

PUBLIC SERVICE COMMISSION



Monitoring and Evaluation Report for the National Department of Human Settlements

Evaluation Cycle 2009/10

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EXECUTIVE SUMMARY

Introduction and background	<p>The Public Service Commission (PSC) has designed, piloted and implemented a Transversal M&E System (System) that it uses to evaluate the performance of Public Service departments against the nine constitutional values and principles (CVPs) governing public administration. The System measures compliance against the nine CVPs, which may be regarded as an operational definition for “good governance”. Through an assessment using the System, this report provides a status of the quality of governance of departments, across nine performance areas as evident in the CVPs.</p> <p>Since the introduction of the System, the PSC has assessed 101 departments and produced six consolidated reports. The sample of departments for the 2009/2010 research cycle comprised 2 national and 28 provincial departments. The sample included all housing departments and all the departments of the North West province, allowing the PSC to focus specifically on the housing sector and the state of the Public Service in the North West province.</p> <p>The results of this assessment were presented to the Department on 25 January 2010 with a request for comments. The names and designations of persons who attended this meeting are attached as Appendix A to this report. Based on this interaction, comments and additional information was submitted on 9 February 2010, and incorporated into this report. In the Department’s comments the Acting Director-General voiced his appreciation for the outstanding work done by the PSC, and indicated that the recommendations will “<i>certainly assist in ensuring that the Department improves its performance against the Constitutional values and principles . . . in its quest to deliver the human settlements mandate</i>”.</p>																								
Reporting period	<p>This re-assessment of the department was conducted during the PSC’s 2009/10 evaluation cycle and covers the following periods:</p> <ul style="list-style-type: none"> ➤ Principles 2, 6, and 7: Information obtained from the department’s AR for the 2007/08 financial year. ➤ Principles 1, 3 to 5 and 8 to 9: The most recent information obtained from the Department up to 04 October 2009 is utilised (date of the final draft report). 																								
Methodology	<p>The methodology applied by the System in essence involves assessing the actual performance of the department against a set of indicators and standards – refer to Appendix B for a complete list of these indicators and standards per principle. Evidence about the actual state of practice for the nine CVPs was obtained by collecting and assessing policy and other documents, conducting interviews with samples of relevant persons and assessing qualitative and quantitative data according to templates and measures. By interrogating the evidence against the indicators and standards, a sense of the performance of the department against each of the nine CVPs was arrived at.</p> <p>Based on the assessment, a score is awarded to the department. The rating scale, consisting of five performance bands, is captured in the table below.</p> <table border="1" data-bbox="395 1603 1385 1845"> <thead> <tr> <th>Performance band</th> <th>Score description</th> <th>Score</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>Excellent performance against all the standards</td> <td>4,25 – 5,00</td> <td>81% - 100%</td> </tr> <tr> <td>4</td> <td>Good performance against most of the standards</td> <td>3,25 – 4,00</td> <td>61% - 80%</td> </tr> <tr> <td>3</td> <td>Adequate performance against several of the standards</td> <td>2,25 – 3,00</td> <td>41% - 60%</td> </tr> <tr> <td>2</td> <td>Poor performance against most of the standards</td> <td>1,25 – 2,00</td> <td>21% - 40%</td> </tr> <tr> <td>1</td> <td>No performance against all the standards</td> <td>0,25 – 1,00</td> <td>0% - 20%</td> </tr> </tbody> </table> <p>Since the same indicators are used year after year, the performance of a sample of departments in a specific year can be compared with the samples of previous years, departments can be compared with each other, and a department’s performance can be compared with its own performance in a previous year when that department comes up for re-assessment.</p>	Performance band	Score description	Score	%	5	Excellent performance against all the standards	4,25 – 5,00	81% - 100%	4	Good performance against most of the standards	3,25 – 4,00	61% - 80%	3	Adequate performance against several of the standards	2,25 – 3,00	41% - 60%	2	Poor performance against most of the standards	1,25 – 2,00	21% - 40%	1	No performance against all the standards	0,25 – 1,00	0% - 20%
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	<i>(The detailed assessment framework is available on the PSC's web page: www.psc.gov.za and a concise document is attached as an Appendix to this report).</i>																																												
Research steps	<p>The process followed in the assessment of the performance of departments is captured in Diagram 1 below. As can be seen, the PSC has adopted a process which engages the department throughout the cycle, in order to deepen the understanding of the System and promote learning through the application of the System.</p> <div style="text-align: center;"> <p>Diagram 1</p> <p>Process of implementing the System in Departments</p> </div> <ol style="list-style-type: none"> 1. Notification to sampled departments <ul style="list-style-type: none"> ➤ Send letters to department, Minister, MEC and DG/HoD explaining the purpose, process and requesting a contact person. ➤ Attach PSM&ES Assessment Framework and list of documents needed. 2. Introductory meeting with department <ul style="list-style-type: none"> ➤ Obtain name of a contact person within the department ➤ Meet with HoD and top management of department to explain the PSM&ES and obtain buy-in. 3. Produce draft report <ul style="list-style-type: none"> ➤ Obtain and analyse information. ➤ Assess performance against defined performance indicator(s) for each principle. ➤ Identify areas of good practice and/or problem areas. ➤ Write main and summary report. 4. Presentation of draft Results to department <ul style="list-style-type: none"> ➤ Discuss Results of assessment with HoD and top management of department. ➤ Give opportunity to submit written comments within 10 days of presentation. 5. Final report <ul style="list-style-type: none"> ➤ Include comments of department in report and make amendments if necessary. ➤ Submit final report to PSC for approval. ➤ Send approved report to department. 6. Consolidated report <ul style="list-style-type: none"> ➤ Collate information of individual reports into one consolidated report. ➤ Submit report to Parliament and Executive Authorities. 																																												
Final result of evaluation	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The following is a synopsis of how the Department has scored under each principle for the evaluation cycles 2001/02 and 2009/10 respectively.</p> <table border="1" data-bbox="395 1738 1402 2022"> <thead> <tr> <th rowspan="2">Principle</th> <th colspan="2">2001/02</th> <th colspan="2">2009/10</th> </tr> <tr> <th>Total Score</th> <th>%</th> <th>Total Score</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>1. Professional Ethics</td> <td>1,00</td> <td>20%</td> <td>3,75</td> <td>75%</td> </tr> <tr> <td>2. Efficiency, Economy and Effectiveness</td> <td>4,00</td> <td>80%</td> <td>3,50</td> <td>70%</td> </tr> <tr> <td>3. Development-Oriented Public Administration</td> <td>4,00</td> <td>80%</td> <td>4,00</td> <td>100%</td> </tr> <tr> <td>4. Impartiality and Fairness</td> <td>N/A</td> <td>N/A</td> <td>N/A</td> <td>N/A</td> </tr> <tr> <td>5. Public Participation in Policy-making</td> <td>4,00</td> <td>80%</td> <td>4,00</td> <td>80%</td> </tr> <tr> <td>6. Accountability</td> <td>3,00</td> <td>60%</td> <td>4,50</td> <td>90%</td> </tr> <tr> <td>7. Transparency</td> <td>2,00</td> <td>40%</td> <td>5,00</td> <td>100%</td> </tr> </tbody> </table>	Principle	2001/02		2009/10		Total Score	%	Total Score	%	1. Professional Ethics	1,00	20%	3,75	75%	2. Efficiency, Economy and Effectiveness	4,00	80%	3,50	70%	3. Development-Oriented Public Administration	4,00	80%	4,00	100%	4. Impartiality and Fairness	N/A	N/A	N/A	N/A	5. Public Participation in Policy-making	4,00	80%	4,00	80%	6. Accountability	3,00	60%	4,50	90%	7. Transparency	2,00	40%	5,00	100%
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	Total out of 45 for 2001/02 and out of 39 for 2009/10	26,00	58%	29,75	76%														
	Average ÷ 9 for 2001/02 and ÷ 8 for 2009/10	2,89	58%	3,80	76%														
	<p>According to the above figures the Department's performance and compliance with the nine Constitutional values and principles have improved with 19% from an average score of 58% (adequate performance) in 2001/02 to 76% (good performance) in 2009/10.</p> <p>Compared to the first assessment in 2001/02, the Department's performance against the 9 principles improved against 4 principles (ranging from 20% to 60%), declined against 3 principles (ranging from 10% to 20%) and remained the same against two principles.</p> <p>Strengths</p> <p>The Department achieved a performance rating of excellent and good against the following six principles in the 2009/10 evaluation period:</p> <table border="1"> <thead> <tr> <th>Principle</th> <th>Performance</th> </tr> </thead> <tbody> <tr> <td>Principle 3: Development orientation</td> <td>Excellent (100%)</td> </tr> <tr> <td>Principle 7: Transparency</td> <td>Excellent (100%)</td> </tr> <tr> <td>Principle 6: Accountability</td> <td>Excellent (90%)</td> </tr> <tr> <td>Principle 5: Public participation in policy-making</td> <td>Good (80%)</td> </tr> <tr> <td>Principle 1: Professional ethics</td> <td>Good (75%)</td> </tr> <tr> <td>Principle 2: Efficiency, Economy and Effectiveness</td> <td>Good (70%)</td> </tr> </tbody> </table> <p>The excellent and good performance against these six principles suggest that the Department –</p> <ul style="list-style-type: none"> ➤ is development oriented; ➤ complies with the annual reporting requirements as prescribed by the National Treasury and the DPSA and complies with the Access to Information Act; ➤ has received an unqualified audit opinion and applies sound risk management practices; ➤ solicits inputs from the public on policy-making, considers such public input and provides feedback to the public on how their inputs have been considered; ➤ takes the management of cases of misconduct seriously; and ➤ measures its performance and carefully manages its expenditure. <p>The Department achieved an adequate (60%) performance rating against principle 8.</p> <p>Weaknesses</p> <p>A cause for concern, though, is the poor performance (40%) rating against principle 9. The main reasons for the poor performance against this principle are that:</p> <ul style="list-style-type: none"> ➤ The Department's Employment Equity Policy does not comply with all the requirements set in section 1 of the Employment Equity Act, 1998, (Act No 55 of 1998). ➤ There is no regular reporting to management on the implementation of the employment equity plan. ➤ Inadequate diversity management measures are in place. 					Principle	Performance	Principle 3: Development orientation	Excellent (100%)	Principle 7: Transparency	Excellent (100%)	Principle 6: Accountability	Excellent (90%)	Principle 5: Public participation in policy-making	Good (80%)	Principle 1: Professional ethics	Good (75%)	Principle 2: Efficiency, Economy and Effectiveness	Good (70%)
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Additional information on housing	<p>The following are some pertinent remarks about housing service delivery and the assessments in this report should be read in relation to housing service delivery and the specific risks and challenges faced by the sector.</p> <p>It is important to note that the Department is not involved in the actual delivery of houses but supports provincial departments of housing through the development of policies and the provision of funds for the delivery of houses.</p> <p>According to the department, from the inception of the Housing Programme in 1994, more than 2.2 million houses were delivered nationally. The following are the challenges facing the sector:</p>																		

- The lack of affordable, well-located land for low cost housing has resulted in housing programmes largely extending existing areas that had been developed for low-income housing in the past, often located at the urban margins and with weak prospects of integration.
- The slow and complex process of identification, acquisition and release of land in terms of the revised procurement framework.
- The number of subsidies required is expected to increase, resulting in an additional burden on the national fiscus.
- National policy and provincial funding allocations have not always been able to effectively respond to the changing nature of demand caused by rapid urbanisation.
- Differences in the interpretation and application of the policy, e.g., difference of opinion on issues such as beneficiary contributions, hamper housing delivery.
- The lack of institutional and sector capacity to deliver housing. Capacity constraints in the implementation of programmes, the use of new planning principles, and acquiring affordable land exist in all spheres of government but are especially prevalent in municipalities.
- The inability of beneficiaries of housing subsidies to afford municipal services and taxes, creating the view by municipalities that such housing projects are liabilities.
- The withdrawal of large construction groups from the low-cost market due to a variety of reasons. This widens the capacity constraints in the low-cost housing sector in respect of construction, project management, financial management and subsidy administration.

According to the Department, the following risks have been identified and strategies have been put in place to address these risks:

Risk	Strategy implemented
Alignment of grant funding and provincial capacity.	<ul style="list-style-type: none"> ➤ Monitoring of spending. ➤ Revision of cash flow and payment schedules to provinces.
Fraud, corruption, mismanagement and misappropriation (housing grant).	<ul style="list-style-type: none"> ➤ Tracking monthly expenditure and delivery targets against business plans. ➤ Implementation of internal controls as per fraud prevention strategy.
Concurrency conflicts between spheres of government.	<ul style="list-style-type: none"> ➤ Sustained consultation through task team. ➤ Established Chief Directorate for Intergovernmental Relations.
Business continuity – Information management and IT Infrastructure, for example, the National Housing Demand and Urbanisation Information Management System (HUIMS).	Implementation of the Information Technology and Communication Strategy.
Building material availability.	<ul style="list-style-type: none"> ➤ Social contract for rapid housing delivery. ➤ Chief Director: Stakeholder Management to intervene in the industry to regulate supply and pricing.
Access to appropriate land for housing purposes.	Chief Director: Human Settlement Planning to implement and continuously monitor land acquisition programme.
Non-delivery of houses due to lack of scientific research, implementation and planning.	Development of a National Housing Development Plan.
Provinces not following policy prescripts (funds not spent on housing).	<ul style="list-style-type: none"> ➤ Provide structured policy guidance and clear policy interpretations. ➤ Agreement between the Director-General and HoDs on working procedure and mandate regarding policy development process.

Recommendations

Implementation of recommendations of first assessment

When the Department was assessed for the first time in 2001/02, **eighteen** recommendations were made of which **13** (or **72%**) were implemented when the Department was re-assessed in 2009/10. The PSC is pleased to note that a concerted effort was made by the Department to implement the recommendations of the PSC. The number of recommendations made, the implementation thereof and the Department's response are included as **Appendix C**.

	<p>New Recommendations</p> <p>The PSC made 10 recommendations in this Report that need to be implemented within specific time frames. Within six months of delivery of this Report the PSC will do a follow-up on the progress made with the implementation of these recommendations using the <u>list of recommendations at Appendix C</u> as template for the feedback report.</p>
Challenges	The PSC experienced problems in obtaining the required information on time. However, after several interactions between the PSC and managers of the Department, additional information was provided, which enabled the PSC to make an informed assessment.
<p>1. CONSTITUTIONAL PRINCIPLE 1: PROFESSIONAL ETHICS</p> <ul style="list-style-type: none"> • A high standard of professional ethics must be promoted and maintained. 	
Performance Indicator	Cases of misconduct where a disciplinary hearing has been conducted, comply with the provisions of the Disciplinary Code and Procedures for the Public Service.
Underlying Assumptions	Departments that effectively deal with cases of misconduct where a disciplinary hearing has been conducted are generally maintaining a higher standard of ethics than those departments that do not.
Standards	<ol style="list-style-type: none"> 1. A procedure is in place for reporting, recording and managing cases of misconduct. 2. All the managers surveyed have a working knowledge of the system. 3. All of the most recent cases of misconduct in which a disciplinary hearing is conducted are finalized within the time frame of 20 – 80 working days. 4. Management reporting is done on cases of misconduct and acted upon. 5. All the managers are capable to deal with cases of misconduct. 6. Frequent training is provided on the handling of cases of misconduct.
Rating	3,75/5 (75%) = Good performance against most of the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The overall performance of the Department has improved by 55% from 20% (no performance against all the standards) in 2001/02 to 75% (good performance against most of the standards) in 2009/10. All the recommendations made by the PSC's 2001/02 report were implemented, and this may be one of the reasons for the 55% improvement in performance against this standard.</p> <p>1. A policy/guideline on managing cases of misconduct is in place</p> <p><i>1.1 The existence of policy/guideline</i></p> <p>The Department uses Public Service Co-ordinating Bargaining Council (PSCBC) Resolution No. 2 of 1999, as amended by Resolution No.1 of 2003, which includes the prescribed "Disciplinary Code and Procedures for the Public Service", and a <i>Guide on Disciplinary and Incapacity Matters</i>, the Department's internal policy, for the handling of misconduct cases.</p> <p><i>1.2 Survey on managers' working knowledge of policy/guideline</i></p> <p>All managers interviewed had a working knowledge of the system for the management of cases of misconduct and its requirements. These officials should, therefore, be able to deal with cases of misconduct, should they occur.</p> <p>2. Time taken to resolve the most recent cases of misconduct</p> <p><i>2.1 Cases where a hearing was conducted</i></p> <p>The Department takes on average 36 working days to finalise a case of misconduct.</p>

	<p>All six cases (100%) submitted for assessment, were dealt with within the period of 20 - 80 working days prescribed by PSCBC Resolution No. 2 of 1999, as amended.</p> <p><i>2.2 Cases that went on appeal</i></p> <p>The four cases that went on appeal were dealt with within 15 working days, which is less than the period of 30 working days allowed by PSCBC Resolution No. 2 of 1999, as amended.</p> <p>3. Regular management reporting on cases of misconduct</p> <p><i>3.1 Misconduct cases are reported on</i></p> <p>Quarterly reports are submitted to management on the status of cases of misconduct.</p> <p><i>3.2 Management's response/action on these reports</i></p> <p>There was no evidence of any management response/actions emanating from the reports.</p> <p>4. Capacity to handle cases of misconduct</p> <p>According to the Department, the competency level to deal with cases of misconduct of the two supervisors and one manager on the establishment of the Directorate Labour Relations, are respectively adequate and highly competent.</p> <p>5. Training on the management of cases of misconduct</p> <p>The Department does provide training and capacity building on the process of handling cases of misconduct.</p>
Recommendations	<p>1. Management reporting on cases of misconduct</p> <p>The Department should, with immediate effect, ensure that a response from management on how to deal with challenges experienced with the handling of misconduct cases is recorded in the minutes of the management meeting or noted on the quarterly reports on cases of misconduct.</p>
Comment from the Department on the results of the report	<p><i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i></p>
<p>2. CONSTITUTIONAL PRINCIPLE 2: EFFICIENCY, ECONOMY AND EFFECTIVENESS</p> <ul style="list-style-type: none"> • Efficient economic and effective use of resources must be promoted 	
Performance Indicator	<ol style="list-style-type: none"> 1. Expenditure is in accordance with the budget. 2. Programme outputs are clearly defined and there is credible evidence that they have been achieved.
Underlying Assumptions	<p>Departments that have good systems for budgetary control and for verifying progress against outputs are more likely to be effective than those do not.</p>
Standards	<ol style="list-style-type: none"> 1. Expenditure is as budgeted for and material variances are explained. 2. More than half of each programme's Performance Indicators (PIs) are measurable in terms of quantity, quality and time dimensions. 3. Outputs, PIs and targets are clearly linked with each other as they appear in the strategic plan (SP), estimates of expenditure and the departmental annual report (AR) for the year under review. 4. Programmes are implemented as planned or changes to implementation are reasonably explained.
Rating	<p>3,50/5 (70%) = Good performance against several of the standards</p>

Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The overall performance of the Department in this principle has declined slightly by 10%, from 80% (good performance against several of the standards) in 2001/02 to 70% (still good performance against several of the standards) for the 2009/10 evaluation cycle. This decline can be attributed to the fact that some of the performance indicators were not measurable and there were cases where reasons for the non-achievement of priority outputs were not provided.</p> <p>1. Planned expenditure vs. actual expenditure</p> <p>Under-expenditure constituted 4.4% of the amount voted during the 2007/08 financial year, which fell outside the generally accepted margin of 2% set by National Treasury. Of concern, though, was that the Department's under-expenditure had gradually increased from 1,68% recorded in the 2001/02 financial year, to 2.3% in the 2006/07 financial year, reaching 4.4% in the 2007/08 financial year. All variances above 2% were explained.</p> <p>2. The measurability of PIs</p> <p>It was found that more than 50% of each programme's PIs for the 2007/08 financial year were measurable in terms of the quantity and time dimensions. There is a clear linkage of outputs, PIs and targets between the Department's annual performance plan and the AR for the 2007/08 financial year.</p> <p>3. The achievement of priority outputs</p> <p>An analysis of the Department's outputs, PIs and targets as they appear in Table 2.2 at the end of the report on this principle, indicates that the Department was able to achieve 199 (or 76%) of its 261 planned outputs. For 8 of the 62 outputs not achieved, no reasons were given for not meeting the output target.</p>
Recommendations	<p>1. Planned expenditure vs. actual expenditure</p> <p>The Department should, with immediate effect:</p> <ul style="list-style-type: none"> ➤ Ensure that responsibility managers keep track of their expenditure. ➤ Implement monitoring measures to detect risks of under-expenditure/ under-performance in time and introduce appropriate corrective measures. ➤ Manage service providers and consultants at project execution level. ➤ Address capacity constraints in the line function programmes. <p>2. The achievement of priority outputs</p> <p>The Department should, with immediate effect, ensure that:</p> <ul style="list-style-type: none"> ➤ Outputs that have been planned and budgeted for are implemented and closely monitored. Monitoring progress on outputs will ensure that the Department can timeously implement corrective actions to ensure that outputs are achieved as planned. ➤ Reasons for non-performance/over-performance per PI are given.
Comment from the Department on the results of the report	<p><i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i></p>
<p>3. CONSTITUTIONAL PRINCIPLE 3: DEVELOPMENT ORIENTATION</p> <ul style="list-style-type: none"> • Public administration must be development oriented 	
Performance indicator	The Department is effectively involved in programmes/projects that aim to promote development and reduce poverty.
Underlying Assumptions	Departments that effectively initiate and/or implement development projects to reduce poverty are more development oriented than those that do not.

Standards	<ol style="list-style-type: none"> 1. Beneficiaries play an active role in the governance, designing and monitoring of projects. 2. A standardised project plan format is used showing: <ol style="list-style-type: none"> a) All relevant details including measurable objectives. b) Time frames (targets). c) Clear governance arrangements. d) Detailed financial projections. e) Review meetings. f) Considering issues such as gender, the environment and HIV/AIDS. 3. Poverty reduction projects are aligned with local development plans. 4. Organisational learning takes place. 5. Projects are successfully initiated and/or implemented.
Rating	4/4 (100%) = Excellent performance against all the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The overall performance of the Department has improved by 20% from 80% (good performance against most of the standards) in 2001/02 to 100% (excellent performance against all the standards) in 2009/10. The main reason for the improvement in performance is that the department provided the relevant information for the re-assessment in 2009/10. All the PSC's recommendations made during the 2001/02 evaluation cycle for this were implemented.</p> <p>1. The participation of beneficiaries in the design of the project</p> <p>The National Housing Code provides for the participation of beneficiaries in the design and implementation of housing projects.</p> <p>2. Good programme/ project management standards</p> <p>The Department has a guide named "The Multi-Year Housing Development Plan" (MHDP) to guide Provincial Housing Departments to fulfil the legal requirement of preparing a MHDP. The MHDP guide outlines all the issues that must be addressed in the provincial MHDP.</p> <p>3. Alignment of programmes with Integrated Development Plans (IDPs)</p> <p>The National Housing Code provides for the development of Housing Chapters of IDPs to ensure that housing needs assessment, as well as identification, surveying and prioritisation of informal settlements, are included in each IDP.</p> <p>4. A system for recording lessons learnt is in place</p> <p>The Department does have a system in place to identify lessons learnt for application to future projects.</p> <p>5. Success of the projects</p> <p>This standard is not applicable to the Department.</p>
Recommendations	No recommendations were made against this principle.
Comment from the Department on the results of the report	<i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i>
<p>4. CONSTITUTIONAL PRINCIPLE 4: IMPARTIALITY AND FAIRNESS</p> <ul style="list-style-type: none"> • Services must be provided impartially, fairly, equitably and without bias 	
Performance indicator	There is evidence that the Department follows the prescribed procedures of the Promotion of Administrative Justice Act (PAJA) when making administrative

	decisions.
Underlying assumptions	Departments whose decisions are duly authorised and comply with the provisions of the PAJA are more likely to behave in a manner that is fair and impartial than those that do not.
Standards	<ol style="list-style-type: none"> 1. All decisions are taken in accordance with prescribed legislation/policies and in terms of delegated authority. 2. All decisions are justified and fair considering the evidence submitted in this regard. 3. The procedures required in the PAJA in communicating administrative decisions are duly followed.
Rating	0/5 (0%) No performance against this principle
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>No assessment was done against this standard during the 2001/02 assessment since the Department did not submit the necessary documentation for assessment.</p> <p>The Department's response on the first assessment in 2001/02 was that its core business is such that it does not provide services <u>directly</u> to citizens/members of the public or enter into administrative relationships with citizens, e.g. issue licenses, certificates etc. The Department was further of the opinion that Sections 3 and 4 of the PAJA only apply where the administrative action <u>materially and adversely</u> affect the rights of any person/public.</p> <p>The Department concluded that the assessment would, therefore, be incorrect because the nature of the functions performed by the Department (i.e. the Department does not provide services directly to citizens/public) was not taken into account in the assessment.</p> <p><i>However, the PSC was at that time of the opinion that the Department does enter into contracts with service providers, which necessitates the application of PAJA. Documents in this regard were not submitted during the assessment conducted in 2001/02, which prevented the assessment of the Department's performance against this principle.</i></p> <p>Regarding the 2009/10 assessment, the PSC now concurs with the Department's opinion set out above, namely that the PAJA does not apply to the Department. The PSC's indicator and standards for this principle are, therefore, not applicable to the department and this is indicated in the scoring tables.</p>
Comment from the Department on the results of the report	<i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i>

5. CONSTITUTIONAL PRINCIPLE 5: PUBLIC PARTICIPATION IN POLICY-MAKING

- People's needs must be responded to and the public must be encouraged to participate in policy-making

Performance indicator	The Department facilitates public participation in policy-making.
Underlying assumptions	Departments that have a policy and system for procuring public inputs to their policy-making processes are more responsive than those that do not and are more likely to integrate public opinion into their final policies.
Standards	<ol style="list-style-type: none"> 1. A policy and guideline on public participation in policy-making is in place. 2. A system for soliciting public inputs on key matters is in use and effectively implemented. 3. All policy inputs received from the public are acknowledged and formally

	considered.
Rating	4/5 (80%) Excellent performance against all the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The overall performance of the Department against this principle remained the same at 80% (good performance against most of the standards) in 2009/10 compared to the 2001/02 assessment. The lack of improvement in performance may be attributed to the fact that the department did not provide a policy/guideline on public participation in policy-making.</p> <p>1. The existence of a policy and guidelines</p> <p>The Department does not have an approved policy/ guideline on public participation in policy-making.</p> <p>2. The existence of a system for soliciting participation and consideration of comments from the public</p> <p>The Department does solicit inputs from the public. Public comments are considered in policies and feedback is provided. Evidence was provided that the system is used.</p>
Recommendations	<p>1. The existence of a policy and guidelines</p> <p>The Department should, with immediate effect, develop a comprehensive policy on public participation in policy-making.</p> <p>This policy should address at least the following areas:</p> <ul style="list-style-type: none"> ➤ What should be achieved? ➤ Whose inputs should be obtained? ➤ On what should inputs be obtained? ➤ The procedures that should be followed. ➤ The consideration and acknowledgement of inputs received in the participation process. ➤ The procedures for considering the results of the participation process in policy making.
Comment from the Department on the results of the report	<i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i>

6. CONSTITUTIONAL PRINCIPLE 6: ACCOUNTABILITY

• Public administration must be accountable

Performance indicator	<ol style="list-style-type: none"> 1. Adequate internal financial controls and performance management are exerted over all departmental programmes. 2. Fraud prevention plans, based on thorough risk assessments, are in place and are implemented.
Underlying assumptions	<ol style="list-style-type: none"> 1. Departments that implement internal financial controls, that exert performance management over all departmental programmes and that prepare and implement fraud prevention plans are operating accountably. 2. The Auditor-General's assessments of departmental internal financial controls are an adequate review of their efficacy.
Standards	<ol style="list-style-type: none"> 1. The Auditor-General's assessments of internal financial controls conclude that they are adequate and effective. 2. A performance management (M&E) system on all departmental programmes is in operation.

	<p>3. Fraud prevention plans are based on a thorough risk assessment.</p> <p>4. Fraud prevention plans are in place and are comprehensive and appropriate, and are implemented.</p> <p>5. Key staff for ensuring implementation of fraud prevention plans, especially investigation of fraud, are in place and operational.</p>
Rating	4,50/5 (90%) = Excellent performance against all the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The Department's performance against this principle improved by 30% from 60% to 90%, which suggests excellent performance against all the standards.</p> <p>1. The adequacy of internal financial controls</p> <p>The Auditor-General issued the Department with an unqualified audit opinion for the 2007/08 financial year. However, the A-G highlighted concerns regarding the governance in the Department, which included the unavailability of information and senior managers.</p> <p>2. The existence of an operational performance management system</p> <p>The Department has a formal performance management system for all departmental programmes in operation. The BAS, PERSAL and LOGIS systems are utilised to monitor the performance of the Department's financial, personnel and supply chain management.</p> <p>3. A thorough risk assessment has been done</p> <p>The Department conducted a risk assessment exercise during the 2008/09 financial year during which all activities and/or applications were assessed. The seriousness of each risk was assessed, and was rated in terms of its consequences and impact. Appropriate internal control measures were devised to mitigate the risks faced by the Department.</p> <p>4. The existence of a fraud prevention plan</p> <p>The Department does have a Fraud Prevention Plan (FPP) in place that complies with twelve (85%) of the 13 requirements set by the PSC's Transversal M&E System for a good fraud prevention plan dealt with in Table 6.1 at the end of the Main Report on this principle. The FPP is based on a thorough risk assessment.</p> <p>5. The implementation of the fraud prevention plan</p> <p>According to information obtained from the Department, there are three officials that are highly competent to investigate cases of fraud. One of the officials is at assistant director level, one at deputy director level and one at director level. There is evidence that the strategies of the Fraud Prevention Plan have been implemented.</p>
Recommendations	No recommendations were made against this principle.
Comment from the Department on the results of the report	<i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i>
7. CONSTITUTIONAL PRINCIPLE 7: TRANSPARENCY	
<ul style="list-style-type: none"> • Transparency must be fostered by providing the public with timely, accessible, and accurate information 	
Performance indicator	<p>A. Departmental Annual Report (AR)</p> <p>➤ The Departmental AR complies with National Treasury's (NT) Guideline on</p>

	<p>Annual Reporting.</p> <p>B. Access to Information</p> <p>➤ The Department complies with the provisions of the Promotion of Access to Information Act (PAIA).</p>
Underlying assumptions	Departments that prepare their AR in accordance with NT's Guideline on Annual Reporting and adhere to the requirements of the PAIA are committed to transparency, accountability and effective governance in other areas.
Standards	<p>A. Departmental AR</p> <ol style="list-style-type: none"> 1. The AR is attractive and clearly presented and is well written in simple accessible language. 2. The content of the AR covers in sufficient detail at least 90% of the areas prescribed by NT and the Department of Public Service and Administration (DPSA) 3. The AR clearly reports on performance against predetermined outputs in at least two thirds of the programmes listed. <p>B. Access to Information</p> <ol style="list-style-type: none"> 1. The Department has at least one deputy information officer (DIO) with duly delegated authority. 2. The Department does have a manual on access to information (MAI) in place that complies with the requirements of the PAIA. 3. A system for managing requests for access to information is in place.
Rating	5/5 (100%) = Excellent performance against all the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>There is an improvement in the overall performance of the Department from 40% (poor performance) in 2001/02 to 100% in the 2009/10 evaluation cycle (excellent performance against all the standards). All the recommendations made in the first assessment in 2001/02 were implemented. The Department has implemented all the requirements of the Promotion of Access to Information Act (PAIA), 2000 (Act 2 of 2000).</p> <p>1. The Departmental AR</p> <p><i>1.1 The content of the AR</i></p> <p>The Department's AR is attractively presented, written in a language that is clear and easily readable and sheds light on the key responsibilities of the Department.</p> <p><i>1.2 The content of the AR</i></p> <p>The content of the AR covers in sufficient detail 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration (DPSA).</p> <p><i>1.3 Reporting on performance in the AR</i></p> <p>The AR clearly reports on performance against predetermined objectives for all the programmes listed.</p> <p>2. The implementation of PAIA</p> <p><i>2.1 The appointment of Deputy Information Officers (DIO)</i></p> <p>The Department has two DIOs. A memorandum stating their job descriptions was submitted to verify the formal appointment of the DIOs.</p> <p><i>2.2 The availability of a Manual on Access to Information (MAI)</i></p> <p>The Department does have a MAI, which complies with thirteen (or 93%) of the 14</p>

	<p>requirements set by section 14 of the Promotion of Access to Information Act (PAIA), 2000 (Act 2 of 2000). The one requirement that is not complied with is that the manual is not published in three languages.</p> <p><i>2.3 Procedures to handle requests for access to information</i></p> <p>A procedure for managing requests for access to information is in place.</p>
Recommendations	No recommendations were made against this principle.
Comment from the Department on the results of the report	<i>Note by the PSC: The draft report was presented to the Department with a request to submit comments. No comments for this principle were received for incorporation in the report.</i>
<p>8. CONSTITUTIONAL PRINCIPLE 8: GOOD HUMAN RESOURCE MANAGEMENT AND CAREER-DEVELOPMENT PRACTICES</p> <ul style="list-style-type: none"> • Good human resource management and career-development practices, to maximise human potential, must be cultivated 	
Performance indicator	<p>A. Recruitment</p> <ul style="list-style-type: none"> ➤ Vacant posts are filled in a timely and effective manner. <p>B. Skills Development</p> <ul style="list-style-type: none"> ➤ The Department complies with the provisions of the Skills Development Act.
Underlying assumptions	<p>A. Recruitment</p> <ol style="list-style-type: none"> 1. Effective recruitment policies and practices are a key indicator of good human resource management practice. 2. Departments that handle recruitment effectively and which fill their posts quickly and well are more likely to be maximising human potential than those that are not. <p>B. Skills Development</p> <ol style="list-style-type: none"> 1. Skills needs analyses are good instruments for assessing training needs and departments that draw upon them to prepare training strategies are working according to best practice. 2. Taking care to monitor performance against plan suggests that Departments are committed to real human resource development.
Standards	<p>A. Recruitment</p> <ol style="list-style-type: none"> 1. A recruitment policy complying with good practice standards and spelling out a detailed procedure is in place. 2. Vacant posts are filled within 90 days – including advertisement time. 3. Regular management reporting on recruitment is done and acted upon. <p>B. Skills development</p> <ol style="list-style-type: none"> 1. A skills development plan, based on a thorough skills needs analysis, is in place 2. Activities planned for are implemented 3. The results achieved through skills development are monitored and recorded.
Rating	3/5 (60%) = Adequate performance against several of the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The overall performance of the Department for the 2001/02 and 2009/10 financial years declined from 80% (good performance) to 60% (adequate performance). The Department implemented all three recommendations made by the PSC in the</p>

	<p>2001/02 report. The recommendations were that:</p> <ul style="list-style-type: none"> ➤ The Department should finalise and approve a departmental Recruitment and Selection Policy. ➤ Management reporting should become more systematic and structured so as to maintain good records, as well as keeping both the Accounting Officer and the Executing Authority fully appraised of recruitment and selection. ➤ A well-structured approach to the implementation of the skills plan is required so that training is more clearly focused around meeting the skills gap in the Department. <p>1. Recruitment</p> <p><i>The existence of a policy on recruitment</i></p> <p>The Department does have a policy on recruitment, selection and retention and a Human Resource Plan. Although the policy does not cover nepotism or patronage, it is comprehensive and the service standards document provide helpful and useful guidance with regard to procedures to be followed in the recruitment process.</p> <p><i>Time taken to fill a vacancy</i></p> <p>The average time taken to fill a vacant post is 274 days (or 39 weeks). This is beyond the standard of twelve weeks or less set by the PSC's Transversal M&E System. Eight (or 40%) of the 20 most recently filled posts were finalised within the generally acceptable standard of 12 weeks, which falls within the compliance rate of less than 50% set by the PSC's Transversal M&E System.</p> <p><i>Regular management reporting on recruitment</i></p> <p>Management reporting on recruitment is done during the Department's Executive Committee meetings and management's response on how to address challenges indicated in these reports is available.</p> <p>2. Skills Development</p> <p><i>The existence of a skills development plan</i></p> <p>Workplace Skills Plans (WSP) are in place for the 2008/09 and the 2009/10 financial years, and they are based on a thorough skills needs analysis. Crucial data on the skills already possessed by staff per post and measures to close the skills gap have been thoroughly addressed.</p> <p><i>Performance against the skills development plan</i></p> <p>In terms of the AR for 2007/08 the Department planned 144 skills development activities and implemented 187. However, according to the Skills Development Plan (SDP) 279 training activities were planned, which are 135 more than what was indicated in the AR. There is no indication what training activities were planned and implemented per occupational category. It was, therefore, not possible to establish whether the skills development activities were implemented as planned. The impact of the implemented skills development activities on the service delivery of the Department was also not formally assessed.</p>
<p>Recommendations</p>	<p>1. Time taken to fill a vacancy</p> <p>The Department should, with immediate effect, put in place measures to ensure that vacant posts are filled within 90 days after they have been vacated as vacancies might impact negatively on service delivery.</p> <p>2. Skills Development</p> <p><i>2.1 Performance against skills development plan</i></p> <p>The Department should, with immediate effect, ensure that:</p> <ul style="list-style-type: none"> ➤ The skills development activities reflected in the AR are aligned with those in the SDP and the WSP. ➤ The performance of all skills development activities against the SDP is assessed.

