

AFRICA'S PUBLIC SERVICE DELIVERY AND PERFORMANCE REVIEW



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Editorial note

Edwin Ijeoma

The need for overwhelming support in using the 2015 International Year of Evaluation to creating awareness in Governments and institutions alike all over the world is presently being felt as the need for accountable and transparent governance in the wake of the target year of reaching the United Nations development goals. In this edition, the first article authored by Masuku and Ijeoma, *"A global overview of Monitoring and Evaluation and its meaning in the local government context of South Africa"* provides a new dimension of how relevant the culture and tradition of a people need to be put into consideration in developing and utilisation of monitoring and evaluation tools.

On one hand, Byamugisha and Basheka's second article is detailed on *"Evaluating the budget and efficiency of the security, justice and governance cluster in Uganda: An empirical analysis."* The article provides a chronicle of events, trends and options available for improving the discussed platform; while on the other hand, the third article *"The performance evaluation system in Pakistan's civil service,"* authored by Tanwir and Chaudhry provides a bird's-eye view on the need for strict adherence to Monitoring and Evaluation guidelines for improved work performance in the public service. Afegbua's fourth article titled *"Professionalization and Innovations in Nigerian Public service: How far the dream of Success"* suggests the need for professionalising public service in Nigeria, which the articles articulates as one of the major reasons that stifles innovation in the sector. The fifth article authored by Thakrar and Minkley titled *"Re-Imagining the Eastern Cape Province: Sustainable Human Development from the Perspectives of the State, Civil society and University"* put human development in the core of the Eastern Cape development agenda, and its sustainably into the future. The sixth article by Diani, Ijeoma and Zhou attempts to x-ray some green city policy issues in an article titled *"Implementing the green city policy in municipal spatial planning: The case of the Buffalo city Metropolitan Municipality."* The seventh and the last article in this edition by Igbokwe-Ibeto titled *"Re-inventing Nigeria's Public sector: A review of National Agency for Food, Drug Administration and Control"* carefully articulates a policy shift and the

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need for a greater policy and operational improvement towards achieving the organisational objectives.

EOC Ijeoma Chief Editor

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A Global Overview of Monitoring and Evaluation (M&E) and its Meaning in the Local Government Context of South Africa

ARTICLE

MASUKU, Ngeengelezi W.K. | IJEOMA, EOC

Abstract

The article explores the global overview of M&E from the ancient governance perspective that has been ignored by the modern government in the African contest. African M&E approach is required in the local rural municipalities due to its complex and diverse set of problems. These problems are as a result of leadership dichotomy which is witnessed between Amakhosi and municipal authorities. Amakhosi have a role to hold municipal authorities accountable from a Citizen-Based Approach.

The underlying philosophy of the article is not about the discourse of the modernists and traditionalists around the evolution of M&E, but is how and in what ways M&E should be designed and planned for the implementation of a successful relevant M&E approach for

local rural municipalities. The article made use of secondary data, gathered from various sources. Case studies of the international countries were also sourced through desktop to ascertain their best practice on M&E. The article concludes that the lack of M&E approach for the local government in the rural municipalities requires the Participatory Monitoring and Evaluation (PM&E) approach to allow stakeholders, including Amakhosi to assess the performance of the rural municipalities. The study is significant to the local and internal public scholarship of public administration since it bring approaches in M&E policy in the field of public administration. For example, indigenous African knowledge is critical in knowledge management.

Keywords: Planning, Monitoring and Evaluation, Accountability, Traditional Leaders, Governance

Introduction

The advent of globalisation has produced growing pressures on governments and organisations around the world to be more responsive to the demands of the stakeholders, which include government departments, parliaments, citizens, Amakhosi (traditional leaders), the private sector, Non-Governmental Organisations (NGOs), civil society, international organisations, and donors. They are demanding good governance, accountability and transparency, greater development, effectiveness, and delivery of tangible results (Kusek and Rist 2004: 1). In light of the above, the local government has a huge responsibility to fulfil this responsibility since it is the coal-face of service delivery. This requires a relevant M&E approach for local government to foster accountability.

The purpose of this article is to review and reflect on where the world once was, against where it is now, and where it is heading in terms of M&E. This particularly relates to traditional governance from Stone Age information perspective which seems to be forgotten by the modern government. For example, the uThungulu District Municipality (UDM) Auditor General Report (2011) indicated that the municipality did not involve Amakhosi in the Integrated Development Plan, and M&E in the rural municipalities.

From a traditionalist point of view, literature has been very scarce in the evolution of global M&E in the traditional governance approach. This has led to the ignorance of the traditional governance and their ancient intellectual property, which is key in the modern local governance, particularly in the rural municipalities. From a modernist perspective, the meaning of the M&E in the global context has not only been critical for both national and provincial government in SA, but it cuts across all the spheres of government, including the local government. In this regard, it was not only significant for urban local government, but is also critical for the rural local government. The next paragraph will be examining the conceptualisation of M&E to clarify the difference between monitoring and evaluation.

Definition of M&E

M&E are two distinct elements, but they complement each other. M&E should be understood as a managing tool that provides clarity to all stakeholders as to why certain activities are undertaken. Monitoring is a continuous function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention. This is defined with indications of

the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, programme or policy, in relation to its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability (Public Service Commission 2008).

Research questions

- What is a global overview of M&E in relation to its meaning in South Africa local government?
- What is the view of the traditionalists and modernists on matters of governance and its M&E application approaches?
- What should be a suitable M&E alternative of the modern local governance in the rural municipalities?

Research objectives

- To assess a global overview of M&E in relation to its meaning in South Africa, particularly the local government.
- To ascertain the scholarly debates from the traditionalists and modernists on matters of governance and its M&E application approaches.
- To recommend PM&E as future approach of the modern local governance in the rural municipalities.

Methodology

A qualitative descriptive and exploratory study approach was used in this journal article as a way of drawing secondary sources. According to Mouton 2001:79, exploratory research is based on the research subject that has not been defined. From a descriptive research perspective, the researcher has been in the UDM long enough to observe the silent problem regarding the participation of Amakhosi in the modern governance through Monitory and Evaluation (M&E) in UDM, which has not been explored. It is in this context that the researcher is exploring the possibilities of their involvement in modern government. Exploratory research helps to determine whether to proceed with a research idea and how to approach it.

Case studies in public administration prepare future administrators for challenges, particularly those left by apartheid legacies. In addition, they will be able to know how to restructure their departments; draw up policy proposals, etc. International experiences must be introduced to challenge the local experiences that they are faced with for broader understanding of various issues and problems solving (Schutte, Schwella and Fitzgerald, 1995: 4). Given this background, the three selected comparative case studies, included the Swaziland, Botswana, and Saudi Arabia. Interestingly enough, the importance of these countries shows that traditional governance is being integrated into modern governance, particularly in planning and M&E. Lessons born out of experiences will be drawn within the context of South Africa for the success of the study within uThungulu District Municipality, which main case study in this article.

The researcher also consulted different sources to ensure quality of the article. Subsequently, relevant sources of this research were fairly and professionally scrutinised, understood and tested with the available literature for the purpose of the research. *Inter-alia*, it included scan-reading, comprehensive and critical reading, and writing down ideas. Subsequently, the article reviewed a large number of publications in a limited period of time. The purpose was to identify the relevant publications and apply them in the research (Brynard and Hanekom, 1997:12-14).

Limitation of the study

The study did not focus on the technical expert of M&E in relation to Amakhosi. This is because Amakhosi do not have the capacity on how to develop M&E in the modern context.

M&E in the traditional government from the ancient context

The modernist argued that the evolution M&E started in the western countries. However, traditionalists argued that M&E is not a new concept in Africa, but it has existed in the form of traditional governance during the Stone Age. It is so unfortunate that literature in the global overview of M&E overlooked the evolution from the Stone Age context as discussed in this section (Rugege 1998).

Rugege 1998 claimed that traditional governance has been the basis of local government. In this regard, community participation in decision-making and reporting

was based on the agreed plans through traditional gathering (imbizo). Izinduna¹ (head chiefs) from different places were reporting on their different places based on progress, and interventions thereof. The issue of accountability was highly emphasised based on the responsibilities that were delegated by Inkosi to Izinduna. The essence of the traditional governance was that the community was represented through Izinduna in decision-making. The community was updated with respect to the plans as well as progress being made in their areas.

Reporting and Citizen based evaluation of traditional leaders

Pre-colonial traditional leaders were answerable to their communities and its structures. Instruments of state policy charged with carrying out instructions from the state. The ancient approach reveals that decisions that affected the traditional community were usually made by the traditional leader who consulted with councillors representing the interests of the community. It should however, be noted that not all traditional leaders were 'angels' or benevolent, generous, and carrying towards their constituencies. By virtue of nature, some of them were tyrannical and oppressive, and this was not the interest of their people. As a result, people showed their disapproval of unpopular Amakhosi by moving to the areas of the more popular leaders. In other regions, unpopular Amakhosi were deposed or killed (Zungu, 1999-2001). The researcher is of the view that this approach is required in the modern local government. In this regard, poor performing and arrogant local municipal authorities should be removed.

The principle of the traditional leadership has been defined by the historians and anthropologist as they attest that traditional leaders ruled largely with the consent of their people. From the performance management perspective, those Izinduna that were not performing were removed at any time if their performance was unsatisfactory. The Induna's function was to represent his ward at the tribal council, to allocate land to new residents (who had been approved by the chief-in-council and accepted by the existing community members), to collect taxes, maintain law and order as well as the resolving of minor cases that, if unsettled, would be referred to the chief. However, before a leader was removed, there were serious measures that were being looked at in terms of capacity building, coaching, and other assistance (Zungu, 1999-2001).

¹ Izinduna refers to the headman or traditional councillor for a village or a ward in the traditional authority."

Training and development

The ward council, which is similar to the chief-in-council, would assist the Induna in performing community services. Each ward also has several functionaries that perform tasks on behalf of the inkosi. There was Induna yezinsizwa² who would be responsible for training and exercising young warriors. He would be answerable to the chief and from time to time would be called on to present his men to the chief. This authority system continues down to the unit of the nuclear family, which consists of a "head", who has final authority. It is argued that tasks were or are handed out according to the age, capability and accepted practices within the particular traditional authority. After the sons married they would not leave their father's house, but would become part of the homestead or *umuzi*³. As an *imizi* grew with time, it would develop into a settlement where clusters of the clan would be found (Zungu, 1999-2001).

Global M&E trends from a modern context

In the context of Africa, literature review reveals that Egypt is a father and founder of M&E in the world. The ancient Egyptians regularly monitored their country's outputs in grain and livestock production more than 5,000 years ago. This shows that M&E is certainly not a new phenomenon in Africa. Developed countries followed suit in the modern M&E, particularly those of the Organisations for Co-Operation and Development (OECD), have had as many as 20 years or more years of experience in M&E. Both OECD and developed countries have created evaluation cultures and M&E systems in response to varying degrees in response to internal and external pressures. Developed countries have further chosen a variety of starting points for implementing results-based M&E systems. This is including whole-of-government, enclave, and mixed approaches (Kusek and Rist, 2004: 2).

The researcher argues that the evolution of M&E has introduced various approaches like Result Based Monitoring and Evaluation (RBM&E). It is essentially a special public management tool that governments can use to measure and evaluate outcomes, and then feed this information back into the on-going processes of governance and decision-making. The researcher is of the view that it is so unfortunate that other approaches like PM&E has not been given attention which is also necessary to

² Induna yezinsiwa refers to the leader of a team of the traditional young man

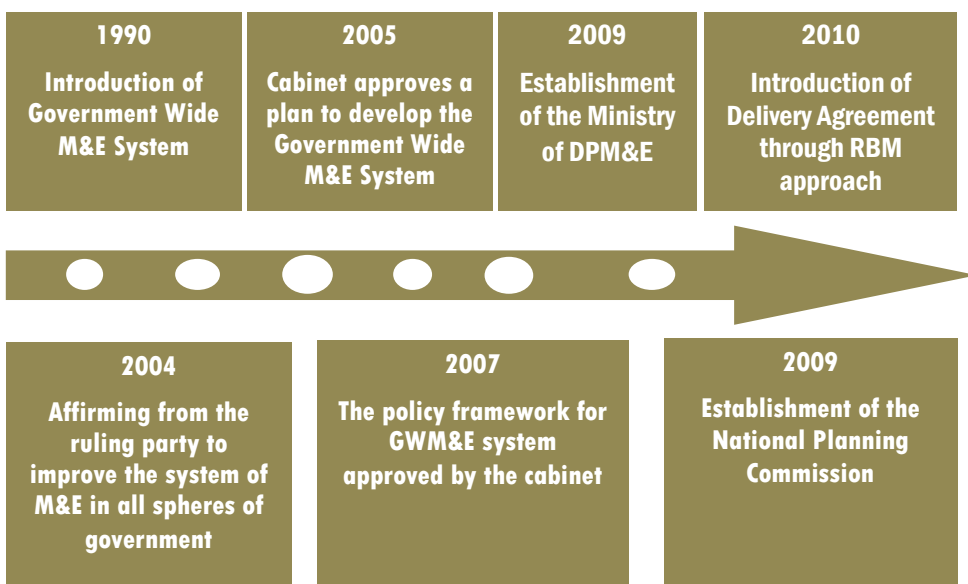
³ Umuzi refers to a homestead. In a plural form is imizi (homesteads).

complement the RBM&E. PM&E is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, program or policy; share control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions.

Evolution of the participatory M&E in the global context

The beauty of this approach is that it departs with a participatory approach. It also inculcates the principle of involvement and empowerment, and citizen based approach (Kusek and Rist 2004:23). It is regrettable that not all countries have applied this approach in the M&E context, including SA, argues the researcher.

