaluate performance during the year; an

adherence to this planned approach will ensure that service delivery is rendered in a more sustainable approach.

NAME OF BUSINESS UNIT: 2011 / 2012 FINANCIAL YEAR						
SCOA	EXPENDITURE CATEGORY	Q 1	Q 2	Q 3	Q 4	TOTAL
<b>COMPENSATION OF EMPLOYEES</b>						
SCOA	DESCRIPTION					
300045	Overtime	0	0	0	0	0
<b>GOODS &amp; SERVICES</b>						
300330	Advert - Gifts & Promotion					
300333	Advert - Marketing	229	567	784	42	1622
300649	Maintenance Materials: Spares + Access.					
300653	Maintenance Materials : Tyres & Tubes					
300662	Stationery & Print. : Books	0	684	898	0	1582
301314	Translations and Transcriptions					
301334	Subsistence & Travel : Domestic	31	226	982	145	1384
301391	Venues and Facilities					
300479	Protective & Spec. Clothing					
300447	Training & Staff Development	72	544	229	86	931
<b>TRANSFERS &amp; SUBSIDIES</b>						
301731	Vehicle Licenses	3	0	0	0	3
<b>PAYMENT : CAPITAL ASSETS</b>						
302404	Purchase of Capital Assets : Vehicles	989	1488	2188	128	4793
302423	Purchase of Capital Assets : Domestic Equipment					
302424	Purchase of Capital Assets : Domestic Furniture					
302444	Purchase of Capital Assets : Office Equipment					
302445	Purchase of Capital Assets : Office Furniture					
<b>TOTAL ESTIMATE PER QUARTER</b>		<b>1324</b>	<b>3509</b>	<b>5081</b>	<b>401</b>	<b>10315</b>
<b>TOTAL ESTIMATE IN % PER QUARTER</b>		<b>13%</b>	<b>34%</b>	<b>49%</b>	<b>4%</b>	<b>100%</b>
<b>PROJECTED SPENDING PATTERN (PSP)PER QUARTER</b>		<b>13%</b>	<b>47%</b>	<b>96%</b>	<b>100%</b>	

Table 6: 1 – Capturing of budget amounts per quarter/per SCoA item. Reddy (2011).

## Recommendations: A summary

Based on the study in its entirety, it is strongly recommended that the SAPS adopt the copious alternatives to performance monitoring and evaluation. Doing this will hopefully help it in delivering a more sustainable policing service to the South African citizens.

The establishment of a National Performance Monitoring and Evaluation Unit with sub – units at provincial levels that are exclusively responsible for performance monitoring and evaluation will prove a valuable tool for M & E. The unit will establish expectations of improved outcomes across the SAPS, through a results – oriented approach; review performance information on a continuous basis that will influence future management decisions; and strive for continuous improvement in service delivery through lucid priority setting; robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, monitoring of frontline service delivery; and supporting change and transformation through innovative and appropriate solutions and interventions. Finally, the establishment of such Unit will undoubtedly initiate the birth of a performance monitoring and evaluation *culture* within the SAPS.

The expansion and development of leadership, both at national and local levels, as described in the study are critical to the successful implementation of performance monitoring and evaluation initiatives within the department. SAPS must invest in developing, capacitating and strengthening leaders, with

a sharp focus on strengthening and capacitating leadership and management skills for members of the Senior Management Service (SMS).

The promotion of accountability in M&E initiatives by managers, relating to their individual and broader departmental performance must be enhanced. Performance monitoring and evaluation by managers must be entrenched in their performance agreements, so that they can be expected to render account of their successes and/or failures. It is critical that a manager at the implementation level continuously monitors the performance/ non-performance of activities, so that risks are easily and timely mitigated. Further, managers must continuously assess what is being done to enable them to determine whether the activities are adding value to service delivery or posing more of a hindrance. Managers must therefore be held highly accountable in this regard since this directly links to the achievement of departmental goals and objectives.

The study has provided an examination of local and international experiences of countries using performance monitoring and evaluation techniques. It is therefore recommended that the SAPS, through its affiliations to SARPPCO and INTERPOL, embrace monitoring and evaluation initiatives, specifically employed by their policing agencies. This benchmarking exercise may yield good lessons and proposals for possible implementation within the SAPS. The fostering of regional cooperation in the enhancement of M&E systems may prove invaluable when considering the uniqueness and developmental agenda on the Southern African Region.

