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1. INTRODUCTION

1.1 Setting Project Context

The project has its origin in the Modernisation Programme in pursuance of the provincial government’s notion of a “Opportunity for All” vision. As such the project is directly grounded in delivering efficient, cost-effective, transparent and responsive public administration for which all Members of the Executive Authority (EAs); Heads of Provincial Departments (HOD’s) and Heads of Municipalities (Mayors and Municipality Managers) are responsible and ultimately accountable.

Holistic good governance takes cognisance of the fact that common problems require common approaches and answers. This is particularly important given limited resources in relation to increasing service delivery challenges. It circumvents unnecessary competition, which often leads to wastage through duplication. As a paradigm, holistic good governance provides a rationale for the re-ordering and redirecting of institutional processes and activities to meet provincial growth and development desired outcomes. Further to this, the Department of the Premier (DotP) as the central hub of the Provincial Government of the Western Cape (PGWC) underlines this principle as it strategic goal # 3, as depicted in the 2010/11 Annual Performance Plan.

The need for a strategy to improve public service delivery and performance excellence is further highlighted by the production of the White Paper on the Transformation of the Public Service, by the South African Department of Public Service and Administration, during 1995. It serves as a practical implementation strategy for the Transformation of Public Service Delivery. The White Paper is primarily about how public service should be provided, and specifically about improving the efficiency and effectiveness of the way in which services should be rendered. The White Paper also provides a framework to enable public services to develop performance excellence strategies. These strategies will need to promote continuous performance improvements in quantity, quality and equity of service provision.

It is important to note that in South Africa, government is structured into three spheres, National, Provincial and Local, with each sphere mandated to deliver particular services to the citizenry. The citizens however, perceive a single public service, with no distinction made between the different spheres. The implication of this perception for the provincial departments and municipalities who function within the provincial and local government spheres specifically is the critical need to respond agilely, with limited resources that are used most effectively, to citizens’ needs so that these needs are addressed as quickly and as appropriately as possible.
The notion of a government responsive to citizens’ needs underpin the principles of good governance with which all public service institutions must comply. When provincial government departments and municipalities function according to the principles of good governance, then ultimately the citizens benefit, because the services that are delivered to them is based on their needs, and these services are delivered in the most cost-effective and efficient manner. The challenge however, is to ensure that principles of good governance are practised in its entirety by the provincial departments and municipalities, within the Western Cape.

1.2 Modernisation Programme

The Provincial Government of the Western Cape (hereafter PGWC) has engaged in a Modernisation process so that its administration is aligned to, and supports the Province’s strategic priorities. As part of the Modernisation process, 20 projects (known as Workstreams) have been put into place to address various aspects for improvement within the administration. One such project is the ‘Face of the Province’. This project defines the ‘face’ of government that the citizen in the province will experience and with whom the citizen will interact. Consequently, the project has four milestones, each designed to enhance the said experience of the citizen. The milestones for this project are:

- The physical infrastructure of government buildings and Batho Pele;
- Integrated Service Delivery: The integration of government services for quality, seamless service delivery;
- Good Governance Recognition System: The development of a recognition programme based on good governance for continuous improvement in organisational and community-based project performance (Team), and
- Front Office Reform: The reduction of red tape administrative procedures that hamper service delivery.

1.3 Project Definition

This project is defined as the development of a recognition system, contextualised within the principles of good governance that are incorporated in the Constitution of South Africa as depicted in Section 195, to reward exceptional organisational and community-based project performance in provincial departments and municipalities in the Western Cape, whilst serving as an organisational investment mechanism for continuous improvement.
2. METHODOLOGY

2.1 Project Objectives

This project explored a reward system as part of a recognition programme for good governance, in provincial and local government. It attempts to highlight those aspects and sought alternatives, which the Western Cape Government should take cognisance of, when making decisions regarding the planning and implementation of such a recognition system. Specifically, the project objectives are to:

- Contribute towards the Face of the Province Project by transforming the Premier’s Service Excellence Awards (hereafter PSEA) into the Good Governance Recognition System;
- Develop a standardised recognition system that recognises both good governance and excellence in provincial and municipal level;
- Ensure that the Good Governance principles are integrated into the criteria for the recognition system; and
- To make recommendations for the piloting and implementation of the Good Governance Recognition System in the Western Cape.

2.2 Project Design and Methodology

This project was executed by means of a literature study focussing mainly on international, national and local award systems within the public service sector, and creating a common understanding in respect of good governance as the basis for this recognition system.

The information gathering method of this project consisted of personal and telephonic interviews, specifically with Auditor General and with departments such as the Provincial Treasury’s Corporate Governance component, the Centre for e-Innovation’s Executive Dashboard team, Vuna Awardsteam members, coordinators of award programmes in other provinces, and a study of primary literature, which including best practices.

Importantly, a core project team was formed based on specific experience relating to this subject, these members consisted of employees from the Department of the Premier and Department of Local Government and Housing.
The working methodology to report on the project findings was done as follows:

- The project intended to highlight and assess the reality with regard to the current recognition systems in the Western Cape, the country and internationally, and the importance of using these as the basis for a continuous service delivery improvement process.

- The project concludes by making certain recommendations regarding the planning and implementation of such a recognition system for the Western Cape.

- The blueprint will then be consulted at the various Provincial Government Forums (Steering Committee, etc); thereafter it will be submitted to the Provincial Cabinet for consideration and decision.

3. KEY FINDINGS

3.1 What constitutes good governance?

The United Nations Development Program’s (UNDP) mission is to promote sustainable human development. It has identified nine principles of good governance, which represent the ideal (UNDP 1997).