Table 1: Evolution of M&E in South Africa



Source: Bosch 2012. Evolution of M&E in SA

Poor programme performance of the government attracted the attention of the African National Congress (ANC) government to monitor and evaluate the programme performance. Subsequently, M&E found a space in the lens of the government. Bester 2009 argued that M&E practice in the South African government is at an interesting

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point in its evolution. Previously M&E was a term known only to a handful of government officials who had been exposed to the practice through donor agencies and through exposure to M&E in other countries. The above table traces the humble genesis of M&E in the South African public sector. In the first 5 years of the post-apartheid government, it is argued that very few departments engaged in any systematic M&E of their policies and programmes. The early attempts by government to introduce Government-Wide M&E (GWM&E) have its inceptions at the late 1990s. Unsuccessful cases of these attempts have led to the renewal effort at GWM&E in 2004. The 2004 Election Manifesto of the Ruling Party gave birth to the identification priority of M&E (Bester 2004).

The intention was to improve the implementation of all these programmes, through stronger M&E units at national, provincial and local level. This heralded the approval of a plan geared to develop the GWM&E in 2005 across government. The Presidency was given the task of leading the effort, with other key role players, namely, the National Treasury, the Department of Public Service and Administration, the Department of Provincial and Local Government, the South African Management Development Institute, the Public Service Commission and Statistics South Africa (Bester 2009). The policy framework for the GWM&E system was approved in 2007. However, it is noted that the introduction of GWM&E System came with challenges. These challenges emanated from the original confusion reigned when it was thought to be an information technology system (Bester 2004).

Since its inception, the GWM&E System has spearheaded the National Development Indicators project. The government has released an annual publication on 76 development indicators linked to the development priorities of government and in some instances to the Millennium Development Goals. The Programme Performance Information Framework is in use by government departments, though the extent of usage is variable (Bester 2004).

The 2009 elections heralded the new administration under the stewardship of President Zuma. A question at heart of M&E has been around its strategic location in the institution/organisation. Hitherto, M&E experts or practitioners, policy analysts, and policy makers are in the same vein that its strategic location must be within the head of the institutions. President Zuma demonstrated his resolve to improve public sector performance and service delivery. In this regard, he established the Ministry of the

Department of Performance Monitoring and Evaluation (DPM&E) and National Planning Commission (NPC) in 2009. This has catapulted M&E to greater prominence. Bosch (2011) argued that the establishment of NPC was based on the premise that, to get results depend son much more than good financial management. Government agreed that for any organisation, public or private, delivery depends on the quality not only of the financial side of its balance sheet, but also of its real side - the quality of its people, and how effectively they are deployed and led (Bester 2004).

Indeed, this establishment has generated a great deal of interest in the evaluation of communities around the world. In September 2009, the Ministry issued a Green Paper: *Improving Government Performance: Our Approach*. Through this approach, a set of 12 Outcomes in 2010 were approved. This set the strategic agenda for government. This was followed by the introduction of the National Evaluation Framework in 2011. It is the last of the three policy elements introduced in the Policy Framework for the GWM&E system as approved by Cabinet in 2005. The other two elements are programme performance information and quality of statistical data. Its main purpose is to promote quality evaluations which can be used for learning to improve the effectiveness and impact of government. Subsequently, it should reflect on what is working and what is not working and revising interventions accordingly (Bester, 2004).The researcher proposes the focus should be on Citizen-Based M&E which should be informed by PM&E in rural areas.

Aims of the GWM&E

According to Bester (2004), the aims of GWM&E are as follows:

- To serve as an integrated and encompassing framework of M&E principles, practices and standards for use in all spheres of Government and
- To serve as an apex-level information system that draws on component systems.

Result Based M&E

This is a powerful public management tool introduced by the World Bank. It can be used to help policy-makers and decision makers to track progress and demonstrate the impact of a given project, program, or policy. It differs from traditional implementation-focused M&E defined by compliance. In this regard, it moves beyond an emphasis on inputs and outputs to a greater focus on outcomes and impact (Kusek and Rist 2004:1).

The researcher is of the view that RBM&E is operating at the strategic level, which creates difficulties for the local citizens to be in touch with the provincial and national government. It is in this context that PM&E approach should be applied in local government in order to complement the RBM&E based on the fact that PM&E operate at the local level.

Challenges facing developing countries in M&E

According to the proceedings of the SAMEA 2013, some of the problems discussed below are applicable to the developed countries. However, most of these challenges are found mostly in the developing countries including SA.

Designing M&E

Designing M&E in a developing country is difficult and should not to be underestimated. This process cannot happen overnight. Despite The fact that many of the developing countries are considering a serious construction of M&E system, it should not be dismissed that many of them found it too complicated, too demanding, or too sophisticated for a developing country to undertake. Finding good information on how to develop M&E system is a remedy for them (Kusek and Rist 2004: 32-34). In light of the above, the researcher argues that M&E approach for local government, particularly in the rural municipalities is also a challenge. As a result, rural municipal authorities are not held accountable.

Context challenges

The major concern is that the current M&E is a western approach, and it cannot address all African problems, particularly in the rural areas. Africa as a developing country is a unique continent based on its cultural dynamics, history, politics, knowledge systems, and languages. M&E is still a challenge in Africa based on the fact that the current M&E approaches are borrowed from the international countries that are outside the scope of the African context. M&E practitioners always focus on indicators instead of context. As a result, the continent is missing a lot of context in the program design (SAMEA 2013).

Cooperation and coordination

Many public institutions are still facing coordinating challenges. There is a culture of working in silos versus uniformity in the government departments. Institutions of higher learning are always left behind; instead of funding them to run the M&E academic courses (SAMEA 2013). In light of the above, the researcher argues that government is not consulting Amakhosi, which is the important layer of government in the rural municipalities.

Institutional challenges

Many developing countries are still struggling to put together strong and effective institutions. Some may require transformation in their public service guided by well transformed legal and regulatory frameworks (SAMEA 2013). The researcher is of the view that proper transformation of local government, particularly in the rural municipalities will be deemed acceptable once the layer of traditional governance is recognised in the municipal processes, particularly in planning, and M&E.

Lack of stakeholder involvement

The main challenge is that many developing countries have missed the importance of stakeholder participation in planning and M&E (SAMEA 2013). This has deprived the opportunity for local citizens to make inputs in decision-making, particularly in M&E. As a result, the existing M&E approach which is sometimes assumed as being elite-driven, has not benefited the communities especially in rural municipalities, argues the researcher.

Compliance M&E

Compliance M&E, instead of RBM&E approach has been a culture in the public sector. This has not showcased the real results on the ground. The focus on outputs than outcomes and impact is still a challenge. A question at heart from the performance management perspective has been that "so what if outputs are achieved, but not results" (Kusek and Rist 2004: 32-34).

Linking planning, budget, priorities, and M&E

The current challenge in many countries is the budget constraints towards developing and institutionalising their M&E system. Linking budget, planning, and priorities, and M&E is a challenge that is also experienced by developed countries (Kusek and Rist 2004: 32-34).

Lack of integration with other strategic approaches

The problem with M&E is that it is not integrated with the strategic plans of the organisation. This is conceptually and contextually incorrect because there is no way that strategic planning, and M&E can work in silos. Both strategic planning and M&E should find each other. Immediately a strategic plan is developed, these strategic plans should be monitored and evaluated (SAMEA 2013).

M&E challenges in South Africa:

Lack of evidence and truth

Sometimes government officials forget that M&E is about to be human in term of telling the truth to the citizens. This has been witnessed by incorrect reports. For example, President Zuma indicated that he has been misled by the officials. There is a culture of isolating the principle of fairness in terms of involving the community as the rightful stakeholders. For example, traditional leaders are always excluded in planning, and M&E (Sithole and Mbhele, 2008; SAMEA 2013).

Elite capture versus stakeholder involvement

Elite capture is a problem in Africa. Most of the problems that have been identified are vague. Lack of citizen's participation as the beneficiary has been missing. Most of the problems have been identified, and captured by the elites at the expense of the citizens (SAMEA 2013).

Lack of coordination

M&E is a strategic management function because it works with other plans. This requires working in collaboration with other people. The big challenge is that there are many solutions, and the government is expected to run them. Assumption made here is that

this is not working because there is no one size fit all. Instead, it is a matter of adaptation, and customize in the government environment. Many government departments are still working in silos instead of sharing knowledge (SAMEA 2013).

Implementation of priorities and their impact

The South African public sector is still focusing on outputs than on outcomes as supposed to be the key focus of the RBM&E. Finding ways of assessing the impact of their policies and programs is still a challenge. This is particularly true especially on how South Africa assesses its progress in achieving the Millennium Development Goals (SAMEA 2013).

Absence of the M&E legislation

The government's Green Paper states that it may consider introducing legislation on M&E. It is not clear what the aim of such legislation would be as there are already Acts, regulations and policies that require government departments to account for their use of resources and for their performance. Specific legislation to enforce M&E practices will not necessarily improve M&E. Legislation could have the unintended consequence of getting people to focus on minimal compliance (Bosch 2011).

Capacity constraints

The continuous challenge faced by the government departments is that their personnel are not capacitated on M&E, particularly On Evaluation. There is too much dependency on consultants (SAMEA 2013).

Absence of theory of change

Theory of change applies to every project. It starts with the problem identification, and end with the solution. Minister of DPME, Chabane asserted that it is however noticeable that most of the government programs are solution-driven without problem identification from a situational, and feasibility perspective. The government's inability to respond to the citizens' needs is based on common sense without understanding the causes of the problems. There is a culture of providing drugs instead of providing them clean water (SAMEA 2013).

Failure to recognise mistakes

This is a challenge that is also facing developed countries. Many government institutions are rushing for good results irrespective of mistakes. A need to recognise failure and plan for them is a challenge in the public sector (SAMEA 2013).

Information and Communication Technology (ICT) and donors versus M&E methods

The government is facing a serious challenge of convincing donors to accept M&E methods other than ICT as a means of evaluating the results. Donors are manipulating the government because they control the purse strings. Changing the dominating ICT community in evaluation is a daunting challenge facing the government. These ICT tools are not contributing on the needs of the local citizens (SAMEA 2013).

Evolution of M&E in the local government context

The advent of M&E in South Africa did not attract the attention of both provincial and national government. But the poor performance of the municipalities calls for the application of M&E in local government. The environment in which local government has to operate is fragile due to its complex challenges that are faced with. The advent of democracy has awakened the people about their rights, and also their involvement in decision-making. However, the researcher argues that strategic planning for PM&E has never been implemented for both traditional leadership and modern local government. The reality is that municipalities in South Africa are currently undergoing transformation. This requires flexibility and strategic planning with emphasis on PM&E where the municipal authorities signed performance agreements with traditional leaders from a citizen based M&E to enforce accountability (Waldt et al. 2007).

Challenges of local government:

Elite capture versus stakeholder involvement

The above challenges also affect local government in SA. Lack of citizen's participation through Amakhosi as the beneficiary has been missing in the rural municipalities, argues the researcher.

The concerns of Auditor-General, and the performance of municipalities

Rural development is a buzz word in the government priorities to deal with socio-economic issues towards meeting the requirements of a developmental state. The AG raised concern on the performance of municipalities, and rural municipalities are a big concern. Among other issues of poor performance in rural municipalities, are leadership and planning. Leadership contestation between the government and Amakhosi takes its toll at the expense of the citizens. Sometimes these contestations give a space for the rural municipal authorities to do things without being held accountable (Stone 2013)

Wimble 2007 argued that Amakhosi should be encouraged to monitor and evaluate performance in the rural municipalities. In the same vein, Sithole 2008 stated that Amakhosi have a role in leading, advising, participating, monitoring and evaluating the successes of any project or program that is aimed at developing rural people. It is in this context that the article suggests PM&E as a relevant approach for M&E in rural municipalities, born out of the global M&E evolution (Sithole 2005).

Qualitative descriptive and exploratory study findings of PM&E

Planning improvement

Lessons learned in Swaziland are that PM&E is inculcating the principles of participatory planning from the early phases of the projects, implementation, and M&E. The government of Botswana has expressed its commitment to bottom-up planning and has developed decentralized planning machinery at the district level. The purpose of this is to realise the significance of people's participation in development planning. The traditional leaders and structures (Kgotla) are closely involved in formulation, implementation and monitoring of district plans processes. Traditional leaders have a role in coordinating the district plans and monitor their implementation. Kgotla serves as a forum for consultation with people and their participation at different stages of formulation and implementation of development plans. This traditional forum serves as a channel of two-way communication between the government and the people in the process of bottom-up planning (Sharma 2010).

The Ministry of Tinkhundla Administration and Development has a mandate to facilitate the management of region development and to facilitate the promotion of

service delivery at Tinkhundla and Chiefdoms levels. Tinkhundla is the foundation for the bottom-up development planning process and the delivery of local services in partnership with central government. The decision-making process of Swaziland centres around the community needs. For example, Parliament can recommend for the change of a village into a town or any project. However, the King cannot agree with the new initiative without the will of His subjects. In actual fact, programmes or project planning starts with communities. Any service delivery needs start with them regarding their inputs. Municipal authorities cannot come or initiate service delivery needs of the community e.g. water, whereas the community's first choice was electricity. However, most of the modern countries are seldom open to community consultation (Mkhonta 2007).

Participation improvement

The interesting case article of Swaziland is that there is no project that is passed by the Prime Minister without the involvement of Amakhosi. Although the king is the head of the state, he ensures that the Prime Minister considers the views of traditional leaders. Lessons learned in Swaziland are that it is inculcating the principles of participatory planning from the early phases of the projects, implementation, and monitoring and evaluation. Interestingly enough, the king has a bigger voice to ensure that the Prime Minister accounts to him in terms of the views of Amakhosi in relation to the community projects that are initiated by the government. This is a realistic democracy in terms of community voices unlike in the South African context where e-tolling system was approved irrespective of the lament of the Gauteng communities. This shows the weakness of the modern governance in terms of planning principles from a participatory perspective (Mkhonta 2007).

Listening improvement

Listening rather than educate is a major principle of the Saudi monarchy. This is done through informal face-to-face meetings which fall under the umbrella of participation. These meetings addressed the needs of the community from a planning phase to a decision-making phase (Al-Saadon, 2012).

Prioritisation of issues (negotiation) from international lessons

The principle of negotiation is very important for developing common objectives. This is called win-win situation to avoid conflicts. There is no way that district authorities can pass decisions without getting the voice of the communities through their tribal leaders. The major concern is to reach harmony in the decision-making process. This is important for ensuring a stable government against conflict (Al-Saadon 2012).