The study further recommended that the SAPS adopt a policy stance on M&E that embraces an all-inclusive approach. A multi-pronged stance to monitor and evaluate performance will promote: early warning mechanisms; surveys from the community and the SAPS; enhanced corrective action; and evaluation techniques from multi-disciplinary sources. An application of such an inclusive policy may produce good results. The enforcement of professionalism and ethical standards in M&E has been highlighted in the study as a central tenet that supports credibility, efficiency and effectiveness; further building and restoring the much needed public confidence and trust in the SAPS.



University of Fort Hare  
*Together in Excellence*

It was further stated that periodic review of policy is fundamental to an organization because this demonstrates the level of responsiveness and relevance to its clients. The study recommended that the SAPS should encourage a culture of continuous review and improvement of its M&E policy; this will ensure that managers at all levels remain in the ideal position of monitoring the implementation of planned activities, while evaluating its efficacy and value – adding abilities.

Finally, the study proposed an alternative IYMM to manage the budget performance against the pre-determined plan. It links the key performance areas with the cost centre's business plan to the allocated budget; produces unique projected spending patterns (PSP) for each cost centre; and moves away from 'out-dated' methods of monitoring financial performance. The IYMM provides management with an excellent tool to monitor and evaluate

performance during the year; an adherence to this planned approach will ensure that service delivery is rendered in a more sustainable manner.



University of Fort Hare  
*Together in Excellence*

## CONCLUSION

It has been evidenced in this study that the present and future leadership of the South African Police Service cannot ignore performance monitoring and evaluation, and its implications on sustainable service delivery. Further, it became lucid that sustainable service delivery is influenced by various factors, such as performance monitoring and evaluation. Although, SAPS made progress in the 2009/10 financial year, in terms of achieving several targets, the study found that the performance monitoring and evaluation framework is not very effective in redressing service delivery expectations in the South African context, this became evident during the analysis and findings of the case study. Finally, the study has identified the need for a more inclusive and comprehensive performance monitoring and evaluation model that will promote a much needed and deserved sustainable policing service in South Africa.

An effective performance monitoring and evaluation model will allow management to identify inadequacies in a timely fashion and thus allowing for implementing appropriate corrective action. It is also imperative to note that the involvement and/or meaningful consultation with the broad South African community, or widely accepted as public-participation will bring the delivery of services nearer to the people. Furthermore, the creation of a monitoring and evaluation culture within government departments, for example, can be viewed as an international best practice. However, this has not been successfully integrated into the current M&E strategies within the SAPS. On

the other hand, the mere achievement of targets relating to financial performance does not mean that services have been delivered in a sustainable manner.

The study points to an M&E style that should be focused on the achievement of service outcomes. The suggested more inclusive and comprehensive performance monitoring and evaluation model is not intended towards undermining the current monitoring and evaluation framework in the South African Police Service, rather it seeks to shape the current framework positively towards promoting sustainable service delivery. The recommendations made in the study points to incorporating several varying factors that positively affects performance monitoring and evaluation, such as effective communication; promoting accountability; professional and ethical standards; and expansion and development of the current and future leadership at all levels in the organization. Training and development to redress the imbalance in the level of leadership skills across national, provincial and local spheres relating to performance monitoring and evaluation are urgently required in the SAPS. This deficiency became apparent in the Auditor General's report for the period under review.

From a regional and international perspective, INTERPOL and SARPCCO play a pivotal role in the South African Police Service's fight against criminality both within the borders of the country and globally. Since crime has no boundaries, a global effort is required to successfully sustain acceptable crime levels. Therefore, an all-inclusive and integrated performance M&E

framework that is based on international, regional, and local partnerships and best practices is urgently required by the SAPS. This advance should promote sustainable service delivery to communities in South Africa.

The study further proposed an alternative IYMM to manage the budget performance against the pre-determined plan. It links the key performance areas, as contained in the cost centre's business plan to the allocated budget; produces unique projected spending patterns (PSP) for each cost centre; and moves away from 'out-dated' methods of monitoring financial performance. The IYMM provides management with an excellent tool to monitor and evaluate performance during the year; an adherence to this planned approach will ensure that service delivery is rendered in a more sustainable manner.

Finally, the several lessons learned from the monitoring and evaluation experiences of other governments are relevant to South Africa, as a developing country. The study promotes the need for an enhanced all-inclusive performance monitoring and evaluation approach in the SAPS, to accelerate service delivery at the pace that is needed by the citizens in fulfilling its vision to create a safe and secure environment for all people in South Africa.

