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Report on Implementation Evaluation of the Service Delivery Improvement Programme

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Abbreviations

| | |
|---------|---|
| AP | Annual Plan |
| APP: | Annual Performance Plan |
| CSPS: | Civilian Secretariat for Police Service |
| CSO: | Civil Society Organisation |
| CoGTA: | Cooperative Governance and Traditional Affairs |
| DAFF: | Department of Agriculture, Forestry and Fisheries |
| DESTEA: | Department of Economic, Small Business Development, Tourism & Environmental Affairs |
| DG: | Director-General |
| DDG: | Deputy Director-General |
| DSD: | Department of Social Development |
| DPME: | Department of Planning Monitoring and Evaluation |
| DPSA: | Department of Public Service Administration |
| DPW: | Department of Public Works |
| DRDLR: | Department of Rural Development and Land Reform |
| DOJ: | Department of Justice |
| FGD: | Focus Group Discussions |
| FOSAD: | Forum of South African Director- Generals |
| GCIS: | Government Communication Information Systems |
| GIS: | Geographical Information System |
| KPI: | Key Performance Indicator |
| KZN: | KwaZulu-Natal |
| HRSDC: | Human Resources and Social Development Canada |
| HSRC: | Human Sciences Research Council |
| ICT: | Information and Communication Technology |
| IDP: | Integrated Development Plan |
| IT: | Information Technology |
| KII: | Key Informant Interviews |
| MDAs: | Ministries, Departments and Agencies |
| M&E: | Monitoring and Evaluation |
| MTEF: | Medium Term Expenditure Framework |
| MTSF: | Medium Term Strategic Framework |

| | |
|-----------|---|
| NGO: | Non-Governmental Organisation |
| NDP: | National Development Plan |
| NSG: | National School of Governance |
| NIRP: | National Institutional Renewal Programme |
| OECD: | Organisation for Economic Co-operation and Development |
| OTP: | Office of the Premier |
| OMF: | Operation Management Framework |
| PAMA: | Public Administration Management Act |
| PAIA: | Promotion of Access to Information Act |
| PSA: | Public Service Act |
| PSR: | Public Service Regulations |
| RoGS: | Report on Government Services |
| SDIP: | Service Delivery Improvement Plan |
| SDIPr: | Service Delivery Improvement Programme |
| SMART: | Specific, Measureable, Attainable, Relevant, Time-based |
| Stats SA: | Statistics South Africa |
| SASAS: | South African Social Attitudes Survey |
| SAPS: | South African Police Service |
| SCM: | Supply Chain Management |
| SP: | Strategic Plan |
| STATA: | Statistics and Data |
| SONA: | State of the Nation Address |
| ToC: | Theory of Change |
| WPTPS: | White Paper on the Transformation of the Public Service |

Executive summary

Introduction

The Service Delivery Improvement Programme (SDIPr) overseen by the Department of Public Service and Administration (DPSA) aims at assisting government departments to identify inefficiencies and challenges in delivering services and to find solutions to these challenges. The Human Sciences Research Council (HSRC) was tasked with conducting an evaluation of Service Delivery Improvement Plans (SDIPs) that were implemented during the cycles of 2012–2015 and 2015–2018. The evaluation included the retrospective development of a Theory of Change (ToC) Model for the SDIPr and a review of SDIPs across national and provincial government departments during the two cycles. The evaluation thus assessed the quality of SDIPs in respect of their relevance to fulfil the intended outcomes; and the effectiveness; efficiency and sustainability of their implementation.

Methodology

Qualitative and quantitative methods were utilised in the evaluation, with ongoing advice and inputs from the DPSA, and the Department of Planning Monitoring and Evaluation (DPME). A comprehensive review of all relevant literature and documents that included comparisons of international (Australia, Canada, Ghana, India, Indonesia) and local best practices was done. Primary data were collected through structured interviews and key informant interviews (KIIs) with targeted public servants, and focus group discussions (FGDs) conducted at a national evaluative workshop, with groups of officials who are responsible for the development and monitoring of their departmental SDIPs. The evaluation questions pertained to the four focal issues of relevance, effectiveness, efficiency and sustainability of SDIPs.

Findings

The retrospectively-developed ToC model factored in inputs in the form of legislation, resources and partnerships; outputs comprising capacitated employees, completed SDIPs and public participation engagements; outcomes of capable civil servants, improved provision of citizen-centric public services; and an ultimate impact of greater public confidence in a more efficient

government delivering services to a satisfied citizenship. SDIP legislation determines that SDIPs are mandatory, to be developed by each department in alignment with Strategic Plans (SPs) and Annual Performance Plan (APPs), and approved by the relevant Minister and /or Executive authority in provinces before being submitted to the DPSA.

A review of the relevant literature suggests that several international practices could be adapted for use in South Africa. These include the contractual outsourcing of the provision of particular public services to non-governmental agencies, as in India; and the incentivising of results-oriented practice and performance amongst public servants, as in Ghana. Indonesia has embarked on large-scale decentralisation of service delivery to effect greater local accountability and efficiency, with the heightened risk of regional rent-seeking corruption moderated by the establishment of an independent Ombudsman. Canada has a regular mechanism to solicit citizen feedback; and in Australia, the government has established multiple foci to enhance the delivery of the differential needs and priorities that exist amongst different sectors of the public. Most of these countries offer specialised e-government services that facilitate online feedback and tracking of progress in resolving citizen queries.

The topline findings of the implementation evaluation were that most public servants were aware of the SDIP legislative framework and the intention to improve service delivery by evaluating progress, identifying gaps, and designing and implementing appropriate interventions. Although participants generally felt that the relevant Public Service Regulations (PSR) (amended in 2016), White Paper on Service Delivery (i.e. *Batho Pele*) and SDIP policy guidelines are clear and coherent, most were of the view that the coherence is not reflected on a practical level, resulting in frequent service-related public protests. The envisaged district model is likely to address this need. There is consensus around the need for, and importance of, SDIPs, but severe concerns about the misalignment between SDIPs, SPs and APPs. A serious consequence is that SDIPs are not accorded their intended importance and are developed simply for compliance purposes. Additionally, misunderstandings about the real purpose of SDIPs, and high staff turnover, has affected the quality and implementation of SDIPs. Concerns were also raised about current SDIP guidelines, perceived to be more onerous than the simpler and more effective 2009 guidelines.

More support is required from the DPSA to build the capacity of government officials for preparing SDIPs. Many of the SDIPs submitted to the DPSA comprise inadequate situational analyses and inappropriately identified key services to improve. Greater emphasis seems to be placed on the quality standards of the SDIP document than on the real outputs, outcomes and impact of the intended intervention.

Departments implement SDIPs in various ways based on plans with different levels of quality. They were concerned about the lack of guidance and feedback from the DPSA. It was felt that most SDIPs are developed based on supply-side rather than community demand-side criteria. Nonetheless, participants were of the view that SDIPs hold the potential to facilitate enhanced departmental performance, provided the necessary leadership and resources are made available by those responsible for implementation. A lack of managerial buy-in, silo mentality, inadequate human resources and inefficient supply chain processes were identified as additional factors that hinder the effective implementation of SDIPs. Negative external factors were political leadership changes, natural hazards, community protests, budget cuts, and the general lack of inter-sectoral and multi-sectoral collaboration. The effective implementation of service delivery can only occur when there is integrated planning amongst the three spheres of the governmental and the non-governmental stakeholders. Most departments use the Operational Management Framework (OMF) to promote efficiency in the development, implementation and reporting of SDIPs. However, departments assign OMF responsibilities to whatever unit or individual is responsible for the SDIP. This devalues the SDIP and restricts opportunities for inter-divisional collaborations. Another complaint was that departments lacked the resources to prepare reports for the DPME and DPSA, and that a single report would suffice. Some called for the provision of standardised functional placement and adequate resourcing, which should be institutionalised. Allocative efficiency can be realised through aligned priorities and implementation. Additionally, top management and political leadership were perceived to be manipulating SDIPs to accommodate their personal preferences for procurement and SCM routes, thereby retarding efficient service delivery. Business analyst skills were in short supply within departments, a factor that further inhibits effectiveness. There was consensus that SDIPs in their current form are not sustainable. To mitigate this situation, SDIP, Strategic Plan (SP) and Annual Performance Plan (APP) processes should be fully aligned and integrated; management performance agreements should

include the allocating of resources of sufficient magnitude to facilitate development, implementation and reporting; and public servants should be appropriately trained and capacitated for the critical SDIP process. A key indicator at grassroots level is the ongoing prevalence of community protests, which suggest a more radical embrace of, and commitment to, improved service delivery.

Conclusions

Currently, SDIPs are insufficiently prioritised owing to underlying structural and operational challenges. SDIPs should be adequately resourced, included in SPs and APPs, and subjected to audit by the Auditor-General. The SDIP template should incorporate much greater flexibility to address the differential functions and deliverables of departments that deliver tangible services, from those that formulate and monitor policy implementation. An injection of additional business analysis skills into departments is essential to enhance the design, implementation and reporting of SDIPs that factor in the OMF, and the latest business processes and information technology. Top management in the public service should be conscientised and incentivised to abandon the current compliance-based approach to SDIPs and to replace it with an existential commitment to sustainable continuous improvement in service delivery by the government at all levels.

Recommendations

The SDIP implementation evaluation findings give rise to a set of recommendations that need to be implemented in the short to medium term, in respect of the four primary criteria.

SDIP Relevance and Appropriateness: SDIPs should be implemented coherently, at a strategic level equivalent to and fully aligned with the SP and APP, and with guidelines of sufficient simplicity and flexibility to accommodate departments whether they deliver tangible public services or develop and monitor policy implementation. The DPSA operational units should work together, and with the NSG should provide training and support to all public servants involved with the SDIP. Services requiring improvement should be identified collaboratively with beneficiaries.

SDIP Effectiveness: SDIP priorities should be informed by technical analysis and the expectations of prospective beneficiaries, and independently monitored on an annual basis. Inter-sectoral and multi-sectoral collaboration is vital.

SDIP Efficiency: The DPSA should pronounce formally which departmental division is responsible for the OMF and SDIP. A single report should be sufficient for both the DPSA and DPME. SDIPs should be developed by governmental as well as non-governmental stakeholders, subject to practical guidelines on community engagement. Departmental political leadership and management should not change SDIP procurement and SCM stipulations without full and transparent motivation. Departments should be supported to recruit appropriately skilled individuals.

SDIP Sustainability: SDIPs should be fully integrated with the SP and APP processes, with executive buy-in and adequate financial and human resource allocations, and compulsorily auditable.

1.0.Introduction

1.1.Background

The Constitution of South Africa provides for the rights of its entire citizenry to access basic services irrespective of any form of social gradation. It also provides for the development of government policies and plans in a participatory manner and informed by the needs of the citizens. The National Development Plan (NDP 2015–2030)¹ spells out key focus areas that the government defined as being critical in ensuring that South Africa achieves its developmental and social goals. The framework's main strategic objectives are captured in fourteen main outcomes that cover education, health, safety, the economy, skills development, infrastructure, rural development, human settlements, local government, the environment, international relations, public service, social protection and social cohesion.

In his 2019 State of the Nation Address (SONA), the President of the Republic of South Africa, Mr Cyril Ramaphosa reiterated the aspirational outcomes of the NDP in a more consolidated interlinked way. The speech highlighted seven key focus areas, namely:

- i. Economic transformation and job creation
- ii. Education, skills and health
- iii. Consolidating the social wage through reliable and quality basic services
- iv. Spatial integration, human settlements and local government
- v. Social cohesion and safe communities
- vi. A capable, ethical and developmental state and
- vii. A better Africa and the world

The SDIP draft guidelines were developed by the DPSA to facilitate the commitment of state departments to identify inefficiencies and challenges to delivering services and subsequently commit to finding solutions to address these challenges. SDIPs, which are legislated, help government departments to assess and identify service delivery gaps, set improved service

¹ <https://www.gov.za/issues/national-development-plan-2030>

standards, thus leading to improved service delivery, improve citizen satisfaction with services provided and ultimately improve their quality of life.

SDIPs are supposed to be aligned with the Medium Term Expenditure Framework (MTEF), which in turn is aligned with the Medium Term Strategic Framework (MTSF). Thus, aligning the SDIP with the MTEF would ensure the provision of the necessary resources (budgetary) to realise the objective of these improvement programmes. The *Batho Pele* principles guide the implementation of SDIPs.

The development of specific SDIPs across government departments should be informed by government priorities, including reports from studies undertaken to determine the level and quality of services provided to citizens and their expressed needs.

1.2.Objectives of the evaluation

The DPSA is responsible for the development of Public Service Regulations (PSR) policies and related directives, implementation guidelines and tools, including the provision of implementation support to departments within the national and provincial administration to promote the achievement of the policy and programme objectives of the NDP. The SDI Programme is implemented through the development of three-year plans and reporting on the implementation thereof. An implementation evaluation of the SDIPr was, therefore, commissioned to assess whether it has contributed to the achievement of the programme objectives and to identify implementation challenges.

The evaluation entailed undertaking several activities that included; retrospectively developing a ToC model for the SDIPr, benchmarking of best practices, reviewing and evaluating various SDIPs from across different government departments for the periods 2012–2015 and 2015–2018. The evaluation assessed the quality of these SDIPs in terms of:

1. Relevance — the appropriateness of the SDIP in fulfilling the intended outcomes, revised SDIP guidelines and toolkits as well as the SDIP legal policy frameworks;
2. Effectiveness — the level of compliance with norms and standards outlined in the PSA/R legislative frameworks;
3. Efficiency — improvements, efficiency and effectiveness in the delivery of quality services to citizens through identified services that require improvement;
4. Sustainability — the sustainability of SDIPs in improving services to citizens.
5. Recommendations — informing future interventions and legislative reviews.

2.0. Methodology

Mixed methods that include qualitative, quantitative and cross-referencing (triangulation) were used in this evaluation. The general methodological approach was participatory where key officials from the DPSA and the DPME engaged with researchers from the HSRC's Research Use and Impact Assessment unit to actively contribute to and review the evaluation.

2.1. Evaluation Sample

A total of 62 departments (see Appendix V), 24 national departments and 38 provincial departments constituted the sampling frame, from which 24 national and 27 provincial departments were selected to participate in the implementation evaluation. The sample of departments was selected based on the quality of their submitted SDIPs as classified by the DPSA. The classification groups from the sampling frame were excellent (11 departments), good (27 departments), average (4 departments), poor (9 departments) and those who did not submit any plans (10 departments).

2.2. Theory of Change (and critical assumptions)

Since the SDIPr was conceptualised and proclaimed, no explicit ToC model has ever been developed. The steering committee under the guidance of the HSRC, DPSA and DPME met at a two-day workshop to develop a ToC model retrospectively for the SDIPr. The ToC model is presented below.

The ToC diagram below and the Logic table (Appendix I) summarise the various activities, outputs, outcomes and impacts, and how these are supposed to be inter-related/linked. They also outlines the inputs and activities that were planned and needed to happen to achieve defined outputs that should have resulted in certain outcomes and thus impacts.

One of the key components of the SDIPs is the pronounced legislative framework. The starting point is the Constitution 195.1 (e). The SDIP legislation (PSR of 2016, MPSA Directive of 2008 on SDIP, Treasury Regulation 5, *Batho Pele White Paper on the Transformation of the Public Service of 1997*) spells out that SDIPs are a mandatory requirement. National and provincial government departments are expected to develop SDIPs and submit them for approval to their respective Minister in the case of national departments, and to the Executive authority in the case of provincial departments. These plans are then supposed to be submitted to the DPSA, which coordinates and monitors the submission and implementation of SDIPs. The DPSA developed guidelines to help departments develop their plans. The DPSA also provides training and support on developing SDIPs based on SDIP guidelines. The legislative framework and associated guidelines are intended to:

- a. Capacitate departmental staff to develop their own SDIPs
- b. Encourage advocacy within departments to ensure buy-in and commitment from departmental senior leadership and to see developed SDIPs being implemented
- c. All of the above are aimed at having dedicated civil servants who are committed, who care, and who would like to see improvements in citizens' lives.

The intention is that SDIPs should be developed in partnership with all stakeholders, including citizens through stakeholder engagement and participation defined by:

- a. Realisation of various partnerships (civil society, ward committees, municipalities, private sector and donors) working together to ensure non-duplication of activities and projects
- b. Where citizens are involved in planning and priority setting of programmes activities; and
- c. Citizens get feedback on activities undertaken to improve services, thus resulting in citizen-centric programmes

The SDIPs are not stand-alone plans, they should be aligned with other key government planning activities and instruments such as departments' SPs and APPs.

Aligning SDIPs with all the other government operational systems and tools such as SPs and APPs will create the sufficient and necessary conditions needed to implement SDIPs successfully. These conditions are described in turn:

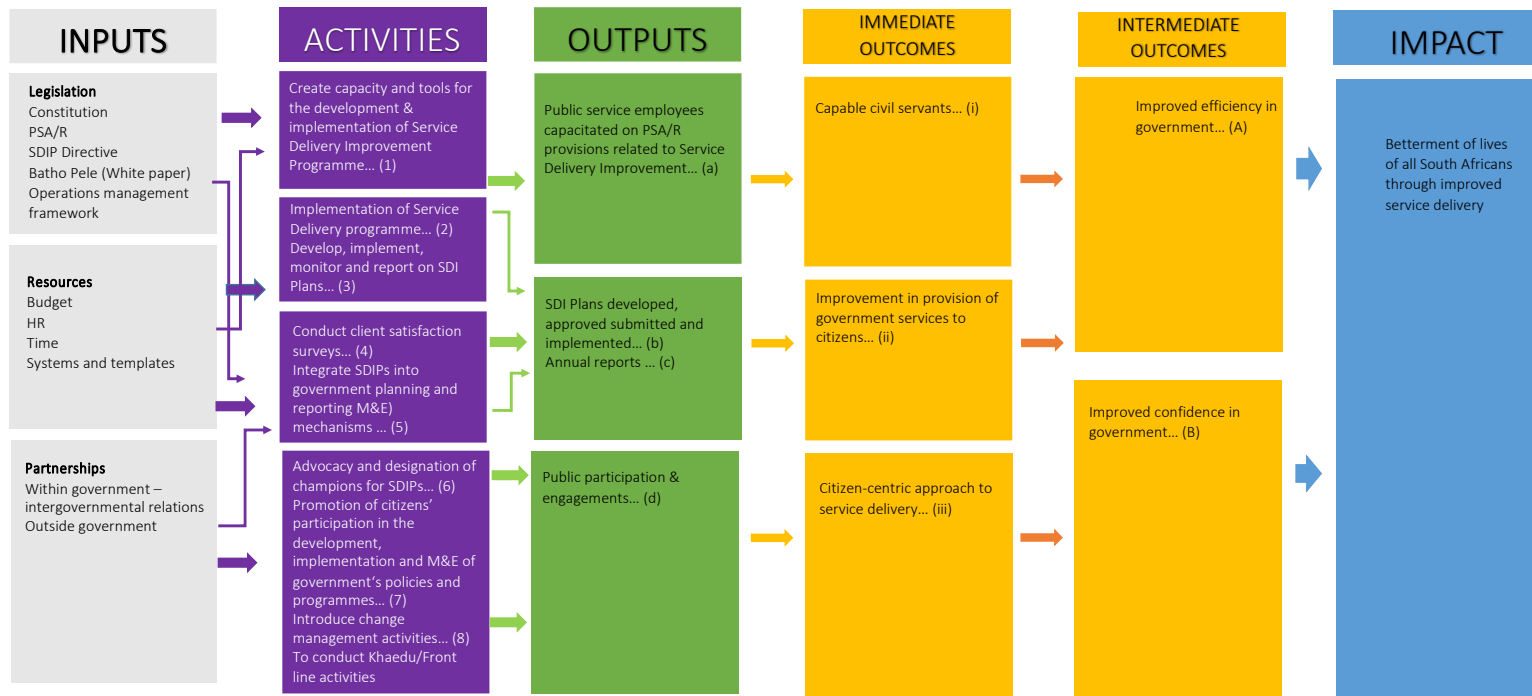
- d. If SDIPs are integrated into other performance systems such as SPs and APPs, then there is a high likelihood that resources to implement SDIPs will be planned for and made available. These resources include equipped human resources, appropriate budgets, and well-planned and reasonable timelines for implementing these SDIPs.
- e. This means implementation plans for SPs and integrated SDIPs will enable assessment of progress, including the monitoring of targets.

There may be gaps in the skills needed to implement SDIPs successfully. These skills range from soft skills such as customer care management to technical skills such as developing SDIPs. The National School of Government organises and provides for capacity building in the government. Departments should identify capacity needs and ensure that officials who need training receive it. Operations in departments need to reflect the rapid growth of technology.