There is no decision-making without negotiating with the chiefdoms as representatives of the community. All service delivery needs are negotiated with the communities through their chiefdoms. The importance of negotiation is to consider the views of traditional leaders in terms of priorities in relation to the development of their areas (Mkhonta 2007). This means that all stakeholders need to reach a consensus about what to do with the evaluation of findings, how to solve problems and how to improve the program's effectiveness (Anatole 2005).

Reporting improvement

With this, Amakhosi will be updated with the development in their areas. They will feel important because they also own government processes. From the Swaziland lessons of experience, it is learnt that Inkundla has a development committee ('ubuchopho') elected from the various constituency chiefdoms in its area for a five-year term. Buchopho brings to the inkundla all matters of interest and concern to their various chiefdoms. It then takes back to the chiefdoms the decisions of inkundla. The chairman of ubuchopho is elected at the inkundla and is called indvuna. Planning and participation are the principles at the heart of Swaziland from the traditional governance perspective in rural areas (Mkhonta 2007). In terms of accountability, the Prime Minister accounts to the King or Parliament. More importantly, he also has to give feedback based on what was agreed upon with the chiefdom (Al-Saadon 2012).

Initiation of Citizen Based M&E (accountability to the community)

As alluded to above, the provincial government oversees the local offices of the central government and municipal officials. In some of the provinces, the governors that are appointed by the King that have chosen to hold a public meeting. This allows the people through their tribal leaders to voice their grievances in government programmes and projects for the service delivery improvement. This means that tribal leaders have a role

to oversee the local government performance. The bottom line is that the governors are compelled to report or account to the king based on service delivery issues at community level (Al-Saadon 2012).

Contribution to the general results of the RBM&E

From onset, the article has been arguing that it is not its intention to critique the existing RBM&E system or Outcome Based Monitoring and Evaluation. However, PM&E will complement the RBM&E. In this regard, the PM&E from a bottom-up approach will allow the community through Amakhosi to raise their issues on municipal performance. In a way, they will become reliable sources on information.

The community through traditional governance will assess the performance of the municipality based on what was agreed upon in terms of plans or priorities. Consequently, this will lead to the achievement of the long term results of the government from the Result-Based M&E. The PM&E approach will talk to great areas of needs of the community through Amakhosi. From the power of measuring results if you can demonstrate results, you can win the public support (Kusek and Rist 2004:11).

CONCLUSION

The article argued that global overview of M&E in SA did not give a meaning for only national and provincial government, but it has also implications for the local government, particularly in the rural municipalities. This has awakened the stakeholders to put pressures on government to demand accountability, and service delivery excellence. According to the article, indications are that there is the absence of M&E approach for local government. In addition, the context challenges (culture, languages, and indigenous stakeholders like Amakhosi in the rural municipalities) have been overlooked by the elite approaches. It was learnt from the international experience that PM&E approach is relevant for the rural municipalities.

RECOMENDATIONS

In light of the above, it is recommended that PM&E approach should be used a relevant approach for the rural municipalities. In this regard, Amakhosi have a role to play to foster accountability to the rural municipal authorities. This approach allows the citizens to participate in planning, and also to assess the performance of the municipalities. In

addition, it might complement the Result-Based M&E which is still operating at the strategic level. The successful implementation of this approach will depend on the integration of Amakhosi into modern local government. They should also be supported with necessary resources in order to perform their duties.

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Evaluating the Budget and Efficiency of the Security, Justice and Governance Cluster in Uganda:

An Empirical Analysis

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Abstract

Performance measurement has increasingly become central to the efficiency and effectiveness of any government – developed or developing. The introduction of public sector reforms, which transferred most service delivery obligations to the private sector under the New Public Management (NPM) doctrines, demanded a strong performance measurement framework. Sequel to continual government's role in public service delivery in the last decade coming under attack, a revival interest in the exact role of government in public services delivery has thus become imperative. Evaluating performance of different sectors of government is paramount and provides useful information for effective decision-making. This article presents empirical findings of the Government Half Annual Performance Report for the security, justice and governance cluster. The objective is to highlight areas where progress has been made against the set targets and actions and where delays have been occasioned within the context of Uganda. These findings however are useful in guiding different actors including Cabinet and line Ministries, Departments, Agencies and Local governments in ensuring that agreed targets are met at the end of the Financial Year.

Keywords: Government efficiency, Evaluation, Performance measurement, Self-assessment, Uganda.

Introduction

Any serious public reform initiative intended to measure results and the degree of effectiveness need to establish institutional mechanisms in which results information can be collected and used in planning and budgeting and this has an effect on resource allocation and decision-making in that country as Porter, (2013:3) suggests. Mofolo, Mkuyana and Skande (2014:5) support this and demonstrate to their audiences how monitoring and evaluation are critical tools for government institutions to be effective in their aspirations to create an impact in the lives of citizens. It is no longer a matter of intense debate how public expectations worldwide regarding the role of the state in providing public goods and services remains on the increase and will possibly remain so in the years to come especially more so when the trust governments had bestowed on private sector as a key driver of public services delivery has come under heavy attack from citizens. M&E is fundamental in the transformation of the public sector if it is to be efficient, effective and responsive to citizens but this requires increased capacity by governments to demand results-orientated monitoring (tracking what they have planned to do), and also asking deeper questions of why and how, through evaluations of policies and programmes (Porter, 2013:2).

Government, world over, are now challenged to find new and more efficient ways to deliver public goods and services to the citizens. Indeed, Government's role in public service delivery in the last decade has led to a revival of scholarly and practitioner interest in public services in developing countries (Batley, McCourt and Mcloughlin, 2011:3). On its part, evaluation has increasingly captured the interest of evaluation theorists, researchers, and practitioners (Lennie, Tacchi, & Wilmore, 2010:2; Cousins, Goh, Elliott & Bourgeois, 2014:5). Evaluation is increasingly seen as an ongoing learning process and an important means of strengthening capacity and improving organisational performance (Horton et al., 2003: 7). The need for evaluation has received immense attention in almost all types of organizations and the public sector has become a major consumer of numerous evaluations; albeit the utilization of evaluation findings remaining in a deficit. The things to be evaluated (evaluands) now range from laws, products, services, organisations, people, processes, and the social state of affairs of any kind (Stockman & Meyer, 2013:67).

In line with the Constitutional provision of the Government of Uganda, Article 108A, entrusts the Prime Minister of the country to effectively coordinate Government

policies across Ministries, Departments and Agencies and reports to Cabinet every six months on their performance. The Office of the Prime Minister (OPM) produces two reports covering every Financial Year (FY) – i.e. The Government Half-Annual Performance Report (GHAPR) and the Government Annual Performance Report (GAPR). While the former focuses on the government performance in first half of the FY, the latter encompasses performance for the entire FY. This article is derived from the half-year performance assessments but with a significant pointer on likely performance of the sectors under review by end of the financial year.

The current GHAPR is the eleventh ever since the inception of the reforms in Government performance assessment that started with the pilot for quarter 3 of FY 2008/09. The analysis in the article highlights which outputs (products and services) and actions are likely to be achieved by year-end given the rate of implementation at the half-year stage, which may be achieved if the rate of implementation is accelerated and which are unlikely to be achieved at the current rate, and therefore need attention. The scope of the assessment is the period July to December 2014 across the all sectors that constitute the annual planning and budgeting framework respective MDAs. The outputs, their indicators and associated targets, and actions outlined in FY2014/15 Ministerial Policy Statements are used as the framework for the analysis. Outcomes are only measured during the annual assessment, and are therefore excluded from this half-year assessment. The performance information in the GHAPR for the FY2014/15 is generated from the analysis of the data from MDA sector submissions through the Output Budgeting Tool (OBT).

The debates on quality of service delivery in Uganda provide a reason for undertaking empirical evaluations. The government performance assessment provides a good case for investigating issues of service delivery for other reasons as well. First, current policy debates casts doubt on whether supply side factors such policies, funds are the most important factors for improved service delivery given the fact that increased key sector budgetary resources that have coincided with reduced performance. Consequently, this article provides empirical evidence on how successful MDAs can improve on their performance. Second the choice of security cluster for the study will provide an insight in the implementation of policy recommendations on quality of livelihood of the citizens. Finally, although the focus of this article is on the security

cluster, the implications of the findings can be extended to other clusters receiving government resources.

Objectives of the Study

The objective of the study was to provide timely and focused information to Cabinet and other decision-makers on Government's progress towards its targets at the half-way stage of the financial year. The purpose was to enable Cabinet and Ministries identify areas where emphasis needs to be put to achieve the set targets by the end of the financial year. The analysis was done sector by sector, and then grouped into the economic functions of Government, and focused on four aspects of public sector performance:

- (i) Progress made against planned outputs and use of resources
- (ii) Progress made in terms of outputs against funds released
- (iii) Assessment of financial releases and expenditures
- (iv) Explanations for the performance levels achieved

Literature Review

The importance of evaluation in influencing positive decision making cannot be over emphasized. Porter (2013:3) is of the strong view that evaluation helps to establish what difference has been made, why the level of performance could have been achieved, what lessons are being learned from activities, and whether and how to governments can use the lessons to strengthen implementation of their programmes or policies This view is supportive of Kitamura (2009:2) who reported how evaluation of past policies constituted what he regarded an indispensable part of public policy formulation. Citizens urgently need better services from their governments but are not getting so due to serious impairments in the public service delivery systems. Thinking about public services has reflected the way the public policy pendulum has swung in both developing and industrialized countries: a movement towards the market and a smaller state, and then a reassertion of government's role (Batley, McCourt and McLoughlin, 2011:2).

Porter (2013:2) is also of the opinion that when decision-makers, whether political or bureaucratic, want to use evidence from M&E systems to assist them in making decisions, the demand for M&E needs to be emphasized. Governments must assess how the public service systems are working or not. In his public service revival call, Coats

(2006: i) demonstrates how contrary to the experience of the last thirty years, there remains a need for a deep-rooted political consensus about how public services should be managed. Establishing a well-founded agreement, which recognizes the importance of the public realm, and accepts the need for flexibility and diversity in provision of services as well as placing democracy at the centre of a new model of public management is regarded a critical challenge for adoption. The focus of this article on the security, Justice and Governance cluster is therefore not out of context.

African Governments; Uganda inclusive, increasingly operate in an environment of unprecedented changes driven by technological transformations; as facilitated by internet. Within this environment, Governments have found themselves challenged on what should be their appropriate size and role in service delivery. The role of the private sector and other non-state actors has complicated the debate on what exactly should be the role of government. There is an emerging consensus among scholars and practitioners pointing to a positive correlation between the mode of regulation/regulatory practices in public administration systems and 'good governance' (Bana, 2014:81). Baldwin, et al (1998:14) as well as Jordana and Levi-Faur (2004:4) broadly conceptualize regulation by including all the mechanisms which are not the products of state activity, nor part of any institutional arrangement, such as the development of social norms, and the effects of markets in modifying behaviour.

Within the public sector the budget fulfils the same task as an economic market because it establishes what public services are to be supplied to the public, what individuals or groups will receive the public services, how these public services will be delivered and how, as well as with what costs of the services are to be financed (Gildenhuys, 1997: 391). Hague (2003:1) makes us believe that evaluation Capacity Development (ECD) helps countries build sound governance hence improving transparency and building a performance culture within governments to support better management and policymaking, including the budget process—through support for the creation or strengthening of national/sectoral monitoring and evaluation systems.

Learning from evaluation studies requires a multidisciplinary given the complex nature of government operations. While authors like Rabie and Cloete (2009:77) state that public policy analysis and general social science are the two main disciplines that influence evaluation research, the influences can actually come from other fields depending on what is being evaluated. For instance, evaluation of the security sector

performance owes its legitimacy from the methods used and these can be obtained from disciplines beyond social research. Nonetheless as Rabie and Cloete, (2009:77) contend, evaluation must be undertaken in order to compare alternatives before choices amongst them. To be most effective, organisations however need to invest in evaluations capacity building activities at the management level as opposed to only the staff level (Atkinson et al. 2005: 63). For them to be effective and successful, organisations need to design appropriate strategies (Horton et al. 2003:555). In addition as Porter (2013:3) asserts, the institutional design of government M&E systems is important, including the systems for capturing, processing, storing and communicating M&E information. Monitoring helps managers and policymakers to understand what the money invested is producing and whether plans are being followed.

Methodology

Data Collection

The Office of the Prime Minister (OPM) draws data from the Output Budgeting Tool (OBT) for analysis, including checking for completeness, and where possible, accuracy, through triangulation against previous year's performance, and other sources of information. The assessment report relies primarily on secondary data, provided by the Ministries Departments and Agencies/Sectors from OBT. The OBT was designed by Ministry of Finance Planning and Economic Development (MoFPED) to incorporate Sector performance indicators for key inputs, outputs and outcomes.

Financial information is drawn from the Government Integrated Financial Management System (IFMS) and related systems, such as Legacy. The financial information in this report excludes taxes and arrears. Additional data provided by the sectors and by the Uganda Bureau of Statistics (UBOS) pertains to key outcome indicators that are not currently captured in the BFPs, and explanatory information that details the reasons for good and poor performance. Where constraints continue to exist in the OBT regarding the provision of detailed explanatory information, the Ministries Departments and Agencies (MDAs) provide supplements to the OBT detailing the reasons for good and, especially, under-performance. Subsequently, the data is analysed, tabulated, and written-up sector by sector. The sector reports are then compiled into an overall national report (GHAPR) for the Rt. Hon. Prime Minister to present to Cabinet.

Data Analysis

The report provides two levels of analyses. The first level takes a comprehensive assessment of all performance indicators outlined in Sector Budget Framework Papers and associated Ministerial Policy Statements while the second level of analysis focuses on the key performance areas and issues in each sector. A scorecard is used which measures the progress made at half financial year against specific targets set in the relevant Ministerial Policy Statements. The targets are set at three levels but two are considered during the half annual assessment. The first is the outputs, which are the specific deliverables that are financed by the budget, and identified by each MDA in their Budget Framework Papers. As the budget is appropriated annually, the targets are also annual. By half year it is also possible to assess how many of the outputs are on track and how many are lagging behind. The second analysis is the budget. The last two rows of the table provide the financial information from the Budget. This shows how much money has been budgeted for the financial year and how much has been released at half year by the Treasury to the Sector, and then how much of that money has been absorbed or spent. These are key indicators of whether or not the Sector and its Ministries, Departments and Agencies have had the means to implement their programmes and achieve the targets or not.