The nine principles of good governance are:

- **Efficiency and Effectiveness**: Process and institutions produce results that meet needs while making the best use of resources.
- **Participation**: To encourage all citizens to exercise their rights to express their opinions in the process of making decisions concerning the public interest.
- **Transparency**: Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.
- **Consensus Orientated**: Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved.
- **Responsiveness**: To increase the sensitivity of government administrators to the aspirations of citizens.
- **Rule of Law**: Legal and policy frameworks should be fair and enforce impartially.
• **Accountability**: Decision-makers in government, private sector and civil society organisations are accountable to the public, as well as to institutional stakeholders.

• **Equity**: All employees have opportunities to improve and maintain their well-being.

• **Strategic Vision / Professionalism**: To enhance the capacity and moral disposition of government administrators so that they are capable of providing easy, fast, accurate and affordable services.

In view of the above, Good Governance can be defined as predictable, open and enlightened policy-making, a bureaucracy imbued with a professional ethos acting in furtherance of the public good, the rule of law, transparent processes and a strong civil society participating in public affairs.

The good governance principles are further embedded within the Constitutional values and principles governing public administration as indicated in section 195(1) of the Constitution. These nine values and principles are:

- A high standard of **professional** ethics is promoted and maintained.
- **Efficient, economic and effective** use of resources.
- Department is **development orientated**.
- Services provided **impartially, fairly equitably** and without bias.
- People’s needs are responded to and the public are encouraged to **participate** in policy making.
- Department operate in an **accountable** manner.
- **Transparency** is fostered by providing the public with timely, accessible and accurate information.
- Good **human resource management** and career development practises are cultivated to maximise human potential.
- Departments implement the **representative targets** of government with employment and personnel management practises.

### 3.2 Excellence Model Theoretical Frameworks

A Good Governance Recognition System has the potential to benefit organisations to enhance service delivery and performance through an excellence model framework. Excellence models identify organisational strengths and areas for improvement based upon well-established internationally accepted theoretical frameworks and recognised criteria (strategic determinants) for performance excellence. They provide an organisation-wide assessment and create a conceptual framework for the way organisations can strategically position themselves. Excellence models involve employees at all levels in performance excellence improvement. They allow organisations to
measure improvements and progress over time through regular self-assessment processes, and this will be critical to Good Governance Recognition System success. Excellence models facilitate comparisons with other similar organisations and identify critical areas for improvement. One of the most important potential benefits of applying Excellence models is that it improves the development of an organisation business plan and strategy.

In broad terms, the major excellence model frameworks stresses the importance of management processes, citizen satisfaction, people and total quality to the attainment of superior competitive position (Ghobadian & Woo, 1994; Motwani, 2001; Lee, 2002; Tan, 2002). The major business excellence awards, e.g. ISO9000, Deming Application Prize, the European Quality Awards (EQA) and the Malcolm Baldrige Quality Award, are based on a perceived model of business excellence (TQM). The models underpinning the frameworks implicitly recognise that the excellence of the final results is the outcome of a complex of integrated processes and employees' efforts.

The self-assessment frameworks place a different emphasis on the importance of results. The EQA places significant importance on the results and has four examination categories for this purpose. Moreover, it is the only reward that unquestionably addresses the financial results. The EQA and the Baldrige Award also considers the impact on society. In general, the Deming Prize criterion places greater emphasis on the quality assurance of products and services, whereas the Baldrige Award and the EQA criteria have a broader scope and less depth.

The Baldrige Award, and to a lesser extent, the EQA are criticised because of their weak focus on business results. Detractors also argue that the reviewed excellence model frameworks are too process-orientated and place too much emphasis on TQM as a "check the box activity" and not as a path to sustainable results. They argue that more emphasis should be placed on results over time and that these frameworks should not simply reinforce the culture of "just do it". The EQA, by including and examining financial results, has to some extent addressed this criticism. The other criticisms directed at the major reviewed excellence model frameworks include (Leonard & McAdam, 2002): award criteria are static and not dynamic; suppliants nominate themselves and are not nominated by citizens; the EQA, Baldrige Award and Deming Prize fail to define quality clearly; awards encourage a home-grown approach to quality and this will not help them to achieve world-class performance; companies may focus on winning the award rather than opportunities for self-examination, learning and improvement; and pursuing the award distracts the attention of key executives from running the business.
Each of the reviewed excellence model frameworks has its unique characteristics. However, they all attempt to propagate organisational performance excellence practices. They share a set of fundamental philosophies. These include: acceptance of responsibility for quality by the top management, citizen orientation, high level of employee participation, open and effective communication, fact-based management and strategic quality planning.

There is no doubt that excellence model frameworks have helped to focus attention on organisational performance excellence and facilitated a better understanding of the underlying issues. The full impact of these excellence model frameworks on improving the global competitiveness of national and international industry and commerce (as well as non-profit public service organisations) must still be ascertained.

The Excellence Model conceptual framework consists of the South African Excellence Model for Public Service Performance Excellence (South African Excellence Model, 2000). Applying the Excellence Model to develop a strategy for the PGWC and municipalities will enhance the delivery and performance excellence of public service in the Western Cape. The South African Excellence Model for Public Service Performance Excellence is based on the following premise as depicted in Figure 1 (South African Excellence Model, 2000):

- Citizen and stakeholder satisfaction, employee satisfaction, impact on society, and supplier and partnership performance are achieved through
- Leadership driving
- Policy and strategy, citizen and stakeholder focus, people management, resources and information management, and processes leading ultimately to excellence in
- Organisation results.