UNIVERSITY OF FORT HARE  
HOWARD PIM LIBRARY  
PRIVATE BAG X1322  
ALICE 5700



University of Fort Hare  
*Together in Excellence*

## LIST OF SOURCES

### BOOKS

Abedian, I. Strachan, B. and Ajam, T. 1998. *Transformation in Action: Budgeting for Health Service Delivery*. Rondebosch. University of Cape Town Press.

Anderson, G. 1993. *Fundamentals of Educational Research*. London: The Falmer Press.

Botes, PS, Brynard, PA, Fourie, DJ and Roux, NL 1996. *Public Administration and Management: A Guide to Central, Regional and Municipal Administration and Management*. Kagiso Publishers.



University of Fort Hare  
Together in Excellence

Clapper, VA. 2004. *Research and Information Management*. Pretoria: Stat Pac Inc.

Cloete, JNN. 1980. *Public Administration and Management*. Pretoria: JL van Schaik Academic Publishers.

Cloete, JJN. 1996. *Public Administration and Management: New Constitutional Development*. 3<sup>rd</sup> Impression. Pretoria: Van Schaik.

Cloete, J.J.N. 1998. *South African Administration and Management*. Pretoria: Van Schaik.

Denzin, N. & Lincoln, Y. 1994. *Qualitative Research*. Thousand Oaks. United States: Brooks & Cole Publishing Company.

Du Toit, DFP and Van der Waldt, G. 1999. *Public Administration and Management: The Grassroots*. Kenwyn: Juta

Du Toit, D, Knipe, A, Van Niekerk, D, Van der Waldt, G and Doyle, M. 2001. *Service Excellence in Governance*. Cape Town: Heinemann.

Easterby – Smith, M. Thorpe, R and Lowe, A. 1991. *Management Research: An Introduction*. London: Sage Publication.

Fox, W, Schwella, E and Wissink, H. 1991. *Public Management*. Kenwyn: Juta.

Finch, J. 1986. *Research and Policy*. London: The Falmer Press.

Fox, W. and Meyer, IH 1995. *Public Administration Dictionary*. Kenwyn: Juta.

Gummesson, E. 1991. *Qualitative Methods in Management Research*. California: Sage Publication.

Hartley, J. 1994. *Case Studies in Organizational Research*. London: Sage Publication.

Hilliard, V. G. 1995. *Performance Improvement in the Public Sector*. Pretoria: Van Schaik.

Leedy, PD and Ormrod, JE. 2001. *Practical Research – planning and design (7<sup>th</sup> ed)*. Colombus: Merrill – Prentice Hall.

Merriam, S. 1998. *Case Study Research in Education: A Qualitative Approach*. California: Jossey – Bass Publishers.

Mouton, J. 2001. *How to succeed in your Master's and Doctoral Studies: a South African Guide and Resource book*. Pretoria: Van Schaik.

Naidoo, G. 2009. *Leadership and Good Governance in Public Administration*. Germany: VDM Verlag Dr. Muller Aktiengesellschaft & Ko. KG.

Neely, A. 1998. *Measuring Business Performance*. Cambridge: The Economist Books.

Neuman, WL. 1997. *Social Research Methods – Qualitative Approaches*. Needham Heights: Allyn and Bacon.

Osborne, D. and Gaebler, T. 1992. *Reinventing Government – How the Entrepreneurial Spirit is Transforming the Public Sector*. United States of America: Addison – Wesley Publishing Co.

Patton, M. 1987. *How to Use Qualitative Methods in Evaluation*. California: Sage Publication.

Shorten, E. 2006. *Human Capital Management (3<sup>rd</sup> Edition)*. Johannesburg: United Litho.

Smit, PJ, Cronje, J, Brevis, T and Vrba, MJ. 2007. *Management Principles – A Contemporary Edition for Africa (4<sup>th</sup> Edition)*. Cape Town: Juta

Stockburger, D. W. 2000. *Introductory Statistics: Concepts, Models and Applications*. Missouri: Atomic Dog Publishing.

Swanepoel, B, Erasmus, B, Van Wyk, M, Schenk, H. 2006. *South African Human Resource Management Theory and Practice (3<sup>rd</sup> Edition)*. Pretoria: Juta.

Swain, D. 1987. *Reviewing Public Administration*. USA: University Press of America.

