



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

Performance Assessment Tool (PAT) Review Workshop Report

11 May 2011

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List of Acronyms

AG	Auditor General
BRIC	Brazil, Russia, India and China
CoG	Centre of Government
DPME	Department for Performance Monitoring and Evaluation
DPSA	Department for Public Service and Administration
FMCM	Financial Management Capability Maturity Model
FOSAD	Forum of South African Director Generals
IDP	Integrated Development Plan
KPA	Key Performance Area
HoD	Head of Department
MAF	Management Accountability Framework
M&E	Monitoring and Evaluation
OoP	Office of the Premier
PAT	Performance Assessment Tool
PCC	President's Coordinating Council
PIF	Performance Improvement Framework
PSC	Provincial Steering Committee
SDBIP	Service Delivery Budget Implementation Plan
SDIP	Service Delivery Implementation Plan

1 Introduction

This report constitutes the record of proceedings on the Performance Assessment Tool (PAT) Review Workshop held with key national and provincial stakeholders. The review workshop was scheduled to inform the Cabinet Memorandum which requires a report from the Department: Performance Monitoring and Evaluation (DPME) in May 2011 on the PAT pilot phase with recommendations on how to take the findings of the pilot forward.

The workshop purpose is to gather practitioners, either involved or interested in the piloting of PAT, together with national and international partners, to have an opportunity to reflect on the indicators utilised, the assessment methods adopted and the engagement approach applied. The input of stakeholders is meant to inform the work that still needs to be undertaken in preparation for the next phase of the PAT.

The workshop programme is attached in Appendix I.

1.1 Workshop objectives and overview

The aim of this workshop was twofold: First, to inform the Cabinet memo with the how and what to the PAT; and second, to leave stakeholders with practical insight into the application of the PAT.

The objectives of the workshop were:

- a) To reflect on international and national good practice in the development and implementation of performance assessment tools which focus on management capabilities.
- b) To engage, review and make recommendations with regard to the framework, key performance areas and associated indicators of PAT.
- c) To engage, review and make recommendations on the process for rolling PAT out to departments.

1.2 Evolution of PAT 0 and Framework

The workshop began with a presentation on the progression of the PAT, providing an overview to the context of the PAT and the process carried out thus far.

The decision to develop the PAT stemmed from the President's indication in an Address to Senior Public Servants (23 April 2009) that there must be performance monitoring of individual departments. This led to the decision to design and develop an institutional performance assessment framework and tool, that is, the PAT.

The objective of the PAT

To create a credible tool and approach for assessing the **management performance** of public service institutions for the purposes of:

- Establishing benchmarks for performance
- Establishing the baseline performance of institutions
- Development of agreed management plans for improving performance against the baseline performance
- Tracking performance against the baseline of a department
- Tracking performance of a support institution in its implementation of support plans

Based on local and international experience, the development of the tool is based on the following principles:

- The primary aim of the PAT should be to facilitate improvements in performance

- Keep it Simple
 - Assessments using the tool should not overburden the management of an institution
 - The number of performance indicators to be measured should be kept to a minimum
- The tool should involve a combination of self-assessment and independent assessment methodologies, with the aim of maximising local management buy-in to the process
- As far as possible, the PAT should build on what has been done already – use existing tools

Approach to the PAT

Phase 1: design-test-review-re-design-recommendations for roll-out

1. Design of the Tool
2. Application of the Tool by 3 pilot departments: self-assessment
3. The Quality Assurance checking of outcomes of the self-assessment: discussions between DPME and assessed departments
4. Development of Improvement Plans
5. Assessment Report and improvement plans
6. Comments on reports
7. Refinements of the tool and development of roll-out strategy and plan (international expert supported workshop)
8. Cabinet report: Report to cabinet on the outcomes of the pilot phase; make recommendations for the roll-out and obtain approval for the roll-out.

Integration into a single framework

To simplify and enable the process, a single framework has been developed and encompasses the following:

- 4 Key Performance Areas
- Performance Areas
- Indicators
 - Classified the type of indicator
 - Compliance
 - Self / 'Expert' Assessment
 - Performance
 - Perception (Surveyed)
- Instrument / Source
- Scoring system with Benchmarks
- Rating of the indicator in terms of:
 - Usefulness / Priority
 - Data Accessibility

The graphic below illustrates the framework.



PAT FRAMEWORK

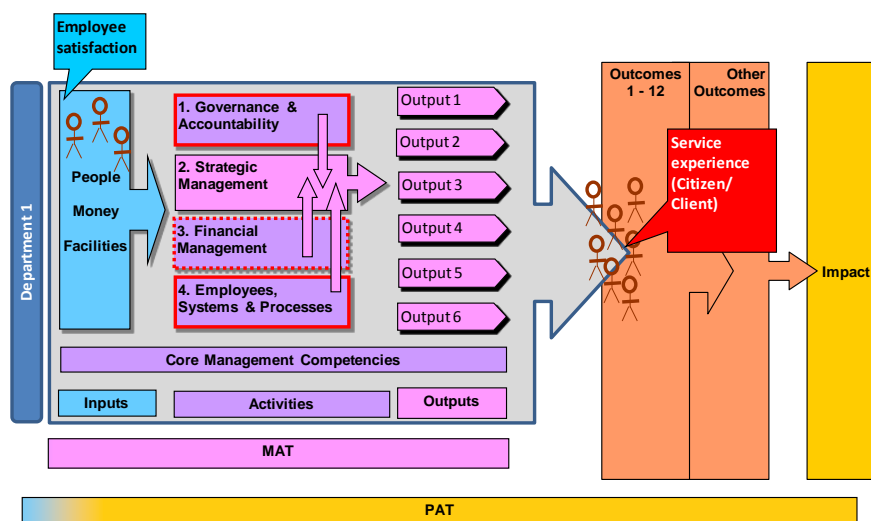


Figure 1: PAT Framework

It was noted that the details of the framework would be presented on in a later session.

Linking the PAT to HoD assessments

A critical issue in this process is how the PAT will relate to the performance management of Heads of Departments (HoDs). There concern is that there is a disjuncture between the rating of HoD performance and the performance of their departments. Currently the assessments are managed by the Public Service Commission (PSC) with political oversight by the Minister. Going forward, PME has been identified to take over the function at national level and to work with Office of Premier (OoP) to look at provincial implementation.

A Task Team consisting of the Departments of Public Service and Administration (DPSA), the PSC and DPME has been formed to work together to make recommendations on future process and interim arrangements. The Director General (DG) in the Office of the President has been appointed to chair the assessment committee made up of senior DGs.

The **aim** is to link the individual performance assessments of HoDs to the PAT results and to use it to revise performance management guidelines.

Summary

The presentation concluded with a summary of the key elements in the evolution of the PAT:

- An objective tool for assessing the management performance of institutions
- A link to the performance management system for accounting officers of institutions
- It aims to identify institutional strengths and weaknesses in a department and, based on evidence from the assessment, collaborate to develop a management plan for improvement.
- Support to institutions to develop and implement remedial action plans to address weaknesses identified in the PAT assessments.
- The assessment approach is affirming and enabling rather than evaluative and punitive in nature.

2 Methodology

The principal approach to the workshop was to provide stakeholders with an opportunity to interact with the PAT process and to provide inputs into the way forward. To enable this, the workshop was designed as a mix of presentations and facilitated breakaway commissions.

Day One of the workshop commenced with presentations on the background to the PAT and inspiring practices, which showcased international and South African experiences of performance assessment. Two panel discussions were held, the first following the presentations on international experiences, and the second, after the presentations on South African initiatives.

Days Two began with a detailed presentation on the PAT, the Key Performance Areas, and Performance Areas, indicators and the assessment and reporting process. This set the scene for the first working session in the breakaway commissions.

Day Three explored "the How": Applying the PAT in practice. At the start of the session a presentation was made on *Applying the PAT in practice within a service delivery and institutional development context*. This was followed by three commissions that considered perspective on "the How."

Note: A summary of the questions asked, the comments made by participants and the responses provided by presenters is attached in Appendix III. This is for the panel discussions as well as for the presentations on Day Two and Three.

2.1 Facilitated breakaway commissions

Two breakaway commissions were held. The first was on Day Two and addressed "the what" of the PAT. The second was on Day Three and explored the "the how", that is, how the PAT is applied in practice. Each commission had a facilitator, a scribe and a resource person. Participants were divided into the respective commissions for each day. At the completion of the time allocated to the commissions, participants returned to plenary and feedback presentations were given by each commission.

Below is an overview of the process for the commissions. The process outline given to facilitators to guide the commissions on Day Two and Three is included in Appendix II.

Commissions: "The What"

The Session 4 Commissions focused on "the what", and investigated the four key performance areas:

- Governance and Accountability
- Strategic Management
- Financial Management
- Employees, Systems and Processes

Commissions: "The How"

As noted above, these commissions focused on "the how", that is, how the PAT is applied in practice and how the Centre of Government (CoG) departments at the national and provincial levels can work together. Participants were divided into three commissions:

1. The How: How the CoG works collaboratively
2. The How: A national perspective
3. The How: The provincial sphere

Each commission was requested to discuss the following questions according to the three perspectives:

- Which departments constitute the Centre of Government?

- How can PAT best be used by the CoG: What is the trigger? How should departments be prioritised? How should monitoring, assessing and supporting be undertaken?
- What are the resource implications for CoG departments: People, money, institutional structures and technology?
- How can PAT best be used by departments: Who should use it? For what? When?
- How would you like to continue this conversation?

2.2 Workshop evaluation

At the end of the workshop, participants were requested to complete an evaluation form. Four areas were covered in the evaluation:

- Overall assessment of the workshop
- Commissions
- Facilitation and presentations
- Reflection - this was a space for participants to elaborate on what they liked, disliked and learnt.

The responses, except for the section on Reflection, were either on a scale of 0 - very poor to 5 - excellent, 0 - not at all to completely - 5, or 0 - strongly disagree to 4 - strongly agree.

Note: The evaluation questionnaire is included in Appendix IV and the analysis on the participant responses in Appendix V.

3 Inspiring practices

This session provided participants with insights into international initiatives on performance assessments. Three presentations were made and included:

- International experiences: A comparative study (India, Russia, Turkey and New Zealand)
- Canada's Management Accountability Framework (MAF)
- Experience of Results Based Management in Kenya

These presentations shared information on the experiences of performance assessments in other parts of the world and to provide insights into the lessons learnt in the respective initiatives.

3.1 International experiences

International experiences: A comparative study (India, Russia, Turkey and New Zealand)

The first presentation was on International experiences: A comparative Study (India, Russia, Turkey and New Zealand). A study of international experience was carried out by ECORYS, a Dutch Consulting Company, that has been working in this area for some time. The objective of the study was to explore what international experience with performance assessment tools in the public sector can be beneficial for the ongoing process of developing such tools in South Africa. The study sought to provide a descriptive analysis of what is happening in other parts of the world.

The case study selection considered countries with a similar circumstance as that of South Africa. Given South Africa's recent inclusion into the BRIC (Brazil, Russia, India and China) partnership, an attempt was made to include some BRIC. Hence, India and Russia were selected for this reason. The study also included Turkey as a case study given the similarity in the Turkish public service model to that of South Africa.