**Figure 1 (South African Excellence Model, 2000)**

The institutional-wide assessment model reflects that the service delivery process and concepts apply equally to strategic, operational, departments, district and municipal levels. The enablers (methods and processes in use) are concerned with **How** the organisation approaches each of its approved activities,
guidelines and performance standards. The results (targets and comparisons) are concerned with What the organisation has achieved and is achieving. The institutional-wide model recognises that to achieve better (service delivery) results all employees in the organisation should be encouraged to continuously improve their processes through a process of recognition and appreciation.

Given the comprehensive nature of this model, it is recommended that this model be utilised as the framework to underpin the PGWC’s and municipal institutional-wide assessment, to enhance continuous improvement and institutional effectiveness and efficiency to ultimately enhance good governance. Given the complexity and uniqueness of the strategic determinants within the public service it is deemed appropriate that the base institutional-wide assessment model, including related indicators be developed specifically on the need and requirements of the public service and with specific reference to PGWC and municipalities.

3.3 Existing Recognition Systems

Recognition is a critical motivating factor in the workplace, whether at an individual level, team level, or organisational level. When excellence in performance is recognised, then those whose efforts are recognised are encouraged to work more effectively and efficiently. Importantly, higher morale can lead to even greater productivity, which in turn translates into greater service delivery benefits for the citizens. Furthermore, belonging to a winning team contributes to a greater commitment to the organisation.

3.3.1 International Recognition Systems

3.3.1.1. University of Ulster Award Scheme

University of Ulster Award recognises and celebrates excellence in teaching and the facilitation and support of learning through its award scheme. Employees who have made a difference to the learning environment are the recipients of these awards.

There are four categories; Distinguished Teaching Fellowship: Individual Excellence, Raising the profile of Excellence, Developing Excellence, Institutional Excellence, Distinguished Teaching/Learning Support Fellowship (Team Award) Developing Practice, Impact of Practice, Dissemination of Practice.
3.3.1.2 New South Wales: Premier's Public Sector Awards

New South Wales: Premier’s Public Sector Awards was established in 1977 to formally recognise and reward achievements of excellence by the NSW public sector.

The purpose of the awards was to acknowledge initiatives, which have produced measurable outcomes with proven results and benefits to NSW.

The objectives of these Awards:
- Provide an opportunity to showcase public sector commitment to quality and the provision of service to the community
- Facilitate information exchange about leading practice in the sector.

Projects that are eligible for nomination are those that demonstrated excellence, innovative approaches or those that significantly improve past internal or external practice, such as NSW Public sector agencies and services including: departments, authorities, government trading enterprises, commissions, boards, state-owned corporations.

The Premier recognises outstanding initiatives and achievements in each category by awarding gold, silver or bronze.

The award categories are aligned to NSW State plan, such as: Rights, respect and responsibility, delivering better services, fairness and opportunity, growing prosperity across NSW, environment of living, delivering the plan, delivery locally.

The review panel forward their recommendations to the judging panel, which is made up of a mix of CEO’s and various experts and is chaired by the DG, and Cabinet, who make final recommendations to the Premier.

There are two overarching Awards: A small Agency Innovation Award and Most Outstanding State Plan related project across all categories.

3.3.1.3 The Common Wealth Awards of Distinguished Service (Common Wealth Awards)

Ralph Hayes, American Philanthropist, created common Wealth Awards. These awards were conceptualised to recognise, reward and encourage the best of Human Practice worldwide.

The recognition of outstanding human achievement was underpinned by 8 disciplines: dramatic arts, Literature, science, invention, mass communications, public service, government and sociology. These awards served as an incentive for people to make future contributions to the world economy.
3.3.1.4 Charter Mark/ Citizen Service Excellence

The Charter Mark was an award demonstrating the achievement of national standards for excellence in citizen service in United Kingdom public sector organisations. Introduced in 1991, it was replaced in 2008 by Citizen Service Excellence standard, with the last issued Charter Marks expiring in 2011.

The Charter Mark was one of the consequences of a political initiative, the Citizen’s Charter, by Prime Minister John Major in 1991, to improve the face of government. In 2005, the system was reviewed, and it was recommended the scheme be replaced. Accordingly, the Citizen Service Excellence standard was launched, and a phased transfer was initiated. Applications for Charter Marks were officially closed on 30 June 2008, with the official final validity date becoming 30 June 2011.

The scope of public sector organisations includes departments of local councils, voluntary organisations having more than 10% public funding, and also private subcontractors on public contracts. It also includes public transport operators and the gas, electricity and water utilities. A number of Park and Ride bus schemes gained Charter Marks, displaying the mark on their buses.

The objectives was to:
1. Set standards and perform well
2. Actively engage with citizens, partners and staff
3. Be fair and accessible to everyone and promote choice
4. Continuously develop and improve
5. Use resources effectively and imaginatively
6. Contribute to improving opportunities and quality of life in the communities served

On receipt, an award was valid for three years, after which the organisation must re-apply.

3.3.2 African Recognition Systems

3.3.2.1 African Union Scientists Award

The African Union Scientists Award were initiated by the AU commission in 2007 after the AU Heads of State and government declared 2007 as the launching year or building constituencies and champions for science, technology and innovation in Africa.

These awards are meant to celebrate achievement of African scientists – continental, national and regional to promote all efforts to
transform scientific research into entrepreneurship, attract investments to Africa and create research centres of excellence.

The objective of these awards is to raise the profile of science and technology sector and to build a scientific culture amongst African citizens.

### 3.3.2.2 Centre Public Sector Innovator (CPSI)

CPSI was launched in 2003 and aims to improve the capacity of government in addressing cross cutting issues and promoting innovation in the delivery of government key objectives. It seeks to promote innovation in government by unearthing existing innovation, funding innovation, providing opportunities for piloting innovation and the implementation of innovation to improve service delivery.