	<p>➤ The impact of skills improvement on service delivery is evaluated annually.</p> <p>The implementation of this recommendation will assist the Department to provide focussed training and ensure improvement in service delivery.</p>
Comment from the Department on the results of the report	<p><i>The Department commented as follows:</i></p> <p><i>With regard to recruitment turnaround time, when the Department restructured in 2007, the structure increased by 400 new posts, which were unfortunately not immediately funded, but to be phased over the MTEF period. As such, the large vacancy rate is misleading as it is a factor of new unfunded posts. The Human Resource Service Delivery Improvement Plan, with norms and standards, and turnaround times has been put in place to assist in the process of recruitment and filling of vacancies. The Delegations of Authority has been revised to support the plan for efficient expedition of this function. Documents have been submitted to the PSC.</i></p> <p><i>Note by the PSC: Cognisance is taken of the Department's effort towards filling vacancies within 12 weeks.</i></p>

9. CONSTITUTIONAL PRINCIPLE 9: REPRESENTIVITY

- **Public administration must be broadly representative of SA people**

Performance indicator	The Department is representative of the South African people and is implementing diversity management measures.
Underlying assumptions:	If Departments meet all their representivity targets and demonstrate sound approaches to diversity management, then they are likely to become representative in due course without compromising personnel management practices based on ability, objectivity and fairness.
Standards	<ol style="list-style-type: none"> 1. An employment equity policy and plan are in place and reported upon. 2. All representivity targets are met. 3. Diversity management measures are implemented.
Rating	2/5 (40%) = Poor performance against most of the standards
Results	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (2009/10)</p> <p>The Department's performance has moved from 60% (adequate performance) in 2001/02 to 40% (poor performance) in 2009/10.</p> <p>1. The existence of an employment equity policy and plan</p> <p>The Department has an Employment Equity Policy dated December 2004, which complies with 36% of the requirements set in section 1 of the EEA. The Department's EE plan complies with 80% of the requirements set in section 20 of the Employment Equity Act, 1998, (Act No 55 of 1998).</p> <p>2. The achievement of representivity targets</p> <p>At the end of the 2007/08 financial year the Department had 82% Blacks at senior management level, against the target of 75% set for 30 April 2005. Women at all senior management levels comprise 39%, which represents a shortfall of 11% against the target of 50% set for 31 March 2009. People with disabilities comprise 2.7%, which exceeds the target of 2%. The Department has thus achieved two of the three national targets.</p> <p>3. Regular management reporting on representivity</p> <p>Apart from reporting to the Department of Labour, no reports are submitted to management on the implementation of the employment equity plan.</p> <p>4. The implementation of diversity management measures</p> <p>The Department has implemented 64% of the checklist of standards for good diversity management measures (Table 9.5 at the end of the report on this</p>

	principle).
Recommendations	<p>1. The existence of an employment equity policy and plan</p> <p>The Department should, by the end of the 2009/10 financial year, ensure that both the Employment Equity Policy and Plan fully comply with the requirements of the Employment Equity Act, 1998, (Act No 55 of 1998).</p> <p>2. The achievement of representivity targets</p> <p>The Department should put measures in place to ensure that the national target of 50% set for women (all race groups) at senior management level is achieved.</p> <p>3. Management reporting on representivity</p> <p>The Department should, with immediate effect:</p> <ul style="list-style-type: none"> ➤ Include 6 monthly progress reports on employment equity as a requirement in its EE Policy. ➤ Ensure that management's response, with remedies and steps taken to deal with the realisation of employment equity targets, form part of the minutes of management meetings. <p>The implementation of these two recommendations will enable management to keep track of the progress with employment equity.</p> <p>4. The implementation of diversity management measures</p> <p>In order to improve upon the management of diversity, the Department should, within six months of receipt of this report:</p> <ul style="list-style-type: none"> ➤ amend its Employment Equity and Transformation Policy to set specific measurable objectives/ targets for managing diversity; ➤ develop strategies that address diversity management; and ➤ through quarterly performance reviews to the HoD, ensure that top management is committed to promote sound diversity management within the Department.
Comment from the Department on the results of the report	<p><i>The Department commented as follows:</i></p> <p><i>With regard to non-achievement of representivity targets, the Department has put measures in place to address this anomaly which are:</i></p> <ul style="list-style-type: none"> ➤ <i>The development and implementation of an EE Plan (2008-2011)</i> ➤ <i>Current vacancies at SMS level are targeted to achieve the National target of 50% women at SMS level as per the EE targets.</i> ➤ <i>In terms of the EE Report summaries for the years 2001/02 to 2008/09, the Department has made progress in terms of representativity.</i> <p><i>In relation to lack of indication of management reporting on representivity and implementation of diversity management measures, the Department has placed reporting on EE targets, and reporting on diversity management measures as standing items in Strategic Management meetings.</i></p> <p><i>The following aspects will be reported on:</i></p> <ul style="list-style-type: none"> ➤ <i>Specific measurable objectives/targets for managing diversity will be set as per the amended Employment Equity (EE) and Transformation Policy;</i> ➤ <i>During the current reporting year the EE Forum will develop strategies that address diversity management; and</i> ➤ <i>The promotion of diversity management within the Department will be enhanced to be aligned with the Departmental quarterly reviews.</i> <p><i><u>Note by the PSC:</u> Cognisance is taken of the Department's efforts to address employment equity challenges.</i></p>

MAIN REPORT

Principle 1: Professional Ethics

Background																																																													
1. Constitutional principle	A high standard of professional ethics must be promoted and maintained.																																																												
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4. Policy/guideline on managing cases of misconduct	<p>Overview:</p> <p>1. <i>The existence of policy/guideline document</i></p> <p>The Department has formally adopted the Public Service Co-ordinating Bargaining Council's (PSCBC) Resolution No. 2 of 1999, as amended by Resolution No.1 of 2003, which includes the prescribed "Disciplinary Code and</p>																																																												

Procedures for the Public Service". The Department also uses the Code of Conduct in handling cases of misconduct, and has developed guidelines on the management of abscondment.

2. *Supervision of cases of misconduct within the Department*

The handling of misconduct cases is done by line managers, especially in cases where corrective measures are required. The role of these managers is to decide when it is necessary to apply the procedure for handling misconduct cases, and what form of disciplinary action is appropriate in consultation with the labour relations office.

3. *Reporting level*

The Directorate Labour Relations (DLR) established and maintains appropriate reporting systems. The DRL quarterly reports to the Deputy Director-General on grievances, misconduct, training, collective bargaining and strikes.

4. *Preliminary investigation*

Managers conduct preliminary investigations to verify the allegations of misconduct, and to establish whether a disciplinary action is warranted.

5. *Appointment of investigating officers, employer representatives and hearing chairpersons*

The DLR makes a recommendation to the Director-General to appoint the employee's manager or any other manager to investigate the allegations of misconduct.

Survey on managers' working knowledge of policy:

Only four instead of five senior managers could be interviewed, because not all managers respond to the call for an interview to determine their general awareness of the application of the policy/guideline on handling cases of misconduct. Based on the response of the four managers interviewed, it was deduced that they have a fair understanding of the policy/guideline, from counselling to dealing with serious cases of misconduct. **Table 1.1** below provides an overview of the managers' responses during the interviews:

Table 1.1: Survey of directors' working knowledge of misconduct procedures

Manager	Overview of response	Has a working knowledge of the procedures YES/NO
Manager 1	The director displayed knowledge of documents and procedures to deal with cases of misconduct.	YES
Manager 2	The director displayed knowledge of documents and procedures to deal with cases of misconduct.	YES
Manager 3	The director displayed knowledge of documents and procedures to deal with cases of misconduct.	YES
Manager 4	The director displayed knowledge of documents and procedures to deal with cases of misconduct.	YES

Rating:

1. *The existence of policy/guideline document*

The Department has adopted the Public Service Co-ordinating Bargaining Council's (PSCBC) Resolution No. 2 of 1999, as amended by Resolution No.1 of 2003, which includes the prescribed "Disciplinary Code and Procedures for the Public Service", and the Guide on Disciplinary and Incapacity Matters as internal policies for the handling of misconduct cases. The Department complies with this standard of the PSC's Transversal M&E System for a full score of 0,50.

2. *Survey on managers' working knowledge of policy*

All managers interviewed had a working knowledge of the system on the management of cases of misconduct and its requirements. These officials should, therefore, be able to deal with cases of misconduct should they occur.

	<p>The Department complies with this standard of the PSC's Transversal M&E System for a full score of 0,50.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the 2001/02 assessment the following areas were highlighted as needing attention:</p> <ul style="list-style-type: none"> ➤ The record keeping function in respect of misconduct cases was in need of improvement to enable the Department to verify and confirm such data. ➤ Standardized misconduct procedures should be included in a formal policy. ➤ The adoption of the policy through the usual channels ➤ The development of manuals explaining and describing the Department's approach to managing and preventing corruption. <p>All four recommendations were implemented.</p>
<p>5. Time taken to resolve the most recent cases of misconduct</p>	<p>Overview:</p> <p>Cases where a disciplinary hearing was conducted</p> <p>1. <i>Average length of time taken to process cases</i></p> <p>Six cases of misconduct were submitted for assessment– refer to Table 1.2 at the end of the report on this principle. It takes the Department on average 36 working days to process and finalise a case of misconduct. The longest time taken to finalise a case was 63 working days and the shortest was 14 working days. A verdict of guilty was obtained in five cases. Given the prescribed steps that should be followed in accordance with the Disciplinary Code and Procedures, as well as the degree of complexity in the nature of certain cases, the average length of 36 working days, which the Department spends to process a case of misconduct, is acceptable.</p> <p>2. <i>Number of cases preceding year (2007/2008)</i></p> <p>According to the Department's Annual Report (AR) for 2007/08, five cases of misconduct were addressed by disciplinary hearings. The type of misconduct included theft, fraud and insubordination.</p> <p><i>Pending cases</i></p> <p>As of 8 June 2009, no case was pending.</p> <p>3. <i>Most common offence(s)</i></p> <p>The most common offence amongst the six most recent cases of misconduct assessed was theft (four or 67%). The other two cases were for dishonesty and gross misconduct (see Table 1.2 below).</p> <p>Appeals</p> <p>1. <i>Number of cases that went on appeal</i></p> <p>Four of the six most recent cases of misconduct went on appeal. All four cases were in respect of theft.</p> <p>2. <i>Average length of time taken to process appeal cases</i></p> <p>It takes the Department on average 15 working days (0.75 months) to finalise an appeal case. All cases that went on appeal were finalised within 15 working days, and thus falls within the 30-day period prescribed by the PSCBC's Resolution No. 2 of 1999, as amended.</p> <p>3. <i>Cases' finding overturned on appeal</i></p> <p>None of the cases' finding was overturned on appeal.</p> <p>Additional Questions: Housing</p> <p>None of the cases since the last evaluation were related to any part of the housing scheme. The Department has implemented the following measures to</p>

	<p>curb corruption and maladministration:</p> <ul style="list-style-type: none"> ➤ The establishment of the Special Investigative Unit to deal with fraud, corruption and maladministration; and ➤ The establishment of a toll-free whistle blowing hotline. <p>The Department will also strengthen the legislative framework relating to corruption.</p> <p>Rating:</p> <p>The Department takes on average 36 working days to finalise a case of misconduct. All six cases (100%) submitted for assessment were dealt with within the period of 20 – 80 working days prescribed by PSCBC's Resolution No. 2 of 1999, as amended. This performance falls within the 80% – 100% range of compliance of the PSC's Transversal M&E System for a full score of 1,00.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The Department's performance in dealing with cases of misconduct could not be ascertained for the 2001/02 period as the Department reported that no cases of misconduct occurred during the 2001/02 financial year. No cases were pending before 2001.</p>
<p>6. Management reporting on cases of misconduct</p>	<p>Overview:</p> <p>1. <i>Availability of management reports on cases of misconduct</i></p> <p>The DLR submits quarterly reports to the Deputy Director-General Corporate Services (DDG: CS) as an update on grievances, misconduct, training, collective bargaining and strikes. The part of the report that deals with cases of misconduct does not indicate the name of the offender and post details, but it does indicate the nature of offence and gives progress to date about the case.</p> <p>1. <i>Management's response/action on these reports</i></p> <p>Although these reports also serve to improve the management system in the Department, no evidence of management response/actions emanating from the reports could be obtained.</p> <p>Rating:</p> <p><i>Availability of management reports on cases of misconduct</i></p> <p>Quarterly reports are submitted to management on the status of cases of misconduct. However, these reports do not reflect the name of the offender and post details, but only indicates the nature of offence and the progress in finalising the case. A full score of 0, 50 is awarded.</p> <p><i>Evidence of management's response/actions on these reports</i></p> <p>There is no evidence of management response/actions emanating from the reports. A score of 0,00 out of 0,50 is awarded.</p> <p>Area for improvement:</p> <p>The Department should, with immediate effect, ensure that a response from management on how to deal with challenges experienced in the handling of misconduct cases is included in the minutes of the management meeting or noted on the quarterly reports.</p>
<p>7. Capacity of the Department to handle cases of</p>	<p>Overview:</p> <p>Table 1.3 below indicates the Department's assessment of the number and competency level of managers to deal with misconduct:</p>

misconduct	Table 1.3: Competency level of managers to deal with cases of misconduct				
			Number of Officials		
			Competence		
	Number of Officials on the Establishment	Still gaining experience – Less than 1 year experience	Adequate – More than 1 year but less than 3years experience	Highly competent – Three years and more experience	Percentage of Highly Competent Officials for Salary Band
	Assistant Director	1	1		
	Deputy Director	1	1		
	Director	1		1	100%
	TOTAL	3	2	1	33%
	<p>According to the Department cases of misconduct are handled by the DLR. This directorate comprises of one director, one deputy director and one assistant director. The director is regarded as highly competent, and the other two staff members' competence is adequate. The Department did not submit information on the competency level to deal with cases of misconduct of the other managers on the establishment.</p> <p>Rating:</p> <p>According to the Department, the competency level to deal with cases of misconduct of the two supervisors and one manager on the establishment of the Directorate Labour Relations are respectively adequate and highly competent. This competency level falls within the compliance rate of 20% to 39% set by the PSC's Transversal M&E System for a score of 0,25 out of 1,00.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 the Director Human Resources (D: HR) was the only person responsible for handling cases of misconduct. This responsibility was additional to the officials' normal human resource management functions. The Department was advised to have dedicated staff to develop all policies and procedures aimed at combating corruption, because of the establishment of 200 posts, and the responsibility of disbursing over R3 billion per year to several provincial departments and institutions.</p> <p>During the re-assessment it was found that the D: HR is still responsible for handling cases of misconduct but there are now two additional staff members assisting the D: HR in this regard. According to the AR for 2007/08 the Department's approved establishment at the end of March 2008 was 317.</p>				
8. Training on the management of cases of misconduct	<p>Overview:</p> <p>1. <i>Existence of training material</i></p> <p>The department provided the following training materials: Disciplinary Skills – Representing a Party and Chairing Enquiries and Workshop on Investigations and Report Writing Methodologies.</p> <p>2. <i>Content of training material</i></p> <p>Training material of the workshop on investigations does cover the system used for managing cases of misconduct used by the Department (page 29)</p> <p>The workshop material covered the following issues: types of investigations, legal framework, investigation procedures for grievances, misconduct, investigation powers, and ethics and law of evidence. The Disciplinary Skills training material covers issues such as the purpose of discipline, fair procedure, the law of evidence and preparation of a disciplinary enquiry.</p> <p>3. <i>Frequency of training</i></p> <p>It could not be picked up from the training material how frequently is the training provided and to whom.</p>				

	<p>4. Prominence of Code of Conduct</p> <p>The training covers to a large extent the Disciplinary Code and Procedures for the Public Service and Code of Conduct.</p> <p>Rating:</p> <p>Training and capacity building provided by the Department does cover the handling of cases of misconduct from allegation to hearing. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>This standard did not form part of the assessment conducted in 2001/02 evaluation period.</p>																												
Rating																													
9. Score	<table border="1"> <thead> <tr> <th data-bbox="448 703 1305 734">DESCRIPTION</th> <th data-bbox="1305 703 1410 734">POINTS</th> </tr> </thead> <tbody> <tr> <td data-bbox="448 734 1305 766">Policy/guideline on managing cases of misconduct</td> <td data-bbox="1305 734 1410 766"></td> </tr> <tr> <td data-bbox="448 766 1305 831">1. A policy document is in place that sets out the procedure and time frames to be followed when handling cases of misconduct.</td> <td data-bbox="1305 766 1410 831">0,50</td> </tr> <tr> <td data-bbox="448 831 1305 862">2. All five senior managers surveyed have a working knowledge of the system</td> <td data-bbox="1305 831 1410 862">0,50</td> </tr> <tr> <td data-bbox="448 862 1305 893">Time taken to resolve cases</td> <td data-bbox="1305 862 1410 893"></td> </tr> <tr> <td data-bbox="448 893 1305 958">80% to 100% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the period of 20 – 80 working days.</td> <td data-bbox="1305 893 1410 958">1,00</td> </tr> <tr> <td data-bbox="448 958 1305 990">Management reporting on cases of misconduct</td> <td data-bbox="1305 958 1410 990"></td> </tr> <tr> <td data-bbox="448 990 1305 1021">1. Cases of misconduct are reported upon in management reports.</td> <td data-bbox="1305 990 1410 1021">0,50</td> </tr> <tr> <td data-bbox="448 1021 1305 1052">2. Evidence on management's response/actions on these reports is available.</td> <td data-bbox="1305 1021 1410 1052">0,00</td> </tr> <tr> <td data-bbox="448 1052 1305 1084">Capacity to handle misconduct cases</td> <td data-bbox="1305 1052 1410 1084"></td> </tr> <tr> <td data-bbox="448 1084 1305 1137">20% to 39% of the managers are highly competent to deal with cases of misconduct.</td> <td data-bbox="1305 1084 1410 1137">0,25</td> </tr> <tr> <td data-bbox="448 1137 1305 1169">Training on the management of cases of misconduct</td> <td data-bbox="1305 1137 1410 1169"></td> </tr> <tr> <td data-bbox="448 1169 1305 1234">The managing of cases of misconduct is reflected in training materials and is covered in capacity building processes.</td> <td data-bbox="1305 1169 1410 1234">1,00</td> </tr> <tr> <td data-bbox="448 1234 1305 1265" style="text-align: right;">Total score</td> <td data-bbox="1305 1234 1410 1265">3,75</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	Policy/guideline on managing cases of misconduct		1. A policy document is in place that sets out the procedure and time frames to be followed when handling cases of misconduct.	0,50	2. All five senior managers surveyed have a working knowledge of the system	0,50	Time taken to resolve cases		80% to 100% of the most recent cases of misconduct in which a disciplinary hearing was conducted were finalised within the period of 20 – 80 working days.	1,00	Management reporting on cases of misconduct		1. Cases of misconduct are reported upon in management reports.	0,50	2. Evidence on management's response/actions on these reports is available.	0,00	Capacity to handle misconduct cases		20% to 39% of the managers are highly competent to deal with cases of misconduct.	0,25	Training on the management of cases of misconduct		The managing of cases of misconduct is reflected in training materials and is covered in capacity building processes.	1,00	Total score	3,75
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10. References	<p>Sources consulted in the preparation of this report:</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. CBA Training. <i>Workshop on Investigations and Report Writing Methodologies: Delegates' Manual</i>. September 2008. 2. Lexis Nexis Butterworths Labour Relations Training Library. <i>Disciplinary Skills: Representing a Party and Cjairing Enquiries</i>. February 2008. 3. Republic of South Africa. Department of Housing. <i>Guidelines on Management of abscondment</i>. Pretoria. 2008. 4. Republic of South Africa. Department of Housing. Directorate Labour Relations. <i>Quarterly report for the period 1 October 2008 to 31 December 2008</i>. Pretoria. 2008. 5. Republic of South Africa. Department of Human Settlements. <i>The National Housing Code: The Policy Context. Part 2 Volume 1</i>. Pretoria. 2009. <p>Interviews:</p> <ol style="list-style-type: none"> 1. Ms. Baliso, N. S. Director. Department of Human Settlements. Directorate Policy Development and Assistance. Pretoria. 01 June 2009. 2. Mr. Deacon, H. Director. Department of Human Settlements. Directorate 																												

	<p>Human Resources. Pretoria. 01 June 2009.</p> <p>3. Mr. Moerane, D. M. Acting Chief Director. Department of Human Settlements. Chief-directorate Strategic Management. Pretoria. 03 June 2009.</p> <p>4. Ms. Mokalapa, P. Director. Department of Human Settlements. Directorate Transformation. Pretoria. 18 June 2009.</p>
<p>11. Useful sources to consult on this principle</p>	<p>1. Republic of South Africa. Department of Public Service and Administration. Public Service Coordinating Bargaining Council. Resolution 2 of 1999 as amended. <i>Disciplinary Code and Procedures for the Public Service</i>. 28 February 2003.</p> <p>2. Republic of South Africa. National Anti-Corruption Forum. <i>Guide to the Prevention and Combating of Corrupt Activities</i>. 2007.</p> <p>3. Republic of South Africa. <i>Prevention and Combating of Corrupt Activities Act. Act No. 12 of 2004</i>.</p> <p>4. Republic of South Africa. Public Service Commission. Explanatory Manual on the Code of Conduct for the Public Service. <i>A Practical Guide to Ethical Dilemmas in the Work Place</i>. Pretoria 2002.</p> <p>5. Republic of South Africa. Department of Public Service and Administration. <i>Public Service Regulations. Chapter 2, Ethics and Conduct. Part 2, Sections 16 to 23, Financial Disclosure</i>. 2008.</p> <p>6. Republic of South Africa. Public Service Commission. <i>Guideline on Management of Suspensions</i>. November 2002.</p> <p>7. Republic of South Africa. Public Service Commission. <i>Guidelines to follow when considering the merits of an appeal in a case of misconduct</i>. 2001.</p> <p>8. Republic of South Africa. Public Service Commission. <i>Overview on Financial Misconduct for the 2006/07 Financial Year</i>. January 2008.</p>

Table 1.2: Overview of recent cases of misconduct where a disciplinary hearing has been conducted

Post Designation	Nature of offence (Annexure A of Disciplinary Code)	Number of Working Days Spent on Misconduct Cases where a Disciplinary Hearing was Conducted			Outcome of case (Guilty/ Not guilty)	Did it go on Appeal (Yes/ No)	Number of Working Days Spent on Appeal Cases			Decision Varied on Appeal (Yes/No)	Dispute Declared – Referred to Sectoral Council (Yes/No)	Decision Varied in Sectoral Council (Yes/No)	Comments
		Date of Notice of Discipli- nary Enquiry	Date of Final Conclusion of Discipli- nary hearing	Total Number of Working Days Spent on Case			Date Case Went on Appeal	Date Fina- lised	Total Number of Working Days Spent on Appeal Case				
1. Senior Administrative Officer	Theft	02/02/09	20/03/09	35	Guilty	Yes	29/04/09	21/05/09	15	No	No	No	
2. Librarian	Theft	02/02/09	20/03/09	35	Guilty	Yes	29/04/09	21/05/09	15	No	No	No	
3. Messenger	Theft	02/02/09	20/03/09	35	Guilty	Yes	29/04/09	21/05/09	15	No	No	No	
4. Assistant Director	Theft	02/02/09	20/03/09	35	Guilty	Yes	29/04/09	21/05/09	15	No	No	No	
5. Deputy Director	Dishonesty	17/11/08	05/12/08	14	Guilty	No					No		
6. Director	Gross Misconduct	27/11/08	28/02/09	63	Guilty	No					Yes		
TOTAL WORKING DAYS SPENT				217	TOTAL WORKING DAYS SPENT				60				
AVERAGE WORKING DAYS				36	AVERAGE WORKING DAYS				15				
AVERAGE WORKING WEEKS				7	AVERAGE WORKING WEEKS				3				
AVERAGE WORKING MONTHS				1.75	AVERAGE WORKING MONTHS				0.75				

Principle 2: Efficiency, Economy and Effectiveness

Background

1. Constitutional principle	Efficient, economic and effective use of resources must be promoted	
2. Performance indicator	<ol style="list-style-type: none"> 1. Expenditure is in accordance with the budget. 2. Programme outputs are clearly defined and there is credible evidence that they have been achieved. 	
3. Standards and scores	DESCRIPTION	POINTS
	Expenditure	
	1. Expenditure stated in the AR is as budget for in the estimates of expenditure.	0,50
	2. Material variances are explained.	0,50
	Performance Indicators	
	1. More than half of each programme's PIs are measurable in terms of quantity, quality and time dimensions.	0,50
2. Outputs, PIs and targets are clearly linked with each other as they appear in the SP, estimates of expenditure and the DAR for the year under review.	0,50	
Achievement of priority outputs		
➤ 80% and more of the priority outputs have been met.	3,00	
OR		
➤ 60% - 79% of the priority outputs have been met.	2,00	
OR		
➤ 40% - 59% of the priority outputs have been met.	1,00	
OR		
➤ Less than 40% of the priority outputs have been met.	0,50	
Maximum possible score		5,00

Assessment

4. Planned Expenditure vs. Actual Expenditure	<p>Overview</p> <p><i>Expenditure stated in the AR is as budgeted for in the estimates of expenditure</i></p> <p>During the 2007/08 financial year an amount of R8 982 358 billion was allocated to the Department after adjusted appropriation. Expenditure for the said period was R8 586 910 billion, resulting in an under-expenditure of 4.4% of the amount voted, which is outside the generally accepted margin of 2% – for detail refer to Table 2.1 at the end of the report on this principle. The expenditure for each programme and sub-programmes were stated in the Department's Annual Report (AR) for the year ending on 31 March 2008.</p> <p><i>Material variations between expenditure and amount voted per programme</i></p> <p>Material variations between departmental expenditure and the amount voted are found in all the programmes listed in the Table below:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th style="text-align: center;">Programme</th> <th style="text-align: center;">% Variation</th> </tr> </thead> <tbody> <tr> <td>1. Administration</td> <td style="text-align: center;">6.8%</td> </tr> <tr> <td>2. Policy Planning and Research</td> <td style="text-align: center;">6.7%</td> </tr> <tr> <td>3. Housing Implementation Support</td> <td style="text-align: center;">2.4%</td> </tr> <tr> <td>4. Housing Development Funding</td> <td style="text-align: center;">4.4%</td> </tr> <tr> <td style="text-align: right;">Total</td> <td style="text-align: center;">4.4%</td> </tr> </tbody> </table> <p>The Department got an unqualified audit opinion from the Auditor-General (A-G). All the Department's programmes showed under-expenditure. The percentage variation for the programmes varies between 2.4% under-spending for Programme 3: Housing Implementation Support and 6.8% under-spending for Programme 1: Administration.</p> <p>According to the A-G's Report the main reasons for the above under-</p>	Programme	% Variation	1. Administration	6.8%	2. Policy Planning and Research	6.7%	3. Housing Implementation Support	2.4%	4. Housing Development Funding	4.4%	Total	4.4%
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	<p>expenditure per programme are the following:</p> <p><i>Programme 1: Administration (6.8% variation)</i></p> <p>The under-spending of 6.8% can mainly be attributed to furniture and audiovisual equipment purchased for the Department's office in Cape Town, which were only delivered after March 2008. Payment could therefore not be effected before year-end. In addition, there was under-spending of funds earmarked for the purchase of a back-up generator for the Department's head office in Pretoria, but the supplier ran out of stock, and since additional stock had to be imported, it could not be delivered on time.</p> <p><i>Programme 2: Policy Planning and Research (6.7% variation)</i></p> <p>The under-spending of 6.7% can be attributed to the moratorium on the filling of vacant posts earlier in the financial year. This resulted in funded vacant posts only being filled late in the financial year. During the first assessment in 2001/02 the under expenditure under this programme was 28.08%.</p> <p><i>Programme 3: Housing Implementation Support (2.4% variation)</i></p> <p>The under-spending of 2.4% can be attributed to the following: A payment of R7,5 million to Hlaniki/Wits Business School for the implementation of the councillor training programme was rejected by Safety Net on 28 March 2008. Because of the limitations set on BAS, payments above R5 million are automatically changed to Credit Transfer (CT) payments, and as a result the Department could process only R4,9 million of the full amount of R7,5m, leaving a balance of R2,5m to be paid in April 2008.</p> <p>The remaining amount can be attributed to the moratorium on the filling of posts earlier in the financial year, which resulted in under-spending on personnel and personnel-related costs.</p> <p><i>Programme 4: Housing Development Funding (4.4% variation)</i></p> <p>Activities in this programme involve mainly conditional grants and transfer payments to the Department's public entities. Funds allocated to the Social Housing Regulatory Authority (SHRA) were not spent, because the Social Housing Bill has not been enacted, which prevented the establishment of the SHRA.</p> <p>The under-spending explained under specific budget items is as follows:</p> <p><i>1. Compensation to employees</i></p> <p>Under-spending on this item amounts to R555 million, and is mainly due to vacant positions some of which were filled during the 2009/10 financial year. The analysis of a sample of 20 recently filled positions indicates that the Department takes on average 6.7 months to fill a vacant post. This is a recurring problem, which was also recorded in the Department's first assessment in 2002/03 when the under-spending on funded vacant posts was 11,5%.</p> <p><i>2. Goods and services</i></p> <p>The combined under-spending on this item amounts to R16, 307 million. The percentage under-spending per programme was:</p> <p>Programme 1: Administration (38%). Programme 2: Policy Planning and Research (20%). Programme 3: Housing Implementation Support (14%). Programme 4: Housing Development Funding (28%).</p> <p>This combined under-spending is mainly due to the staff related expenditure, and outstanding portions relating to completion of projects.</p> <p>The implementation of some of projects was spread over the 2007/08 and 2008/09 financial years with some completion dates beyond 31 March 2008. As a result, payments for these projects were only effected in the 2008/09 financial</p>
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	<p>year.</p> <p>3. Provinces and municipalities</p> <p>Under-spending on this item amounts to R193, 077 million. This was because transfer payments of R500 million and R100 million to the Eastern Cape and Free State respectively, were stopped in terms of Section 26 of the Division of Revenue Act. Section 26 of the Act states that an allocation may only be utilised for the purpose stipulated in the schedule concerned. These amounts were subsequently re-allocated in terms of section 27 as follows: R350 million to Gauteng and R100 million to Northern Cape. R150m was not re-allocated during 2007/08. Section 27 states that a transferring national officer may withhold the transfers of an allocation or portion if the province or municipality does not comply with the provisions of the Act.</p> <p>4. Departmental Agencies</p> <p>Under-spending on this item amounts to R180, 001 million. This is because the Social Housing Regulatory Authority (SHRA) was not yet established at year end since the Social Housing Bill was only enacted at that stage. A request was forwarded to National Treasury for approval of a virement of this amount to the Social Housing Foundation, since that institution is responsible for the social housing interim programme. However, the request was not approved.</p> <p>5. Machinery and equipment</p> <p>The combined under-spending on this item was R5, 504 million and is partly due to delays in the process of filling vacant positions. The contributing programmes were Administration (38%), Policy Planning and Research (26), Housing Implementation Support (18%), and Housing Sector Performance and Equity (18%).</p> <p>Rating:</p> <p>The Department received an unqualified audit opinion. Under-expenditure constitutes 4.4% of the amount voted during the 2007/08 financial year, which falls outside the generally accepted margin of 2% set by National Treasury. Of concern, though, is that the Department's under-expenditure has gradually increased from 1,68% recorded in the 2001/02 financial year to 2.3% in the 2006/07 financial year, reaching an all time high of 4.4% in the 2007/08 financial year. All variances above 2% were explained. A score of 0,50 out of 1,00 is awarded.</p> <p>Areas for improvement:</p> <p>The Department, with immediate effect, should:</p> <ul style="list-style-type: none"> ➤ Put in place rigorous monitoring and evaluation (M&E) measures in all departmental programmes and sub-programmes to ensure that the budget is spent as budgeted for. ➤ Implement these M&E measures to detect risks in time and introduce relevant corrective measures. ➤ Manage service providers and consultants at project execution levels. ➤ Address capacity constraints in the line function programmes. ➤ Ensure that responsibility managers keep track of their expenditure. ➤ Ensure that responsibility managers are held accountable for not taking corrective measures in good time. <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the 2001/02 financial year, the overall percentage variation between budgeted and actual expenditure was 1.7%. The 2007/08 spending trend showed an increase in under-expenditure to 4.4%, which is below the generally accepted margin of 2% set by National Treasury.</p>
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	<p>The PSC Report recommended at that time that the Department needs to:</p> <ul style="list-style-type: none"> ➤ Increase its monitoring capacity over “Provinces and Facilitative Agencies” that directly disburse its funds. ➤ Better its financial and expenditure monitoring, with an early warning system to detect risks in time in order to introduce relevant corrective measures. ➤ Explore possibilities of increasing its capacity to manage service providers and consultants at project execution levels. <p>It is clear that the recommendations made during the first assessment have not been implemented because the problem still exists. Under-expenditure went up to 4.4% compared to 1.7% in 2001/02 financial year.</p>																								
<p>5. Quality of the department's PIs</p>	<p>Overview:</p> <p><i>Measurability of outputs and indicators</i></p> <p>The Department's outputs, targets and PIs as they appear in the SP for 2007/10, the National Estimates of Expenditure (ENE) for 2007/08 and the AR for 2007/08 were analysed to determine whether they are measurable in terms of quality, quantity and time dimensions. The measurability of the PIs per programme is summarised in the Table below (for more detail refer to Table 2.2 at the end of the report on this principle):</p> <table border="1" data-bbox="480 837 1353 1115"> <thead> <tr> <th>Programme</th> <th>Number of PIs</th> <th>Number PIs measurable in terms of quantity and time dimensions</th> <th>% PIs measurable in terms of quantity and time dimensions</th> </tr> </thead> <tbody> <tr> <td>1. Administration</td> <td>156</td> <td>151</td> <td>97%</td> </tr> <tr> <td>2. Policy Planning and Research</td> <td>28</td> <td>27</td> <td>96%</td> </tr> <tr> <td>3. Housing Implementation Support</td> <td>31</td> <td>31</td> <td>100%</td> </tr> <tr> <td>4. Housing Development Funding</td> <td>46</td> <td>45</td> <td>98%</td> </tr> <tr> <td style="text-align: right;">Total</td> <td>261</td> <td>254</td> <td>97%</td> </tr> </tbody> </table> <p>Of the 261 PIs 254 (or 97%) were found to be measurable in terms of either quantity or time dimensions. Examples of PIs that were not measurable were found under sub-programme 1.6: Administrative and Logistical Support to the office of the DG. During the first assessment of the 2001/02 financial year the Department's PIs were found to be measurable and understandable.</p> <p><i>Clear linkage of outputs and indicators</i></p> <p>The outputs, PIs and targets as they appear in the SP, ENE and AR are clearly linked with each other, but some of the outputs and PIs are repeated in different programmes in the AR. For example, the outputs stated in the AR for Programme 2: Policy Planning and Research and Sub-programme 2.4 Human Settlement Planning, were repeated in Programme 3: Delivery Support and Sub-programme 3.1: Capacity Development. In sub programme 1.16: Media Services on page 69 of the AR, there are outputs that do not have service delivery indicators.</p> <p>Rating:</p> <p>It was found that more than 50% of each programme's PIs for the 2007/08 financial year 8/09 were measurable in terms of either quantity or time dimensions. There is a clear linkage of outputs, PIs and targets between the Department's annual strategic plan, the AR and the National Estimates of Expenditure for the 2007/08 financial year. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>In the PSC's first assessment it was found that the PIs were measurable, understandable and were measuring the final outputs to the Department's clients, and were about the Department's own contribution towards outcomes.</p>	Programme	Number of PIs	Number PIs measurable in terms of quantity and time dimensions	% PIs measurable in terms of quantity and time dimensions	1. Administration	156	151	97%	2. Policy Planning and Research	28	27	96%	3. Housing Implementation Support	31	31	100%	4. Housing Development Funding	46	45	98%	Total	261	254	97%
Programme	Number of PIs	Number PIs measurable in terms of quantity and time dimensions	% PIs measurable in terms of quantity and time dimensions																						
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2. Policy Planning and Research	28	27	96%																						
3. Housing Implementation Support	31	31	100%																						
4. Housing Development Funding	46	45	98%																						
Total	261	254	97%																						