A rating system is applied to all outputs to assess progress. Figure 1.1 illustrates the rating system for outputs based on progress at the half-year stage. The system is applied to each individual MDA output and the scores are aggregated by MDA and sector using "traffic light" system as shown in Figure 1.1.

Figure 1.1: Physical Performance Rating System

Likely to be Achieved	Where the level of progress against the target at the half-year stage is likely to be achieved at the current rate of implementation by the end of the Financial Year, calculated on the basis of <u>50% or greater than the annual target reached at the half-year stage. i.e. pro-rate progress</u>
May be Achieved	Where the level of progress against the target at the half-year stage is borderline, meaning that the target or action may be achieved if additional effort is made , calculated on the basis of a performance level <u>between 30% and 49% of the annual target at the half-year stage.</u>

Unlikely to be Achieved	Where the level of progress against the target or action at the half-year stage is considerably below what was planned, and the target is unlikely to be achieved at the current rate of implementation by the end of the Financial Year. <i>This reflects where the percentage of the annual target reached at the half-year stage is less than 30%.</i>
No Assessment	Where insufficient or no data or information has been provided, an assessments not possible.

Figure 1.2 outlines efficiency assessment that links the progress made against an output with the amount of funds released by the MFPED to that output. Where the progress made is equivalent to, or greater than the resources available, the judgment is that delivery is in line with the release. Where the progress being made is less than the amount of funds released, the judgment is that delivery is not in line with the release. While it is recognized that implementation progress is in part a factor of the timing and size of the release, this measure of performance is aimed at assisting Cabinet, Ministers and Permanent Secretaries in providing an illustration of implementation progress against resources available at this mid-year point.

Figure 1.2: Efficiency Assessment Rating System

Delivery in line with release	Where the level of progress towards each output at the half-year stage is commensurate to, or greater than, the amount of funds* released
Delivery not in line with release	Where the level of progress towards each output at the half-year stage is less than the amount of funds* released.

*Government of Uganda component only (excluding donor funds which are not reported on at output level).

Findings and Discussions

The Security, Justice and Governance cluster includes the sectors of Accountability, Justice, Law and Order, Legislature, Public Administration, Public Sector Management and Security. Below we present the evaluation findings on each of these sectors based on the physical and efficiency rating system described in the methodology. The centrality of each of these sectors in running an effective government is undisputed. We begin with the accountability sector whose objectives include effective budget preparation and monitoring, increasing citizens' demand for accountability; establishing value for money in service delivery; compliance to procedures and efficient tax collection. Accountability is one of the cornerstones of good governance; however, it can be difficult for scholars and practitioners alike to navigate the myriad of different types of accountability. Recently, there has been a growing discussion within both the academic and development communities about the different accountability typologies.

a. The Accountability Sector

The Sector is led by the Office of the Accountant General and comprises of the Office of the Auditor General (OAG), Directorate of Ethics and Integrity (DEI), the Ministry of Finance, Planning and Economic Development (MoFPED), Inspectorate of Government (IG), Uganda Bureau of Statistics (UBOS), Public Procurement and Disposal of Assets Authority (PPDA), Uganda Revenue Authority (URA). In the evaluation the efficiency of each of the sub-sector was assessed and results are presented. This is preceded however by the overall performance of the whole sector.

The Accountability Sector received UGX 425.33bn, which translates into 59% of the annual approved budget for the FY 2014/15 of UGX 717.84bn (GoU and External financing). Overall, the Sector absorbed 93% of the budget released by half-year. The overall sector performance indicates that 50% of the output indicator targets are likely to be achieved at current rate of implementation, 21% may be achieved while 29% of the output indicator targets is unlikely to be achieved by the end of the financial year. The efficiency assessment of the sector performance indicates that, the delivery on 55% of the output indicators was in line with the release of funds by half year while delivery on 45% of the output indicators was not in line budget release.

Table 1.1: Half-Year Performance Scorecard for Accountability Sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	50%	21%	29%	0%	75
MoFPED	52%	24%	24%	0%	29
PPDA	67%	0%	33%	0%	3
URA	75%	25%	0%	0%	4
OAG	43%	29%	28%	0%	7
UBOS	42%	33%	25%	0%	12
IG	47%	12%	41%	0%	17
DEI	33%	0%	67%	0%	3

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total	717.84	425.33	397.67	53.3%	93.5%	55.4%
MoFPED	265.28	138.15	125.58	52.1%	90.9%	47.3%
PPDA	10.76	4.39	3.36	40.8%	76.4%	31.2%
URA	235.32	117.11	117.11	49.8%	100.0%	49.8%
OAG	51.37	40.96	31.96	79.7%	78.0%	62.2%
UBS	111.56	99.38	99.32	89.1%	99.9%	89.0%
IG	38.12	22.62	18.21	59.3%	80.5%	47.8%
DEI	5.42	2.70	2.13	49.9%	78.7%	39.3%

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released	% where output performance is not in line with budget released	No Assessment	Denominator
Sector Total	55%	45%	0%	75
MoFPED	38%	62%	0%	29
PPDA	100%	0%	0%	3
URA	75%	25%	0%	4
OAG	43%	57%	0%	7
UBOS	62%	38%	0%	12
IG	76%	24%	0%	17
DEI	33%	67%	0%	3

Source: Sectors OBT, FY 2014/15

The performance of individual sub-sectors is presented below according to the evaluation findings of this study.

Ministry of Finance, Planning and Economic Development

The Ministry of Finance, Planning and Economic Development (MoFPED) received 49% of its approved annual budget of UGX 235.32bn (GoU and External financing) and spent all the funds released by half-year. The mid-year performance assessment indicates that 52% of the output indicator targets are likely to be achieved at the current rate of implementation, 24% may be achieved and 24% of the output indicator targets are unlikely to be achieved. In relation to the release, 38% of the output indicators were delivered in line with spending. The delivery of 62% of the output indicators was not in line with level of spending.

1) Macroeconomic Management

The Ministry performed well in monitoring and analysis of macroeconomic policy, and providing tax appeal tribunal services. As a measure to improve tax administration, URA efficiency and tax policy measures were monitored and their impact on revenue performance evaluated. By half-year, 4 tax amendment Bills were produced as planned and 50% of progress reports on macroeconomic model was produced. The Tax Appeals Tribunal resolved disputes worth UGX 1750bn at half-year against annual target of UGX 205bn translating into 854%.

Taxpayers were sensitized on tax litigation and arbitration procedures to create awareness in 2 of 4 planned sensitization workshops. There was slow progress in Domestic Revenue and Foreign Aid Policy, Monitoring and Analysis with external resource mobilization equivalent to 6% of the national budget. The Ministry monitored 50 MDAs as planned and produced 6 (43%) of the planned revenue performance reports.

▪ ***Budget Preparation and Execution***

There was good progress in coordinating and monitoring both national and Local Government (LG) budget cycles. The arrears as percentage of total expenditures for FY 2011/12 were 1.4% against annual target of 3%. There was good absorption at half-year with utilization of 88% of the funds released against annual target of 98%. The Ministry analyzed and consolidated Sector Budget Framework Papers for FY 2015/16 into the National Budget Framework Paper and conducted the National Budget Consultative workshop for FY 2015/16.

▪ ***Public Finance Management***

There was slow progress in public finance management. Despite good performance in payroll audit and upgrading Navision Financial Management System in Uganda's Foreign Missions, there was slow progress in auditing foreign missions and IT activities due to inadequate resources. Only of the 3 public universities was piloted on the computerized education management and accounting system. The slow progress was due to failure to produce Treasury Memoranda. The Ministry was still waiting responses from the affected persons in the 4 draft treasury memoranda prepared in first quarter. On development and management of internal audits and controls, the Ministry had not inspected any of the 40 PDEs planned since the inspection tool was being reviewed.

▪ ***Economic Development and Policy Research***

The Ministry performed well in monitoring, analysing and providing advisory services, and population development services to inform Government decision on economic policy and national development. By half-year, the Ministry analyzed 6 sectors as planned and produced 2 key economic publications against annual target of 4 publications. 73% of work on Fiscal reconciliation of

final accounts for the FY 2013/14 was completed, 85% of the work on the Annual Economic Performance Report for FY 2013/14, 80% of work on the Public expenditure analysis report (PEAR) for FY 2013/14 completed and the Policy Implementation Issues Paper for FY 2013/14 finalized. The Ministry provided Technical Support Supervision and guidance on how to use the National Population Policy Action Plan to 37% of 60 district planning units.

▪ ***Investment and Private Sector Promotion***

In promoting investment and creating conducive investment environment, the Ministry performed well in developing entrepreneur skills and enterprise Uganda services, with 71% of 4000 of rural and urban participants mobilized and trained to start businesses. The good performance level was attributed to high demand for entrepreneurship and business skills short-term trainings. There was slow progress in monitoring investment and private sector policy framework. None of the 5 planned Investor Protection Agreements (IPAs) was concluded and business-licensing reforms were not implemented by half-year. The slow progress in this result area was attributed to inadequate funding to conduct the second investor survey and short term consultancy services for review of IPAs, investment policy development and development of private sector development strategy.

▪ ***Microfinance***

The Ministry of Finance, Planning and Economic Development ensure sustainable delivery of affordable financial services countrywide. During the period under review, the Ministry performed quite well in establishing microfinance framework. The Ministry strengthened 160 SACCOs through capacity building against annual target of 300 SACCOs and 340 were provided specialized training. The Microfinance Support Centre Ltd, Disbursed 60 loans *i.e.* 99% of the planned 100 loans. The Credit department focused on loan disbursement, delinquency management and Constant loan follow up to enforce recoveries. However, there was slow progress in establishing SACCOs in sub-counties with 15% SACCOs registered against annual target of 2200. Uganda Microfinance Regulatory Authority (MRA) was not established since the Tier IV

Microfinance Bill that gives legal existence to UMRA to regulate the institutions is not yet passed into Law by Parliament.

Public Procurement and Disposal of Public Assets Authority

The Public Procurement and Disposal of Public Assets Authority (PPDA) received 40% of its approved annual budget of UGX 10.76bn (GoU and External financing) and spent all the funds released by half-year. In terms of performance, PPDA is likely to achieve on 67% of its output indicator targets by the end of the financial year. It is unlikely that the authority will achieve its target on inspection of MDAs at current rate of implementation. Considering the release, all the output indicators were delivered in line with spending indicating that the Authority was very efficient in delivering its outputs during the period under review. PPDA performed well in procurement audits and investigations. The authority completed 55% of the planned 80 procurement audits, and made followed up of audit and investigations recommendations. There was slow progress in monitoring compliance with PPDA law, with 31% of 150 planned MDAs inspected by mid-year. The Procurement Performance Management System (PPMS) verification can be carried out the third and fourth quarter after the entities have input considerable amount of data in the PPMS.

Uganda Revenue Authority

The Uganda Revenue Authority (URA) received 49% of its approved annual budget of UGX 235.32bn (GoU and External financing) and spent all the funds released by half-year. In terms of performance, 75% of the output indicators of the URA are likely to be achieved at current rate of implementation and the Authority may achieve its annual target on growth in tax register with additional efforts. The delivery of 75% of the output indicators was in line with release. Delivery on growth in tax register was not in line with release. The authority performed well in customs and domestic tax collection, achieving the quarterly targets in tax collection at mid-year.

Custom revenue collection for the half-year period was UGX 2,087.75bn against a target of UGX 2,087.61bn, a performance of 100% as planned. The performance of Custom taxes during the half year is attributed to growth in the major rateable imports by 19% (UGX 723.96bn) due to efficient automated customs valuation and Single Customs Territory (SCT) which simplified the customs clearance processes and improved

the customs valuation and the turnaround time. The arrears of Customs reduced by 61% from UGX 51.981bn as at 30th June 2014 to UGX 20.2151bn as at 30th December 2014. The Domestic tax collection for the half-year was UGX 2,578.1bn against a target of UGX 2,565.85bn, a performance of 100% as planned. The level of Domestic tax performance is attributed to improved profitability in the banking sector, which led to increased remittances by UGX 20.7bn and efficient revenue collection by UMEME through installation of YAKA⁴.

The average filing ratio for both tax heads (VAT and LED) was 76% against annual target of 88%, representing 87% performance level. Out of the total collectible arrears of UGX 261.55bn in half-year, UGX 149.75bn was collected, a performance of 57.2%. A total of UGX 149.75bn debt was collected from a debt stock of UGX 400.33bn, representing debt reduction by 37.4%. There was slow progress in tax register, with 11% growth in tax register realised against annual target of 30% representing 37% level of performance. The annual target may though be achieved with additional effort.

Office of the Auditor-General

The Office of the Auditor General (OAG) received 79% of its approved annual budget of UGX 51.36bn and 78% of the funds released was absorbed by half-year. In terms of performance, 43% of the output indicators of the OAG is likely to be achieved at current rate of implementation, 29% may be achieved with additional efforts while 28% is unlikely to be achieved at current rate of implementation. Considering budget performance, 43% of the output indicators were delivered in line with release. The delivery of 57% of the output indicators was not in line with level of release.

The performance in financial audits was quite well, with 78% of 46 planned forensic investigations and special audits conducted. A total of 73 special audits were in progress. It is worth-noting that special audits are carried out on request hence the actual may either be lower or higher than the planned. The target for auditing Higher Local Governments (LGs) including Town councils and sub-counties⁵ was achieved by half-year.

⁴ A prepaid electricity system.

⁵ The 1,108 audits include 1058 Sub-Counties and 50 schools. The 1,058 Sub-Counties include a backlog of 571 Sub-Counties that were work in progress by end of March 2014. However, a total of 470 audits (111 districts, 22 Municipal Councils, 150 schools, 174 Town councils and 13 RRHs) were at the audit report processing stage.