The objectives of the awards are:

- Solution Sharing (reduce silos and duplication).
- Recognise and reward individuals/ community-based projects and programmes that are improving public service delivery.
- Increase government efficiency in service delivery.
- Improve the image of government internally and within the public.
- Feed into the UN (annual) & CAPAM (bi-annual) Awards
- Feed into the registry of innovative projects.
- Case study development.

These awards are divided into the following categories:

- Public Sector Innovator of the Year (team or individual)
- Innovative enhancements in the internal systems of government
- Innovative Partnerships for Service Delivery
- Innovative Service Delivery Institutions
- Innovative use of ICT for effective Service Delivery
- Innovative Service Delivery Projects involving SA government with other African countries.

The finalists underwent training on Executive Development Programme-Innovation Management for two days. They go to an Innovator of the year-International study tour, get published on ‘Innovative Insight’ and ‘Case Study’ or get an entry to UN, CAPAM and Africa Awards.

The Assessment process allows when necessary project managers to be contacted for verification, which may be through e-mail, telephone, face-to face interview and additional supporting materials may be requested or a site visit.
An impartial independent panel of adjudicators gets appointed by the CPSI, these are industry experts and CPSI plays a secretariat role to the adjudication panel by receiving all entries and allocating reference numbers for administration purposes. The adjudicator’s decision is final.

### 3.3.3. National Recognition System

#### 3.3.3.1 Female Farmer of the Year Awards:

This project was initiated by the National Department of Agriculture (DoA) in 1999. The **objective** of the Awards is to empower women in agriculture by recognising their contributions and increasing their visibility.

It is also an instrument through which the contributions of women in the fight against poverty, hunger and joblessness can be recognised. This project is an annual event and receives private partnership support through sponsorships. The national departments together with the provincial departments are expected to have a budget put aside for this project.

The provincial department’s budget caters for the events and the attendance of the final provincial winners at the national event. The sponsorship funds are all allocated to the prize moneys for the winners in both provincial and national events. These funds are also used for miscellaneous items.

Each year the Awards aligned to the theme provided by the State of the Nation Address (SONA), to which the DoA add its own by the end of February.

The following will be the categories for entries in the Female Farmer of the Year Awards:
- Top Producer for Export Markets
- Top Producer for National Markets
- Top Producer for Informal Markets
- Top Producer for Household Consumption – Backyard Garden/s
- Top Producer for Household Consumption – Communal Garden/s.

#### 3.3.3.2. Free State Premier’s Excellence Awards.

The Free State Provincial Government acknowledges that it can only achieve its vision and provide leadership by recognising contributions
The purpose of the Premier’s Excellence Awards is through recognition and award to offer the Free State Provincial Government and the Premier in particular, the opportunity to publicly say thank you for outstanding contributions focusing on the development of the Free State Province.

The objectives of the Premier’s Excellence Awards are to:

- Foster excellence in terms of government service delivery imperatives
- Foster good practice both within and outside government
- Recognise good and extraordinary work performed to improve the quality of life of the people of the Free State
- Foster collaborative initiatives between the state, private sector and civil society in an attempt to meet the goals of the Provincial Growth and Development Strategy
- Provide a symbol of achievement and motivation in the Free State Province to Individuals, Institutions, Private Sector, State Agencies etc.
- Encourage active participation of Individuals, Institutions, Private Sector and State Agencies in the implementation of the Free State Growth and Development Strategy.
- To honour the dedication, innovation and creativity that is intended to make the Free State a winning province.
- Serve as motivation for continuous excellent performance
- Promote creativity and innovation in government service delivery.
- Recognise the creative use of technology to enhance service delivery and to establish the Free State as a main role player within the knowledge economy.

The “Premier’s Excellence Awards” will honour exceptional contributions by Individuals, Institutions, Private Sector, State Agencies etc. to implement the Free State Growth and Development Strategy.

3.3.3.3 KwaZulu Natal Premier’s Service Excellence Awards

The PSEA, a non-monetary team-based award scheme, was developed in KZN in 1999 to encourage a Batho Pele ethos with the ultimate aim of creating a culture of continuous improvement of service delivery and greater accountability to public sector citizens and stakeholders within participating organisations. It was the first of its kind at the time and has been run on an annual basis since then. The KZN PSEA was seen as a best practice by other provinces, all of which have largely adopted the same process and criteria for their own
service excellence Awards schemes. All did so with the assistance of the current sponsors, Standard Bank and/or PricewaterhouseCoopers. The original thinking in the development of the PSEA scheme was that it would provide the leverage needed to move public servants from the then prevailing bureaucratic culture of an inward focus on red tape to an external focus on citizens and their needs as central to everything they do. The idea was to sell the scheme to generate as much participation as possible, as the greater the level of participation the greater the level of Batho Pele implementation would be. Public recognition and celebration of those who reached the desired high levels of excellence was seen as a catalyst for others to emulate their best practices and in this way spread the desired changes in behaviours which would, through recognition by the PSEA, generate further participation. In this way the cycle of continuous improvement would be completed. It was understood from the start that to achieve this goal it would be necessary to focus strongly on selling the concept and obtaining buy-in across all departments and at all levels within departments. Thus marketing of the scheme and providing feedback on assessment were seen as very important focus areas of each cycle.

The original criteria designed for measurement were based closely on the 8 Batho Pele principles, as contained in the White Paper for Transformation of Public Service Delivery. As these principles were similar in content to the nine principles on which the Charter Mark was based, best practices of organisations who had achieved the Charter Mark were also used in the design of the criteria. An additional principle was added in the first year, viz. Encouraging Innovation and Rewarding Excellence. Assessment however, revealed that there were significant gaps in the implementation and understanding of the principles.