	The Department, however, failed to provide reasons where a deviation from the set standards occurred. The Department's performance against this standard was maintained.																								
6. Achievement of priority outputs	<p>Overview:</p> <p>To determine whether the Department has succeeded in achieving its priority outputs, each programme's outputs were compared with the achievements as they were reported on in the AR for the period 2007/08. Partially achieved outputs were regarded as not achieved, ongoing outputs were regarded as achieved and those outputs, which changed during the course of the year, were not taken into account.</p> <p>According to the Department, the following percentage of priority outputs per programme was achieved (For more detail refer to Table 2.2 at the end of this report on this principle):</p> <table border="1" data-bbox="448 651 1407 857"> <thead> <tr> <th><i>Programme</i></th> <th><i>Number of priority outputs set to do</i></th> <th><i>Number of outputs achieved</i></th> <th><i>% of outputs achieved</i></th> </tr> </thead> <tbody> <tr> <td>1. Administration</td> <td>156</td> <td>128</td> <td>82%</td> </tr> <tr> <td>2. Policy Planning and Research</td> <td>28</td> <td>17</td> <td>61%</td> </tr> <tr> <td>3. Housing Implementation Support</td> <td>31</td> <td>19</td> <td>61%</td> </tr> <tr> <td>4. Housing Development Finance</td> <td>46</td> <td>35</td> <td>76%</td> </tr> <tr> <td>Total</td> <td>261</td> <td>199</td> <td>76%</td> </tr> </tbody> </table> <p>Overall, the Department has achieved 199 out of the 261 planned outputs for the 2007/08 financial year. This represents a success rate of 76%. Out of the four programmes, two achieved 61%, one achieved 76% and one achieved 82% of the planned outputs. The success rate in achieving the planned outputs was mainly influenced by staff vacancies, which was 24% at 01 June 2009. In 8 (or 5%) of the 261 planned outputs, no reasons were given for not meeting the output target.</p> <p>The extent to which the Department has achieved its planned priority outputs under the individual programmes for the 2007/08 financial year, is discussed hereafter:</p> <p><i>Programme 1: Administration</i></p> <p>The Administration programme has achieved 128 out of the 156 planned outputs for the 2007/08 financial year. This represents a success rate of 82%. The AR states that the Department's restructuring process has increased the number of positions in this programme. Capacity constraints are prevalent due to the fact that some of the positions in critical areas could not be filled. As a result some activities could not be fully implemented.</p> <p><i>Programme 2: Policy Planning and Research</i></p> <p>The Policy Planning and Research programme has achieved 17 out of the 28 planned outputs for the 2007/08 financial year. This represents a success rate of 61%. While the Department considers the aspect of human settlement planning a critical one, little had been done to establish a unit whose core business will be to coordinate housing planning functions.</p> <p>A crude evaluation of the readiness of the chief directorate to undertake this function revealed that staff within the chief directorate may not be ready to render adequate support to provinces and municipalities, hence the low achievement of priority outputs.</p> <p><i>Programme 3: Housing Implementation Support</i></p> <p>The Housing Implementation Support programme has achieved 19 out of the 31 planned outputs for the 2007/08 financial year. This represents a success rate of 61%. According to the AR for 2007/08, certain outputs could not be fully achieved owing to a lack of capacity to perform all functions as a result of the restructuring process engaged in during the 2007/08 financial year.</p>	<i>Programme</i>	<i>Number of priority outputs set to do</i>	<i>Number of outputs achieved</i>	<i>% of outputs achieved</i>	1. Administration	156	128	82%	2. Policy Planning and Research	28	17	61%	3. Housing Implementation Support	31	19	61%	4. Housing Development Finance	46	35	76%	Total	261	199	76%
<i>Programme</i>	<i>Number of priority outputs set to do</i>	<i>Number of outputs achieved</i>	<i>% of outputs achieved</i>																						
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	<p><i>Programme 4: Housing Development Finance</i></p> <p>The Housing Development Funding programme has achieved 35 out of the 46 planned outputs for the 2007/08 financial year. This represents a success rate of 76%. The underperformance is attributed to inadequate resources preventing the programme from filling all its vacant posts.</p> <p>Additional Questions: Housing Projects</p> <p>From the inception of the Housing Programmes in 1994 more than 2.2 million houses were delivered nationally. Housing development and delivery is still challenged by the following:</p> <ul style="list-style-type: none"> ➤ The lack of affordable, well-located land for low cost housing has resulted in housing programmes largely extending existing areas that had been developed for low-income housing in the past, often located at the urban margins and with weak prospects of integration. ➤ The slow and complex process of identification, acquisition and release of land in terms of a revised procurement framework. ➤ The number of subsidies required is expected to increase, resulting in an additional burden on the national fiscus. ➤ National policy and provincial funding allocations have not always been able to effectively respond to the changing nature of demand caused by rapid urbanisation. ➤ Differences in the interpretation and application of the policies, for example, the difference of opinion on issues such as beneficiary contributions hamper housing delivery. ➤ The lack of institutional and sector capacity to deliver housing. Capacity constraints in the implementation of programmes, the use of new planning principles, acquiring affordable land which exist in all spheres of government, but are especially prevalent in municipalities. ➤ The inability of beneficiaries of housing subsidies to afford municipal services and taxes, creating the view by municipalities that such housing projects are liabilities. ➤ The withdrawal of large construction groups from the low-cost market due to a variety of reasons. This widens the capacity gaps in the low-cost housing sector in respect of construction, project management, financial management and subsidy administration. <p>Rating:</p> <p>An analysis of the Department's outputs, PIs and targets as they appear in Table 2.2 at the end of the report on this principle, indicates that the Department was able to achieve 199 (or 76%) of its 261 planned outputs. This performance falls within the 60% to 79% compliance range of the PSC's Transversal M&E System for a score of 2,00 out of 3,00. For 8 (or 5%) of the 261 planned outputs, no reasons were given for not meeting the output target.</p> <p>Areas for improvement:</p> <p>The Department should with immediate effect ensure that:</p> <ul style="list-style-type: none"> ➤ Outputs that have been planned and budgeted for are implemented and closely monitored. Monitoring progress on outputs will ensure that the Department can timeously implement corrective actions to ensure that outputs are achieved as planned. ➤ Reasons for non-performance/over-performance per PI should be given. <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The Department maintained its performance compared to the 2001/2002 assessment.</p>
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Rating			
7. Score	DESCRIPTION		POINTS
	Expenditure		
	1. Expenditure stated in the AR is as budget for in the estimates of expenditure.		0,00
	2. Material variances are explained.		0,50
	Performance Indicators		
	1. More than half of each programme's PIs are measurable in terms of quantity, quality and time dimensions.		0,50
2. Outputs, PIs and targets are clearly linked with each other as they appear in the SP, estimates of expenditure and the DAR for the year under review.		0,50	
Achievement of priority outputs			
60% - 79% of the priority outputs have been met.			2,00
		Total score	3,50
Sources			
8. References	Sources consulted in the preparation of this report:		
	Documents:		
	1. Republic of South Africa. Department of Housing. <i>Annual Report 2007 - 2008</i> . Formset Printers. Cape Pty (Ltd). 2008.		
	2. Republic of South Africa. Department of Housing. <i>Department of Housing, Departmental Updated Strategic and Performance Plans 2007/10</i> . Pretoria. 2007.		
	3. Republic of South Africa. Department of Housing, Vote 26. <i>Estimates of National Expenditure 2007</i> . Pretoria. 2008.		
	4. Republic of South Africa. Department of Housing, Vote 27. <i>Estimates of National Expenditure 2007</i> . Pretoria. 2007.		
	5. Republic of South Africa. Department of Human Settlements. <i>The National Housing Code: The Policy Context. Part 2 Volume 1</i> . Pretoria. 2009.		
	Interviews:		
	1. Mr. Moerane. Acting Chief Director. National Department of Human Settlements. Chief-Directorate Strategic Planning. Pretoria. 3 June 2009.		
9. Useful sources to consult on this principle	1. Republic of South Africa. National Treasury. <i>Framework for Managing Programme Performance Information</i> . 2007.		
	2. Republic of South Africa. National Treasury. <i>Treasury Guidelines on preparing budget submissions for the year under review</i> . 2008.		
	3. Republic of South Africa. National Treasury. <i>Treasury Guide for the Preparation of Annual reports of departments for the financial year ended 31 March</i> . 2008.		
	4. Republic of South Africa. Public Service Commission. <i>Fifth Consolidated Monitoring and Evaluation Report</i> . 2008.		
	5. Republic of South Africa. Public Service Commission. <i>Report on Batho Pele Principle of Value for Money</i> . 2008.		
	6. Republic of South Africa. Statistics South Africa. <i>The South African Statistical Quality Assessment Framework (SASQAF)</i> . First edition. 2007.		

Table 2.1: Planned and actual expenditure

Programmes (From Estimates of Expenditure)	Revised Budget Allocation R'000	Actual Expend. R'000	Percentage Variance Revised Budget Allocation
Programme 1: Administration			
Sub-programme 1.1: Minister	5 078	4 853	4.4%
Sub-programme 1.2 Management	34 704	32 076	7.6%
Sub-programme 1.3: Corporate Services	74 604	69 150	7.3%
Sub-programme 1.4.:Property Management	8 033	7 971	0.8%
Total Programme 1	122 419	114 050	6.8%
Programme 2: Policy Planning and Research			
Sub-programme 2.1: Management	2 079	1 953	6.1%
Sub-programme 2.2: Policy Development	10 665	9 695	9.1%
Sub-programme 2.3: Research, Industry, Market Analysis and Best Practise	6 223	5 581	10.3%
Sub-programme 2.4: Policy and Programme Monitoring	7 335	6 822	7.0%
Sub-programme 2.5: Information Management	50 677	48 087	5.1%
Sub-programme 2.6: Contributions	1 000	606	39.4%
Total Programme 2	77 979	72 744	6.7%
Programme 3: Housing Implementation Support			
Sub-programme 3.1: Management	2 087	2 010	3.7%
Sub-programme 3.2: Service Delivery Support	2 554	2 459	3.7%
Sub-programme 3.3: Rental and Peoples Housing Process	3 479	3 346	3.8%
Sub-programme 3.4: Sector Support Liaison and Stakeholder Management	2 217	2 122	4.3%
Sub-programme 3.5: Inter-governmental Relations and Accreditation	54 646	54 395	0.5%
Sub-programme 3.6: Building Capacity	12 824	10 821	15.6%
Sub-programme 3.7: Special Programme Support	4 312	4 312	0.0%
Sub-programme 3.8: Phasing out of Subsidy Programmes	0	0	0%
Sub-programme 3.9: Communication	61 807	60 946	1.4%
Total Programme 3	143 926	140 411	2.4%
Programme 4: Housing Development Finance			
Sub-programme 4.1: Management	2 513	2 390	4.9%
Sub-programme 4.2: Financial and Grant Management	21 341	19 489	8.7%
Sub-programme 4.3: Housing Institutions, Housing Equity and Development Finance	14 068	10 154	27.8%
Sub-programme 4.4: Integrated Housing and Human Settlement Development Grant	8 342 946	8 149 869	2.3%
Sub-programme 4.5: Contribution	257 166	77 165	70.0%
Total Programme 4	8 638 034	8 259 067	4.4%
Total Department	8 982 358	8 586 272	4.4%

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
PROGRAMME 1: ADMINISTRATION						
Programme objective: To provide strategic leadership and administrative management support services to the Department, as well as to manage intergovernmental and international relations and communication.						
Sub-Programme 1.1: Legal Services	Develop a Housing Amendment Act.	1. An approved Housing Amendment Act aligned to the Housing Act, 1997 to DORA & the PFMA.	Debate Bill in Parliament.	Yes	Although Bill had been completed by fourth quarter it required further amendment since accreditation had to be removed from Act. The Bill was therefore not debated in Parliament.	No
	Develop a Prevention of Illegal Eviction from and Unlawful Occupation Of Land (PIE) Amendment Act.	2. Approved PIE Amendment Act.	Introduce Bill in Parliament.	Yes	Bill certified by state legal advisers and tabled in Parliament.	Yes
	Develop a Housing Consumers Protection Measures Amendment Act.	3. Approved Housing Consumers Protection Measures Amendment Act.	Take Bill through Parliamentary process.	Yes	President signed Act into law.	Yes
	Develop a Rental Housing Amendment Act.	4. Approved Rental Housing Amendment Act.	Introduce Bill in Parliament.	Yes	Awaiting President's Signature.	No
	Develop a Social Housing Act.	5. Approved Social Housing Act.	Introduce Bill in Parliament.	Yes	Awaiting NCOP approval.	No
	Develop a Housing Development Agency Act.	6. Approved Housing Development Agency Act.	Introduce Bill in Parliament.	Yes	Bill adopted by House of Assembly and submitted to NCOP for approval.	No
	Develop amendments to Housing Consumers Protection Measures Regulations.	7. Amended Regulations to Housing Consumers Protection Measures Act.	Promulgate Regulations in the Government Gazette.	Yes	Act promulgated. Regulations drafted and promulgated in Government Gazette.	Yes
	Develop Social Housing Regulations.	8. Regulations to support and assist the implementation of the Social Housing Act.	Finalise Social Housing Regulations.	Yes	Awaiting promulgation of Act.	No
	Develop Home Loan and Mortgage Disclosure (HLAMDA) Regulations.	9. Regulations to support and assist the implementation of the Home Loan and Mortgage Disclosure Act, 2000.	Promulgate Regulations in Government Gazette.	Yes	Regulations promulgated in Government Gazette.	Yes
	Take steps to bring all housing-related legislation under the administration of National Department of Housing.	10. Approved legislation formerly administered by Department of Land Affairs to be administered by Department of Housing.	Submit draft Bill to Cabinet for in-principle approval Publish Bill in Government Gazette for public comment.	Yes	Consultants working on finalising Bill in conjunction with Department of Land Affairs and NDoH. Work in progress.	No
	Take over of Estate Agency Affairs by the DTI.	11. Approved legislation formerly administered by Dep. to be administered by DTI.	Negotiations with DTI on takeover of the Acts from DoH.	Yes	Negotiations in progress.	No
	Assist Ministerial Com with review of legislation & impediments to comprehensive plan.	12. Report to Minister with recommendations.	Assist Ministerial Com in finalising its report to the Minister with recommendations.	Yes	Submit final report to Minister Work in progress.	Yes
	Provide legal services to the department & Ministry Draft legal opinions.	13. Completed (finalised) legal opinions.	100% of legal options completed.	Yes	100% of legal opinions completed (finalised).	Yes
	Draft legal documents.	14. Completed legal documents.	100% of legal documents done.	Yes	100% of legal documents completed (finalised).	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Manage litigation.	15. Compliance with litigation rules and procedures	Compliance with litigation rules and procedures.	Yes	100% of litigation matters managed.	Yes
	Attend to housing related legal queries from public within two days.	16. Respond to housing related queries.	Response to housing related queries from public within two days.	Yes	100% of legal queries attended to within two days.	Yes
	Draft quarterly reports on legal compliance.	17. Submitted quarterly reports on legal compliance.	Submitted quarterly reports on legal compliance.	Yes	Not achieved due to lack of capacity.	No
	Conduct legal awareness sessions.	18. 4 legal awareness sessions/ annum.	One legal awareness session.	Yes	Not achieved owing to lack of capacity.	No
	100% of legal opinions Completed.	19. No legal opinions Outstanding.	100% of legal opinions completed.	Yes	100% of legal opinions completed.	Yes
	100% of legal documents finalised.	20. No uncompleted legal documents.	100% of legal documents finalised.	Yes	100% of legal documents finalised.	Yes
	100% of litigation matters attended to.	21. No litigation matters unattended to.	Compliance with litigation rules and procedures.	No	100% of litigation matters attended to.	Yes
	Respond to housing related legal queries within two days.	22. Response to housing related legal queries from public within two days.	Response to housing related legal queries from public within 2 days.	Yes	Housing related legal queries from public responded to within two days.	Yes
	Submitted quarterly reports on compliance.	23. Submitted quarterly reports on compliance.	Submitted quarterly reports on compliance.	Yes	Two quarterly reports on compliance submitted.	No
	Four legal awareness sessions per annum.	24. Four legal awareness sessions per annum.	Four legal awareness sessions per annum.	Yes	Two legal awareness sessions conducted.	No
Sub-Programme 1.2: Corporate Support	Implemented security operational procedures.	25. Approved operational security procedures.	Approved physical security plan.	Yes	Physical security plan approved & operational.	Yes
		26. Implemented energy saving strategy.	Implemented energy saving strategy.	Yes	Implementation of energy saving strategy in progress.	Yes
		27. % of emergency awareness sessions conducted.	100% of emergency awareness sessions conducted.	Yes	One session on emergency plan conducted.	No
	Coordinated protection services during major departmental events.	28. % coordinated protection services during major departmental events.	100% coordinated protection services during major departmental events.	Yes	Coordinated protection services provided for Ministerial projects and all major departmental events.	Yes
	Vetted employees and service providers.	29. % of employees and service providers vetted	Coordinate vetting of officials dealing with classified information.	Yes	Vetting of officials dealing with classified information co-ordinated.	Yes
	Encrypted electronic communication data.	30. Encrypted electronic communication data.	Electronic communication data encrypted.	Yes	Electronic communication data in sensitive offices encrypted.	Yes
	Implemented document security measures.	31. Implemented document security measures.	Implement document security measures.	Yes	Document security measures implemented.	Yes
	Investigation of security breaches reported.	32. Number of reports on security breaches reported.	100% investigation of security breaches reported.	Yes	Two security breaches reported & investigated.	Yes
Manage and coordinate maintenance of building facilities.	33. Maintained building facilities.	General building maintenance report.	Yes	Building facilities maintained & service providers appointed to conduct planned & unplanned building maintenance (electrical, plumbing & pest control).	No	

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Maintained switchboard and reception services.	34. Maintained switchboard and reception services.	Switchboard and reception report	No	Switchboard was upgraded to accommodate additional staff members.	Yes
	Maintained office accommodation in terms of PWD space norms.	35. Maintained office accommodation in terms of PWD norms.	Report on relocations, occupation and/or vacation of offices.	No	Minor refurbishments of some floors creating office space for additional staff members.	No
	Developed records management system sessions conducted.	36. Records management system to be used by all creators of records in the Department.	Developed records management system.	Yes	Approved records management development plan; terms of reference & records management tender.	No
	Implement general record-keeping and records management policy.	37. Approved general record keeping & records management policy.	Approved general record-keeping and records management policy.	Yes	Reviewed & revised draft general records management policy.	No
Sub-Programme 1.3: Human Resources	Manage and coordinate recruitment and selection process.	38. Filled critical funded posts.	50% of all critical funded posts filled.	Yes	90% of critical posts filled.	Yes
	Manage development of responsive human resource policies in compliance with DPSA prescripts.	39. Developed and implemented human resource policies.	Developed policies on HR plan, recruitment and selection and the EPMDs.	Yes	Draft HR plan developed and finalised except for EE targets Draft Recruitment & Retention Policy completed & workshopped in DBC Draft EPMDs (level 1–12) completed & workshopped in DBC.	Yes
	Manage HR administration.	40. Compliance with HR administration Prescripts.	Compliance with HR administration Prescripts reported.	Yes	Vacancy rates submitted to the PSC & DPSA Transfers & promotion cases managed. All employees placed in new structure. All SMS performance agreements for 2007/8 submitted.	Yes
	Manage and co-ordinate sound labour relations process in Department.	41. Managed grievances in terms of prescripts.	One grievance management report.	Yes	Two enquiries re filling of posts dealt with. One formal grievance received and being processed. 3 grievances submitted to Minister to be finalised.	No
	Manage discipline in the work environment.	42. Manage disciplinary cases in terms of prescripts.	One disciplinary cases report.	Yes	1 disciplinary hearing for 3 officials finalised. 1 appeal against sanction to be dealt with.	No
	Manage and coordinate programmes aimed at human capital development.	43. Plan & implement HR development initiatives.	Approved Annual Training Report.	Yes	Quarterly report for period 1 Oct '07 to 15 Dec '07 completed & submitted to PSETA.	Yes
	Manage and coordinate programmes aimed at human capital development.	44. Coordination of training programmes.	Workplace skills approved by PSETA and implemented.	Yes	Different courses & conferences were coordinated.	No
	Placement of interns in the Dept.	45. Effective internship programme.	Prescribed percentage (5%) of interns placed.	Yes	Internship positions advertised. Awaiting applications in order to short-list, interview and appoint interns.	Yes
	Manage organisational development processes.	46. Job evaluation and job description	Implemented organisational structure.	Yes	All critical funded positions on the new structure evaluated.	Yes
	HR Plan.	47. Implemented HR Plan.	Consultation on & approval of draft HR plan.	Yes	Draft HR plan developed.	No
	Manage and co-ordinate Performance Management Development System.	48. Manage Performance Management & Development System.	Staff appraised.	Yes	All performance assessments for salary level 1–12 & SMS members finalised.	Yes
Sub-Programme 1.4: Info Technology & Systems	Improved network management and performance plan.	49. Improved network management and performance plan.	Improved network management and performance plan.	Yes	-50% of network management and performance plan Finalised.	No

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
	Develop & implement Info Communications & Technology Strategic Plan.	50. Approved Info Communications & Technology Strategic Plan.	Approved Info & Communications Technology Strategic Plan.	Yes	-37% of the Information and Communications Technology Strategic Plan finalised.	No
	Develop data retention solution.	51. Operational data retention solution.	Operational data retention solution.	Yes	Implemented & operational e-mail archiving solution.	Yes
	Developed Information Technology Disaster Recovery Plan.	52. Approved Info Technology Disaster Recovery Plan.	Approved Information Technology Disaster Recovery Plan.	Yes	Approved Information Technology Disaster Recovery Plan.	Yes
	Developed Information Technology Security Awareness Programme.	53. Approved Info Technology Security Awareness Program.	Approved Information Technology Security Awareness Program.	Yes	Approved Info Technology Security Awareness Program.	Yes
Sub-Programme 1.5: Executive Support to DG (Parliamentary and Cabinet liaison)	Cabinet reports.	54. Number of Cabinet decisions communicated.	All Cabinet decisions.	Yes	Decisions communicated.	Yes
	Coordinate Parliamentary questions.	55. Number of Parliamentary questions coordinated.	All Parliamentary Questions.	Yes	Responses to Parliamentary questions.	Yes
	Coordinate Cabinet memoranda comments.	56. Number of Cabinet memoranda comments made.	All Cabinet memoranda Comments.	Yes	All Cabinet memoranda Comments.	Yes
Sub-Programme 1.6: Administrative and Logistical Support to the Office of the DG	Process submissions.	57. Number of submissions tracked.	Processed submissions.	Yes	Submissions processed.	Yes
	Secretariat support.	58. Number of Mintop/Topman meetings organised.	Mintop/Topman meetings organised.	No	26 Mintop/Topman meetings.	No
	Make travel arrangements.	59. Number of travel arrangements made.	Number of travel arrangements made.	No	All travel arrangements made.	No
	Coordination of diary.	60. Number of meetings or presentations coordinated.	All meetings or presentations coordinated.	Yes	All meetings or presentations coordinated.	Yes
	Participation of Department at cluster meetings.	61. Number of cluster meetings coordinated.	Cluster meetings coordinated.	No	All cluster meetings attended.	No
Sub-Programme 1.7: Housing and Corporate Secretariat	Record of proceedings.	62. Record of proceedings.	Record of proceedings.	No	Record of one hundred and twelve meetings.	No
	Meeting packs.	63. Circulation of meeting packs.	Availability of meeting packs.	Yes	Meeting packs circulated.	Yes
	Dissemination of Minutes.	64. Dissemination of Minutes.	Minutes disseminated fourteen working days after a meeting.	Yes	Minutes disseminated fourteen working days after a meeting.	Yes
	Comprehensive database of policy decisions and members of various committees/structures of policy development.	65. Comprehensive database of policy decisions and members of various committees/ structures of policy development.	Comprehensive database of policy decisions and members of various committees/structures of policy development.	Yes	Comprehensive database of policy decisions and members of various committees/structures of policy development.	Yes
	Updated action list of various committees/structures.	66. Updated action list of various committees/structures.	Updated action list of various committees/structures.	Yes	Action lists of various committees/structures updated.	Yes
Schedule of meetings.	67. Schedule of meetings.	Comprehensive schedule of meetings.	Yes	Comprehensive schedule of meetings.	Yes	
Sub-Programme 1.8: Organisational Planning	Approved Departmental strategic and performance plans.	68. Approved Dep. strategic & performance plans.	Approved Departmental strategic and performance plans.	Yes	Dep strategic & performance plans developed, approved by the Minister & tabled in Parliament.	Yes
	Analysis report on Departmental strategic and performance plans.	69. 1 report on Departmental strategic & performance plans.	Analysis report on Departmental strategic and performance plans.	Yes	Dep Strategic & performance plans analysed & report submitted to the Office of the DG for Action.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
Sub-Programme 1.9: Organisational Performance Monitoring	Approved Departmental annual report.	70. Approved Departmental annual report.	Approved Departmental annual report.	Yes	Departmental Annual Report for 2006/07 financial year timeously developed & tabled in Parliament.	Yes
	Departmental performance reports.	71. No of performance reports.	Four performance reports.	Yes	Consolidated quarterly performance reports & submitted to accounting officer.	Yes
	Departmental performance evaluation reports.	72. No of performance evaluation reports.	Five performance evaluation reports.	Yes	Compiled & submitted four reports & one annual performance evaluation report.	Yes
Sub-Programme 1.10: Transformation	Developed and implemented service delivery improvement programme (SDIP) for the Department.	73. Approved SDIP& implemented.	SDIP reviewed & implemented.	Yes	Approved TOR for the development of service delivery standards & Service Delivery Charter.	Yes
	Developed and implemented EE plan and change management programme.	74. Approved & implemented EE plan & change management programme.	EE plan & change management programme reviewed & implemented.	Yes	Five EE forum meetings held. One workshop conducted for the EE forum. Annual EE report submitted to Department of Labour.	No
	Develop & implement gender & disability programs.	75. Approved gender & disability programs.	Gender & disability programmes implemented.	Yes	Gender forum established. Volunteers coordinated/mobilised to participate in Women's & Men's Build projects. TOR for disability policy developed.	No
	Facilitated and coordinated youth empowerment Programme.	76. Approved sport & recreational programme.	Sport & recreational Programme implemented.	Yes	Youth involved during Africa Public Service Day celebrations. Facilitated capacity building in youth development through the Men's Build project (90 % of training targeted youth).	Yes
	Developed and implemented employee health & wellness policy & strategy.	77. Approved & implemented employee health & wellness policy & strategy.	Employee health & wellness policy & strategy Implemented.	Yes	Coordinated implementation of employee health & wellness policy & strategy.	Yes
	Developed and implemented the HIV/ AIDS workplace Programme.	78. Approved and implemented HIV/ AIDS workplace programme.	HIV/ AIDS workplace programme implemented.	Yes	Coordinated implementation of HIV/ Aids workplace Programme.	Yes
	Sub-Programme 1.11: Internal Audit	Three-year strategic and operational internal audit plan.	79. Approved operational internal audit plan.	Approved three-year strategic and operational internal plan.	Yes	Three-year strategic and operational internal audit plan developed and approved.
Reports on adequacy & effectiveness of internal controls.		80. Internal audit reports on adequacy & effectiveness of internal controls.	Quarterly reports on adequacy & effectiveness of internal controls.	Yes	Internal audit results issued on completion of reviews.	Yes
Reports on effectiveness of risk management processes.		81. Internal audit reports on risk management process.	Internal audit report on risk management process.	Yes	Facilitated risk management process and issued quarterly reports to audit committee.	Yes
Reports on governance processes.		82. Internal audit reports on governance processes.	Annual audit reports on governance processes.	Yes	Not completed owing to delays in appointment of service provider.	No
Reports on monitoring of conditional grant.		83. Internal audit reports on monitoring of conditional grant.	Quarterly reports on monitoring of conditional grant.	Yes	Internal audit reports issued on monitoring of conditional grant.	Yes
Reports on visits to provinces.		84. Internal audit reports on visits to provinces.	Quarterly reports on visits to Provinces.	Yes	Only one provincial visit was conducted and therefore only one report was issued.	No
Reports on follow-up audits.		85. Reports on follow-up Audits.	Bi-annual reports on follow-up audits.	Yes	Reports on follow-up audits issued to management and audit committee.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
	Reports to audit committee and minutes of meetings.	86. Audit committee reports and minutes of meetings.	Quarterly audit committee reports & minutes of Meetings.	Yes	Five audit committee meetings held and Reports issued to audit committee.	Yes
Sub-Programme 1.12: Special Investigations	Reports on special investigations.	87. Special investigation reports on housing investigations.	Monthly and quarterly Reports.	Yes	Monthly & quarterly Reports & convictions at courts sub to audit committee, D-G & Minister.	Yes
	Regular Housing Anti-Corruption Forum (A-CF) meetings.	88. Functioning Housing A-CF.	Three Housing A-CF meetings.	Yes	Three Housing A-CF meetings held.	Yes
	Approved whistle-blowing policy.	89. Implement anti-corruption prescripts.	Approved whistle-blowing policy.	Yes	Policy submitted to STRATMAN for approval.	Yes
	Fraud & ethical awareness sessions.	90. Completed awareness sessions.	3 fraud & ethical sessions.	Yes	3 fraud & ethical awareness sessions conducted.	Yes
	Reports on consulting Services.	91. Reports on consulting Services.	100% of reports Issued.	Yes	100% of reports issued to Minister and DG.	Yes
	Functional corruption data system.	92. Established corruption data system.	Functional corruption data system.	Yes	Output not achieved.	No
	Signed Presidential Proclamation (PP).	93. Implemented PP	Reports on investigation, civil recovery & criminal cases emanating from implementation of PP.	Yes	Proclamation signed by President. Reports on investigation, civil recovery and criminal cases compiled for DG and Minister.	Yes
	Operational case management system.	94. Established case management system.	Operational case management system.	Yes	Case management system established.	Yes
	Fraud prevention strategy and plan.	95. Developed fraud prevention strategy and plan.	Fraud prevention strategy and plan.	Yes	Fraud prevention strategy and plan developed.	Yes
Reports on corruption and research analysis.	96. Submitted reports on corruption and research analysis.	6 bi-monthly reports on corruption and research analysis.	Yes	Output not achieved.	No	
Sub-Programme 1.13: Housing Institutions	M&E evaluate institutions reporting to Minister in terms of their mandates & in compliance with set targets.	97. Approved business plans, budgets & corporate governance issues of housing institutions.	Letters of corporate plans and budgets.	Yes	Letters of corporate plans and budgets.	Yes
		98. No of performance monitoring reports produced.	4 quarterly reports.	Yes	4 quarterly reports.	Yes
		99. Mid-term performance monitoring report produced.	1 mid-term review report.	Yes	1 mid-term review report.	Yes
		100. Percentage of transfer of funds approved.	100% of funds/refunds ap-proved.	Yes	100% of funds/refunds approved.	Yes
		101. Approved governance monitoring framework.	Implemented governance monitoring framework.	Yes	Ongoing implementation of approved governance monitoring framework.	Yes
		102. Approved shareholder compact.	Signed shareholder's compact.	Yes	Signed shareholder's compact not achieved due to legal review process.	No
		103. No of reports on compliance of housing institutions with King's Code.	2 reports on compliance with King's Code.	Yes	2 reports on compliance with King's Code.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
		104. Approved staff migration framework for institutions being rationalised.	Implemented staff migration plan for institutions being rationalised.	Yes	Ongoing implementation of staff migration plan for institutions being rationalised.	Yes
		105. % of institutions rationalised.	100% of institutions rationalised.	Yes	100% of institutions rationalised.	Yes
Sub-Programme 1.14: Fund Mobilisation	Report on trends in & impact of donor funding on housing delivery.	106. Report on trends in & impact of donor funding on housing delivery.	1 report.	Yes	1 report.	Yes
	Report on savings-linked products.	107. Number of reports on savings-linked products & their impact on housing delivery.	2 reports.	Yes	2 reports.	Yes
	Report on fixed interest rates.	108. No of reports on fixed interest & how these can be used to leverage housing delivery.	2 reports.	Yes	2 reports.	Yes
	Report on tax incentives.	109. No of reports on tax incentives as means of encouraging investor's participation & their impact on housing delivery.	4 reports.	Yes	4 reports.	Yes
	Report on financial risk factors on the provision of housing delivery.	110. No of reports on the financial risk factors on the provision of housing delivery	2 reports.	Yes	2 reports.	Yes
	Report on impact of micro-lending industry on housing delivery.	111. Number of reports on funds invested by micro-lending industry for housing purposes.	4 reports.	Yes	4 reports.	Yes
	Report on employer-assisted housing.	112. No of reports on types and impact of employer-assisted housing on housing Delivery.	2 reports.	Yes	2 reports.	Yes
	Report on impact of new finance instruments.	113. Report on impact of new finance instruments.	1 report.	Yes	1 report.	Yes
	Report on loss limit insurance.	114. No of reports on securitisation and its impact as a means of encouraging housing finance.	2 reports.	Yes	2 reports.	Yes
	Report on PPP finance for rental, social and mid-density housing.	115. No of reports on PPP finance for rental, social & mid-density housing & its impact on housing delivery.	4 reports.	Yes	4 reports.	Yes
Sub-Programme 1.15: Communi- cation Services: Production & Public Information Quarter	Provide integrated communication & marketing support to internal & external clients.	116. Approved internal communication strategy and plan.	Internal communication strategy approved and implemented.	Yes	Internal communication strategy approved and implemented for the year 2007/8.	Yes
		117. Position Department of Housing as a brand.	100% awareness of NDoH brand internally and externally.	Yes	100% internal awareness through development & distribution of corporate ID guidelines.	Yes

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
2 to current) (up to end Quarter Marketing (end2,2007/8) Public Information		118. Facilitate application of Dep corporate identity to relevant projects & processes.	100% demonstrable enhancement of NDoH corporate ID internally and externally.	Yes	+100% heightened internal utilisation of Desk-top. Publishing Unit to development of branded material and consultations to check accuracy.	Yes
		119. Manage corporate identity through provision of DTP.	100% service provision to all internal clients.	Yes	+100% achieved with production of approximately 400 jobs.	Yes
		120. Consolidate & communicate corporate events calendar to all Stakeholders.	100% enhanced organisational information sharing to promote synergies.	Yes	100% of daily calendar updates maintained.	Yes
		121. Plan for corporate events/ activities developed and managed.	100% facilitation of annual calendar events planned.	Yes	5 NDoH/Ministry events coordinated.	Yes
		122. Coordinate and manage database.	100% availability of correct level of service providers Required.	Yes	100% of database developed & updated regularly.	Yes
		123. Review & enhance internal communication vehicles.	100% enhanced vehicles for Communication.	Yes	Varied strategies for enhancement implemented and strengthened.	Yes
		124. Customer relationship management interventions.	100% service to walk-in clients and call centre callers.	Yes	100% of clients who call or walk-in attended to & referred to relevant provinces/municipalities.	Yes
		125. Call centre training programme.	Commence dialogue with prov. towards creation of call centres and training of agents.	Yes	1 national workshop held.	Yes
		126. Public information and management strategy and plan.	Approved public information and management strategy and plan.	Yes	Public information & management strategy & plan reviewed & approved for implementation.	Yes
		127. Identify external publications vehicles.	12 profiles/advertorials in various external publications.	Yes	100% of target achieved.	Yes
		128. Conceptualise new public information materials and formats.	100% of info materials reviewed, updated & new formats added.	Yes	100% of information materials reviewed, updated & new formats added.	Yes
		129. Website management of NDoH public information content.	100% of public information & management content updated.	Yes	100% of public information & management content updated & placed.	Yes
		130. Review marketing and advertising strategy and plan.	Approved marketing strategy & plan.	Yes	Marketing strategy approved & implemented.	Yes
			Develop & implement corporate image building campaign.	Yes	Concluded & broadcast 2,3 million houses campaign.	Yes
		131. Annual exhibitions schedule.	Participate in government & sector exhibitions.	Yes	100% participation in scheduled exhibitions, plus participation in new events.	Yes
	132. Updating and review Izimbizo.	100% participation.	Yes	100% participation at all GCIS, Presidential and NCOP people's parliaments.	Yes	
	Integrated communication & marketing support to internal/external clients.	133. Approved internal communication strategy and plan.	Updated internal communication strategy.	Yes	100% implementation of internal communication strategy and plan.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No	
		134. Desk-top produced departmental publications.	Design & layout of departmental publications.	Yes	100% of departmental publications designed & layout.	Yes	
		135. Manage & execute corporate events.	Managed and executed corporate events.	Yes	100% of corporate events managed and executed.	Yes	
		136. Customer relationship management strategy developed and adopted.	Evaluated current customer relationship management interventions.	Yes	Customer relationship management strategy developed and adopted.	Yes	
		137. Media relations program developed, implemented & evaluated.	Media research and analysis.	Yes	240 daily, weekly and monthly media surveillance reports produced and submitted.	Yes	
Sub-Programme 1.16: Media Services	Develop an environment conducive to implementation of Ministry's programme of action and Department's strategic plan.	138. Management of media relations & events.	Management of media relations & events.	No	All media relations and events were managed.	Yes	
		139. Approved stakeholder relations and mobilisation strategy.	Monthly provincial & local government liaison developed & implemented mobilisation program.	Monthly provincial & local government liaison developed & implemented mobilisation program.	Yes	Liaison with provinces effected through one-on-one visits, teleconferences and quarterly meetings.	Yes
			Housing communicators' forum convened & implementation of decisions facilitated.	Housing communicators' forum convened & implementation of decisions facilitated.	Yes	4 communicators' forums convened; provincial communication programmes implemented with support from Department.	Yes
			Housing communicators' web-page maintained and updated.	Housing communicators' web-page maintained and updated.	Yes	Webpage maintained but improvement incomplete.	No
			Provincial/local gov. communication programmes M&E.	Provincial/local gov. communication programmes M&E.	Yes	Achieved through media surveillance, bi-weekly teleconference and reports.	Yes
			Special communications projects convened.	Special communications projects convened.	Yes	Celebrity, women's, men's & media builds convened & completed; Green challenge in Alexandra Ext 7 launched.	Yes
			140. Communications environmental analysis and impact assessment programme developed.	Quarterly communication environmental analysis conducted.	Quarterly communication environmental analysis conducted.	Yes	Four analysis forums convened and report produced on housing communications.
		Annual communication impact assessment survey conducted.		Annual communication impact assessment survey conducted.	Yes	Communication analysis report produced.	Yes
Stakeholder database developed and maintained.	Stakeholder database developed and maintained.	Yes		Database developed; awaiting compatible software.	Yes		
Sub-Programme 1.17: Information Management	Develop, manage & maintain operational, control, & decision-making support system & information dissemination service. Develop & maintain integrated business information systems to support approved policy & guidelines. Develop and maintain information and knowledge services.	141. Reports on accessible infrastructure at provincial housing departments & accredited municipalities.	Reports on development & maintenance of accessible infrastructure at prov housing departments & accredited municipalities.	Yes	Various reports compiled and available.	Yes	
		142. Reports on integrated business information systems.	Reports and updated documents on integrated business information systems.	Yes	Various reports compiled and available.	Yes	
		143. Reports on information and knowledge services.	Reports on managed & maintained information & knowledge services.	Yes	Various reports compiled and available.	Yes	