In each country the study selected some tools that were found to measure aspects of institutional performance. The diagram below shows inspiring practices that were taken from the selected countries for their relevance to the South African PAT:

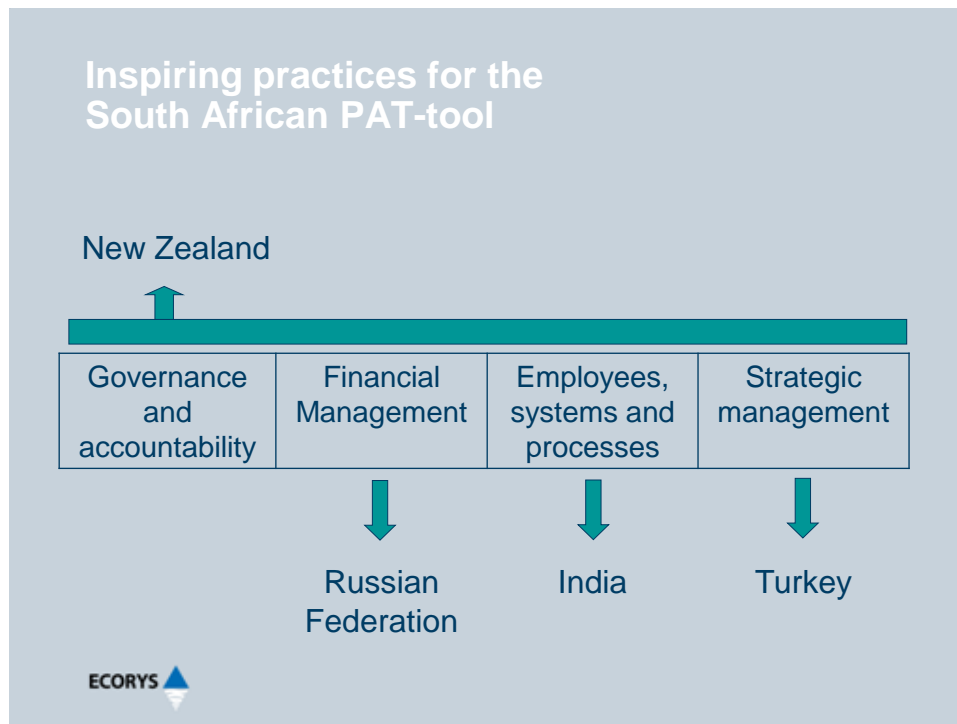


Figure 2: Inspiring practices for the South African PAT

It was noted that New Zealand's Performance Improvement Framework (PIF) covers all 4 dimensions of the PAT whereas in the other countries, there are only certain aspects that are covered. For example, in the Russian Federation, the focus is financial management. Some of the features of the assessment tool in each country is noted below.

New Zealand: The New Zealand tool is structured in the form of open questions, which are assessed by the institution, that is, a self-assessment. This approach provides a significant amount of space for the institution to respond. The self assessment is then reviewed by the State Services Commission together with the agency being assessed. An independent expert is also brought in for the expert assessment. Based on the self and expert assessment a consolidated report is prepared. The aim of the report is to identify weak areas which lead to the development of an improvement plan. These plans are then published on the website of the State Services Commission. It was noted that the assessed institution pays for the assessment.

Russia: The Russian results-based budgeting approach is used mostly for accountability and for rewarding and punishing departments. There are three components:

- Performance reports for federal level departments
- Performance assessment of regional authorities and municipalities
- Assessment of quality of financial management in departments

The assessment of financial management quality has 8 dimensions; 49 indicators; 5 separate scoring techniques; and targets are set quarterly. Reporting is to the Ministry of Finance on a quarterly basis. The Russian system was seen as strict and rigid with narrowly defined indicators.

Turkey: Similar to South Africa in size as well as in its governance structure. Turkey received a great of support and funding to improve its public service. While no specific tools for the assessment of managerial practice were found, the inspiring practice from Turkey relates to the use of the normative scale in the accountability reports of departments/agencies. It was noted that this instrument is something that could be interesting for the PAT.

India: This was the most complicated country compared to the others based on its demographics and governance structure where provinces have a great deal of authority and less accountability to the federal

system. This approach is similar to the performance based budgeting framework. Of note for South Africa is the Sevottam Model, which measures organisational capability. This is similar to the New Zealand model. The aim of this model is to become certified for service delivery. The way is to either do a self-assessment, the federal government can ask for a mandatory assessment or an external assessor can be commissioned. There are 5 eligibility conditions before an assessment can be carried out (???): Citizen's Charter and Public Grievance Redress. There is room for each organisation to give a tailored response to the assessment questions.

In terms of the overall findings, the following were noted:

- There is wide consensus on the benefits of 'performance based budgeting' including defining and monitoring outcome and output targets;
- There is less international experience on the measurement of organisational and managerial capability:
 - Realisation that outcome/outputs assumes good management;
 - Decentralised responsibility; and,
 - Internal audit.

The study found that while there was a preference for self assessments and open questions, the following combination seems most effective:

- Self assessment;
- Guidance to prevent subjectivity; and,
- Normative scale to allow judgement / comparison.

An example of an assessment tool was shared. This was the Public Expenditure and Financial Accountability (PEFA) model, which focuses on the assessment of systems in the domain of financial management. It is available at www.pefa.org.

Canada's Management Accountability Framework (MAF)

The second presentation looked at International Lessons from Canada: Canada's Management Accountability Framework (MAF). The MAF was introduced in 2003 as a performance management framework that would be used across the federal government to support the management accountability of the Deputy Heads of Departments (HoDs) and to improve management practices. The presentation provided an in-depth view into the MAF system, the evolution of the system, and the experiences of the MAF as a key input into the annual evaluations of Canada's Deputy HoDs. The presentation reflected on the lessons learned based on a 7-year experience of implementing the MAF. These included:

- Leadership at the top is critical to improve management practices
- Recognise at the outset that managing with a focus on results requires a culture shift and that progress will take time and sustained focus
- Performance pay of Deputy Heads should be linked to management performance
- Performance management assessments should be constructive and encourage continuous improvement, not be a means to penalize organizations
- Assessment tools need to be kept evergreen and room needs to be left for good judgment and contextualization

In conclusion, it was noted that MAF provides an excellent platform for cooperative sharing of best and leading practices that benefits all federal departments.

Experience of Results Based Management in Kenya

Kenya was identified and selected as a regional example of inspiring good practice. In Kenya a Results Based Management (RBM) approach introduced in 2004 to assess and evaluate the government reforms. The

stemmed from an understanding that such a system would help to stem the erosion of public confidence in government and its institutions, by fulfilling the heightened expectations of the public with regard to attaining better performance standards in service delivery. The goal was to entrench a result oriented culture in the public service. The presentation provided an overview of the system, including the approach and method applied, and the lessons learnt.

The lessons included:

- Improve alignment between annual work plans of public agencies and performance contracts as well as between Annual Reports and Performance Contract reports.
- While there has been a visible improvement in the overall performance of institutions and even individual officers, additional capacity building should be directed towards improving qualitative management practices such as Monitoring and Evaluation programmes.
- The performance ranking and public recognition have been instrumental in motivating Public Agencies to pursue achievement of the agreed targets competitively and with commitment. This has resulted in remarkable improvement in performance, and positive impact on service delivery.
- Emphasis on visibility and achievement of key results, with specific sector standards, should be factored into the Performance Contracting framework to move the process to the next level.
- The use of an external team of independent negotiators, evaluators and moderators has ensured an independent outcome.
- Regular monitoring of the implementation of the Performance Contracts is a vital aspect for its success.
- The inclusion in the Performance Contracts of Citizens' Service Delivery Charters and Customer Satisfaction Surveys should be fully integrated into the management of Public Agencies.

3.2 Key Lessons from the session on International Experience

Timeframes

The international experience, especially that of New Zealand and Canada both point to the fact that these are long developmental process in introducing and implementing approaches to assessing management of departments. The gains and innovation is often modest. Especially where the dominant organisational culture of the public service is not immediately conducive to performance assessment, obstacles can be expected, and successful broad-scale implementation takes time.

Variances in approach

There was huge diversity in approaches from the international experience best exemplified by the two extremes of the Russian approach and the New Zealand approach. The Russian approach focused very much on finances and relied mostly on compliance measures, with a regulatory intention of rewarding compliance and good performance and punitive measures for non-compliance. The New Zealand approach, while focusing mainly on Governance and Accountability relied on open ended questions to be applied in self-assessment with a learning and improvement intention. Unable to facilitate comparison across departments, the New Zealand approach is essentially a tool for facilitated self-reflection by departments.

Purpose and Intention of PAT

These discussions highlighted the importance of clarifying the purpose and intention of PAT. Is it a system for regulating the performance of departments through HoD appraisals or other mechanisms, or is it a system for learning, reflection and improvement. The orientation of the system in many ways will determine the design. It is possible to attempt both purposes but the design process needs to be conscious of this and ensure balance.

Balance

Fulfilling both a regulation of performance and learning orientation requires balance in the types of indicators being used. There needs to be a balance between indicators of compliance and indicators of performance, between quantitative indicators and qualitative indicators.

Fresh

Tools and approaches, used in a management assessment process need constant review and improvement themselves and never succumb to being stagnant, out-of-touch and outdated.

Leadership

The importance of leadership and political will are paramount to the successful implementation of PAT.

3.3 Sharing South African good practices

The next set of presentations looked at good practices in South Africa. Three presentations were made:

1. Audit of predetermined objectives: National and provincial audit outcomes 2009/10
2. Local government good practice: Presentation of the Municipal Institutional Development Model (KwaZulu-Natal)
3. Provincial government good practice: KwaZulu-Natal (KZN) Head of Department (HoD) Performance Evaluation System Solution

Audit of predetermined objectives: National and provincial audit outcomes 2009/10

This presentation was made by the Auditor General (AG): South Africa. An overview of the audit outcomes for the 2009/10 year was shown for departments (including Parliament and the National Consolidation) and Public entities (including trading and constitutional institutions and other types of entities). The drivers of improved audit outcomes were presented for Leadership, Financial and Performance Management, and Governance. This included issues that were addressed by auditees and those that are to be addressed and improved on by auditees. Following the national picture, the provincial audit outcomes and drivers of improved audit outcomes were shown.

Presentation of the Municipal Institutional Model

A representative from the Department of Cooperative Governance and Traditional Affairs, KZN, provided insight into what gave rise to the development of the Municipal Institutional Model in KZN.

In 2006/7, the province started questioning the performance information *versus* the perceived and actual reality (introspection) of local government in KZN. The key question was:

"How do we create a more accurate reflection of that "reality" by using performance information?"

This led to the development of the Municipal Institutional Development Model in partnership with National Treasury's Technical Assistance Unit (TAU) in 2007/8. Through consultation on what was critical for the model, it was agreed that the approach had to be uniform, but the application differentiated for the different local government powers and functions and municipal categories (B4 - A). Stakeholder involvement was also seen as important in determining what had to be measured, how, and the frequency. This gave rise to the development of a tool that measures performance in the 5 Key Performance Areas (KPA's): Institution, Governance and Community Consultation, Service Delivery, Finance, and Economic Development. The model has 126 Key Performance Indicators (KPIs) across the KPA. The tool is intended to serve as an early warning and to benchmark municipalities against set standards. The lessons learnt in the process thus far include:

- The persistent, consistent and continued application of the tool
- Political and Administrative leadership and buy-in is critical
- Take time with stakeholders to internalise what is needed and what will be the results
- Start at an organisation level and not individuals, since the latter personalises the results and hampers buy-in
- Transparency through every step of the process

KZN Head of Department (HOD) Performance Evaluation System Solution

The presentation shared the methodology used by the KZN Office of the Premier for evaluating the performance of HoDs in the province and the rationale for evaluating HoDs.

The scope of the HoD performance areas includes:

- Governance and Accountability
- Strategic Management
- Employee, Systems and Processes
- Financial Management
- Service Delivery
- Sustainability

Within each performance area a set of sub-areas has been identified as indicators. The system uses Key Performance Evaluation Questions for each performance area. Responses to the questions are applied to an Evaluation Tool. A key feature of the Evaluation System Solution is the HoD Performance Evaluation Dash Board (shown below). This is a reporting format that provides an overview of the evaluation.



Figure 3: Performance Evaluation Dashboard

Based on the evaluation outcomes, a strategy map is designed. This becomes a critical component for planning.

3.4 Key Conclusions from the South African Review

There are a number of advances being made at national and provincial governments in being able to measure and assess the performance of departments or municipalities and situate them within a categorised framework for understanding their performance and support needs.

A key learning from the work of the Auditor-General has been about recognising that the time and effort that needs to be spent on crafting and specifying good indicators is a critical investment in good assessment processes.

The advances being made in provincial systems that assess provincial departments or municipalities is inspiring and it is important that PAT should benefit from learning in these contexts, by tapping into developments in this regard at all provinces. The PAT system also needs to find a meaningful way to engage with provincial systems and not necessarily duplicate them.