3.3.3.4 Department of Correctional Services: Excellence Awards

The Department of Correctional Services’ Excellence Awards are meant to recognise the contribution of those officials who have:

- Assisted in reducing escapes
- Promoted good governance
- Placed people’s needs first in the execution of duties
- Getting society involved, and

Honour those who selflessly gave themselves and sometimes their lives to ensure improved service delivery and public safety.

The Corrections Excellence Awards have eight categories that holistically promote the departmental values for recognising both individuals and teams that embody the ideals of the department as espoused in the White Paper on Corrections. They include:
• Good Governance Award;
• Batho Pele Award;
• Public Safety Award;
• Masibambisane Award;
• Mlombile Award (Posthumous Award); and
• Special Categories that include Awards of the Minister, Deputy Minister and National Commissioner. (These are completely discretionary).

3.3.3.5 VUNA Awards

Vuna Awards were initiated by the National Department of Local Government (Department of Corporate Governance and Traditional Affairs)

These awards were initiated to encourage municipalities to improve their performance and thereby contribute to the practical realization of the objective of creating better life for all.

These awards are divided into the following categories

• Category A (Metropolitan) Awards
• Category B (Local)
• Category C (District) Awards
• Key Performance Area (KPA) Awards

The criterion used to assess municipalities is based on Five Municipal Key Performance Areas such as:

• Service Delivery and Infrastructure Development
• Local Economic Development
• Municipal Financial Viability
• Municipal Transformation and Institutional Development
• Good Governance

There two Assessment process, the National and the Provincial. The Provincial Assessment panel will generate a short list of municipalities based on the scoring and weighting system.

Short-listed municipalities are invited to make further presentations to the Assessment panel to clarify issues emanating from applications.

The assessment team prepares an assessment report containing recommendations on the winners.

Reports presented to the Adjudication Panel
The winners of the Provincial Awards are automatically entered for the National Awards, with the exception of Metro municipalities who only complete on the national level.

The reward for the winners goes as follows.

- 1st Prize: Monetary and Award
  - Plaque or Trophy
  - National R 2,000,000
  - Provincial R 750,000
- 2nd, 3rd, and KPA Category: Plaque

4. DISCUSSION

Research conducted for this project revealed that there are certain processes to follow for all the recognition systems reviewed. These processes maintain coherence and promote efficiency in the implementation, as well as contribute towards maintaining the credibility of the recognition system. In this discussion, good governance within the public sector is defined within the context of the Good Governance principles, South African Constitution, the principles of Batho Pele and the South African Excellence Model.

4.1 Characteristics of Recognition Systems:

The findings relevant to a good governance recognition system will be discussed and considered to ultimately develop a recognition system, for the Provincial Government of the Western Cape.

Derived from literature, a comparison was conducted amongst an international, national, provincial, municipal recognition system and the PSEA. Comparisons were drawn and the following aspects pertaining to recognition systems will be discussed, namely the purpose/focus; categories; criteria; process; recognition; awards and ceremony and coordination:

4.1.1 Purpose/Focus

In reviewing the purposes and foci of the recognition systems it was established that the African Union, with its core purpose to recognise scientific achievements amongst other awards systems as discussed under key findings did not address the need of the Good Governance. The analysis indicates that the foci of New South Wales, Free State Province and the VUNA Awards systems is aligned to the focus of Good Governance as it acknowledges initiatives which are aligned to
strategic goals, objectives and measurable outcomes; are efficient and effective in terms of service delivery and implement the principles of Batho Pele.

4.1.2 Categories

A broad spectrum of categories is indicated, which are aligned to the specific focus of the various recognition systems. Two categories of Free State Province, namely Provincial Departments and Municipalities, as well as Community-based Projects (category of PSEA) and delivering better services and delivering on the Plan, as depicted at the New South Wales System, are aligned to the focus of the Good Governance.

4.1.3 Criteria

The criteria throughout the various recognition systems covers a broad spectrum, ranging from Service Delivery and Infrastructure Development; Local Economic Development; Municipal Financial Viability; Municipal Transformation and Institutional Development and Good Governance at the VUNA Awards, the 8 Batho Pele Principles indicated at the PSEA’s criteria, New South Wales criteria focuses on the relevance to the priority State plan or other sector wide plans; involvement of other state government partners and other organisations; consultation; innovation; outcomes; future scope and demonstrated benefit and sustainability. The Free State Province has a wide range of criteria, e.g. promoting a high standard of professional ethics; efficient, economic and effective use of resources; responding to people’s needs; departments operating in an accountable manner and transparency is fostered by providing the public with timely, accessible and accurate information.

4.1.4 Process

Entering the recognition system in the case of New South Wales, VUNA and PSEA is by means of nominations with voluntary application in the case of the African Union Scientific Awards. The majority of categories at Free State Province are done by nominations except in the categories of provincial departments and municipalities, which are compulsory.

The process in terms of reaching the final result per entry is similar throughout the recognition systems. There are appointed assessors conducting desktop analysis of questionnaires and provided evidence, which is also moderated and reported on, individual assessors/moderators or review panels competitively rank nominations from best to worst. Further judging is generally conducted on the short listed finalists by a judging panel or appointed adjudicators; this
includes site visits before a final decision is made with a recommendation to the Premier.

4.1.4.1. Methodology for Assessment

The previous paragraph indicates that an application/nomination to enter a recognition system initiate the phase for assessment, the methodology for conducting assessments, pertaining to provincial and municipal institutions and projects, is indicated below:

4.1.4.1.1 Recognition System Methodology: Institutional Assessment Criterion

In their book *Reinventing Government* Osborne and Gaebler (1993) define governance as ‘the process by which we collectively solve problems and meet our society’s needs — government is the instrument that we use’.