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Provide aligned and verified data for reporting.	144. Reports on accessible, aligned and verified data for reporting.	Reports on accessible and verified data for reporting.	Yes	Various reports compiled and available.	Yes
	Manage & maintain data for analysis.	145. Reports on accessibility of analysed information.	Various reports on accessibility of analysed information.	Yes	Various reports compiled and available.	Yes
Sub-Programme 1.18: International Relations	A vocal & consistent message spread throughout the international community about SA's position with regard to sustainable human settlements.	146. Number of position papers produced in coordination with Dep. of Housing & Dep. of Foreign Affairs.	100% of position papers developed per event.	Yes	Minister gave keynote address at International Habitat Day Conference. UN Special Rapporteur on Adequate Housing's report on SA.	Yes
	Reports outlining international comparisons & best practice with regard to policy, delivery models.	147. Number of desk-top research & travel reports.	100% of reports per visit/study tour undertaken.	Yes	Technical visits to India, China and Cuba.	Yes
	Establish & maintain relationships with strategic partners as donors & providers of technical assistance, in line with requirements of the Department.	148. Number of initiatives (e.g. formalised agreements, agreed minutes, joint work plans) with strategic partners.	100% of initiatives concretised.	Yes	Approval by Cities Alliance for grant funding for National Upgrading Support Programme. Project document for energy-efficiency in low-income housing project funded by DANIDA.	Yes
	Establish & maintain relationships with like-minded developing countries for purposes of strategic cooperation in consultation with other stakeholders.	149. Number of initiatives (e.g. formalised agreements, agreed minutes, joint work plans) with strategic partners.	100% of initiatives concretised.	Yes	Establishment of Working Group on Human Settlements under India Brazil SA Dialogue Forum (IBSA). Extension of agreement between SA & Cuba on employment of Cuban technical advisors by provincial departments of housing.	Yes
	Establish & maintain relationships with key countries in Africa, in line with Department's strategic international objectives, guided by SA foreign policy.	150. Number of initiatives (e.g. formalised agreements, agreed minutes, joint work plans) with strategic partners.	100% of initiatives concretised.	Yes	Received delegations from the Gambia & Sierra Leone to learn about SA's experiences, policies and programmes in housing. Agreed report on way forward in implementing MoU between SA & DRC to support housing policy implem. in DRC.	Yes
	Coordinate implementation of agreed initiatives and agreements.	151. Audit of existing initiatives & agreements, regularly updated; quarterly reports, consolidated annual report.	Completed audit, updated quarterly and annually.	Yes	Completed audit.	Yes
Sub-Programme 1.19: Inter-sphere Liaison	Capacity to manage accreditation process in place in all provincial housing departments.	152. % of provincial housing departments supported in acquiring capacity necessary to manage accreditation process.	100% of provincial housing departments supported to acquire capacity for purposes of managing municipal accreditation program.	Yes	100% achieved; 9 provincial housing departments acquired capacity (systems, human resources, infrastructure, etc.) to manage accreditation process.	Yes
	Housing units in place, enhanced & maintained in all accreditation priority municipalities.	153. % of municipalities supported to establish, maintain and enhance housing units.	100% of priority municipalities supported to establish, enhance and maintain housing units.	Yes	Housing units established in 8 accreditation priority municipalities. Technical support provided to assist 9 priority municipalities in enhancing & maintaining housing units & in acquiring capacity to perform housing functions.	Yes
	Approved reporting template.	154. Approved reporting template.	Implementation of financial & non-financial reporting template.	Yes	100% achieved.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
	Support implementation of business plans.	155. Number of business plans implemented.	100% ongoing support to priority municipalities.	Yes	100% ongoing support to provinces and municipalities.	Yes
	Systems and procedures in place (management tools).	156. Number of systems & procedures developed and implemented.	100% of systems & procedures developed & implemented.	Yes	100% systems and procedures developed and implemented.	Yes
Total number of PIs for programme				156	Total number of outputs	156
Total number of PIs measurable for programme				151	Total number of outputs achieved	128
% of PIs measurable for programme				97%	% of outputs achieved	82%
PROGRAMME 2: POLICY PLANNING AND RESEARCH						
Programme objective: To provide adequate housing for all South Africans through policy and research that enables housing delivery in sustainable human settlements. Improve housing policy and programmes based on the analysis of accurate, strategic and statistically sound information and data from operational and other systems.						
Sub-programme 2.1: Policy Development	New national housing code.	1. Published new code.	Publication of new code.	Yes	Revised code approved by Housing: MINMEC as transitional arrangements in May 2007.	Yes
	Policy on indigenous building technology.	2. Approved guidelines for application of indigenous building technology.	Approval of guidelines.	Yes	Research report completed.	No
	Policy on insurance cover for subsidy houses.	3. Approved policy and guidelines for insurance cover.	Approved policy.	Yes	Research report completed.	No
	Policy on tenure options for the housing subsidy scheme.	4. Approved policy and guidelines on alternative tenure options.	Approved policy and guidelines.	Yes	Project outsourced and a service provider appointed.	No
	Develop environmental implementation & EIPs/EMPs plans.	5. Approval of plans and submission of plans to DEAT for publication in Government Gazette.	Departmental inputs incorporated & submitted to DEAT after which EIP will be submitted to Minister.	Yes	Completed plan submitted to DEAT for approval.	Yes
	Policy interpretation model.	6. Approved & operating model.	Provincial visits done & programme implemented.	Yes	Not finalised.	No
	Policy formulation model for provinces & municipalities.	7. Approved & operating model.	Provincial visits done & programme implemented.	Yes	Not finalised.	No
Sub-programme 2.2: Research	Initiate and undertake research on identified pertinent issues on housing and human settlement.	8. Reports contributing to knowledge in support of development & implementation of housing policies.	Number of research reports.	No	Six research reports, e.g. report on the skills audit, Case study on Men's Build, study on state of residential integration.	Yes
	Manage and provide research support.	9. Number of reports completed as requested.	100% of research requests completed.	Yes	4 research papers Completed, e.g. Housing and security. Housing situation in Motherwell, etc.	Yes
	Manage research to determine trends in broader macro-economic environment and determine impact thereof.	10. Provide constant reports on analysis of key macro-economic variables and their impact.	Quarterly reports or when required.	Yes	Quarterly reports submitted.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
Sub-programme 2.3: Monitoring and Evaluation	Approved monitoring and evaluation framework and system.	11. Approved monitoring and evaluation framework and system.	Approved monitoring & evaluation framework & system.	Yes	MEIA Policy and Implementation Framework for the Housing Sector approved.	Yes
		12. Number of reports produced.	4 quarterly reports.	Yes	Draft reports on national & provincial pilot project into UISP, blocked projects, performance of prov. housing depts into their individual business plans.	Yes
	Mechanism to track utilisation of construction methodologies, technologies and designs.	13. Approved mechanism.	Approved mechanism.	Yes	Not achieved owing to capacity constraints.	No
		14. Number of reports produced	2 bi-annual reports.	Yes	Not achieved owing to capacity constraints.	No
	Impact assessment framework and system.	15. Approved impact assessment framework and system.	Approved impact assessment framework and system.	Yes	MEIA system developed and testing of the first release of indicators commenced.	Yes
		16. Number of reports Produced.	2 bi-annual reports.	Yes	Draft reports submitted on UISP pilot projects.	Yes
	Occupancy audit.	17. % of beneficiaries audited.	5 % of approved beneficiaries.	Yes	Achieved: first phase of audit completed.	Yes
Approved indicators on planning, delivery & implementation processes.	18. Number of reports produced.	2 bi-annual reports.	Yes	Not achieved.	No	
Sub-programme 2.4: Human Settlement Planning	Maintain National Programme for Housing Chapters of Integrated Development Plans (IDPs).	19. Programme approved in line with latest revisions.	Maintain as and when required.	Yes	Given that the Programme was approved recently, no amendments or additions were required for the period under review.	Yes
	Maintain Framework for Provincial Multi-year Housing Planning.	20. Programme approved in line with latest revisions.	Maintain as and when required.	Yes	Framework approved in line with latest revisions.	Yes
	Overhaul of Municipal Planning Control Systems, arising from the recommendations made by Partners for Housing.	21. Recommendations paper focused on municipalities providing stepped improvements in their current approvals processes.	Make recommendations on report to DLA & engagements with DPLG to take recommendations forward in Legal Planning Framework.	Yes	Research findings of "Partners for Housing" presented to DLA & DPLG.	Yes
	Roll-out of national programme for housing chapters of IDPs.	22. Housing voice located in the relevant offices, adequately skilled and trained to facilitate compilation of housing chapters of IDPs.	Ongoing engagement & support to Provincial Co-ordinators & Provincial support providers.	Yes	Housing Chapter Resource Manual completed and launched to relevant stakeholders. Final report on training needs for provincial co-ordinators & municipalities has been completed.	Yes
	Develop a Framework for Provincial Multi-year Housing Development Plan. (HDP)	23. Framework for Provincial Multi-Year HDP submitted for approval.	Framework for Provincial Multi-year HDP approved.	Yes	Framework for Provincial Multi-year HDP approved & distributed to all relevant role players.	Yes
	Assess provincial multi-year HDPS & provide info for the compilation of a multi year national HDP.	24. 9 Provincial Multi-year HDPs submitted for approval.	Receive final Provincial Multi-year Plans and Business Plans.	Yes	Prioritisation of completion of Prov. Business Plans, final Prov. Multi-year Plans for the period 2009-2014 have not been completed by PHDs.	No
	Develop a National Multi-year HDP.	25. National Multi-year HDP submitted for approval.	Multi-year NDP submitted for approval.	Yes	Development of a National Multi-year HDP is dependent on having received final Prov. Plans.	No
	Render advisory services & assistance to requests & instructions in respect of	26. Incidental requests responded to timeously on, inter-alia, the	Number of requests timeously responded & successfully attended	Yes	Responded to 34 applications for township establishment. Responded to various telephonic	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No
	human settlement planning.	nature & priority of the request, & current obligations to be honoured.	to. Accurate record of all requests kept on file.		queries from the Public on Human settlements.	
	Promote the alignment of national sectoral planning with, among others, Treasury, DPLG & DLA.	27. Participation on the Social Cluster Human Settlements Task Team.	Participate in the committee and coordinate execution of forth coming tasks.	Yes	Attended & participated in Social Cluster Human Settlements Task Team meetings. Participated at National Treasury's CFO Forum, & made specific recommendations.	Yes
		28. Participate in DPLG Planning Coordination & Integration working group.	Participate in the committee and coordinate execution of forth coming tasks	Yes	Attended DPLG's Planning Forum, & provided inputs where required. Provided inputs to DPLG's Consolidated Infrastructure Plan.	Yes
Total number of PIs for programme				28	Total number of outputs	28
Total number of PIs measurable for programme				27	Total number of outputs achieved	17
% of PIs measurable for programme				96%	% of outputs achieved	61%
PROGRAMME 3: DELIVERY SUPPORT						
Programme objective: Provide effective implementation and delivery support for sustainable human settlement development through capacity building, stakeholder liaison and information management and dissemination.						
Sub-programme 3.1: Capacity development	Develop a capacity building framework and strategy.	1. Approved capacity building framework and strategy.	Developed capacity building framework and strategy.	Yes	Strategy & framework developed & approved.	Yes
	Facilitate development of capacity building plan.	2. Approved strategies, policies & plans.	Conduct workshops in consultation with provinces & stakeholders.	Yes	Achieved.	Yes
	Develop training programs on housing policies and legislation.	3. Developed training program on housing legislation, policies & guidelines.	Implementation of the accredited training programs.	Yes	Achieved.	Yes
	Co-ordinate Cuban technical program.	4. Approved Cuban technical support program.	Implemented Cuban technical support program.	Yes	Programme approved and implemented.	Yes
	Develop framework and strategies for beneficiary empowerment programs.	5. Approved guidelines, framework & strategies for beneficiary empowerment programs.	Implemented beneficiary empowerment strategies.	Yes	Framework for beneficiary education approved.	No
	Develop and implement beneficiary empowerment training programs.	6. Approved beneficiary empowerment training programs.	Implemented training program.	Yes	Achieved	Yes
	Facilitate the implementation of the sanitation, health and hygiene training program.	7. Number of trained officials and beneficiaries.	Implemented program.	Yes	Achieved.	Yes
	Implementation of councillor training program.	8. Number of trained councillors.	Development of terms of reference & submission to access funding. Appointment of service provider/s.	Yes	Achieved.	Yes
	Establishment of Professional Housing Body (PHB).	9. Approved Strategy for professionalisation of the housing body.	Facilitate drafting of Bill to establish PHB.	Yes	Not achieved.	No

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Facilitate generation of housing qualification & registered unit standards.	10. Unit standards approved by SAQA.	Coordinate & monitor generation of unit standards & qualification by the Housing SGB.	Yes	Achieved.	Yes
	Manage housing scholarship.	11. Approved housing scholarship policy.	Implementation housing scholarship program.	Yes	Achieved.	Yes
Sub-programme 3.2: Service Delivery Support	Finalised Human Settlement Redevelopment Programme.	12. Compilation of monthly DORA expenditure reports.	Monthly reports submitted by the 20th of each following month.	Yes	All monthly reports submitted on or before 20th of the month.	Yes
		13. Compiled quarterly non-financial reports.	Quarterly performance reports submitted within five weeks of end of quarter.	Yes	Last quarterly report for 2006/07 & reports for first three quarters of 2007/08 financial year submitted within five weeks of end of quarters.	Yes
		14. Monitor the implementation & finalisation of projects through evaluation of close down reports.	Monitor submission & evaluation of 100% of close-down reports submitted.	Yes	23 wrap-up reports evaluated.	Yes
	Established communication network with provinces in respect of housing subsidy scheme, supplementary housing programs & stalled projects.	15. Agreements with provincial housing departments.	Agreements in place for providing service delivery support.	Yes	Chief Directorate established at end of Sept 07. Officials participated in quarterly performance review visits to 4 provinces & generated reports of problem areas & challenges experienced.	No
	Lists of projects to receive service delivery support.	16. Project list.	List of projects to receive service delivery support.	Yes	Project lists for 577 blocked projects compiled per province. Project lists for 305 projects with limited financial activity compiled per province.	Yes
	Information database of identified priority housing projects.	17. Database of identified priority housing projects.	Database of identified priority housing projects.	Yes	Finalised list of 305 Projects that may require Additional support.	Yes
	Status quo report on problem areas in housing development & stalled housing projects.	18. Status quo report.	Status quo report.	Yes	Attended provincial business plan evaluation hearings. Participated in provincial verification visits to Mpumalanga, WC, EC and NW. Reports generated as a result of these visits highlighted problem areas & challenges experienced in provinces.	Yes
	Recovery strategies to address problem areas iro stalled projects & projects initiated iro housing subsidy scheme & supplementary programs.	19. Recovery strategies.	Development of recovery strategies where needed.	Yes	Broad strategy for unblocking stalled projects developed & approved. Capacity & resource constraints project-specific strategies were not completed.	No
	Ongoing implementation support on housing & stalled housing projects.	20. Recovery strategy progress reports iro identified priority housing projects.	Recovery strategy progress report.	Yes	Not completed owing to capacity and resource constraints.	No
	Refined national strategy for upgrading informal settlements.	21. Enhanced informal settlement upgrading strategy approved.	Enhanced informal settlement upgrading strategy approved.	Yes	Report/strategy not completed. Awaiting finalisation of appointment of international informal settlement upgrading experts by World Bank under NUSP.	No

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)							
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non- performance/change of output(s)	Output & target achieved Yes/No	
	Revised informal settlement policy on the basis of what has been learnt in pilot projects.	22. Revised Informal settlement policy developed.	Informal settlement upgrading policy (NUSP report).	Yes	Policy not completed. Awaiting finalisation of appointment of international informal settlement upgrading experts by World Bank under NUSP.	No	
	Investigating, analysing, abstract-ing and disseminating key lessons learnt in implementation of pilot projects.	23. Best practice case study documented.	Best practice case study report documented (NUSP Report).	Yes	Report not completed. Awaiting finalisation of appointment of international informal settlement upgrading experts by World Bank under NUSP.	No	
	Design appropriate institutional frame-works for implementation of the ISU.	24. Institutional frameworks for informal settlements developed.	Report produced.	Yes	Report not completed. Awaiting finalisation of appointment of international informal settlement upgrading experts by World Bank under NUSP.	No	
	Finalised human settlement redevelop-ment programme.	25. Compiled monthly DORA expenditure reports.	Amended reports submitted by 20th of each month.	Yes	All monthly reports submitted on or before 20th of each month.	Yes	
Sub-programme 3.3: Special Programme Support/Priority Projects	Facilitate & provide support in implementation of Ministerial Priority Projects.	26. Agreements with provincial housing departments.	Agreements in place for pro-viding service delivery support.	Yes	MOUs entered into with Provincial Housing Department of EC for Zanemvula, & of WC for N2 Gateway. Multi-stakeholder agreement pending for Mpu's Klarinet project. In other provinces, NDOH was allowed to participate in implementation of projects without formal agreements.	No	
		27. List of pilot projects to receive service delivery support.	List of pilot projects to receive support.	Yes	Participated in steering committees of N2 Gateway, WC; Zanemvula, EC; Duncan Village Redevel-opment Initiative, EC; Khutsong Redevelopment, NW; Lerato Park, NC; Ouboks, NC; Klarinet, Mpu.	No	
	Project status quo reports on special ministerial programs & pilot projects.	28. Project status assessments in respect of the pilot projects.	Project status reports on all pilot projects.	Yes	Consolidated status report on all priority projects prepared quarterly.	Yes	
	Recovery strategies to address problem areas in special & pilot ministerial programmes/projects.	29. Recovery strategies.	Development of recovery strate-gies for pilot projects, where needed.		Not achieved owing to capacity constraints.	No	
Sub-programme 3.4: Social/Rental Housing & People's Housing Process	Rental units for low income households that want rental housing and security of tenure for People's Housing Process beneficiaries.	30. Number of beneficiaries benefiting from People's Housing process.	2000 beneficiaries	Yes	2205 beneficiaries	Yes	
		31. Number of rental Units	1100 rental units.	Yes	1200 rental units funded.	Yes	
Total number of PIs for programme				31	Total number of outputs	31	
Total number of PIs measurable for programme				31	Total number of outputs achieved	19	
% of PIs measurable for programme				100%	% of outputs achieved	61%	
PROGRAMME 4: Housing Development Finance							
Programme objective: To fund housing and human settlement development programmes; provide financial, grant and housing institutional management as well as oversight of financial and non-financial compliance to relevant legislation.							
Sub-Programme 4.1: Financial Services	Completed Annual Financial statements.	1. Timely completion of Annual Financial Statements & a successful audit process.	Annual Financial Statements.	Yes	2007/08 Financial Statements were completed and submitted to the National Treasury and the office of Auditor- General.	Yes	

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Number of monthly reconciliations completed.	2. Monthly preparation of reconciliations.	12 reconciliations: payroll, creditors, debtors, ledger accounts, bank accounts.	Yes	Bank, payroll & debtors reconciliations done. Creditors' reconciliations not timely done during the first 2 quarters owing to capacity shortage.	Yes
	Reviewed financial administration procedures and policies.	3. Effective and efficient systems of internal financial control.	12 monthly system review reports.	Yes	Only 9 reports done owing to capacity shortage.	No
		4. New and reviewed amended policy approved.	12-monthly system & document review reports.	No	Developed suspense accounts policy. Transferred 3 prior years' files to Repository Four monthly reports.	No
	Number of workshops held.	5. Workshops held.	4 workshops held.	Yes	One workshop was held.	No
	Supply Chain Management Service which complies with Supply Chain Management Framework, the PFMA, PPPFA, & Treasury Regulations.	6. Report on number of stocktaking undertaken.	1 stock count report.	Yes	2 stock counts done.	Yes
		7. Number of Reconciliations (LOGIS & BAS) Fixed asset register.	12 reconciliation Reports (LOGIS & BAS) Fixed Asset register.	Yes	12 reconciliation reports (LOGIS & BAS).	Yes
		8. Report on disposals.	1 Report.	Yes	No disposals were done.	Yes
		9. Reports on regular spot checks conducted on store items.	4 reports to chief director.	Yes	3 reports completed.	No
		10. Reports to management on procurement from SMME and HDI.	12 reports.	Yes	12 reports done.	Yes
		11. Reports to National Treasury on bids awarded.	12 reports to National Treasury.	Yes	12 reports submitted.	Yes
		12. Reports to management on procurement services.	4 reports to STRATMAN.	Yes	4 reports submitted.	Yes
		13. Reports to management on travel and accommodation.	4 travel and accommodation Reports.	Yes	Travel and accommodation arranged in accordance with approved S&T policy.	No
		14. Reports to management on the use of Government Garage vehicles.	4 Government Garage vehicle usage reports.	Yes	Government Garage vehicles utilised according to approved Transport Policy.	No
		15. Workshops Supply Chain.	4 workshops.	Yes	1 workshop held.	No
	Sub-Programme 4.2: Chief Directorate: Financial and Grant Management	Management and user support of financial systems.	16. Provide system management services.	Closure of financial interfaces for a month by 9th of next month.	Yes	Books were closed on time.
17. User support and training.			1 training session coordinated.	Yes	Daily support & training provided as required.	Yes
Planning & admin of budget process.		18. Approved ENE, MTEF, and virements.	2009 budget approved.	Yes	2009 budget approved.	Yes
Approved departmental adjustment estimate.		19. Approved adjustment estimate.	2008 adjustment estimate approved.	Yes	2008 adjustment estimate approved.	Yes
Report to National Treasury on set dates.		20. Provide National Treasury with EWS report on the 15th of each month.	12 reports to National Treasury before the 15th of each month.	Yes	12 reports were sent on time to National Treasury.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)

Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Provided management reports and financial information as required.	21. Produce management reports.	12 reports to management and Minister.	Yes	Submitted 12 reports to management.	Yes
	Amended DORA.	22. Annual inputs to National Treasury, as required by DORA.	Approved DORA amendments.	Yes	Inputs for amendment of DORA submitted.	Yes
	Annual business plan guidelines developed.	23. Develop business plans guidelines.	Guidelines issued.	Yes	Guidelines done in consultation with provinces.	Yes
	Amended grant framework.	24. Grant framework amended with inputs received from provinces & submits for approval.	Grant framework approved.	Yes	Amended grant framework submitted.	Yes
	Transferred funds according to payment schedule, on a monthly basis.	25. Expenditure reports indicating transfer of funds to provinces.	Monthly funds transferred according to payment schedule.	Yes	Transfers made according to the payment schedules approved by National Treasury.	Yes
	Analysed provincial cash flow projections and annual budget for the conditional grant.	26. Report on analysed provincial cash flow projections & annual budget for conditional grant to management.	Management report issued.	Yes	Management report on analysis of business plans issued.	Yes
	Approved national business plan.	27. Business plan reviewed and submitted to National Treasury.	National business plan approved.	Yes	Approval obtained and submitted on due dates.	Yes
	Provincial monthly financial reports reviewed.	28. Monthly financial reports reviewed to management.	12 financial review reports.	Yes	12 financial review reports issued.	Yes
	Provincial quarterly financial reports reviewed.	29. Quarterly financial reports reviewed to management.	4 financial review reports.	Yes	4 financial review reports issued.	Yes
	Provincial annual financial statements analysed.	30. Report on review of annual financial statements.	9 annual financial statements reviewed.	Yes	8 annual financial statements reviewed (Limpopo not done).	No
	Provision of efficient debtors system to provinces.	31. Finalise 80% of system change notices registered.	80% of system notices completed.	Yes	98% of system notices completed.	Yes
		32. Reports to management on the debtor system.	4 Reports to management.	Yes	4 reports done.	Yes
		33. Reconciliations of Post Office (PO) receipts between PO & Debtor system.	12 reconciliations in respect of provinces.	Yes	12 reconciliations done.	Yes
		34. Monitor, follow up and guide on data clean- up, devolution and transfer of properties.	12 meetings/visits held with provinces.	Yes	12 meetings /visits held with provinces.	Yes
		35. Submission of service provider invoices.	12 payments.	Yes	12 payments made.	Yes
Sub-Programme 4.3: Chief Directorate: Office of Disclosure	Home Loans and Mortgage Disclosure Act Regulations.	36. Regulations implemented.	Regulations implemented.	Yes	Regulations implemented.	Yes
	Secretariat function ito of the Home Loans & Mortgage Disclosure Act.	37. Report to management on secretariat function.	100% reports.	Yes	100% reports produced.	Yes

Table 2.2: The achievement of outputs (PIs and targets which appear in the DAR for 2007 – 2008)						
Name of Programme/ Sub-programme	Outputs per sub-programme	PI	Target	PI measurable Yes/No	Actual performance and reasons for non-performance/change of output(s)	Output & target achieved Yes/No
	Information received from financial institutions	38. Report to management on the info received & analysed.	1 annual report.	Yes	Not achieved.	No
	Monitor Charter processes, promoted housing finance equity & compliance of the financial institutions to Charter.	39. Report to management on the Charter process & compliance of financial institutions.	100% reports.	Yes	100% reports produced.	Yes
	Investigated public complaints received on home loans and mortgages.	40. Report to management on Investigations conducted.	100% reports.	Yes	100% of public complaints received resolved and reports Produced.	Yes
	Compliance manual for Home Loans and Mortgage Disclosure Act.	41. Compliance Manual finalised and implemented.	Compliance manual finalised and implemented.	Yes	Compliance manual reviewed and implemented.	Yes
	Members of Office of Disclosure appointed.	42. Members of Office of Disclosure appointed.	Members of Office of Disclosure appointed.	Yes	Not achieved.	No
	Profile Office of Disclosure.	43. Profile Office of disclosure completed.	Updated Profile of Office of Disclosure and disseminated.	Yes	Not achieved.	No
	Launching of Office of Disclosure.	44. Information prepared for dissemination.	Information disseminated.	Yes	Information disseminated.	Yes
	Annual report prepared for Minister.	45. Annual report prepared & submitted.	Draft AR produced/ prepared.	Yes	Not achieved.	No
	Municipalities' help desks facilitated.	46. Facilitation of help desks in metros & district municipalities.	20 help desks facilitated & functional in metros & district municipalities.	Yes	20 help desks facilitated and functional in metros and District municipalities.	Yes
Total number of PIs for programme				46	Total number of outputs	46
Total number of PIs measurable for programme				45	Total number of outputs achieved	35
% of PIs measurable for programme				100%	% of outputs achieved	76%
Total number of PIs for the Department:				261	Total number of outputs	261
Total number of PIs measurable for the Department:				254	Total number of outputs achieved	199
% of PIs measurable for the Department:				97%	% of priority outputs achieved	76%

Principle 3: Development-Oriented Public Administration

Background

1. Constitutional principle	Public Administration must be development-oriented.												
2. Performance Indicator	The department is effectively involved in programmes/projects that aim to promote development and reduce poverty.												
3. Standards	<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 80%;">DESCRIPTION</th> <th style="width: 20%;">POINTS</th> </tr> </thead> <tbody> <tr> <td>1. At least half the projects are of an acceptable standard in terms of beneficiary participation</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>2. At least half the project plans are of an acceptable project management standard</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>3. At least half of the projects are aligned with local development plans</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>4. A system is in place for systematically institutionalising lessons learnt</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td style="text-align: right;">Maximum possible score</td> <td style="text-align: center;">4,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	1. At least half the projects are of an acceptable standard in terms of beneficiary participation	1,00	2. At least half the project plans are of an acceptable project management standard	1,00	3. At least half of the projects are aligned with local development plans	1,00	4. A system is in place for systematically institutionalising lessons learnt	1,00	Maximum possible score	4,00
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3. At least half of the projects are aligned with local development plans	1,00												
4. A system is in place for systematically institutionalising lessons learnt	1,00												
Maximum possible score	4,00												

Assessment

4. Participation of beneficiaries in the design of projects	<p>Overview:</p> <p>Since the National Department has been tasked with policy development and regulation, it is not directly involved in the implementation of housing projects. However, the Department develops policies to guide provincial departments that are implementing the projects. Due to this, the Departmental Policy on Housing and the National Housing Code (NHC) were used to assess the Department's performance against this principle.</p> <p>The NHC states that "It is important that communities and the beneficiaries of the government housing programmes are mobilised to assist the National Department of Housing in implementing the Comprehensive Plan". This will be done through a comprehensive mobilisation and communication strategy to clarify the intentions of the policy and a "Letsema" campaign. The campaign is launched to encourage communities to work together to improve each other's lives. With regards to strengthening the people's contract, communities and community-based organisations are mobilised to engage more effectively with housing programmes. Community Development Workers (CDW) have been appointed and their functions are as follows:</p> <ul style="list-style-type: none"> • To create awareness; • Provide consumer education; • Undertake assessments and surveys; • Handle complaints; and • Provide after hour support to communities. <p>All these functions are done in consultation and collaboration with provincial departments, municipalities and ward committees.</p> <p>According to the NHC, in evaluating an application for housing funding by housing institutions, the MEC takes the issue of planning and design into account amongst other things. The MEC looks at the extent to which innovative and well considered planning and design contribute to a wholesome living environment that instils pride and sense of belonging amongst beneficiaries. Specific attention is given to the nature, extent and level of involvement of beneficiaries that was achieved in the planning process.</p> <p>Rating:</p> <p>The National Housing Code encourages the participation of beneficiaries in the design and implementation of housing projects. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02)</p>
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	<p>and the re-assessment (09/10)</p> <p>Beneficiaries were consulted in the design of projects through the People's Housing Process, which is one of the subsidy options.</p>
<p>5. Good project management standards</p>	<p>Overview:</p> <p>The Department has a guide named "The Multi-Year Housing Development Plan" (MHDP) to guide Provincial Housing Departments to fulfil the legal requirement of preparing MHDPs.</p> <p>The MGDP provides the template for provincial departments to prepare a five year MHDP. The MHDP shows the key requirements needed in each plan in order to assist the National Department to prepare the National Housing Development Plan. The Key requirements include:</p> <ul style="list-style-type: none"> • Housing situation analysis (housing delivery environment, spatial analysis of housing delivery, summary of the internal institutional housing environment, past housing performance). • Housing strategic issues (departmental policies, priorities and strategic goals; housing policy statement; housing priorities; housing principles; risks to achieving housing strategies). • Information systems to monitor progress (financial information system, transaction processing system, accounting information system, internal audit, operational information system, and information reporting systems). • Description of strategic planning process. • Reconciliation of budget with plan. <p>Rating:</p> <p>The Department has a guide named "The Multi-Year Housing Development Plan" (MHDP) to guide Provincial Housing Departments to fulfil the legal requirement of preparing a MHDP. The MHDP guide outlines all the issues that must be addressed in the provincial MHDP. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment of 2001/02 the Department had implemented the Housing Subsidy System (HSS), to administer and manage the implementation of the subsidy scheme as well as housing projects. The system made provision for various reports to monitor progress and implementation. The HSS is still in operation.</p>
<p>6. Alignment of the programme with local development plans</p>	<p>Overview:</p> <p>The housing situation analysis component of the MHDP includes a Provincial Spatial Development Framework, which is developed with inputs from Municipal Integrated Development Plans (IDPs). Key spatial elements of municipalities include infrastructure investment; vacant land identified for development, key priority areas for housing, and informal settlements. The Department's Resource Book on Housing Chapters states that "the IDP should guide where national and provincial sector departments allocate their resources at local government level, and that sector departments are encouraged to participate in the integrated planning process to ensure that there is alignment between its programmes and that of municipalities.</p> <p>According to the NHC, the development of Housing Chapters of IDPs is advocated to ensure that housing needs assessments, as well as identification, surveying and prioritisation of informal settlements, are included in each IDP.</p> <p>Rating:</p> <p>The MHDPs are aligned with the Local Development Plans. A full score of 1,00 is awarded.</p>

	<p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>Provincial Housing Departments finalised their multi-year housing delivery plans in the 2001/02 financial year in terms of which future housing fund allocations would have been made to address the need for housing in the areas with the greatest need. These multi-year plans were aligned with IDPs. The various provincial housing development plans were combined in a national housing development plan, which formed the basis for negotiating housing funds from National Treasury.</p>												
<p>7. Learning</p>	<p>Overview:</p> <p>Ten years after the introduction of the housing programme in 1994, a comprehensive review was undertaken of the outcomes of the programme and the changes in the socio-economic context in the country. The review led to the approval of the Comprehensive Plan for Sustainable Human Settlements, commonly referred to as “Breaking New Ground (BNG)”, by Cabinet in September 2004.</p> <p>While the BNG retains the principles of the Housing White Paper, it shifts focus to improving the quality of housing and housing environments by integrating communities and settlements. The Department utilised the review to consciously reflect on lessons learned and to apply these to future projects. In order to support the implementation of the BNG, housing departments in all spheres of government, as well as Housing Support Institutions, have been extensively restructured. The NHC 2000 has been substantially revised. The NHC, 2009, is aimed at simplifying the implementation of housing projects by being less prescriptive, while providing clear guidelines.</p> <p>Rating:</p> <p>The Department does have a system in place to identify lessons learnt for application to future projects. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 it was found that the HSS enabled the Department to identify any blockages in the housing delivery process in respect of housing subsidy projects. These problem areas were then addressed to prevent future delays. However, since the Department did not submit any information, it was not possible to assess to what extent the HSS is still utilised in this regard.</p>												
<p>8. Success of the projects</p>	<p>Overview:</p> <p>This standard is not applicable to the Department.</p>												
<p>Rating</p>													
<p>9. Score</p>	<table border="1"> <thead> <tr> <th data-bbox="446 1612 1292 1646">DESCRIPTION</th> <th data-bbox="1292 1612 1396 1646">POINTS</th> </tr> </thead> <tbody> <tr> <td data-bbox="446 1646 1292 1680">1. At least half the projects are of acceptable standard in terms of beneficiary participation</td> <td data-bbox="1292 1646 1396 1680">1,00</td> </tr> <tr> <td data-bbox="446 1680 1292 1713">2. At least half the project plans are of an acceptable project management standard</td> <td data-bbox="1292 1680 1396 1713">1,00</td> </tr> <tr> <td data-bbox="446 1713 1292 1747">3. At least half of the projects are aligned with local development plans</td> <td data-bbox="1292 1713 1396 1747">1,00</td> </tr> <tr> <td data-bbox="446 1747 1292 1780">4. A system is in place for systematically institutionalising lessons learnt</td> <td data-bbox="1292 1747 1396 1780">1,00</td> </tr> <tr> <td data-bbox="446 1780 1292 1814" style="text-align: right;">Total score</td> <td data-bbox="1292 1780 1396 1814">4,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	1. At least half the projects are of acceptable standard in terms of beneficiary participation	1,00	2. At least half the project plans are of an acceptable project management standard	1,00	3. At least half of the projects are aligned with local development plans	1,00	4. A system is in place for systematically institutionalising lessons learnt	1,00	Total score	4,00
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<p>11. Useful sources to consult on this principle</p>	<ol style="list-style-type: none"> 1. Republic of South Africa. Public Service Commission. <i>Report on the Evaluation of the Implementation of the Batho Pele Principle of Consultation</i>. October 2007. 2. Republic of South Africa. Public Service Commission. <i>Report on the Evaluation of Government's Poverty Reduction Programme</i>. October 2007.