4 Overview of the PAT

In preparation for the commissions on "the what", a presentation was made on the PAT Framework and the emerging tool. This entailed detail on the Key Performance Areas (KPAs), performance areas, indicators, the qualitative assessment and the approach to implementing the PAT. Participants were taken through the data collection process; the parts of the PAT architecture, including: the self assessment form for departments, the expert assessment form, and the scoring and reporting tools.

In summary, the following points were highlighted:

- The PAT is an objective tool developed to assess the management performance of institutions.
- It is a link to the performance management system for accounting officers of institutions.
- It aims to identify institutional strengths and weaknesses in a department and, based on evidence from the assessment, collaborate to develop a management plan for improvement.
- Support institutions to develop and implement remedial action plans to address weaknesses identified in the PAT assessments.
- The assessment approach is affirming and enabling rather than evaluative and punitive in nature.

It was further noted that the PAT is has been designed to enable a clear picture of what is going on in government. The current stage of the PAT is focused on the management practices of departments; however, the objective is to get to a stage where performance towards achieving outcomes is measured.

5 Commissions: "The What"

The following sections are a summary of the key issues identified in each commission.

5.1 Governance and Accountability

5.1.1 Performance Areas

The performance areas in this KPA include:

- Corporate Governance, which has been unpacked into seven sub-areas:
 - Accountability
 - Ethics
 - Internal Audit
 - Management

- Risk Management
- Public Administration Delegations
- Financial Delegations
- Organisational Culture
- Stakeholder Management

Key issues addressed

Issue	Comment
Corporate Governance to Good Governance	Corporate Governance was understood as the type of governance that will deal with business matters. The commission felt that the sub-sets seemed to be more appropriate to Good Governance. <u><i>The commission proposed that the name be changed to good governance.</i></u>
Conducive environment	It was suggested that a way needs to be found to measure the conduciveness of the organisational environment.
Link to the 12 Outcomes	A question was raised about the equitable access to services and how this links to Outcome 12. The commission felt that there should be an explicit link to Outcome 12.
Additional performance area	It was suggested that an additional performance area should be included for the outcomes based approach both for co-ordination and the content aspects.
Look at co-operative governance, public accountability and transparency, and parliamentary accountability	In understanding what is meant by this KPA the Constitution and legal frameworks should be drawn on in the areas of co-operative governance, public accountability and transparency, and parliamentary accountability.
GCIS	The surveys that are already being done by the GCIS, such as the citizen satisfaction survey should be included and added to the PAT process.
Weightings	It was suggested that performance indicators should be weighted more than compliance indicators.

5.1.2 Comments on indicators

The commission noted the following comments on the existing indicators in each performance area.

Performance area	Comments on indicators
Corporate Governance: Management	<ul style="list-style-type: none"> ▪ Interrogate some uncomfortable issues such as the human factor in the conduciveness of the working environment. ▪ Consider what is contained in management generally – leadership, planning, co-ordination, organising. ▪ Need further work on the two qualitative indicators and the performance indicator. ▪ If there is a relevant document, assess if it is being implemented and monitored. ▪ Assess the SDIP in terms of its linkage to the outcomes target. An element of the intended purpose, impact and reporting should be included. Perhaps the indicator should be around the alignment with targets, or the evidence of implementation. For level 4, consider the standards and monitoring and reporting on the standards.
Corporate Governance: Accountability	<ul style="list-style-type: none"> ▪ The first indicator is fine. ▪ The second indicator needs further work and should be rephrased around public accountability mechanisms. ▪ There is a need to be clearer about what mechanisms are being referred to. Is the interest in the mechanism or in the implementation and impact from the mechanism? The dimension of a follow up should be added in.

	<ul style="list-style-type: none"> Another element for consideration is the accessibility of the document. They may be available, but they need to be accessible in terms of language (i.e. Zulu).
Corporate Governance: Ethics	<ul style="list-style-type: none"> First indicator could be the main one. This needs to be investigated further. Financial disclosure forms should be kept; however, in addition to submission, submitted, assessed and verified should be added in. In other words, once submitted, there must be a follow up and assessment. The employee survey should be kept in. It was suggested that a tool similar to MAC should be considered for ethics. Integrity management: At the provincial level there is a move away to calling it integrity management. An element that is missing is security management of information.
Corporate Governance: Internal Audit	<ul style="list-style-type: none"> Location: Review the location of this performance area. Should it stay in this KPA or be shifted to financial management? The criteria for the internal audit must be independent and it must be that there is a follow up mechanism to ensure that the recommendations are in place. Suggestions for the elements to assess: independence, follow up, functionality and whether there are structures in place. Need to look beyond structures to assess how independent they are, how objective they are and the quality of work that they do.
Corporate Governance: Risk Management	<ul style="list-style-type: none"> Is this KPA the appropriate location for this performance area? Risk management should be pitched at a high level. That is, strategic risk. The requirements from National Treasury should be looked into. Risk management tends to be treated separately from the line function, which is an issue. However, it is an integral part of the system and must be aligned to strategic planning.
Corporate Governance: Public Administration Delegations	<ul style="list-style-type: none"> Link to Outcome 12(a): There is a project underway to ensure that it is aligned. This should be placed on hold until it is resolved. Content of the delegation is important (not just whether there are delegations or not). Having the delegations is not as important as whether the delegations actually allow you to do the work. It is about the content of the delegations. At times you are supposed to have the delegations, but you do not have them. This is where the definition of appropriate becomes important. Consider the location of this performance area.
Organisational Culture	<ul style="list-style-type: none"> Employment survey: The Burke Litwon model should be explored. It is important that a culture of evaluation is fostered and that something is done about the findings. How does upper management promote organisational culture? Look into this as a broader category and the way in which it is being steered by the management. Consider the example provided by the New Zealand Performance Improvement Framework which uses open ended questions with independent reviewers.

5.1.3 Recommendations

One more round of consultations should be held with specialists on the performance areas.

An accompanying definition document is needed. This will assist users in understanding and using the tool.

5.2 Strategic Management

The commission found this KPA difficult to work through, which was supported by the Canadian experience where this area proved the most difficult to specify. It was noted that the Turkish case study provided some useful insights in terms of the organisation of their framework into:

- Analysis and status assessment
- Developing Strategy and Plans
- Implementation
- Monitoring and Evaluation

5.2.1 Performance Areas

The performance areas in this KPA were re-grouped as follows:

Performance Area	Comment
Strategic Planning	Should cover problem areas, stakeholder and status analysis, clear definition of results, clear and relevant strategy, programme purpose
Programme and Project Management	Management of implementation
Monitoring, Evaluation & Accountability	Include M&E plan, strategic review, strategic review of organisational design including structures, M&E plan, use of M&E information and follow up

Missing areas

The following areas were identified as missing:

- Risk management (not financial but strategic)
- Stakeholder management (however, this may be covered fully in other areas)
- Impact of strategic management frameworks on Programme Performance.

Recommendations on performance areas

The commission identified the following recommendations:

- Definitions are needed for all the performance areas.
- Some indicators need to be brought to a more operational level.
- Performance areas and indicators must be consistently adopted in all the frameworks as requirements from all the CoG departments.
- Periodic review of a department's organisational structure to determine whether it supports these areas of management. The location of M&E in the structures is important.
- Qualitative statements are too compliance based. The focus should be on the output or on the impact on the organisation's improved strategic focus and achievement rather than on the management result only.
- Where this process brings up issues that are different from existing frameworks they must be adapted.
- It is important to use questions that are not based on jargon and are designed to be educative.
- There is a need for greater focus on the implementation and on the M&E areas. The focus at the moment is on strategic planning.
- A clear line of sight must be enabled from the detailed activities to the outcomes through concrete indicators and targets, and eventually to the 12 outcomes.
- Implementation is key and a programme performance system is needed.
- It was noted that in many other countries the achievement of outcomes is used as the main measure of strategic management.

5.2.2 Comments on indicators

While compliance is important and must be assessed, the tool needs to be able to test the actual outcome of the frameworks, even if the indicator is qualitative. For example, is there a well thought out risk-management plan and are there significant external factors that have impacted on results that were not adequately identified, managed as risks.

Suggested changes to indicators

The changes below were suggested for certain indicators.

KPA	Area	Proposed Indicator	Original Indicator	Level
Strategic Management	Strategic Plan	Is the plan aligned to the 12 outcomes (& MTSP)? Is the plan outcomes-based?	Are the goals outcomes based and linked to Medium Term Strategic Priorities of the Presidency?	
Strategic Management	Strategic Plan	Are there adequate quantitative & qualitative indicators for all results? Are the strategic objectives SMART?	Are the strategic objectives quantified in qualitative or quantitative measurable statements?	
Strategic Management	Strategic Plan	Is there a risk mgmt plan aligned to department's risk register	Does the plan discuss risk factors?	Relevant, important Good plans to mitigate or manage
Strategic Management	Strategic Plan	Is there a logical chain of results showing the link between activities and outputs to outcomes	Overall is the plan logical i.e. do all the components fit together?	
Strategic Management	Strategic Plan	Have the resource requirements been adequately identified & (are they well thought out)	Does the plan include a general description of the resources needed to meet the department's strategic goals?	

5.3 Financial Management

5.3.1 Performance Areas

The performance areas in this KPA are aligned to the focus area of the Financial Management Capability Maturity Model (FMCMM) and include the following:

- Asset Management
- Compensation of employees (discontinued?)
- Goods & Services
- Revenue Management
- Transfer Payments
- Risk management
- Internal Audit
- Financial management
- Supply Chain Management (added by PAT)
- Budgeting (added by PAT)

Key issues addressed

The commission considered the following two questions:

- How do we get these indicators to move from compliance to performance?
- Are we tapping into the financial management data available at departments and what about data quality?

The commission debated the use of the audit opinion as the main performance indicator. It was agreed that there is a need to balance the accountant perspective with the public finance perspective. The FMCMM provides a good basis for financial management indicators; however there are some additional performance areas that need to be explored. The additional indicators of performance should complement the FMCMM and in general more technical work will be required to refine these.

In terms of the performance areas, the following was identified:

- Efficiency of public expenditure (Value for Money)
 - Consideration should be given to the effectiveness of public expenditure
 - The CAO must conduct an evaluation of all capital projects
 - Was a cost-benefit analysis done for the above projects?
 - There must be a comparative analysis of infrastructure costs
- Financial Planning
- Ability to spend budgets, e.g. capital budget
- Need to consider whether PAT needs a module on service delivery. Currently strategic management is not surfacing this.

5.3.2 Comments on indicators

The commission provided suggestions for additional indicators including:

Indicator
% budget spent on salary and wages
% Goods and services budget spent on non-core services
% expenditure of capital budget
% of creditors paid within 30 days
Qualitative assessment of efficiency, economy and value-for-money of public expenditure
Procurement Plans – whether in place, and implemented

5.3.3 Recommendations

- Knowledge Management may need to be included on PAT agenda
- Should there be an engagement with CAOs on the PAT as a management tool?

5.4 Employees, Systems and Processes

5.4.1 Performance Areas

The performance areas in this KPA include:

- Organisational Design
- Organisational Culture
- Human Resources Management
- Human Resources: Planning
- Human Resources: Performance
- Human Resources: Recruitment
- Human Resources: Development
- Human Resources: Personnel Administration
- Human Resources: Retention
- Infrastructure and Equipment: This should not be included here and is for the AG

Key issues addressed

Performance Area	Comment
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Organisational culture	<ul style="list-style-type: none"> ▪ The organisational environment is not static and changes over time. It is important to assess what has emerged, what the response is to the shifts and the impact or effect of that over time. ▪ Survey and perception oriented which brings a mix of facts and perceptions. These need to be balanced. ▪ Consider the contextual issues of the organisation. ▪ Surveys and perception based tools must be used within a context. ▪ Consider direct interaction with departments.
Organisational design	<ul style="list-style-type: none"> ▪ Key questions: What should be measured, why, and what information is readily available in departments? ▪ Thought should be given to questions that will speak to the integrity and resilience of the organisational structure.
Disciplinary processes	<ul style="list-style-type: none"> ▪ This is missing; however, it was unclear if this should be managed by the PAT and what should be measured? ▪ Maybe this could be included in PAT0 but there is a need to consult the right people on what should be included.
Infrastructure and Equipment:	<ul style="list-style-type: none"> ▪ This should not be included and is for the AG.