Governance encompasses not only government, but also the private sector and civil society (individuals and groups) and the systems, procedures and processes in place for planning, management and decision-making.

There is increasing emphasis on the leadership role of provincial and municipal government leadership in enhancing quality of life and promoting greater participation in the processes of governance. Kevin Sproats (1997) suggests that to achieve good governance institutions will need to:

• Treat their constituents as citizens with a broad stake in local affairs as well as simply citizens or clients of particular services.

• Exercise local community leadership, bringing people together for the common good and tackling difficult changes, rather than retreating to a narrow managerial style focused on a more limited role.

• Foster sound public judgement — informed and thoughtful debate within the community — rather than simply respond to often-ephemeral public opinion.

• Build the human and social capital of their communities, as well as managing financial and physical assets.

In addition to Kevin Sproats ideas an assessment tool will need to be developed to ensure that institutions practice good governance principles. In designing these tools the South African Excellence Model
(SAEM) will be incorporated into good governance principles as the SAEM assessment criteria are generic and can be used to assess both municipalities and provincial departments. (See Annexure A)

4.1.4.1.2 Community-Based Project: Team-Based Assessment Criterion

These Community based projects that are both driven at municipal and provincial level that demonstrate excellence, innovative approaches, or those significantly approved the lives of the citizens are eligible for nomination. They will be assessed based on the following performance measures:

- How was the need for the project determined?
  - Relevance and value add.
- How was the project management principles applied?
  - Project Charter
  - Resource allocation
  - Milestones and Timelines
- Was the committed deliverables achieved on time?

4.1.5 Recognition

The recognition method utilised in the various systems is predominantly an award (trophy or plaque) depicted in the New South Wales, Free State and PSEA Systems with a combination of monetary and award found in the VUNA System, in terms of the 1st prize. The 2nd, 3rd and KPA Category is also an award (plaque). The African Union Scientific Awards are exclusively focused in giving monetary rewards.

4.1.6 Rewards

Achievement in the New South Wales, Free State and PSEA systems are awarded in three categories, namely Gold, Silver and Bronze. The VUNA Award are in the categories of 1st, 2nd, 3rd and KPA Category.

4.1.7 Ceremony

All recognition systems have an annual awards ceremony.

4.1.8 Feedback and capacity building

After the awards ceremony phase has been concluded annually, all entrants will receive a feedback report highlighting good practices and areas of improvement. The feedback report will include Performance Improvement Plans and recommendations to address areas of improvement.
4.1.9 Coordination

In three of the recognition systems the Coordinating Department is the Department of the Premier (New South Wales; Free State Province and PSEA) whilst the Department of Local Government and Housing coordinates the VUNA Awards, with the African Union Commission being the coordinator of African Union Scientific Awards.

Further to the Coordinating Department, Steering Committees are also utilised e.g. with the VUNA awards, there is a National Steering Committee involved in the process, responsible for the following:

- Coordinating and managing the activities of the Municipal Performance Excellence Awards;
- Constituting the national assessment team;
- Ensuring that the provincial and national assessment and adjudication processes are completed within national timeframes;
- Ensure that the national and provincial assessment teams adhere to the prescribed principles and rules when assessing and adjudicating for the VUNA Awards;
- Identify and recommend members of the national adjudication to the Minister responsible for Local Government;
- Develop and implement mechanisms to promote the VUNA Awards nationally;
- Work closely with provinces to ensure the successful implementation of both the provincial and national VUNA Awards;
- Ensure that members of the provincial and national assessment and adjudication teams declare their interest before the commencement of these processes; and
- Appoint a process auditor to serve as an independent observer and advisor to the assessment and adjudication teams on the rules of the VUNA Awards.

5. CONCLUSION

In view of the findings and related discussions and motivations as contained in this document, the following conclusions were made and related recommendations regarding Good Governance Recognition System for the Western Cape. The principles of Good Governance have been used as a base in designing the criteria of Good Governance Recognition System. In doing so the South African Excellence Model (SAEM) assessment criterion are incorporated into the Good Governance Recognition System assessment tools to strengthen and give credibility to
Good Governance Recognition System will have three categories namely Provincial departments, Municipalities and community-based projects. The process of entry will be voluntary and assessors, moderators and adjudicators will be appointed by the steering committee.

Furthermore, the proposed interventions in this project will mainly focus on the following areas:

**5.1 Purpose of the Good Governance Recognition System**

The Department of the Premier of the Western Cape initiated the Good Governance Recognition System project in 2009 to recognise and reward Provincial, Municipal and community-based project performance.

**5.2 Objectives of the Good Governance Recognition System**

Objectives of the Good Governance Recognition System are to:

- Function as a recognition system for Provincial, Municipal and community-based projects by incorporating principles of good governance, into all aspects of performance;
- Serve as a mechanism for continuous improvement regarding the implementation of good governance principles by Provincial Departments and Municipalities; and
- Recognise good practice in terms of good governance by Provincial Departments and Municipalities, and ensure that these are shared.

**5.3 Categories of the Good Governance Recognition System**

The following three categories have been identified for Good Governance Recognition. These are:

- Provincial Departments;
- Municipalities; and
- Community-based Projects (Dashboard)

**5.4 Criteria of the PGWC Recognition System**

The principles of Good Governance form the criteria for assessment.

**5.5 Process**
The process as indicated below and briefly discussed for clarity on the Phases, to form the process for the PGWC Good Governance Recognition System.