It is just as important to have a properly designed SDIPr as implementing it effectively and efficiently. To assess if SDIPs are implemented as planned, several output and outcome indicators are required. These will include:

- a. Undertaking social audits
- b. Measuring the level of citizen participation in determining service delivery challenges, including SDIPs
- c. Assessing levels of compliance in the development of SDIPs with relevant norms and standards
- d. Measuring improvements in efficiency and effectiveness
- e. Improved turnaround times, and
- f. Provision of government services across the country regardless of geographical location.

Figure 1: Service Delivery Improvement Programme – Theory of Change



| Assumption | Input/Activity /Outputs/Outcomes/Impact |
|--|---|
| Conducive inter- and intra-government relations | Within government partnerships |
| Availability of collaborating opportunities outside government (i.e. CSO, NGOs etc.) | Outside partnerships |
| Availability of skills | (1), (2), (3), (4), and (5), (a), (b) |
| Dedicated, committed and professional civil servants | All activities, outputs, outcomes and impact |
| 100% capacitation & dedication | All activities, outputs, outcomes and impact |
| Complete community engagement | Outside partnerships, (7), (d), (iii), (B) |
| Citizen satisfaction and complaints reports used as source documents | (d), (iii) and (B) |
| Public participation | All activities, outputs, outcomes and impact |
| Political stability | All inputs, activities, outputs, outcomes and impact |
| Political will | All inputs, activities, outputs, outcomes and impact |
| Positive economic growth | All inputs, activities, outputs, outcomes and impact |
| No disease outbreaks and no natural hazards | Resources, partnerships, all activities, outputs, outcomes and impact |

2.3.Data Collection Methods

Data were collected using four key methods: 1) literature and government document review, 2) structured questionnaire interviews, 3) key informant interviews (KII), and 4) focus group discussions (FGDs). These are discussed in detail below.

2.3.1. Literature and Document Review

A comprehensive review of all relevant literature and documents on service delivery improvement programmes and plans was done. The literature covered comparative international and local best practice on service delivery improvement programmes. The idea was to benchmark South Africa with countries that had or were implementing service development programmes, such as Canada, India, and Ghana and Australia. Documents that were reviewed included legislative documents associated with an SDIPr such as; Public Service Act 103 of 1994, Chapter 10, section 195 (1) of the Constitution, Chapter II (3) (1), Bill of Rights, Public Service Amendment Act 5 of 1999, PAMA 11 of 2014, Public Service Regulations 2016, Promotion of Access to Information Act (PAIA), Promotion of Administrative Justice Act 3 of 2000 (PAJA), Public Finance Management Act 1 of 1999 and the *Batho Pele White Paper* (1459 of 1997) and Treasury Instructions 5. Operational documents from the DPSA, DPME and selected national and provincial departments that included SDIP guidelines, toolkits and directive, submitted SDIPs, implementation plans, strategic plans, annual performance plans, annual reports, and any other documents relevant to SDIPs were also reviewed. The literature and document review was undertaken throughout the course of the evaluation since this was a continuous activity.

2.3.2. Structured Interviews, Key Informant Interviews and Focus Group Discussions

In order to properly assess departments' experiences with developing and implementing SDIPs, interviews using structured questionnaires and interview guides for key informants were used. The table below indicates the sampled departments that were selected to be part of the evaluation. From

each selected department, one structured interview and at least one KII was planned to be undertaken, Appendix II. However, the final realised sample was 38 structured interviews (12 for the 2012/2015 cycle and 26 for the 2015/2018 round), while a total of 45 KIIs were conducted. The interviews were conducted face-to-face with provincial and national officials, and with officials who attended a national evaluation workshop. Officials selected to be interviewed had been involved in developing and/or implementing SDIPs in their departments. In addition, four FGDs were conducted with targeted participants at a national evaluation workshop that was convened by the DPSA and DPME (Appendix III). The rationale for this national workshop was to allow for rapid but more comprehensive data collection at reasonable costs and time, given the time constraints for the project.

The tools used for the study are given at the end of the report as appendices, namely;

1. Appendix IV – Structured questionnaire
2. Appendix V – Key informant semi-structured questionnaire
3. Appendix VI – Focus group discussion interview guide

Table 1 below highlights the questions, methods and data collection and data sources that were used in the evaluation. Data collected from these interviews and FGDs provided an understanding of the nuances of the quality of SDIPs submitted by participating departments and the challenges experienced in the implementation of the SDIPs. Factors that enable the success or failure of developing, implementing, monitoring and evaluating SDIPs were assessed based on departmental case studies. The role and involvement of the DPSA and DPME in coordinating the programme was also assessed. Structured questions (questionnaire), semi-structured interview guide and FGD guides for KIIs were developed and pilot-tested. The DPSA and DPME were involved in the development of the tools. The fieldwork team was mostly Masters and PhD research trainees and senior researchers from the HSRC trained on how to use the interview and discussion tools. Although the field team has had experience in undertaking research including conducting interviews, the training included the consenting process and interviewing techniques (probing etc.).

Table 1: Evaluation questions, designs and data collection methods

| Evaluation question | Evaluation Method | Data collection/source |
|--|---|--|
| Is the approach relevant to improving service delivery | <ol style="list-style-type: none"> 1. Review of relevant documents, regulations, policies, directives, <i>Batho Pele</i> principles, best practice documents 2. Theory of Change (ToC) workshop — ToC models including the concept of SDIP 3. Case studies to assess development, implementation, outcomes and impacts of various SDIPs. | <ol style="list-style-type: none"> 1. Government documents (DPSA/DPME) 2. Best practice literature (comparative local and international literature) 3. ToC workshop 4. Review of selected case studies (Selected case studies – national and provincial) |
| How clear are Public Service Regulations, Directive, White Paper on Service Delivery (<i>Batho Pele</i>) and policy guidelines for the SDIP? | <ol style="list-style-type: none"> 1. Review of relevant documents; regulations and policies, directives white paper, <i>Batho Pele</i> principles relevant to SDIP 2. Key informant interviews with selected government departments | <ol style="list-style-type: none"> 1. Government documents 2. Key informants 3. FGD |
| Did the SDIP directive and SDIP guidelines clearly identify the critical implementation steps? | <ol style="list-style-type: none"> 1. Review SDIP guidelines and tools on how to develop SDIP 2. Key informant interviews | <ol style="list-style-type: none"> 1. SDIP guidelines and tools/documents 2. Key Informants 3. FGD |
| What did the 2009 and current SDIP guidelines (2013) offer and how do they compare? | <ol style="list-style-type: none"> 1. Comparison of 2009 and current SDIP guidelines and review the changes made over the years. 2. Key informant interviews with the DPSA/DPME | DPSA and DPME |
| How does the SDIP relate to other planning instruments namely the National Development Plan, Outcome Delivery Agreements, Strategic Plans, Annual Reports, Sustainable Development Goals and Mid-term Reviews of Government Departments? | <ol style="list-style-type: none"> 1. Review of government documents and tools to assess coherence and linkage between various tools/instruments that are related to the SDIP 2. Key informant interviews with selected government department representatives 3. Selected case studies to assess alignment between SDIP and other departmental systems | <ol style="list-style-type: none"> 1. Government documents 2. Key Informants 3. FGD |
| <ol style="list-style-type: none"> 1. Is the SDIP programme effective in improving service delivery? 2. Is the SDIP plan and approach efficient in terms of improving service delivery? 3. What key (priorities) activities were implemented during the SDIP implementation cycles? 2012/15 and 2015/18)? 4. What inputs and resources were required to implement the directive? Were all of these inputs and resources available? | <ol style="list-style-type: none"> 1. Case studies (24 national & 27 provincial) 2. Structured questionnaires were used to collect data on key questions on the development, implementation, monitoring and reporting of SDIPs from each of the selected departments 3. Comparisons to set standards, norms and targets were made 4. Key informant interviews were used to provide more nuanced qualitative data to complement the quantitative outputs | Evaluation of selected SDIP case studies |

| | | |
|--|---|---|
| <p>5. Were the guidelines implemented according to the policy requirements?</p> <p>6. Were the guidelines implemented consistently across national and provincial departments?</p> <p>7. Did the activities result in the anticipated outputs?</p> <p>8. Are we seeing that the anticipated outcomes are being achieved?</p> | | |
| <p>What external and internal factors influenced the implementation, both for departments and the DPSA?</p> | <p>SDIP case studies and KII with relevant key stakeholder</p> | <p>1. Case studies data 2. KIIs 3. FGD</p> |
| <p>What can we learn from good practice, including adapting the SDIP to make it more useful?</p> | <p>1. SDIP case studies – lessons learnt comparing those who succeeded and those who did not succeed with SDIP implementation 2. National and/or international best practices</p> | <p>1. Case studies 2. Literature review</p> |
| <p>Is there duplication of processes happening and what effect is this having, on planning, monitoring, and reporting?</p> | <p>SDIP case studies – Programme data</p> | <p>1. Case studies 2. Key informants 3. FGD</p> |
| <p>Is this approach to service delivery improvement sustainable in terms of departmental and DPSA inputs, and the additional inputs needed to make these service delivery improvements happen?</p> | <p>1. Quantitative data on resources allocation, timelines were used. 2. Department key informants 3. Who should own SDIP and what is the role of the DPSA and DPME</p> | <p>4. Key informants 4. FGD</p> |
| <p>Are the SDIPs and the approach being used leading to changes in the services (outcome level impacts)? Is there any evidence that this is improving the performance of these services?</p> | <p>Translation from SDIP documents to actual implementation and the success of this</p> | |
| <p>1. How can the approach and the plans be more effective and what changes are needed to strengthen this?</p> <p>2. How should the system be adapted?</p> <p>3. How can it be better aligned with other government planning systems and cycles?</p> | <p>Analysis and interpretation of results and recommendations.</p> | |

2.4.Data management and analysis

Data from structured interviews and that from close-ended questions from KIIs were captured on a spreadsheet in Microsoft Excel and imported into STATA for analysis. Data cleaning was done in Excel as well as in STATA. Percentages were reported and, where appropriate, cross tabulations were used. The qualitative component collected data through individual in-depth interviews with key informants and FGDs. Audio recordings from KII and FGDs were transcribed and imported into Atlas-ti 8 software. The software facilitated data coding and development of links and networks between and among different data components. A coding scheme was developed based on which the qualitative data were coded. Coding involved the classification of the text into different themes that are relevant to the study objectives.

2.5.Study limitations

The use of qualitative data collection methods may be time-consuming while collecting information, however, this methodology provides robust in-depth data. Qualitative data collection tools were able to complement and refine quantitative data especially on issues of service delivery.

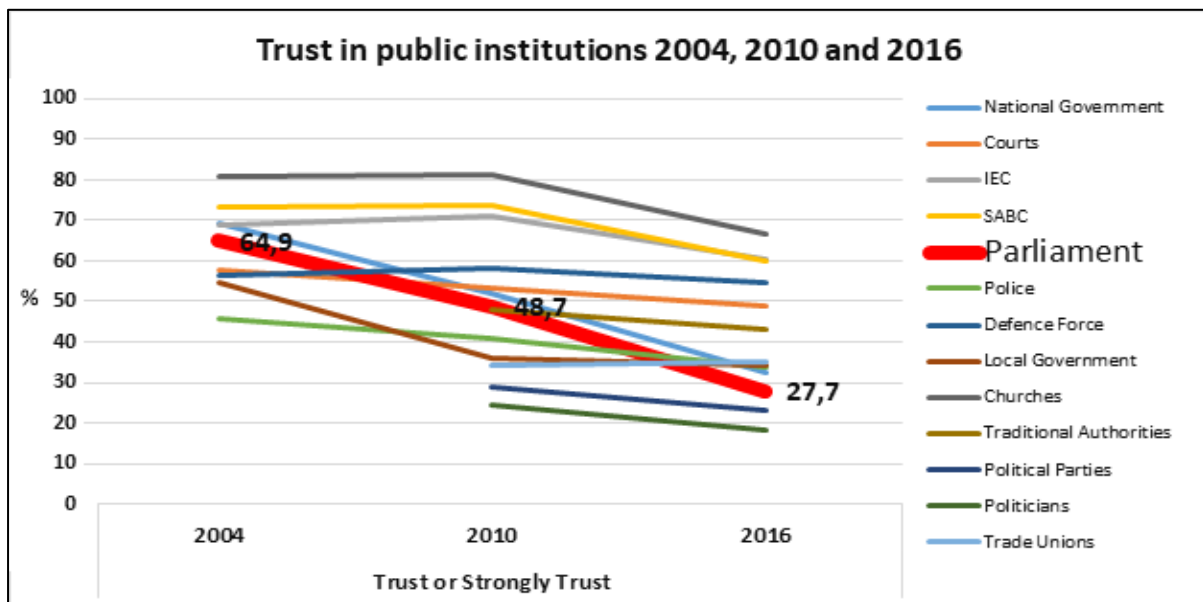
The study aimed to collect information about, and from government departments that are expected to improve services to the public, but there is a general sense that communities perceive that services are not provided as they expect. The nature of work on service delivery and the perception that surrounds it makes this a very sensitive topic to talk about, and this made it difficult to access some sampled participants. To mitigate this limitation, neutral venues were used to collect data with those who were however willing to provide information. Another limitation was that the thematic review of literature was solely based on the discretion of one reader, which may have allowed for inclusion and exclusion bias. The strength of the literature review was that extensive assistance was sought from a qualified librarian at the HSRC who ensured that the search terms were formulated to extract the most relevant papers on service delivery issues.

3.0.Results

3.1.Literature and document reviews

Governments exist to serve the citizenry. No doubt, a major determinant of people’s standard of living is the quality and breadth of services offered by government agencies. Governments that fail to provide quality services to their citizens often find it difficult to engender social cohesion, while running the risk of inflaming service-related unrest.

Like in other countries, access to cost-effective, high quality and speedy public services is a legitimate requirement and expectation of all South Africans. However, despite large increases in successive budgets and grants to the public sector, the country continues to witness frequent service delivery-related protests. Tirivangasi and Mugambiwa (2016) estimated that up to three thousand incidents of service-related unrests took place in three months during 2014, while the Institute for Security Studies ascribed about 34% of 2,880 cases of public unrest between 2013 and 2015 to service delivery issues. This indicates the level of dissatisfaction with the level and quality of service delivery being provided to the public. The graph below also illustrated levels of public trust on various government organs and other public-related groups as monitored annually by the HSRC’s South African Social Attitudes Survey (SASAS).



Graph 1: Trust in public institutions

3.1.1. Legislative framework

The level of dissatisfaction with the level and quality of service delivery comes in the midst of section 195(1)(e) of the Constitution that provides for a public administration that is governed by democratic values, responds to the people's needs and encourages public participation in policy making. Furthermore, in recognition of the need to run an effective and efficient public service, the South African government adopted the *White Paper on Transforming Public Service Delivery*, generally referred to as the *Batho Pele White Paper*. This notwithstanding, the public service still struggles with the basics of service delivery, i.e. it is unable to map out, standardise, optimise, assess, and monitor its services to ensure consistent speedy, affordable, and high-quality services (Koma and Tshiyoyo, 2015). A study by the Public Service Commission supports this claim. The study, which tries to understand how well the *Batho Pele* policy has been adopted and implemented by national and provincial governments, indicates that many public officers and users of public services do not even know about the policy mandates (Ajayi and de Vries, 2019).

In adherence to the provisions of the Constitution, the Public Service Amendment Act of 2007, the PSRs as amended in 2016, and in conjunction with the *Batho Pele* principles, the Department of Public Service and Administration (DPSA) introduced the SDIPs for every department. The main objective of SDIPs is to ensure effective and efficient service delivery by making the new, transformed public service better, faster and more responsive to the needs of the people. In its training document on creating effective SDIPs, the DPSA indicates the need for departments not to regard SDIPs as “bolt-ons” that are separate from the strategic planning process (Ndevu and Muller, 2017). There are two sides to an SDIP; the first is to improve the nature or quality of the service the departments provide, such as health care, while the second is concerned with improving the manner in which the departments deliver a service. In other words, the government should provide services in a caring, friendly and compassionate manner.

In this report, the literature review is divided into two parts. The first part reviews the various constitutional/legislative bases for the existence of the DPSA — the organ of government responsible for the coordination of the implementation of SDIPs — and the SDIPs. The aim is to provide a legal basis for the existence of the SDIPs. A review of relevant international practices with regard to measures adopted to improve public service delivery follows this

legislative discussion. We reviewed five case studies from developed and developing countries namely, Canada, Australia, India, Ghana, and Indonesia. The latter discussion is important in benchmarking the South African experience and situating it within a broader international context.

Citizens have the power to govern and they transfer that power to an elected government to direct the country's affairs in accordance with citizens' needs. The frequency of violent service delivery protests in various municipalities suggests that South Africans are frustrated with the level/quality of services they get from the government. The country has avenues through which complaints about service delivery can be directed, but it seems they are either not utilised or do not achieve the desired outcomes. According to The Presidency (2015, 35), "*Despite these avenues, there is growing distance between citizens and the government. Outbreaks of violence in some communities reflect frustration not only over the pace of service delivery, but also concerns that communities are not being listened to sincerely*". Service delivery is a great concern to South Africa as it hinders the achievement of high employment and an equal society as envisioned in the National Development Plan. There are many statutes that aim to improve service delivery as reflected by the fact that the DPSA draws its mandate from several legislations. These statutes include, but are not limited to:

1. The Constitution of the Republic of South Africa, 1996.
2. *The White Paper on Transforming Public Service Delivery (Batho Pele – 'People First')*,
3. Intergovernmental Relations Framework Act of 2005,
4. Public Service Amendment Act of 2007,
5. Public Administration Management Act of 2014,
6. Public Service Regulations as amended in 2016, and the
7. Public Service Act of 1994.

3.1.1.1 Overview of public service delivery statutes that mandate DPSA

3.1.1.1.1 Constitution of the Republic of South Africa Act 108 of 1996

The Constitution offers rights to services for citizens through the Bill of Rights. For example, Sections 27 and 28 provide that every citizen have the right to access health care services; every child has the right to health care and social services. Section 29 also stipulates that everyone has the right to education and the state plays a pivotal role in ensuring this provision. The objective of the DPSA and other departments is to facilitate these government delivers these services as expected and promised. The DPSA's role, therefore, cuts across government as service provision happens across all government departments. The Constitution further mandates the DPSA and other government institutions to observe and adhere to the principles of Chapter 3, i.e. co-operative government. Section 41(1) spells out the responsibilities of all spheres of government and the organs thereof, with item b indicating that these spheres and organs must "secure the well-being of the people of the Republic". Service delivery cuts across all organs of state and sometimes requires cooperation between government institutions. This cooperation and intergovernmental relations are also mandated by section 41(1)(h)(i–vi) of the Constitution, which maintains that "All spheres of the government and all organs of state within each sphere must co-operate with one another in mutual trust and good faith by:

- (i) Fostering friendly relations;
- (ii) Assisting and supporting one another;
- (iii) Informing one another of, and consulting one another on, matters of common interest;
- (iv) Co-ordinating their actions and legislation with one another;
- (v) Adhering to agreed procedures; and
- (vi) Avoiding legal proceedings against one another".

Thus, one can view cooperation with the DPSA in realising its service delivery improvement objectives as a constitutional mandate that appeals to all government institutions to adhere to the SDIPs set by the DPSA.

Section 195 of the Constitution also sets out basic values and principles that govern public administration. This section, which dictates how the government oversees public

administration (by setting out values and principles that govern public administration), informs the promulgation of the Public Administration Management Act 11 of 2014. The principles apply to the administration of any sphere of the government. As the custodian of public administration, the DPSA is, inter-alia, mandated to ensure the promotion of the values and principles laid out in Section 195(3) of the Constitution. These principles and values are:

- a) Promoting and maintaining a high standard of professional ethics;
- (b) Promoting the efficient, economic and effective use of resources;
- (c) Ensuring a development-oriented public administration;
- (d) Providing services impartially, fairly, equitably and without bias;
- (e) Responding to people's needs and encouraging the public to participate in policy-making;
- (f) Ensuring accountable public administration;
- (g) Fostering transparency by providing the public with timely, accessible and accurate information;
- (h) Cultivating good human-resource management and career-development practices, to maximise human potential;
- (i) Ensuring a public administration that is broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past.

These principles and values that are enshrined in the Constitution inform further legislation (the Intergovernmental Relations Framework Act, the *Batho Pele White Paper*, and the Public Administration Management Act) that contribute to service delivery provision and improvement. Moreover, it is important to highlight the fact that Section 195(1)(e) of the Constitution in particular expressly spells out the role of the DPSA in fostering service delivery and citizen participation in policy making.

[3.1.1.1.2 Intergovernmental Relations Framework Act of 2005](#)

It is, therefore, not surprising that the Intergovernmental Relations Framework Act no. 13 of 2005 is one of the legislations that facilitates the work of the DPSA across national and provincial departments. Part of the Intergovernmental Relations Framework's reason for facilitating coordination is to ensure "effective provision of services" (Section 4(b)), which is part of the DPSA's main objective. It is evident from the Act's objectives that effective services are realised through government coordination, the President's coordinating councils and intergovernmental forums (established as per the Act) whose role is to facilitate service delivery.