There was slow progress in auditing Ministries, Departments and Agencies (MDAs), projects and statutory bodies. Only 3% of 109 MDAs audited, 41% of 134 projects audited and 34% of 91 planned statutory bodies were audited by half-year. The management letters to audit the remaining institutions (MDAs and statutory bodies) and projects were being prepared. There was underperformance in value for money (VFM) audit. None of the 16 value for money audits planned for FY 2013/14 was completed by mid-year. A total of 13 VFM audits were in progress and the final reports are expected to be produced by end of March 2015. The 2 PPP audits were postponed to FY 2015/16 awaiting approval of the audit guidelines.

Uganda Bureau of Statistics

Uganda Bureau of Statistics (UBOS) received 89% of its approved annual budget of UGX 111.562bn, and utilized 99% of the funds released to deliver on outputs. The performance of the bureau in half-year was below average with 42% of its output indicators is likely to be achieved by the end of the financial year. 33% of the output indicators may be achieved with more efforts, while 17% output indicators is unlikely to be achieved. In relation to budget performance, 62% of the output indicators were delivered in line with release indicating that the Bureau was very efficient in delivering its outputs during the period under review. The delivery of 38% of the output indicators was not in line with level of release.

Uganda Bureau of Statistics performed quite well in providing statistics on the economic, social and population indicators, maintaining statistical system database, and industrial and agriculture indicators. The GDP figures, inflation rates, international trade and government finance statistics on a monthly quarterly and basis. On industrial and agriculture indicators, the bureau compiled industrial/producer price indices and construction and energy sector statistics monthly. The UBOS website and the national statistical database were updated and operational at half-year.

There was slow progress in building capacity and district statistics. Only 14% of 139 Higher Local Government was able to compile District Annual Statistical Abstracts and only 36% of 112 districts were implementing community information system (CIS) by half-year. The Higher Local Government profiles reports was not produced and disseminated by half-year. Underperformance in this area was attributed to the engagements in National Housing and Population Census (NPHC).

Inspectorate of Government

The Inspectorate of Government (IG) received 59% of its approved annual budget of UGX 38.12bn (GoU and External financing), and 80% of the money received was utilized to deliver on outputs. The performance was however below with 47% of output indicators likely to be achieved by the end of the financial year and 12% output indicators maybe achieved with additional effort. The remaining output indicators are unlikely to be achieved at current rate of implementation. Taking into account budget performance, 76% of the output indicators were delivered in line with release indicating that the Inspectorate was very efficient in delivering its outputs. The delivery of 24% of the output indicators was not in line with level of release. The inspectorate performed well on prosecutions and civil litigations, and education and public awareness. On prosecution and civil litigations, 92% of 12 judicial review cases concluded and 56% of 50 corruption cases prosecuted and completed. On education and public awareness, the inspectorate supported 60% of 20 partnerships and institutions and half of the IEC materials developed and disseminated.

There was slow progress in investigations and verification of leader's declaration and ombudsman complaints, policy and system study. On investigations, 30% of corruption complaints were investigated and completed against annual target of 85% equivalent to 35% level of progress. By half-year, no backlogged case was completed because investigations take long time and the risks associated. The increasing complexity and changing faces of corruption affected the output performance. On verification of leaders' declaration, the leaders have failed to comply with the leadership code. By half-year, the leaders required to file declaration forms did not do so and they were expected to file declaration forms in March 2015. The Inspectorate investigated 30% of 20 leaders for breach of leadership code. The delayed amendment of the leadership code act, lack of proper record keeping, lack of proper urban planning and difficulty in accessing various registries has affected the result area. On ombudsman complaints, policy and system study, the inspectorate conducted only 25% of 8 systemic investigations. The performance level is attributed to reluctance of some government institutions to provide information for system studies on time and lack of record keeping in government institutions which makes it difficult to obtain vital information.

Directorate of Ethics and Integrity

The Directorate of Ethics and Integrity (DEI) received 49% of its approved annual budget of UGX 5.42bn (GoU and External financing), and 78% of the funds received was utilized to deliver on outputs. The performance was however below with only 33% of output indicators likely to be achieved by the end of the financial year and the remaining output indicators are unlikely to be achieved at current rate of implementation. With respect to budget performance, 33% of the output indicators were delivered in line with release while 67% of the output indicators were not in line with level of release. The Directorate performed well in formulation and monitoring of policies and laws, with 2 IAF working groups (PEC Technical working Group, ACPPP Task Force) were functional against annual target of 4 IAF working groups. There was underperformance in public education and awareness, and coordination of national anti-corruption strategy. The capacity of only 13% of 8 District Integrity Promotion Forum (DIPFs) was developed by half-year under public education and awareness. On coordination of anti-corruption strategy, National Anti-Corruption Strategy (NACS) was disseminated to only 25% of 40 planned districts.

JUSTICE LAW AND ORDER SECTOR

The key Sector objectives are to strengthen legal and policy frameworks for JLOS operations and national development; enhanced access to JLOS services particularly for the vulnerable persons and; promotion of observance of human rights and accountability. The Ministry of Justice and Constitutional Affairs (MoJCA) leads the Justice, Law and Order Sector (JLOS). Other sector members include: the Judiciary, Ministry of Local Government (Local Council Courts), Ministry of Gender Labour and Social Development (Juvenile Justice Department), Uganda Law Reform Commission, the Directorate of Public Prosecutions (DPP), Judicial Service Commission, Uganda Law Society, Uganda Prisons, Uganda Police Force, Uganda Human Rights Commission (UHRC), Law Development Centre (LDC), Ministry of Internal Affairs, National Citizenship and Immigration Control, Uganda Registration Services Bureau, Centre for Alternative Dispute Resolution (CADER) and the Tax Appeals Tribunal (TAT).

The approved budget for the JLOS Sector for FY2014/15 was UGX807.92bn donor component inclusive and UGX 807.34bn GoU, and the release by half year was UGX437.75bn (54%), of which 83% was spent. Progressive performance assessment of

the sector output indicators shows that 63% of the indicators are likely to be achieved, 10% may be achieved with additional effort and 24% is unlikely to be achieved by end of the financial year at the current rate of implementation. 3% of the output indicators were not assessed due to insufficient data especially under Ministry of Justice and Constitutional Affairs. On average, 64% of the sector output indicators were delivered in line with released funds. The institutions that performed above the average (50%) of likelihood to achieve their annual targets by FY2014/15 include: Ministry of Justice and Constitutional Affairs, The Judicial Service Commission, Ministry of Internal Affairs, the Directorate of Public Prosecutions, Uganda Human Rights Commission, Uganda Prisons Services, Uganda Police Force, Law Development Centre and Directorate of Citizenship and Immigration Control. The institutions that performed below average are The Judiciary (0%) , Law Reform Commission (33%) and Uganda Registration Services Bureau (40%) and hence the need for additional efforts by the institutions in the remaining half of the year.

Ministry of Justice and Constitutional Affairs

The Ministry was allocated UGX39.98bn of which UGX29.39bn (74%) was released in the first half of the FY 2014/15, and UGX 20.98bn (71%) spent. Performance assessment shows that 60% of the output indicators targets are likely to be achieved, 20% is unlikely to be achieved at the current rate of implementation, while 7% may be achieved if additional effort is made and 13% of the output indicators was not assessed due to insufficient data especially on inspection and supervision of law firms and legal aid service providers. Efficiency assessment shows that 67% of the output indicators were delivered in line with the release of funds, 20% was not delivered in line with the release while 13% could not be assessed due insufficient data.

The Ministry is progressing well on a few output indicators which include drafting and publication of bill (67% of 15 bills drafted), opening new files for estates clients and inspection of estates at 69% and 100% against the annual targets of 4000 files and 100 estates respectively; arbitrating and mediating families already achieving the annual target at 116 against the target of 1000), disposal of disciplinary cases (65% against target of 200 cases)- attributed to additional funding provided to Law Council Department by JLOS project support to weed out backlogged, and functionality of basic JLOS frontline services in districts at 7.2% against target of 12%. An area where the

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Ministry may achieve annual target if additional effort is made is payment of Courts awards arrears (0.32% against target of 1%). However, the Ministry is unlikely to achieve the following: reduction of ex parte judgements against Attorney General (10% of 100%), winding up of estates (4% of 80), payment of current Court awards and arrears (0.21% of 2%) – attributed to due to inadequate provision in the Medium Term Expenditure Framework ceiling.

Table 1.2: Half-Year Performance Scorecard for Justice, Law and Order Sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	63%	10%	24%	3%	120
MoJCA	60%	7%	20%	13%	15
Judiciary	0%	38%	62%	0%	8
JSC	67%	0%	33%	0%	6
Internal Affairs	68%	4%	24%	4%	25
DPP	89%	0%	11%	0%	9
UHRC	67%	0%	33%	0%	3
UPS	70%	10%	20%	0%	10
UPF	82%	18%	0%	0%	17
LRC	33%	0%	67%	0%	6
LDC	50%	25%	25%	0%	8
Immigration	88%	0%	12%	0%	8
URSB	40%	20%	40%	0%	5

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total (GoU+Donor)	807.92	437.75	364.93	54%	83%	45%
Sector Total (GoU)	807.34	437.75	364.93	54%	83%	45%
MoJCA (GoU+Donor)	39.98	29.39	20.98	74%	71%	52%
MoJCA (GoU)	39.98	29.39	20.98	74%	71%	52%
Judiciary (GoU+Donor)	84.04	42.35	40.37	50%	95%	48%
Judiciary (GoU)	83.46	42.35	40.37	51%	95%	48%
JSC (GoU+Donor)	3.18	1.66	1.43	52%	86%	45%

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Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
JSC (GoU)	3.18	1.66	1.43	52%	86%	45%
Internal Affairs (GoU+Donor)	10.90	5.90	5.47	54%	93%	50%
Internal Affairs (GoU)	10.90	5.90	5.47	54%	93%	50%
DPP (GoU+Donor)	21.98	12.44	7.18	57%	58%	33%
DPP (GoU)	21.98	12.44	7.18	57%	58%	33%
UHRC (GoU+Donor)	9.7	5.27	4.37	54%	83%	45%
UHRC (GoU)	9.7	5.27	4.37	54%	83%	45%
UPS (GoU+Donor)	94.33	46.95	41.95	50%	89%	44%
UPS (GoU)	94.33	46.95	41.95	50%	89%	44%
UPF (GoU+Donor)	403.06	202.74	165.79	50%	82%	41%
UPF (GoU)	403.06	202.74	165.79	50%	82%	41%
LRC (GoU+Donor)	7.39	3.99	3.49	54%	88%	47%
LRC (GoU)	7.39	3.99	3.49	54%	88%	47%
LDC (GoU+Donor)	5.40	4.05	4.05	75%	100%	75%
LDC (GoU)	5.40	4.05	4.05	75%	100%	75%
Immigration (GoU+Donor)	119.25	78.67	66.55	66%	85%	56%
Immigration (GoU)	119.25	78.67	66.55	66%	85%	56%
URSB (GoU+Donor)	8.72	4.35	3.3	50%	76%	38%
URSB (GoU)	8.72	4.35	3.3	50%	76%	38%

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released	% where output performance is not in line with budget released	No Assessment	Denominator
Sector Total	64%	32%	4%	120
MoJCA	67%	20%	13%	15
Judiciary	0%	100%	0%	8
JSC	67%	33%	0%	6
Internal Affairs	79%	21%	0%	25
DPP	89%	11%	0%	9
UHRC	33%	67%	0%	3
UPS	80%	20%	0%	10
UPF	82%	18%	0%	17
LRC	17%	83%	0%	6

	% where output performance is in line with budget released	% where output performance is not in line with budget released	No Assessment	Denominator
LDC	50%	50%	0%	8
DCIC	88%	12%	0%	8
URSB	40%	60%	0%	5

The Judiciary

The Institution received UGX42.35bn (50%) against the approved annual budget of UGX84.04bn donor inclusive and spent UGX40.37bn (95% by half-year). Despite this expenditure, the half annual performance assessment of the Judiciary indicates that none of the annual output targets are likely to be achieved at the current rate of implementation; only 38% may be achieved with additional efforts and 62% is unlikely to be achieved at the current rate of implementation. Analysis of the output performance vis-à-vis the budget released shows that appalling level of efficiency with 0% of output indicators delivered in line with the release of funds while. The Judiciary should critically address the performance bottlenecks for her to deliver on the targeted outputs.

Assessment shows that the Judiciary may achieve the following areas if additional effort made; timely disposal of civil appeals in the Supreme Court (46% out of 35 cases), timely disposal of civil appeals in the Court of Appeal (49% out of 200 cases) and disposal of suits (Family, Criminal, Civil, Land and Anti-Corruption) in the Magistrates Courts (36% out of 123,919). As reported by Judiciary, the slow disposal of Suits and Appeals in the Magistrate Courts is attributed to lack of registrars which has resulted into Chief Magistrates to act as registrars hence increasing workload. Similarly, the Magistrates Grade one Courts lack adequate facilitation in terms of computerisation and transport required to visit mandatory locus in quo for land matters.

The Judiciary is unlikely to achieve the set targets on disposal of criminal appeals in the Supreme Court both at 11% (5 out of 45 criminal cases), disposal of Criminal appeals in the Court of Appeal at 23% (92 against 400 cases) and disposal of criminal and civil suits and appeals in the High Court (family, land, civil and commercial) at 29% and 8% of the targeted 12500criminal and 2500 civil cases

respectively. The slow performance progress is attributed to lack of substantive leaders in the Supreme Court and Court of Appeal, and limited number of sessions due to few judges in the High Court.

Judicial Service Commission

The Judicial Service Commission received UGX1.66bn by half year against an approved annual budget of UGX3.18bn, and spent UGX1.43bn (86%) of the release. Outputs performance assessment indicates that 67% of the indicators are likely to be achieved and 33% unlikely to be achieved current rate of implementation by the end of the FY 2014/15. Analysis of efficiency in delivery of outputs against the release of funds shows that 67% output targets were delivered in line with the release of funds.