5.4.2 Comments on indicators

The commission identified the indicators in the table to be removed from the current set of indicators.

Performance Area	Indicator
Human Resources - Performance	Assessment of Performance Management Systems
Human Resources - Recruitment	Assessment of Recruitment Strategy
Human Resources - Retention	Assessment of Retention Strategy
Infrastructure and Equipment - <u>Not applicable to this KPA</u>	Assessment of Infrastructure and Equipment Strategies and Systems

It was also found that the Organisational Design indicator: *% employees acting for longer than 12 months* provides a time-frame that is too long; by the time a 12 month time-period comes around red flags should be raised. It is understood that compliance cannot be enforced on something that is different from what is stipulated in the regulations. However, this creates instability in the organisation. At the same time it was also noted that should the length of time be reduced it may encourage perversions in reporting where, for example, a department may opt to juggle people in acting positions to avoid having a person act for 12 months. This distorts the reality. The Canadian representative shared that in the Canadian system the approach that is used for such indicators is to raise the bar each year where the target is for the department to show an improvement on the previous year's report.

5.4.3 Recommendations

The following were recommended for further consideration:

- Organisational culture is an indicator that needs further work.
- The main aspects/priority areas of organisational culture should be described in each the 4 scoring levels.
- The indicator on business process mapping together with service delivery should fall under Governance & Accountability.
- Performance management and poor and non-performance have not been left out but they have been *benched* for this version of the PAT.

- Currently, the HR plan is comprehensive, and at a later stage it may be useful to disaggregate it.
- Consistency should be applied in the wording of the scoring levels.
- This is PATO and as data becomes more available and the tool evolves, additional areas will be included to make the tool more relevant to departments.
- The objective is to the point of where compliance and M&E is developmental and facilitates learning rather than a tick box exercise.

5.5 Summary

The presentation of the tools and indicators that PAT would use elicited significant support from participants that this is a good, workable and even exciting development. Room for refinement and improvement included:

- Definitions for indicators would be valuable
- The crafting of the indicators could benefit from improvement, alignment and fine-tuning.
- there are some cross-cutting performance areas that could be refined
- A series of targeted focus groups involving experts in those indicators should help in the improvement the sets of indicators. For example an HR focus group should access the custodians/experts on the HR indicators and agree on the final set.

6 How do we implement the PAT: Applying the PAT in practice

As a precursor to "the how" commissions, a presentation was made on *Applying the PAT in practice within a service delivery and institutional development context*.

The purpose of the PAT was reiterated and the following were identified:

- The ultimate aim of the PAT is to improve service delivery
- Unpack the building blocks of a service delivery and organisational transformation value chain
- Share initiatives to strengthen the institutional capacity of departments for improved service delivery and performance
- Propose a practical implementation approach

The slide below illustrating the vision for Service Delivery and Organisational Transformation (SDOT) was presented in terms of the processes and systems that are applicable to it to enable an efficient, effective and development oriented public service.

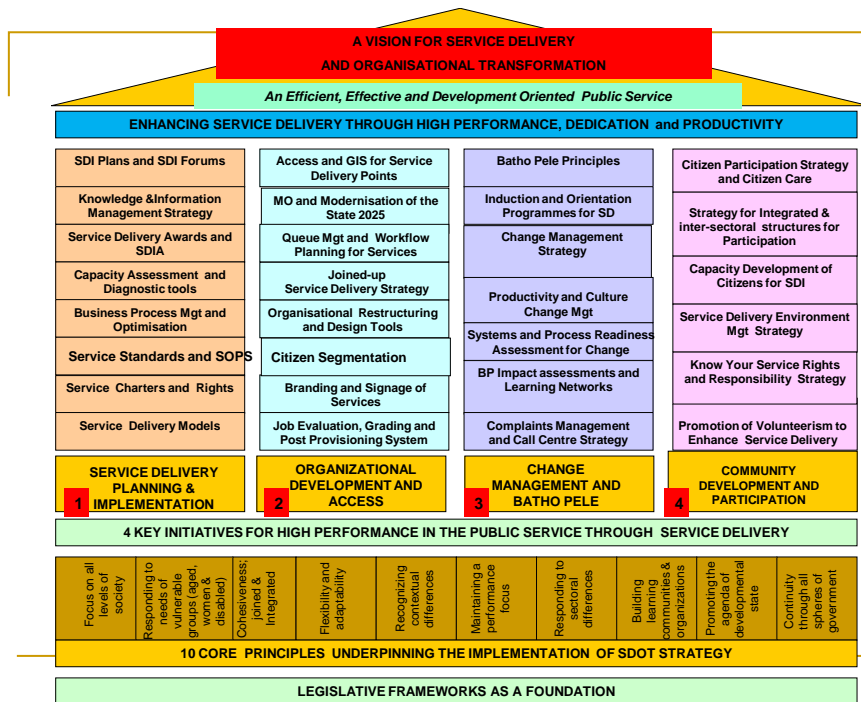


Figure 4: Vision for the SDOT strategy

The presentation ended with an overview to the implementation approach for the SDOT strategy. This is outlined as follows:

- Enable
 - Providing enabling frameworks, instruments and tools
- Empower
 - Support and assistance to departments and capacity building on implementing tools
- Encourage
 - Support and assistance to departments for improved service delivery
 - Encouragement to raise the bar
- Enforce

The diagram below illustrates the process for implementing the PAT pilots (based on the SDOT strategy).

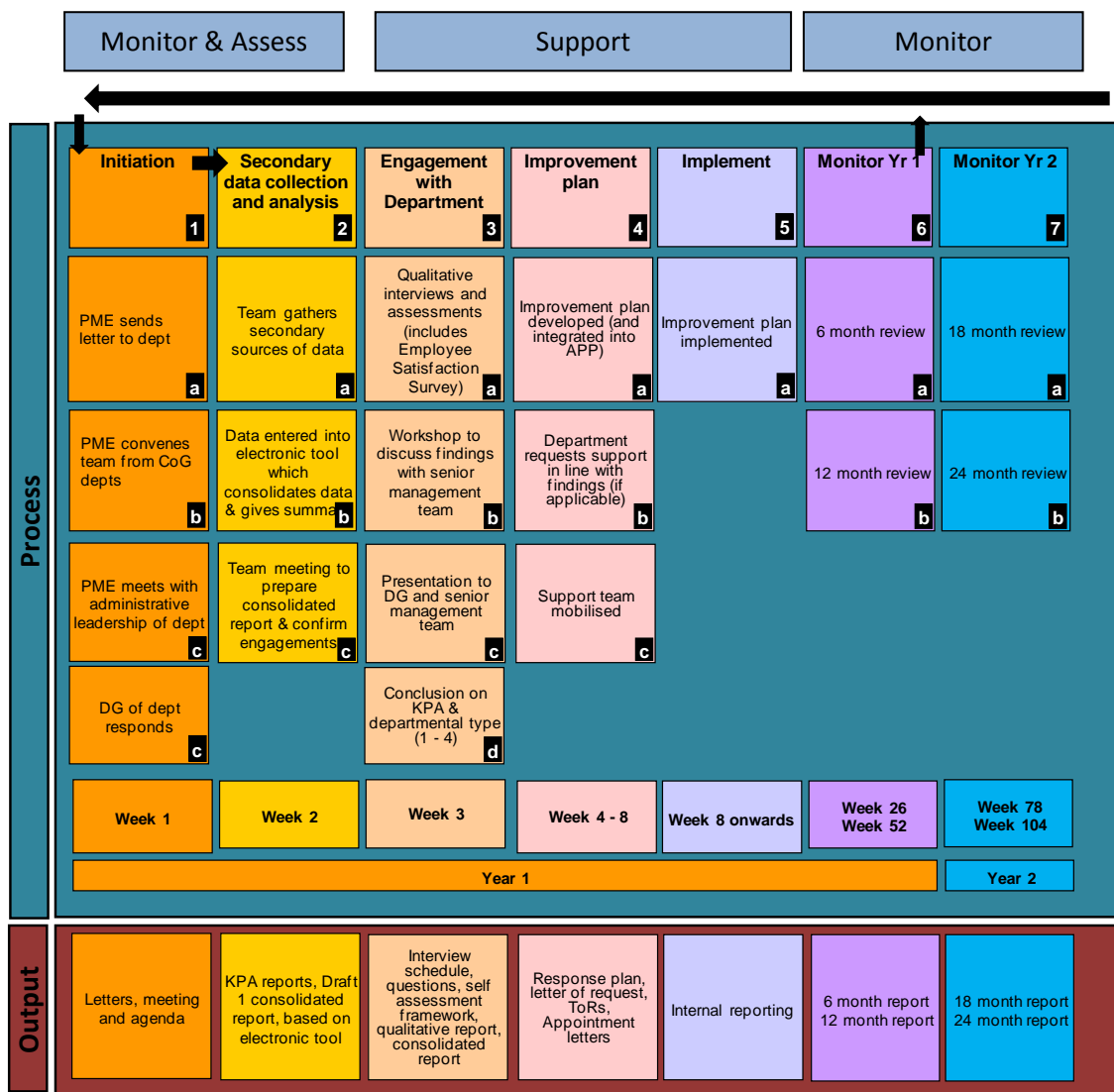


Figure 5: Process for implementing the PAT pilots

7 Commissions: "The How"

A summary of the key issues identified in the commissions is provided below. The inputs from the three commissions have been integrated since there was significant consensus on the questions that were discussed.

7.1 Applying the PAT in practice

The tables below present the key issues for the questions discussed. The national perspective and provincial perspective is provided in each response.

Which departments constitute the Centre of Government?	
National:	
➤	Political Sponsor : Office of the President
➤	Assessing departments:

- DPME (M&E)
- DPSA (HR, governance & IT)
- National Treasury (Finance)
- D-COG

➤ PSC, GCIS and AGSA, are sources of data. Possibly explore other secondary data sources

➤ Support & Intervention

- Responsibility of the department
- Can draw on other departments for support and intervention
- Oversight role played by DPME and assessing departments

➤ Co-ordination

- DPME

While there was consensus on the national perspective, the following points were further noted:

- Why do we need this distinction (CoG)?
- Why not look at departments with oversight roles?
- Who should be the drivers of PAT?
- Perhaps the wrong questions are being asked
- Perhaps the start should be *Why PAT?*
- Need to research all interested stakeholders

Provincial:

➤ Office of Premiers (OoP)

- Institutional support services, including strategic Human Resources and Organisational Development
- Provincial Communications Unit
- Strategic Planning, M&E
- Service Delivery Improvement

➤ Treasury

➤ DCoG

How can PAT best be used by the CoG: What is the trigger? How should departments be prioritised? How should monitoring, assessing and supporting be undertaken?

National:

➤ What is the trigger for PAT?

- Budget allocations
- Performance of departments
- Enabling legislation where performance monitoring and evaluation is discussed in great detail
- AG enabling legislation
- Build on what we have in the departments i.e to institutionalise the PAT within departments

➤ How should departments be prioritised?

- Monitoring system data available annually should aid the first level diagnostic for the prioritisation of departments.
- Prioritise by readiness assessment in terms of data availability and context, **OR**
- By cluster: Departments per year could be organised in meaningful groups e.g. in clusters or according to the 12 outcomes
- If capacity is an issue, pilot it in best practice institutions
- If capacity is there, target troublesome departments
- New departments that do not have capacity to run PAT
- Considering that the PAT is new it should not be rolled out to anyone until institutions have capacity to complete and use it
- Voluntary prioritisation
- Perhaps not prioritise. An approach is that the President chooses which departments should be assessed

➤ How should monitoring, assessing and supporting be undertaken?

- As noted above, monitoring is based on first level assessments and application of the tool on an annual basis
- Structured assessment on a three year cycle, or maybe term-of-office cycle. This would also be dependent on the capacity available for the PAT, which may mean at least a three year cycle for all departments.
- Support is by the request of departments

Provincial:

- Select a department per cluster
- Consider the impact on delivery – PAT could be used to improve but could also distract departments from their delivery
- Departments could volunteer and this would improve buy-in
- Need to introduce this as a tool and get their input into how to implement it
- HoD evaluation would be a basis for PAT
- Alignment with planning and reporting cycles
- Tool for DGs to do the assessments
- PAT is one of three components together with outcomes reporting and frontline service delivery
- Should be piloted first with the OoP and other CoG departments
- Can use existing committees such as the Performance Monitoring and Evaluation (PM&E) Forum
- This can help to establish a baseline

➤ What is the trigger?