The Intergovernmental Relations Framework Act emphasises a concerted effort by all spheres of the government in realising South Africa's long-standing objectives of poverty alleviation and inequality reduction. It is also important for government institutions to work with the DPSA by heeding the DPSA's call for improving service delivery via its SDIPr to realise these objectives. As noted in the Preamble of the Act, "One of the most pervasive challenges facing South Africa as a developmental state is the need for [the] government to redress poverty, underdevelopment, marginalisation of people and communities and other legacies of apartheid and discrimination". To address these challenges, the Act proposes concerted efforts and cooperation by governments in all spheres as the best way to address the aforementioned developmental challenges of the country. Therefore, SDIPs foster intergovernmental cooperation and integration of services that give effect to the constitutional rights of the people to effective services by the State.

3.1.1.1.3 *Batho Pele White Paper*

The drive behind *Batho Pele* is to ensure that the government provides adequate services to the citizenry. The *Batho Pele White Paper* provides a policy framework and a practical implementation strategy for the transformation of public service delivery (DPSA, 1997). The operative words from the above broad objective of the *Batho Pele* principle are "policy", "practical" and "transformation". Thus, the government devised practical means of transforming public policy into a set of services for the betterment of the citizenry. The *White Paper on the Transformation of the Public Service (WPTPS)* preceded the *Batho Pele White Paper*. The WPTPS's aim was to transform how the government delivered services. *Batho Pele* also gets its eight service delivery principles from WPTPS, which are consultation, service standards, access, courtesy, information, openness and transparency, redress and value for

money. The Constitution informs some of these principles. For example, Section 32 of the Constitution offers a right to access to information in terms of Chapter 2 of the Bill of Rights. The *Batho Pele White Paper* gives guidance as to how the government should put the principles into practice.

It is evident that the central motive of *Batho Pele* is to transform public service, which citizens perceived as deteriorating and for a selected few. According to the DPSA (1997, 12),

“The Public Service is currently perceived as being characterised by, inequitable distribution of public services, biased especially against the rural areas, lack of access to services, lack of transparency, lack of openness and no consultation on the required service standards, lack of accurate and simple information on services and standards at which they are rendered, lack of responsiveness and insensitiveness towards citizens’ complaints, and discourteous staff”.

Batho Pele dictates how the government ought to provide public service and how to improve efficiency and effectiveness in public service delivery. There is great emphasis on targeting those who were previously disadvantaged and those who did not have access to public services before.

“One of the prime aims of *Batho Pele* is to provide a framework for making decisions about delivering public services to the many South Africans who were and still are denied access to them, within the parameters of the Government’s Growth, Employment and Redistribution strategy” (DPSA, 1997, 18). One wonders if the public is aware of such principles and how much emphasis is put on them accessing proper public service. The government should clearly communicate information to the public so that they are aware of the service they are entitled to and so that public servants live up to these principles and are aware of the consequences of not doing so. There is a perception among people that the public lack information and/or public servants are rarely accountable to the citizens. According to the DPSA (1997, 17),

“Once approved, service standards must be published and displayed at the point of delivery and communicated as widely as possible to all potential users so that they know what level of service they are entitled. Comprehensive and convincing explanations need to be given in instances where the public fail to receive services entailed to them”.

All stakeholders (private business, civil servants, citizens, academic institutions and civil society) are encouraged to take part in ensuring that the government transforms public service for the better.

The ultimate responsibility for the implementation of the *Batho Pele* principle rests with the political and administrative heads of departments. These heads ought to, “as a first step, make the necessary institutional arrangements to ensure that the *Batho Pele* concept is communicated throughout their departments, and to draw up and drive forward an SDIPr, which must be integrated with the other departmental transformation priorities within the departments’ strategic plans” (DPSA, 1997, 25). *Batho Pele* gives a model of, and sets out how the SDIPs should set out to ascertain:

- “the existing levels of service and the proposed service standards to be adopted in the short, medium and long term;
- how service standards will be monitored and reported on, and the management information systems, which will support this;
- the organisational and systems arrangements, which will ensure standards are met;
- the human resource training, supervision and appraisal arrangements, which will ensure that staff behave in accordance with the principles of *Batho Pele*;
- how the department’s communications systems will be geared up to provide information about the type and frequency of services that customers require;
- how complaints systems will be developed to identify and rectify the failure to deliver the promised standard to individual ‘customers’; and
- the financial management systems, which will collect data on the unit costs of key services, in order to provide information for standard and priority setting in subsequent years” (DPSA, 1997, 25-26).

3.1.1.1.4 The Public Administration Management Act 11 of 2014

A main objective of the Public Administration Management Act is to promote the basic values and principles governing the public service as provided for in Section 195 of the Constitution.

Thus, the DPSA draws its mandate from this Act. In addition, the Act aims to ensure a properly functioning public administration. The Act provides for a public service that promotes high standards of professional ethics and efficiency in public administration, facilitates the process of mitigating and eliminating unethical behaviour in public administration, and sets minimum norms and standards to ensure values and principles as recommended by Section 195 of the Constitution, among other objectives. These objectives help to ensure utmost integrity in public administration among government institutions at all spheres when serving the public. This is achievable by providing capacity development and training, giving powers of setting minimum standards and norms for public administration to the Minister, and establishing a National School of Government, Public Administration Ethics, Integrity and Disciplinary Technical Assistance Unit and an office of standards and compliance.

Similarly, the DPSA also draws its mandate from the Public Service Act 103 of 1994. According to the Public Service Act, the DPSA, via the Minister, is responsible for the establishment of norms and standards pertaining to activities that ensure the provision of optimal public services.

[3.1.1.1.5 The Public Service Act of 1994, and the Public Service Amendment Act 30 of 2007](#)

The DPSA also draws its mandate from the Public Service Act 103 of 1994, as amended by the Public Service Amendment Act 30 of 2007. According to the Public Service Act 1994, the DPSA, via the Minister, is responsible for the establishment of norms and standards pertaining to activities that ensure the provision of optimal public services. Its amendment, the Public Service Amendment Act 30 of 2007, contains the following key provisions among others:

- Replacing “provincial administration” with “the Office of a Premier”
- The implementation of directions of the Public Service Commission
- Introducing measures dealing with non-compliance with the Act

Though a significant part of the Act deals with personnel issues, the Act also deals with issues of service delivery. Section 7B(1) of the Act indicates that an executive authority of a national department, or the Office of the Premier, in consultation with the Minister (or a provincial department, in consultation with the Premier and after consultation with the Minister) shall, “establish or abolish a special service delivery institution within that department or Office and

designate any such unit and the head thereof, or amend any such designation”. Sub-section (b) further empowers the Minister to give effect to such establishment, abolition, designation or amendment. Thus, it may be surmised that the Public Service Amendment Act 30 of 2007 gives the Minister of Public Service and Administration the power to ultimately oversee service delivery units in various departments and public agencies.

3.1.1.1.6 The Public Service Regulations as Amended in 2016

Section 41 of the Public Service Act of 1994 informs the Public Service Regulations as amended in 2016. These Regulations have several stipulations that regulate public institutions and employees on how to behave, work, and act. They also stipulate the formulation of the specialised service delivery unit, which is required to assess existing service delivery and devise a plan to improve them. These regulations assist in ensuring that the public get the service they deserve from the government. Chapter 3, part 3 of the Public Service Regulations stipulates procedures for service delivery, which include the establishment and maintenance of service delivery operations management framework and SDIPs, and the publishing of a department’s service delivery charter entailing service standards that the public should expect from the department.

According to Section 38 of the Public Service Regulations, the executive authority must establish and maintain SDIPs for the department that aligns to the department’s strategy. Section 38 also provides for the SDIPs to stipulate a minimum of two core services to be improved, and to include an arrangement of how the department consults with its actual and potential service recipients. It also states the mechanisms to be used to remove barriers hindering access to service by the public, standards of main services, and stipulates how information about the department’s service(s) will be provided, as well as specifies a complaint system. Departments can use this section of the Public Service Regulation to evaluate the standard of SDIPs by the DPSA, as departments ought to submit their copies from to the DPSA.

Based on the legislative mandates, the DPSA has formulated its vision, mission and strategy with the aim of adhering to the norms, standards and principles set out by the relevant statutes. This approach to formulating strategic plans informed by legislation is clearly stipulated in the Public Service Regulations as amended in 2016 25(1)(a), “An executive authority shall prepare

a strategic plan for his or her department that states the department's core objectives based on constitutional and other legislative or functional mandates”. To exercise its duties and fulfil its mandates, the DPSA has formulated the following strategic outcomes as per the DPSA Strategic Plan 2013/15:

- i) An efficient and effective public service and administration;
- ii) A capable, equitable and professional public service and administration;
- iii) Appropriate legislative frameworks for public service and administration;
- iv) An ethical and clean public service and administration and
- v) Improved public administration in Africa and internationally

The people have a right to services as provided for in Chapter 2 of the Constitution (Bill of Rights). As earlier noted, several government departments provide these services. Sometimes, the services are inter-dependent between different government departments. For example, the right to education requires one to have a birth certificate, which should ideally be obtained soon after birth, usually at a health facility (clinic or hospital). Birth certificates are, however, recorded and printed at the Department of Home Affairs. It is, therefore, pertinent that departments work together to ensure that these services, which the citizens are entitled to, are offered to citizens timeously and properly. Thus, Chapter 3 of the Constitution (co-operative government) encourages cooperation. The department should provide services to the public, defined as basic human rights by ensuring government departments cooperation in specific ways as stipulated in Chapter 10 of the Constitution (public administration). Chapter 10 stipulates how public administration should be conducted (Section 195), the establishment of a commission – the Public Service Commission (Section 196) – that ensures the public administration yardstick, and the setting up of a public service in Section 197. In particular, Section 195(1)(e) provides for a responsive public service that engenders participatory policymaking. The DPSA, therefore, draws its mandate from the Intergovernmental Relations Framework, which Chapter 3 of the Constitution informs, the Public Administration Management Act and the Public Service Act, which Chapter 10 of the Constitution informs and many other pieces of legislation to ensure efficient and effective service delivery. Therefore, the DPSA can oversee the implementation of the SDIPr, which the principle of efficient and effective service provision underpins in the spirit of cooperative governance and enhanced citizen participation in service delivery.

The foregoing has demonstrated the strong legislative basis upon which grounds the DPSA and public service in general should work under. To ensure that the DPSA fulfils its main objective of supporting and facilitating effective and efficient public service delivery across national and provincial government departments, the department formulated SDIPs. According to the DPSA's SDIP 2016/17 – 2017/18 report, the purpose of the SDIPs “*is to facilitate the commitment of state institutions to continuous service delivery improvement mechanisms that seek to improve the nature and quality of the actual services provided and the manner in which the services are delivered*” (DPSA, 2016, 15). The Statutes form the basis on which SDIPs are formulated, and from which the DPSA draws its mandate. As reflected in sections above, especially in the Public Service Regulations, *Batho Pele* speaks to the conceptualisation and formulation of SDIPr (as opposed to plans), which should be linked to strategic plans. *Batho Pele* advances that all departments should submit their SDIPs to the DPSA (whereby the DPSA utilises these to monitor if the government achieved planned priorities, for parliamentary reporting). Indeed, the DPSA reported an 87% submission rate during the 2016/17 financial year, a nine-percentage point increase from the 78% submission rate in 2015 (DPSA, 2018).

3.1.2. Literature Review on SDIP including Case Studies

3.1.2.1 Overview of International Service Delivery Improvement Programmes

This section provides an overview of selected international experience regarding initiatives adopted in different countries for the enhancement of service delivery among public entities. The evidence spans from two developed and three developing countries to provide a balanced context regarding service delivery improvement initiatives, especially with regard to the South African experience. Moreover, some of the case studies are comprehensive with regard to the coverage of services (e.g. Canada and Ghana), while others are limited in scope, often focusing on a particular sector like health or education (e.g. India and Australia). These international case studies will also provide lessons that South Africa can draw from to improve SDIPs. In the discussion section, the report will focus on the literature lessons that South Africa can draw from to improve SDIPs. This is where the report will use literature to amplify respondents' identified improvements to SDIPs. In addition to respondents identified ways of improving SDIPs, the report will use international examples drawn from literature to inform how South Africa can achieve such improvements.

3.1.2.2 Strategies to Improve Service Delivery: Lessons from Other Countries

a) *Canada*

The government of Canada developed the SDIP to address the challenges of improving citizen satisfaction with the quality of public service delivery. Before the establishment of this initiative, the government consulted Canadians to get an insight into their expectations from the government in terms of service delivery. The citizens suggested two needs and priorities to improve service delivery:

- Easier, more convenient, and more seamless access to government services and
- High levels of quality and performance in service delivery by public departments

To achieve the first priority, the Service Canada (similar to Australia's Centrelink) initially developed and employed a business model that focused on four key components: the citizen, delivering one-stop government service, integrating citizen information and collaboration, and partnering with other governmental organisations (Flumian, 2009). According to Flumian (2018), the citizen-centred model simplifies service delivery by focusing on what governments are trying to achieve in terms of citizen outcomes, integrating information among multiple silos, and working collaboratively with partners through one network.

E-government is one of the service delivery strategies that Canada identified as a means of reforming public administration and achieving broader policy objectives at lower costs by Service Canada. Available studies on e-government found that it could help improve efficiency in the government and online access to information and service quality, enabling the delivery of services to citizens and businesses (Porrúa, 2013; Ingrams *et al.*, 2018). Most of the Organisation for Economic Co-operation and Development (OECD) countries are increasingly focusing their efforts on broadening the scope of e-government programmes to enhance its value as a driver to sustain public sector reform goals and achieve public efficiency and effectiveness while sustaining ongoing service delivery. However, Visser and Twinomurinzi (n.d.) argue that e-government can only be effective if it is managed from a single portfolio in the government and not from silos within government departments. For instance, in Canada, Human Resources and Social Development Canada (HRSDC) and Service Canada have been identified as the leaders or champions to drive the development of online services and

information. By implementing e-government services, Service Canada managed to achieve an accuracy rate of 94.5% for employment insurance claims (OECD, 2010).

Service Canada uses a common measurement tool (CMT) that measures the overall effectiveness of services and client satisfaction as a result-based approach to monitor the continuous improvement in service quality and performance. Canada uses client satisfaction as an indicator of service delivery improvement (Howard, 2010). CMT is an easy-to-use client satisfaction survey where public sector managers are able to understand citizens' expectations, assess levels of satisfaction and identify areas for improvement (OECD, 2010).

b) Australia

While the public service is mentioned in several instances in the 2012 Australian Constitution, there is no explicit mention of its roles and functions like what obtains in the South African Constitution (Chapter 10). The Australian Public Service (APS) derives its being from the Public Service Act 1999 (henceforth, the Act). One of the main objectives of the Act is, "to establish an apolitical public service that is efficient and effective in serving the Government, the Parliament and the Australian public". Thus, the goals of efficiency and effectiveness are enshrined in the Act establishing the public service. Part 3 of the Act explicitly constitutes the APS. Sub-section 10(1) maintains that, "The APS is professional, objective, innovative and efficient, and works collaboratively to achieve the best results for the Australian community and the Government". Sub-section 10(3) highlights the need for respectfulness of the public service thus, "The APS respects all people, including their rights and their heritage", while Sub-section 10(4) speaks to accountability, "The APS is open and accountable to the Australian community under the law and within the framework of Ministerial responsibility". Thus, the Act establishing the APS lays out efficiency, effectiveness, collaboration and respect as key values underpinning the conduct and performance of the Australian Public Service.

To achieve the above objectives, some scholars argue that the traditional government-led and hierarchically delivered public service provision is inefficient and not responsive to shifting citizen needs or demands in contemporary public services (Denhardt and Denhardt, 2010). Thus, Australia's approach moved away from a unified public service towards the development

of quasi-markets based on the involvement of private firms and non-profit organisations. This approach is viewed as a movement that unites disparate actors and interests and increases flexibility and responsiveness. Other observers describe the initiatives as ‘diversity from above’.

Another approach, co-production, has an integrating mechanism linking service providers and users, advocating users’ active engagement in decision-making. Co-production extends beyond consultation or participation between public and private service providers. The approach emphasises users as active agents (not passive beneficiaries) of services, leading towards better, more preventative outcomes in the long term (Boyle and Harris, 2009; Cepiku and Giordano, 2014). Co-production promotes the idea of users being active participants in the provision of services; that is, it moves beyond consultation with its often pre-prescribed solutions to a more in-depth and systematic engagement of citizens and users of services.

In the planning stage of co-production, users and community representatives (external core stakeholders) may help to identify services that are required and offer input related to the environmental and social impacts of the delivery and operations. They also provide feedback on the issues related to functionality in terms of their capacity to support service delivery. During the operational phase, users can provide meaningful feedback as to what works and what does not, and what departments can improve. During the disposal stage, closely developed relationships with users and communities may assist in making informed decisions.

There are challenges with this approach, according to Pestoff (2006), stakeholders tend to be cautious about involvement in programmes that may be illusory/unreal and in which decisions seem to be made beforehand. Literature argues that this practice tends to have a negative effect on the level of participation, as individuals may tend to either participate in an antagonistic way or withdraw altogether. Another challenge is that governments have structured local government policies around delivering assets rather than services. The contribution of external stakeholders in the co-production is still limited. The rhetoric of engagement and co-production does not reflect in practice, leading to limited accountability and transparency and, therefore, less ability for citizens to influence and inform decision-making.

The impact of this approach is not clear given a lack of strategies and policy directions that would help to operationalise and implement co-production principles. Issues related to an imbalanced distribution of power between internal and external stakeholders do not allow one

to observe impact. Some stakeholders are more privileged than others, which leads to unequal voice representation across different stakeholder groups. This creates a distorted picture of the actual service needs, represented mostly by the influential groups rather than those who will use the service. Pestoff's (2006) and Simmons *et al.*'s (2007) research found that communities' and users' involvement, although promoted and encouraged, is often only superficial.

A recommendation put forward is the adoption of information technology solutions and developing personal relationships, which allow for building long-term relationships based on trust and reciprocity. The use of information technology (web-based consultations and open forums, modelling and visualisation, and newsletters) allows for different levels of involvement.

The Australian government has introduced a robust system for reporting and assessing government services against several criteria, like equity, efficiency and effectiveness, in line with the above-mentioned objectives in the APS. Through its annual Report on Government Services (RoGS) series, various governments in the country are provided with a guide for planning and evaluating their policies, to budget and to demonstrate public accountability (Australian Government Productivity Commission, 2020a).

In reporting on each service area, a performance indicator framework incorporating the objectives of the service is developed. Among other things, the framework spells out output indicators, which are grouped under equity, effectiveness and efficiency, as well as outcome indicators. Such a consistent framework across service areas helps in providing a comparative picture of service delivery across services. Substantively, the performance indicator framework spells out the logic chain, which captures the process through which available resources result in outcomes. Specifically, the framework indicates technical efficiency (i.e. the rate at which inputs/resources are transformed into specific outputs) as well as cost effectiveness (i.e. the rate at which inputs are used to generate outcomes).

The review of the Australian public sector and how they are measured, as well as progress towards achieving service improvements, are underpinned by a logic chain model linking resources/inputs to measurable outputs and outcomes. The review reports have shown that the measurable indicators of progress, the process underpinning the setting of the various targets as well as the choice of indicators are not very clear. In particular, the extent to which citizens' voices informed these choices is not apparent from the report. Incorporating citizens' voices,

especially in terms of the service composition, level and quality of care, is an essential aspect of every meaningful public service delivery engagement.

c) India

Literature on the effectiveness of service delivery improvement has focused primarily on privatisation or contracting services. Governments, including those of developing countries, adopted and practised contracting on a large scale as a means of dealing with coverage, quality and efficiency of public services. Osborne and Gaebler (1992) argued that contracting increases competition, controls political interference, reduces public expenditure, and improves government performance. Putting strong governance rules and good enforceable contract design yielded impressive results of contracting in various settings and for many different services in developing countries. The Government of India collaborated with non-state entities to reduce poverty and healthcare expenditure under the national health insurance programme. The contracting arrangement was a business partnership model that provided a win-win situation, which recorded significant results, thereby receiving several awards from international organisations like the World Bank and the International Labour Organisation (Maurya, 2018). The service delivery contract with NGOs in India seems to have been effective, resulting in a rapid improvement in services. For instance, the coverage of the health insurance scheme increased dramatically within six years. The national health insurance programme had covered 41 million families, which was roughly 53% of the population below the poverty line in implemented districts. In addition, an increase of 14 percentage points on tuberculosis treatment completion rates was achieved at a lower cost than other public services in nearby areas (Murthy *et al.*, 2001).