The Commission registered good performance progress in disposal rate⁶ of investigated cases already achieving the annual target of 75% as well as investigation⁷ of registered complaints at 50%, the average time taken to recruit judicial officers up to Chief Magistrate (at 3 months against target of 4 months)- where 27 Judicial Officers were recruited and submitted to the Judiciary for deployment to the different Courts of Judicature, average taken to make recommendations for appointment of judges to the President (at 3 months). By half year, submissions for the appointment of Chief Justice, Deputy Chief Justice, Chairperson of the Tax Appeals Tribunal, Chairperson of Electricity Disputes Tribunal, Vice-Chairperson of Electricity Disputes Tribunal and Registrar of the Electricity Disputes Tribunal had been made to the H.E the President. The analysis shows that the Commission is unlikely to achieve the annual targets in public awareness and participation in justice administration where only 8 against targeted 36 radio talk shows were held in Soroti, Lira, Mbale and Jinja.

Ministry of Internal Affairs

By the half year, the Ministry had received UGX5.47bn (54%) of the approved budget UGX10.9bn and spent 93% of the release. The assessment of output indicators shows

⁶ 10 Disciplinary Committee meetings were held and 2 Investigations trips carried out in the Magisterial areas of: Gulu, Kiryandongo, Nakasongola, Luwero, Mengo, Nakawa, Mbarara, Bushenyi, Rukungiri, Ibanda, Mukono, Entebbe, Kajjansi, Wakiso, Mwanga II, Makindye, Kiira and Buganda Road Court.

⁷ 2 Workshops for complainants' sensitisation held in Lukaya Town Council and Bukulula; 1 Investigative trip carried out at Mwanga II Road Magistrates' Court.

the Ministry is likely achieve 68% and unlikely to achieve 24% of the annual targets at the current rate of implementation while 4% may be achieved if additional effort is made and 4% not assessed due to insufficient data. The efficiency assessment indicates that 79% of the output indicators were delivered in line with the released funds. The annual targets that the Ministry had made good progress by half year are on establishment of peace committees (3 out of 5) and training of peace committees members in conflict prevention and management resolutions (50% of 100) in the districts; identification of security regions with obsolete and surplus arms, unexploded ordnances and explosive remnants of wars for disposal (4 out of 5); provision of psycho-social and reinsertion support to reporters at 89% of 100 and 93% of 130 respectively; issuance and supervision of community service orders (66% of 8800), identification of eligible offenders and reintegration of offenders already at 194% and 187% of 4000 and 1600 respectively-attributed to increased number of volunteers at Courts and increased networking with Uganda Prisons Service.

Other areas of good progress include facilitation of District Community Service Committees (82% of 17); maintenance of average time taken to register an NGO at 60 days in which 427 NGOs were registered and monitoring of NGOs (77 out of 100). The Ministry also improved the average time taken (days) to resolve an NGO dispute from 60 to 30 days due to identification of technical staff to handle the complaints, and hence the process is now faster since they are always available. The Ministry may achieve the following annual targets with additional effort; demobilisation of reporters (34% of targeted 200). However, annual targets on identification of unexploded ordnances and explosives for destruction, sensitization of district task force under small arms and light weapons and studies on prevalence of antibiotics in milk, meat and products are unlikely to be achieved at the current of implementation.

Directorate of Public Prosecutions

The approved annual budget for Directorate of Public Prosecution (DPP) was UGX21.98bn out of which, UGX12.44bn (57%) was released and UGX7.18bn (83%) of the release spent by half-year. The assessment of output performance indicates that 89% of the output indicators are likely to be achieved and 11% unlikely to be achieved at the current rate of implementation. The assessment of the level of efficiency at half year

also shows that 89% for output indicators delivered in line with the release of funds which is good progress performance.

Examples of key performance indicators that showed good progress include: average time spent concluding prosecution-led investigations where 32 investigations were concluded in average of 120 days (this is however higher compared to the 100 days recorded in first half of the previous year); average time taken to peruse a case file for sanctioning (30,058 cases sanctioned each average of 2 days), average time taken (days) to peruse with a view to make a decision to prosecute or not (40 against targeted 30 days), addressing public complaints against DPP staff performance and conduct (meeting the annual of 60%) and addressing public complaints against criminal justice processes (60% against targeted 80%), prosecution of 60 against targeted 50 cross border cases among others. Better performance in prosecution of cross-border cases is attributed to cooperation from neighbouring countries during investigations. However the Directorate is unlikely to achieve the annual target opening 5 new DPP stations reportedly awaiting recruitment of State Attorneys.

Uganda Human Rights Commission

The budget release for the Commission by half annual was UGX5.27bn (54%) of the approved annual budget of UGX9.7bn and 83% of the release was spent. The performance assessment shows that the 67% of the output indicators are likely to be achieved while 33% are unlikely to be achieved at the current rate of implementation. The efficiency assessment shows that 33% of output indicators were delivered in line with budget release. Performance assessment indicated that UHRC had already achieved target on circulation of Information, Education and Communication (IEC) materials (36000 out of targeted 2000) by half annual and production and dissemination of know your rights magazines was at 80% (16000 out of 20000 magazines). However, at current rate of implementation, the Commission is unlikely to achieve the target on training of security agents on different human rights aspects (25% of 970 agents).

Assessment for annual targets on conclusion of human rights complaints through tribunal, full investigation of cases and monitoring compliance with human rights standards and treaties ratified by Uganda has not done because no targets had been set reportedly as a result of lack of financial allocation under GOU funding. Additional information from the Commission shows that a total of 1,280 files of human rights cases

were investigated, of which 342 files were fully investigated and ready for tribunal proceedings and 938 were partially investigated. The Commission notes that delay in disposal of files is due to uncooperative respondents, failure to obtain evidence such as lock up records from Police, Army and other institutions and loss of contact with complainants after lodging their complaints due to change of address and or loss of interest. In addition, Commission inspected a total of 614 places of detention of which 110 were prisons, 125 police stations, 353 police posts, 5 remand homes and 21 military barracks

Uganda Prisons Services

The approved annual budget for Uganda Prisons Services (UPS) was UGX 94.33bn and 51% (UGX46.95bn) of the budget released of which 89% was spent by the half year. Performance assessment shows that 82% of the output indicators are likely to be achieved at the current rate of implementation and 18% may be achieved if additional effort is made. Efficiency assessment showed that 80% outputs performance is in line with the budget release. At half annual, UPS had already achieved beyond the annual targets on rehabilitation of offenders and provision of prisoners with prison uniform performing at 104% and 109% against targets of 8600 and 38533 prisoners respectively. excellent performance in rehabilitation is attributed to intensified rehabilitation programs whereas the performance provision of uniforms is attributed to increase in prisoners population which is the major cost driver of service delivery UPS.

Examples of areas of good progress included: provision of formal education programmes to prisoners (92% against 2500)-attributed due to increase in the number of units conducting formal education programs to 172, delivery of prisoners on daily average (957 out of 1491) and creation of more prisons holding capacity by 240 against targeted 350 and this is attributed to support from JLOS towards completion of prisons at Oyam, Amita, reception centres at Pader and Paidha, expansion of Mbarara and re-modification of Ndorwa prisons. However, UPS is unlikely to achieve annual targets on construction staff housing units (only 4 staff housing units completed/renovated at Mbarara prison) although the institution reports that most of the staff houses are still undergoing construction for example 28 staff houses at Ruimi, Kiyunga, Muinaina and Kapchorwa. UPS is also unlikely to achieve annual target of surveying prisons land with none of the planned 8 prisons surveyed. This has been attributed to the delay in

securing GPS machines to survey the land hence the activities were been scheduled for 3rd and 4th quarters of FY2014/15.

Uganda Police Force

In the first half of the financial year, Uganda Police Force received 50% (UGX202.74bn) of the annual budget of UGX403.06bn and spent 82% of the release. Performance assessment of the output indicators show that 82% of the planned output targets are likely to be achieved at the current rate of implementation while 18% may be achieved if additional effort is made by the end of the FY2014/15. Efficiency assessment also shows that 82% of the Institution's output performance was in line with the released funds. Examples of areas that Police Force registered good progress by half annual include: peaceful management of public order incidents (12 out of targeted 20 incidents), training of personnel to identify and respond to terrorist incidents (52% against targeted 77%), sensitization and provision of the public with sufficient information and signs of terrorism at 83%, resolution of reported domestic violence cases (51%), satisfactory handling of complaints against police personnel (69%), ensuring private security organizations' conformity to standards (100%) and intensified surveillance measures by the Force to deter entry of international criminals.

With additional effort, the UPF may achieve annual targets on investigation of violent crimes and eventual passing them to DPP for further management (15,576 out of 38,600), arrest of suspects using canines (37% of targeted 3600) and improving police to population ratio currently at 1:819 against projected 1:649.

Law Reform Commission

The approved annual budget for Uganda Law Reform Commission w for FY2014/15 is UGX7.39bn, UGX3.47bn (54%) was released by half year and UGX3.27bn (88%) of the release spent. The Commission's performance assessment for the period under review indicates that 33% of the output indicators are likely to be achieved while 67% is unlikely to be achieved at the current rate of implementation. Efficiency assessment shows only 17% of the Commission's output targets were delivered in line with the release of the funds by half annual. Examples of outputs where Commission registered good progress include: compilation of field report under reform and simplification of laws and publication of laws all at 50% against the target of 2. However, at the current rate of

implementation, the Commission is unlikely to achieve the target on submission of bills to line ministries, revision of laws, and identification of laws for amendment and translation of laws into local languages which were all at 0% of their annual targets.

Law Development Centre

By half annual, Law Development Centre (LDC) had received a total of UGX4.05bn (75%) against the approved annual budget of UGX5.4bn and all of the released funds were spent by the first half of the financial year. Assessment of output performance shows that the LDC is likely to achieve 50% of the annual targets at the current rate of implementation; 25% may be achieved if additional effort is made and another 25% unlikely to be achieved. The efficiency assessment shows that 13% of the output indicators were delivered in line with the release of funds.

Performance data indicates that the annual targets set for training of students on Diploma in law and Bar Course had already been achieved scoring 193% and 135% against the targets of 350 and 500 students respectively. The performance on Bar Course training was attributed to increase in number of students who passed the pre-entry examinations. The percentage of students who qualified on Bar Course was 70% compared to projected 80% and this has been attributed to dropouts by students who fail exams and those did not meet the fees requirements. The handling of juvenile cases was at 32% of the targeted 10000 cases hence the Centre may achieve annual target the end of the financial year. However, at the current of implementation, LDC is unlikely to achieve the annual target on petty criminals trained and accepted back in society (50% against targeted 1000).

Directorate of Citizenship and Immigration Control

DCIC received UGX78.69bn by the half year against an approved annual budget of UGX119.25bn, and spent UGX66.55bn (85%) of the release. Assessment of output performance 88% of the output targets are likely to be achieved while 12% unlikely to be achieved at the current rate of implementation. Efficiency assessment indicates that 88% of the output targets were being delivered in line with the released funds. Outputs that registered good progress by half annual include: proportion of passports issued out of

applications received at 95%⁸ and each passport issued at average of 10 working days, average number of days taken to issue a work permit improved to 8 days against targeted 10 days (4,840 issued), lead time to clear travellers at 2 minutes and proportion of immigration service delivery points which meet set standards at 28.5% against targeted 32% and proportion of cases won against suspected illegal immigrants at 100%. The Directorate is however unlikely to achieve the annual target of issuing 50% Ugandans who are 18 years and above with National Identity cards as 1% had been issued. The Directorate notes that 15.6 million people were successfully registered reflecting a 98% performance and by end of second quarter at least 5 million National ID cards were personalised and printed. However, due to technology and other mobilisation challenges, only 104,000 national ID cards were issued in the pilot phase in Kampala.

Uganda Registration Services Bureau

URSB's approved budget for FY2014/15 was UGX8.72bn with UGX4.35bn (50%) released and UGX3.3bn (76%) of the release spent at half FY. Progressive performance assessment shows that 40% of output targets is likely to be achieved and another 40% unlikely to be achieved at the current rate of implementation, while 20% may be achieved if additional effort is made by the end of FY. Analysis of output performance against the released funds shows that 40% of the output targets were being delivered in line with the budget release. URSB is likely to achieve the targets on issuance of deaths certificates (54% and of the targeted 3,000). Performance on births certificates had already achieved the annual targets (1,222,713 out of projected 75000 certificates) and this has been attributed to installation of MVRS system in health centres. With additional effort, the Bureau may achieve annual target on registration of trademarks which was at 46% of the targeted 1,500 trademarks. However, the Bureau is unlikely to meet the annual targets on liquidation of companies and settlement of liabilities-attributed to slow court proceedings, inability by Government to settle its debts due to lack of funds.

⁸ 41,765 passports issued, comprising of 41,434 ordinary passports, 67 official, 147 diplomatic and 117 East African passports.

Legislature

The focus of the sector is on Making laws for promoting the rule of law, protection of human rights and socio-economic development; Carry out oversight on the Executive; to represent the views of the electorate; to equitably allocate resources and assuring transparency and accountability in the application of public funds, monitoring the implementation of Government programmes and projects (Scrutinizing Government Policy and Administration), debate matters of tropical interest usually highlighted in the President’s State of Nation address and vet the appointment of persons nominated by the President under the Constitution.

Parliamentary Commission received UGX167.95bn (51%) of the approved budget of UGX331.92bn for FY2014/15 and 84% of the release was spent. Performance analysis shows that 50% of the output indicators are likely to be achieved while 40% unlikely to be achieved at the current rate of implementation and 10% may be achieved with additional effort. The efficiency assessment of the sector shows that 90% of the output indicators were delivered in line with the fund released and 10% not delivered in line with the released funds.

Table 1.3: Half-Year Performance Scorecard for Legislature Sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	50%	10%	40%	0%	10
Parliamentary Commission	50%	10%	40%	0%	10

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total	331.92	167.95	140.25	51%	84%	42%
Parliamentary Commission	331.92	167.95	140.25	51%	84%	42%

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released	% where output performance is not in line with budget released	No Assessment	Denominator
Sector Total	90%	10%	0%	10
Parliamentary Commission	90%	10%	0%	10

*Where progress in performance indicators were proportional to financial releases at output level, in cases where progress in performance indicator was equal or above the releases.