- Poorly performing departments
- Report of the Provincial Steering Committee (PSC)
- Operational clean audit
- Quarterly performance analysis
- Cabinet decisions, provincial Executive Councils, portfolio committees
- Spending patterns such as an under or over spend and/or measures of performance against targets

➤ How should departments be prioritised?

- Departments with the largest budgets and service
- Five priorities of government
- OoP as the nerve centre to drive it
- Small department *versus* a big department
- Driven by an assessment committee with different specialists. In this the question is would drives it? The DG, DDG or M&E?

➤ How could it best be used?

Initiation:

- National will initiate through the PCC, Cabinet or Legotla
- Extended Cabinet Lekgotla or FOSAD
- Could use MinMec if it is a sectoral focus
- Use the Provincial DGs forum
- Provincial Cabinet decision
- Technical Committees
- Deputy Minister meeting with the Provincial Cabinet
- Set up a Steering Committee or assessment team. This would need a political level committee and technical level committee with a wide range of technical capacity, including data.
- Provincial managers

Data Collection:

- Situational analysis review of data that available in provinces and elsewhere
- Meeting of all M&E units in departments to design the process, validate the indicators and add additional ones from provinces
- Use the basic compliance data from the AG
- Draw in other stakeholders – employee survey & civil society surveys – to help validate the data and for a *reality check*

- M&E units should collect the data. The units from all departments should be provided with standard toolkits and templates to use.
- Use data from transversal systems
- Evidence-based verification

What are the resource implications for CoG departments: People, money, institutional structures and technology?

- People?
 - People resources will depend on how often assessments happen for all departments e.g. 1 to 3 year cycle
 - Experts in the CoG departments must see this as part of their jobs
 - The Canadian example has shown that it is quite resource intensive. Also, the MAF was rolled out in all departments the first time.
 - Use existing resources within departments
 - Source external support
- Money?
 - Need to understand what the PAT will mean for a department
 - It may be expensive where there is a budget implication for departments if institutions are to implement
 - There could be some efficiencies gained from the PAT if cycles are synergised. PAT is feeding on already developed tools, which could reduce the cost of implementation.
- Institutional Structures?
 - PAT does not need new structures nor do departments have to create new internal structures to make PAT work
 - Current structures can be modified or augmented to build on what already exists
 - Some co-ordination structures are already set up, such as FOSAD
 - Use M&E units within departments
 - Centrally driven
- Technology?
 - Canadian experience has shown that there will be greater integration in monitoring systems that bring about efficiencies and reduce duplication

Provincial:

- The PAT will only be do-able if it is integrated as far as possible with what is already being done
- People?
 - The PAT will add hugely to everyone's work
 - High level advocacy and political team
 - Management role (design and drive): Treasury, OoP Unit
 - Implementation role: Treasury, OoP Unit, Department M&E, experts (*NB: the Department of M&E needs to be at a higher level with increased capacity*)
- Initiation should be strategic but not very resource intensive
- Data Collection – processing from secondary sources must be collated and experts in departments should input. Different people to verify data collection should be drawn from the OoP.
- Data capture and analysis – streamlined electronic information management systems and interdepartmental access
- Institutional Structures, Systems and Technology?
 - Knowledge and information management systems will need significant support and development
 - M&E capacity may need to be increased.

How can PAT best be used by departments: Who should use it? For what? When?

- Who should use it?
 - Strategic planning and support
 - DG's office

- It depends on whether it is a tool for accountability (performance assessment) and/or learning
- Where is it going to be pitched? Ideally, it should cater for multiple audiences
- CoG which is mandated to monitor and assess
- Can use it as a snap shot of problems within departments
- In order to be useful PAT should be institutionalised within departments

➤ For what?

- Strategic oversight and diagnosis
- Measure capability *versus* real performance
- Learning and development and to
- It can be used as an input into HoD performance assessments
- The debate is about whether it should be used for accountability or learning
- Canadian experience shows the approach can move between accountability for compliance and performance improvement and learning
- Should there be different reports for different audiences: DG, Minister, the public?
- Who interprets the data and how do we make it useful to different stakeholders?

➤ When?

- In strategic planning and diagnostic processes
- Evaluation learning and improvement processes
- Learning from other best practice departments
- Must be timed with normal planning cycle and political environment

Provincial:

- The commission felt that this was covered in the questions above.

How would you like to continue this conversation?

- Write up case study from the pilot phase as a starting point
- Set up focus groups on the indicators e.g. a Human Resources focus group
- Establish a community of practice of participating departments to document their experiences. This could be a community of practice of M&E practitioners.
- This should be communicated at all clusters and relevant forums such as FOSAD
- Discussion on creating a repository of data and a tool to manage the validity of assessments
- Continue the discussion on how PAT links to M&E and other monitoring tools
- Value in PAT is in consolidating different tools

Provincial:

- National meeting of provincial people but with broader representation – need to ensure it is the relevant people
- What is the linkage to local government and the role of DCoG
- Meeting of pilot provinces and the national CoG
- Immediate conversation between DPME provincial champions and their provinces
- National pilot steering committee with provincial representation

In summary, it was agreed that there is strong support for the process; however there are *big* issues that need further engagement. These include:

- Capacity to implement the PAT
- Clarity and formalisation of the roles and responsibilities of the CoG departments
- How is it going to be used and who is going to use
- Buy-in and support for the PAT. The incentives and disincentives must be considered such as the increase or decrease in the reporting burden.
- A possible way to reduce the burden could be to align the AG's audits to the PAT's basic compliance indicators, which can be used as basic data.
- It is important that there certainty that the PAT is going to add value and departments must see the value for them in doing this
- The standardisation, streamlining and linking of the PAT to existing processes is critical.

- In provinces, there is a need to carry out an analysis of what provinces are already doing and to align the PAT.
- Assess what exists and what can be replaced by PAT.
- The timing of PAT implementation must take into account the existing government planning and reporting cycle.

The commission on the provincial perspective further noted that the pilots must be done and carefully reviewed:

- Include a selection of national departments and at least 3 provinces – the M&E forum suggested one department from each province. Gauteng, Free State and Mpumalanga have volunteered
- Pilots should be done soon and widely
- Consideration should also be given provinces doing their own test runs with guidance and training
- Use people from different provinces as part of the team
- Do at least 3 pilots with strong methodology for assessment
- Effective training must be done – not just emailing the templates
- There should be a collective debriefing – sharing information on what worked, what did not, suggested improvements, assessment of the potential value
- Develop standardised methodologies and tools eg for data collection tools
- Pilots should help formulate standard descriptions of roles & job evaluation of the core jobs.

8 Summary and way forward

To summarise, the key lessons from the sessions above are re-stated here.

From the international practice we learnt the following:

Timeframes: Introducing and implementing approaches to assessing management of departments are long developmental processes, and the gains and innovation is often modest. Obstacles can be expected, and successful broad-scale implementation takes time.

Variations in approach: There is a huge diversity in approaches and it is important that the context of the country and its institutions is considered. Based on this a framework and tool that is appropriate and applicable should be designed.

Purpose and Intention of PAT: The importance of clarifying the purpose and intention of PAT is critical to the buy-in and support for the tool. Thought should be given to: Is it a system for regulating the performance of departments through HoD appraisals or other mechanisms, or is it a system for learning, reflection and improvement. Further, the orientation of the system in many ways will determine the design. It is possible to attempt both purposes but the design process needs to be conscious of this and ensure balance.

Balance: Fulfilling both a regulation of performance and learning orientation requires balance in the types of indicators being used. There needs to be a balance between indicators of compliance and indicators of performance, between quantitative indicators and qualitative indicators.

Fresh: Tools and approaches, used in a management assessment process should be kept dynamic and constantly reviewed and improved to ensure that they are relevant and current.

Leadership: The importance of leadership and political will are paramount to the successful implementation of the PAT.

From the South African good practices, the key lessons were:

Advances at national and provincial governments: There has been significant progress at national and provincial governments where a number of processes have been undertaken to measure and assess the performance of departments or municipalities and situate them within a categorised framework for understanding their performance and support needs.

Auditor General: A key learning from the work of the Auditor-General has been about recognising that the time and effort that needs to be spent on crafting and specifying good indicators is a critical investment in good assessment processes.

Inspiring practices in provincial systems: The advances being made in provincial systems that assess provincial departments or municipalities are inspiring. It is important for the PAT to learn from these experiences and to tap into developments in this regard at all provinces. The PAT system also needs to find a meaningful way to engage with provincial systems and not necessarily duplicate them.

PAT Framework and tool: The enthusiasm and support shared by participants on the presentation of the tools and indicators that PAT would use provided affirmation for the work being done as well as motivation to continue. It was noted that there is room for refinement and improvement, which included:

- Definitions for indicators would be valuable
- The crafting of the indicators could benefit from improvement, alignment and fine-tuning.
- there are some cross-cutting performance areas that could be refined
- A series of targeted focus groups involving experts in those indicators should help in the improvement the sets of indicators. For example an HR focus group should access the custodians/experts on the HR indicators and agree on the final set.

Next steps

In terms of the way forward, the PME team noted that the PAT is a long process and there are a number of conceptual issues that need further work, such as the intent of PAT and the tension between learning and an accountability or regulatory orientation. To clarify these issues a Framework document will be developed that sets out:

- The purpose of PAT
- The principles and values that guide its design, development and implementation
- The Components of PAT
- The tools that PAT will use
- The regular activities and processes that make up PAT
- The implications and results that arise from PAT assessments
- Roles and responsibilities of different stakeholders
- Institutional Arrangements to support the above
- Capacity and Resourcing to support the above

In addition, there will be on-going engagement with experts on the indicators and a plan (approach) will be developed to ensure that an institutional memory is built and that the knowledge and information on the PAT is available and accessible.

Workshop evaluation

The evaluations were mostly positive showing the participants found the workshop useful. An area that needs increased effort going forward is on deepening the understanding and knowledge of the PAT in

terms of its purpose, activities and processes, roles and responsibilities, and the implications and results that arise from the PAT assessments.

Appendix I

Workshop programme

The following is a draft programme for the workshop.

Date	Session	DAY Sharing good practices	Indicative Time (minutes)	Facilitator	Responsible persons /Chair of procedures	
					Organisation	Person
18 April First Day 10H00	1	Welcome, Introductions and Overview		DPME	DPME	DG
	A	Welcome and key note address	30		DPME	Minister Collins Chabane (MP)
	B	Confirmation of participants	30		DPME	DG
	C	Workshop objectives	15		DPME	DG
	D	Evolution of PAT 0 and Framework	60		DPME	Ismail Akhalwaya
		LUNCH 12H15- 13H00				
13H00	2	Inspiring Practices (Presentations and panel discussion)		Eileen Meyer National Treasury		
13h00-13h45	A	International Experience: Comparative Study (four)	45		ECORYS Research and Consulting	Dr Ferrie Pot
13h45-14h30	B	International Lessons: Canada	45		Executive Director MAF Treasury	Paule Labbè

Date	Session	DAY Sharing good practices	Indicative Time (minutes)	Facilitator	Responsible persons /Chair of procedures	
					Organisation	Person
					Board Secretariat	
14h30-14h45	C	COFFEE AND TEA				
14h45-15h30	D	Audit Methodology	45		AGSA	Rakshika Danilala or Tini Laubscher
15h30-16h45	E	Local Government Good practise	45		KZN CoGTA	Aah Sekhesa
16h45-17h00	F	Office of the Premier	45		KZN OFFICE OF PREMIER	R Moonilal
		DAY 2 Presentation of Performance Assessment Tool (PAT)				
19 April	Session 3	Recap Day 1		Ismail Akhalwaya		
9h00	A	Overview of PAT	120		DPME	Jeremy Timm
11h00	B	COFFEE AND TEA				
11h15	Session 4	Discussions - Key Performance Areas and Indicators in 4 breakaway commissions	105			
	Commission 1	Governance and Accountability	105	Bernadette Leon	DPSA	Geeva Pillay
	Commission 2	Strategic Management	105	Dr Ian Goldman	DPME	Dr Annatjie Moore
	Commission 3	Financial Management	105	Clement Madale	Treasury	Lebohang Masolane
	Commission 4	Employee Systems and	105	Dr Thabo	DPSA	Henk

Date	Session	DAY Sharing good practices	Indicative Time (minutes)	Facilitator	Responsible persons /Chair of procedures	
					Organisation	Person
		Processes		Mabogoane		Serfontein
13h00		LUNCH				
14h00-15h30		Feedback from the Commissions	90		DPME	Ismail Akhalwaya
15h30-15h45		COFFEE AND TEA	15			
15h45-17h00		Feedback from the Commissions	75			
17h15		Cocktail Social Networking		Dina Pule	Deputy Minister DPME	
		Day 3 HOW DO WE IMPLEMENT PAT				
20 April 9h00 - 11h00	Session 5 Commission 1	The How: Applying PAT in Practice (prioritizing, monitoring, assessing, supporting and intervening)	120	Colette Clark	DPSA	
20 April 9h00 - 11h00	Commission 2	The How: How the Centre of Government can work together collaboratively a national perspective	120	Dr Ian Goldman	DPME	
20 April 9h00 - 11h00	Commission 3	The How: How the Centre of Government can work together collaboratively a provincial perspective	120	Lwazi Giba	Treasury	
11h00		COFFEE AND TEA				
11h15	7	Summary and the way forward	60	Ismail	DPME	
12h15	8	Closure	15	Ismail	DPME	
12h30		LUNCH DEPART				

Appendix II

Methodology for the commissions

Commissions: "The What"

The table below shows the process outline given to facilitators to guide the four commissions.