Thornhill, C and Hannekom, S.X. 1995. *The Public Sector Manager*. Durban: Butterworths.

Thornhill, C., L.P Malan, M.J Odenaal, F.M Mathebula, H.G Dijk and D. Mello. 2002. *An Overview of Intergovernmental Relations in Africa*. Pretoria: PAIR Institute, SAFPUM Publishers.

Welman, JC and Kruger, SJ. 2005. *Research methodology for the Business and Administrative Sciences*. Johannesburg: International Thomson Publishing.

Williams, RS. 2002. *Managing Employee Performance*. Cornwall: TJ International.

Yin, R. K. 1993. *Applications of Case Study Research*. Newsbury Park, London: Sage Publications.



University of Fort Hare  
*Together in Excellence*

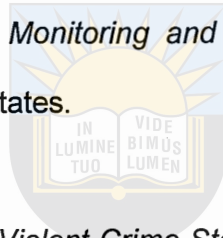
## PAPERS / ARTICLES / JOURNALS

Ajam, T. 2010. *M & E System in South Africa*. Independent Evaluation Group: World Bank.

Ballart, X. 2010. *Budget Reforms in Spain, the Reality of Budget Reform: Counting the Consequences in eleven Advanced Democracies*. London: Elgar.

Bartle, P. 2007. *The Nature of Monitoring and Evaluation*. Institute of Monitoring and Evaluation: United States.

Bruce, D. 2010. *The Reliability of Violent Crime Statistics*. South Africa: SA Crime Quarterly, No. 31.



University of Fort Hare  
*Together in Excellence*

Burgos, R. M. 2008. *Performance Budgeting and Evaluation System in Mexico*. Indicators Matrix Workshop: Mexico City, 29 October.

Burton, P. Du Plessis, A. Leggett, T. Louw, A. Mistry, D. and Van Vuuren, H. 2003. *National Victims of Crime Survey, South Africa 2003*. Monograph No. 101.

Busjeet, G, B. 2009. *Monitoring and Evaluation System in Mexico*. Independent Evaluation Group: World Bank.

Bustelo, M. 2006. *The Potential Role of Standards and Guidelines in the Development of an Evaluation Culture in Spain*. Evaluation Focus. Vol. 12 (4).

Bustelo, M. and Fitzpatrick, J. 2009. *The Status of Evaluation in Spain: Preliminary results of a survey of the Evaluation Community*. Madrid VI Seminar on experiences of Programme Evaluation and Public Policy.

Cardozo, M. 2006. *The evaluation of public policies and programmes: The case of social development programmes in Mexico*. Chamber of Deputies: Michelangelo Porrúa.



Castro, M. F. 2009. *Mexico's M & E System: Scaling Up from the Sectoral to the National Level*. Independent Evaluation Group: World Bank.

University of Fort Hare  
Together in Excellence

Edmunds, R. 2008. *Official Statistics and Monitoring and Evaluation Systems in Developing Countries: Friends or Foes?* Paris21: Paris.

Engela, R. 2010. *Implementing a Government – Wide Monitoring and Evaluation System in South Africa*. Independent Evaluation Group: World Bank.

Ereaut, G. 2007. *Qualitative Research has Multiple Focal Points*. Linguistics Landscapes: UK.

Espadas, M. L. 2005. *Reform Budget Process*. International University of Menendez: Seville.

Feinstein, O. 2010. *Evaluation of Government Performance and Public Policies in Spain*. Independent Evaluation Group: World Bank.

Furubo, M. 2008. *Evaluation Systems: What are they and why study them?* Evaluation Focus. Vol. 14(2).

Heathfield, S. M. 2008. *Performance Management*. Human Resources Newsletter: New York Times Company.

Hernandez, L. 2007. *Social Policy Evaluation: An Organizational Change in Mexico*. Latin American Centre for Development Management: Mexico.

Hernandez, L. 2008. *The Role of Evaluation in Mexico: Achievements, Challenges, and Opportunities*. World Bank.

Ijeoma, E.O.C. 2010. *Mainstreaming Government – Wide Monitoring and Evaluation Policy in South Africa: An eye on Impact Assessment*. Journal of Public Administration, 45 (2): 343 – 360.

Ijeoma, E.O.C. 2008. *Evaluating development projects and programmes in Africa: A case of NEPAD*. Africa Insight, 37(.4): 61 – 75.