Principle 4: Impartiality and Fairness

Background																																											
1. Constitutional principle	Services must be provided impartially, fairly, equitably and without bias.																																										
2. Performance indicator	There is evidence that the Department follows the prescribed procedures of the PAJA when making administrative decisions.																																										
3. Standards	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #cccccc;"> <th style="width: 80%; text-align: center; padding: 2px;">DESCRIPTION</th> <th style="width: 20%; text-align: center; padding: 2px;">POINTS</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">A. Duly authorised decisions</td> <td></td> </tr> <tr> <td style="padding: 2px;"><u>A.1 Decisions in terms of legislation/policy</u></td> <td></td> </tr> <tr> <td style="padding: 2px;">➤ All the decisions were taken in terms of the appropriate legislation/policy. OR</td> <td style="text-align: center; vertical-align: top; padding: 2px;">1,50</td> </tr> <tr> <td style="padding: 2px;">➤ Fifty percent and more of the decisions were taken in terms of the appropriate legislation/policy. OR</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,75</td> </tr> <tr> <td style="padding: 2px;">➤ Less than fifty percent of the decisions were taken in terms of the appropriate legislation/policy.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,00</td> </tr> <tr> <td style="padding: 2px;"><u>A.2 Decisions in terms of delegations</u></td> <td></td> </tr> <tr> <td style="padding: 2px;">➤ All the decisions were taken by duly authorised officials in terms of the departmental delegations of authority. OR</td> <td style="text-align: center; vertical-align: top; padding: 2px;">1,50</td> </tr> <tr> <td style="padding: 2px;">➤ Fifty percent and more of the decisions were taken by duly authorised officials in terms of the departmental delegations of authority. 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OR</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,25</td> </tr> <tr> <td style="padding: 2px;">➤ 0% to 24% of the decisions were just and fair.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,00</td> </tr> <tr> <td style="padding: 2px;">C. Communicating administrative decisions</td> <td></td> </tr> <tr> <td style="padding: 2px;">1. Prior notice to administrative action is given in all cases.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,25</td> </tr> <tr> <td style="padding: 2px;">2. Opportunities are provided in all the cases reviewed to make representations before action is taken.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,25</td> </tr> <tr> <td style="padding: 2px;">3. In 100% of the cases administrative decisions that adversely affect anyone's rights are clearly communicated with adequate notice of the right to appeal or review or request reasons for decisions is given.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,25</td> </tr> <tr> <td style="padding: 2px;">4. Requests for the reasons for decisions are properly answered in at least one third of the cases reviewed.</td> <td style="text-align: center; vertical-align: top; padding: 2px;">0,25</td> </tr> <tr> <td style="text-align: right; padding: 2px;">Maximum possible score</td> <td style="text-align: center; padding: 2px;">5,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	A. Duly authorised decisions		<u>A.1 Decisions in terms of legislation/policy</u>		➤ All the decisions were taken in terms of the appropriate legislation/policy. OR	1,50	➤ Fifty percent and more of the decisions were taken in terms of the appropriate legislation/policy. 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4. Duly authorised decisions	<p>Overview:</p> <p>Despite numerous requests, the Department failed to submit the necessary information. Given the importance of PAJA in relation to impartial and fair decision-making, it is of concern that the Department did not provide the necessary information on this principle.</p>																																										
5. Just and fair decisions	<p>Overview:</p> <p>Despite numerous requests, the Department failed to submit the necessary information. Therefore, the Department's performance against this standard</p>																																										

	<p>could not be assessed.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>No assessment was done against this standard during the 2001/02 assessment since the Department did not submit the necessary documentation for assessment.</p>														
6. Communicating administrative decisions	<p>Overview:</p> <p>Despite numerous requests, the Department failed to submit the necessary information. Therefore, the Department's performance against this standard could not be assessed.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The Department's response during the first assessment in 2001/02 was that its core business is such that it does not provide services <u>directly</u> to citizens/members of the public or enter into administrative relationships with citizens, e.g. issue licenses, certificates etc. The Department was further of the opinion that Sections 3 and 4 of the PAJA only apply where the administrative action <u>materially and adversely</u> affect the rights of any person/public.</p> <p>The Department concluded that the assessment would, therefore, be incorrect because the nature of the functions performed by the Department (i.e. the Department does not provide services directly to citizens/public) was not taken into account in the assessment.</p> <p>The PSC concurs with the Department's opinion set out above, namely that the PAJA does not apply to the Department. The PSC's indicator and standards for this principle are, therefore, not applicable to the department and this is indicated in the scoring tables.</p>														
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Principle 5: Public Participation in Policy-making

Background

1. Constitutional principle	People's needs must be responded to and the public must be encouraged to participate in policy-making.																						
2. Performance indicator	The Department facilitates public participation in policy-making.																						
3. Standards	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">DESCRIPTION</th> <th style="width: 20%;">POINTS</th> </tr> </thead> <tbody> <tr> <td>1. An approved policy/ guideline on public participation in policy-making is in place.</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>2. System for participation</td> <td></td> </tr> <tr> <td>➤ A system is in place and used for generating inputs in more than half the cases.</td> <td style="text-align: center;">2,00</td> </tr> <tr> <td style="text-align: center;">OR</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>➤ A system is in place, but not always used.</td> <td></td> </tr> <tr> <td>3. Inputs are responded to and used</td> <td></td> </tr> <tr> <td>➤ In at least half the cases contributions are acknowledged <u>and</u> considered.</td> <td style="text-align: center;">2,00</td> </tr> <tr> <td style="text-align: center;">OR</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>➤ In at least half the cases contributions are acknowledged, but <u>not</u> considered.</td> <td></td> </tr> <tr> <td style="text-align: right;">Maximum possible score</td> <td style="text-align: center;">5,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	1. An approved policy/ guideline on public participation in policy-making is in place.	1,00	2. System for participation		➤ A system is in place and used for generating inputs in more than half the cases.	2,00	OR	1,00	➤ A system is in place, but not always used.		3. Inputs are responded to and used		➤ In at least half the cases contributions are acknowledged <u>and</u> considered.	2,00	OR	1,00	➤ In at least half the cases contributions are acknowledged, but <u>not</u> considered.		Maximum possible score	5,00
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Assessment

4. Policy and guidelines	<p>Overview:</p> <p><i>Policy/guideline</i></p> <p>The Department submitted a document titled "Human Settlement Policy and Strategy Development Model for Provincial and Local Governments, 2008" for assessment against this principle. The aim of this document is to enhance provinces' ability to develop the required plans in consultation with all the relevant role players in the province.</p> <p><i>Staff awareness of policy and guideline</i></p> <p>Officials are generally aware of the Human Settlement Policy and Strategy and copies are distributed to provincial departments of housing.</p> <p><i>Availability of policy and guideline</i></p> <p>The Human Settlement Policy can be obtained from the Directorate Policy Development Assistance.</p> <p><i>Quality and scope of the policy</i></p> <p>After carefully analysing the Human Settlement Policy it was concluded that it is not a policy on public participation, but a policy on how provincial departments can develop policies and set up a policy unit within a department. This document is evidence of the Department's commitment to the process of continuous engagement with its Provincial and Local Government counterparts, agencies and to some extent, direct contact with potential beneficiaries of the subsidised housing scheme.</p> <p>Rating:</p> <p>The Department does not have an approved policy/guideline on public participation in policy-making. A score of 0,00 out of 1,00 is awarded.</p> <p>Areas for improvement:</p> <p>The Department should with immediate effect, develop a comprehensive policy on public participation in policy-making.</p> <p>This policy should address at least the following areas:</p> <ul style="list-style-type: none"> ○ What should be achieved?
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	<ul style="list-style-type: none"> o Whose inputs should be obtained? o On what should comments be obtained? o The procedures that should be followed. o The consideration and acknowledgement of inputs received in the participation process. o The procedures for including the results of the participation process in policy making. <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The 2001/02 PSC report commended the work of the Department regarding public participation and recommended that efforts should be made to increase public participation, especially during the earlier phases of policy design and conceptualisation so that citizens are able to influence macro level and long term issues rather than just participating in implementation.</p>										
<p>5. System for soliciting participation and inclusion of public comments</p>	<p>Overview:</p> <p>Whenever policy documents are referred for public comment, inputs from the public are considered in policy-making process. Stakeholders mentioned in the NHC are consulted following the process outlined in the NHC.</p> <p>The provision of feedback to people, parties and communities that made inputs into the policy development process is facilitated through workshops and summits involving the major contributors to policy formulation and review. No evidence in this regard was provided.</p> <p>Additional Questions: Housing Projects</p> <p>Even though the Department does not interact directly with housing beneficiaries, the Department, through its NHC, encourages that communities and beneficiaries of government housing programmes should be mobilised to help departments to implement the Comprehensive Housing Plan. This was achieved through the development of a comprehensive mobilisation and communication strategy. A “Letsema” campaign was launched to encourage communities to work together to improve their lives.</p> <p>Rating:</p> <p>The Department does solicit inputs from the public. Public comments are included in policies and feedback is provided. Evidence was provided that the system is used. A full score of 2,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The 2001/02 report indicated that whenever the Department referred policy documents for public comment, these inputs from the citizenry were factored into the final policy product.</p> <p>The provision of feedback to people, parties and communities that made inputs into the policy development process was facilitated through workshops and summits designed to give feedback at major contributors to policy formulation and review.</p>										
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9. Useful sources to consult on this principle	<ol style="list-style-type: none"> 1. Republic of South Africa. Public Service Commission. <i>Report on the Evaluation of the Implementation of the Batho Pele Principle of Consultation.</i> October 2007. 2. Republic of South Africa: Public Service Commission. <i>Step-By-Step Guide to Holding Citizens' Forums.</i> Pretoria. September 2005.

Table 5.1: System for soliciting participation

A	B	C
Policy name / area	Inputs solicited (Yes/No)	Inputs responded to and incorporated (Yes/No)
1. National Housing Programmes: Consultation through the Task Team: Development of National Housing Programmes, comprising 9 provinces, metropolitan municipalities and co-opted sector such as sector departments, AGRI SA Labour Unions, Employer Unions, Leaders of Traditional Council, Private sector institutions such as SAPOA, BASA and professional bodies. During the 2008/09 financial year the following policies were subjected to the above process.	Yes	Yes
2. The new Housing Code	Yes	Yes
3. Farm Residents Housing Assistance Programme	Yes	Yes
4. The Rural Individual Housing Subsidy Voucher Programme, etc.	Yes	Yes
5. The Inclusionary Housing Programme	Yes	Yes
6. The Financed Linked Housing Subsidy Scheme	Yes	Yes

Principle 6: Accountability

Background																							
1. Constitutional principle	Public administration must be accountable.																						
2. Performance indicator	<ol style="list-style-type: none"> 1. Adequate internal financial controls and performance management are exerted over all departmental programmes. 2. Fraud prevention plans, based on thorough risk assessments, are in place and are implemented. 																						
3. Standards	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">DESCRIPTION</th> <th style="width: 20%;">POINTS</th> </tr> </thead> <tbody> <tr> <td>1. Internal financial controls</td> <td></td> </tr> <tr> <td> <ul style="list-style-type: none"> ➤ The Auditor-General (A-G) issued an unqualified audit opinion and concluded that the internal financial control measures are adequate in all respects with no areas flagged as needing attention. 1,00 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ The A-G concluded that the internal financial control measures are mostly adequate with certain important areas flagged as needing attention. 0,50 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ The A-G issued a qualified/an adverse/a disclaimer of opinion, concluded that the internal financial control measures are inadequate and flagged important areas as needing attention. 0,00 </td> <td></td> </tr> <tr> <td>2. A performance management (M&E) system on all departmental programmes is in operation.</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>3. Risk assessment</td> <td></td> </tr> <tr> <td> <ol style="list-style-type: none"> 1. All the Department's activities/applications have been addressed. 0,25 2. The seriousness of each risk has been assessed. 0,25 3. The risks have been prioritised. 0,25 4. Internal control measures have been devised. 0,25 </td> <td></td> </tr> <tr> <td>4. Fraud prevention plan</td> <td></td> </tr> <tr> <td> <ol style="list-style-type: none"> 1. A comprehensive and appropriate fraud prevention plan is in place 0,50 2. The fraud prevention plan is based on a thorough risk assessment. 0,50 </td> <td></td> </tr> <tr> <td>5. Implementation of the fraud prevention plan</td> <td></td> </tr> <tr> <td> <ul style="list-style-type: none"> ➤ Sufficient staff members to investigate cases of fraud are in place. 0,25 <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ➤ All strategies of the fraud prevention plan have been implemented 0,75 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ At least 80% - 100% of the strategies of the fraud prevention plan have been implemented. 0,50 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ At least 50% - 79% of the strategies of the fraud prevention plan have been implemented. 0,25 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ Less than 50% of the strategies of the fraud prevention plan have been implemented. 0,00 </td> <td></td> </tr> <tr> <td style="text-align: right;">Maximum possible score</td> <td style="text-align: center;">5,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	1. Internal financial controls		<ul style="list-style-type: none"> ➤ The Auditor-General (A-G) issued an unqualified audit opinion and concluded that the internal financial control measures are adequate in all respects with no areas flagged as needing attention. 1,00 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ The A-G concluded that the internal financial control measures are mostly adequate with certain important areas flagged as needing attention. 0,50 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ The A-G issued a qualified/an adverse/a disclaimer of opinion, concluded that the internal financial control measures are inadequate and flagged important areas as needing attention. 0,00 		2. A performance management (M&E) system on all departmental programmes is in operation.	1,00	3. Risk assessment		<ol style="list-style-type: none"> 1. All the Department's activities/applications have been addressed. 0,25 2. The seriousness of each risk has been assessed. 0,25 3. The risks have been prioritised. 0,25 4. Internal control measures have been devised. 0,25 		4. Fraud prevention plan		<ol style="list-style-type: none"> 1. A comprehensive and appropriate fraud prevention plan is in place 0,50 2. The fraud prevention plan is based on a thorough risk assessment. 0,50 		5. Implementation of the fraud prevention plan		<ul style="list-style-type: none"> ➤ Sufficient staff members to investigate cases of fraud are in place. 0,25 <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ➤ All strategies of the fraud prevention plan have been implemented 0,75 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ At least 80% - 100% of the strategies of the fraud prevention plan have been implemented. 0,50 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ At least 50% - 79% of the strategies of the fraud prevention plan have been implemented. 0,25 <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> ➤ Less than 50% of the strategies of the fraud prevention plan have been implemented. 0,00 		Maximum possible score	5,00
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4. Internal financial controls	<p>Overview:</p> <p><i>Compliance audit</i></p> <p>Based on the appropriateness of accounting policies used and overall presentation of financial statements the A-G issued an unqualified audit opinion.</p> <p><i>Emphasis of matter</i></p> <p>The A-G was concerned about governance in the Department. The following</p>																						

	<p>matters were highlighted:</p> <ul style="list-style-type: none"> • The financial statements submitted for auditing were subject to material amendments resulting from the audit. • Difficulties were experienced during the audit concerning delays or the unavailability of expected information. • The unavailability of senior managers to be interviewed on the Department's performance. <p>Additional Questions: Housing Projects</p> <p>The questions could not be answered due to the unavailability of relevant information and managers. This problem was also experienced by the Auditor - General in his preparation of the 2007/08 Audit Report.</p> <p>Rating:</p> <p>The Auditor-General issued the Department with an unqualified audit opinion for the 2007/08 financial year. However, the A-G highlighted concerns regarding the governance in the Department, which include the unavailability of information and senior managers. A score of 0,50 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>An unqualified audit opinion was also issued for the financial year 2001/02. The A-G argued that in all material conditions, the financial statements of the Department fairly represented the financial position of the Department as at 31 March 2002. The Department maintained its performance against this standard.</p>
<p>5. Performance management (M&E) system</p>	<p>Overview:</p> <p>The Department has a formal performance management (M&E) system on all departmental programmes in operation. It ensures by means of quarterly reports that responsibility managers report in detail on all the programmes of the Department. The Department is optimally utilizing the existing national transversal systems such as PERSAL, BAS and LOGIS to generate data for performance reporting reasons. The Department, therefore, complies with this standard set by the PSC's Transversal M&E System.</p> <p>Additional Questions: Housing</p> <p>The Department has introduced the following interventions to enhance data collection, management information, M&E and performance management:</p> <ul style="list-style-type: none"> • Monitoring of housing subsidy and expenditure data through a development of a strategy that aims to improve data input and interpretation; • A comprehensive housing sector monitoring, information and reporting system based on key performance indicators has been developed; and • Monitoring, evaluation and Impact Assessment Policy (MEIA) has been developed. The policy sets the basis for the development and implementation of the system within the department. The purpose of the policy is to outline the broad activities to be carried out in relation to the development and implementation of a MEIA system and to outline the administrative arrangements to support the implementation of such a system. <p>The Department regard this system to be sufficient.</p> <p>Rating:</p> <p>The Department has a formal performance management (M&E) system on all departmental programmes in operation. The BAS, PERSAL and LOGIS systems are utilised to monitor the performance of the Department's finance, personnel and supply chain management. The Department, therefore, complies with this standard set by the PSC's Transversal M&E System and a full score of</p>

	<p>1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 this standard did not form part of the PSC's Transversal M&E system. Therefore, a comparative analysis can not be made.</p>
<p>6. Risk assessment</p>	<p>Overview:</p> <p>The Department submitted Annexure A and B of a Risk Report dated 28 May 2008 for assessment.</p> <p><i>The identification of risks</i></p> <p>The Department did conduct a risk assessment exercise. Twenty-five risks were identified and are contained in the Annexure to the Risk Report.</p> <p><i>The seriousness of risks have been assessed</i></p> <p>The seriousness of the 25 risks was assessed in terms of likelihood, impact, and inherent risk rating.</p> <p><i>Control measures have been devised</i></p> <p>For each risk, the department developed mitigating controls.</p> <p>Additional Questions: Housing</p> <p>The following risks in relation to housing projects appear in the department's risk assessment report:</p> <ul style="list-style-type: none"> • Alignment of grant funding and provincial capacity. • Fraud, corruption, mismanagement and misappropriation (housing grant) • Concurrency conflicts between spheres of government. • Business continuity- Information management and IT Infrastructure, for example, National Housing Demand and Urbanisation Information management system. • Building material availability. • Access to appropriate land for housing purposes. • Non-delivery of houses due to lack of scientific research, implementation and planning. • Provinces not following policy prescripts (funds not spent on housing). <p>The risks are addressed through:</p> <ul style="list-style-type: none"> • Monitoring of spending. • Revision of cash flow and payment schedule to provinces. • Tracking monthly expenditure and delivery targets against business plans. • Implementation of internal controls as per fraud prevention strategy policy. • Sustained consultation through task team. • Established Chief Directorate for Intergovernmental and Internal Relations. • Implementation of the Information Technology and Communication Strategy • Social contract for rapid housing delivery. • Chief Director: Stakeholder management to intervene in the industry to regulate supply and pricing. • Chief Director: Human Settlement Planning to implement and continuously monitor land acquisition policy programme. • Development of a National Housing Development Plan. • Provide structured policy guidance and clear policy interpretations. • Agreement between the Director-General and HoDs on working procedure and mandate regarding policy development process. <p>Rating:</p> <p>The Department conducted a risk assessment exercise during the 2008/09</p>

	<p>financial year during which all activities and/or applications were assessed. The seriousness of each risk was assessed, and was rated in terms of its consequences and impact. Appropriate internal control measures were devised to address the risks in the Department. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The 2001/02 PSC assessment established that there was evidence that the Department had done a risk assessment and developed a risk report. The Department maintained performance under this standard.</p>
<p>7. Fraud Prevention Plan</p>	<p>Overview:</p> <p>The Department's fraud prevention plan (FPP) was assessed against the standards set in Table 6.1 for a good FPP at the end of the report on this principle. Following is a brief discussion on the Results against each standard:</p> <p><i>Comprehensive FPP implementation plan</i></p> <p>The Department submitted a Fraud Prevention Plan Revision 2 dated April 2007 and the Fraud Policy and Incident Response Plan: Annexure A to the Fraud Prevention Plan, Revision 2 dated April 2008 for assessment. It looks like both these documents are drafts because there is no signature to show that the documents have been adopted by the Director-General of the Department.</p> <p><i>Basis of FPP and strategies</i></p> <p>The Draft Fraud Prevention Policy and Plan is based on the Departmental value system that was adopted and endorsed by all staff. Through this Policy, the Department states emphatically that it will take appropriate action against fraudsters and corrupt individuals, for example prosecution, disciplinary action, etc. This is an indication of the department's commitment of zero tolerance towards fraud and corruption</p> <p><i>Fraud Data Base</i></p> <p>The plan (p.13) states that "the Department has identified the fact that no consolidated record is kept of allegations of fraud and corruption. According to the plan, the Department will ensure that a fraud and corruption information system is developed for recording all allegations, tracking progress with the management of allegations, etc.</p> <p><i>Responsibility to contribute towards eliminating fraud</i></p> <p>It is the responsibility of all staff to report all incidents of fraud or other suspected irregularities of this nature with immediate effect to their managers.</p> <p><i>Community awareness</i></p> <p>The plan aims to create awareness through two approaches namely: education and communication. The education component will create awareness amongst employees by informing employees on an ongoing basis on what constitutes fraud and corruption. The communication component is to also create awareness of the plan amongst employees, the public and other stakeholders. The department considers the following communication strategies: posters, newsletters, pamphlets and other publications to advertise the Code and the Fraud Policy.</p> <p><i>Reporting line of fraud and corruption</i></p> <ul style="list-style-type: none"> • All allegations of fraud and corruption should be reported by employees to their immediate managers. • If there is a concern that the immediate manager is involved, the report must be made to the D-G and/or the Chairperson of the Audit Committee. • All Managers should report all allegations to the D-G who will initiate an investigation; and • Should an employee wish to make a report anonymously, such a report may

	<p>be made to the National Anti-Corruption Hotline, any member of management, the D-G or the Chairperson of the Audit Committee.</p> <p><i>Protected disclosure</i></p> <p>To prevent victimisation of whistle blowers by fellow employees or managers in contravention of the Protected Disclosures Act 26 of 2000. The Department will consider the finalisation of a more comprehensive Whistle Blowing Policy.</p> <p><i>No discretion in external reporting of fraud</i></p> <p>The Department encourages members of the public or service providers who suspect fraud and corruption to contact the National Anti-Corruption Hotline, any member of management and/or the D-G.</p> <p><i>Provision for investigating fraud and corruption</i></p> <p>For issues raised by employees or members of the public, the action taken by the Department will depend on the nature of the concern. The matters raised will be screened and evaluated and may subsequently be investigated internally or be referred to another law enforcement agency.</p> <p><i>Prompt investigation of all instances of suspected fraud</i></p> <p>It is the responsibility of all managers to report all incidents of fraud and other suspected irregularities of this nature with immediate effect to the D-G.</p> <p><i>No interference in investigation from management</i></p> <p>The Policy states that independence and objectivity of investigations are paramount.</p> <p><i>Skilled officers to undertake investigations</i></p> <p>The Policy is silent on who should conduct the investigations.</p> <p><i>Code of Conduct for the Public Service</i></p> <p>The Policy does cover the Code of Conduct for the Public Service.</p> <p>Additional Questions: Housing</p> <p>The Department's fraud prevention plan makes provision for regular specific fraud and corruption detection reviews by conducting presentations to managers and staff. This is being done to ensure that they have a more detailed understanding of the fraud and corruption risks associated with the area of the Housing Subsidy Scheme. Other areas include procurement/supply chain management. Conflict of interest and private work declarations.</p> <p>Rating:</p> <p>The Department does have a fraud prevention plan (FPP) in place that complies with twelve (85%) of the 13 requirements set by the PSC's Transversal M&E System for a good fraud prevention plan dealt with in Table 6.1 at the end of the Main Report on this principle. The FPP is based on a thorough risk assessment. A full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 the Department did have a comprehensive and appropriate FPP in place. However, it was recommended that the Department needs to:</p> <ul style="list-style-type: none"> • Dedicate resources to fraud prevention. This could be achieved by designating some officials to constitute a Fraud Prevention Unit/ Committee. • Clarify roles and responsibilities of various members of the Fraud Prevention Unit/Committee. • Align its Fraud Response Plan with the risks identified in the Risk Assessment Report of the Department.
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	<p>It is clear from the current assessment that the Department has implemented the recommendations. An audit committee has been established, and the roles and responsibilities of various members of the audit committee have been clarified, and the fraud prevention plan is based on risks identified in the risk assessment report.</p>																														
8. Implementation of the Fraud Prevention Plan	<p>Overview:</p> <p><i>Key staff to investigate cases of fraud</i></p> <p>According to the Department, there are 3 key staff members to investigate cases of fraud, who are highly competent to investigate cases of misconduct. One of the officials is at assistant director level, one at deputy director level and one senior manager at director level.</p> <p><i>Implementation of the strategies of the fraud prevention plan</i></p> <p>The FPP states that the Risk Management Committee ensures that ongoing communication and implementation strategies are developed and implemented.</p> <p>Rating:</p> <p>The Department has sufficient staff to investigate cases of fraud and there is evidence that strategies of the Draft Fraud Prevention Policy and Plan have been implemented, therefore a full score of 1,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The above assessment found that the Department had a fraud prevention plan that provided broad principles of what constitutes acceptable professional behaviour. The Fraud Prevention Plan set a comprehensive legal framework, but fell short of outlining roles and responsibilities for key players in fraud prevention. The Department had inadequate in-house fraud investigation capacity that could be mobilized and activated quickly without incurring extra or unforeseen costs.</p> <p>This assessment established that an audit committee has been established, and the roles and responsibilities of various members of the audit committee have been clarified and there are three officials that are highly competent to investigate cases of misconduct. One of the officials is at assistant director level, one at deputy director level and one senior manager at director level.</p>																														
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7. Useful sources to consult on this principle	<ol style="list-style-type: none"> 1. Republic of South Africa. National Treasury. <i>Framework for Managing Programme Performance Information</i>. May 2007. 2. Republic of South Africa. National Treasury. <i>Fraud Prevention Strategy Template, Inclusive of Policy, Control Strategies and Procedures for Investigations</i>. Pretoria. April 2009. 3. Republic of South Africa. Public Service Commission. <i>A guide for Public Service Managers promoting Public Sector Accountability Implementing the Protected Disclosures Act</i>. Undated. 4. Republic of South Africa. Public Service Commission. <i>Basic Concepts in Monitoring and Evaluation</i>. Pretoria. February 2008. 5. Republic of South Africa. Public Service Commission. <i>Conceptual Framework for Meta-Evaluation</i>. December 2007. 6. Republic of South Africa. Public Service Commission. <i>National Anti-Corruption Hotline Toolkit</i>. 2006. 7. Republic of South Africa. Public Service Commission. <i>Report on the Implementation of Fraud Prevention Plans in the Public Sector</i>. November 2007. 8. Republic of South Africa. Public Service Commission. <i>Report on the Audit of Reporting Requirements and Departmental Monitoring and Evaluation Systems within Central and Provincial Government</i>. 2007. 9. Republic of South Africa. Public Service Commission. <i>Report on the Implementation of Fraud Prevention Plans in the Public Service</i>. 2008. 10. Republic of South Africa. The Presidency. <i>Policy for the Government-wide Monitoring and Evaluation System</i>. November 2007.

Table 6: 1 Checklist on fraud prevention

Standard	√
1. A comprehensive implementation plan and responsibility structure must be developed to implement and give effect to the department's fraud control strategy.	√
2. Fraud prevention strategies must be based on a thorough risk assessment.	√
3. A fraud database should be in place.	X
4. It must be clear that every employee has a responsibility to contribute towards eliminating fraud.	√
5. Service users, suppliers and the broader community should be made aware of the department's stance on fraud and corruption.	√
6. It should be clear to everybody to whom and how fraud should be reported	√
7. A clear policy on protected disclosures must be in place.	√

Standard	√
8. Accounting officers must be clear that there is no discretion in the reporting of fraud to either the police or other independent anti-corruption agencies.	√
9. Provision must be made for the investigation of fraud once reported.	√
10. All instances of suspected fraud must be promptly examined by the department to establish whether a basis exists for further investigation.	√
11. Fraud investigations must be conducted without interference from management.	√
12. Investigations must be undertaken by skilled officers.	X
13. The expected standards of conduct (code) must be clear. The Code of Conduct for the Public Service must be applied to the specific circumstances of the department.	√
Total Requirements to comply with	13
Number of Requirements met (yes)	11
Number of Requirements not met (no)	2
% of requirements met	85%

Source: *Australia. New South Wales Premier's Department. Office of Public Management. Fraud Control: Developing an effective strategy. Vol. 2, 1994.*

Principle 7: Transparency

Background

1. Constitutional principle	Transparency must be fostered by providing the public with timely, accessible and accurate information.
2. Performance indicator	<p>A. Departmental Annual Report</p> <ul style="list-style-type: none"> ➤ The AR complies with National Treasury's Guideline on Annual Reporting. <p>B. Access to Information</p> <ul style="list-style-type: none"> ➤ The Department complies with the provisions of the PAIA 2000 (Act 2 of 2000).

3. Standards

DESCRIPTION	POINTS
A. Departmental Annual Report (AR)	
A.1 Presentation of the AR	
1. The AR is attractively and clearly presented.	0,25
2. The AR is well written in simple accessible language.	0,25
A.2 Content of the AR	
The AR covers in sufficient detail at least 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration.	0.50
A.3 Performance reporting	
The AR clearly reports on performance against predetermined outputs in at least two thirds of the programmes listed.	2,00
B. Access to Information	
B.1 Appointed DIOs to deal with requests for access to information	
The department has at least one DIO with duly delegated authority.	0,50
B.2 Manuel on Access to Information (MAI)	
The department does have a MAI in place that complies with the requirements of the PAIA.	0,50
B.3 System for managing request for access to information	
Systems for managing requests for access to information are in place.	1,00
Maximum possible score	5,00

Assessment

4. Presentation of the Departmental AR	<p>Overview:</p> <p><i>The title and date of the AR</i></p> <p>The title of the Department's Annual Report reads as follows: "Annual Report 2007-08, Department of Housing, Republic of South Africa.</p> <p><i>The impression it conveys</i></p> <p>The AR is attractively presented. It conveys the impression that a concerted effort has been made to provide the public with detailed and comprehensive information about the core functions and activities of the Department. Reporting on the achievements of outputs against set targets was found to be adequate in relation to all programmes.</p> <p><i>The overall quality of the AR</i></p> <p>The outside cover of the 198-page AR is attractive, glossy, and meticulously reflects the Department's activities, which assists to increase awareness of the Department's core functions. It is of an acceptable quality and the presentation of information is straightforward and factual.</p> <p><i>The level of readership to which it is aimed</i></p> <p>The AR is reader-friendly. The information is clearly written in an accessible</p>
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	<p>language, summarised in short paragraphs and captured in simple, easy to follow tables. This enables readers at various levels to understand and follow the contents of the document. However, the AR is available in English only, which deprives a large number of non-English speakers access to valuable information about departmental programmes, activities, projects, spending patterns and general achievements.</p> <p><i>Accessibility and usefulness to ordinary people</i></p> <p>The AR is available from the Department and the departmental website. The report is also distributed to the following stakeholders:</p> <ul style="list-style-type: none"> • Parliament and its Committees; • GCIS Forums; • MINMEC; • National Treasury (NT); • Municipalities; and • SALGA. <p>However, the efforts taken by the Department to market the AR to the public could not be ascertained.</p> <p>Additional Questions: Housing</p> <p>The Department is not directly involved in the implementation of housing projects.</p> <p>Rating:</p> <p>The Department's AR is attractively presented, written in a language that is clear and easily readable and sheds light on the key responsibilities of the Department. The Department, therefore, complies with this standard of the PSC's Transversal M&E System. A full score of 0,50 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The Department maintained a good standard of annual reporting.</p>
<p>5. Content of the Departmental AR</p>	<p>Overview:</p> <p>The content of the AR was assessed against the requirements of the National Treasury for annual reporting listed in Table 7.1 at the end of the report on this principle. A short overview of the findings is highlighted below.</p> <p><i>General information</i></p> <p>This part of the AR covers important information such as the foreword by the executive authority, introduction by the HoD, mission statement and legislative mandate that governs the existence of the Department and its operations. Eight (or 73%) of the 11 areas which fall under this section, were reported on. The following information was not captured as required:</p> <ul style="list-style-type: none"> • Submission of annual report to executive authority • Information on the Ministry: official visits abroad – dates and purpose. • Trading and/or public entities controlled by the Department indicating accountability arrangements between HoD and trading and/or public entity <p><i>Programme performance</i></p> <p>Information pertaining to the voted funds allocated and spent by the Department for the 2007/08 financial year as well as the aim of the vote is captured under this part. The Department reported on 71 (or 88%) of 81 prescribed areas. The areas which the Department did not report on, and are important issues, include the following:</p> <ul style="list-style-type: none"> • Measures adopted to improve the efficiency and economy of spending on each programme.

	<ul style="list-style-type: none"> • Indication when full spending report on each entity can be expected. • An indication of the extent to which outputs were achieved, providing a comparative analysis of provincial performance against targets. • Confirmation that all transfers were deposited into the accredited bank account of the Provincial/Municipal Treasury. • Details on how asset holdings have changed over the period under review, including information on disposals, scrapping and losses due to theft. The current state of the Department's capital stock, for example, what percentage is in good, fair or bad condition? Major maintenance projects that have been undertaken during the period under review. • Process in place for the tendering of projects. • Brief synopsis on how the achievement of targets has contributed towards achieving the department's outcomes. <p><i>Audit reports, financial statements and other financial information</i></p> <p>The reports of the Departmental Audit Committee, the Accounting Officer and the A-G are presented under this part. The Department reported on all 13 areas required in terms of Section 38(1) (a) of the Public Finance Management Act (PFMA) and Treasury Regulations 3.1.13.</p> <p><i>Human resource oversight report</i></p> <p>This section covers all HR activities that took place during the reporting period, such as service delivery, vacancies, job evaluation, employment equity, and performance rewards. The Department reported on 52 (or 93%) of 56 areas prescribed by the Department of Public Service and Administration. The main area not addressed is the utilisation of consultants.</p> <p>Rating:</p> <p>The content of the AR covers in sufficient detail 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration (DPSA), which is <i>on par</i> with the standard of 90% set by the PSC's Transversal M&E System. A full score of 0,50 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 it was found that the Department's AR broadly complied with the standards set in the National Treasury Guidelines for good AR reporting. The re-assessment of the Department's AR for 2007/08 has shown that performance against this standard has improved.</p>															
<p>6. Reporting on performance</p>	<p>Overview:</p> <p>Table 7.2 below indicates to what extent the Department reported in its AR against planned outputs for the financial year 2007/08, followed by a short discussion:</p> <p>Table 7.2: Reporting against outputs</p> <table border="1" data-bbox="448 1610 1399 1854"> <thead> <tr> <th data-bbox="448 1610 916 1749">Programme number and name</th> <th data-bbox="916 1610 1182 1749">Performance is indicated in accordance with the ENE/Budget Statement and strategic plan. (YES/NO)</th> <th data-bbox="1182 1610 1399 1749">Achievements for each sub-programme under a programme are clearly reported. (YES/NO)</th> </tr> </thead> <tbody> <tr> <td data-bbox="448 1749 916 1778">1. Administration</td> <td data-bbox="916 1749 1182 1778">Yes</td> <td data-bbox="1182 1749 1399 1778">Yes</td> </tr> <tr> <td data-bbox="448 1778 916 1807">2. Policy Planning and Research</td> <td data-bbox="916 1778 1182 1807">Yes</td> <td data-bbox="1182 1778 1399 1807">Yes</td> </tr> <tr> <td data-bbox="448 1807 916 1836">3. Housing Implementation Support</td> <td data-bbox="916 1807 1182 1836">Yes</td> <td data-bbox="1182 1807 1399 1836">Yes</td> </tr> <tr> <td data-bbox="448 1836 916 1854">4. Housing Development Funding</td> <td data-bbox="916 1836 1182 1854">Yes</td> <td data-bbox="1182 1836 1399 1854">Yes</td> </tr> </tbody> </table> <p><i>Communicating of outputs</i></p> <p>Reporting on performance has been done in table format, with additional narrative explanations on all programmes. Table headings include the description of objectives and performance measures, target outputs and actual outputs for the 2007/08 financial year. However, the PIs were not always stated</p>	Programme number and name	Performance is indicated in accordance with the ENE/Budget Statement and strategic plan. (YES/NO)	Achievements for each sub-programme under a programme are clearly reported. (YES/NO)	1. Administration	Yes	Yes	2. Policy Planning and Research	Yes	Yes	3. Housing Implementation Support	Yes	Yes	4. Housing Development Funding	Yes	Yes
Programme number and name	Performance is indicated in accordance with the ENE/Budget Statement and strategic plan. (YES/NO)	Achievements for each sub-programme under a programme are clearly reported. (YES/NO)														
1. Administration	Yes	Yes														
2. Policy Planning and Research	Yes	Yes														
3. Housing Implementation Support	Yes	Yes														
4. Housing Development Funding	Yes	Yes														

	<p>in quantity terms. Reasons for non-performance were provided in 97% of the cases.</p> <p><i>Explanation of how much was achieved</i></p> <p>The Department clearly reported on performance in all its four programmes, and thus performed better than the two-third standard set by the PSC's Transversal M&E System.</p> <p>Rating:</p> <p>The AR clearly reports on performance against predetermined outputs in all the programmes listed. A full score of 2,00 is awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>It was highlighted in the first assessment in 2001/02 that a closer correlation is required between the PIs listed in the approved budget vote and those reported on in the AR. It was further indicated that the AR should be more closely based on the expenditure estimates. It was found during the re-assessment in 2009/10 that these deficiencies were addressed.</p>
<p>7. Appointed DIOs to deal with requests of access to information</p>	<p>Overview:</p> <p>The Department has at least two Deputy Information Officers (DIOs) to deal with requests for access to information. The memorandum to the D-G was submitted to verify the formal appointment of the DIOs. The memorandum indicated the job description and delegations of authority for the functions of the DIOs.</p> <p>Rating:</p> <p>The Department has two DIOs. The memorandum stating the job description and was submitted to verify the formal appointment of the DIOs. A full score of is awarded.</p>
<p>8. Manuel on access to information</p>	<p>Overview:</p> <p>The content of the Department's MAI was assessed against the requirements of PAIA listed in Table 7.4 at the end of the report on this principle. A short overview of the findings is highlighted below.</p> <p><i>Language</i></p> <p>The manual on information requirements is published in English only. It therefore does not meet the prescribed standard, namely, that it should be published in at least three official languages.</p> <p><i>Department's structure and functions</i></p> <p>The Department complies with the requirement of section 14(1)(a) of the PAIA, which determines that a description of the Department's structure and functions should appear in the manual. An organogram of the Department specifies the post establishment of each directorate. All the main functions of the Department and each directorate are clearly outlined.</p> <p><i>Contact details</i></p> <p>The contact details of the DIO are clearly specified, which include the postal and street address, phone and fax number, and e-mail address.</p> <p><i>Access to the guide</i></p> <p>The manual gives a description of the guide on how to use it and how to obtain access to the guide. The manual indicates the name, address, telephone and facsimile numbers, website and e-mail address of the institution where the <i>Guide of South African Human Rights Commission on how to use the Promotion of Access to Information Act, 2000</i>, could be obtained.</p>