Table 1: Facilitator's process outline for commissions on "the what"

Item	Time Allocation	Comments
Introduction by facilitator	10 minutes	The facilitator introduces the topic and facilitates a round of introductions (who are you and where do you come from).
Overview presentation by resource person	15 minutes	The resource person gives a 15 minute presentation on the KPA, the Performance Areas and the associated indicators. Details are to be found in the report card and the qualitative statements.
Discussion on the performance areas	20 minutes	Facilitated exploration of the performance areas? Are there any areas that are missing? Are there any areas that should not be there?
Discussion on the indicators	55 minutes	Facilitated exploration of the indicators. Here there are a number of things to explore: What are their comments on the existing indicators? Can they identify additional indicators of performance, both quantitative and qualitative? Here it is important to assess each new indicator against usefulness to PAT, data accessibility and relative importance. If additional indicators are identified, determine what the four levels look like for each indicator Identify who is the custodian of the indicator.
Closure and moving back to plenary	10 minutes	The facilitator then brings the discussion to a close and encourages the participants to return to the plenary room. The facilitator and the resource person and meet regarding the presentation back to plenary.
Total	110 minutes	

Commissions: "The How"

The table below shows the process outline given to facilitators to guide the three commissions.

Table 2: Facilitator's process outline for commissions on "the how"

Item	Time Allocation	Comments
Introduction by facilitator	10 minutes	The facilitator introduces the topic and facilitates a round of

Item	Time Allocation	Comments
		introductions (who are you and where do you come from).
Technical input	20 minutes	The scribe/resource then gives a technical input which will provide a basis for discussion. In the case of Commission 1 this will involve the various potential phases of applying PAT. For Commissions 2 and 3, this will involve what constitutes the centre of government. The nature of this input will be discussed with the scribes and facilitator prior to the commissions.
Group work: Debates	60 minutes	The groups will then be divided into two sub-groups who will be given a series of statements. One group will be asked to argue in favour of the statements and the other against the statements. This will help with surfacing a number of issues. Part of this process will need to highlight the potential resource implications (human, financial and institutional).
Consolidation	20 minutes	The facilitator and resource person then assist in surfacing and summarising the issues that have arisen from the debates as opportunities and threats relevant to the commission's theme.
Closure and moving back to plenary	10 minutes	<p>The facilitator then brings the discussion to a close and encourages the participants to return to the plenary room.</p> <p>The facilitator and resource person and meet regarding the presentation back to plenary.</p>
Total	120 minutes	

Appendix III

Panel discussions

A. International experiences

Attribution of assessments and scores

From the Canadian experience, can more be said about the attribution of the assessments and scores and the improvements in performance?

The Canadian presenter noted that attribution is difficult. The MAF looks at internal workings and the assumption is that if management functions are working then the delivery of services should be more rigorous. However, there is no direct link between performance management and the quality of delivery.

The MAF has undergone some significant changes to improve the assessment and the linkages to performance management. For example, in the area of financial management there was a strong emphasis on budgets, allocations and delivery. Some departments encountered delays in terms of when budgets were allocated, which impacted delayed decision making. In reviewing this, it was found that there was a need for a clear *framework* for consistent financial management, sound controls, and knowledge through programmes and plans in terms of where money is going to be spent. When there is clarity and expectations in terms of behaviour down the system, the assessment of achievement through the system becomes clearer and more visible.

In summary, projects need to have clear management practices in place and the MAF system has highlighted the importance of doing this. While it is largely anecdotal, senior management has noticed improvements in the delivery of services. This has resulted in improved reporting, including the reports presented to Parliament.

Linking performance management to outputs and outcomes

Should performance management not be more about outputs and outcomes, and is it possible to measure both organisational performance as well as outputs/outcomes?

The ideal is that the focus should be on both aspects. The issue, however, becomes a question of capacity and where to focus existing capacity. The MAF has different parts of the system that are focused on different areas. It looks at delivery as well as how departments are managing their internal processes to enable delivery, that is, management that is results oriented. Departments are required to have a performance management framework for activities as part of the MAF, which allows for the assessment of the broader performance management of departments. The MAF is a robust performance management framework, and this together with good service standards, enables improvements. Measuring outcomes, however, are longer term indicators.

It was noted that DPME's mandate includes the achievement of outcomes; organisational performance and delivery (PAT), and a citizen based review. The issue is about how these three aspects are linked together.

How have the assessments worked in terms of policy, the link between the internal assessment of operations and the outcomes on the ground?

A large discrepancy between what is in policy documents and what is happening on the ground could suggest a problem with the implementation documents as well as how realistic the assessment is. It is necessary to give attention to the quality of the documents that come out of the implementation. In the case of New Zealand documents are published publicly. Before this there is an in-depth review of the assessment findings. The lesson in is that if a tool is implemented there will be channels to ensure that the quality of the assessment is reflective of what is there in practice.

In the case of MAF, it is based on government policies and frameworks. The line of questioning is reliant on these policies. The management mobility framework is designed to ask questions about the implementation of the policy. If the questions cannot be understood, the department should go back and

read the policy and its directives to gain clarity on the management objectives. These have also been a means for dialogue between the policy directives and actual implementation. This provides a sense of where some of the difficulties are and if expectations are reasonable.

Inclusion of open-ended questions to provide a balance in the PAT assessment

It is possible to introduce the open question approach into PAT and lessons can be learnt from India and New Zealand. The open questions provide a value-add in qualitative data in the assessment. It increases the level of ownership among those people carrying out and completing the assessment. However, basing the assessment on open questions alone makes it difficult to compare the assessment findings across institutions.

A suggestion was to consider the MAF which has indicators with a normative framework that judge strong and weak performance. The MAF has a mix and it depends on the area and what is being measured. People management, for example, is quantitative. A public service employee survey is carried out annually to assess workplace health and the questions used are designed to reflect values and ethics. From this a quantitative analysis is extracted. In the MAF it was necessary to have qualitative data to explain deviations, since not all departments operate in the same way. There are different corporate cultures and it was important to have a description of what the quantitative data means. There are some parts of the assessment that are quantitative but also look at qualitative data.

With regard to normative scales, it is important to have common base to ensure consistency since there many analysts reviewing the assessments.

Who leads the roll-out of the performance assessments

The MAF is a bureaucratic initiative. Political ministers have not really been involved in it. Instead the department heads are the accounting officers and have to answer on the management of their departments. He/she is then required to account in parliament. The MAF lies with the bureaucratic leadership and the Treasury Board. It is also linked to the performance of Deputy Heads of Departments.

Centralisation of the MAF in the Treasury Board: Where are the positive spin-offs and challenges?

Canada has undergone changes in the machinery of government, which led to the establishment of a large central agency that covered all the departments, the Treasury Board. While the Treasury Board existed, it did not have a Human Resources component, which was added during the change. Within the Treasury Board there are different cultures, but having all components that are relevant to the MAF in a single organisation has made coordination of the MAF simpler. A critical aspect for the MAF was to improve communication between areas within the Treasury Board.

Resources and public transparency: Who pays what and how do citizens respond? How transparent is the MAF to citizens?

The MAF is not cheap and there is a considerable cost involved in it. It was noted that the MAF is not entirely new; in the past there were policy centres that were responsible for asking departments to report back. The MAF consolidated all reporting and put a framework and time-frame to it. The various policy centres were centralised in the reporting process, which created a more consolidated rather than scattered system. MAF is evidence based and as a result thousands of documents are received. This type of reporting criteria has resulted in departments placing a limit on the size of their reports and on what they submit. In departments reporting on the MAF is not a full-time job for anyone. People involved in financial operations need to look at their entire business once a year and to assess performance. The coordinating area for the MAF is new and is an additional cost.

With regard to transparency to the public, the MAF is made available to the public; however it was noted that it is not an area that garners a great deal of public and media attention. It was explained that the MAF is designed to look at internal management practices. The architecture is to describe departmental performance, the regulatory outcomes, identify money spent and allocated on internal services. MAF is one of the processes that departments carry out. The results of the assessments are posted. Media lines are used for public interaction; however, there are few questions from the public.

Having a sense of government as a whole: understanding the macro and micro picture to inform planning

The MAF provides an aggregate view of the performance of government. There are two strategic forums where the senior executive members come together at the Treasury Board secretariat. In these forums the internal audit, programme evaluations, Human Resources, people from programme sectors who need to know their department well come together to talk about what they are seeing in terms of trends, areas of weaknesses, etc. They discuss a government wide view. At these forums the representatives for each department will talk about their assessment, and what is important is that these are people who are closer to the public in terms of delivery. The benefit in these forums is that it is possible to gain an understanding of what management people are seeing and what programme people are experiencing. There tends to be a good dialogue of strengths and weaknesses. These forums also provide an opportunity to talk about the reporting burden.

The MAF allows for a system-wide view and enables conversations around things that departments are struggling with. Meetings are arranged and conversations take place across the system.

Lessons learnt vs Accountability: What informed the choice of countries?

The choice was to find countries that were in some way similar to the South African context and to show the different approaches that are being applied. It was noted that this is an important theme to look at in the case of South Africa in terms of how to deal with the PAT in a useful and productive way.

B. Sharing South African good practices

Cascading the AG to provincial department and municipal levels

AG evaluations are available at municipal level and the details of the slides shown, particularly the analysis of the audit outcomes, can be found in the AG's general reports of which there are three reports: national, provincial departments and municipalities. These are available on the AG's website: www.agsa.co.za.

Usefulness and reliability of information: Can unreliable information still be used?

Information that is not reliable may still be useful. For an indicator it is important to report on the information that is available. On reliability it may be that a department may not have the systems in place to enable more accurate reporting. This has been a challenge especially for municipalities.

Linking the PAT and AG processes

In terms of linking the PAT to the AG, the AG is involved in the development of the PAT. There are shared possibilities of how the AG can provide information. For example, PME can use the AG to inform the PAT assessments. Further, the AG can find ways to enhance their assessments using the PAT.

Clarifying roles between M&E and internal audit

The AG can provide information on the clarification of roles and responsibilities, and the regulations are clear on the role of the internal audit. It was noted that with a dedicated internal audit focus on M&E, the reliability of information will change dramatically.

Relevance of indicators that provincial departments are required to report on

The challenge around indicators from the audit outcomes stems mainly from departments and entities not determining the scope of the indicator during their planning phase. It was further pointed out that there is an indicator definition table in the annex to the AG's framework, which contains important and detailed information that an institution should use in their planning phase.