A report on Service Delivery, Governance and the Citizen by Commonwealth Association for Public Administration and Management (CAPAM) (2011), India gauged the performance of the public sector by the effectiveness and efficiency of the public services delivered by it. India integrated and automated information in a way that reports data geographically for diverse audiences. In response to this need, India developed a Geographical Information System (GIS) application to spatially associate and depict public and programme-specific information to support planning, analysis, and decision-making.

India also uses public e-services delivery systems. The use of public e-services delivery systems by the governments at central and state levels results in e-government to benefit people in local settings in a unique way so that citizens' demands are met, instead of the government dictating to citizens. Public e-services proved to be more cost-efficient than providing manual public services to the citizens. Delivery of e-services through e-governance provided a fertile ground for transparent, efficient and trustworthy governance. Manual public services delivery is full of social division and a playground for corrupt people and practices.

Innovation is a successful replacement of an existing system or thinking with a new and better one, which could be incremental or completely radical. Literature views Information and Communication Technology (ICT) with optimism in facilitating devolution of control and decision-making and this has contributed to its increased use in diverse forms of organisations, including government agencies.

The Planning Commission has opted for an extensive consultative process by involving leading non-governmental and civic society organisations, including those who work for the rights of minorities. By venturing into this attempt, India meant to make the planning process truly inclusive, to elicit inputs, suggestions and experiences, for preparing five-year plans. The rationale for such an approach has been the keenness of the Planning Commission to have broad-based consultations with civil society. Consultations with key stakeholders reveal needs such as i) dynamic mapping tools with information about services, geographic proximity, and directional information; and ii) analytical tools with strong customisation and visualisation capabilities. Given the diverse audiences, including the programme's implementing partners, the government identified a range of opportunities for GIS to automate and integrate information management and gather and analyse geographic data quickly and efficiently to inform decision-making. Data gathered during user consultations guided the design of the GIS application. The application design is based on three guiding principles: i) simplicity, ii) speed, and accessibility. A GIS that is designed to embrace these principles would accommodate many potential users with various needs and expectations, internet connectivity speeds, and knowledge of and access to technology and infrastructure, it was necessary to design a GIS that embraces these principles.

World Bank (2006) documented the lessons learnt from India's experience in reforming public services through innovative reforms, including strong political leadership, competition, simplification of processes, decentralisation and participation of civil society. The impact of

the process is not fully clear. However, the consultative process has the approval from various sections of the public, which is what the process intended to achieve.

d) Ghana

Chapter 14, Article 190 of the Constitution of the Republic of Ghana, 1992, provides for the existence of a public service. However, with respect to service delivery, no explicit provision is made in this Chapter, other than Article 197, which states that, “The Public Services Commission may ... make regulations, by constitutional instrument, for the effective and efficient performance of its functions under this Constitution or any other law”. Thus, it can be inferred that the Constitution emphasises the need for an effective and efficient public service, which presumably exists to provide needed services to the public.

In order to enhance the capacity of the Ghana Civil Service to provide effective, efficient and customer-oriented services, the Ghana Civil Service Performance Improvement Programme (CSPIP) was launched in 1995. The CSPIP followed the promulgation of the Civil Service Law, 1993 (Act 327). Indeed, the introduction of the CSPIP was due to the failure of the previous reform, the Civil Service Reform Programme (CSRP), which was introduced in 1987 (Bawole et al., 2013). According to Antwi et al. (2008, 258), the main objectives of the CSPIP were to:

- Ensure that ministries, departments and agencies (MDAs) develop performance improvement plans, which specify their outputs and service delivery targets against which performance is monitored.
- Motivate civil servants towards result-oriented practice and performance linked to appropriate reward schemes.
- Improve responsiveness to the needs of the public and private sectors and contribute towards supporting the national development agenda.
- Encourage all MDAs to discharge their functions efficiently and in a transparent, competent, accountable and cost-effective fashion.

The CSPIP is a component of the National Institutional Renewal Programme (NIRP), which aims to promote the institutional administrative capacity for good governance (Ayee, 2001).

The CSPIP has been described as the first serious attempt by the Government of Ghana to revolutionise public service organisations via the institutionalisation of a performance-driven culture (Ohemeng, 2011). To enhance its effectiveness, the design of the CSPIP entails that the staff of MDAs be involved in producing guidelines on setting targets and criteria against which performance in the delivery of tangible results would be measured. In addition, public institutions were required to take responsibility for their capacity diagnosis and capacity development activities through a system based on participation, consensus building, commitment enhancement and creating a sense of ownership (Ayee, 2001; Republic of Ghana, n.d.). Furthermore, performance agreements were introduced to improve performance management of especially senior staff to improve the effectiveness of the civil service (Dodoo, 1998). In practical terms, these agreements spelt out measurable outputs and deliverables against which the relevant ministries/agencies were appraised annually.

One key feature of the CSPIP was the attempt to use it to reposition the civil service as an entity that delivered services that were needed by the public. To this end, mechanisms for public consultation, like courtesy campaigns, customer care training and a comprehensive complaints procedure, were built into the programme to ensure the active participation of service users. As noted by Ayee (2001), before the CSPIP, the idea of customer orientation and client sensitivity was not actively promoted in the civil service, with public institutions seeing themselves as self-serving bureaucracies, with the public seen as a secondary priority.

Improving the efficiency of the civil service is one of the main objectives of the CSPIP. Here, efficiency means that the civil service should become cost effective, result-oriented, adaptive, sensitive to market/consumer sentiments, transparent and accountable (Ayee, 2001). Indeed, efficiency has been identified as the intention of the building blocks underpinning the GSCPIP – institution building, performance improvement and good governance (Ayee, 2001) and has formed one of the major objectives (along with effectiveness and accountability) that has preoccupied the Republic of Ghana with regard to its public service since the late 1960s (Ohemeng & Ayee, 2016).

e) Indonesia

Additionally, Brinkerhoff and Wetterberg (2013) investigated a similar concept of performance improvement and measurement in Indonesia. They indicate that the dimensions of performance

one can roughly divide into two categories: (a) features of the outputs of the service delivery activity, and (b) features related to the use of those outputs and to the outcomes achieved. The former include quantity, quality, cost, efficiency, and effectiveness, while the latter includes utilisation rates, availability, access, responsiveness, accountability, and distribution (e.g. equity and poverty focus) (Brinkerhoff and Wetterberg, 2013). Performance improvement and measurement also need to take into account external factors beyond the control of the service delivery activity. Such factors can be relatively straightforward, such as the availability of funding in a given budget cycle, or more complex and systemic, such as the extent of patronage and elite power in state–society relations (Brinkerhoff and Wetterberg, 2013). They noted that the pathway to service delivery improvement began with decentralisation. They also considered supply-side pathways that seek to align the interests of principals and agents: standard-setting, results-based management, performance-based payment, and increased information flows and transparency (Brinkerhoff and Wetterberg, 2013). On the demand side, the participation pathway includes tools and processes that engage citizens and extend to empowered collective action and service co-production.

They use Indonesia as an example for understanding the larger class of performance-based reforms in developing countries. It provides a prime example of implementing ‘big bang’ decentralisation as well as attempts at other pathways. It, therefore, offers a broad lens on performance-based reforms, individually and in combination. Indonesia has also shown progress on several service indicators since reforms began (Brinkerhoff and Wetterberg, 2013). Although Indonesia reflected a positive change, the authors indicated that the country still had a long way to go in improving service delivery. This could be due to other factors such as the economy, political unrest and skills allocation issues.

Research shows that local governments in developing countries often suffer from elite capture and/or clientelism (Bardhan and Mookherjee, 2012; Smoke, 2015). Thus, Indonesia has embraced Local Government Proliferation and the creation of new local governments via the splitting of administrative jurisdictions into smaller units. Those who support this approach state that it brings the government closer to citizens and thereby helps to match better public service supply with demand.

Indonesia based its Local Government Proliferation approach on enacted Law on Public Services that it adopted to improve bureaucratic accountability and increase the advantage of society over the state. The law also makes the definition of service standards mandatory,

establishes monitoring and evaluation mechanisms, and outlines sanctions for sub-standard service delivery. The broader environment embeds bureaucracy and this law aims to restructure the broader environment by expanding the responsibilities of the Ombudsman and introducing citizen committees and complementing other civil service reform initiatives adopted in Indonesia.

The essential underlying argument is that political rent-seeking is a strong motive in district splitting in the first instance and that its persistence significantly constrains infrastructure service delivery after new districts are formed.

3.1.2.3 Lessons for South Africa

The above review has demonstrated the importance of an effective and efficient public service delivery system in enhancing the quality of services provided by public institutions. The review has shown that the DPSA, which has the mandate of ensuring a seamless, effective and efficient public service in South Africa, derives its existence from the Constitution and relevant Acts of parliament. South Africa has witnessed many service delivery-related protests in the past, some of them violent. Thus, in a bid to enhance the quality of service delivery across all national and provincial government departments, the DPSA established SDIP guidelines. These guidelines, which the government developed to assist departments in assessing and measuring their services, are similar to plans in other countries like Canada, Australia, Ghana and Indonesia (Table 2). It is hoped that the relevant departments find these plans useful, but more importantly, that they lead to tangible improvements in the quality of service delivery provided by public institutions in South Africa.

The report has teased out vital lessons from the above plans, which South Africa via the DPSA can learn from and/or formulate new ways of improving the SDIPs. Informed by improvement suggestions from respondents and observed deficiencies within the SDIPs the report was able to draw from these plans the following lessons.

Although legislation emphasises intergovernmental relations, it was evident from the respondents (see results below) that governments work in silos. To rectify this South Africa can draw lessons from how Canada has centralised e-government, as suggested by literature,

e-government cannot work if the government is working in silos, by centralising e-government South Africa can break down silos. The DPSA, as the custodian of public services, can run a centralised e-government similar to Service Canada. Legislatively and theoretically, all stakeholders (private business, civil servants, citizens, academic institutions and civil society) ought to ensure the transformation of service delivery for the better. Therefore, one should look beyond intergovernmental relations and/or e-government. South Africa can also draw from India's contracting of services by venturing into meaningful and authentic collaborations with non-state entities.

As highlighted in the results later, the whole service delivery process and SDIPs included lacked citizen consultation, which the Canadian government achieved. SDIPs are not consultative even though legislation dictates that SDIPs should be consultative with actual and potential service recipients. Departments are supposed to consult service beneficiaries when developing SDIPs, but that is not happening given that client surveys and complaints reports are not utilised by departments. Service Canada uses CMT that is a centralised client satisfaction survey where citizens can lodge their dissatisfactions. The DPSA can have its own CMT where it can monitor departments' performance and can easily identify areas of improvement instead of departments identifying their own areas of service delivery improvement.

Another alternative to solve the lack of citizen consultation in the SDIPs is to use the example of India's contracting of services by partnering with non-state entities to run an Ombudsman system. Indonesia uses an Ombudsman system, which it established during the enactment of the Law on Public Services. This system can inform client surveys and complaint reports. If the government has an independent authority, the Ombudsman can collect information on the standard of services. This information can inform departments in their situation analyses. The departments will be able to tell which services are in a dire situation. The Ombudsman would establish which types of services from which departments receive more complaints and how they are solved. Departments can use this data to inform their situational analysis, identification process, monitoring and evaluation. If the Ombudsman continues to receive complaints about a service, it may be an indication that a department is failing to address the matter. Currently, the DPSA is unable to make departments accountable for not improving on services. There is no evidence-based mechanism and there are no consequences for non-improvement on key selected services.

One can look beyond citizen consultation and include all stakeholders involved in service delivery. India uses a planning commission to include non-governmental and civic society in their five-year planning processes. South Africa can devise their own process of ensuring that non-governmental and civic society are involved in SDIPs development. This overall inclusive approach alluded to in the literature above, ensures diverse audiences and this is required for effective service delivery transformation.

In the literature review, the report alludes to the fact that India uses public e-services to ensure the government does not dictate services to citizens and to ensure that it meets citizens' demands. This can apply to the situation where departments do not consider citizens' views when developing SDIPs. This lack of citizens' consultation via client surveys and complaints reports leads to an inadequate situation analysis and identification process. South Africa can, therefore, use the Indian approach of digitalising services accountability, effectiveness and efficiency. SDIPs are there to ensure service delivery improvement and ensure the quality of the services provided.

The more digitalisation of services there is, the bigger their effect on good governance will be. The citizens can track the status of their applications online; every action on the application is traceable and transparent and will increase their sense of involvement. This kind of government builds much more trust among citizens than a government that forces citizens to run across different offices, taking printouts, filling in applications and forms, signing on stamps, waiting in long queues, etc., even for their basic needs. A 'seamless government' that has built its customer-focused services around the needs of its citizens, will be perceived as trustworthy, caring and considerate and this will enhance a sense of democracy. Public e-services are available at any time. Digitalisation results in social equity and there is no favouritism in play.

According to the report respondents felt that senior management does not prioritise SDIPs. They suggested that the government should make senior management accountable. South Africa can achieve such accountability by devising performance agreements that departments have to adhere to, similar to Ghana. Ghana introduced performance agreements to improve the performance of senior staff. South Africa ought to introduce performance agreements for senior management including ministers and members of the executive for SDIPs since the executive authorities are responsible for SDIPs, according to legislation. This performance agreement will encourage the political will that is lacking in the SDIPs. Ghana provides a vital lesson for

South African since it also failed in its service delivery programmes due to lack of political will.

The respondents said the lack of political will is due to the lack of accountability and sanctions for non-compliance. The report also felt that the legislation confers responsibility, but does not sanction consequences for non-compliance. South Africa needs to amend its legislation and reflect the Indonesian Law on Public services, which outlines sanctions for sub-optimal service delivery. As reflected above, Indonesia enacted this law to improve governmental accountability. South Africa does not need to enact new law, but needs to amend existing law to ensure accountability of executive authority in SDIPs and departments to its citizens.

Table 2: Country comparison of SDIPs

| Name of country | Approach to Service delivery adopted | Challenges | Recommended action |
|-----------------|---|--|---|
| Canada | <p>SDIP developed to address the challenges of improving citizen satisfaction with the quality of public service delivery</p> <p>Approach:</p> <p>a) Developed and employed a business model that focused on four key components namely:</p> <ol style="list-style-type: none"> 1. focusing on the citizen, 2. delivering one-stop government service, 3. integrating citizen information and 4. collaboration, and partnering with other governmental organisations <p>b) E-government</p> | <p>Managing government department from a single portfolio for most departments operate from silos.</p> | <ul style="list-style-type: none"> ○ E-government that can assist as a means of reforming public administration and achieving broader policy objectives at lower costs. ○ Use of tool (CMT) that measure the overall effectiveness of services and client satisfaction as a result-based approach to monitor the continuous improvement in service quality and performance. ○ Use of satisfaction as an indicator of service delivery improvement. |
| India | <p>Service delivery improvement has focused primarily on privatisation or contracting services.</p> <p>India also made it imperative that information management be integrated and automated in a way that reports data geographically for diverse audiences. GIS application was developed to spatially associate and depict public and programme-specific information to support</p> | <p>Impact of the process not fully clear.</p> <p>The consultative process did not obtain approval from various sections of the general public.</p> | <ul style="list-style-type: none"> ○ Recommended the inclusion of a strong political leadership, competition, simplification of processes, decentralisation ○ Participation of civil society in service delivery. ○ More digitalisation of services. This help has |

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| | <p>planning, analysis, and decision-making and Public e-services delivery systems are used by the central and state government.</p> | | <p>an effect on good governance and the citizens can track the status of every action, traceable, transparent and increase people's sense of involvement.</p> <ul style="list-style-type: none"> ○ Use of a planning commission to include non-governmental and civic society in the five-year planning process. |
| Indonesia | <p>Indonesia based its Local Government Proliferation approach on enacted Law on Public Services that it adopted to improve bureaucratic accountability and increase the advantage of society over the state.</p> <p>The law also makes the definition of service standards mandatory, establishes monitoring and evaluation mechanisms, and outlines sanctions for sub-standard service delivery.</p> | <p>District splitting significantly constrains infrastructure service delivery after new districts are formed.</p> | <ul style="list-style-type: none"> ○ Recommended expanding the responsibilities of the Ombudsman and introducing citizen committees. ○ The committees were to complement other civil service reform initiatives adopted in Indonesia. |
| Australia | <p>The approach adopted was the development of quasi-markets based on the involvement of private firms and non-profit organisations. This moved to unite disparate actors, interests and increase flexibility and responsiveness.</p> <p>The other approach was co-production, with an integrating mechanism linking service providers and users, advocating users' active engagement in decision-making. Co-production extends beyond consultation or participation between public and private service providers. The co-production approach emphasises users as active agents (not passive beneficiaries) of services, leading towards better, more preventative outcomes in the long term.</p> | <ul style="list-style-type: none"> ● Stakeholders tend to be cautious about involvement in programmes that may be illusory/unreal, with decisions made beforehand. ● The practice tends to have a negative effect on the level of participation, as individuals may tend to either participate in an antagonistic way or withdraw altogether. Governments have structured local government policies around delivering assets rather than services. ● The contribution of external stakeholders in the co-production is still limited. ● The rhetoric of engagement and co-production does not reflect in practice, leading to limited accountability and transparency and, therefore, less ability for citizens to | <ul style="list-style-type: none"> ○ Recommendation put forward is the adoption of information technology solutions and developing personal relationships, which allow building long-term relationships based on trust and reciprocity. ○ The use of information technology (web-based consultations and open forums, modelling and visualisation, and newsletters) allows for different levels of involvement. |

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| | | <p>influence and inform decision-making.</p> <ul style="list-style-type: none"> • Issues related to imbalanced distribution of power between internal and external stakeholders do not allow one to observe impact. • Some stakeholders are more privileged than others, leading to unequal voice representation across different stakeholder groups. | |
| Ghana | <p>Civil Service Performance Improvement Programme (CSPIP) was launched to:</p> <ul style="list-style-type: none"> • Ensure that ministries, departments and agencies (MDAs) develop performance improvement plans, which specify their outputs and service delivery targets against which performance is monitored. • Motivate civil servants towards result-oriented practice and performance linked to appropriate reward schemes. • Improve responsiveness to the needs of the public and private sectors and contribute towards supporting the national development agenda. • Encourage all MDAs to discharge their functions efficiently and in a transparent, competent, accountable and cost-effective fashion. <p>The CSPIP is a component of the National Institutional Renewal Programme (NIRP), which aims to promote institutional administrative capacity for good governance</p> | <ul style="list-style-type: none"> • Customer orientation and client sensitivity were not actively promoted in the civil service, with public institutions seeing themselves as self-serving bureaucracies, with the public seen as a secondary priority. • Efficiency issues not visible, result-oriented, adaptive, sensitive to market/consumer sentiments, transparent and accountable. | <ul style="list-style-type: none"> ○ Improving the efficiency of the civil service of the CSPIP, that the civil service should become cost effective, result-oriented, adaptive, sensitive to market/consumer sentiments, transparent and accountable. |
| South Africa | <p>SDIPs developed around <i>Batho Pele</i> principles meant to ensure that the government provides adequate services to the citizenry. The <i>Batho Pele White Paper</i> provides a policy framework and a practical implementation strategy for the transformation of public service delivery (DPSA, 1997). The operative words from the above broad objective of the <i>Batho Pele</i> principle are “policy”, “practical” and “transformation”.</p> | <ul style="list-style-type: none"> • Government departments work in silos • Service delivery process and SDIP included lack citizen consultation • Lack of digitalisation of services • Non-prioritisation of SDIPs by | <ul style="list-style-type: none"> ○ Run an Ombudsman system that can inform client surveys and complaint reports. ○ Digitalisation of services can enable citizens to track every action and thereby build trust in citizens. Unlike a government that forces citizens to run across different offices, taking printouts, filling in |

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| | <p><i>Batho Pele</i> advances that all departments should submit their SDIPs to the DPSA (whereby the DPSA utilises these to monitor if the government achieved planned priorities, for parliamentary reporting).</p> | <p>senior management</p> <ul style="list-style-type: none"> • Lack of political will from the government • Legislation confers responsibility, but does not deliberate consequences for non-compliance. | <p>applications and forms, signing on stamps, waiting in long queues, etc., even for their basic needs.</p> <ul style="list-style-type: none"> ○ A ‘seamless government’ that has built its customer-focused services around the needs of its citizens, ○ Introduce performance agreements with senior staff to improve the performance . ○ Amend existing law to ensure accountability of executive authority in SDIPs and departments to its citizens. |
|--|---|---|---|

3.1.3. Impact of Service Delivery Plans: Ghana example

There appear to be mixed results for the CSPIP in Ghana. Early results indicated some positive service delivery outcomes due to the incorporation of citizens' requests into service delivery (a key aspect of the CSPIP). These include better services due to the change in the venue for the payment of land title registration fees, quicker customer service and time savings with regard to the services offered by the Department of Factories Inspectorate, a significant reduction in the processing time of pensions due to streamlining and decentralising operations, etc. Indeed, there were indications from major stakeholders like the media, World Bank and the Civil Servants Association, of a significant improvement in the productivity and general performance of the civil service due to the CSPIP (Ayee, 2001).