Kabunduguru, M. B. 2004. *Monitoring and Evaluating the Public Sector Reform Programme in Tanzania*. Impact Evaluation Vol. 2.

Keifer, K. 2000. *Writing Academic Evaluations*. Colorado State University.

Key, J. P. 1997. *Research Design in Occupational Education*. Oklahoma State University.

Kusek, J. Z. and Rist, R. C. 2002. *Building Results – Based Monitoring and Evaluation Systems: Assessing Developing Countries Readiness*. Impact Evaluation. Vol. 1.



Langa, B and Jerome, A. 2004. *Participatory Budgeting in South Africa: Unpublished document*. Senegal: SISSERA.

University of Fort Hare  
Together in Excellence

Larru, R. 2009. *Efficacy and Evaluation in Development Cooperation*. University of San Pablo: Madrid.

Leeuw, F. and Vaessen, J. 2009. *Impact Evaluations and Development*. Washington DC: Network of Networks for Impact Evaluation.

Levine, M. 1996. *What is Data Analysis?* Macintosh HD: DA. Vol. 1. No. 006.

Levy, S. 2007. *Progress against Poverty: Sustaining Mexico's Progress / Opportunities Programme*. Presentation at conference on The Global Economy and Development, joint event of the Wolfensohn Center for Development and the Latin America Initiative, Brookings Institution.

Lopez – Acevedo, G. 2009. *Mexico's M & E System: Scaling Up from the Sectoral to the National Level*. World Bank.

Mackay, K. 2007. *How to Build M&E Systems to Support Better Government*. Independent Evaluation Group: World Bank.

Marchant, T. 2008. *Official Statistics and Monitoring and Evaluation Systems in Developing Countries: Friends or Foes?* Paris21: Paris.

University of Fort Hare  
Together in Excellence

Mistry, D. 2004. *Falling Crime, Rising Fear*. Institute for Security Studies. SA Crime Quarterly, No. 5.

Montalvo, G. 2008. *The experimental analysis of Developmental Assistance (The evaluation of what works and what does not)*. BBVA: Madrid.

Morgan, G. and Smircich, L. 1980. *The Case for Qualitative Research*. United States: Academy Management Centre. Vol. 5. No. 4.

Morris, C. 2006. *A Results – Based Monitoring and Evaluation System to Support Good Public Management*. CSIR: South Africa.

Noor, K. B. M. 2008. *Case Study: A Strategic Research Methodology*. American Journal of Applied Sciences. Vol.5. No. 11.

Nuno, R. V. and Moreiras, K. J, L. 2009. *Monitoring indicators and objectives of the National Reform Programme*. Economic Bulletin, Vol. IV.

Ordonez, X. F. 2009. *The role of the Evaluation System in Mexico*. Independent Evaluation Group: World Bank.

Perez, J. D. 2008. *The Mexican Performance Budgeting System*. Paper presented at the Performance Budgeting Conference, in Mexico City, Mexico, June 9–10.

Ramirez, F. B. and Reboloso, E. 2006. *Evaluation in Spain*. Journal of Multi – Disciplinary Evaluation. Vol. 3 (5).

Roberts, J. 2009. *Service Delivery by Non – Profit Organizations*. United States.

Roca, G. 2005. *Reflections and Proposal Creation: Report of the Committee of Experts*. Ministry of Public Administration: Madrid.

Sanchez, E. G. 2004. *The Institutionalization of non – Educational Evaluation*. Management and Public Policy Analysis 30 / 31: University of Spain.

Streak, J. 2003. *Monitoring Government Budgets to advance child rights*.  
Institute for Democracy in South Africa (IDASA)

Vinas, V. 2009. *The European Union's Drive toward Public Policy Evaluation: The Case of Spain*. *Evaluation Focus*, Vol. 15.

Wolcott, H. R. 1990. *Qualitative inquiry in Education: The continuing debate*.  
Oklahoma State University

Zapico-Goni, E. 2010. *Budget for Results in Spain: Lessons Learned after Two Decades of Reforms*. Paper: Roundtable Discussion at the World Bank.



University of Fort Hare  
*Together in Excellence*

## WHITE PAPERS OF THE SOUTH AFRICAN GOVERNMENT

Republic of South Africa. 1998. *White Paper on Local Government*. Pretoria: Government Printer.

## PUBLISHED OFFICIAL REPORTS AND DOCUMENTS

Canadian International Development Agency. 2004. *CIDA's Programming Framework in South Africa*. Pretoria.