Parliament

In the first-half of the FY 2014/15, Parliament registered good progress in passing of bills where 14(58%) bills were passed out of the planned 24, 34 (65%) Ministerial and other Statements have been presented by mid FY2014/15 against a target of 52 this being attributed to by the high level of vigilance of Legislators on the Executive. Because of this, the sector reported that the target is expected to shoot come next financial year. 26(57%) Committee reports have been produced and considered by plenary at the same point in time in FY2014/15 against a set target of 46 and 558(90%) Committee meetings have been held out of the 620 that were planned for FY2014/15 and this has been attributed to the fact that a lot of business is currently being handled by Committees. However more efforts are required in the conducting of oversight field trips in order for the sector to achieve their annual target of 150field trips by end of the year. Slow progress was registered in the answering of questions, passing of motions, Disposing of petitions and carrying out of outreach programmes. The Sector further indicated that only two motions were presented to plenary but have not yet been debated, 8 petitions have also been presented though the Committees have not had time to dispose then off. No outreach programme has been carried out due to lack of funds since the activity has been donor funded. However efforts are underway to mainstream this particular activity.

Public Administration Sector

The key objectives of the sector are to: facilitate the Presidency in fulfilling its constitutional mandate, promote and manage commercial diplomacy, regional and international relations; strengthen policy development and management across Government, monitor Government policies, programs and projects, conduct regular free and fair elections and referenda. The sector is led by the Office of the President (OP), and includes State House, Ministry of Foreign Affairs (MoFA) and Electoral Commission (EC).

By half of the FY2014/15, the sector had received UGX246.04bn (54%) of the approved annual budget of UGX459.27bn and spent 70% (UGX173.03bn) of the release. Assessment of the sector output indicators targets show that 77% of the indicators are likely to be achieved a decline from the 84% at the same point in time for FY2013/14 and 10% unlikely to be achieved at current rate of implementation while 10% may be achieved with additional effort. Efficiency assessment shows that only 57% of the sector output targets were delivered in line with the release.

Table 1.4: Half-Year Performance Scorecard for Public Administration Sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	77%	10%	10%	3%	30
Office of the President	78%	0%	11%	11%	9
Ministry of Foreign Affairs	100%	0%	0%	0%	10
Electoral Commission	43%	29%	28%	0%	7
State House	75%	25%	0%	0%	4

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total	459.27	246.04	173.03	54%	70%	38%
Office of the President	38.94	18.13	16.11	47%	89%	41%
Ministry of Foreign Affairs	19.905	11.147	10.25	56%	92%	51%
State House	249.84	114.19	131.94	58%	92%	53%

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Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Electoral Commission	150.58	72.57	14.73	56%	20%	10%

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released	% where output performance is not in line with budget released	No Assessment	Denominator
Sector Total	57%	43%	0%	30
Office of the President	67%	33%	0%	9
Ministry of Foreign Affairs	100%	0%	0%	10
Electoral Commission	14%	86%	0%	7
State House	0%	100%	0%	4

Office of the President

The budget release for the Office of the President by half year was UGX18.13bn (47%) of the approved annual budget of UGX38.94bn and 89% of the release was spent. The performance indicator assessment shows that 78% of the output indicators targets are likely to be achieved while 11% unlikely to be achieved at the current rate of implementation. The efficiency assessment shows that 67% of output indicators were delivered in line with budget release and 33% of the output indicators not delivered in line with the budget release.

The assessment also indicates that Office of the President has already achieved its targets on following up activities: identification of issues from monitoring exercises, for which 11 irrigation schemes, 26 valley dams and 7 valley tanks were monitored in 17 districts across the country. Data from the sector further indicates that 24 Hydro Power Energy Projects were also monitored in the following districts: Kabale, Kasese, Kanungu, Rukungiri Kamwenge Buikwe, Jinja, Kamuli, Bukwo, Hoima, Masindi, Kiryandongo, Moyo, Yumbe, Zombo, and Nwoya. The institution has also taken an average of 5 (160%) days to scrutinise cabinet submissions compared to the 8 days that had been targeted for in FY2014/15.

Good progress in performance has also been registered in the number of the RDCs meeting agreed objectives 80% against the annual target of 100%: (i) 2(50%) of the public programmes/projects inspected out of the planned 4 and (ii) 2(50%) tracking reports produced against the 4 that were planned for. However, the Institution may not achieve its targets on the number of annual manifesto handbooks distributed to MDAs and this has been attributed to the fact that these handbooks are only given out towards the end of the year.

State House

By half year, State House had received 58% (UGX 144.19bn) of the annual budget of 249.84Bn and spent UGX131.94bn (92%) of the release. Assessment of the outputs performance indicates a good progress performance at 75% of the indicators targets likely to be achieved at the current rate of implementation. However, outputs performance vis-à-vis spending shows that State House has 100% of its outputs not delivered in line with the released funds. The good progress in performance was realized in the following indicators: attending regional and international meetings 15(75%) of the targeted 20, and attending International Trade meetings 5(63%) of the targeted 8 meetings. Data from the institution further indicates that 95% of the demands received on logistical support for the welfare and security of the President were met, 498 programmes have been facilitated, 14 new investments have been commissioned and 39 Hospitals and 195 health Centres have been monitored.

Ministry of Foreign Affairs

Ministry of Foreign Affairs by half year had received UGX11.15bn (56%) against an approved budget of UGX19.90bn and spent 92% (UGX 10.26bn) of the release. Output performance assessment indicates that all the indicators are likely to be achieved at the current rate of implementation by the end of financial year and efficiency assessment also indicates that 100% of the output indicators were delivered in line with the budget release.

By half year, the Ministry had held all the planned bilateral engagements, where 4 agreements in infrastructure development and investment were signed with Kenya, Rwanda, and South Sudan at the Northern corridor summit in Kigali and the Kampala summit. One MoU signed with the Republic of Korea in education promotion but 1 grant

agreement with Japan JPC in collaboration with South Sudan Government was postponed due to conflict.

Data from the sector further indicates that 3(50%) multilateral engagements were held, where 1 conference (NCIP) was held to promote Uganda's interests in the region. The Ministry also participated in the 29th EAC Session of the Council of Ministers, participated in the 2nd extra ordinary Joint meeting of the sectoral councils on cooperation in defence and coordinated Interstate Security and Foreign Policy with in EAC.

Ministry of Foreign Affairs also has facilitated 12(92%) of the planned 13 Presidential and VIP visits, held 3(60%) tourism promotional engagements out of the planned 5, and this was done through coordinating the Uganda-Rwanda Business Forum for tourism promotion, holding an investment promotion conference in Rome where Uganda was marketed as a tourist destination and participating in a tourism exhibition in Tokyo. In addition the Ministry also facilitated 13(87%) diplomatic meetings against a target of 15 where meetings were coordinated and facilitated between H.E the president, senior Government officials and members of the diplomatic corps (Ambassadors of South Korea, Sri Lanka, Germany, Ireland, Brazil, Botswana, DPRK, India, Vatican, China, UAE, Kenya and Sri Lanka) and held 3(60%) trade promotional engagements against the 5 that were planned for FY 2014/15.

The Ministry further indicates that 109(52%) scholarships have been secured by half year out of the planned 210 and these are; 41 scholarships from India, 23 from Singapore, 7 from South Korea, 12 from Malaysia, 3 from Mauritius and 23 from Egypt. 21 reported cases of mistreated Ugandans have been handled out of 30 reported cases: 9 cases in UAE, 2 in Malaysia, 3 in China, 2 in Germany, 1 in Geneva, 1 in Ethiopia, 1 in Saudi Arabia, 1 in India and 1 in Afghanistan.

Electoral Commission

Electoral Commission received 48.2% (UGX72.57bn) of the annual budget of UGX150.58bn and spent only UGX14.73bn (20.3%) of the release. Assessment indicates that only 43% of the Commission's output indicators targets are likely to be achieved and 29% unlikely to be achieved at the current rate of implementation and 29% of the indicators may be achieved if additional effort is made. Efficiency analysis at half annual shows that only 14% of output indicators were delivered in line with release. At half

annual the commission has already achieved its annual target of concluding all the reported complaints / petitions that came from the public by half year.

In the first-half of the FY 2014/15, Electoral Commission registered good progress in; assessing the proportion of the public that had received information on electoral processes understood and retained that knowledge 50(71%) against the target of 70 and proportion of stakeholders participating in voter education and training performing at 60% of the planned 90% in FY2014/15. However more efforts are required in the implementation of stake holder recommendations arising from consultative meetings if the institution is to achieve its annual target of 50 by end of the financial year. Slow progress was registered in ensuring all eligible voters are listed in the voter register and filling vacancies at all levels where only 1 (25%) vacancy was filled against a target of 4.

The Public Sector Management Sector

The medium term objectives of the Public Sector Management (PSM) Sector focus on establishing mechanisms that will enhance coordination, monitoring and evaluation of Government policies and programmes, promote coordinated and harmonized policy planning and budgeting at National and Local Governments levels. Besides, it focuses on attracting, recruiting, developing and retaining highly skilled and professional workforce, managing decentralized service delivery systems and promoting the integration of Partner States into the East African Community. PSM is led by the Office of the Prime Minister and includes the Ministry of East African Community Affairs, Local Government Finance Commission, Ministry of Local Government, Ministry of Public Service, Public Service Commission, National Planning Authority and Kampala Capital City Authority.

The PSM Sector had a total annual budget of UGX 847.407bn out of which 50% (UGX 425.476bn) was released and 90% of the release (UGX 384.923bn) was spent. With this budget, 55% of the Sector's output indicators are likely to be achieved at current rate of implementation, 8% may be achieved with additional effort, while 14% of the output indicators are unlikely to be achieved at the current rate of implementation by the end of the financial year. The remaining 23% of the output indicators had no sufficient data for assessment. The Sector achieved this performance level with 45% of the annual budget spent. Within the sector, some MDAs are likely to deliver on their outputs by the end of the financial year. However, Local Government Finance Commission and Ministry

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of Public Service are unlikely to meet all their targets by close of the financial year at the current rate of implementation.

The efficiency assessment looks at delivery level on output targets and budget release for each output. The basis of assessing efficiency, or utilization of resources, judges the delivery performance against the level of the release. 54% of the Sector delivery on its output indicators targets is in line with the budget released at half year stage budget while 46% of output indicators were not in line with budget released. A case in point is Ministry of East African Community Affairs (MEACA). MEACA achieved 20% performance on output indicators by mid-year however, considering that 87% of the Ministry's budget was released and 98% of the budget was spent by mid-year; the delivery on output indicators was at 67% indicating that delivery on output indicators was not in line with release.

Table 1.5: Half-Year Performance Scorecard for Public Sector Management sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	55%	8%	14%	23%	130
OPM	82%	4%	14%	0%	29
LGFC	20%	30%	50%	0%	5
NPA	67%	0%	33%	0%	3
PSC	17%	16%	0%	67%	5
MoLG	86%	5%	0%	9%	8
MEACA	20%	20%	50%	10%	10
MoPS	86%	0%	0%	14%	11
KCCA	35%	7%	7%	51%	59

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total (GOU+Donor)	945.32	409.54	367.44	43%	90%	39%

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Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total (GOU)	762.864	366.658	325.025	48.1%	89%	43%
OPM (GOU+Donor)	188.418	111.442	91469	54%	39 %	72%
OPM (GOU)	127.586	68.651	69.057	60%	48%	82%
LGFC (GOU+Donor)	4.529	2.266	2.100	54%	46%	46%
LGFC (GOU)	4.529	2.266	221.62	50%	4 7%	93%
NPA (GOU+Donor)	14.614	8.076	8.008	55%	59 %	99%
NPA (GOU)	14.614	8.076	8.008	55%	59%	99%
PSC (GOU+Donor)	4.936	2.519	2.477	51 %	50 %	98%
PSC (GOU)	4.936	2.519	2.477	51%	50%	98%
MoLG (GOU+Donor)	28.579	12.420	11.162	43%	39%	90%
MoLG (GOU)	220.190	12.420	11.162	5.6%	5%	90 %
MEACA (GOU+Donor)	20.247	17.692	17.416	87%	86%	98%
MEACA (GOU)	20.247	17.692	17.416	87%	86%	98%
MoPS (GOU+Donor)	306.653	137.915	131.404	45%	43%	95%
MoPS (GOU)	306.653	137.915	131.404	45%	43%	95%
KCCA (GOU+Donor)*	255.72	117.209	103.401	45.83 %	88.22%	40.44 %
KCCA (GOU)*	255.72	117.209	103.401	45.83 %	88.22%	40.44 %

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released**	% where output performance is not in line with budget released	No Assessment	Denominator
Sector Total	48%	48%	14%	130
OPM	38	62%	0%	29
LGFC	20%	80%	0%	5

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NPA	33%	67%	0%	3
PSC	17%	50%	33%	5
MoLG	90%	10%	0%	8
MEACA	33%	67%	0%	9
MoPS	43%	43%	14%	7
KCCA	#	#	#%	#

*Budget added from the sector reports.

** Where progress performance indicators were proportional to financial releases at output level, in cases where progress in performance indicator was equal or above the releases.

Office of the Prime Minister

The Office of the Prime Minister (OPM) received a total of UGX 111.418 out of the budget of 188.41bn and spent 39% (UGX91.469) of the release. By mid-year 82% of output indicators are likely to be achieved at the current rate of implementation, 4% of the output indicators may be achieved with more effort, 14% are unlikely to be achieved at the current rate of implementation. The budget efficiency assessment shows that the output performance dropped to 54% against 80 % of UGX111.442Bn budget released. This indicates that delivery on the output targets is not in line with the funds released. This could mean that the sector may be setting soft target. Under the output on Government Policy Implementation Coordination, out of the 16 planned, cross/inter-sectoral issues 8 were resolved through the coordination framework arrangement. Thus 50% of the output indicators is likely to be achieved and the delivery of the output so far is in line with the budget release.