	<p><i>Access to a record</i></p> <p>The manual provides sufficient detail to facilitate a request for access to a record. This includes the procedures to be followed and the form that should be completed.</p> <p><i>Description of subjects of records</i></p> <p>The manual clearly indicates and describes the subjects on which the Department holds records. Currently 58 subjects are listed, but it has not been grouped into specific categories.</p> <p><i>Categories of records available</i></p> <p>No formal notice has been published regarding the categories of records within the Department that are automatically available to the public without the person having to request access in terms of the procedures provided for in the <i>Promotion of Access to Information Act, 2000</i>, but such records are nevertheless listed in the manual.</p> <p><i>Submission of categories of records to the Minister of Justice</i></p> <p>A description of categories of records of the Department that are automatically available without a person having to request access in terms of the Act has been submitted to the Minister of Justice on an annual basis.</p> <p><i>Description of services available</i></p> <p>The services available to the public from the Department are listed, but it is not indicated how to gain access to those services.</p> <p><i>Participation in the formulation of policy</i></p> <p>A description of arrangements and provisions for a person to participate in or influence the formulation of policy by means of consultation, making of presentations or otherwise, is given in the manual.</p> <p><i>Remedies available</i></p> <p>The manual briefly reflects on the remedies available in respect of the Act or a failure to act by the Department, but it does not indicate the specific legislation that is applicable to the Department for an internal review or appeal procedure.</p> <p><i>Updating and publishing</i></p> <p>It could not be ascertained whether the manual has been updated or not as there was no need to but it was published annually.</p> <p><i>Availability of manual at place of legal deposit</i></p> <p>The manual is available at every place of legal deposit as defined in section 6 of the Legal Deposit Act, 1997.</p> <p><i>Telephone directory, notice boards and departmental website</i></p> <p>Though the contact details of the deputy information officer are indicated in the manual, it does not reflect whether the contact details of the officer is available in every telephone directory, on notice boards or on the departmental website.</p> <p>Additional Questions: Housing Projects</p> <p><i>Does the MAI refer to documents on housing that can be assessed?</i></p> <p>The questions could not be answered due to the unavailability of relevant information and managers. This problem was also experienced by the Auditor - General in his preparation of the 2007/08 Audit Report.</p> <p>Rating:</p> <p>The Department does have a Manual on Access to Information, which complies with thirteen (or 93%) of the 14 requirements set by section 14 of the Promotion of Access to Information Act (PAIA), 2000 (Act 2 of 2000). The one requirement</p>
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	that is not complied with is that the manual is not published in three languages. A full score of 0,50 is nevertheless awarded.																				
9. System for managing requests for access to information	<p>Overview:</p> <p><i>Record keeping</i></p> <p>Requests are filed on a register, which reflects the detail of all PAIA requests received and processed. The manual register is used to determine the required section 32 statistics for the South African Human Rights Commission until such time that an electronic mechanism has been developed to capture requests.</p> <p>The table below indicates the number of requests for access to information received and granted for the period 2007/08. PAIA requests are tracked based on the financial year cycle. The Department only provided requests for the 2007/08 financial year.</p> <table border="1" data-bbox="461 636 1396 1135"> <thead> <tr> <th data-bbox="461 636 1193 757">Detail Required (Section 32 of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000))</th> <th data-bbox="1193 636 1396 757">Reporting Period: 01/03/07 – 29/02/08</th> </tr> </thead> <tbody> <tr> <td data-bbox="461 757 1193 786"><i>Number of requests for access received</i></td> <td data-bbox="1193 757 1396 786">3</td> </tr> <tr> <td data-bbox="461 786 1193 815"><i>Number of requests for access granted in full</i></td> <td data-bbox="1193 786 1396 815">2</td> </tr> <tr> <td data-bbox="461 815 1193 844"><i>Number of requests for access granted in terms of section 46</i></td> <td data-bbox="1193 815 1396 844">0</td> </tr> <tr> <td data-bbox="461 844 1193 891"><i>Number of requests for access refused in full and refused partially and the number of times each provision of this Act was relied on to refuse access in full or partial</i></td> <td data-bbox="1193 844 1396 891">1</td> </tr> <tr> <td data-bbox="461 891 1193 940"><i>Number of cases in which the periods stipulated in section 25(1) were extended in terms of section 26(1)</i></td> <td data-bbox="1193 891 1396 940">0</td> </tr> <tr> <td data-bbox="461 940 1193 987"><i>Number of internal appeals lodged with the relevant authority and the number of cases in which, as a result of an internal appeal, access was given to a record</i></td> <td data-bbox="1193 940 1396 987">0</td> </tr> <tr> <td data-bbox="461 987 1193 1034"><i>Number of internal appeals which were lodged on the ground that the request for access was regarded as having been refused in terms of section 27</i></td> <td data-bbox="1193 987 1396 1034">0</td> </tr> <tr> <td data-bbox="461 1034 1193 1081"><i>Number of applications to a court which were lodged on the ground that an internal appeal was regarded as having been dismissed in terms of section 77(7)</i></td> <td data-bbox="1193 1034 1396 1081">0</td> </tr> <tr> <td data-bbox="461 1081 1193 1135"><i>Such other matters as may be prescribed, e.g. Requests transferred to other organizations</i></td> <td data-bbox="1193 1081 1396 1135">0</td> </tr> </tbody> </table> <p><i>Responsible component</i></p> <p>All requests are administered by the Chief Deputy Information Officer, Mr. Johan Minnie.</p> <p><i>Tracking mechanism to monitor requests and responses to requests</i></p> <p>A manual register is used for logging and tracking requests. (All requests are logged according to the specifications of the act.</p> <p>The following is a description of activities required to administer the PAIA request received within the department:</p> <ul style="list-style-type: none"> • The Chief DIO must ensure that there is always a DIO available to attend to PAIA requests being received. • The Chief DIO must draw, on a monthly basis, a DIO duty list. • The DIO on duty should ensure timely handling of incoming requests by manning a virtual PAIA centre. • Complete the PAIA incoming/outgoing register when receiving any incoming PAIA related documentation. • All PAIA mail should be opened in the presence of at least two DIOs. • Immediately check for the inclusion of fees. • The DIO must open a request file for each request received by completing a PAIA Request Register Form. <p><i>Average time to respond to a request</i></p> <p>It depends on the complexity of the request, for example, whether third parties are involved, or whether an appeal is lodged or not. Taking this into account, the average time is about 30 days per request.</p>	Detail Required (Section 32 of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000))	Reporting Period: 01/03/07 – 29/02/08	<i>Number of requests for access received</i>	3	<i>Number of requests for access granted in full</i>	2	<i>Number of requests for access granted in terms of section 46</i>	0	<i>Number of requests for access refused in full and refused partially and the number of times each provision of this Act was relied on to refuse access in full or partial</i>	1	<i>Number of cases in which the periods stipulated in section 25(1) were extended in terms of section 26(1)</i>	0	<i>Number of internal appeals lodged with the relevant authority and the number of cases in which, as a result of an internal appeal, access was given to a record</i>	0	<i>Number of internal appeals which were lodged on the ground that the request for access was regarded as having been refused in terms of section 27</i>	0	<i>Number of applications to a court which were lodged on the ground that an internal appeal was regarded as having been dismissed in terms of section 77(7)</i>	0	<i>Such other matters as may be prescribed, e.g. Requests transferred to other organizations</i>	0
Detail Required (Section 32 of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000))	Reporting Period: 01/03/07 – 29/02/08																				
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<i>Such other matters as may be prescribed, e.g. Requests transferred to other organizations</i>	0																				

	<p><i>Information to clients of their right to appeal</i></p> <p>Clients are informed with an official letter to notify them whether or not their request was successful.</p> <p><i>Internal appeal mechanism</i></p> <p>The Department does have an internal appeal mechanism. On receipt of an appeal it is submitted to the Department's appeal authority, the Minister of Human Settlements. He considers the appeal and then either confirms the decision appealed against, or substitutes a new decision for it. This response is then given through to the DIO, who responds to the person who submitted the appeal. If the initial response from the DIO was overturned, the relevant information will be obtained and provided to the requester.</p> <p><i>Communication of appeal decisions</i></p> <p>In the Department a memorandum is compiled and sent to the relevant divisions. An official letter is sent to the requester.</p> <p><i>Section 32 reports to the Human Rights Commission (HRC)</i></p> <p>The Department compiles with section 32 reports for submission to the Human Rights Commission (HRC) on an annual basis.</p> <p>Rating:</p> <p>A system for managing requests for access to information is in place. A full score of 1.00 is awarded.</p>
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Rating

10. Score

DESCRIPTION	POINTS
C. Departmental Annual Report (AR)	
A.1 Presentation of the AR	
3. The AR is attractively and clearly presented.	0,25
4. The AR is well written in simple accessible language.	0,25
A.2 Content of the AR	
The AR covers in sufficient detail at least 90% of the areas prescribed by National Treasury and the Department of Public Service and Administration.	0.50
A. 3 Performance reporting	
The AR clearly reports on performance against predetermined outputs in at least two thirds of the programmes listed.	2,00
D. Access to Information	
B.1 Appointed DIOs to deal with requests for access to information	
The department has at least one DIO with duly delegated authority.	0,50
B.2 Manuel on Access to Information (MAI)	
The department does have a MAI in place that complies with the requirements of the PAIA.	0, 50
B.3 System for managing request for access to information	
Systems for managing requests for access to information are in place.	1,00
Total score	5,00

Sources

11. References

Sources consulted in the preparation of this report:

Documents:

1. Republic of South Africa. Department of Housing. *Annual Report 2007 - 2008*. Pretoria. 2008.
2. Republic of South Africa. Department of Housing. *Memorandum: Delegation of National Department of Housing Information Officer(s) in terms of the*

	<p><i>Promotion of Access to Information Act</i>. Pretoria. 2003.</p> <p>3. Republic of South Africa. Department of Housing. <i>Promotion of Access to Information Act</i>. Section 14 Manual. Pretoria. 2009.</p> <p>4. Republic of South Africa. Department of Housing. <i>Promotion of Access to Information Act: Standing Operational Procedures (SOP).Draft Version</i>. Pretoria. 2003.</p> <p>5. Republic of South Africa. Department of Housing. <i>Report to the South African Human Rights Commission in terms of the Promotion of Access to Information Act</i>. Pretoria. 2008.</p> <p>6. Republic of South Africa. Department of Housing, Vote 26. <i>Estimates of National Expenditure 2008</i>. Pretoria. 2008.</p>
12. Useful sources to consult on this principle	<p>1. Republic of South Africa. Public Service Commission. <i>Report on the Implementation of the Batho Pele Principle of Openness and Transparency in the Public Service</i>. February 2008.</p> <p>2. Republic of South Africa. Public Service Commission. <i>Report on the Implementation of the Promotion of Access to Information Act, (Act No 2 Of 2000)</i>. Undated.</p>

Table 7.1: Annual Report Content Checklist

CONTENT		Required level of detail provided: Yes/No																									
A. GENERAL INFORMATION																											
1.	Submission of annual report to executive authority.	No																									
2.	Introduction by head of the institution.	Yes																									
3.	Information on the Ministry: a) The work involved in	Yes																									
	b) Names of institutions falling under Minister's control	Yes																									
	c) Bills submitted during reporting period	Yes																									
	d) Official visits abroad – dates and purpose	No																									
4.	Mission statement	Yes																									
5.	Legislative mandate a) that governs the existence of the department and its operations (core mandates).	Yes																									
	b) Trading and/or public entities controlled by the department indicating:																										
	i) Legislation under which established.	Yes																									
	ii) Functions of each trading and/or public entity.	Yes																									
	iii) Accountability arrangements between HoD and trading and/or public entity.	No																									
Total out of 11 areas reported on A		8																									
B. PROGRAMME AND FINANCIAL PERFORMANCE																											
B.1 Programme performance – Information to be Reported.																											
1.	Voted funds indicating information in accordance with the following framework:	Yes																									
	<table border="1"> <thead> <tr> <th>Appropriation</th> <th>Main Appropriation</th> <th>Adjusted Appropriation</th> <th>Actual Amount Spent</th> <th>Over/Under Expenditure</th> </tr> </thead> <tbody> <tr> <td>Department to</td> <td>complete figures</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Responsible Minister</td> <td>Title of responsible Minister</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Department</td> <td>Name of relevant Department</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Accounting Officer</td> <td>Title of Responsible Director-General/Head of Department</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Appropriation	Main Appropriation	Adjusted Appropriation	Actual Amount Spent	Over/Under Expenditure	Department to	complete figures				Responsible Minister	Title of responsible Minister				Department	Name of relevant Department				Accounting Officer	Title of Responsible Director-General/Head of Department				Yes Yes Yes Yes
Appropriation	Main Appropriation	Adjusted Appropriation	Actual Amount Spent	Over/Under Expenditure																							
Department to	complete figures																										
Responsible Minister	Title of responsible Minister																										
Department	Name of relevant Department																										
Accounting Officer	Title of Responsible Director-General/Head of Department																										
2.	Aim of vote.	Yes																									
3.	Key Measurable objectives – in line with legislative mandate.	Yes																									
4.	Programmes – Brief description of each programme through which the department's activities are conducted.	Yes																									
5.	Achievements - Brief description of any significant achievements/progress in relation to stated measurable objectives.	Yes																									
Sub-total out of 9 areas reported on B.1		9																									
B.2 Overview of service delivery environment.																											
Overall performance – outlining key outputs relating to services rendered directly to the public providing.																											
1.	A list of all key services rendered to the public indicating:																										
	➤ Number of people utilising the service.	N/A																									
	➤ Number of people that were turned away/not served.	N/A																									
	➤ Quality of service.	N/A																									
2.	Problems encountered with rendering of the service.	Yes																									
3.	Corrective steps taken in dealing with service delivery problems.	Yes																									
4.	Reasons for any additions to or virement between the main appropriation allocations.	Yes																									

CONTENT		Required level of detail provided: Yes/No																																																											
5. Report on any rollovers from previous years.		Yes																																																											
6. Description of any significant developments, external to the department, which might have impacted on service delivery.		Yes																																																											
Sub-total out of 9 areas reported on B.2		9																																																											
B.3 Overview of organisational environment.																																																													
1. An overview of the organisational challenges experienced that might have impacted on departments ability to deliver on strategic plan such as: <ul style="list-style-type: none"> ➤ Resignation of key personnel (Accounting Officer/Chief Financial Officer); ➤ Strike by significant portion of personnel; ➤ Restructuring efforts; ➤ Significant system failures; and ➤ Cases of corruption. 		Yes																																																											
2. Measures that were adopted to mitigate the impact of these events on service delivery.		Yes																																																											
Sub-total out of 2 areas reported on B.3		2																																																											
B.4 Strategic overview and key policy developments.																																																													
1. Major, relevant policy developments/legislative changes that have taken place		Yes																																																											
2. Major, relevant policy developments/legislative changes that may have effected the Department's operations during review or future period(s).		Yes																																																											
Sub-total out of 2 areas reported on B.4		2																																																											
B.5 Departmental revenue.																																																													
1. Detail of revenue collected against plans.		Yes																																																											
2. Reasons for under performance and indication of measures taken to keep on target and future measures to rectify under performance.		Yes																																																											
3. Reasons for exceeded performance.		Yes																																																											
4. Breakdown of sources of revenue in following Table format:		Yes																																																											
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Source of income</th> <th style="width: 10%;">2004/05 Actual</th> <th style="width: 10%;">2005/06 Actual</th> <th style="width: 10%;">2006/07 Actual</th> <th style="width: 10%;">2007/08 Target</th> <th style="width: 10%;">2007/08 Actual</th> <th style="width: 15%;">% Deviation from target</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Source of income	2004/05 Actual	2005/06 Actual	2006/07 Actual	2007/08 Target	2007/08 Actual	% Deviation from target																																																					
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Sub-total out of 4 areas reported on B.5		4																																																											
B.6 Departmental expenditure																																																													
1. Per programme in Table format showing:		Yes																																																											
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Programmes</th> <th style="width: 15%;">Voted funds for 2007/08</th> <th style="width: 15%;">Roll-overs and adjustments</th> <th style="width: 15%;">Virement</th> <th style="width: 15%;">Total voted</th> <th style="width: 15%;">Actual expenditure</th> <th style="width: 15%;">Variance</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Programmes	Voted funds for 2007/08	Roll-overs and adjustments	Virement	Total voted	Actual expenditure	Variance																																																					
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2. How actual expenditure differ from planned expenditure		Yes																																																											
3. Impact of variance on service delivery.		Yes																																																											
4. Measures adopted to improve the efficiency and economy of spending on each programme.		No																																																											
Sub-total out of 4 areas reported on B.6		3																																																											
B.7 Transfer payments – if applicable.																																																													
1. List/summary of transfers made in the following table format:		Yes																																																											
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Name of institution</th> <th style="width: 20%;">Amount Transferred</th> <th style="width: 20%;">Estimate Expenditure</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Name of institution	Amount Transferred	Estimate Expenditure																																																									
Name of institution	Amount Transferred	Estimate Expenditure																																																											
2. Narrative of services provided by each entity.		Yes																																																											
3. An assessment of the actual amount spent by each entity (excluding individuals or social grant payments).		Yes																																																											
4. Indication when full spending report on each entity can be expected.		No																																																											
5. Comment on monthly monitoring systems or the lack thereof to monitor spending on such transfers.		Yes																																																											
6. Details on difficulties experienced and steps taken (if any) to rectify difficulties where monitoring did take place.		Yes																																																											
Total out of 6 areas reported on B.7		5																																																											
B.8 Conditional grants and earmarked funds																																																													
B.8.1 Transferring department.																																																													
1. A summary of all grants transferred to provinces/municipalities in the following table format: Yes																																																													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="3">Grant</th> <th colspan="4">GRANT ALLOCATION</th> <th colspan="3">TRANSFERRED</th> <th colspan="7">PROCESS</th> </tr> <tr> <th>Division Revenue Act</th> <th>Adjustments Estimate</th> <th>Roll Overs</th> <th>Total Available</th> <th>Actual Transfers</th> <th>Amount not transferred</th> <th>% of available transferred</th> <th colspan="2">Payment Schedule</th> <th colspan="3">Transfers</th> <th colspan="2">Variance</th> </tr> <tr> <th>R'000</th> <th>R'000</th> <th>R'000</th> <th>R'000</th> <th>R'000</th> <th>R'000</th> <th>%</th> <th>Date</th> <th>Amount</th> <th>Date</th> <th>Amount</th> <th>Accredited amount number</th> <th>Day/Month</th> <th>Amount</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Grant	GRANT ALLOCATION				TRANSFERRED			PROCESS							Division Revenue Act	Adjustments Estimate	Roll Overs	Total Available	Actual Transfers	Amount not transferred	% of available transferred	Payment Schedule		Transfers			Variance		R'000	R'000	R'000	R'000	R'000	R'000	%	Date	Amount	Date	Amount	Accredited amount number	Day/Month	Amount																	
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	R'000	R'000	R'000	R'000	R'000	R'000	%	Date	Amount	Date	Amount	Accredited amount number	Day/Month	Amount																																															
2. An outline of the purpose and expected outputs for each grant.		Yes																																																											
3. Explanation of whether transfers were made as scheduled.		Yes																																																											
4. Reasons if payments were delayed (not paid according to schedule) or withheld (non-transfers) and the extent of compliance with DORA.		Yes																																																											
5. Description of nature of administration cost (if any) retained by national department.		Yes																																																											
6. Analysis of spending trends for each grant, indicating the extent to which compliance with conditions of grant was <u>monitored</u> .		Yes																																																											
7. Highlights of specific areas where compliance fell short of requirements and steps taken where a province/municipality failed to comply.		Yes																																																											

CONTENT													Required level of detail provided: Yes/No	
8. An indication of the extent to which outputs were achieved, providing a comparative analysis of provincial performance against targets.													No	
9. An outline of reasons where performance fell short of expectations and measures taken to improve performance in coming years if grant is continuing.													Yes	
10. An overall assessment of compliance with the DORA (both by the department and the receiving spheres and an explanation of measures taken where there was non-compliance.													Yes	
Sub-total out of 10 areas reported on B.8.1													9	
B.8.2 Receiving department.														
1. A summary of all grants transferred to provinces/municipalities in the following table format: Yes														
Grant	GRANT ALLOCATION				TRANSFERRED			PROCESS						
	Division Revenue Act	Adjustments Estimate	Roll Overs	Total Available	Actual	Unspent	% of available spent	Payment Schedule		Receipts			Variance	
	R'000	R'000	R'000	R'000	R'000	R'000	%	Date	Amount	Date	Amount	Accredited amount number	Day/Month	Amount
2. An overview of grants received, including types and total amount received.													Yes	
3. An indication of the total amount of actual expenditure on all allocations.													Yes	
4. Confirmation that all transfers were deposited into the accredited bank account of the Provincial/Municipal Treasury.													No	
5. An indication of the extent to which the objectives were achieved, providing a comparative analysis of provincial performance against targets.													No	
6. An outline of reasons where performance fell short of expectations and measures taken to improve performance in coming years if grant is continuing.													Yes	
7. An overall assessment of compliance with the Act and an explanation of measures taken where there was non-compliance.													Yes	
Sub-total out of 7 areas reported on B.8.2													5	
B.9 Capital investment, maintenance and asset management plan.														
B.9.1 Capital investment – if applicable														
1. List of building projects currently in progress with an indication when they are expected to be completed.													N/A	
2. Plans to close down or down-grade any current facilities.													N/A	
3. The current maintenance backlog and plans on how to deal with the backlog over the Medium Term Expenditure Framework (MTEF).													N/A	
4. Development relating to the above that are expected to impact on the department's current expenditure.													N/A	
Sub-total out of 4 areas reported on B.9.1													4	
B.9.2 Maintenance – if applicable														
1. How the actual expenditure compares to what the department planned to spend on maintenance.													N/A	
2. Whether the expenditure is more or less than the property industry norms.													N/A	
3. Progress made in addressing the maintenance backlog – has it grown or become smaller.													N/A	
4. Is the rate of progress according to plan? If not, why not and what measures have been taken to keep on track?													N/A	
Sub-total out of 4 areas reported on B.9.2													4	
B.9.3 Asset management – moveable assets under department's control														
1. Details on how asset holdings have changed over the period under review, including information on disposals, scrapping and loss due to theft.													No	
2. Measures to ensure that the department's asset register remained up-to-date during the period under review.													No	
3. The current state of the department's capital stock – for example, what percentage is in good, fair or bad condition?													Yes	
4. Major maintenance projects that have been undertaken during the period under review.													No	
5. Facilities that were closed down or down-graded during the period under review.													N/A	
6. Projects that will be carried forward to the forthcoming financial year.													N/A	
7. New projects that will commence in the forthcoming financial year.													Yes	
8. Process in place for the tendering of projects.													No	
Sub-total out of 8 areas reported on B.9.3													4	
B. 10. Summary of programme performance.														
1. Performance is indicated in accordance with the ENE/Budget Statement as tabled in Parliament/the Legislature and the strategic/performance plan for the reporting period.													Yes	
2. Reporting is done on each programme's specified service delivery objectives, performance measures and targets in the exact order as specified in the ENE/Budget Statement and strategic/performance plan.													Yes	
3. The same numbering used in strategic plan/performance plan is used in DAR													Yes	
4. Deviations or no information is explained explicitly.													Yes	
5. Summary (list) of department's programmes													Yes	
6. Then per programme:														
➤ Description of purpose of programme.													Yes	
➤ Description of the measurable objective of programme.													Yes	
➤ Description of service delivery objectives and indicators relating to the programme.													Yes	
➤ Summarised description of significant achievement of targets of each sub-programme within a programme detailing the factors that enabled the above par performance.													Yes	
➤ Brief narrative providing reasons in the event of targets not being achieved of each sub-programme within a programme.													Yes	
➤ Brief synopsis on how the achievement of targets has contributed towards achieving the department's outcomes.													No	
7. Service delivery achievements in table format for each sub-programme under a programme in accordance with the performance measures and targets specified in the ENE/Provincial Budget and national/provincial strategic plan, indicating:													Yes	
Sub-programme		Outputs		Output/Performance			Actual performance against target							

CONTENT					Required level of detail provided: Yes/No
		Measure/Indicator	Target	Actual	
Curriculum and Assessment Development and Learner Achievement	Basic literacy programmes	Number of literacy programmes developed for learners and educators	800 000 adult learners in literacy and ABET programs	825 000 adult learners in literacy and ABET programs	
Sub-total out of 12 areas reported on B.10					11
Total out of 81 areas reported on B					71
C. AUDIT REPORTS, FINANCIAL STATEMENTS AND OTHER FINANCIAL INFORMATION					
1. Report of the departmental Audit Committee.					Yes
2. Report of the Accounting Officer.					Yes
3. Auditor-General's report.					Yes
4. Statements of accounting policies & related matters.					Yes
5. Appropriation Statements.					Yes
6. Notes on the Appropriation Statements.					Yes
7. Statement of financial performance – Income statement.					Yes
8. Statement of financial position – Balance Sheet.					Yes
9. Statement of changes in net Asset/Equity.					Yes
10. Cash Flow Statement.					Yes
11. Notes to the Financial Statements.					Yes
12. Disclosure notes to the Annual Financial Statements.					Yes
13. Annexure to the Annual Financial Statements.					Yes
Total out of 13 areas reported on C					13
D. HUMAN RESOURCES OVERSIGHT REPORT – Department of Public Service and Administration					
D.1 Service delivery.					
1. Main services provided and standards.					Yes
2. Consultation arrangements with customers.					Yes
3. Service delivery access strategy.					Yes
4. Service information tool.					Yes
5. Complaints mechanism.					Yes
Sub-total out of 5 areas reported on D.1					5
D.2 Expenditure.					
1. Personnel costs by programme.					Yes
2. Personnel costs by salary bands.					Yes
3. Salaries, overtime, homeowners allowance and medical assistance by programme.					Yes
4. Salaries, overtime, home owners allowance and medical assistance by salary bands.					Yes
Sub-total out of 4 areas reported on D.2					4
D.3 Employment and vacancies.					
1. Employment and vacancies by programme.					Yes
2. Employment and vacancies by salary bands.					Yes
3. Employment and vacancies by critical occupation.					Yes
Sub-total out of 3 areas reported on D.3					3
D.4 Job evaluation.					
1. Job evaluation done during financial year under review by salary band.					Yes
2. Profile of employees whose salary positions were upgraded due to their posts being upgraded by race, gender & disability.					Yes
3. Employees whose salary level exceeds the grade determined by job evaluation by occupation.					Yes
4. Profile of employees whose salary level exceeds the grade determined by job evaluation by race gender & disability.					Yes
5. No cases where the remuneration bands exceed the grade determined by job evaluation.					Yes
Sub-total out of 5 areas reported on D.4					5
D.5 Employment changes.					
1. Annual turnover rates by salary band.					Yes
2. Annual turnover rates by critical occupation.					Yes
3. Reasons why staff are leaving the department.					Yes
4. Promotions by critical occupation.					Yes
5. Promotions by salary band.					Yes
Sub-total out of 5 areas reported on D.5					5
D.6 Employment equity.					
1. Total number of employees (including employees with disabilities) in occupational categories, race & gender.					Yes
2. Total number of employees (including employees with disabilities) in occupational bands, race & gender.					Yes
3. Recruitment for the period under review by occupational band, race & gender.					Yes
4. Promotions for the period under review by occupational band, race & gender.					Yes
5. Terminations for the period under review by occupational band, race & gender.					Yes
6. Disciplinary actions for the period under review by race & gender.					Yes
7. Skills development for the period under review by occupational categories, race & gender.					Yes
Sub-total out of 7 areas reported on D.6					7
D.7 Performance Rewards.					
1. Performance rewards by race, gender, and disability.					Yes
2. Performance rewards by salary bands for personnel below Senior Management Service.					Yes

CONTENT	Required level of detail provided: Yes/No
3. Performance rewards by critical occupations.	Yes
4. Performance related rewards (cash bonus), by salary band, for Senior Management Service.	Yes
Sub-total out of 4 areas reported on D.7	4
D.8 Foreign workers.	
8.1 Foreign workers by salary band comparing previous with current financial year and indicating the deviation (number and percentage).	Yes
8.2 Foreign workers by major occupation comparing previous with current financial year and indicating the deviation (number and percentage).	Yes
Sub-total out of 2 areas reported on D.8	2
D.9 Leave utilisation for the period 1 January to 31 December.	
1. Sick leave by salary band.	Yes
2. Disability leave (temporary and permanent) by salary band.	Yes
3. Annual leave by salary band.	Yes
4. Capped leave by salary band.	Yes
5. Leave payouts for the period 1 April to 31 March	Yes
Sub-total out of 5 areas reported on D.9	5
D.10 HIV/AIDS & Health Promotion Programmes.	
Steps taken to reduce the risk of occupational exposure.	Yes
Details of Health Promotion and HIV/AIDS Programmes.	Yes
Sub-total out of 2 areas reported on D.10	2
D.11 Labour relations.	
1. Collective agreements/No agreements	Yes
2. Outcomes of misconduct and disciplinary hearings finalised/No disciplinary hearings	Yes
3. Types of misconduct addressed at the disciplinary hearings.	Yes
4. Grievances lodged.	Yes
5. Disputes lodged with Councils.	Yes
6. Strike actions.	Yes
7. Precautionary suspensions.	Yes
Sub-total out of 7 areas reported on D.11	7
D.12 Skills development.	
1. Training needs identified by occupational category & gender.	Yes
2. Training provided by occupational category & gender.	Yes
Sub-total out of 2 areas reported on D.12	2
D.13 Injury on duty.	
Nature of injury on duty indicating: Required basic medical attention, temporary/permanent disabled, fatal.	Yes
Sub-total out of 1 area reported on D.13	1
D.14 Utilisation of consultants.	
1. Report on consultant appointments using appropriated funds.	No
2. Analysis of consultant appointments using appropriated funds in terms of Historically Disadvantaged Individuals.	No
3. Report on consultant appointments using donor funds.	No
4. Analysis of consultant appointments using donor funds in terms of Historically Disadvantaged Individuals.	No
Sub-total out of 4 areas reported on D.14	0
Total out of 56 areas reported on D	52
Total level of detail to comply with	161
Level of detail met (Yes)	144
Level of detail not met (No)	17
% level of detail met	90%

Source: Republic of South Africa. The National Treasury. *Guide for the preparation of annual reports. National/Provincial Departments for the year ended 31 March 2008.*

Table 7: 4 Manual on information requirements

Standard	√
1. The manual is published in three official languages.	X
2. A description of the department's structure and functions appears in the manual.	√
3. Information on the postal and street address, phone and fax number and, if available, electronic mail address of the information officer and of every deputy information officer appears in the manual.	√
4. A description of the guide on how to use the Act and how to obtain access to the guide is provided.	√
5. Sufficient detail to facilitate a request for access to a record is provided.	√
6. A description of the subjects on which the department holds records and the categories of records held on each subject is provided.	√
7. The categories of records of the department which are available without a person having to request access in terms of the Act are listed.	√
8. A description of the categories of records of the department that are automatically available without a person having to request access in terms of the Act is submitted to the Minister of Justice on an annual basis.	√
9. A description of the services available to members of the public from the department and how to gain access to those services.	√

Standard	
10. A description of any arrangement or provision for a person, by consultation, making representations or otherwise, to participate in or influence the formulation of policy.	√
11. A description of all remedies available in respect of an act or a failure to act by the department.	√
12. The manual is updated and published at least once a year.	√
13. The manual is available at every place of legal deposit as defined in sec. 6 of the Legal Deposit Act, 1997 ¹ , SA Human Rights Commission, every (regional) office of the department; Government Gazette and Website if any	√
14. The department's contact details including details of the information and the deputy information officer are available in every telephone directory, notice boards and departmental website.	√
Total Requirements to comply with	14
Number of Requirements met (yes)	13
Number of Requirements not met (no)	1
% of requirements met	93%

Source: Republic of South Africa. Department of Justice and Constitutional Development. *Promotion of Access to Information Act 2000, Act Number 2 of 2000. Chapter 2. Siber Ink Tokai. 2006.*

¹ Legal deposit in terms of the Legal Deposit Act is defined as City Library Services (Bloemfontein), the Library of Parliament (Cape Town), the National library (Pietermaritzburg), the South African Library (Cape Town), the State Library (Pretoria), the National Film, Video and Sound Archive for the purpose of certain categories of documents prescribed (Pretoria), or any other library or institution prescribed by the Minister for purposes of certain prescribed categories of documents.