Cele, B. 2010. *Crime Statistics in South Africa 2009/2010*. Pretoria.

Directorate General: Spain. *Annual Budget Report*. 2006

Government Communication and Information Service. 2009. *State of the Nation Address by Mr. K Motlanthe*. Cape Town.

Government Communication and Information Service. 2009. *State of the Nation Address by Mr. JG Zuma*. Cape Town.

Kganyago, L. 2009. *Estimates of National Estimates 2009/2010*. Pretoria.

Law of State Agencies: Spain. *LAE Report*. 2006.

Ministry of Economy and Finance: Spain. *MEH Report*. 2004.

Mthethwa, E. W. 2010. *Crime Statistics in South Africa 2009/2010*. Pretoria.

National Treasury of South Africa. 2000. *Best Practice Guideline: In – Year Management, Monitoring and Reporting*. Pretoria.

National Treasury of South Africa. 2004. *Treasury Guidelines for the preparation of budget proposals for the 2005 MTEF Period*. Pretoria.

National Treasury of South Africa. 2009. *Estimates of National Expenditure 2009/2010*. Pretoria.



National Treasury of South Africa. 2007. *Framework for Managing Programme Performance Information*. Pretoria: Formset Printers

University of Fort Hare  
*Together in Excellence*

Organization for Economic Cooperation and Development. 2010. *Glossary for Monitoring and Evaluation*. Paris Cedex, France.

Public Administration Leadership and Management Academy. 2010. *Public Finance Management for Non – Financial Managers*. Pretoria.

Public Service Commission. 2006. *State of the Public Service Report, 2006*. Pretoria: OPSC.

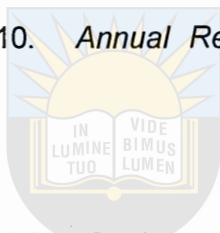
Ramos, M. 2000. *Best Practice Guideline: In Year Management, Monitoring and Reporting*. Pretoria.

South African Police Service. 2009. *Annual Performance Plan for the SAPS for 2009/2010*. Pretoria

South African Police Service. 2008. *Annual Report of the SAPS for 2007/2008*. Pretoria

South African Police Service. 2009. *Annual Report of the SAPS for 2008/2009*. Pretoria

South African Police Service. 2010. *Annual Report of the SAPS for 2009/2010*. Pretoria



South African Police Service. 2010. *Crime Statistics 2009/2010*. Pretoria

University of Fort Hare  
*Together in Excellence*

South African Police Service. 2005. *Strategic Plan for the South African Police Service 2005 – 2010*. Pretoria

The Presidency. 2008. *The Role of Premiers' Offices in Government – Wide Monitoring and Evaluation: A Good Practice Guide*. Pretoria.

## REVIEWS

The Presidency of South Africa. 1998. *The Presidential Review Commission Report, 2008*. Pretoria.

## NEWSPAPERS

Underhill, G. 2010. *Personal View, Crime Stats Rot Spreads*. Mail & Guardian (South Africa) 5 March.



University of Fort Hare  
*Together in Excellence*

## ACTS AND LEGISLATION

Republic of South Africa 1996. *Constitution of the Republic of South Africa, 1996 (Act 108 of 1996)*. Pretoria: Government Printer

Republic of South Africa. 2005. *Intergovernmental Relations Framework Act, 2005 (Act 12 of 2005)*. Pretoria: Government Printer

Republic of South Africa 2003. *Municipal Finance Management Act, 2003. (Act No 4 of 2003)*. Pretoria: Government Printer

Republic of South Africa. 2004. *Prevention and Combating of Corrupt Activities Act, 2004. (Act 12 of 2004)*. Pretoria: Government Printer



University of Fort Hare  
*Together in Excellence*

Republic of South Africa. 2004. *Public Audit Act, 2004. (Act 25 of 2004)*. Pretoria: Government Printer

Republic of South Africa 1999. *Public Finance Management Act, 1999. (Act No 1 of 1999) as amended by Act 29 of 1999*. Pretoria: Government Printer

Republic of South Africa 1995. *South African Police Service Act, 1995 (Act 68 of 1995)*. Pretoria: Government Printer

Republic of South Africa 1999. *Statistics Act, 1999 (Act 6 of 1999)*. Pretoria: Government Printer.

Republic of South Africa. 2001. *Treasury Regulations, 2001*. Pretoria: Government Printer.