Despite the above positive sentiments, several shortcomings have been recorded with regard to civil service reforms in general and the CSPIP in particular. As observed by Ohemeng & Ayee (2016), the Ghanaian civil service continues to perform poorly despite the CSPIP, its predecessor (the CSRP), and its successor, the Public Sector Reform Programme. As noted by Werlin (2003), the CSPIP was unsuccessful due to several factors like weak monitoring and clientelism. Others are the unrealistic assumption that signing performance contracts, developing brochures on work ethics, and spelling out expected service standards would change ingrained cultural impediments to the inefficiency and ineffectiveness of public entities (Adei & Boachie-Danquah, 2003). Furthermore, inherent weaknesses in the design and implementation of the Plan have been identified as militating factors (Antwi et al., 2008). In addition, lack of political will and incentives, institutional fragmentation, and lack of citizens' knowledge and involvement in the development of the Plan have also been advanced as some of the factors that contributed to its failure (Ohemeng, 2009). Given the foregoing, it is obvious that the CSPIP was not a sustainable Plan as it failed to stand the test of time.

3.2. SDIP interview results

KII participants came from ten National Departments (10, 26%) and the following provinces; Eastern Cape (3, 8%), Free State (4, 11%), Gauteng (3, 8%), Limpopo (6, 16%), Mpumalanga (5, 13%), North West (2, 5%), Northern Cape (2, 5%) and the Western Cape (3, 8%). The sample consisted mostly of assistant directors (8, 24%), deputy directors (7, 21%) directors or managers (12, 36%). Further information on KII is given in table 3 below.

A total of 36 structured questionnaires from different national and provincial departments; 13 for the 2012/2015 and 26 for the 2015/2018 periods were completed. Of these departments 13 were provincial departments and 26 questionnaires were from national departments, table 3 below.

Table 3, Realised sample for KII and Structured questionnaires National/Province and Plan classifications

| Item | KII | | | | | Structured Questionnaires | | | | |
|--------------------|----------------------|----------------|------------------------|-----------------|-----------------|---------------------------|-----------------|----------------|----------------|-----------------|
| | National Departments | | Provincial Departments | | Total | National | | Provincial | | Total |
| Quality of Plan | Non-direct service | Service | Non-Service | Service | | 2012/2015 | 2015/2018 | 2012/2015 | 2015/2018 | |
| No plans submitted | 5 (56) | 1 (13) | 1 (14) | 4 (21) | 11 (26) | 3 (43) | 4 (25) | 0 (0) | 0 (0) | 7 (19) |
| Poor plans | 0 (0) | 2 (25) | 0 (0) | 3 (16) | 5 (12) | 0 (0) | 2 (13) | 0 (0) | 0 (0) | 2 (6) |
| Average plans | 0 (0) | 1 (13) | 1 (14) | 2 (11) | 4 (9) | 1 (14) | 1 (6) | 1 (17) | 1 (14) | 4 (11) |
| Good plans | 3 (33) | 3 (38) | 2 (29) | 7 (37) | 15 (35) | 2 (29) | 6 (38) | 4 (67) | 4 (57) | 16 (44) |
| Excellent Plans | 1 (11) | 1 (13) | 3 (43) | 3 (16) | 8 (19) | 1 (14) | 3 (19) | 1 (17) | 2 (29) | 7 (19) |
| Total | 9 (100) | 8 (100) | 7 (100) | 19 (100) | 43 (100) | 7 (100) | 16 (100) | 6 (100) | 7 (100) | 36 (100) |

3.2.1. Relevance and Appropriateness

In general, most of the departments said Service Delivery Improvement Programmes (SDIPr) were relevant for service delivery improvement, but the current SDIP approach is irrelevant and inappropriate to improving service delivery. Many issues make SDIPs irrelevant and inappropriate. There seemed to be a lack of understanding of SDIPs broadly within departments especially for those departments that never received training by the DPSA on how to develop SDIPs. Departments have not institutionalised SDIPs. Developing and implementing SDIPs was approached as a desktop exercise rather than for improving services delivery, thus ignoring the imperative that SDIP should be at the core of departments' service mandate since they affect communities directly. The main issues raised in FGDs as well by some informants who were interviewed included challenges to do with:

- unaccountability,
- no legislation consequence for noncompliance;
- one-size-fits-all approach,
- inconsistent tools, and
- Misalignment of planning instruments.

One example of an instance where there was misalignment of what was needed and what was provided was when a policy department invited the DPSA to assist them in developing its SDIP. The DPSA is said to have come with a generic presentation, which it used for all departments. It was mentioned that the presentation was not appropriate for the commissioning department's needs.

Most of the participants who were interviewed indicated that there was generally buy-in on the need for SDIPs, but one of the key challenges was that there were no consequences on departments that did not comply with the development, submission and implementation of SDIPs. There were also no formal mechanisms for evaluating the development and implementation of SDIPs. It was felt that SDIPs would be more relevant if the government implemented them at municipal level, where they can be included in their Integrated Development Plans (IDP) because national departments deal more with budgets and the implementation of policies.

3.2.1.1 Legislation

In FGDs and KIIs, respondents indicated that they were all familiar with the legislation that governs SDIPs. Most respondents said the legislation was clear, straightforward and easy to understand. Most of the participants were able to name the legislation and quote sections that are relevant to the SDIP. Participants also said the intention of the programme is meant “to improve service delivery”, “evaluate the progress of services being implemented”, and “allow [departments] to come up with a plan with which to address citizens’ service delivery complaints”. Although respondents viewed the legislation as clear, they found the policy framework informing SDIPs to be vague. They said that, although the pieces of legislation seemed to support each other, the many service delivery protests meant that something was not working, especially the implementation of the SDIPs. Some government departments ended up diverting resources, which were initially meant for predetermined objectives or specified projects, for service delivery issues in response to these protests. There were, however, some respondents who found the legislation to be too general, broad and not properly aligned. Interviewed participants indicated that they sometimes found it difficult to understand where SDIPs belong for effective development and implementation.

“When we draft the SDIP, somewhere in the document we are making references to various pieces of legislation”

“In our department, we are dealing with [specificall mentioned] issues and, therefore, [specific legislation-named] directs us as directorate department to strengthen and give support to municipality to develop their capacities”

FGD 3

“Batho Pele is not strong enough to enforce service standards. It is not implemented the way it is supposed to be implemented, that’s why we find so [much] unrest in the public sector and there is no enforcement”

“The fact that Batho Pele White Paper was developed in 1994 and it is still a white paper, not a policy”

“Batho Pele is just a nice branding that we have in the public sector but it is not something that is in public servants’ minds”

FGD 2

Some participants correctly knew the difference between legislation and policy framework, as well as between the SDIPs and SDIPr (i.e. plans and programme). The SDIPr was mentioned as a broader picture of the plan. However, there were other participants who said there was no difference between the two, *“the only difference is when you take out the word Improvement”*.

“The regulations are clear, the problems lie with “people” who have the responsibility to monitor the SDIP process — they are unaware of the main purpose of the service delivery”

FGD 4

Capacity building

Among the national and provincial departments that developed SDIPs, 83% and 87 % of departments for the 2012/2015 and 2015/2018 SDIP implementation cycles, respectively, indicated that they had received capacity building on developing SDIPs. Among those who received capacity building during the 2012/2015 cycle, 60% rated the capacity building workshops as average, while 20% said the capacity building was good and the rest said it was poor. At the 2015/2018 cycle, 45% said the capacity building was average, while 45% rated it as good or excellent, indicating an improvement from the previous round of SDIP capacity building sessions.

Some of the issues that participants found useful with the capacity building included:

- How to develop an SDIP,
- How to identify a service,
- Ability to develop service standards aligned with the SMART principle
- SDIP template/ Tool kit on SDIP
- Interactive training in a cluster and evaluating each other’s SDIP,
- Directive understanding from the DPSA minister
- Service and function differentiation
- Business development model
- Alignment of the plan with national policy/framework (MTSF).
- Capability of training-understanding
- Assist in focusing on service delivery
- Internalising the importance of service delivery

- Opportunity to look at things differently.
- Breakaway sessions with provincial and national departments were helpful

Some interviewed participants, however, felt that the capacity building sessions were not effective because:

- The DPSA used a business model referenced from other countries
- Imposing new knowledge within a short space of time/duration of the training — too short with lots of information, which may compromise SDIP implementation treated as an ad hoc
- A sense that this was duplication with strategic plans and annual plans,
- Too many presentations, too much information,
- Direct service specific, and not appropriate for some departments,
- Not all departments offer tangible services
- Facilitation issues
- No clear guidelines
- No clear examples were given regarding the tool
- Implementation
- External monitoring — external view

“Their training is service department orientated. Is it possible to develop an SDIP for non-service department orientated? Just for compliance, why do [you] need this when we have a strategic plan?”

FGD 2

Most participants, 83% for the 2012/2015 and 91% of the 2015/2018, indicated that the SDIPs capacity building sessions covered guidelines on how to develop SDIPs.

Guidelines/Template

Fifty-eight per cent (58%) of 2012/2015 and 74% of 2015/2018 of study participants indicated that they used SDIPs guidelines for developing their SDIPs, while 42% and 26% for 2012/2015 and 2015/2018 respectively had partially used them.

When asked about the usefulness of the SDIP guidelines, 64% of participants for the 2012/2015 SDIP cycle and 45% of participants for the 2015/2018 SDIP cycles said the guidelines were

useful or very useful. Those who found the guidelines useful mentioned “situation analysis” and the SDIPS template to be most useful.

The other elements that respondents found helpful from the SDIP guidelines included:

- Definition and glossary of terms
- Process flow
- *Batho Pele* principals
- Defining service standards
- Situation analysis allows you to reflect on your position in more detail
- The cost-benefit analysis
- Involving other managers who encouraged collaboration
- Easy to follow

Some participants indicated that the guidelines were not useful or user-friendly. The elements that they found less useful included the following:

- The monitoring and evaluation (M&E) part not being clear, the SDIP coordinator indicated that the M&E resource persons seemed not to be knowledgeable about M&E.
- This was a duplication of strategic plans and annual performance plans
- The document should be smaller with steps to develop the SDIP
- More compliance based and not service delivery improvement based.
- The entire approach to the guidelines must be revisited.
- The guidelines are too generic and may not apply to all the departments, especially considering that the departments have different mandates and work differently.
- Not practical in the context of non-direct services
- Inflexible, one size fits all
- Too general, and not specific to departments
- One can get feedback from the DPSA very late, i.e. a day before submission of plans

Some of the reasons why they had not fully used the guidelines were that the guidelines were designed to be a tick box, and that they were not appropriate for the departments that did not provide services directly to the public. The quotations below illustrate some of the frustrations voiced by some key informants.

“It’s clear that each and every department must develop an SDIP in terms of legislation. What is not clear is the guideline that was issued by the DPSA in terms of how you go about developing an SDIP. Because for me, that guideline and the template that they provided for the development of an SDIP is what complicates the actual process of the development of an SDIP. Sometimes it assumes that departments are the same. You have service delivery departments; you have policy departments, and so on, so it cannot be the one size fits all.”

FGD 2

“You need to have a strong relation with the DPSA to respond to your call for guidelines. There is redundancy and competition within the DPSA that is not fruitful and disturbing the whole process. There is a Batho Pele and Service Delivery Forums. DPSA programmes should be aligned and speak to each”.

FGD 4

The tools used to guide departments on developing and implementing SDIPs according to the legislation seemed to partially support departments. Participants said the tools were always changing and that created uncertainty, frustration, and made the facilitation and effective implementation of SDIPs problematic. Departments were not clear on when, how and where SDIP evaluations should occur. Some participants felt that the DPSA evaluated SDIPs based on format rather than on content. Moreover, the general feeling was that departments did not integrate SDIPs into the traditional monitoring and evaluation (M&E) frameworks of their departments. Consequently, SDIPs lacked an in-built mechanism for short-term evaluation (given that they are three-year plans), thereby making them inflexible to mid-term adjustments.

“The intention of that legislation was meant to say, when you implement your programme as a department, and you have got performance failures in the system, you must identify them, diagnose why you are failing to deliver or have failed to meet your targets, and then come up with a corrective measure. That is service delivery improvement. So let me give you a practical example. If my department is constantly getting negative audit outcomes, I need to identify

where the problems are; in which areas are we failing, or which areas are causing us to get negative audit findings? If I find that it's Supply Chain Management, then I must ask myself: what are the causes of these audit findings? And once I've identified them, then I will say how then do I go about doing the necessary improvements in order to get positive audit outcomes? Now the template does not accommodate that. The template says identify three services (it's very clear), provide the budget for this improvement, track the performance, and so on. It assumes that this SDI is done in isolation of the business of the department. That's the problem with the template!"

FGD 3

Respondents expressed sometimes-conflicting views about the old and current SDIP guidelines. Some thought there was an improvement over the years on the SDIP guidelines, whilst others thought that they had become more complicated and confusing over the years. Those who found the current guidelines confusing felt there was too much information on the current guidelines that did not speak to service improvement. They felt that this added information created more work that shifted the focus from improving service delivery. They also indicated that there were no mechanisms to ensure implementation. They also felt that the current guideline was too rigid and insufficiently flexible to cater for the varied departmental functions. One participant articulates this as follows:

"the one that we have now... is a school uniform... which creates problems, because look, if you say to your province, develop an improvement plan, then we develop an improvement plan, which assists us, then we should not be having a uniform improvement plan throughout the country ... Provinces are different. Eastern Cape is vast, Limpopo is too rural, KZN we must customise as provinces. It should not be a school uniform so when you walk in the street you are all wearing black ... your situations are different, social development department's got its own diverse issues. Correctional services for example now, they are facing a problem of litigations now, they've got lots of cases that comes into that department. What improvement plan can they bring so that they avoid issues of being litigated?"

Another participant cautioned,

"You can't separate the whole issue of planning for service delivery from the strategic planning process that takes place in the department".

FGD 3

Another participant had this to say:

“It should go straight to the point, don’t ask how I wrote the document, what do you want to achieve, service and how they will achieve the services outcome/output”.

“2009 guidelines were simple, we were just required to state key identified priorities & beneficiaries but with these current guidelines, there is a lot of duplication”.

“Why are we supposed to write something that is already mentioned in the strategic plan, APP and AR” Now we need to justify everything while in 2009 we were just identifying the problem at hand in the situational analysis.”

“I cannot say that the current guidelines are invaluable but they are too complicated because there is a lot of details and difficult concepts like problem tree “

FGD 4

Planning instruments

There was no evidence that SDIPs were integrated into other planning instruments within departments. Eighty-six per cent (86%) of departments did not have an SDIP in all planning instruments (strategic plans, annual performance plans and annual reports). In some instances, a department would have an SDIP in its annual report but not in the annual performance plan, or in the strategic plan and vice versa. Others did not find the value of having separate SDIPs added to their traditional planning instruments, they felt *“we can still perform without it”*.

Service Delivery Improvement Plans

Among the key informants interviewed, 52% indicated that they were involved in drafting SDIPs for 2012/2015 and 2015/2018, while 44% said they were involved in developing the 2015/2018 ones only and 3% on the 2012/2015 one only. Sixty-five per cent (65%) were involved in implementing SDIP activities. Seventy-five per cent (75%) of participants indicated that they were involved in planning, 42% on project management, 30% on day-to-

day activities, 6% on financial control, 82% on monitoring the implementation of SDIPs, 59% on the evaluation of SDIPs and 83 % said they were involved in reporting on SDIPs.

The departments adhered partially to the structure of SDIPs provided by the DPSA citing that they did not feel the need to structure their SDIPs exactly in the stipulated manner since they knew what their mandate was, not the DPSA. They tailor made their SDIPs for their intended service delivery programmes. The bulk of the SDIPs documents resembled strategic documents, i.e. strategic plans, annual performance plans and annual reports. Participants felt that SDIPs were just repetitions of these documents. One found that only a few pages of the departments' SDIP documents were based on actual service improvements, thus one would wonder why SDIPs were not made part of strategic plans. It was felt that departments' SDIPs did not adequately address two crucial parts; i.e. situational analysis and identification of key services. The situation analyses were too broad, not telling participants about the situation of all the services, as they should. Participants felt that situation analyses did not inform them about which services needed urgent addressing. The identification process needed to inform them how to prioritise identifying services that needed urgent improvement. The reasons for the inadequacy of situational analyses and identification processes were that citizens were not involved in the identification of key services and departments did not report to them on the improvements made, if any. There were attempts made by departments to use client satisfaction surveys and complaints reports to develop SDIPs. Client surveys took place infrequently, in some cases once a year, and at times these did not align with the timelines of the SDIPs. Therefore, departments seldom based their SDIPs on client satisfaction surveys. Departments did not link surveys conducted by departments back to the departments' planning instruments. Most of the departments did not use any of these surveys due do constraints, for example, on budgets and HR.

“The situational analysis that we are talking about, it is there in the strategic plan. What other analysis are you going to put? Honestly, you are just going to change the wording. So basically, we just take what is in the strategic plan and put it in the SDIP... it is a duplication ... the targets that are already in the strategic plan or our APP, we take them exactly as they are and put them in the SDIP”.

FGD 3

“Sometimes we start the cycle before we could have our survey.... sometimes surveys are not held during the process of development”

FGD 3

Strategic Plans and Annual Performance Plans

According to study participants, SDIPs were generally aligned with departments’ service standards (85% overall, with little difference between the two cycles 83% vs 86% for the two evaluation periods respectively), and to departments’ service charters (91% overall and 92% vs 91% for the two periods). Eighty-three per cent (83%) and 91% for 2012/2015 and 2015/2018 respectively, indicated that their SDIPs were aligned with their strategic plans. SDIPs were generally reflected on departments’ annual performance plans (92% vs 83% for the two periods respectively). However, 67% and 83% for the two time periods respectively indicated that SDIPs were reported in their annual reports. Eighty-three per cent 83% of participants at each of these two time periods indicated that the SDIPs had services defined in the strategic plans and/or annual reports. However, when the actual strategic plan documents from participating departments were reviewed, only 15% of the departments had SDIPs included in their strategic plans, whilst 25% had them included in their annual performance plans. The low inclusion into these planning instruments suggests that SDIPs were rarely part of departments’ planning. The respondents said SDIPs should be five-year programmes so that they align with strategic plans. The alignment of the strategic plan and SDIPs would give SDIPs buy-in from the executive leadership, similar to what was happening with strategic plans. The DPSA forces departments to develop SDIPs rigidly (“cast in stone”). It was indicated that strategies sometimes changed midway a cycle, thus, if the strategy changed, SDIPs may become irrelevant.

Moreover, some participants indicated that the practice in some departments was to move poorly implemented KPIs in the APPs into the SDIP. However, this had the potential of creating tension between units, since this reflected badly on those managers as they were seen to be underperforming on these SDIP targets. To further their implementation and integration with other plans, some participants suggested that departments should treat SDIPs as a

transversal indicator in the APP, binding on all provinces rather than serving as merely a reporting requirement as is currently the case.

“... Maybe when we craft our indicators, [the SDIP] should be one of the transversal indicators so that it’s binding, across all provinces. Because as it is standing now, go and check our annual performance plans, there’s no [SDIP] indicator on it. So, nobody cares about it, nobody is reporting. We report as and when you want reports. Only then we will be reporting”.

FDG 1

Another concern stemmed from the fact that some departments design APP indicators without considering identified SDIP services. Thus, departments design APP indicators based on the available budget. Therefore, a department may score high on achieving its APP targets (available budgets inform APP targets) even in an environment of huge gaps in service delivery. There seems to be a dissonance between departmental “performance” and service delivery. Moreover, participants felt that rather than clogging the SDIP with the *Batho Pele* principles, departments should rather focus on fixing identified impediments to service delivery.

“If your policy analyses or the problem analyses point to your IT system, point to your policy, point to your business process, correct that and have it in the SDIP instead of having consultation, openness, and all. Those standards are there, we put them prominently displayed at all contact services. We do not need them in the SDIP. For me it’s a waste of effort, it’s a waste of time and we need to focus on things that will help us improve.”

FGD 1

“The DPSA forces departments to develop SDIPs cast in stone, but strategies change mid-way, this means if the strategy changes SDIPs may become irrelevant.”

Annual Reports

Although 81% of departments included a section on SDIPs in their annual reports, this was generally a small section, often a single paragraph or two. This seemed to reflect how departments viewed the value of SDIPs relative to the broader national plans. Departments

indicated that one way that they provided feedback to citizens was by providing annual reports on their websites. It was, however, asked if the general public had access to these websites; did they have the capacity and time to read these documents; what were the critical needs of citizens; was the public interested in information about what the department planned to do to improve services or were they just interested in having timeous quality services?