Principle 8: Good Human Resource Management and Career Development Practices

Background																																															
1. Constitutional principle	Good human resource management and career development practices, to maximize human potential, must be cultivated.																																														
2. Performance indicator	<p>A. Recruitment</p> <p>Vacant posts are filled in a timely and effective manner.</p> <p>B. Skills Development</p> <p>The Department complies with the provisions of the Skills Development Act.</p>																																														
3. Standards	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">DESCRIPTION</th> <th style="width: 20%;">POINTS</th> </tr> </thead> <tbody> <tr> <td colspan="2">A. Recruitment</td> </tr> <tr> <td><i>A.1 The existence of a policy on recruitment</i></td> <td></td> </tr> <tr> <td>A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td><i>A.2 Time taken to fill a vacancy</i></td> <td></td> </tr> <tr> <td>➤ All vacant posts assessed are filled within 90 days – including advertisement time.</td> <td style="text-align: center;">1.00</td> </tr> <tr> <td style="text-align: center;">OR</td> <td></td> </tr> <tr> <td>➤ 75% of vacant posts assessed are filled within 90 days – including advertisement time.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td style="text-align: center;">OR</td> <td></td> </tr> <tr> <td>➤ 50% of vacant posts assessed are filled within 90 days – including advertisement time.</td> <td style="text-align: center;">0,25</td> </tr> <tr> <td style="text-align: center;">OR</td> <td></td> </tr> <tr> <td>➤ Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.</td> <td style="text-align: center;">0,00</td> </tr> <tr> <td><i>A.3 Management reporting</i></td> <td></td> </tr> <tr> <td>1. Regular management reporting on recruitment is done.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>2. Evidence on management's response/actions on these reports is available.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td colspan="2">B. Skills Development</td> </tr> <tr> <td><i>B.1 The existence of a skills development plan</i></td> <td></td> </tr> <tr> <td>1. A skills development plan is in place.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>2. The skills development plan is based on a thorough skills needs analysis.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td><i>B.2 Performance against the skills development plan</i></td> <td></td> </tr> <tr> <td>1. Two thirds of planned skills development activities have been implemented.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>2. Two thirds of planned skills development activities' impact on service delivery has been assessed.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td style="text-align: right;">Maximum possible score</td> <td style="text-align: center;">5,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	A. Recruitment		<i>A.1 The existence of a policy on recruitment</i>		A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.	1,00	<i>A.2 Time taken to fill a vacancy</i>		➤ All vacant posts assessed are filled within 90 days – including advertisement time.	1.00	OR		➤ 75% of vacant posts assessed are filled within 90 days – including advertisement time.	0,50	OR		➤ 50% of vacant posts assessed are filled within 90 days – including advertisement time.	0,25	OR		➤ Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.	0,00	<i>A.3 Management reporting</i>		1. Regular management reporting on recruitment is done.	0,50	2. Evidence on management's response/actions on these reports is available.	0,50	B. Skills Development		<i>B.1 The existence of a skills development plan</i>		1. A skills development plan is in place.	0,50	2. The skills development plan is based on a thorough skills needs analysis.	0,50	<i>B.2 Performance against the skills development plan</i>		1. Two thirds of planned skills development activities have been implemented.	0,50	2. Two thirds of planned skills development activities' impact on service delivery has been assessed.	0,50	Maximum possible score	5,00
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Assessment																																															
4. Human Resource Policy on Recruitment	<p>Overview:</p> <p>The Department submitted the Recruitment, Selection and Retention Policy (Policy) and the Human Resource Plan (Plan) for assessment. Both documents have been signed and approved by the D-G of the Department.</p> <p>The following is a brief discussion on the content and quality of the Policy.</p> <p><i>Clearly described procedures</i></p> <p>Both the Policy and Plan do not stipulate the time frames for filling funded vacant posts. The Department also submitted the service standards for the Chief Directorate: Human Resource Management. This document indicates timeframes for advertising, scheduling, short listing, approval of shortlist and panel, interviews, verification of qualifications, and preparation of a contract.</p> <p>The Policy clearly describes the authorisation to fill a vacancy, job evaluation of vacant posts, delegation of authority, methods and techniques of recruitment, employment contracts, and the filling of posts. The selection process includes</p>																																														

	<p>pre-selection, short listing, interview, competency assessment, reference and background checks, and approvals.</p> <p><i>Responsibility delegation</i></p> <p>Practitioners at the Recruitment Unit peruse applications as they are received and categorise them according to the advertised requirements. An Executing Authority or delegated authority appoints a Selection Committee to make recommendations on appointment to all posts.</p> <p><i>Matching of skills with post requirements</i></p> <p>The Policy states that for posts on level 11-12, qualifications should not be defined primarily or solely in terms of formal qualifications but should, for example, include skills, prior learning and relevant experience.</p> <p><i>Open process</i></p> <ul style="list-style-type: none"> • The Selection Committee shall consist of at least three (3) who are employees of a grading equal to or higher than the grading of the post to be filled or suitably qualified persons from outside the Department. • The Chairperson of the Selection Committee shall be of higher grading than the grading of the post to be filled and should be an employee of the Department. • Employees of a level which is lower than the grading of the post to be filled may provide secretarial services during the selection process but shall not form part of the Selection Committee. • Union representation will be invited to form part of the panel as observers and are not allowed to participate in the decision-making part of the process and they are not allowed to observe in the filling of the posts of Deputy Director General and Director General. <p><i>Transparent decision-making</i></p> <p>The Policy states that the minutes of the interview, including scoring of candidates, and the criteria used during the selection process, will be retained to justify the decisions of the selection.</p> <p><i>Recruitment strategies</i></p> <p>The Department's methods and techniques of recruitment internally include use of circular, notice board, intranet and e-mail. External recruitment methods include advertising, employment agencies, professional associations, head hunting and departmental website.</p> <p>Rating:</p> <p>The Department does have a policy on recruitment, selection and retention and a Human Resource Plan. Although the policy does not cover nepotism or patronage, it is comprehensive and the service standards document provide helpful and useful guidance with regard to procedures to be followed in the process of recruitment. A full score of 1.00 is therefore deemed fair.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 the Department did not have an approved recruitment and selection policy. It was recommended that the Department should finalise and approve this policy. During the re-assessment in 2009/10 the Department has an approved recruitment and selection policy.</p>
<p>5. Recruitment times</p>	<p>Overview:</p> <p>Table 8.1 at the end of the report on this principle summarises the 20 most recent appointments within the Department. Based on the information contained in the said table, it takes the Department on average 274 days (39 weeks) to fill a vacant post. The shortest period taken to fill a vacant post was</p>

	<p>37 days (or 5 weeks). The longest time taken to fill a vacant post was 1 492 days (208 weeks or 4 years). Eight (or 40%) of the 20 most recently filled posts were filled within 12 weeks. Twelve weeks represent a generally acceptable standard for the filling of any vacancy according to the PSC's Transversal M&E System.</p> <p>According to the 2007/08 AR the Department had at the beginning of the 2007/08 financial year a total of 406 approved post on the establishment of which 79 (19%) were vacant. The majority of these vacancies were in respect of highly skilled staff and senior management. At the end of the 2007/08 financial year, the Department had a total of 480 approved post on the establishment of which 140 (29%) were vacant.</p> <p>Ten out of the 20 posts were advertised within 30 days after the post has been vacated. The remaining 10 posts were advertised after 30 days of which one was a post of chief director (post level 14).</p> <p>In 9 (45%) of the 20 sampled posts, interviews took place within 10 working days after the closing date for application, and interviews for eleven (55%) posts took place more than 10 working days after the closing date for application.</p> <p>In 17 (85%) of the 20 sampled posts decisions for appointment were taken within 30 days after the interviews and only three posts took longer than 30 days to decide about the appointment.</p> <p>Considering the regulation of a maximum of 12 months to fill a vacancy set by PSCBC Resolution 1 of 2007, fifteen (or 75%) of the twenty sampled posts were filled within the time frame of 12 months.</p> <p>Rating:</p> <p>The average time taken to fill a vacant post is 274 days (or 39 weeks). This is beyond the standard of twelve weeks or less set by the PSC's Transversal M&E System. Eight (or 40%) of the 20 most recently filled posts were finalised within the generally acceptable standard of 12 weeks, which falls within the compliance rate of less than 50% set by the PSC's Transversal M&E System. A score of 0,00 out of 1,00 is awarded.</p> <p>Area for improvement:</p> <p>The Department, with immediate effect, should put in place measures to ensure that vacant posts are filled within 90 days after they have been vacated as vacancies might impact negatively on service delivery.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>In the 2001/02 report, the turn around time for the filling of posts were between eight to twelve weeks, which complied with the generally accepted standard of twelve weeks for the filling of any vacancy according to the PSC's Transversal M&E System. The re-assessment of 2009/10 has shown that the Department's performance in this regard has deteriorated to an average of 39 weeks (against the standard of twelve weeks or less set by the PSC's Transversal M&E System).</p>
<p>6. Management reporting on recruitment</p>	<p>Overview:</p> <p><i>Management reporting on recruitment, selection and appointment</i></p> <p>Reporting on recruitment is done on a monthly, quarterly, and annual basis. Monthly and quarterly vacancy rate reports, prepared by the Directorate Human Resource Management, are submitted to the Executive Management Team (EMT) meeting. Progress reports on recruitment, indicating the post title, the date advertised, the closing date and progress with the filling of the post, are also submitted to D-G.</p>

	<p>Information included in the 2007/08 AR focussed on the number of posts, number of posts filled, and vacancy rate per salary band. Challenges and interventions to address organisational challenges on recruitment, selection and appointments are addressed in the Human Resource Plan.</p> <p>Rating:</p> <p>Management reporting on recruitment is done during the Department's Executive Committee meetings and management's response on how to address the challenges indicated in these reports is available. The Department, therefore, complies with this standard of the PSC's Transversal M&E System for a full score of 1.00.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The first assessment in 2001/02 found that management reporting is not structured or regularised. It took place when initiated by any of the following processes: On the D-G's or a Ministerial request, a scheduled Management Committee (MANCO) or strategic planning meeting. It was recommended that management reporting should become more systematic and structured to maintain good records, as well as to keep both the Accounting Officer and the Executing Authority fully appraised.</p> <p>Six years following this recommendation, the Department is now able to produce documentary evidence that management reporting on the filling of vacant posts is done, including actions taken by management on such reports.</p>
<p>7. Skills development plan</p>	<p>Overview:</p> <p>The Department submitted a 2008/09 and 2009/10 Workplace Skills Plan (WSP) and four Quarterly Monitoring Report Templates for 2008/09 for assessment. The Department also provided a report on "A Skills Audit for the successful implementation of the new comprehensive Plan for Human Settlements in South Africa (BNG).</p> <p><i>Skills already possessed by staff per post</i></p> <p>The WSPs do not list the essential skills required to execute the activities of the Department. However, information on scarce skills and the need therefore are provided. The Department does carry out individualised skills audits as reflected in the performance agreements of staff. Institutional skills audits are also carried out. The institutional skills audit involved interviewing selected key role players and participants in the housing delivery chain. These included senior officials from the National Department of Human Settlements, provincial housing departments, metros and local municipalities, and identified housing experts. The report indicates a summary of skills demand at national level, provincial level, metropolitan municipalities and local municipalities.</p> <p><i>Measures to acquire the skills to close the skills gap</i></p> <p>There is no information on the measures needed close the skills gap.</p> <p><i>Description of the training and development plans for previously disadvantaged groups</i></p> <p>There WSP does have a table indicating the beneficiaries of planned training per occupational category, gender, population group, disability status and age.</p> <p><i>Prioritising, costing and providing of a budget to execute the plan</i></p> <p>The training budget reflected in the WSP for 2008/09 is as follows:</p> <ul style="list-style-type: none"> • Total personnel budget for 2008/09 : R 107 973 000 • 1% of the personnel budget : R 1 079 730 • Total training budget allocated for ABET : R 144 000 • Budget allocated for bursaries : R 342 348

	<ul style="list-style-type: none"> • Budget for internships : R 153 616 • Additional functional funding : R 967 315 <p><i>Overall quality of the plan</i></p> <p>The Department's WSP for 2008/09 lacks important information regarding:</p> <ul style="list-style-type: none"> • The essential skills required to execute the activities of the Department. • The skills already possessed by staff per post. • The measures to acquire the skills to close the skills gap. <p>Rating:</p> <p>Workplace skills plans are in place for the 2008/09 and the 2009/10 financial years, and they are based on a thorough skills needs analysis. Crucial data on the skills already possessed by staff per post and measures to close the skills gap have been thoroughly addressed. A full score of 1,00 is, nevertheless, awarded.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 it was found that a WSP has been adopted and that it was in the process of being implemented. There has been an improvement with regards to deficiencies found in the WSP during the first assessment.</p>
<p>8. Performance against skills development plan</p>	<p>Overview:</p> <p><i>Summary of the department's skills development activities planned</i></p> <p>Table 8.2 at the end of this principle summarises the planned and implemented activities for skills development obtained from the 2007/08 AR. According to this information, the Department planned 144 training activities across the occupational categories, and implemented 187 training activities. However, the names of the programmes/short course are not indicated in the AR. Due to the lack of names of programmes/short courses it was not possible to establish whether the skills development activities were implemented as planned. The Departmental Skills Development Plan (SDP) for the 2007/08 financial year was obtained to verify whether the names of planned programmes/short courses are listed. The SDP only indicates the number of planned beneficiaries of training per occupational category, which equated to 279 training activities. The AR on the other hand, indicates that a total of 144 training activities were identified, 135 less than what was indicated in the WSP.</p> <p>The AR also indicates that the Department has not offered any internship during the 2007/08 financial year.</p> <p><i>Extent to which the impact of implemented activities on service delivery was assessed</i></p> <p>The Department has never done an impact assessment of the training on the Department's service delivery ability.</p> <p>Rating:</p> <p>In terms of the AR for 2007/08 the Department planned 144 skills development activities and implemented 187. However, according to the Skills Development Plan 279 training activities were planned, which are 135 less activities than what was indicated in the WSP. There is no indication what training activities were planned and implemented per occupational category. It was, therefore, not possible to establish whether the skills development activities were implemented as planned. The impact of the implemented skills development activities on the service delivery of the Department was also not formally assessed. A score of 0,00 out of 1,00 is awarded.</p>

	<p>Area for improvement:</p> <p>The Department should with immediate effect ensure that:</p> <ul style="list-style-type: none"> ➤ The skills development activities reflected in the AR are aligned with those in the SDP and the WSP. ➤ The performance of all skills development activities against the SDP is assessed. ➤ The impact of skills improvement on service delivery is evaluated annually. <p>The implementation of this recommendation will assist the Department to provide focussed training and ensure improvement in service delivery.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>The PSC recommended in its 2001/02 report that a well-structured approach to the implementation of the skills plan is required so that training is more clearly focused around meeting the skills gap in the Department. The Department has improved in terms of meaningful skills planning, but does not evaluate the impact of skills improvement on service delivery.</p>																																		
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<p>9. Score</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">DESCRIPTION</th> <th style="width: 20%;">POINTS</th> </tr> </thead> <tbody> <tr> <td colspan="2">A. Recruitment</td> </tr> <tr> <td>A.1 <i>The existence of a policy on recruitment</i></td> <td></td> </tr> <tr> <td>A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.</td> <td style="text-align: center;">1,00</td> </tr> <tr> <td>A. 2 <i>Time taken to fill a vacancy</i></td> <td></td> </tr> <tr> <td>Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.</td> <td style="text-align: center;">0,00</td> </tr> <tr> <td>A. 3 <i>Management reporting</i></td> <td></td> </tr> <tr> <td>1. Regular management reporting on recruitment is done.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>2. Evidence on management's response/actions on these reports is available.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td colspan="2">B. Skills Development</td> </tr> <tr> <td>B.1 <i>The existence of a skills development plan</i></td> <td></td> </tr> <tr> <td>1. A skills development plan is in place.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>2. The skills development plan is based on a thorough skills needs analysis.</td> <td style="text-align: center;">0,50</td> </tr> <tr> <td>B.2 <i>Performance against the skills development plan</i></td> <td></td> </tr> <tr> <td>1. Two thirds of planned skills development activities have been implemented.</td> <td style="text-align: center;">0,00</td> </tr> <tr> <td>2. Two thirds of planned skills development activities' impact on service delivery has been assessed.</td> <td style="text-align: center;">0,00</td> </tr> <tr> <td style="text-align: right;">Total score</td> <td style="text-align: center;">3,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	A. Recruitment		A.1 <i>The existence of a policy on recruitment</i>		A recruitment policy is in place that complies with good practice standards and spells out a detailed recruitment procedure.	1,00	A. 2 <i>Time taken to fill a vacancy</i>		Less than 50% of vacant posts assessed are filled within 90 days – including advertisement time.	0,00	A. 3 <i>Management reporting</i>		1. Regular management reporting on recruitment is done.	0,50	2. Evidence on management's response/actions on these reports is available.	0,50	B. Skills Development		B.1 <i>The existence of a skills development plan</i>		1. A skills development plan is in place.	0,50	2. The skills development plan is based on a thorough skills needs analysis.	0,50	B.2 <i>Performance against the skills development plan</i>		1. Two thirds of planned skills development activities have been implemented.	0,00	2. Two thirds of planned skills development activities' impact on service delivery has been assessed.	0,00	Total score	3,00
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<p>10. References</p>	<p>Sources consulted in the preparation of this report:</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Republic of South Africa. National Department of Housing. <i>Annual Report</i>. April 2007 – March 2008. 2. Republic of South Africa. National Department of Housing. <i>A Skills audit for the successful implementation of the new comprehensive Plan for Human Settlements in South Africa (BNG)</i>. No date. 3. Republic of South Africa. National Department of Housing. <i>Draft minutes of the Executive Management Team Meeting</i>. 28 January 2008. 4. Republic of South Africa. National Department of Housing. <i>Draft minutes of the Executive Management Team Meeting</i>. 4 March 2008. 5. Republic of South Africa. National Department of Housing. <i>Draft minutes of</i> 																																		

	<p><i>the Executive Management Team Meeting. 21 April 2008.</i></p> <ol style="list-style-type: none"> 6. Republic of South Africa. National Department of Housing. <i>Draft minutes of the Executive Management Team Meeting. 30 June 2008.</i> 7. Republic of South Africa. National Department of Human Settlements. <i>Filling of critical positions within the Department. No date.</i> 8. Republic of South Africa. National Department of Housing. <i>Human Resource Plan. 23 January 2009</i> 9. Republic of South Africa. National Department of Housing. <i>Human Resource Oversight Report. 2008/09 financial year.</i> 10. Republic of South Africa. National Department of Human Settlements, <i>List of recently filled vacant posts. Human Resource Management Component. 2009.</i> 11. Republic of South Africa. National Department of Housing. <i>Quarterly Monitoring Reports Template. 2008/9 financial year.</i> 12. Republic of South Africa. National Department of Human Settlements. <i>Recruitment, Selection and Retention Policy. 25 July 2009.</i> 13. Republic of South Africa. National Department of Human Settlements. <i>Service Standards for Chief Directorate: Human Resource Management. No date.</i> 14. Republic of South Africa. National Department of Housing. <i>Workplace Skills Plan. 2007/08.</i> 15. Republic of South Africa. National Department of Housing. <i>Workplace Skills Plan. 2008/09.</i> 16. Republic of South Africa. National Department of Housing. <i>Workplace Skills Plan. 2009/10.</i> <p>Interviews:</p> <ol style="list-style-type: none"> 1. Mr. Deacon, H. Director. National Department of Housing. Directorate Human Resources. Pretoria. 01 June 2009. 2. Ms Mbane, Y. Chief Director. National Department of Human Settlement. Chief Directorate Human Resources. Pretoria. 2 February 2010. 3. Ms. Winkler, H. Deputy Director. National Department of Housing. Sub-directorate Skills Development. Pretoria. 01 June 2009.
<p>11. Useful sources to consult on this principle</p>	<ol style="list-style-type: none"> 1. Republic of South Africa. Department of Public Service and Administration. <i>Strategic Human Resource Planning Guideline and Toolkit. March 2007.</i> 2. Republic of South Africa. Provincial Government Western Cape. <i>Training Impact Assessment Report for the Department of Transport and Public Works. 7 September 2007.</i> 3. Republic of South Africa. Public Service Commission. <i>A Toolkit on Recruitment and Selection. Pretoria. Formeset Printers Cape. Undated.</i> 4. Republic of South Africa. Public Service Commission. <i>Report on the Evaluation of the Training Needs of Senior Managers in the Public Service. January 2008.</i>

Table 8.1: Time taken for recruitment processes of the twenty most recently filled posts

A	B	C	D	E	F	G	H
Post	Date vacant	Date advertised	Closing date	Date of interviews	Decision on Appointment	Appointment date	Days to fill the post G - B
1. PA to CD: Monitoring and Evaluation	01/07/08	26/03/09	01/04/09	20/05/09	27/05/09	01/06/09	335
2. Senior Personnel Officer: HRD	01/04/08	17/03/09	20/03/09	07/04/09	24/04/09	01/05/09	395
3. Senior Secretary: Provincial Planning	01/04/08	17/03/09	20/03/09	08/04/09	11/05/09	01/06/09	426
4. Senior Admin Clerk (Procurement)	01/03/09	06/03/09	12/03/09	26/03/09	03/04/09	07/04/09	37
5. Senior Admin Clerk (Procurement)	01/03/09	06/03/09	12/03/09	26/03/09	03/04/09	07/04/09	37
6. Senior Admin Clerk (Logistics)	01/03/09	06/03/09	12/03/09	26/03/09	03/04/09	08/04/09	38
7. Senior Admin Clerk (Logistics)	01/03/09	06/03/09	12/03/09	26/03/09	03/04/09	07/04/09	37
8. Senior Admin Clerk (Logistics)	01/03/09	06/03/09	12/03/09	26/03/09	03/04/09	08/04/09	38
9. Senior Secretary: Organizational Planning	01/02/09	02/03/08	20/03/09	19/05/09	25/05/09	01/06/09	120
10. Chief Director: Housing Equity	01/08/07	31/01/08	23/02/08	25/11/08	13/02/09	01/04/09	577
11. Security Officer Grade III	31/12/08	21/01/09	28/02/09	24/03/09	30/03/09	01/04/09	90
12. Senior Admin Officer: Sector Professional Development Support	20/02/09	24/02/09	27/02/09	07/03/09	30/03/09	06/04/09	45
13. Senior Admin Officer: Sector Professional Development Support	20/02/09	24/02/09	27/02/09	07/03/09	30/03/09	06/04/09	45
14. Senior Supply Chain Practitioner: Logistics	01/09/08	09/03/09	03/04/09	05/05/09	19/05/09	01/06/09	273
15. Assistant Director: Secretariat Support	01/04/08	04/02/09	20/02/09	01/04/09	08/04/09	01/06/09	426
16. Senior Admin Officer: PHP	19/09/08	05/01/09	30/01/09	30/03/09	14/04/09	01/05/09	224
17. ASD: Transport Services	01/04/08	17/11/09	12/12/08	16/02/09	26/02/09	01/04/09	365
18. Switchboard Operator	01/10/08	01/12/08	05/12/08	11/12/08	19/01/09	27/01/09	118
19. ASD: Special Investigation	01/04/08	07/10/08	24/10/08	26/02/09	09/03/09	01/04/09	365
20. Senior Secretary Grade IV: Blocked Project Support and Turnaround	01/01/05	01/12/08	05/12/08	10/12/08	19/12/08	02/02/09	1 492
TOTAL NUMBER OF DAYS							5 483
AVERAGE NUMBER OF DAYS							274
AVERAGE NUMBER OF WEEKS							39
AVERAGE NUMBER OF MONTHS							10

Table 8.2: Skills development (Annual Report 2007/2008, Page 194-195)

Occupational Categories	Gender	Number of employees as at 01/04/07	Training needs identified at start of reporting period			Training provided within the reporting period			How was impact assessed?
			Name of skills programmes & other short courses	Name of other forms of training	Total	Name of skills programmes & other short courses	Name of other forms of training	Total	
1. Legislators, senior officials and managers	Female	16	4	4	8	23	5	28	Impact not assessed.
	Male	27	4	4	8	37	2	39	Impact not assessed.
2. Professionals	Female	77	12	6	18	9	6	15	Impact not assessed.
	Male	66	12	6	18	16	5	21	Impact not assessed.
3. Technicians and associate professionals	Female		12	6	18	6	3	9	Impact not assessed.
	Male		12	6	18	11	4	15	Impact not assessed.
4. Clerks	Female	60	15	5	20	14	11	25	Impact not assessed.
	Male	21	15	5	20	12	3	15	Impact not assessed.
5. Service and sales workers	Female	6							
	Male	18							
6. Plant and machine operators and assemblers	Female	0							
	Male	2							
7. Elementary occupations	Female	15	5	3	8	10	1	11	Impact not assessed.
	Male	9	5	3	8	5	4	9	Impact not assessed.
8. Employees with disabilities.	Female								
	Male	1							
Sub-total	Female	174	48	24	72	62	26	88	
	Male	143	48	24	72	81	18	99	
	Total	317	96	48	144	143	44	187	

Source: Republic of South Africa. *The National Treasury. Guide for the preparation of annual reports. National/Provincial Departments for the year ended 31 March 2008.*

Principle 9: Representivity

Background

1. Constitutional principle Public administration must be broadly representative of 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.

2. Performance indicator The Department is representative of the South African people and is implementing diversity management measures.

3. Standards

DESCRIPTION	POINTS
1. The existence of an employment equity policy and plan	
1. An approved employment equity <u>policy</u> that complies with section 1 of the EEA is in place.	0,50
2. An approved employment equity <u>plan</u> that complies with section 20 of the EEA is in place.	0,50
2. The achievement of representivity targets	
➤ 81% - 100% of the employment equity targets have been met. OR	2,00
➤ In 61 – 80% of the employment equity targets have been met. OR	1,00
➤ In 10 – 60% of the employment equity targets have been met.	0,50
3. Regular management reporting on representivity	
1. Apart from reporting to the Department of Labour, implementation of the employment equity plan is reported to management at least twice a year.	0,50
2. Evidence on management's response/actions on these reports is available.	0,50
4. The implementation of diversity management measures	
➤ Comprehensive (80% to 100%) diversity management measures are implemented. OR	1,00
➤ Some (50% to 79%) diversity management measures are implemented. OR	0,50
➤ Less than 50% diversity management measures are implemented.	0,00
Maximum possible score	5,00

Assessment

4. Employment equity policy and plan

Overview:

Compliance of the employment equity policy with section 1 of the EEA

The Department submitted an Employment Equity Policy dated December 2004. The policy complies with 36% of the requirements set in section 1 of the EEA. The policy does not address issues such as appointments, appointment process, remuneration, job assignments, and performance evaluation systems. See **Table 9.1** for detailed information on the compliance of the policy.

Compliance of the employment equity plan with section 20 of the EEA

The Department submitted an approved Employment Equity Plan (EEP) for 2008 – 2011 for assessment, which complies with 80% of the requirements, set in section 20 of the EEA. Areas that are not addressed include internal procedures to resolve any dispute about the interpretation/implementation of the plan and establishment records.

Rating:

The Department has an Employment Equity Policy dated December 2004, which complies with 36% of the requirements set in section 1 of the EEA. The Department's EE plan complies with 80% of the requirements set in section 20 of the Employment Equity Act, 1998, (Act No 55 of 1998). A score of 0,50 out of

	<p>1,00 is awarded</p> <p>Area for improvement:</p> <p>By the end of the 2009/10 financial year the Department should ensure that both the Employment Equity Policy and Plan fully comply with the requirements of the Employment Equity Act, 1998, (Act No 55 of 1998).</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>No assessment was done against this standard during the first assessment in 2001/02.</p>														
<p>5. Achievement of representivity targets</p>	<p>Overview:</p> <p>The Department's progress on employment equity according to figures provided in the DAR for 2007/08 is captured in Tables 9.3 and 9.4 at the end of the report on this principle. The Department's compliance with the national representivity targets was as follows:</p> <table border="1" data-bbox="448 741 1402 1043"> <thead> <tr> <th rowspan="2">National Targets</th> <th colspan="2">Department's Compliance</th> </tr> <tr> <th>First Assessment 31/03/2002</th> <th>Re-assessment 31/03/2008</th> </tr> </thead> <tbody> <tr> <td>75% Black at senior management level at the end of April 2005.</td> <td>The percentage was not reflected in the 2001/02 PSC's M&E report.</td> <td>82% Blacks in Senior Management – 7% above the required standard of 75% set for April 2005.</td> </tr> <tr> <td>30% of senior management should be women by 2000 and 50% by 31 March 2009</td> <td>30% women in senior management – exactly the required standard of 30% set for 2000.</td> <td>39% women at senior management – 9% above the required standard of 30% set for 2000 and 11% below the standard set for March 2009.</td> </tr> <tr> <td>Disability target of 2% to be achieved by 31 March 2010.</td> <td>0% people with disability – 2% below the required standard of 2% set for 2005.</td> <td>2.7% people with disability – 0,7% above the required standard of 2% set for 31 March 2010.</td> </tr> </tbody> </table> <p>The Department has 294 full-time and 23 contract employees making the total number of employees 317. Table 9.3 only reflects the number of full-time employees. The AR does not reflect the number of staff by disability; therefore, the number of employed people with disabilities was obtained from the EEP for 2008-2011 on page 11.</p> <p>Overall the Department has 82% Blacks in its employ excluding contract employees.</p> <p><i>Senior Management</i></p> <p>At senior management, salary levels 13 – 16, there are clear imbalances. The representation of Blacks is 82% in relation to the National target of 75%. This means that the Department has exceeded the required 75% Blacks on senior management level set for April 2005 by 7%.</p> <p><i>Gender</i></p> <p>The representivity of women at top and senior level stands at 39% (9% higher than the 30% target set for 2000, but 11% below the target of 50% set for 31 March 2009. However, the Department overall has 56% women in its employ, which is indicative that there is a potential pool to meet the need for employment of women on senior management level in the long term.</p> <p><i>Disability</i></p> <p>Comparing to the prescribed 2%, the Department at the end of the 2007/08 financial year had 2,7% persons with disabilities in its employ. This means that the Department has exceeded the required 2% by 0.7% in this category of employees.</p> <p>Rating:</p> <p>At the end of the 2007/08 financial year the Department had 82% Blacks at senior management level, against the target of 75% set for 30 April 2005. Women at all senior management levels comprise 39%, which represents a</p>	National Targets	Department's Compliance		First Assessment 31/03/2002	Re-assessment 31/03/2008	75% Black at senior management level at the end of April 2005.	The percentage was not reflected in the 2001/02 PSC's M&E report.	82% Blacks in Senior Management – 7% above the required standard of 75% set for April 2005.	30% of senior management should be women by 2000 and 50% by 31 March 2009	30% women in senior management – exactly the required standard of 30% set for 2000.	39% women at senior management – 9% above the required standard of 30% set for 2000 and 11% below the standard set for March 2009.	Disability target of 2% to be achieved by 31 March 2010.	0% people with disability – 2% below the required standard of 2% set for 2005.	2.7% people with disability – 0,7% above the required standard of 2% set for 31 March 2010.
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	<p>shortfall of 11% against the target of 50% set for 31 March 2009. People with disability comprise 2.7%, which is a surplus of 0.7% against the target of 2%. The Department thus achieved two of the three national targets, which translates to a score of 1,00 out of 2,00 in the PSC's Transversal M&E System.</p> <p>Area for improvement</p> <p>The Department should ensure that the national target of 50% set for women (all race groups) at senior management level is met as soon as is feasible.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment of 2001/02, it was found that the Department, apart from people with disability, has met its own representivity targets, but not the national targets. At that stage the Department had 70% men and 30% women at senior management level. No people with disabilities were employed.</p>
<p>6. Management reporting on representivity</p>	<p>Overview:</p> <p><i>Management reporting on representivity</i></p> <p>Apart from the required annual report to the Department of Labour, no management reporting on the implementation of employment equity is done to management.</p> <p>Rating:</p> <p>Apart from reporting to the Department of Labour, no reports are submitted to management on the implementation of the employment equity plan. A score of 0,00 out of 1,00 is awarded.</p> <p>Area for improvement:</p> <p>The Department should with immediate effect:</p> <ul style="list-style-type: none"> • Include 6 monthly progress reports on employment equity as a requirement in the EE Policy. • Ensure that management's response with remedies and steps taken to deal with the realisation of employment equity targets form part of the minutes of the management meeting. <p>The implementation of these two recommendations will enable management to keep track of the progress with employment equity.</p> <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>In the first assessment of 2001/02 it was found that regular reports and statistics were submitted to both the D-G and the Minister, to show employment equity trends. These reports were also presented at all planning meetings. The finding of the re-assessment in 2009/10 was that this reporting does not exist any more.</p>
<p>7. Diversity management measures</p>	<p>Overview</p> <p>The Department's progress with implementing diversity management measures was assessed against the checklist of standards in Table 9.5 for good diversity management measures at the end of the report on this principle. Following is a brief discussion on the Department's progress with diversity management against these standards:</p> <p>The Department's recruitment and selection policy addresses representivity in the workplace, whilst employment equity plan addresses strategies, targets and dates to achieve the targets. Although representivity targets are cascaded through all occupational categories and job levels, these are not regularly monitored for achievement.</p> <p>Employee development is not integrated and not aligned with the critical skills</p>

	<p>needed to advance in service delivery (for example through job rotation and/or job enrichment).</p> <p>Competencies such as how to deal with different cultures, religions, diverse work teams and understanding the impact of diversity on business relationships and service delivery, do not form part of SMS members' performance agreements. However, EE training was conducted for both the EE forum and SMS members to enable full participation in the development of future EE Plans.</p> <p>Training on cultural awareness/differences among people (for example religion, habits, and feasts) is provided at least once a year. Cultural preferences, behaviour and skills that help people bridge, and leverage, differences have been identified. The Department has gender, disability and employment equity forums.</p> <p>The general mood and morale of the Department's workforce and the impact on service delivery are not assessed.</p> <p>The recruitment/promotion/resignation of employees from designated groups is carefully monitored in terms of the overall targets of the employment equity plan to establish trends for implementing corrective measures.</p> <p>Instruments such as scholarships, learnerships and bursaries, targeting candidates from designated groups and occupational categories, are used for recruitment and support of these groups of people.</p> <p>The Department's workplace conditions are focussed on the health and wellness of the workforce by actively addressing and implementing the following:</p> <ul style="list-style-type: none"> • The workplace design and ergonomics are not conducive to employees' wellbeing. The Report to the Department of Labour states that there is a shortage of office space resulting in a less favourable working environment. • There is a balance between work and family. • Employees have access to kitchen facilities. • A policy for smokers is in place as well as a policy on workplace bullying and sexual harassment. • The department's office buildings are in all respects (parking, entrances, lifts, rest rooms, waiting rooms, offices, equipment) accessible to people with disabilities. <p>Rating:</p> <p>The Department has implemented 64% of the checklist of standards in Table 9.5 for good diversity management measures at the end of the report on this principle, which falls within the compliance range of 50% to 79% for a score of 0,50 out of 1,00</p> <p>Area for improvement:</p> <p>In order to improve upon the management of diversity, the Department should, within six months of receipt of this report:</p> <ul style="list-style-type: none"> • Amend its Employment Equity and Transformation Policy to set specific measurable objectives/ targets for managing diversity. • Develop strategies that address diversity management. • Through quarterly performance reviews to the HoD, ensure that top management is committed to promote sound diversity management within the Department. <p>Comparative performance results between the first assessment (2001/02) and the re-assessment (09/10)</p> <p>During the first assessment in 2001/02 it could not be established whether diversity management measures were always followed through, although the Department was committed to a work environment that achieves a diverse workforce, which is broadly representative of all South Africans. In the re-</p>
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	assessment of 2009/10, it was found that the Department has implemented 64% of the diversity management measures in the PSC's checklist.																								
Rating																									
8. Score	<table border="1"> <thead> <tr> <th>DESCRIPTION</th> <th>POINTS</th> </tr> </thead> <tbody> <tr> <td>1. The existence of an employment equity policy and plan</td> <td></td> </tr> <tr> <td>1. An approved employment equity <u>policy</u> that complies with section 1 of the EEA is in place.</td> <td>0,00</td> </tr> <tr> <td>2. An approved employment equity <u>plan</u> that complies with section 20 of the EEA is in place.</td> <td>0,50</td> </tr> <tr> <td>2. The achievement of representivity targets</td> <td></td> </tr> <tr> <td>61% - 80% of the employment equity targets have been met.</td> <td>1,00</td> </tr> <tr> <td>3. Regular management reporting on representivity</td> <td></td> </tr> <tr> <td>1. Apart from reporting to the Department of Labour, implementation of the employment equity plan is reported to management at least twice a year.</td> <td>0,00</td> </tr> <tr> <td>2. Evidence on management's response/actions on these reports is available.</td> <td>0,00</td> </tr> <tr> <td>4. The implementation of diversity management measures</td> <td></td> </tr> <tr> <td>➤ Some (50% to 79%) diversity management measures are implemented.</td> <td>0,50</td> </tr> <tr> <td>Total score</td> <td>2,00</td> </tr> </tbody> </table>	DESCRIPTION	POINTS	1. The existence of an employment equity policy and plan		1. An approved employment equity <u>policy</u> that complies with section 1 of the EEA is in place.	0,00	2. An approved employment equity <u>plan</u> that complies with section 20 of the EEA is in place.	0,50	2. The achievement of representivity targets		61% - 80% of the employment equity targets have been met.	1,00	3. Regular management reporting on representivity		1. Apart from reporting to the Department of Labour, implementation of the employment equity plan is reported to management at least twice a year.	0,00	2. Evidence on management's response/actions on these reports is available.	0,00	4. The implementation of diversity management measures		➤ Some (50% to 79%) diversity management measures are implemented.	0,50	Total score	2,00
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References	<p>Sources consulted in the preparation of this report:</p> <p>Documents:</p> <ol style="list-style-type: none"> 1. Republic of South Africa. National Department of Housing. <i>Annual Report April 2007 – March 2008</i>. 2. Republic of South Africa. National Department of Housing, <i>Bi-annual report to the Department for the period 1 September 2008 to February 2009</i>. 2009. 3. Republic of South Africa. National Department of Housing, <i>Draft Employment Equity Plan 2008-2011</i>. 2008. 4. Republic of South Africa. National Department of Housing. <i>2008/09 Workplace Skills Plan</i>. <p>Interviews:</p> <ol style="list-style-type: none"> 1. Ms. P Mokalapa. Director. National Department of Human Settlements. Directorate Organisational Transformation Pretoria. 18 June 2009. 																								
10. Useful sources to consult on this principle	<ol style="list-style-type: none"> 1. Republic of South Africa. Ministry for Public Service and Administration. <i>Head of Department's 8- Principle Action Plan for Promoting Women's Empowerment and Gender Equality within the Public Service Workplace</i>. Undated. 2. Republic of South Africa. Public Service Commission. <i>Gender Mainstreaming Initiatives in the Public Service</i>. November 2006. 																								

Table 9.1: Employment Equity Policy requirements

Standard	
1. Recruitment procedures, advertising and selection criteria.	√
2. Appointments and appointment process.	X
3. Job classification and grading.	√
4. Remuneration.	X
5. Remuneration, employment benefits and terms of conditions of employment.	X
6. Job assignments.	X
7. The working environment and facilities.	√
8. Training and development.	√
9. Performance evaluation systems.	X
10. Promotion.	√

Standard	√
11. Transfer.	X
12. Demotion.	X
13. Disciplinary measures other than dismissal.	X
14. Dismissal.	X
Total Requirements to comply with	14
Number of Requirements met (yes)	5
Number of Requirements not met (no)	9
% of requirements met	36%

Source: Republic of South Africa. Department of Labour. *Employment Equity Act 1998, Act Number 55 of 1998, Section 1 - Definitions.*

Table 9.2: Employment Equity Plan requirements

Standard	√
1. The objectives to be achieved for each year of the plan.	√
2. The affirmative action measures to be implemented as required by section 15(2) of the Act.	√
3. Where under representation of people from designated groups has been identified, the <u>numerical goals</u> to achieve the equitable representation of suitable qualified people from designated groups within each occupational category and level, the <u>timetable</u> and <u>strategies</u> to achieve these <u>numerical goals</u> .	√
4. The <u>timetable</u> for each year of the plan for the <u>achievement of goals and objectives other than numerical goals</u> .	√
5. The duration of the plan: not shorter than 1 year; and not longer than 5 years.	√
6. The procedures that will be used to monitor and evaluate the implementation of the plan and the progress towards implementing employment equity.	√
7. Internal procedures to resolve any dispute about the interpretation/implementation of the plan.	X
8. The persons – including senior managers – responsible for monitoring and implementing the plan.	√
9. A copy of the plan is freely available to all employees.	√
10. Establishment records are available.	X
Total Requirements to comply with	10
Number of Requirements met (yes)	8
Number of Requirements not met (no)	2
% of requirements met	80%

Source: Republic of South Africa. Department of Labour. *Employment Equity Act 1998, Act Number 55 of 1998, Section 20 - Definitions.*

Tables 9.3: Number of staff by gender and population group (Annual Report 2007/2008 – page 186)

Occupational Bands	Statistics	Male				Female				Total
		African	Coloured	Indian	White	African	Coloured	Indian	White	
1. Top management	Actual	5			1	2		1		9
	Target									
2. Senior management	Actual	17	2	2	7	15	1	1	2	47
	Target									
3. Professionally qualified and experienced specialists and mid-management	Actual	37		2	6	32	3	5	12	97
	Target									
4. Skilled technical and academically qualified workers, junior management, supervisors, foreman and superintendents.	Actual	19	1			32	3	4	22	81
	Target									
5. Semi skilled and discretionary decision- making	Actual	23	1		1	20				45
	Target									
6. Unskilled and defined decision-making	Actual	5			1	9				15
	Target									
Total	Actual	106	4	4	16	110	7	11	36	294
	Target									

Source: Republic of South Africa. The National Treasury. Guide for the Preparation of Annual Reports. National/Provincial Departments for the year ended 31 March 2008.

Table 9.4: Number of staff by disability (Employment Equity Plan 2008-2011 page 11)

Occupational Bands	Statistics	Male				Female				Total	% of total Establish-ment
		African	Coloured	Indian	White	African	Coloured	Indian	White		
1. Top management	Actual										
	Target										
2. Senior management	Actual										
	Target										
3. Professionally qualified and experienced specialists and mid-management	Actual										
	Target										
4. Skilled technical and academically qualified workers, junior management, supervisors, foreman and superintendents	Actual										
	Target										
5. Semi skilled and discretionary decision- making	Actual										
	Target										
6. Unskilled and defined decision-making	Actual										
	Target										
Total	Actual									8	2.7%
	Target										

Source: Republic of South Africa. The National Treasury. Guide for the preparation of annual reports. National/Provincial Departments for the year ended 31 March 2008.