United Mexican States (Mexico). 2004. *Social Development Law*.

#### UNPUBLISHED DISSERTATIONS

Bakazi, Annette Baingana. 2005. "*An investigation into the impact of the privatization of public utilities on the affordability of and access to basic services on poor households in developing countries: Lessons for Rwanda.*"

Masters Dissertation, University of the Western Cape.



#### PUBLISHED THESIS

University of Fort Hare  
*Together in Excellence*

Luthuli, T.B. "*Performance Measurement as a Public Policy Implementation Tool in the South African Public Service*". University of Pretoria, 2007.

#### DISCUSSIONS

Thirbeni, R. *Performance Monitoring and Evaluation in the SAPS*. South African Police Service (SAPS). South Africa. 10 January 2011.

## OTHERS

Alcade, M. 2008. Presentation at the Internal Conference on Performance – Based Budgeting. Mexico City, June 9–10.

De Kock, C. 2007. *Roundtable Discussion on Crime Statistics*. South Africa: Open Society Foundation for South Africa.

Tshehla, N. 2007. *Roundtable Discussion on Crime Statistics*. South Africa: Open Society Foundation for South Africa.



University of Fort Hare  
*Together in Excellence*

## WEBSITES

AEVAL (2007). Evaluation of the Administrative Procedures for Company Creation in Spain. ([http://www.aeval.es/comun/pdf/evaluaciones/E06-2007\\_Business\\_startup\\_procedures.pdf](http://www.aeval.es/comun/pdf/evaluaciones/E06-2007_Business_startup_procedures.pdf)). Date retrieved 2011-02-02.

Answers.com. Apartheid. 2011. (<http://www.answers.com/topic/apartheid>). Date retrieved: 2011-03-01.

Australian Agency for International Development (AusAID) 2000. Good governance. (<http://www.ausaid.gov.au/goodgovernance>). Date retrieved: 2010-07-01.



University of Fort Hare  
*Together in Excellence*

Castillo, J. J. 2009. Research Population. (<http://www.experiment-resources.com/research-population.html>). Date retrieved 2011-04-01.

CONEVAL. (<http://www.coneval.gob.mx>). Date retrieved on 2011-02-17.

Department of International Relations and Co – operative Governance. (<http://www.dirco.gov.za/foreign/Multilateral/inter/interpol.htm>). Date retrieved: 2011-02-14.

General Comptroller of the State Administration (IGAE). (<http://www.igae.pap.meh.es>). Date retrieved: 2011-02-01.

Institute for Democracy in Africa (IDASA). <http://www.idasa.org.za/FAQs>.

Date retrieved: 2011-02-11.

Institute for the Evaluation of Public Policies (IVALUA).

(<http://www.ivalua.cat>). Date retrieved: 2011-02-01

Institute for Fiscal Studies (IEF). (<http://www.ief.es>). Date retrieved on 2011-

02-01.

Kurz, W. 2009. Model Driven Development <http://www.wkurz.com/mdd.htm/>.

Date retrieved: 2009-01-01.

Office of the Secretary of Defence (OSD) Comptroller 2007. What is a budget? <http://www.defenselink.mil/budgets/>. Date retrieved: 2007-11-01.

South African Police Service. 2011.

([http://www.saps.gov.za/saps\\_profile/history/history.htm](http://www.saps.gov.za/saps_profile/history/history.htm)). Date retrieved:

2011-03-01.

Southern African Regional Police Chiefs Co – operation Organization.

<http://www.interpol.int/public/Region/Africa/Committees/SARPCCO.asp>).

Date retrieved: 2011 – 02 – 14.

Spanish Society for Evaluation. ([www.sociedadevalucion.org](http://www.sociedadevalucion.org)). Date

retrieved on 2011-02-10.

Statistics South Africa. 2010. Mid – year population estimates. (<http://www.statssa.gov.za/publications/statsdownload.asp?PPN=P0302&SCH=4696>). Date retrieved: 2001-03-01.

The Composed Gentleman. 2006. State of the Nation Address. (Access: <http://salaswildthoughts.blogspot.com/2006/07/state-of-nation-address-sona-2006.html>). Date retrieved: 2011-01-09.

The Presidency. <http://www.thepresidency.gov.za/pebble.asp?reid=1689>.  
Date retrieved: 2011-02-23.



University of Fort Hare  
*Together in Excellence*