“Go back to basic, the template demands a lot that does not speak to service delivery i.e. situation analysis. To eliminate service delivery protest – we need public consultation, go to citizens instead of thumb sucking what people want”

FGD 4

3.2.2. Effectiveness

Eighty-three per cent (83%) and 78% of respondents for the 2012/2015 and 2015/2018 SDIP cycles respectively indicated that they got support from the DPSA to develop their SDIPs. The support included drafting of SDIP plans (18% and 30% for 2012/2015 and 2015/2018 cycles) and reviewing their plans (45% and 55% for 2012/2015 and 2015/2018 respectively).

During the 2012/2015 cycle, 67% of departments indicated that they implemented developed SDIPs, while 17% said they partially implemented them. In the 2015/2018 cycle, 78% and 4% respectively said they had fully implemented the developed SDIPs or partially implemented them.

In all instances, SDIP champions were directors or more senior staff except in three instances (2 for 2012/2015 and 1 for 2015/2018) where the champions were listed as assistant directors. The human resources unit, the policy and planning unit, the strategic and planning unit, and in a few instances a dedicated SDIP unit were responsible for developing and implementing SDIPs.

Thirty-three per cent (33%) for the 2012/2015 and 65% for 2015/2018 periods indicated that there was an accompanying implementation plan for developed SDIPs, and 67% and 73% for the first and second period respectively said the SDIPs were integrated into the department’s M & E system. They said it was part of the M & E system because it was part of the annual performance plan (APP) reporting. It was noted in 72% and 55% of interviewed participants

for the two periods that there were multiple departments that were responsible for implementing SDIPs. Although senior executives from director-level upwards were listed as the champions for SDIPs, several departments indicated that assistant directors were responsible for monitoring the implementation of these SDIPs.

Eighty-one per cent (81%) of KII thought that SDIPs were implemented according to SDIPs guidelines, but only 24% thought that SDIPS were implemented consistently across national and provincial departments. Of the activities that were implemented across different departments, 68% of respondents believed that these activities resulted in anticipated outputs and/or outcomes.

When asked about the effectiveness of SDIP implementation, 17% thought they were very effective, 28% said effective, 38% said moderately effective and 17% thought the implementation was ineffective.

Table 4 below shows factors mentioned by KIIs as affecting the implementation of SDIPs

Table 4: Factors influencing the implementation of SDIPs

| Factor | Frequency | % |
|-----------------|-----------|----|
| Budget | 23 | 77 |
| HR | 20 | 67 |
| Training | 21 | 75 |
| Capacity | 23 | 79 |
| Other | 15 | 75 |

The other internal factors that were mentioned as influencing the implementation of SDIPs included the lack of buy-in from leadership, the lack of appropriate IT systems and the fact that SDIPs were seen as a tick box exercise by staff including senior leadership.

External factors that were mentioned as influencing the implementation of SDIPS in departments included political interference, political change, dependency on other entities/departments including reliance on municipalities to provide services, changes in regulations and community demands and protests.

From the FGDs, it seems that departments did not always effectively implement SDIPs. Most claimed that they develop SDIPs for compliance. The departments compile comprehensive

reports and submit to the DPSA, but the DPSA did not provide any feedback on submitted plans and reports, neither did the DPSA follow-up with accounting officers to verify received report claims. It was said that the DPSA itself does not provide feedback on annual reports sent to them about identified services that departments claim to have improved. The DPSA does not come back and say, “*we find these claims true or not true, or why have you not improved in these services*”? Hence, it is possible to find out that a department would choose the same services in both cycles with no questions asked or remarks from the DPSA as to why the same services were defined to be implemented in subsequent periods.

When asked how they assessed service delivery performance, respondents indicated that they used suggestion boxes, client satisfaction surveys and site visits and audits. Almost all departments indicated using annual reports as the main way of communicating about their performance on SDIPs’ outputs and outcomes. The departments’ web sites and emails were also reported as ways of communicating their progress on SDIPs. Reporting on SDIPs outputs and outcomes was mostly quarterly and annually.

Although SDIPr had assisted in improving identified underperforming areas in certain departments, participants highlighted several challenges. These included change in management, changes on directorates responsible for implementation, staff turnover and a lack of adequate budget. The activities that departments needed to improve services on did not necessarily lead to departments’ intended outputs. There was a lack of resources to ensure that departments achieved key priorities/objectives. In fact, there was no clear evidence on whether the activities resulted in the anticipated outputs. There was a lack of appropriate support on assessing if defined improvement plans resulted in desired outcomes, therefore, it was difficult to measure impact.

“From my unit/directorate, there is no means to evaluate SDIP as to give feedback on where we lacked or need improvement on. We last did SDIP evaluation three years back, now we don’t have budget allocated for that”

“If we disregard Batho Pele, SDIPs won’t be implemented in a right way because SDIPs are not supposed to be exclusive with Batho Pele principles”

FGD 2

Departments identified different external and internal factors that influenced the effectiveness of the SDIPs. Some departments’ performance was interlinked with the involvement and performance of other departments. Departments identified common internal factors, such as resources, leadership buy-in (i.e. DGs, DDGs, Minister), internal silos (departments that need to work together do not work together), human resources, supply chain processes as some of the factors that facilitated or hindered service improvement programmes. Most of the time, there was also no follow-up on defined plans and the implementation of these plans. External factors mentioned as affecting the successful implementation of SDIPs included change of political leadership, natural disasters (e.g. heavy rains), public service delivery protests (dissatisfaction among citizen), political changes, budget cuts due to economic conditions, standardisation of documents (e.g. International documents delays the issuing of licencing in the case of foreign clients). Some participants felt that the DPSA and/or DPME and/or Office of the Premiers (OTP) were not fulfilling their mandates to other government departments. Some of the departments said their effectiveness of service delivery improvement was dependent on functions that were out of their control. Within departments, civil servants viewed an SDIP as a “*spare wheel in a moving vehicle*”. Too many accounting bodies, such as the DPSA/DPME, with different accounting guidelines created confusion.

“... Sometimes I feel that the stakeholders are the cause of [the] failure for SDIP. For example, ... the department of education needs to build schools. And ... they need to liaise with Public Works maybe or local government. And those departments don’t meet their turnaround time. Therefore, somehow it contributes to the fail of SDIP”

FGD 1

3.2.3. SDIP Efficiency

Resources needed for SDPS

Table 5 shows the resource needs mentioned for the successful implementation of SDIPs.

Table 5: Resources needs for the successful implementation of SDIPs

| Resource need | 2012 % | 2018 % | Total % |
|-------------------------|-----------|-----------|------------|
| Budget | 38 | 58 | 48 |
| HR | 34 | 50 | 42 |
| Technical skills | 31 | 50 | 40 |

| | | | |
|-----------------|----|----|----|
| Training | 27 | 33 | 31 |
|-----------------|----|----|----|

When participants were asked about their views on how effective SDIPs were, the majority of participants thought they were moderately effective (58% and 40% for the two periods respectively) or effective (17% and 45 % for 2012/2015 and 2015/2018 respectively).

The departments use the Operations Management Framework (OMF) to improve efficiency. There were differences between departmental understandings of planning documents including OMF, thus the utilisation of OMF depended on the level of understanding of planning documents. However, there were no directives that questioned which particular division OMF belonged to. Departments allocated SDIPs to any division within the department or whoever was available or the departments deem free to handle SDIPs. This affected the utilisation of OMF. There was no specific directive that says a specific division within the department was in charge of this framework. The DPSA introduced the OMF without giving guidance to departments and as to how to implement it, and which division was responsible for it. The DPSA expected departments to figure this out by themselves. This was particularly difficult since departments did not see SDIPs as a priority.

“You cannot have one operations management frameworks or SDIP template that works for every single government across the board, you will never be able to do it, we are a policy unit, Stats SA is a research house, SAPS runs police services-they are a frontline service, Home Affairs is a frontline delivery service, Presidency and DPME are policy units, Treasury is a policy unit, you cannot expect the same framework and the same process to apply universally, it can never work, it is never done by any country in the world”

FGD 2

Participants felt that there was duplication of processes happening and this affected the planning, monitoring, and reporting on SDIPs. They felt departments and/or divisions performed similar functions simultaneously and separately. There was no cohesion within departments and between the DPSA and DPME, and participants felt that there was competition between these two departments. Departments ended up submitting two separate reports to these two departments, that the DPSA and DPME were expected to consolidate into one broader plan. This led to lots of repetition and wastage of resources by departments,

resources that departments often did not have enough of. Participant voiced the need for the DPSA and DPME to work together so that they can submit one report.

“Reporting same functions in different ways to National Treasury and the DPSA using different templates can be tedious, we end up losing on reporting actual things that are happening”.

FDG 2

Although SDIPs needed people who believed in the *Batho Pele* approach, there were special technical skills needed within departments that most departments lacked. Respondents identified the skills of business analysts as needed and vital for efficient SDIPs implementation. For a department to implement SDIPs efficiently, it needs a business approach by a person who can conceptualise beyond what most departments viewed as linear factors affecting outcomes. Participants felt that business analysts needed to drive SDIPs because they were more aware of quantity, quality, time and related factors. Often, skills are available in government departments but human resource divisions do not have programmes to transfer technical skills to younger staff. Departments also do not fill vacant posts that are vital for the effective implementation of SDIPs.

In some cases, there was misalignment of skills, for example, departments ‘dumped’ an SDIP on a division, which lacked the requisite skills needed to implement the plans effectively and efficiently. This resulted in some people getting demoralised because they felt that the government was not committed to the successful implementation of SDIPs. They wanted commitment from top management first. High rates of unemployment in the country also contributed to the unsuccessful implementation of SDIPs because some of those who were employed to implement projects did not have a passion for service delivery. Thus, they felt that there should be optimal deployment of skills to manage SDIPs. A participant felt that the responsibility of deploying the requisite skills to develop and implement the SDIP rested with the DPSA:

“So, the problem is being created by the DPSA at the highest level of developing the structures. You don’t have (a) uniformity, so how do you want to create (capacity)? What skills must you have? You’ll find that is this disjuncture of people having the skills, but that skill is not utilised.”

Departments also lacked structures to deal with efficiency. Departments proposed that each department should adopt a government communication information systems (GCIS) approach to professionalise the SDIP function. However, the efficiency of SDIPs does not depend only on individual skills but also on the availability of other sufficient resources.

“I work for a department of education, I am a teacher by profession but I got a job promotion on monitoring and evaluation with no research background. In developing SDIP, research skills on monitoring and evaluation are needed. I had to go back to school after the promotion to study research methods and monitoring and evaluation goes with experience and skills”

FGD 2

The respondents identified external factors that affect the efficient implementation of SDIPs as responses and demands from members of the public and political balance of power. Departments identified major internal factors that affected efficiency as budget constraints, ill-considered/irresponsible realignment or re-shuffling of personnel competencies, a lack of integration of planning with some stakeholders that some departments work with and the reallocation of resources.

3.2.4. SDIP Sustainability

There was a general feeling that the SDIP approach in its current form was not sustainable because of the uncertainty and a lack of clarity of SDIP functions. Forty-seven per cent (47%) of KII believed that the SDIP programme was sustainable. In contemplating the sustainability of SDIPs, one participant said that SDIPs are:

“something that we should keep on doing but the context should be different” ... “we must look at service delivery improvement holistically as an organisation and that should be reflected during the strategic planning session. It can't be sustainable to have a separate planning session. That's why you hear colleagues saying there's no buy-in and so on. But, if it is part of a strategic planning session where you do situational analysis, you reflect on how you have been performing. What were the challenges? What are the gaps? Then you develop strategies to address those gaps and challenges as part of what we call service delivery improvement. I think that will make it sustainable. But, if we are going to call different sessions and say we have a service delivery improvement plan planning session, that's why you have management

not actually having interest in that because in their view once they have done the strategy planning session they are done with the whole thing of factoring improvements in the process

FGD 4

The SDIPs did not clearly inform people of the roles and who the custodians of the programmes were. Participants felt that SDIPs should not exist in silos, but should be an integral part of every planned programme. Nevertheless, there was full consensus that SDIPs were essential. The way departments manage SDIPs just needed to improve. Departments could achieve SDIP improvement by enhancing the skills and capacity of departments, and by incorporating SDIP responsibilities into the performance agreements of the relevant senior managers.

“We are doing [this] for ticking the box, we do not internalise the process to improve service delivery. “Better political things to deal with”, highly rank conscious”.

FGD 2

SDIP needs political support for it to be a sustainable programme. “If it doesn’t have a home and an owner within a department, then it’s not sustainable”. Respondents said the approach to SDIP development may have led to SDIPs being unsustainable, but SDIPs on their own were vital for service delivery. Hence, they felt that SDIPs should continue, even under the current environment because this programme exists to support service delivery. The DPSA should implement the SDIP approach correctly for SDIPs to be sustainable.

Firstly, SDIPs are an important initiative established because departments were not fulfilling their mandates to provide quality services to the citizens. Although it is constrained because of implementation challenges, it helps to resolve South Africa’s lack of efficient service delivery. It could be a vital monitoring tool to measure departments’ accountability to the citizens. Citizens felt that the government was not serving them and they wanted services to improve. SDIPs can be a mechanism to answer their call.

Respondents offered ways of improving SDIPs. The government should reevaluate SDIPs. All stakeholders should review SDIPs’ inception. Why were SDIPs conceptualised in the first place? What was the initial and main purpose of SDIPs? Answers to these questions will assist in SDIPs in achieving their intended goals and impact, which is to improve people’s lives.

“SDIP approach was functioning better when it was still under impact, after it was removed, departments didn’t see the reason to comply”

FGD 4

The government needs to improve intergovernmental relations, which is vital for rendering service delivery to the people. SDIPs should be part of performance agreements, especially for senior management. The DPSA should come and build capacity of senior management on SDIPs and emphasize the importance of such a programme. The auditor general should audit SDIPs in the same way it audits annual performance plans. There should be implementation verification and evidence-based monitoring, The DPSA should be able to verify what departments claim they have achieved in their annual reports. Departments should have and measure budgets for SDIPs. This will draw the auditor general’s attention. Once the auditor general is involved, the negative mentality towards SDIPs will change.

“Make this a living document like the DPME does, put together with the APP. Clarification on clear line with regards to reporting rather than submitting to the DPSA we should go to parliament and report on it to put weight on it”

FGD 4

The government should align SDIPs to the strategic plan and annual performance plan and the minister’s five-year term. One has to remember that strategic and annual performance plans have been part of departments’ planning documents amidst citizens’ dissatisfaction. One should, therefore, be aware that simply aligning SDIPs with strategic plans is not a complete solution to improving service delivery. Aligning SDIPs with strategic plans is a way of coordinating the planning process of departments and strengthening SDIPs’ relevance. Departments still need complete buy-in into the idea that service delivery is not up to standard and the government needs to do something special to change the status quo. There was a sense that, if the programme was to continue, there was need for proper M&E systems, which needed reviews to happen every two years because five years is a long time because a lot happens that may affect the implementation of SDIPs. The DPSA should be strict on compliance, and top leadership should be accountable for noncompliance. SDIPs should be simplified and speak solely to service delivery improvement. SDIPs should be flexible to change because we live in an ever-changing world. The government should take SDIPs to the “coal face” where service delivery occurs.

“There is too much lenience on SDIP they do not whip the DG or my minister, the DPSA itself only recently had an SDIP. Reported for the first time recently. The DPSA itself doesn’t have that drive to make sure SDIPs are implemented”

FGD 4

All respondents thought that there was no consistency across national and provincial departments on how SDIPs were implemented. They felt that the implementation of SDIPs needed to be relevant to the departments core business. Although it was a legislated mandate to produce SDIPs, some departments did not develop SDIPs and there were no consequences for these departments. It was suggested that SDIPs should be mandatory and elevated to ministerial level so that directors in their forums (i.e. FOSAD) and portfolio committees are called to order if their departments do not produce and successfully implement SDIPs.

4.0. Discussion

The following section discusses the study results using the same key thematic areas of relevance and appropriateness; effectiveness, efficiency, sustainability and other overarching issues to SDIP development and implementation.

Whilst participation in the evaluation was generally high amongst the selected national and provincial departments, it is important to highlight that some departments flatly refused to participate in the study. This could be partly because of the perceived importance they attach to SDIPs, or a lack of understanding of the purpose of the evaluation study as such studies are often viewed as some form of auditing. Furthermore, participation in the study was largely delegated to middle-level managers who are leading these SDIPs and or were involved in operational management or *Batho Pele*. Given the importance of such plans, we would have expected senior management to have shown more interest to be involved in its assessment. Nonetheless, those that participated demonstrated a willingness to introspect and self-evaluate to improve the design and the implementation of SDIPs in their departments.

4.1. Legislative framework

The majority of respondents are aware of the legislative framework governing the SDIP as well as the programme's intentions. They all understood that the SDIPs are meant "to improve service delivery" through a systematic process of evaluating progress, identifying gaps that need to be addressed and designing and implementing interventions.

On the extent of the alignment of the Public Service Regulations (PSR) as amended in 2016 Directive, the *White Paper on Service Delivery* (i.e. *Batho Pele*) and the policy guidelines for the development and implementation of the SDIP, the participants were of the opinion that the PSR is clear and that there is a great deal of coherence between the relevant policies. However, the overwhelming thinking was that, on a practical level, service delivery does not reflect this policy or legislative coherence, hence the frequent service-related protests. Therefore, the challenge is not in the legal framework but in ensuring coherence at the implementation level. Inter- and multi-sectoral approaches at provincial and municipal level to service delivery are critical and the recent announcements around the district model are likely to address this need for better collaboration in service delivery at the local level.

4.2. Strategic alignment of SDIP

The evaluation generally showed that there was support for SDIP by most government departments as potentially useful tools to enhance service delivery but there are concerns about its strategic misalignment. Most respondents felt that service delivery plans needed to be aligned with the Strategic Plans and Annual Performance Plans for them to be given attention and priority. For now, SDIPs are seen as “add-ons” that only need to be completed for compliance purposes. Many respondents were of the view that the plans were prepared for compliance and, in fact, senior management in some departments often questioned their value-add. This raises questions of the relevance and appropriateness of SDIPs in improving service delivery to the people.

4.3.SDIP Relevance and appropriateness

SDIPs are seen as potentially useful is in focusing government departments on priority service delivery at all levels. The biggest concern was about their strategic location and approach, and, therefore, perceived relevance and appropriateness. The study shows that only a few people in departments (e.g. from the SDIP unit) who in many cases were trained on SDIP, understood their real purpose. It was, therefore, not surprising that in some departments, high staff turnover affected the development and implementation of these plans. This is a manifestation of the lack of institutionalisation of the planning instrument and hence a lack of general understanding by those not directly involved with the programme. Those who should know about these plans seemed not perturbed due to a lack of direct accountability or consequence management as this was seen as the function of the SDIP unit. Strong sentiments were expressed that as long as these plans are not part of the SP and APP, it is unlikely that they will be prioritised. In fact, a deeper question was asked as to what would happen if SDIPs were stopped. Clearly, respondents understood the potential benefits of the SDIP but could not relate it to practice as these plans were viewed as unnecessary “extra work”, “narrow in focus” and not well resourced. Internal buy-in was lacking in most departments that were part of the study.

In terms of the process of developing the service improvement plans, concerns were raised regarding the latest SDIP development guidelines, which were argued to require a lot more time and resources than the 2009 guidelines, which were perceived to be simple but effective. Furthermore, the same guideline was applied to all when some departments are not directly involved in service delivery, which makes completion of the SDIPs difficult. It was clearly expressed that more support is required from the DPSA to ensure that government officials are capacitated to prepare high-quality plans as per the guidelines. Between the two cycles,

2012/15 and 2015/18, the respondents identified specific training components that were useful and not so useful. For instance, the use of “imported business models” from other countries that may not be directly applicable to South Africa, and the intensity of training, which was short and sometimes lacked practical examples.

An analysis of the various SDIPs submitted to the DPSA, shows that most of the SDIPs developed were not always based on a proper situational analysis and or an identification process of key services that includes beneficiaries. The priority or focal services for the SDIP were selected by officials, which partly explains the observed disjuncture between government efforts on service delivery and community needs, which often leads to protests. Respondents in the evaluation expressed a strong view that for SDIP to make a difference in people’s lives they must respond to peoples’ needs. In fact, the link between the local government IDP processes and SDIPs becomes critical.

4.4.SDIP Effectiveness

Results from interviews and FGDs clearly show that departments implemented SDIP differently in terms of compliance with norms and standards stipulated in the SDIP legal framework. It was evident that the SDIP documents had varying levels of quality as per the DPSA classification used in the sampling of focal departments. Most respondents indicated that they produced their SDIPs as per guidelines and prepared reports, which were submitted to the DPSA. However, they were concerned that there was usually no feedback from the DPSA, particularly on the reports to allow for engagements of what worked or did not work and more importantly why. This was particularly important so that the departments know what to do and were necessary to get support from other relevant departments. It is no wonder that some departments tended to recycle plans and choose the same focal services.