Table 9.5: Diversity Management Checklist

Standard	✓
1. The department's recruitment and selection policy/plan addresses representivity in the workforce.	✓
2. The department's employment equity plan addresses strategies, targets and a time table to achieve a representative workforce.	✓
3. Representivity targets are cascaded through all occupational categories and job levels in the department	✓
4. The achievement of representivity targets at all occupational categories and job levels in the department is monitored at least on a quarterly basis.	X
5. The department's workforce reflects the population demographics of the province.	✓
6. Vacant posts are widely advertised in specific publications where minorities and women are expected to seek jobs.	X
7. Under utilisation of occupational categories and job levels is identified.	X
8. Goals are established to reduce under utilisation of occupational categories and job levels.	X
9. Employee development is integrated and in line with the critical skills needed to advance in service delivery (for example through job rotation and/or job enrichment).	X
10. Diversity competencies such as how to deal with different cultures, religions, diverse work teams and understanding the impact of diversity on business relationships and service delivery, form part of SMS members' performance agreements.	X
11. Training on cultural awareness/differences among people (for example religion, habits, feasts) is provided at least once a year throughout the year.	✓
12. Cultural preferences, behaviour and skills that help people bridge the, and leverage differences have been identified.	✓
13. The recruitment/promotion/resignation of employees from designated groups is carefully monitored in terms of the overall targets of the employment equity plan.	✓
14. The recruitment/promotion/resignation of employees from designated groups is carefully monitored to establish trends for implementing corrective measures.	✓
15. Ways such as scholarships, learnerships and bursaries to access candidates from designated groups and occupational categories are considered and acted upon.	✓
16. The department's workplace conditions are focussed on the health and wellness of the workforce by actively addressing and implementing the following:	
a. The workplace design and ergonomics are conducive to employees' wellbeing.	X
b. There is a definite balance between work and family.	✓
c. Employees have access to kitchen facilities.	✓
d. A policy for smokers is in place.	✓
e. A policy on workplace bullying and sexual harassment is in place.	✓
f. The department's office buildings are in all respects (parking, entrances, lifts, rest rooms, waiting rooms, offices, equipment) accessible to people with disabilities.	✓
Total Requirements to comply with	22
Number of Requirements met (yes)	14
Number of Requirements not met (no)	9
% of requirements met	64%

(Checklist Numbers 1 – 14).

Source: Reichenberg, Neil, R. *United Nations Expert Group Meeting on Managing Diversity in the Civil Service. Best Practice in Diversity Management. Executive Director. International Personnel Management Association. United Nations Head Quarters. New York. 3 – 4 May 2001.*

(Checklist Numbers 15 – 18).

Source: Republic of South Africa. Department of Public Service and Administration. *Draft Strategic Human Resource Planning Guide and Toolkit. Version 1.0. March 2007.*

APPENDIX A: Attendance list – presentation of the M&E Report

Presentation of the Draft M&E Report on 25 January 2010

**To Strategic Management Committee Members of the
Department of Human Settlements**

Attendance List

Name	Designation
1. Mr R Dyantyi	Special Advisor to the Minister
2. Mr C Vick	Special Advisor to the Minister
3. Mr M Dlabantu	ADG: Chief Financial Officer
4. Ms NN Lesholonyane	DDG: Corporate Services
5. Mr MK Maphisa	DDG: Policy and Research
6. Mr HK Kabagambe	DDG: Delivery Support
7. Ms T Gasela	Chief of Staff: Ministry
8. Mr DJ von Broembsen	Chief Director: Policy Development
9. Mr J Wallies	Chief Director: Programme Implementation Support
10. Mr LM Jolobe	Chief Director: Transformation
11. Ms YD Mbane	Chief Director: Human Resource Management
12. Dr ZN Sokopo	Chief Director: Research
13. Ms F Matlatsi	Chief Director: Funds Management
14. Mr JB Minnie	Chief Director: Sector Management Information Services
15. Mr W Jiyana	Chief Director: Stakeholder Liaison and Mobilisation
16. Ms J Bayat	Chief Director: Priority Projects
17. Mr NL Mbengo	Chief Director: Financial Services
18. Ms KR Gaesale	Chief Director: Internal Audit, Risk Management and Special Investigations
19. Adv JM Tladi	Chief Director: Legal Services
20. Ms S Ngxongo	Chief Director: Housing Equity
21. Mr MM Mngomezulu	Acting Chief Director: Housing Institutions and Funding Mobilisation
22. Ms M Glinzler	Acting Chief Director: IGR and International Relations
23. Ms T Maimane	Acting Chief Director: Communication Services
24. Ms Mulalo Muthige	Acting Chief Director:: Monitoring and Evaluation
25. Mr M Kraba	Director: Parliamentary and Cabinet Liaison
26. Ms D Lekoma	Director: Administration and Logistical Support
27. Ms M van der Berg	Director: Monitoring
28. Ms N Tembani	Director: Rental Housing

APPENDIX B: Schedule of principles, values and applicable regulations and legislation

Constitutional Principle	Constitutional Value	Performance Indicator	Applicable Legislation and Regulations
1. Professional ethics.	A high standard of professional ethics must be promoted and maintained.	Cases of misconduct where a disciplinary hearing has been conducted, comply with the provisions of the Disciplinary Code and Procedures for the Public Service.	<ul style="list-style-type: none"> ➤ Disciplinary Codes and Procedures for the Public Service. ➤ Public Service Coordinating Bargaining Council (PSCBC) Resolution 2 of 1999 as amended by Public Service Coordinating Bargaining Council Resolution 1 of 2003. ➤ Code of Conduct for the Public Service.
2. Efficiency economy and effectiveness.	Efficient, economic and effective use of resources must be promoted.	<ul style="list-style-type: none"> ➤ Expenditure is according to budget. ➤ Programme outputs are clearly defined and there is credible evidence that they have been achieved. 	<ul style="list-style-type: none"> ➤ Public Finance Management Act, Act 1 of 1999, Sections 38 to 40. ➤ Treasury Regulations. Part 3: Planning and Budgeting. ➤ Public Service Regulations. Part III/B. Strategic Planning. ➤ Treasury Guidelines on preparing budget submissions for the year under review. ➤ Treasury Guide for the Preparation of Annual reports of departments for the financial year ended 31 March. ➤ National Planning Framework.
3. Development oriented Public Administration.	Public administration must be development-oriented.	The department is effectively involved in programmes/projects that aim to promote development and reduce poverty.	Section 195 (c) of the Constitution.
4. Impartiality and fairness.	Services must be provided impartially, fairly, equitably and without bias.	There is evidence that the Department follows the prescribed procedures of the Promotion of Administrative Justice Act (PAJA) when making administrative decisions.	<ul style="list-style-type: none"> ➤ Promotion of Administrative Justice Act, Act No 3 of 2000. ➤ Regulations on Fair Administrative Procedures, 2002. ➤ Departmental delegations of authority.
5. Public participation in policy-making.	People's needs must be responded to and the public must be encouraged to participate in policy-making.	The department facilitates public participation in policy-making.	White Paper for Transforming Public Service Delivery (Batho Pele).
6. Accountability.	Public administration must be accountable.	<ul style="list-style-type: none"> ➤ Adequate internal financial control and performance management is exerted over all departmental programmes. ➤ Fraud prevention plans, based on thorough risk assessments, are in place and are implemented. 	<ul style="list-style-type: none"> ➤ Public Finance Management Act, Act 1 of 1999. ➤ Treasury Regulations. Part 3: Planning and Budgeting. ➤ White Paper for Transforming Public Service Delivery (Batho Pele). ➤ Public Service Regulations. Part III/B. Strategic Planning. ➤ Treasury Guidelines on preparing

Constitutional Principle	Constitutional Value	Performance Indicator	Applicable Legislation and Regulations
			budget submissions, 2002. ➤ Treasury Guide for the Preparation of Annual Reports of departments for the financial year ended 31 March. National Planning Framework.
7. Transparency.	Transparency must be fostered by providing the public with timely, accessible and accurate information.	A. Departmental Annual Report ➤ The departmental annual report complies with National Treasury's guideline on annual reporting. B. Access to Information ➤ The Department complies with the provisions of the Promotion of Access to Information Act (PAIA).	➤ Public Finance Management Act 1999, Act 1 of 1999. ➤ National Treasury's guideline for the Preparation of Annual Reports. ➤ The Department of Public Administration's guide for an Oversight Report on Human Resources. ➤ Public Service Commission. Evaluation of Departments' Annual Reports as an Accountability Mechanism. October 1999. ➤ White Paper for Transforming Public Service Delivery (Batho Pele). ➤ Promotion of Access to Information Act 2000, Act 2 of 2000. ➤ Departmental delegations of authority.
8. Good human resource management and career development practices.	Good human resource management and career development practices, to maximize human potential, must be cultivated.	A. Recruitment ➤ Vacant posts are filled in a timely and effective manner. B. Skills Development ➤ The department complies with the provisions of the Skills Development Act.	➤ Public Service Regulations, 2001 as amended. ➤ Public Service Act.
9. Representivity.	Public administration must be broadly representative of SA people, with employment and personnel management practices based on ability objectivity fairness and the need to redress the imbalances of the past to achieve broad representation.	The Department is representative of the South African people and is implementing diversity management measures	➤ Part VI Public Service Regulations, 2001 as amended. ➤ Employment Equity Act, Act 55 of 1998. ➤ White Paper on the Transformation on Public Service – 15/11/1995. ➤ White Paper on Affirmative Action in the Public Service, 2001. ➤ White paper on Disability.

APPENDIX C: Overview of performance and list of recommendations per principle

Name of department being monitored	National Department of Human Settlements																																																							
Overview of performance per principle	<p>The Department's performance against all nine principles is reflected in the graph below. Measurement is done by weighting and scoring the performance of the Department against specific standards linked to the performance indicator(s) for a particular principle. A department can thus be scored between 0 or 0% (none of the standards has been met) and 5 or 100% (excellent performance on all t</p> <div style="text-align: center; border: 1px solid black; padding: 10px; margin: 10px 0;"> <p>Performance per principle in the re-assessment in 2009/10 against the first assessment in 2006/07</p> <table border="1" style="margin: 0 auto; border-collapse: collapse; text-align: center;"> <caption>Data for Performance per principle chart</caption> <thead> <tr> <th>Principle</th> <th>2001/02 (%)</th> <th>2009/10 (%)</th> <th>Improvement (%)</th> <th>Decline (%)</th> </tr> </thead> <tbody> <tr> <td>Average</td> <td>58%</td> <td>76%</td> <td>10%</td> <td>0%</td> </tr> <tr> <td>1</td> <td>20%</td> <td>75%</td> <td>55%</td> <td>0%</td> </tr> <tr> <td>2</td> <td>80%</td> <td>70%</td> <td>0%</td> <td>0%</td> </tr> <tr> <td>3</td> <td>80%</td> <td>100%</td> <td>20%</td> <td>10%</td> </tr> <tr> <td>4</td> <td>20%</td> <td>20%</td> <td>0%</td> <td>0%</td> </tr> <tr> <td>5</td> <td>80%</td> <td>80%</td> <td>0%</td> <td>20%</td> </tr> <tr> <td>6</td> <td>60%</td> <td>90%</td> <td>30%</td> <td>0%</td> </tr> <tr> <td>7</td> <td>40%</td> <td>100%</td> <td>60%</td> <td>0%</td> </tr> <tr> <td>8</td> <td>80%</td> <td>60%</td> <td>0%</td> <td>20%</td> </tr> <tr> <td>9</td> <td>60%</td> <td>40%</td> <td>0%</td> <td>20%</td> </tr> </tbody> </table> </div> <p>According to the above graph, the Department's performance and compliance with the nine Constitutional values and principles have improved with 10% from an average score of 58% (adequate performance) in 2001/02 to 76% (good performance) in 2009/10.</p>	Principle	2001/02 (%)	2009/10 (%)	Improvement (%)	Decline (%)	Average	58%	76%	10%	0%	1	20%	75%	55%	0%	2	80%	70%	0%	0%	3	80%	100%	20%	10%	4	20%	20%	0%	0%	5	80%	80%	0%	20%	6	60%	90%	30%	0%	7	40%	100%	60%	0%	8	80%	60%	0%	20%	9	60%	40%	0%	20%
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Recommendations	<p>Implementation of recommendations of first assessment</p> <p>When the Department was assessed for the first time in 2001/02, eighteen recommendations were made of which 13 (or 72%) were implemented when the Department was re-assessed in 2009/10. The PSC is pleased to note that a concerted effort was made by the Department to implement the recommendations of the PSC. The number of recommendations made and the implementation thereof</p>																																																							

per principle appear in the **Table** below.

Principle	1	2	3	4	5	6	7	8	9	Total
Recommendations 2001/02	4	2	1	1	1	2	3	3	1	18
Recommendations implemented 2009/10	4	-	1	-	-	2	3	2	1	13
Recommendations not implemented	0	2	0	1	1	0	0	1	0	5
% of total recommendations implemented	22%	0%	6%	0%	0%	11%	16%	11%	6%	72%

New Recommendations

The PSC made **10** recommendations in this report that need to be implemented within specific time frames. Within six months of receipt of this report, the PSC will do a follow-up on the progress made with the implementation of these recommendations using the list of recommendations at **Appendix A** as template for the feedback Report. The number of recommendations per principle is captured in the **Table** below.

Principle	1	2	3	4	5	6	7	8	9	Total
Recommendations 09/10	1	2	0	0	1	0	0	2	4	10
% of total	10%	20%	0%	0%	10%	0%	0%	20%	40%	100%

The specific recommendations made per principle in the 2001/02 evaluation report, the Department's response at that time and the current specific recommendations are listed below:

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
Principle 1: Professional Ethics	1. Policy/guideline on managing cases of misconduct	1. Policy/guideline on managing cases of misconduct	1. Policy/guideline on managing cases of misconduct
	The Department needs to improve its record keeping function in as far as misconduct cases are concerned, as trends and improvements cannot be verified or confirmed without such data.	The Department is in the process of finalising a uniformed procedure to deal with cases of misconduct as outlined in the Labour relations Act, Act 66 of 1995.	
	A standardized misconduct procedure should be stated in a formal policy that is adopted through the usual channels and presented to the Minister for endorsement.	Although no formal cases of misconduct were reported, the Directorate: Human Resources Management has advised various line managers verbally of procedures how to deal with misconduct.	
	Clear explanatory manuals that explain and describe the Department's approach to managing and preventing corruption could also be developed and distributed.	The Department does have a Fraud Prevention Strategy and interventions are underway to review the process and implement mechanisms to effectively deal with fraud and corruption.	
2. Management reporting on cases of misconduct	2. Management reporting on cases of misconduct	2. Management reporting on cases of misconduct	
		The Department should, with immediate effect, ensure that a response from management on how to deal with challenges experienced in the handling of misconduct cases is included in the minutes of the management meeting or noted on the quarterly	

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			reports. <i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i>
	<p>3. Capacity to handle cases of misconduct</p> <p>It appears that the Department only has one person currently responsible for cases of misconduct (the Human Resource Director). This responsibility is additional to her general Human Resource Management functions. For a Department with about two hundred (200) staff at national level, and having transfer grants to several provincial departments and institutions, there is a need to have dedicated staff that will develop all policies and procedures aimed at combating corruption in the process of disbursing over R3 billion per year.</p>	<p>3. Capacity to handle cases of misconduct</p> <p>In the absence of a dedicated Labour Relations Officer, the Deputy Director Human Resources Provisioning attends to queries of misconduct regularly.</p>	<p>3. Capacity to handle cases of misconduct</p>
<p>Principle 2: Efficiency, Economy and Effectiveness</p>	<p>1. Planned expenditure vs. actual expenditure</p> <p>The National Department of Housing needs to step up monitoring measures in this regard which are also suggested by the Gobodo Corporate Governance Service Risk Assessment Report that include:</p> <ul style="list-style-type: none"> Increasing its monitoring capacity over "Provinces and Facilitative Agencies" that directly disburse its funds. Better financial and expenditure monitoring is required, with an early warning system to detect risks in time in order to introduce relevant corrective measures. <p>The Department is responsible for infrastructure development and this is technical and consultant driven. The Department therefore needs to explore possibilities of increasing the capacity to manage service providers and consultants at project execution levels.</p>	<p>1. Planned expenditure vs. actual expenditure</p> <p>The score given for this part of the report does not reflect on the achievement of the Department adequately. Firstly, as can be seen in the Report of the Auditor-General, the Department achieved a clean audit report which indicates the adequacy of the internal control measures instituted that are geared towards the achievement of the goals of ensuring the promotion of the efficient, economical and effective use of reasons. The report on the heading "AREAS FOR DEVELOPMENT" uses the Gobodo risk assessment report as an argument for inadequacy, a report which was made at the time of assessing areas of potential risk as if these are the outcomes or weakness after assessment of performance.</p> <p>As a means of ensuring that the Department manages the risks in respect of the 95% of its allocation, which is transferred to provinces as conditional grants, the report recommends that there should be adequate monitoring capacity over provinces and housing institutions, and better financial management and monitoring. It did not mean that these were inadequate but pointed out that they should be considered high-risk areas and be managed as such through the development of</p>	<p>1. Planned expenditure vs. actual expenditure</p> <p>The Department, with immediate effect, should:</p> <ul style="list-style-type: none"> Put in place rigorous monitoring and evaluation (M&E) measures in all departmental programmes and sub-programmes to ensure that the budget is spent as budgeted for. Implement these M&E measures to detect risks in time and introduce relevant corrective measures. Manage service providers and consultants at project execution levels. Address capacity constraints in the line function programmes. Ensure that responsibility managers keep track of their expenditure. Ensure that responsibility managers are held accountable for not taking corrective measures in good time. <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
		<p>necessary and appropriate measures.</p> <p>Recognising that the report mentioned took place in 2000/2001, the following must be taken into account:</p> <ul style="list-style-type: none"> • There are measures that the Department put into place in managing the risk identified through the Risk Assessment Report. Monthly management information used for monitoring Expenditure trends at both provincial and at national level are prepared, analysed and discussed. In these reports and during these discussions the underlying factors contributing to negative performance variances are identified with corrective action. • Capacity for monitoring even on the non-financial performance at provinces was increased and better use of the resources like the Housing Subsidy Scheme (HSS) and provincial delivery statistics made. It is in fact surprising that in this regard a better recognition of the existence of these tools is made (as evidenced by 4 on the HSS). • It also needs to be understood that the existence of variances (in comparing budget to expenditure) does not necessarily reflect inefficiency – in fact it, in most cases, reflects the efficient and economic use of resources especially if the same objectives/output and outcomes are achieved (with less resources). It is contended that reasons for variances between set standards and actual performance are always provided to relevant parties (like the National Treasury and Auditor-General) and has been, in most cases, accepted as adequate. <p>We accept a rating of 4 but recognise that there is still room for improvement.</p>	
	<p>2. Achievement of priority outputs</p> <p>It is also suggested that the Department, in cases where the set standard for a project has not been met, provides reasons for the deviation.</p>	<p>2. Achievement of priority outputs</p> <p>However, at least a score of 1, 0 could have been awarded as opposed to the awarded 0, 0 because standards were indeed set but not met as expected.</p>	<p>3. Achievement of priority outputs</p> <p>The Department should with immediate effect ensure that:</p> <ul style="list-style-type: none"> ➤ Outputs that have been planned and budgeted for are implemented and closely monitored. Monitoring progress on outputs will ensure that the Department can timeously implement corrective actions to ensure that outputs are

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			<p>achieved as planned.</p> <p>➤ Reasons for non-performance/over-performance per PI should be given.</p> <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>
Principle 3: Development Orientation	<p>1. Success of the projects</p> <p>The Department needs to:</p> <ul style="list-style-type: none"> Monitor whether these poverty alleviation projects are indeed implemented at grass roots level. Assess these projects' impact on poverty reduction. 	<p>1. Success of the projects</p> <p>The very nature of construction requires "Manual Labour" which means that the implementation of projects creates jobs in the construction sector. These are often not permanent. However, the sector has very important forward and backward linkages for job creation. (The Department has previously undertaken a study in this regard). This clearly has an effect on poverty alleviation.</p> <p>The housing policy is secondly premised on the fact that housing projects should contribute to the efficiency of settlements, thereby acting as stimulation for the economy.</p>	<p>1. Success of the projects</p>
Principle 4: Impartiality and Fairness	<p>1. Decisions are just and fair</p> <p>The requirements for implementation of the PAJA are clearly stated in the legislation and these need to be acted upon by the Department as soon as possible. The steps required include mapping out business processes and allocating responsibility for responding to requests for decisions.</p> <p>Decision-makers should in terms of the PAJA, maintain records showing reasons for the Department's administrative decisions, such as response letters to dissatisfied individuals' dealings with the Department.</p>	<p>1. Decisions are just and fair</p> <p>The Department is complying with the provisions of the Promotion of Administrative Justice Act (PAJA). The PAJA is linked to the Promotion of Access to Information Act (PAIA) and the Directorate: Information Management has been designated to deal with all requests in terms of the PAIA.</p> <p>A request has been brought to the Department in terms of the PAJA for reasons in respect of the awarding of a tender and the Department complied with the request.</p> <p>The Department's core business is such that it does not provide services <u>directly</u> to citizens/members of the public or enter into administrative relationships with citizens, e.g. issue licenses, certificates etc. Sections 3 and 4 of the PAJA only apply where the administrative action <u>materially and adversely</u> affect the rights of any person/public.</p> <p>Assessment would therefore be incorrect because the nature of the functions performed by the Department (i.e. the Department does not provide</p>	<p>2. Decisions are just and fair</p> <p>Regarding the 2009/10 assessment, the PSC now concurs with the Department's opinion set out above, namely that the PAJA does not apply to the Department. The PSC's indicator and standards for this principle are, therefore, not applicable to the department and this is indicated in the scoring tables.</p> <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
		services directly to citizens/public) was not taken into account in the assessment.	
Principle 5: Public Participation in Policy-making	<p>1. Policy and guidelines</p> <p>The work of the Department regarding public participation is remarkably well. Efforts should however be made to increase public participation especially during the earlier phases of policy design and conceptualisation so that they (the citizens) are able to influence macro level and long term issues rather than just supporting implementation.</p>	<p>1. Policy and guidelines</p> <p>Previous guidelines of the Hosing Subsidy Scheme (HSS) required a compulsory public participation (social compacts) process in the planning of projects. Due to a number of reasons, this is not a strict requirement anymore.</p> <p>However, the writers of the Report also confusing <u>policy</u> with <u>strategy</u> (implementation), thereby also confusing responsibilities of Government (at all spheres) with public participation at the implementation level.</p> <p>A comprehensive consultation process preceded the planned summit and a total of fourteen workshops were conducted during the 2002/2003 financial year where approximately thousand persons participated. Part of this process was a comprehensive housing subsidy beneficiary survey to acquire insight into the perception and views of beneficiaries regarding the effects of the Housing Policy on lives. The results of the consultation process and survey will be utilised to establish a revised policy and research agenda.</p>	<p>1. Policy and guidelines</p> <p>The Department should, with immediate effect, develop a comprehensive policy on public participation in policy-making.</p> <p>This policy should address at least the following areas:</p> <ul style="list-style-type: none"> ➤ What should be achieved? ➤ Whose inputs should be obtained? ➤ On what should comments be obtained? ➤ The procedures that should be followed. ➤ The consideration and acknowledgement of inputs received in the participation process. ➤ The procedures for including the results of the participation process in policy making. <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>
Principle 6: Accountability	<p>1. Fraud prevention plan</p> <p>The Department needs to dedicate resources to fraud prevention. This could be achieved by designating some officials to constitute a Fraud Prevention Unit/Committee.</p> <p>Roles and responsibilities of various members of the Fraud Prevention Unit/Committee should be clearly defined.</p> <p>A Fraud Response Plan is necessary in the light of risks identified by the Risk Assessment Report of the Department.</p>	<p>1. Fraud prevention plan</p> <p>The Fraud Prevention Plan of the Department is in place. The Risk Assessment Report of the Department is presently being reviewed and external consultants will be appointed for this purpose.</p> <p>A Task team consisting of officials from the department of Housing and officials from the Office of the National Director of Public Prosecutions. To deal with issues of Fraud, Corruption, and Administration will be established soon.</p>	<p>1. Fraud prevention plan</p>
	<p>2. Implementation of the fraud prevention plan</p> <p>The fact that the Department deals a lot with contractors/tenders should be reason enough for the Department to make every effort to ensure that staff is appointed and given appropriate training on fraud prevention and in investigating cases of fraud and misconduct.</p>	<p>2. Implementation of the fraud prevention plan</p> <p>The capacity to investigate incidents of possible fraud will be enhanced with the filling of critical vacancies and the financial training that is taking place. Once the risk assessment and fraud prevention plans are in place, a series of road shows will be embarked upon to further sensitise managers and other relevant officials around risk management.</p>	<p>2. Implementation of the fraud prevention plan</p>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
Principle 7: Transparency	1. Presentation of annual report A more concerted effort should be made to avoid the late reporting to the people of South Africa, about how voted funds were spent by the Department over a given financial year.	1. Presentation of annual report The late submission of the report is noted and arrangements to avoid re-occurrence have been made.	1. Presentation of annual report
	2. Content of the annual report The Department needs to conform to the requirements for annual reporting, as stipulated in the Treasury Guidelines.	2. Content of the annual report This is not correct. The Annual Report of the Department does conform to the requirements of the Treasury Guidelines. It has covered in all material respects the issues covered in the guidelines.	2. Content of the annual report
	3. Reporting on performance in the annual report A closer correlation between the programme performance indicators listed in the budget vote approved by Parliament and those reported upon in the Annual Report is required. The Report should be more closely based on the expenditure estimates.	3. Reporting on performance in the annual report The audited annual financial statements contain in full the details of expenditure in comparison with the budget expenditure estimates & the outputs are related to the published ENE outputs. Copies of the A-G's report and annual financial statements were provided to National Treasury and the SCOPA so that they are aware of the status of the usage of resources even though the other non-financial information given in terms of the annual report was not there. We consider a rating of three (3) being more appropriate for the work already done by the Department.	3. Reporting on performance in the annual report
Principle 8: Good Human Resource Management and Career Development Practices	1. Recruitment times	1. Recruitment times	1. Recruitment times The Department, with immediate effect, should put in place measures to ensure that vacant posts are filled within 90 days after they have been vacated as vacancies might impact negatively on service delivery. <i>The Department commented as follows:</i> <i>With regard to recruitment turnaround time, when the Department restructured in 2007, the structure increased by 400 new posts, which were unfortunately not immediately funded, but to be phased over the MTEF period. As such, the large vacancy rate is misleading as it is a factor of new unfunded posts. The Human Resource Service Delivery Improvement Plan, with norms and standards, and turnaround times has been put in place to assist in the process of recruitment and filling of vacancies. The Delegations of Authority has been</i>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			<p><i>revised to support the plan for efficient expedition of this function. Documents have been submitted to the PSC.</i></p> <p><i>Note by the PSC: Cognisance is taken of the Department's effort towards filling vacancies within 12 weeks.</i></p>
	<p>2. Policy on Recruitment</p> <p>The Department should finalise and approve a departmental Recruitment and Selection Policy.</p>	<p>2. Policy on Recruitment</p> <p>The Strategic Management Committee has approved the Recruitment and Selection Policies.</p> <p>The Departmental Task Team (DTT) has approved the Draft Human Resources Plan.</p> <p>The Staff Retention Policy has been drafted and circulated for comments and should be tabled at the Strategic Management Meeting for approval shortly.</p>	<p>2. Policy on Recruitment</p>
	<p>3. Management reporting on recruitment</p> <p>Management reporting should become more systematic and structured so as to maintain good records, as well as keeping both the Accounting Officer and the Executing Authority fully appraised.</p>	<p>3. Management reporting on recruitment</p> <p>Regular reporting does take place and not only on request as indicated.</p>	<p>3. Management reporting on recruitment</p>
	<p>4. Performance against the skills development plan</p> <p>A well-structured approach to the implementation of the skills plan is required so that training is more clearly focused around meeting the skills gap in the Department.</p>	<p>5. Performance against the skills development plan</p> <p>The Department of Housing has signed a memorandum of understanding (MOU) with the South African Management Development Institute (SAMDI) to conduct Skills/Competency Assessments of all staff and also assist in the development of a three-year training and development plan, starting with this (2003/2004) financial year. The training plan will be reviewed annually.</p>	<p>5. Performance against the skills development plan</p> <p>The Department should with immediate effect ensure that:</p> <ul style="list-style-type: none"> ➤ The skills development activities reflected in the AR are aligned with those in the SDP and the WSP. ➤ The performance of all skills development activities against the SDP is assessed. ➤ The impact of skills improvement on service delivery is evaluated annually. <p>The implementation of this recommendation will assist the Department to provide focussed training and ensure improvement in service delivery.</p> <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>
Principle 9: Representivity	<p>1. Employment equity policy and plan</p>	<p>1. Employment equity policy and plan</p>	<p>1. Employment equity policy and plan</p> <p>By the end of the 2009/10 financial year, the</p>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			<p>Department should ensure that both the Employment Equity Policy and Plan fully comply with the requirements of the Employment Equity Act, 1998, (Act No 55 of 1998).</p> <p><i>Note by the PSC: The finding against this standard was presented to the Department with a request to submit comments. No comments for this standard were received for incorporation in the Executive Summary/Main Report.</i></p>
	<p>2. Achievement of representivity targets</p> <p>A greater effort needs to be made to attract and retain disable people at both production and Senior Management levels.</p> <p>Transformation is a critical aspect of Human Resource policy in the public service. More attention should be given to this function. The Department should not only dedicate a Middle Management official, but also provides support and resources to the designated groups, for structured training and development.</p>	<p>2. Achievement of representivity targets</p> <p>The Department has an approved Employment Equity Plan that place emphasis on the recruitment of people with disabilities and also to ensure representativity in all occupational categories.</p> <p>The Sub-Directorate Transformation has also established an Employment Equity Forum to measure progress against the proposed plan of action outlined in the Employment Equity Plan.</p> <p>A revised Recruitment Selection Strategy has been compiled, incorporating the recruitment of people with disabilities.</p>	<p>2. Achievement of representivity targets</p> <p>The Department should put measures in place to ensure that the national target of 50% set for women (all race groups) at senior management level is achieved.</p> <p><i>The Department commented as follows:</i></p> <p><i>With regard to non-achievement of representivity targets, the Department has put measures in place to address this anomaly which are:</i></p> <ul style="list-style-type: none"> • <i>The development and implementation of an EE Plan (2008-2011)</i> • <i>Current vacancies at SMS level are targeted to achieve National target of 50% women at SMS level as per the EE targets.</i> • <i>In terms of the EE Report summaries for the years 2001/02 to 2008/09, the Department has made progress in terms of representativity.</i> <p><i>Note by the PSC: Cognisance is taken of the Department's efforts to address employment equity challenges.</i></p>
	<p>3. Management reporting on representivity</p>	<p>3. Management reporting on representivity</p>	<p>3. Management reporting on representivity</p> <p>The Department should, with immediate effect:</p> <ul style="list-style-type: none"> ➤ Include 6 monthly progress reports on employment equity as a requirement in the EE Policy. ➤ Ensure that management's response, with remedies and steps taken to deal with the realisation of employment equity targets, form part of the minutes of management meetings. <p>The implementation of these two recommendations will enable management to keep track of the progress with employment equity.</p>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			<p><i>The Department commented as follows:</i></p> <p><i>In relation to lack of indication of management reporting on representivity and implementation of diversity management measures, the Department has placed reporting on EE targets, and reporting on diversity management measures as standing items in Strategic Management meetings.</i></p> <p><i>The following aspects will be reported on:</i></p> <ul style="list-style-type: none"> • <i>Specific measurable objectives/targets for managing diversity will be set as per the amended Employment Equity (EE) and Transformation Policy;</i> • <i>During the current reporting year the EE Forum will develop strategies that address diversity management; and</i> • <i>The promotion of diversity management within the Department will be enhanced to be aligned with the Departmental quarterly reviews.</i> <p><i>Note by the PSC: Cognisance is taken of the Department's efforts to address employment equity challenges.</i></p>
	4. Diversity management	4. Diversity management	<p>4. Diversity management</p> <p>In order to improve upon the management of diversity, the Department should, within six months of receipt of this report:</p> <ul style="list-style-type: none"> ➢ amend its Employment Equity and Transformation Policy to set specific measurable objectives/ targets for managing diversity; ➢ develop strategies that address diversity management; and ➢ through quarterly performance reviews to the HoD, ensure that top management is committed to promote sound diversity management within the Department. <p><i>The Department commented as follows:</i></p> <p><i>The following aspects will be reported on:</i></p> <ul style="list-style-type: none"> • <i>Specific measurable objectives/targets for managing diversity will be set as per the amended Employment Equity (EE) and Transformation Policy;</i>

Principle	Recommendations		
	2001/02	Departments response 2001/02	2009/10
			<ul style="list-style-type: none"> • During the current reporting year the EE Forum will develop strategies that address diversity management; and • The promotion of diversity management within the Department will be enhanced to be aligned with the Departmental quarterly reviews. <p><i>Note by the PSC: Cognisance is taken of the Department's efforts to address employment equity challenges.</i></p>
Conclusion	The 10 recommendations listed in this Appendix as well as the findings will be used as the basic monitoring template. This will be fed into the tracking of implementation of recommendations by the PSC, which is presented to Parliament.		

APPENDIX D: Additional questions – Departments of Housing

Principle 1	
1. Time taken to resolve the most recent cases of misconduct	<ol style="list-style-type: none"> 1. How many cases since the last evaluation to date were related to any part of the housing scheme? 2. The time frame in which these cases were resolved? 3. What was the outcome of each of these cases? 4. On which post level(s) did these cases occurred? 5. Which part of the housing scheme was the most prevalent in these misconduct cases? 6. What did management do to curb this kind of misconduct and were these actions successful?
2. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 2	
1. Achievement of priority outputs	<ol style="list-style-type: none"> 1. How many houses were targeted to be built in the province to date? 2. How many houses were actually built to date with the allocated budget? 3. How did the target compare with the housing need? 4. If the target was not sufficient, why not? 5. What are the challenges experienced with the provision of housing? 6. How were these challenges addressed, and what was the result?
2. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 3	
1. Participation of beneficiaries in the design of the project	<ol style="list-style-type: none"> 1. To what extent did beneficiaries participate in the design, management and implementation of the housing project(s)? 2. If they did not participate, why not?
2. Good project management standards	<ol style="list-style-type: none"> 1. What were the project management standards applied by the department to housing projects? 2. What procedures were followed in appointing these service providers?
3. Alignment of the programme with local development plans	<ol style="list-style-type: none"> 1. What processes were followed to ensure alignment with IDPs?
4. Learning	<ol style="list-style-type: none"> 1. What were the lessons learnt from the housing project(s) in the Province? 2. How were these lessons applied in other housing projects? 3. Did these lessons prove to be valuable, and if so, in what sense?
5. Success of the projects	<ol style="list-style-type: none"> 1. What was the success rate of the provision of housing? 2. What were the quality standards and were these achieved? 3. Describe the quality control system. 4. Are all beneficiaries satisfied with the quality of their homes? 5. If they were not satisfied, why not and what did the department do to address their dissatisfaction?
6. Recommendations	Which of the recommendations made in the previous report on this

dations	principle were implemented, and if not, why not?
Principle 4	
1. Duly authorised decisions	To what extent were the allocation of houses done in terms of the prescribed procedures and by duly authorised officials?
2. Just and fair decisions	<ol style="list-style-type: none"> 1. What processes are followed to ensure that houses are evenly allocated between races? 2. If a waiting list is utilised, how does the department ensure that houses are allocated according to this waiting list?
3. Communicating administrative decisions	<ol style="list-style-type: none"> 1. How does the department communicate the allocation of houses to the beneficiaries? 2. How many of the allocations were questioned and how did the department respond to these?
4. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 5	
1. System for soliciting participation	<ol style="list-style-type: none"> 1. Describe the system the department utilises to obtain inputs from housing beneficiaries on the area set aside for housing? 2. If no system exists, why not?
2. Inclusion of public comments	<ol style="list-style-type: none"> 1. Describe how their inputs were considered and included in the final decision on the building area? 2. If not included, why not?
3. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 6	
1. Internal financial controls	What specific internal financial control measures are in place with regard to housing projects?
2. Performance management (M&E) system	<ol style="list-style-type: none"> 1. Give a synopsis of the M&E System in place for the housing project. 2. Does the department regard this system sufficient? 3. If the system is not sufficient, why not? 4. What improvements can be made to the system?
3. Risk assessment	<ol style="list-style-type: none"> 1. What risk factors in relation to housing projects appear in the department's risk assessment? 2. How are these risks addressed?
4. Fraud Prevention Plan	What specific fraud prevention strategies on housing projects are provided for in the department's fraud prevention plan?
5. Implementation of the Fraud Prevention Plan	<ol style="list-style-type: none"> 1. To what extent did the department implemented the focussed fraud prevention strategies on housing projects? 2. To what extent were the implementation of these strategies successful in curbing housing fraud?
6. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 7	
1. Departmental Annual Report	<ol style="list-style-type: none"> 1. How complete are the DAR on the housing projects embarked upon by the department? 2. Will the lay reader understand what is going on in relation to housing

	in the department? If not, why not?
2. Access to information	Does the MAI refer to documents on housing that can be accessed?
3. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 8	
1. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?
Principle 9	
1. Recommendations	Which of the recommendations made in the previous report on this principle were implemented, and if not, why not?