**Figure 2: Recognition System Process**

1. **Phase 1: Advocacy and PR Campaign of Good Governance Recognition**
2. **Phase 2: Call for Applicants to PGWC Provincial Departments, Local Municipalities and Projects**
3. **Phase 3: Receive Applications**
4. **Phase 4: Assessment**
   - Verify information submitted by applicants
   - Short list best applicant in each category
   - Invite short listed departments and municipalities to make presentations before the assessment team
   - Develop a comprehensive assessment report
5. **Phase 5: Adjudication**
   - Assess the submissions and recommendations presented by the assessment team
   - Evaluate the process that was followed to short list
   - Select the winners in each category
6. **Phase 6: Award Ceremony**
   - A special Recognition System on based on best-improvement at the discretion of the Premier.
7. **Phase 7: Feedback**

Modernisation Programme: Work Stream Face of the Province
• **Phase 1: Advocacy and PR campaign**

The marketing of the Recognition System becomes one of the most critical aspects of the Recognition System process, because the implementation of the Recognition System can only take place once it has been marketed to the departments and the municipalities, and the Recognition System have been positioned in such a way that the stakeholders buy into it. In addition, all information relating to the Recognition System, particularly the assessment and adjudication processes must be made known to all participants, so that they are aware of the assessment criteria well in advance. This will provide all participants with the criteria so that they may structure their entries into the Recognition System accordingly, and with the requisite portfolio of evidence. In this way, the credibility of the Recognition System is maintained.

• **Phase 2: The Call for Applications**

Upon conclusion of the marketing of the Recognition System, a call for entries will be made. Although it will compulsory for provincial departments and municipalities to enter for recognition, a call for entries will still be made to signal the start of the process, and to provide a date for when entries will be accepted.

• **Phase 3: Receipt of Applications**

Once the call has been made, departments and municipalities are required to complete and submit information as required in the application form, and the HOD or Municipal Manager will need to sign the form to confirm the accuracy of the information submitted. Each department will be provided with a date for the assessment process.

• **Phase 4: The Assessment Process**

The assessment process exists to verify information submitted by applicants. A comprehensive report will be drafted for each entry, based on the criteria and presentations made before the assessment team. *(Annexure A)*

  - **Assessment team**
    - This will consist of 6 Municipal Assessors and 6 Provincial Assessors from provincial departments.
• **Process**
  - To ensure unbiasedness, fairness and credibility to the process the municipal assessors will assess the provincial departments and the provincial assessors will assess the municipalities.
  - Municipal representatives will do presentations representing the municipalities and Provincial department representatives will do presentations representing the provincial departments.
  - 12 presentations would be done by the provincial departments (as there are 12 departments) and 30 presentations would be done by the municipalities (as there are 30 municipalities in the Western Cape).

• **Responsibility**
  - The primary responsibility of the assessment team is to manage provincial and municipal assessment process.
  - The assessors will be responsible for verifying information submitted by departments and municipalities by doing a thorough desktop analysis of information (i.e. Evidence received).

Based on the assessment tool and desktop analysis a shortlist of participants will take place where an invite will be sent to short-listed departments and municipalities to deliver presentations before the assessment team.

Scoring would then take place done by the municipal and provincial assessors.

Thereafter a comprehensive detailed assessment report incorporating all the 9 set criteria and adherence to the criteria would be contained in an Assessors Report containing the recommended municipalities and provincial departments.

These recommended provincial departments and municipalities would be elevated to the next phase of GG Recognition System,

• **Phase 5: The Adjudication Process**

Assess the submissions and recommendations presented by the assessment team. Evaluate the process that was followed to shortlist the winners. Winners are selected in each category.
- **Adjudication Team**
  - The adjudication team will consist of the following people: Western Cape Public Service Commissioner (Chair), A representative from one of the National Departments Awards project manager, the CEO of Centre for Public Service Innovation (CPSI), a representative from Vuna National, an external auditor.

- **Process**
  - The assessment team in Phase 4 recommend to the adjudicators the shortlisted applicants that have successfully qualified in the adhering to the Good Governance principles per category and have scored well in the presentations and have shown compliance to the APP.
  - The adjudicators utilise the Assessors report and have an option of calling back the relevant parties to redo a presentation, either to ask questions for clarity, gain more knowledge if it was not clearly presented.
  - The adjudicators utilise the Auditors Report of both the municipalities and provincial departments as verification tool in conjunction with the Assessors report.
  - It's within this process that the top **9 applicants** (3 Local Municipalities, 3 Provincial departments and 3 Community-based projects) are chosen to compete for the 1 Gold, 1 Silver, 1 Bronze (Municipal Category) and 1 Gold, 1 Silver, 1 Bronze (Provincial Departments Category).
  - The chairperson of the adjudication team and the process auditor shall sign off the adjudication report that will be presented to the DG.
  - The decision of the adjudication panel shall be final.

- **Responsibility**
  - The primary responsibility of the adjudication panel is to assess the submissions and recommendations presented to them by the assessment team.
  - Evaluated the process that was followed to shortlist applicant in each category to establish whether there was consistency with the rules of the competition.
  - The adjudicators select the winners to be awarded in **Phase 6: Award Ceremony**.
Phase 6: The Recognition System Ceremony

The Premier will host the special Recognition System Ceremony to present the winning departments, municipalities and teams responsible for community-based projects.

Phase 7: Feedback

After the assessment process, departments and municipalities will receive feedback reports, highlighting areas of strengths and weaknesses, and specifically areas for improvement. The Good Governance Steering committee, working together with the Public Service Commissioner and Departments of Local Government in terms of municipalities, will assist the departments and municipalities to develop Performance Improvement Plans (PIPs) to address weaknesses identified through the Good Governance.