It was mentioned that one of the institutional challenges is that when it comes to auditing, departments are not prepared and information is not readily available. Departments do not have people dedicated to collect information, to ensure there is clarity on the indicators and to determine whether or not information is available. The timing of this should be well in advance of the auditing period.

It was acknowledged that some indicators may not be well defined which makes it difficult to report on. There are problems with the application of SMART principles to the indicators.

Measuring strategic level objectives and operational level objectives

Institutions need to develop a strategic plan with strategic objectives that should be performed towards. When it comes to auditing performance information, the focus is on strategic objectives and targets in an organisation's annual performance plan, the Integrated Development Plan (IDP), and other relevant strategic planning documents. As part of understanding a process, operational objectives and matters can be looked into but this is not the focus.

Current assessment processes and the implementation of the PAT: What happens to the KZN tool?

The approach is to build on what exists. PME will look at the work that the DPSA and National Treasury are doing and to build on what already exists and streamline the different processes into a single framework. In the provincial roll-out the process is not beginning from a blank slate but rather from an existing base. The practical implementation at provincial level will be explored.

C. Overview of the PAT

Indicators, scoring and coherence between the PAT and outcomes

What logic has been applied in terms of an evidenced-based approach to the indicators and desired outcomes? How have the scoring levels been applied to ensure that they are an indicator of delivery? Is there coherence between the PAT and outcomes?

The response noted that it is important to look at the types of indicators used. There are three types of indicators: performance, expert and compliance (this is in interest of the auditors). There are combinations of the three types in the various KPAs.

With regard to the scoring levels, Level 4 is understood as the "so what?" That is, assessing performance beyond compliance or the minimum. The commissions are intended to provide an opportunity for participants to discuss, deliberate and apply themselves to these issues, particularly the link between assessing organisational performance and outcomes.

In the development of the PAT, it is understood that it is essential and critical to link organisational performance to the achievement of the outcomes of government. The current phase of the PAT is about assessing management practices but goal is outcomes. As the system matures, the intention is to be able to measure performance against the achievement of outcomes.

Relation between service delivery and core management criteria

To what extent does service delivery matters relate to core management criteria? What should the pass mark be for an organisation in terms of learning and improvement as well as accounting for performance?

The PAT is being linked to the core management criteria in the DPSA's SMS Framework. The criteria used in the PAT have been taken from this Framework. PME is also aware that the DPSA have developed a new Framework, which they have not yet released since they are awaiting the completion of the work on the PAT. This is to ensure that there is alignment.

Determining and deciding on the cut-off point is something that all involved in the PAT would want to know. This also highlights one of the tensions highlighted in an accounting tool *versus* a performance tool. The value in the PAT will be in the responses to what emerges from the self-assessment, particularly when the scores show that a department is in the red. There are interesting examples from the Department of Home Affairs and how they have responded to their assessment. It will be important if the tool triggers a response from management that results in a change in behaviour.

Piloting the PAT in provincial departments

There is engagement with the provincial DGs, and Mpumalanga has volunteered to be a pilot. There are also discussions with KZN.

Consider including M&E indicators in the PAT

M&E indicators will be interrogated in terms of their pragmatism and to determine if they make sense for inclusion into the PAT.

Consider including a stakeholder assessment

It was suggested that in the event of a disagreement between the self assessment and expert assessment, a stakeholder assessment should be included.

The response from PME was that survey instruments will be considered for a client and citizen perspective. In the PAT this has not been developed yet, but the DPSA is working on something, which could be brought into the PAT.

Responding to repeated poor departmental performance

The PAT is a bureaucratic tool that will generate a result, which will be made available to executive management. The President supports the design of such a tool and wants the results to be made public. The idea in this is that it will provide evidence for action to be taken in departments that are not performing. Going forward there will need to be an engagement with the political level to see how the tool can be used.

The PAT and HoD Assessments

President Zuma, from the introduction of the idea wanted to draw a link between institutional assessments and the performance of the HoD as an accounting officer. The approach to the PAT is to phase this in. Thought has to be given to the logistics of how to run the tool, the frequency of assessments, and to ensure its linkage to existing processes.

Alignment and utility of indicators

The PAT is not meant to replace a department's emphasis, but *"like a general practitioner it aims to check the blood pressure and pulse rate of a department."*

It was noted that the work of the commissions is to look into what might be working well in other departments which could possibly be integrated into the PAT.

D. Applying the PAT in practice

Role of the M&E units in the departments and the relation with DPME in driving the process

There are a series of discussions with national and province that have been taking place and will continue to be held to discuss issues of linkage as well as where a tool like the PAT will be housed. For DPME it has been important to discuss the ways in which duplications can be prevented and to hinge on existing processes.

A further comment/question was raised regarding concerns on other areas of M&E: What does the PAT mean? Are other M&E responsibilities being relegated for now? For the other Outcomes should provincial departments look at these on their own?

PME reiterated that their mandate is threefold and includes an outcomes approach that is trying to bring joint government action; institutional performance assessment towards achieving outcomes; and, monitoring frontline service delivery. All three are critical and in achieving its mandate, PME will need to work with and coordinate with the Office of the Premier in each province. A forum has been convened with all provinces to determine the degree of alignment and what the PAT means. Also, there are simultaneous initiatives underway that are relevant to all three parts of the PME mandate.

Concern about the lack of a project continuity plan, resources and the risk of failure

Each of these matters is a concern, and it is understood that for the sustainability of the PAT an institutional memory must be built and maintained. This will help to ensure the continuity of the project.

With regard to resources, the Canadian experience provides a case where a great deal of resources has been allocated to the MAF. It was noted this would be explored in the commissions on "the how."

Peer reviews

The peer review is potentially useful and is implicit in the system. The principle is that in a peer way the capability of colleagues/partners can be built.

The following comments were further contributed by participants:

- With the PAT the question is not one of can this work but rather how can we make this work? It was suggested that should be the point of departure and from there resources and risk can be explored.
- It is understood that there is the self assessment aspect and the expert assessment, the issue of the department being both the referee and player will have be dealt with.
- A readiness assessment for departments should be factored into the PAT. This should entail establishing a readiness basis for the roll-out of the PAT.
- The criteria for rolling out the PAT should be determined.
- Many provinces are in the process of designing new systems and capacity is an issue.
- It was noted that a great deal is happening in terms of a reprioritisation and change management processes.

Appendix IV

Workshop Evaluation Questionnaire

Department:	
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Overall assessment

What is your overall assessment of the workshop?	Very poor	0	1	2	3	4	5	Excellent
Overall did we reach /obtain our objectives:	Not at all	0	1	2	3	4	5	Completely

Objectives:

- d) To reflect on international and national good practice in the development and implementation of performance assessment tools which focus on management capabilities.
- e) To engage, review and make recommendations with regard to the framework, key performance areas and associated indicators of PAT.
- f) To engage, review and make recommendations on the process for rolling PAT out to departments.

Commissions

	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree
Did the commissions provide a useful platform for you to interact with aspects of the PAT				
On the whole, were you able to deepen your understanding and knowledge of the PAT?				

Facilitation and Presentation

	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree
Were the facilitators effective in their role?				
Were the presentations useful in facilitating understanding and learning on the PAT?				
Were your questions fully answered?				

Reflection

Which part of the workshop was most interesting? Why?	
Which part of the workshop was least interesting? Why?	
What was the one thing that you learnt and will take back to your department?	

Appendix V

Workshop evaluation: Findings

An analysis was completed based on the participant responses. These are shown graphically below.

Overall assessment

What is your overall assessment of the workshop?

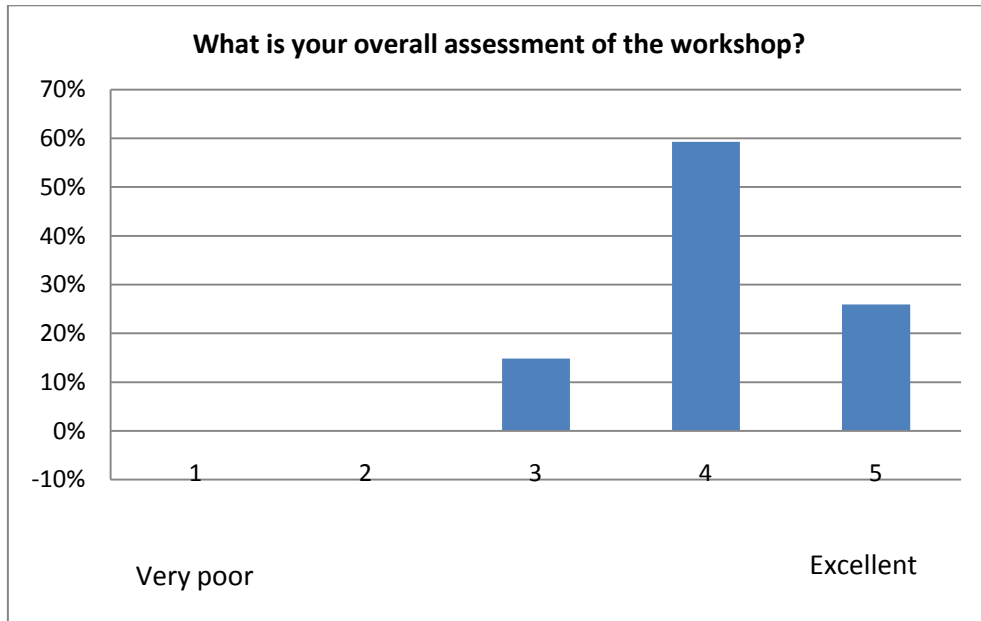


Figure 6: Overall workshop assessment

The analysis shows that about 85% of participants found the workshop to be between good (60%) and excellent (25%).

Overall, did we reach/obtain our objectives?

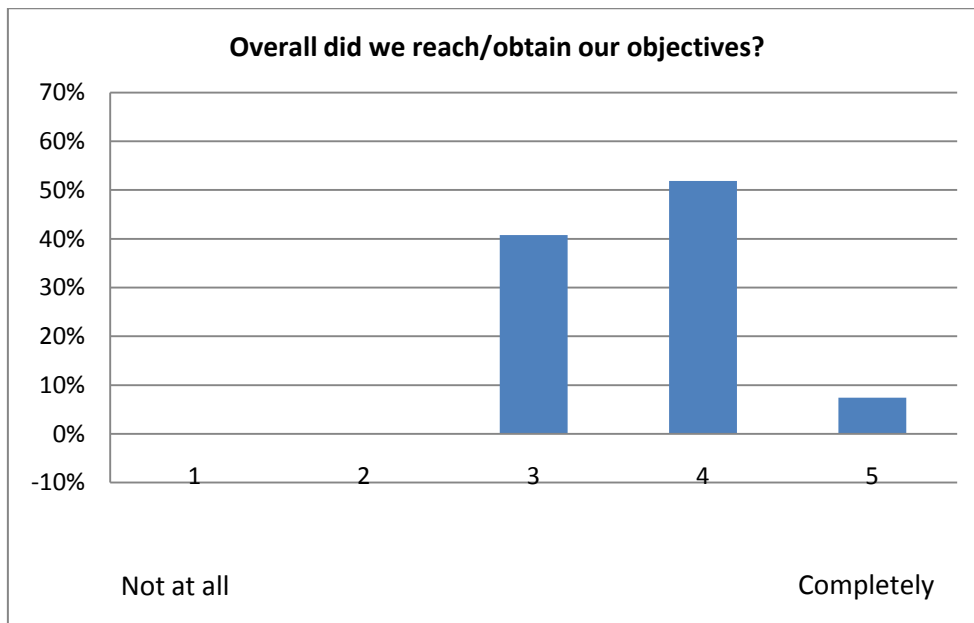


Figure 7: Reaching workshop objectives

Approximately 50% of respondents confirmed that the objectives were met, while 40% felt that they were somewhat reached. Less than 10% of participants found that they were completely reached.

Commissions

Did the commissions provide a useful platform for you to interact with aspects of the PAT?