As indicated earlier, for the SDIPs to be effective, it is important that they respond to what communities want and equally important is that communities determine whether services are improving or not. Most of the SDIPs are developed based on supply-side views of what the community needs, and later on, by the determination of what has been achieved or not. Clearly, the effectiveness of an SDIP is better evaluated by the users or beneficiaries and, where no such systematic studies are done, routine M&E information.

The evaluation shows that SDIPs have the potential to address some departmental areas that are not performing well, provided the necessary leadership and resources are made available by those responsible for implementation. It is important that the priorities and objectives of the SDIPs are informed both by the results of the technical analysis and by beneficiary expectations. By doing so, we believe that the observed anomalies between a good performing department and the persistence of community protests will be addressed. Currently, departments set their own goals and interventions, which they achieve in some cases but still face community unhappiness and protests.

Responses to whether performance differed between the two SDIP cycles (2012/15 and 2015/18) showed that no systematic analysis had been done by departments and this was attributed to a lack of resources and support from leadership. However, analysis of these plans in the evaluation was also difficult, owing to incomplete data (some documents were missing for some of the relevant years). Nonetheless, the evaluation found that the lack of compliance with the SDIP norms and standards, was attributable to a lack of leadership support and resources for developing and, more importantly, implementing these plans. Other internal factors that affected effective SDIP implementation, in addition to the lack of buy-in, included divisions that worked in silos, a lack of human resources and insufficient supply chain processes.

External factors that affected the effectiveness of SDIPs included changes of political leadership, natural hazards, community protests, budget cuts due to bad economic conditions and a general lack of inter-sectoral and multi-sectoral collaborations. The effective implementation of service delivery can only occur when there is cooperation and integrated planning amongst the three spheres of the government. Integrated planning entails division of roles and responsibilities across governmental and non-governmental stakeholders, which facilitates the coordinated implementation of service delivery.

4.5.SDIP Efficiency

The evaluation sought to establish how departments experienced improvements, effectiveness and efficiency in the delivery of quality services to citizens through a systematic process of identifying critical services and improving them. The key finding was that most departments use the Operational Management Framework (OMF) to promote efficiency in the development,

implementation and reporting of SDIPs. However, there is no formal designation or home for the OMF. Consequently, departments assign OMF responsibilities to whatever unit or individual is responsible for the SDIP. In some departments, there is an SDIP division, while in others there is simply designated people responsible for SDIPs. This is problematic as it reduces the prominence of SDIPs and restricts opportunity for inter-divisional collaborations.

Departments are expected to provide progress reports to the DPSA and DPME using different reporting formats. This emerged as a big problem of duplication as departments have to use limited resources to prepare two reports when one report could easily be produced and shared between the departments.

External and internal factors that affect the efficiency in service delivery to citizens are similar to those discussed under effectiveness. The lack of integrated planning and implementation at local level inevitably leads to duplication and waste and it is for that reason that the proposed district model, if implemented, will arrest this challenge. Resource allocation for service delivery is a complex and fragmented process across the tiers of government. Allocative efficiency can be realised through aligned priorities and implementation. Additionally, there was a perception amongst the predominantly middle-management participants, that top management and political leadership frequently manipulate SDIPs to accommodate their personal preferences for procurement and SCM routes. This emerged particularly amongst officials in departments that design policy and monitor its implementation, and in provincial Offices of the Premier.

The evaluation also found that divisions responsible for SDIP lacked critical skills, those of business analysts. It was argued that such skills were necessary to drive SDIPs because such professionals have more awareness about quantity, quality, and time management. We also found that, in cases where the department had such skills, there was no plan for skills transfer, which resulted in capacity losses as employees left. SDIP responsibilities were often given to officials who had no such skills and who became demoralised as they couldn't adequately promote efficiency. All these factors militate against the extent to which SDIPs are structured for efficient implementation and reporting of service delivery to citizens.

4.6.SDIP Sustainability

The key question to be answered in the evaluation was to establish if the improvements in service delivery that were experienced by citizens through the implementation of SDIPs were sustained. The general finding was that the SDIP approach in its current form was not sustainable because of the uncertainty and a lack of clarity around SDIP functions. Several interventions are necessary to enhance sustainability. First, it must be integrated within the current Strategic and Annual Performance Planning process and cycle so that SDIPs are not seen as optional but mandatory. Second, there must be buy-in from the internal leadership so that appropriate resources are allocated to allow for development, implementation and reporting on service delivery improvements at national and subnational levels. Third, departments need to be capacitated by enhancing staff numbers and skills, financial and material resources, and incorporating SDIP responsibilities into the performance agreements of the relevant senior managers to engender accountability.

The deeper question that was raised in the evaluation was whether SDIPs are leading to service delivery improvements on the ground. Some argued that this was indeed happening but this was not evidenced by a decrease in community protests. Others argued that there was no evidence that these SDIPs were leading to service delivery because the key priority areas were usually a product of technical processes with limited community involvement. Consequently, communities protested, despite technical improvements in service delivery indicators because they were concerned about what they actually experienced and what mattered in their daily lives.

5.0. Conclusions

Underlying this implementation evaluation is the fundamental question: what is the value-add of the SDIPr and related plans to the existing government planning and performance assessment systems and tools for service delivery? This evaluation has shown that SDIPs have the potential to enhance service delivery and ultimately contribute to the betterment of peoples' lives but not by using the current approach. Currently, SDIPs are not given the attention they deserve because of underlying structural and operational challenges.

The necessary legislative framework for SDIPs is considered adequate but what is in question is the strategic positioning of SDIPs within the strategic planning performance assessment system. The current call is for SDIPs to be included in both the Strategic Plans and Annual Performance Plans so that they are accorded the necessary attention as they also become

auditable documents by the Auditor General. Such positioning will allow SDIPs to be allocated adequate resources and for senior management to feel responsible and accountable not just for the preparation of the documents (for compliance) but also for ensuring those plans are implemented effectively and efficiently. The ultimate measure of the usefulness of SDIPs is the extent to which services are improved with visible and measurable impact on beneficiaries' lives (as per the TOC) and not whether the service delivery plan itself is of good quality. However, support from the DPSA to departments in the development of SDIPs and review of annual reports must be strengthened so that the SDIPs are taken seriously. This entails reviewing the template (to make it adaptable) and guidelines, and providing regular and appropriate capacity building activities in collaboration with other agencies such as the National School of Government. The reporting framework needs to be reviewed so that there is synergy between what the DPME and DPSA expect from departments.

The level of effectiveness and efficiency of SDIPs is constrained by both internal and external factors, most of which can be addressed by ensuring collaboration within government departments and across departments, and with external stakeholders, particularly at implementation level. If the SDIP is developed based on the technical review of service performance and community involvement, it is highly likely that the improvement plan will address what the community needs. The occurrence of community protests, even in the context where SDIPs, are considered compliant with the legal framework and, therefore, of good quality, is a manifestation of this misalignment. Therefore, improving the performance of the SDIP requires alignment in terms of key services selected and innovative use of resources through the application of OMF to ensure impact. Business analysis skills are required to ensure the design, implementation and report of SDIPs take into account the latest business processes and IT technology.

SDIPs provide an opportunity to put into practice the *Batho Pele* principles and to allow a culture of service evaluation and improvements, which is essential to the institutionalisation of people-centric and impact-oriented governmental services. The evidence from this study shows that, for SDIPs to be sustainable, it is necessary to change the implementation approach so that it is not seen as a compliance activity but a necessary one for ensuring continuous improvement in service delivery by the government at all levels.

6.0. Recommendations

Findings from the implementation evaluation of the SDIPr point to several recommendations that need to be implemented in the short to medium term to enhance the service delivery by the government and ultimately improve the quality of life of people;

6.1 Relevance and appropriateness

1. Although the legal framework that underpins the development and implementation of SDIPs is clearly understood and considered adequately aligned, there is a need to ensure that there is coherence at the implementation level so that all relevant actors are involved in implementing the service improvement plans
2. There is a need to elevate SDIPs to the level of Strategic Plans and Annual Performance Plans so that it is prioritised by all involved, including senior management. This will ensure that the activities of the SDIP are auditable and performance based, which calls for stronger accountability. Such changes will enhance the integration of SDIPs within the family of planning instruments and, more importantly, lead to their institutionalisation.
3. The SDIP guideline needs to be revised so that it is not a one-size-fits-all as not all departments are involved in **providing direct services** to the population, for example, Treasury, the DPME and provincial Offices of the Premier.
4. The SDIP guidelines need to be made simpler and shorter by removing duplications, clarifying the M&E element, and must be flexible to allow for departmental adjustments given that all departments do not work the same.
5. More and regular support is required from the DPSA and National School of Government to ensure that officials at national and provincial level are trained or capacitated to develop high-quality service improvement plans.
6. Capacity-building activities should be regular to allow new cadres to be equally exposed to the SDIP process. In addition, training materials and the duration of training need to be reviewed to ensure that officials fully understand the purpose, mechanics and philosophy underlying SDIPs
7. For SDIPs to lead to improvements in service delivery and to affect peoples' lives, it is important that beneficiaries are included in the identification of key services, rather than relying solely on the lists of complaints and results of satisfaction surveys.
8. Within the DPSA, we recommend that there be organisational coherence and functions on SDIPs, given that there are separate but key units (SDIP unit, *Batho Pele* and Operational

Management) that should work together effectively to ensure that SDIPs are properly implemented.

6.2 Effectiveness

9. To enhance effectiveness, we propose that SDIP priorities be informed by both technical analysis and beneficiary expectations, which can be collected through various community engagements and linking these to local government IDP processes.
10. The performance of SDIPs needs to be monitored annually by the DPSA and not only after every three-year cycle because opportunities for engagements for corrective actions are missed in-between.
11. The strengthening of inter-sectoral and multi-sectoral collaborations is vital to effective SDIP implementation. The proposed district model will help address this challenge at the basic unit of planning — the district.

6.3 Efficiency

12. There is a need for a formal directive from the DPSA that indicates which division in a national and provincial department should be responsible for the Operational Management Framework and, therefore, also the SDIP.
13. One report instead of two should be prepared and submitted to both the DPSA and DPME to avoid duplication and to save limited resources.
14. Service improvement plans must be products of integrated planning amongst governmental and non-governmental stakeholders and we recommend that SDIPs should only be approved for submission to the DPSA if there is evidence that sufficient stakeholder engagement has taken place.
15. Unless emergency circumstances prevail, and in order to counteract perceptions of service provider favouritism or any form of nepotism, departmental political leadership and top management should not change SDIP procurement and supply chain management stipulations without full and transparent motivation.
16. Departments need to be supported in recruiting cadres who have OMF skills, who can be assigned the SDIP responsibilities to ensure the promotion of effectiveness and efficiency in service delivery to citizens for those relevant departments. For those departments that

are directly involved in service delivery, it is equally important for them to provide their indirect services effectively and efficiently.

6.4 Sustainability

17. Integrate SDIPs within the current Strategic and Annual Performance Planning process and cycle so that SDIPs are not seen as optional but mandatory.
18. Ensure buy-in of SDP from internal leadership so that appropriate resources are allocated to allow for development, implementation and reporting on service delivery improvements at national and subnational levels.
19. Capacitate SDIP units or functions by enhancing staff numbers and skills, financial and material resources, and incorporating SDIP responsibilities into the performance agreements of the relevant senior managers to engender accountability.
20. The SDIP should be made auditable like the annual performance plan, meaning that implementation should be verified and monitored, the DPSA should verify performance claims in the annual reports.

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Appendix I: Logic Model associated with the ToC model for the SDIPs programme

| INPUTS | ACTIVITIES | OUTPUTS | INTERMEDIATE OUTCOMES | OUTCOME | IMPACT |
|---|--|--|--|--|---|
| <ul style="list-style-type: none"> • SDIP Directive of 2008 • SDIP Draft Guidelines • White Paper on Batho Pele 1997 • Public Service Regulations 2001 and 2016 • Batho Pele change engagement/management programme • Departmental SDIP Annual Progress reports | <ul style="list-style-type: none"> • Capacity building • Advocacy • Identify of service delivery gaps | <ul style="list-style-type: none"> • Public servants equipped on SDIP legislative guidelines and tools | <ul style="list-style-type: none"> • Availability of efficient capacity required to deliver government services government to the SA citizens | <p>Transformed public service that puts people first</p> | <p>Betterment of lives of all South Africans through improved service delivery (Improved quality of SA lives)</p> |
| <ul style="list-style-type: none"> • Partnerships (civil society, ward committees, municipalities, private sector, donors, • Public participation enforcing inclusive citizen planning and feedback | <ul style="list-style-type: none"> • Public participation in government policy development, implementation, monitoring, evaluation and reporting | <ul style="list-style-type: none"> • Public participation reports | <ul style="list-style-type: none"> • Citizen-centric approach to service delivery | <ul style="list-style-type: none"> • Improved level of confidence of South Africans in the government | |
| <ul style="list-style-type: none"> • Revised SDIP Directive | <ul style="list-style-type: none"> • | <ul style="list-style-type: none"> • | <ul style="list-style-type: none"> • | <ul style="list-style-type: none"> • | |
| <ul style="list-style-type: none"> • Legal framework documents like the Constitution, PSA/R, PAMA, PSR, directives, frameworks & toolkits that set norms & standards for compliance • Partnerships with OTPs and national departments, NSG • SDIP guidelines • White Paper on Batho Pele | <ul style="list-style-type: none"> • Capacity building with SDIP development • | <ul style="list-style-type: none"> • Equipped personnel required for the implementation of the Service Delivery Improvement Programme | <ul style="list-style-type: none"> • SDIPs implemented as planned | | |
| <ul style="list-style-type: none"> • Equipped human resources • Budget • Reporting system/dashboard • Standardised templates (survey) • Stats SA reports/other agency reports • E-platforms (media e-platforms) | <ul style="list-style-type: none"> • Engender <i>Batho Pele</i> philosophy in the working environment • • | <ul style="list-style-type: none"> • Reduced complaints from the public • Reduced service delivery protest • Equipped personnel that harness the innovations and methodologies of the 4th industrial revolution | <ul style="list-style-type: none"> • Improved citizen / client satisfaction levels | | |
| <ul style="list-style-type: none"> • Equipped personnel • Budget • Systems and methodologies • Partnerships with stakeholders to enable optimisation (oversight institutions, private sector, sectors within government, academic institutions, NSG) • Effective leadership and management programmes (listening, teambuilding, communication, relationship management) | <ul style="list-style-type: none"> • Capacity building on business process optimisation • Business process automation • Provide performance-linked incentives • Review and alignment of performance management policies and systems • Development of generic sector services (basket of services) • Partnership with NSG on E-Learning Programme | <ul style="list-style-type: none"> • Improved turnaround times • Optimal utilisation of government resources (Improved economic utilisation of resources) • Optimised government capability and competency | <ul style="list-style-type: none"> • Improved efficiency and effectiveness in government operations | | |

Appendix II: Targeted participants All government departments that were selected to participate, and those that took part (in italics).

| Cluster | Excellent | Good | Average | Poor | No Plans |
|---------------------------------------|---|---|--|---|--|
| National departments | | | | | |
| Centre of government | Statistics South Africa | National School of Governance, <i>Department of International Relations and cooperation</i> Department of Traditional Affairs | | Department of Cooperative governance | Department of Performance Monitoring & Evaluation; Civilian Secretariat Police National Treasury |
| Concurrent services | | Department of Labour Department of Trade and Industries | Department of Sports & Recreation Department of Justice | <i>Department of Health</i> <i>Department of Basic Education</i> | Department of Correctional Services Department of Telecommunication & Postal Services |
| Direct Service (transactional) | Department of Rural Development and Land Reform (DRLR) | Department of Home Affairs Department of Agriculture, Forestry and Fisheries SAPS | | Department of Small Business Department of Public Works | Department of Human Settlements Department of Transport |
| | | | | | 24 |
| Provincial departments | | | | | |
| | Eastern Cape: Health, Economic Development, Tourism Northern Cape: Economic Dev Western Cape: Cultural Affairs KwaZulu-Natal: Department of Social Development, Treasury Gauteng: <i>Office of the Premier,</i> <i>Education</i> | North West: <i>Office of The Premier,</i> Arts and culture, Traditional Affairs Gauteng: Sport, Arts Culture and Recreation Limpopo: Department of Social Development Mpumalanga: Department of Social Development Public Works, Economic Dev Western Cape: Education Free State: Agriculture & Rural Development Treasury, Health Limpopo: Office of The Premier, Cooperative Governance and Traditional Affairs North Cape: Sports Art and culture and Recreation Department of Social Development Eastern Cape: Office of the Premier KwaZulu-Natal: Transport | Western Cape: Agriculture Gauteng: Community Safety Free State: Economic Develop | Limpopo: Agriculture Mpumalanga: Cooperative Governance and Traditional Affairs Eastern Cape: Community safety KwaZulu-Natal: Economic Develop | Limpopo: Health, Community Safety Mpumalanga: Human Settlements 38 |

Appendix III: Focus groups sample

| Groups | Departments | Researchers |
|---|---|----------------------|
| FGD 1 - Economic Sectors, Investment, Employment and Infrastructure Development (15) 15 confirmed individual 10 | DAFF (n), DoLx1 (n), Small Business Development (n) x1, Public Works (n), National Treasury (n) x1, Treasury (KZN), DEDT (NC), DESTEA (KZN), DESTEA (FS), DEDEAT (EC), DESTEA (MP)x2, Treasury (FS) x2, Agriculture (FS), Agriculture (WC) x3, Agriculture (LP) x2, Public works x3 | Chijioke & Yamkela |
| FGD 2 - Social Protection, Community and Human Development (15) 15 confirmed individual 10 | DBE (n), NDoH (n), Dept of Rural Dev. And Land Reform (n) x1, Dept. of Transport (n) x2, DHS (n)x1, Dept of Sports and Recreation (n) x2, Education (GP)x1, Education (WC)x1, Health (L), Health (FS)x1, Health (EC), Dept of transport (KZN), Human Settlement (MP) x1, Sports, Arts & Culture (GP), OTP: GPx3, WCx2, DESTEA (MP)x2, OTP MP(2) | Charles & Nozuko |
| FGD 3 - Governance, State Capacity and Institutional Development (15) 15 confirmed individual 11 | COGTA (n), Traditional Affairs (n), NSG (n), Stats SA (n) x1, Dept. Tel. and Postal services (n) x2, DPME (n), COGTA (LP), COGTA (MP) x3, Culture, Arts & Traditional Affairs (NW), Culture, Arts and Sports (WC) x2, Sports, Arts & Traditional Affairs (NC), OTPs: EC x1, LP, OTP (NCx1, KZN x1, MPx3, NWx3), Public works x1(MP), Agriculture (LP) x1, | Stephen & Keorapetse |
| FGD 4 - Justice, Crime Prevention and Security (13) 15 confirmed individual 21 | DoJ (n) x2, SAPS x2, Correctional Services (n)x2, Civilian Secretariat (n)x1, DIRCO (n), DHA (n), Community Safety (LP),Community Safety (EC), Community Safety (GP) x1, Social Dev (L), Social Dev (MP) x2, Social Dev (NC), Social Dev (KZN), Police, Road and Transport x2, | Qaqambile & Malwande |