6. RECOMMENDATIONS

In view of the key finding and related discussion and conclusions, it is recommended that:

6.1.1 The Good Governance Recognition System as the uniform approach for assessing and recognising the performance of provincial departments, municipalities and community-based projects be approved.

6.1.2 A Steering Committee consisting of members of the departments, Provincial Treasury, Local Government and Housing, and the Premier to facilitate and coordinate the Good Governance Recognition System within the Province be approved.

6.1.3 The Provincial Good Governance Recognition be placed within Department of the Premier for coordination and facilitation by the Chief Directorate: Organisation Development.

6.1.4 The Municipal Good Governance Recognition be placed within Department of Local Government and Housing.
7. HUMAN RESOURCE IMPLICATION

The principle of resources follow function will apply for the execution of this programme.

Any personnel implications resulting from the implementation of this programme will be handled in accordance with the provisions of the Labour Relations Act, 1995.

8. FINANCIAL IMPLICATION

8.1 Good Governance Budget Estimate

The projected annual expenditure to implement the Good Governance Recognition System will amount approximately R1 081 000.
## 9. ANNEXURE

<table>
<thead>
<tr>
<th>No</th>
<th>Good Governance Principle And Description</th>
<th>Criterion</th>
<th>Performance Measures</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Efficiency and Effectiveness: Process and institutions produce results that meet needs while making the best use of resources</td>
<td>Resources and Information management</td>
<td>• How financial resources are managed; • How information resources are managed; • How buildings, equipment and other assets are managed; and • How processes are changed and the benefits are evaluated.</td>
<td>• Auditor General report; • Annual report; • Budget Vote Report; • Strategy for access to information; • Batho Pele and Infrastructure interventions; • Asset Register; • File Plan; and • Front office reform intervention.</td>
</tr>
<tr>
<td>2</td>
<td>Participation: To encourage all citizens to exercise their rights to express their opinions in the process of making decisions concerning the public interest. Transparency: Processes, institutions and information are directly accessible to those concerns with them, and enough information is provided to understand and monitor them. Consensus Orientated: Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved.</td>
<td>Community and Citizen focus</td>
<td>• How community and citizen needs are determined; • How community and citizen information is collected and used; • How community accessibility is maintained and complaints are managed; • How is community needs accommodated in the development of the service delivery improvement programme; • How does the organisation communicate and inform communities; and • The extent to which the organisation implements and initiates the implementation of developmental programmes.</td>
<td>• Citizen surveys; • Community Outreach programmes; • Complaints and redress mechanisms; • Service Delivery Improvement Plans; • Service Charters including office hours, Services and Standards; • Management structure and contact details; • Website; • News Letters; • Flyers; • Posters; • Budget; • Strategic Plans; • Annual performance Plans; • Information with regard to job creation and how poverty were alleviated with the implementation of the programmes; and • Information on how project management principles are applied in the</td>
</tr>
<tr>
<td>No</td>
<td>Good Governance Principle And Description</td>
<td>Criterion</td>
<td>Performance Measures</td>
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<td>3</td>
<td><strong>Responsiveness</strong>: To increase the sensitivity of government administrators to the aspirations of citizens.</td>
<td>Community and Citizen Satisfaction</td>
<td>• Community and citizen perception of the organisation services; and • How operational processes are reviewed and targets are set for improvement.</td>
<td>Implementation and monitoring of the programme.</td>
</tr>
<tr>
<td>4</td>
<td><strong>Rule of Law</strong>: Legal and policy frameworks should be fair and enforced impartially.</td>
<td>Policy and strategy</td>
<td>• How policy and strategy are based on information which is relevant and comprehensive; • How policy and strategy are developed; • How policy and strategy are communicated and implemented; and</td>
<td>Strategic Plan; Policies relating to government line function mandates; and Policies relating to government support function mandated</td>
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<tr>
<td>No</td>
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<td>Criterion</td>
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<td>5</td>
<td>Accountability: Decision-makers in government, private sector and civil society organisations are accountable to the public, as well as to institutional stakeholders</td>
<td>Organisation Results</td>
<td>• Financial measurements of organisation performance; • What steps were taken to implement the fraud prevention plan.</td>
<td>• Fraud prevention plans; • Auditor report; • Monitoring and evaluation system; • 2% variance on budget; and • Supply chain management process compliance with prescribed directives.</td>
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<tr>
<td>6</td>
<td>Equity: All employees have opportunities to improve and maintain their well-being</td>
<td>Employee Management and Satisfaction</td>
<td>• How People capabilities are sustained and developed; and • Employee’s perception of the organisation.</td>
<td>• Human Resources Plan; • Work Skills Plans; • Individual Development plans; • Number of funded approved post and funded vacant posts per salary level; • Employee satisfaction survey reports; • Employee health and wellness programme report; and • Competency assessments for recruitment and development.</td>
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<tr>
<td>7</td>
<td>Strategic Vision / Professionalism: To enhance the capacity and moral disposition of government administrators so that they are capable of providing easy, fast, accurate and affordable</td>
<td>Leadership</td>
<td>• How leaders visibly demonstrate their commitment to a culture of performance excellence and good governance; • How leaders support</td>
<td>• Strategic Report; • Annual Performance Plans; • Individual performance recognition; • Performance appraisal reports; and</td>
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<tr>
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<td></td>
<td>services</td>
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<td>improvement and involvement by providing appropriate resources and assistance; • How leaders are involve with citizens, partners and supply chains; and • How leaders recognise and appreciate people’s efforts and achievements.</td>
<td>Audit Report.</td>
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</tbody>
</table>