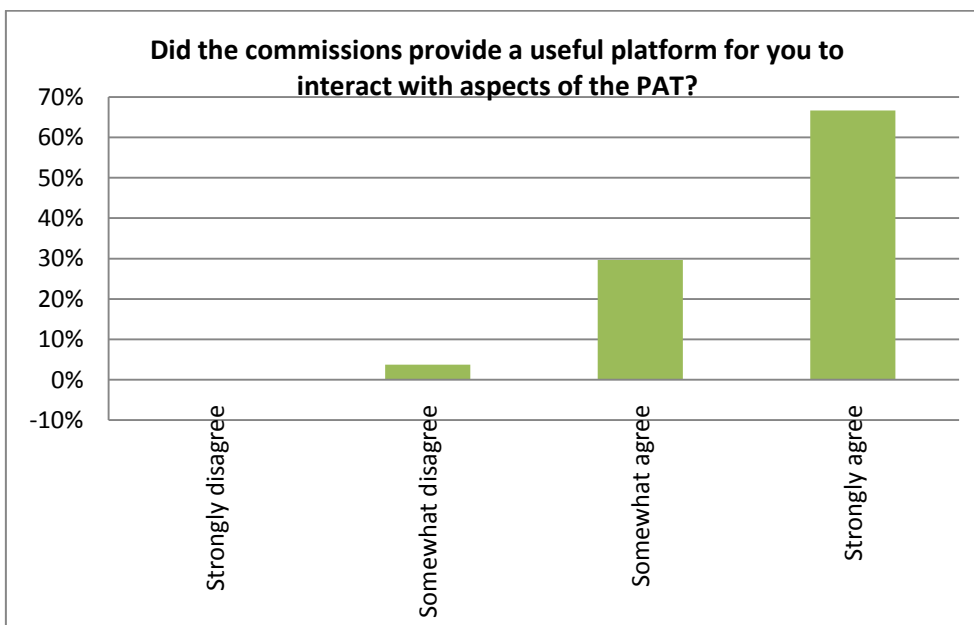


Figure 8: Commissions as a useful platform

The responses here are positive with more than 95% of participants agreeing that the commissions were useful for them. This suggests that there was significant benefit in having the smaller working groups where participants could engage directly with "the what" and "the how" of the PAT.

On the whole, were you able to deepen your understanding and knowledge of the PAT?

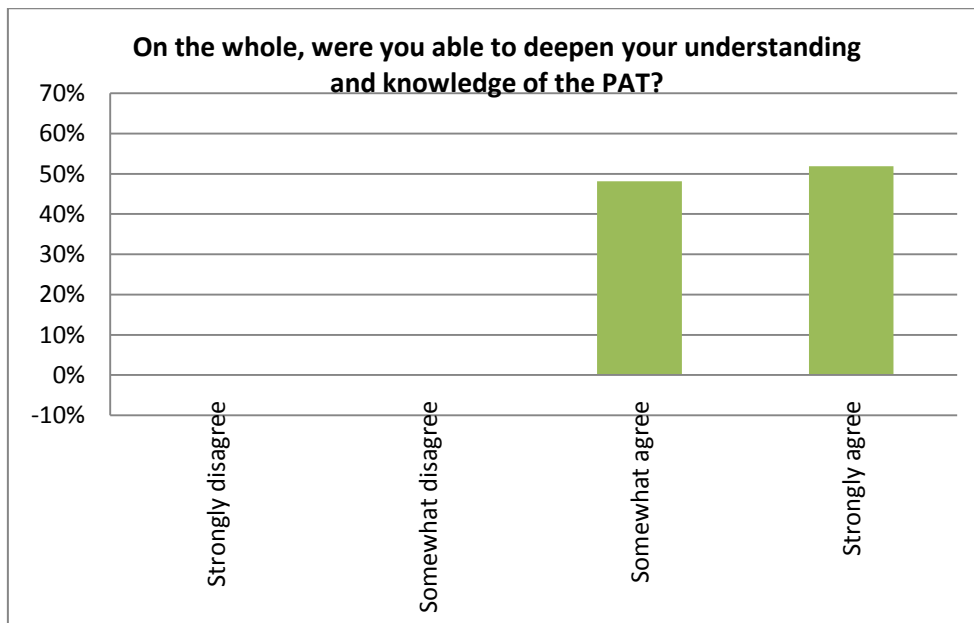


Figure 9: Understanding and knowledge of the PAT

While the above graph provides a positive indication on the usefulness of the commission, this graph shows that there remain weaknesses in the understanding and knowledge of the PAT. Almost 50% of respondents noted that they *somewhat agree* that their understanding and knowledge has improved. This connects with the questions of understanding and clarity that were asked in the various sessions of the workshop.

Facilitation and presentations

Were the facilitators effective in their role?

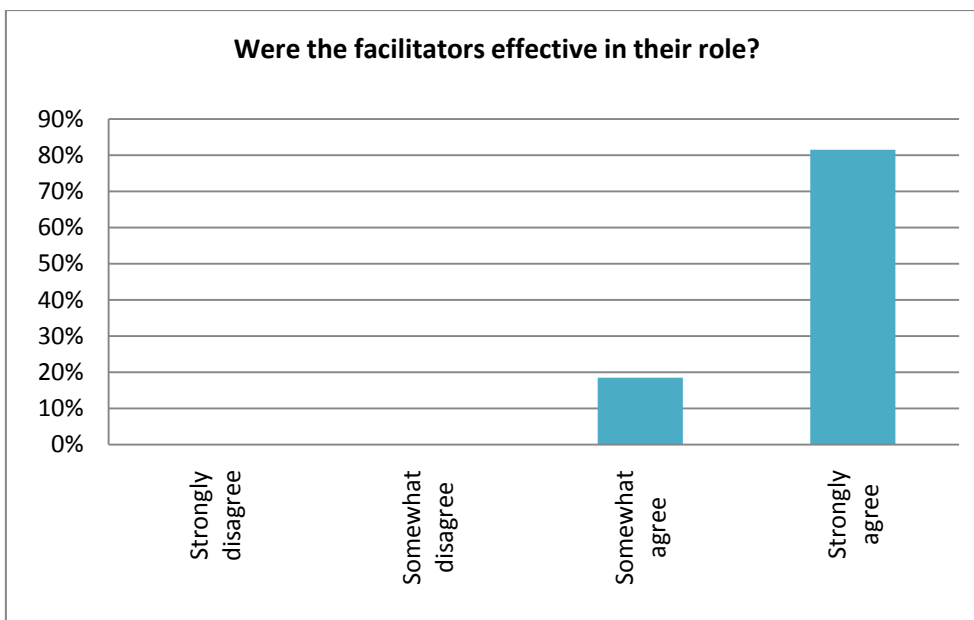


Figure 10: Facilitation

Approximately 80% of participants strongly agreed that the facilitators were effective. This is positive reflection on the process side of the workshop.

Were the presentations useful in facilitating learning and understanding on the PAT?

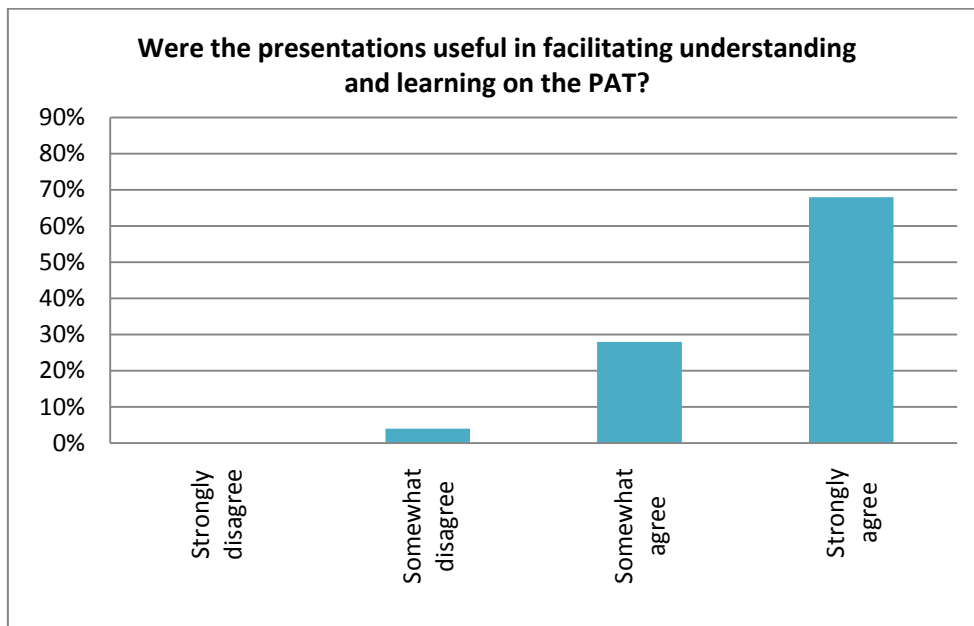


Figure 11: Presentations

The responses that approximately 69% of respondents found that the presentations were useful is a good indication. At the same time, it links to the earlier question in the commissions on knowledge and understanding which reflects that this is an area that needs further effort.

Were your questions fully answered?

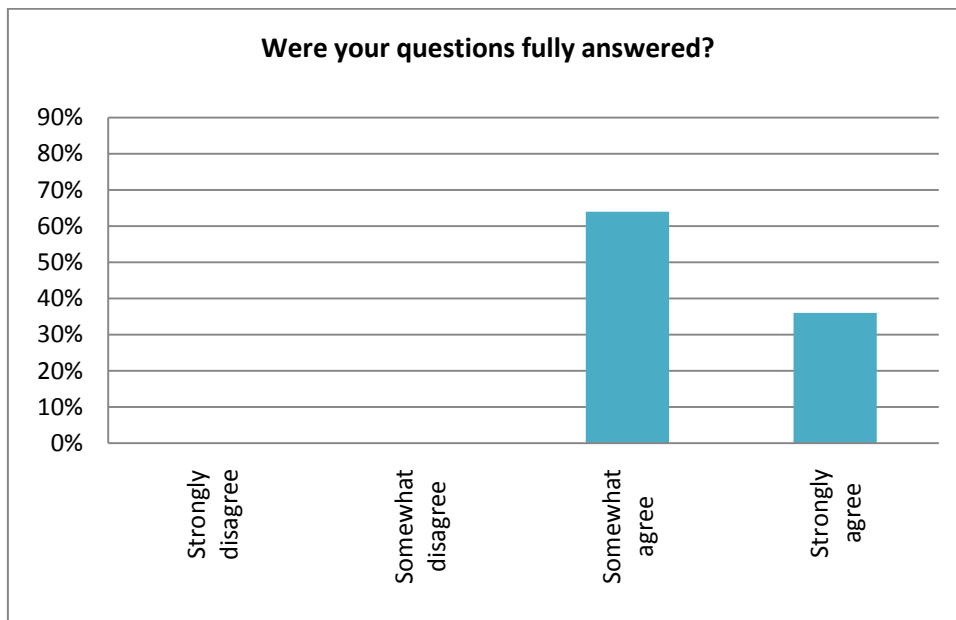


Figure 12: Responses to questions

This graph reflects that 62% of participants somewhat agreed that their questions were fully answered. As in the graph above and the commission graph on understanding, this highlights a gap in the understanding of the PAT.

Reflection

Some of the comments made by participants are listed below for each question below:

Which part of the workshop was most interesting? Why?

- Presentations on the international experience. It pointed out which factors South Africa needs to take into account in designing the PAT. I also liked the fact that it is important to ensure that what is assessed must be guided by policy and legislation like in the case of the AG where Treasury legislation is used to audit and assess departments.
- The commission on "the how" as these issues will determine the success of the PAT.
- The last session. I began to understand PAT and the way forward in terms of implementation.
- Actual interaction on the system and tool.

Many evaluations reflected positively on the commissions and the international experiences that were shared.

Which part of the workshop was least interesting? Why?

- None of the sessions were least interesting to me.
- The second day where we could not agree on the definition because the framework does not provide all definitions and concepts and does not include M&E in their framework for planning.

What was the one thing that you learnt and will take back to your department?

- Overall information on the PAT
- The PAT report/findings should be used by departments for improvement of services and therefore the findings should be integrated into the departmental plans, otherwise it will not be useful.
- International experience in the development of similar tools/processes and their experiences in implementation.
- The Canadian MAF.
- Excellent planning of the workshop and facilitators. As a result the limited time was utilised effectively.
- The value of consultation.