Appendix IV: Questionnaire



Structured Questionnaire: DPSA: 2015/18

| | |
|---|---|
| <p>A. Purpose: The Department of Planning, Monitoring and Evaluation (DPME) with Department of Public Service Administration (DPSA) has commissioned Human Science Research Council (HSRC) to conduct an Implementation Evaluation on the Service Delivery Improvement Plans (SDIPs). The DPSA is mandated to ensure efficient, effective and development orientated public service. As part of realising that mandate, DPSA formulated SDIPs, which are supposed “to facilitate the commitment of state institutions to continuous service delivery improvement mechanisms that seek to improve the nature and quality of the actual services provided and the manner in which the services are delivered”. Each department is required to develop its own SDIPs and monitor and report on its implementation. This evaluation is to afford selected departments an opportunity to reflect on their experience on the process of developing and implementing their SDIPs. The evaluation is based on SDIPs for the periods 2012 to 2015 and 2015 to 2018.</p> | |
| B. Consent | [ENSURE CONSENT IS GIVEN BEFORE PROCEEDING WITH THE INTERVIEW] |
| C. Date: | |
| D. Interviewer(s): | |
| E. Field Supervisor: | |
| F. We would like to get some details about the SDIPs that were developed and implemented between 2015 and 2018 | |
| G. Eligibility: I would like to ask you some questions to confirm that you are eligible to participate | |
| Are you familiar with the SDIPs developed and/or implemented by your department during 2015 – 2018? | 1 Yes 0 No → Not eligible CONTINUE IF HE/SHE IS FAMILIAR |
| Which government department do you work for? | |
| Are you able to provide this detail? | 1 Yes 0 No |
| Besides yourself, who else should we invite who can enrich the information that we are collecting? | [GIVE EXAMPLES: SDIP champion, project manager, M & E officers, SDIP officers] |
| Questions | Responses |
| 1. Was anyone of you in this team involved in the development of 2015/18 SDIP for your department? | 1 Yes 0 No IF q1 is 0 End interview |
| 2. Did your department submit 2015/18 SDIPs to DPSA? | 1 Developed and submitted 2 Developed but did not submit 3 Did not develop and submit |

| | | |
|----|---|--|
| 3. | Was the team that developed the 2015/18 SDIP provided with capacity building sessions to develop SDIPs? | 1 Yes 0 No 98 DK IF q3 is No (0) PROCEED to q10. |
| 4. | If the department received capacity building, can you rate the capacity building on a scale of 1 to 5? [READ OUT OPTIONS ONE AFTER ANOTHER AND RECORD ACCORDINGLY] | 5 Excellent 4 Good 3 Average 2 Poor 1 Very Poor 98 DK 99 NR/RF |
| 5. | What elements of the capacity building did you find helpful/useful? | [CLARIFY THAT YOU WANT TO DIG OUT THOSE ASPECTS THAT WERE NOT HELPFUL FROM q5 – q9] |
| 6. | Of the elements you listed as helpful/useful on the capacity building, which one was the most helpful/useful? | |
| 7. | What elements of the capacity building did you not find so useful/helpful? | |
| 8. | Of the listed elements that you indicated as not being too useful/helpful above, which one was the least helpful/useful? | |
| 9. | Did the capacity building that was provided cover guidelines on how to develop SDIP? | 1 Yes 0 No 98 DK 99 NR/RF |
| 10 | Did you use DPSA guidelines to develop your SDIP? | 1 Yes 2 Partially Used 0 No 98 DK 99 NR/RF |
| 11 | If not, please give reasons why you did not use the SDIPs guidelines | |
| 12 | On a scale of 1 to 5 rate the usefulness/relevance of the SDIPs guidelines on developing your department's SDIP. (READ OUT OPTIONS ONE AFTER ANOTHER AND RECORD ACCORDINGLY) | 5 Very useful 4 Useful 3 Average 2 Not useful 1 Not useful at all 98 DK 99 NR/RF |
| 13 | What elements of the guidelines to develop SDIPs did you find most useful/helpful? | |
| 14 | Of the elements listed above, which one was the most useful/helpful? | |
| 15 | What elements of the guidelines to develop SDIPs did you find not so useful/helpful? | |
| 16 | Of the elements listed above, which one was the least useful/helpful? | |
| 17 | Did DPSA provide support during your department's development of 2015/18 SDIPs? | 1 Yes 0 No 98 DK 99 NR/RF |
| 18 | What kind of support did they provide? a) Help with drafting the plan b) Helped with reviewing the plan | 1 Yes 0 No 98 DK 99 NR/RF 1 Yes 0 No 98 DK 99 NR/RF |

| | | |
|----|---|---|
| | c) Other help, specify | 1 Yes 0 No 98 DK 99 NR/RF IF q18c is 1 Ask the interviewee to specify |
| 19 | Were SDIPs aligned with your department's service standards? | 1 Yes 0 No 98 DK 99 NR/RF |
| 20 | Were SDIPs aligned with your department's service charter? | 1 Yes 0 No 98 DK 99 NR/RF |
| 21 | Were SDIPs aligned with the department's strategic plan? | 1 Yes 0 No 98 DK 99 NR/RF |
| 22 | Were SDIPs reflected in your department's Annual Performance Plans? | 1 Yes 0 No 98 DK 99 NR/RF |
| 23 | Were SDIPs reported in your department's Annual Report? | 1 Yes 0 No 98 DK 99 NR/RF |
| 24 | Were there services defined in the SDIPs? | 1 Yes 0 No 98 DK 99 NR/RF IF q24 is 1 PROCEED to q25 |
| 25 | Give us a list of all the services that were defined in the SDIPs | |
| 26 | From the services listed above, list the services that were selected to be improved. | |
| 27 | Was the 2015/18 SDIPs ever implemented? | 1 Yes 0 No 98 DK 99 NR/RF IF q27 is NOT yes (1) skip to q37 |
| 28 | Who was the champion of SDIPs implementation? | [Do not ask for a name, but position] 4 Director General 3 Deputy Director General 2 Chief Director 1 Director 0 Other (Specify) |
| 29 | Which unit in your department did the SDIPs champion work in? | |
| 30 | Was there an implementation plan for the 2015/18 SDIP cycle? | 1 Yes 0 No 98 DK 99 NR/RF |
| 31 | Was the 2015/18 SDIP integrated into the department's M&E system? | 1 Yes 0 No 98 DK 99 NR/RF IF q31 is 1 PROCEED to q32 |
| 32 | If yes {q31}, explain how? | |
| 33 | Which unit(s) were responsible for implementing 2015/18 SDIPs in your department? | PROBE: [standalone unit, who is the authority who implement this, give an organogram of the SDIPs programme] |
| 34 | How were these units involved in the implementation of 2015/18 SDIP? Give details. | |
| 35 | Are there other government departments that your department worked with to implement these SDIPs? | 1 Yes 0 No 98 DK 99 NR/RF IF q35 is 1 PROCEED to q36 |

| | | |
|--|--|---|
| 36 | Please list these departments | |
| 37 | Are you familiar with the SDIPs legislative requirements by DPSA? Give details. | 1 Yes 0 No 98 DK 99 NR/RF |
| 38 | Whom within your department was responsible for monitoring the department's SDIPs performance against the defined outputs ? | [Do not ask for a name, but position] |
| 39 | Whom within your department was responsible for monitoring the department's performance against the defined outcomes ? | [Do not ask for a name, but position] |
| 40 | What tools did your department use to assess service delivery performance outputs/outcomes? | 3 Suggestion boxes, and feedback 2 Client satisfaction survey 1 Site visits/audits 0 Other specify |
| 41 | What tools/platform were used to communicate outputs/outcomes of the SDIPs to internal clients? | 4. Annual 3 Workshops 2 Policy briefs 1 Department website 0 Other, specify |
| 42 | What tools/platforms were used to communicate SDIP outputs/outcomes to citizens/beneficiaries? | 4. Annual 3 Client feedback workshops 2 Policy briefs 1 Department website 0 Other, specify |
| 43 | What was your reporting plan on SDIPs? | 3 Quarterly 2 Half-yearly 1 Annually 0 Other |
| 44 | What resources were needed for the successful implementation of the SDIPs? (multiple responses) | 5 Budget 4 HR – Technical skills 3 Training capacity/skills 2 Efficiency 1 Other (Specify) |
| 45 | How effective were SDIPs implemented? (READ OUT OPTIONS ONE AFTER ANOTHER AND RECORD ACCORDINGLY) | 4 very effective 3 effective 2 moderate 1 not effective |
| 46 | Did your department submit plans for the two periods, 2012/15 and 2015/18? | 1 Yes 0 No IF q46 is 1 Proceed to q47 |
| 47 | If the department did, how do the old guidelines used in 2012/2015 compare to the new guidelines used in 2015/2018? | |
| Thank you for taking time to talk to us, we really appreciate your inputs. | | |

Appendix V: Key Informant Guide

Key Informant Interview



A. Purpose: The Department of Planning, Monitoring and Evaluation (DPME) with Department of Public Service Administration (DPSA) has commissioned Human Science Research Council (HSRC) to conduct an Implementation Evaluation on the Service Delivery Improvement Plans (SDIPs). DPSA is mandated to ensure efficient, effective and development orientated public service. As part of realising that mandate, DPSA formulated SDIPs, which are supposed “to facilitate the commitment of state institutions to continuous service delivery improvement mechanisms that seek to improve the nature and quality of the actual services provided and the manner in which the services are delivered”. Each department is required to develop its own SDIP and monitor and report on its implementation. This evaluation is to afford selected departments to reflect on their experience on the process of developing and implementing their SDIPs. The evaluation is based on SDIPs for the periods 2012/2015 cycle and 2015/2018 cycle.

| | | |
|--|---|--|
| B. Consent | ENSURE CONSENT IS GIVEN BEFORE PROCEEDING WITH INTERVIEW | |
| C. Date: | | |
| D. Interviewer(s): | | |
| E. Field Supervisor: | | |
| 48. Government department: | | |
| 49. National or Provincial (name the province): | | |
| 50. Interviewee’s rank: | | |
| 51. Contact Details: | | |
| 5 | Questions | Answers/Options |
| 52. | Are you are aware of SDIPs | 1 Not aware at all 2. Partially aware 3 Fully aware |
| 53. | Has your department ever developed an SDIP before? | 1 YES 0 NO 98 DK² 99 NR/RF³ |
| 54. | Did your department develop an SDIP for the periods? | |
| | 1. 2012 to 2015 | 1 YES for 2012 to 2015 |

² Don't Know

³ No response/Refused to answer

| | | |
|-----|--|---|
| | 2. 2015 to 2018 | 0 NO for 2012 to 2015 1 YES for 2015 to 2018 0 NO for 2015 to 2018 |
| 55. | Were you involved in developing any one of the above mentioned SDIPs in q7? | 1 YES → PROCEED TO q9 0 NO |
| 56. | If, yes specify | 1. 2012 to 2015 only 2. 2015 to 2018 only 3. Both? |
| 57. | If you were involved in developing any one of these SDIPs, can you briefly tell us what process was followed to develop your SDIPs? | |
| 58. | List all the services that were defined in the SDIPs | |
| 59. | List the services that were selected/decided on to be implemented during the 1. 2012 to 2015 cycle 2. 2015 to 2018 cycle | |
| 60. | Were you involved in implementing any one of these SDIPs? | 1 YES 0 NO 98 DK 99 NR/RF |
| 61. | What aspects of the implementation were you involved in? - Planning - Project management - Hands-on day-to-day implementation - Financial control - Monitoring - Evaluating - Reporting | 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF |
| 62. | Were there explicit service standards that your department defined for the SDIPs developed for the two cycles? | 1 YES 0 NO 98 DK 99 NR/RF IF q15 is 1 PROCEED TO q16 |
| 63. | What were these SDIPs service standards? | |
| 64. | Briefly tell us your views about the SDIP service standards | |
| 65. | Who was/were the champion(s) for the SDIP process for the two cycles? 1. 2012 to 2015 2. 2015 to 2018 | |
| 66. | What was the position/rank of the SDIP champion? | |
| 67. | What unit did the SDIP champion work in? | |
| 68. | What are your views about SDIP with regards to service delivery within the department | [PROBE: i.e. Is the approach relevant to improving service delivery?] |

| | | |
|-----|---|---|
| 69. | How clear are the SDIP legislations? | [GIVE STATUTE examples: Public Service Regulations, Directive, White Paper on Service Delivery (<i>Batho Pele</i>) and policy guidelines for the SDIP] |
| 70. | How did 2012/15 and 2015/18 guidelines to develop SDIPs compare? | CLARIFY: [WHAT YOU WANT TO COMPARE] |
| 71. | Were the SDIP implemented according to the SDIP guidelines? | 1 YES 0 NO 98 DK 99 NR/RF |
| 72. | Do you think SDIP guidelines are implemented consistently across national and provincial departments? [Explain your views Note: This question may only be relevant to over-sight departments e.g. DPSA, DPME, COGTA, OTPs (the question should be asked consistently across all departments, for those where it is not appropriate to record as such)] | 1 YES 0 NO 98 DK 99 NR/RF |
| 73. | What key activities were implemented during the SDIP implementation cycles? During 2012/15: During 2015/18: | |
| 74. | Did the activities result in the anticipated outputs and/or outcomes? | 1 YES 0 NO 98 DK 99 NR/RF |
| 75. | Give details (explain your answer) | |
| 76. | What external factors influenced the implementation for departments? (both facilitators and inhibitors) | CLARIFY: [NGO, NPO, politicians etc.] |
| 77. | How effectively were the SDIPs implemented? | 1 very effective 2 effective 3 moderate 4 not effective 98 DK 99 NR/RF |
| 78. | What internal factors influenced the implementation of SDIPs within the department? a) Budget b) HR c) Training d) Capacity e) Other (Specify) | 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF 1 YES 0 NO 98 DK 99 NR/RF If 31e is 1 (Yes) Ask the interviewee to specify |
| 79. | Is the SDIPs approach to service delivery improvement sustainable? | 1 YES 0 NO 98 DK 99 NR/RF |
| 80. | How should the SDIP framework be adapted? | |

| | | |
|---|---|-------------------------------|
| 81. | How can the SDIP implementation be made effective? | |
| 82. | What changes can be made on the SDIPs if there are any? | |
| 83. | Is there any other additional information that you would like to share that can assist in developing the SDIPs? | 1 YES 0 NO → GO TO THE END |
| Thank you for taking time to talk to us, we really appreciate your inputs. | | |

Appendix VI: Focus Group Discussion Guide

Good (morning/afternoon), I am from the Human Sciences Research Council (HSRC). We have been commissioned by the Department of Planning, Monitoring and Evaluation (DPME) with Department of Public Service Administration (DPSA) to conduct an implementation evaluation on the Service Delivery Improvement Programme (SDIPr). The evaluation is based on SDIPs for the periods 2012/2015 and 2015/2018. We would like to ask you some questions about the development and implementation of SDIPs focusing on issues **such as relevance and appropriateness of SDIP, effectiveness, efficiency and sustainability of SDIPs in achieving service standards.**

To obtain reliable information, we request that you answer the questions that follow as frankly as possible. Your views are important in this research. There are no right or wrong answers. It is your opinion that counts. You have been selected because of your knowledge about SDIPs in your department. The information you give to us will be kept confidential. You will not be identified by name or address in any of the reports we plan to write.

PARTICULARS OF INTERVIEW

| | DAY MONTH | | | TIME STARTED | | TIME COMPLETED | | **RESPONSE | |
|-------------|-----------|-----|-----|--------------|-----|----------------|-----|------------|--|
| | / | 02/ | 202 | HR | MIN | HR | MIN | | |
| | | | | | | | | | |
| First visit | / | 02/ | 202 | | | | | | |
| | | | 0 | | | | | | |

STRICTLY CONFIDENTIAL

Name **of** **Interviewer**

Number of interviewer

| | | |
|--|--|--|
| | | |
|--|--|--|

Checked by

| | |
|--|--|
| | |
|--|--|

Signature of supervisor _____ Date _____

| Purpose | Questions | |
|--------------------------------------|---|--|
| Relevance and appropriateness | <p>i. Are you familiar with the legislation that governs Service Delivery Improvement Programme?</p> <p>[Probe: What do you understand were the programme's intentions?]</p> | |
| | <p>ii. How clear are the Public Service Regulations as amended in 2016, Directive, the <i>White Paper on Service Delivery (Batho Pele)</i> and the policy guidelines for the development and implementation of the Service Delivery Improvement Plan?</p> <p>[Probe: to what extent is <i>Batho Pele</i> and PSR legislative framework integrated and coherent with other pieces of legislation]</p> | |
| | <p>iii. What guidance is there?</p> <p>[Probe: are the tools and guidelines appropriate to support the effective implementation of SDIPs]</p> | |
| | <p>iv. What is the difference between the Service Delivery Improvement Programme and Improvement Plan mentioned in the <i>Batho Pele White Paper</i>?</p> <p>[Clarity: programme is at policy level and plan is the activities undertaken in the implementation of the programme or policy]</p> | |
| | <p>v. What did the 2009 and current SDIP guideline offer and how do they compare?</p> | |
| | <p>vi. How does the SDIP relate to other planning instruments namely National Development Plans, Outcome Delivery Agreements, Strategic Plans, Annual Reports, Sustainable Development Goals, Mid-term Reviews of Government Departments and Annual Reports?</p> <p>[Probe: in this current socio-political context is it relevant]</p> | |
| | <p>vii. Do you use client satisfaction surveys and complaints reports in the development of the SDIPs?</p> | |
| Effectiveness | <p>i. To what extent were the key priorities/objectives for your department's SDIP for the cycles 2012/15 and 2015/18 achieved?</p> | |
| | <p>ii. To what extent did the SDIP help to improve the identified underperforming areas? [Probe for examples]</p> | |
| | <p>iii. Did the activities result in the anticipated outputs?</p> | |
| | <p>iv. Are the SDIPs and the approach being used leading to improvement of the services provided by your department?</p> <p>[Probe: What is the perceived contribution of SDIP towards service delivery?]</p> | |
| | <p>v. Which external and internal factors influenced the effectiveness of the Service Delivery Improvement Programme, such as changes in executives, turnover rate etc.?</p> <p>[Probe: Are all SDIP role players effectively playing their roles? (DPSA/DPME, NSG, OTPs, Departmental SDIPs)?]</p> | |

| | | |
|-----------------------|--|--|
| Efficiency | <p>i. Do you utilise the operations management framework to promote efficiency in development, implementation and reporting on your department's SDIP?</p> <p>a. Service delivery model [mode of delivery]</p> <p>b. Business process management</p> <p>c. Standard operating procedures (SOPs)</p> <p>d. Service standards and charters</p> | |
| | <p>ii. Is there a duplication of processes happening and what effect is it having on planning, monitoring, and/or reporting about the Service Delivery Improvement Programme?</p> | |
| | <p>iii. Do you have the requisite skills (i.e. hard and soft skills) to promote efficiency? [i.e. business management]</p> | |
| | <p>iv. Please give two examples (quantify) in your department where the lack of skills impeded the efficient implementation of SDIPs.</p> | |
| | <p>v. What external and internal factors influenced the efficiency of the SDIP?</p> | |
| Sustainability | <p>i. Is this SDIP approach to service delivery improvement sustainable? [service delivery improvement]</p> | |
| | <p>ii. Given the environment in which you work, do you think the SDIP approach should be continued?</p> | |
| | <p>iii. If so, how can it be improved?</p> | |

INFORMATION SHEET AND CONSENT FORM

A STUDY TO DEVELOP AN INTEGRATED MONITORING AND EVALUATION FRAMEWORK AND AN EVALUATION PLAN FOR SERVICE DELIVERY IMPLEMENTATION PLAN FOR DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION (DPSA)

Who we are

Hello, I am _____ I work for the Research Use and Impact Assessment unit at the Human Sciences Research Council.

What we are doing

We are conducting an evaluation study for the department of public service and administration (DPSA) to provide a framework to track and monitor the impact of the implementation of the service delivery implementation plan (SDIP). This will provide useful information to the province to see if the desired outputs, outcomes and impact are being achieved, if there are other unintended outcomes.

Your participation

I would like to ask you a few questions about the M & E system and associated data collection associated with the SDIP. If you agree, we will ask you to participate in the interview, which will take approximately 1 hour.

Please understand that **your participation is voluntary** and you are not being forced to take part in this study. If you choose not to take part, you will not be affected in any way whatsoever. You are also free to stop answering questions at any time if you don't want to go continue. If you do this, there will be no penalties and you will not be prejudiced in any way.

Confidentiality

All identifying information (only this consent form in this case) will be kept in a locked file cabinet and will not be available to others and will be kept confidential to the extent possible by law. The records from your participation may be reviewed by people responsible for making sure that research is done properly, including members of the ethics committee at the Human Sciences Research Council. All of these people are required to keep your identity confidential.

We are asking you to give us permission to tape-record the interview so that we can accurately record what is said.

Your answers will be stored electronically in a secure environment and used for developing the SDIP's M & E framework. All future use of the stored data will be subject to further Research Ethics Committee review and approval.

We will not record your name anywhere and no one will be able to connect you to the answers you give.

Risks/discomforts

At present, we do not see any risk of harm from your participation since this is a systems strengthening study. The risks associated with participation in this study are no greater than those encountered in daily life.

Benefits

There are no immediate benefits to you from participating in this study.

The outputs of this activity is an M & E framework document for the SDIP. You will have access to these outputs through the department.

Who to contact if you have been harmed or have any concerns

This research has been approved by the HSRC Research Ethics Committee (REC). If you have any complaints about ethical aspects of the research or feel that you have been harmed in any way by participating in this study, please call the HSRC's toll-free ethics hotline 0800 212 123 (when phoned from a landline from within South Africa) or contact the Human Sciences Research Council REC Administrator, on Tel 012 302 2012 or

e-mail research.ethics@hsrc.ac.za .

If you have concerns or questions about the research you may call the project leader Dr Edmore Marinda on Tel 012 302 2342 or e-mail emarinda@hsrc.ac.za

CONSENT

I hereby agree to participate in research on the evaluation of the SDIPs. I understand that I am participating freely and without being forced in any way to do so. I also understand that I can stop participating at any point should I not want to continue and that this decision will not in any way affect me negatively. I understand that this is a research project whose purpose is not necessarily to benefit me personally in the immediate or short term. I understand that my participation will remain confidential.

.....

Signature of participant **Date:**.....

CONSENT FOR TAPE RECORDING.

I hereby agree to the tape-recording of my participation in the study.

.....

Signature of participant **Date:**.....

I understand that the information that I provide will be stored electronically and will be used for research purposes now or at a later stage.

.....

Signature of participant **Date:**.....