By half year, under the output on Functioning National Monitoring and Evaluation, the Government Annual Performance Report (GAPR) FY 2013/14 was produced and discussed at the Retreat of Cabinet Ministers, Ministers of State, Permanent Secretaries and LGs in January 2014. Of the planned 2 professional and credible evaluations one was delivered; this is target likely to be achieved at the end of the FY. The implementation of the Citizen's Demand for Accountability (Baraza) initiative had been conducted in twenty four districts⁹. In addition, all three output targets are likely to be achieved at the end of the FY and are in line with the budget released.

⁹ Rukungiri, Kalangala, Sironko, Moroto, Napak, Kaabong, Kotido, Abim, Nakapiripirit, Amudat, Adjumani, Ntungamo, Mayuge, Kaliro, Kyankwanzi, Kamuli, Buyende, Namutumba, Butambala, Nakaseke, Mityana, Lyantonde, Kasese, Rubirizi districts. Funds for Ibanda and Kiruhura District Barazas were committed but the activities pushed to 3rd quarter.

Under Coordination of Government business in Parliament all the three output indicators are likely to be achieved by the close of the FY and their performance was in line with budget released at half year period. Six (50%) of the planned 12 reports of Government business in Parliament were produced; 50 (50%) of the planned 100 disposal rate of bills to Parliament that are enacted into law within the stipulated period of time was achieved. The percentage attendance of Minister in Parliament for key session was 70% of the planned 100%

Under output on Effective Preparedness and Response to Disasters; 20 risk and vulnerability assessments were conducted by half year against the annual target of 30, the average response time to disasters was 44 hours, faster than the planned 72 hours. Both output indicators are likely to be met by the end of the FY. Whereas 12 District Disaster Management Committees were established and trained against 25 districts, the target may be met with more effort at the current rate of implementation. Under the output of Relief to Disaster Victims, by half-year; 910,000 disaster victims were supplied with food and non-food items out of the 200,000 half annual target. Both output indicators performance under the Granting of asylum and repatriation refugees were in line with the percentage budget released and are likely to be achieved at the current rate of implementation. 10,334 refugees' asylum claims were processed against the annual target of 10,000, while 3,827 refugee identification documents were processed of the planned 5,000.

By half year the coordination and monitoring of the implementation of Peace Recovery and Development Programme (PRDP) had achieved 50% of all the output indicators. 6 of the 12 planned PRDP coordination meetings were held; two of the planned four monitoring reports were produced, while 50% of the planned actions from PMC meetings were implemented. While these three output indicators are likely to be achieved at the close of the FY2014-15, the delivery of the output indicator targets were not in line with the budget released.

The coordination of the implementation of Luwero-Rwenzori Development Programme (LRDP) had achieved up to more than 50% of the annual target by 31st December 2014. The 1st report of the two planned performance monitoring reports had been produced, 35 of the 60 planned household income enhancing micro projects had been supported and the Annual consolidated district performance report had been produced. 5,178 civilian veterans (207.1%) were paid a one-off gratuity, a number twice

the planned target 2,500. Also the two quarterly coordination meetings for civilian veterans had been held. The output targets for the payment of gratuity and coordination of war debts' clearance were both likely to be achieved. Under the output on Coordination of the implementation of Karamoja Integrated Development Programme (KIDP), with 63.4% (UGX1.41bn) of the approved budget released UGX1.34bn had been spent by mid-year; all the indicators are likely to be already achieved. 6 of the 12 planned KIDP coordination meetings were held; two of the planned four monitoring reports were produced, while 50% of the planned actions from KPC meetings were implemented.

Local Government Finance Commission

The Local Government Finance Commission (LGCF) received UGX 2.266bn (55%) of the approved budget of which UGX2.106bn 46% was spent. 20% of the output indicator targets are likely to be achieved at the current rate of implementation, 30% of the output targets maybe achieved with more effort at the present rate of implementation, while the remaining 50% are unlikely to be achieved at the current rate of implementation. Delivery performance against release remains the same at 20% against 80% of UGX 2.266bn budget released; inferring that delivery on the output targets is slower than release.

Under the output on Local Government (LG) budgets analysis¹⁰; by end of the second quarter, 9 of the planned 20 Local Governments were provided with skills in the budgets formulation, this is attributed to delayed submission of approved budgets by Local Governments which was caused by updating of the OBT tool by MoFPED. Of the 60 days planned average length of time taken to provide feedback on analysed budgets no feedback was made. At the same time, of the planned 40 number of Local Governments complying with budgeting legal requirement none complied. Therefore the three indicators targets are unlikely to be achieved and as a result the output may not be delivered by the end of the FY. In addition the performance of the three indicators is not in line with the budget release. The Commission further reported that the LG budget analysis is expected to start in the third quarter.

¹⁰ This involves checking for compliance with budgetary guidelines and taking into account sector priorities and issues.

Under the output on enhancement of LG revenue mobilisation and generation; 20 of the planned 58 LGs were applying best practices¹¹ therefore the target may be achieved at the end of the financial year with more effort. At the same time, the number of LGs provided with skills to establish Local revenue data base, was 14 out of the planned 36. The target may be achieved at the end of the FY with more effort at the current rate of implementation. Zero out of the planned two percentage change in annual local revenue performance (MC) was recorded by half year. However no reason is given for the dismal performance of the said indicators. However 16 out of the planned 22 number of LGs were provided with skills in the collection of property rates and there output indicator target is likely to be achieved at the end of the FY and it is also in line with the budget released.

National Planning Authority (NPA)

The Authority received a total of UGX8.076 (55%) of the approved budget of UGX14.416 bn and spent UGX8.008bn (59%) of the release. 67% of the output indicators are likely to be achieved at the current rate of implementation, 33% of the output targets are unlikely to be achieved at the current rate of implementation. In regard to budget efficiency, the Authority delivered 67% of their output indicators against 55% of the budget released and 99% of releases spent implying that delivery is in line with releases. On the output Functional Planning Systems and Frameworks/Plans: 134 (105%) of the planned 128 of the institutions (MDAs and LGs) supported in development planning By mid-year, the Authority developed background paper on strategic direction and macroeconomic framework for NDPII (2015/16-2019/20); and collected data towards the production of national spatial plan for illustration in the Plan. However under the output Functional think tank, of the 8 planned PEC/researched papers only one researched paper was produced by half year¹².

¹¹ This involves checking whether LGs are complying with the criteria during revenue collection. This is done mainly to enhance revenue collection for example by putting in place an incentive framework for people collecting revenue.

¹² Scaling up Value Addition in Agricultural Products, Curbing Corruption to Improve Service Delivery and Enhancing Uganda's Tourism Sector for Growth and Employment.

Public Service Commission

Out of the approved annual budget of 9.936bn the Public Service Commission (PSC) received a total of UGX 2.519bn (51%) and spent 50% (UGX 2.519bn) of the release. 16% of output indicators are likely to be achieved at the current rate of implementation, while 17% of the output targets may be achieved by the close of the year with additional effort. With 50% of UGX 2.519bn budget released; output performance moved down to 17% implying delivery is below release level. By half year, the Commission reported 0 of 30 District Service Commissions (DSCs)¹³ were not provided with technical assistance and capacity gaps 17 out of the targeted 25 competence based selections instruments¹⁴ were developed by mid-year showing that the target is likely to be achieved at the current rate of implementation. Furthermore, 3500 of the targeted 1,455 vacancies were filled by mid-year and 1,455 of recruitment submissions were handled and concluded against that target of 3,500 by mid-year. This shows that the target maybe met by the end of the financial year.

Ministry of Local Government

Ministry of Local Government (MoLG) received a release of UGX 12.420bn (5.6%) of the approved budget of UGX 220.190 and spent 5% (UGX11.162bn). 86% of the Ministry's output indicators are likely to be achieved at the current rate of implementation, 5% may be achieved at the end of the FY with additional effort. The Ministry's performance in regard to output targets achieved compared to budget released by mid-year was 90% implying that delivery on output targets is ahead of budget release.

Under Monitoring and Support Supervision of Local Governments output, 87% of Local Governments have functional Technical Planning Committees (TPCs), Public Accounts Committees (PACs), District Service Commissions (DSCs), Land Boards and Contracts Committees out of the targeted 100% Local Governments. This target is likely

¹³ DSC monitoring visits carried out in the districts of Kole, Oyam, Kitgum, Pader, Agago, Otuke, Dokolo and Amolator. Reviewed previous reports and carried out performance audit for the DSCs of Serere, Kaberamaido, Kibuku, Gombe, Rakai and Lwengo.

¹⁴ Developed Selection Instruments for the following Districts/Agencies/Ministries:- Districts: Amolator, Kisoro, Kabale, Kanugu, Arua, Wakiso. Agencies: Parliament of Uganda, NITA-U, EOC, OAG, UBOS. Ministries: office of the president, Water and environment, Local Government, Agriculture animal industry & fisheries, Public Service, East African Community, Justice & Constitutional affairs, MFPED, Gender labour & social development.

to be achieved at the current rate of implementation. The indicator target under output 131201 on LG Councillors trained was achieved by mid-year stage with 5.6% of UGX 12.420bn budget release. All the output indicators under the output on strengthening financial management and accountability in LGs are likely to be achieved by year end at the current rate of implementation. Under the output in inspection and monitoring of LGs, 56 out of the targeted 111 LGs were covered by routine inspection, which means that by end of the FY the target may be achieved with added effort. The indicator target under the output is likely to be achieved by close of the FY at the present rate of implementation.

Ministry of East African Community Affairs

The Ministry of East African Community Affairs (MEACA) received a release of UGX17.692bn (87%) and of the approved budget of UGX 20.247bn. By half year, 86% of the release (UGX 17.416 bn) had been spent. The Ministry exhibited poor progress in delivery on its output targets with 20% of the output indicators likely to be achieved at the current rate of implementation while 20% of the output indicators maybe achieved if additional effort is made and the remaining 50% targets are unlikely to be achieved at the present rate of implementation. Considering budget efficiency assessment against set targets; delivery on output indicators dropped to 33% against 67% of the UGX 17.692bn budget released, signifying that delivery is slower than the release level.

By the end of the second quarter, out of the planned 18 Country position papers and back to office reports on the EAC regional meetings, 5 had been prepared¹⁵ and 1 Cabinet memo¹⁶ was drafted and submitted.

¹⁵ The position papers are: 1. Country position paper for the 27th meeting of the EAC Council of Ministers

2. Country position paper for the 28th meeting of the EAC Council of Ministers, 3. Country position paper for the meeting of the Sectoral Council on Agriculture & Food security meeting, 4. Country position paper for the meeting of the Sectoral Council on Lake Victoria Basin Commission(LVBC) meeting, 5. Country position paper for the meeting of the Sectoral Council on Ministers responsible for EAC Affairs & Planning, 6. Country position paper for the meeting of the Sectoral Council on Transport Communication & Meteorology, 7. Country position paper for the meeting of the Sectoral Council on Economic Affairs, 8. Country position paper for the meeting of the EAC Finance & Administration Committee.

¹⁶ 1. Cabinet on 14th August 2013 ratified the EAC Protocol on establishment of the East African Kiswahili Commission and therefore authorized the Minister of foreign Affairs to deposit the

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All the indicators under the output on the monitoring and evaluation of compliance with implementation of EAC decisions and directives are unlikely to be achieved at the current rate of implementation.

Under output 133103 on strengthening public awareness and public participation in EAC regional Integration, 4500 students¹⁷ were sensitized about EAC integration against the annual target of 1200. Only 14 out of the targeted¹⁸ 50 LGs were sensitized on EAC integration process at half year stage showing that the target is unlikely to be achieved at the current rate of implementation by year end. No actuals were found on the output on Uganda's contribution to the EAC yet a target of 5.63\$ was set against the budget release of 15.18bn and 100% release.

Ministry of Public Service

The Ministry of Public Service (MoPS) received a total of UGX 137.915bn 45% of the approved annual budget and spent 43% UGX 131.404bn) of the release .86% of the Ministry's output indicators are likely to be achieved at the current rate of implementation, while 14% of the indicators were not assessed because data was missing. In regard to utilization of resources by half year, delivery on output indicators was 43% against 45% of the UGX131.404bn (GOU + Donor) budget released; indicating that at mid-year, delivery on outputs is slower than release.

The indicators under the following outputs are likely to be achieved at the current rate of implementation; Public Service performance management, Management of the Public Service Payroll and Wage Bill, Results Oriented Management systems

instruments of ratification with the EAC Secretary General. Refer to Cabinet Minute Extract No. 271(CT2013), 2. Cabinet on 21st November 2013 ratified the EAC Protocol on Cooperation in Defence Affairs and therefore authorized the Minister of foreign Affairs to deposit the instruments of ratification with the EAC Secretary General. Refer to Cabinet Minute Extract No. 491(CT2013), 3. Cabinet ratified the EAC Protocol on Peace and Security on 22nd January 2014 and therefore authorized the Minister of foreign Affairs to deposit the instruments of ratification with the EAC Secretary General. Refer to Cabinet Minute Extract No. 271 (CT2013), 4. Cabinet Memo CT(2013)117 on Republic of Uganda hosting the 15th Ordinary Summit of EAC Heads of State on 30th November 2013.

¹⁷ Intensified the sensitization in secondary schools and the formation and facilitation of EAC Clubs in such school. The education institutions visited include: Kawempe Muslim Secondary School, Kawanda Secondary School, Muyenga High school, St. Mary's College Kisubi , Nkumba University.

¹⁸ The Local Governments include: Buyende, Kamuli, Gulu, Amuru and Nwoya

strengthened across MDAs and LGs, Compliance to service delivery standards, Service Delivery Standards Developed, Disseminated and Utilized. Under the output 131301 on developing and reviewing organizational structures for MDAs, the Ministry reported that 20 out of 30 MDAs and LGs had their organisational structures reviewed and customized by mid-year. This means that the annual target may be achieved at the end of the FY with more effort. By half year, the ministry reported that no retiring officers received preretirement training even though 95% of the budget (UGX 0.31bn) was released. This would suggest that the annual target of covering 95% of the retiring officers is unlikely to be achieved at the current rate of implementation.

Kampala Capital City Authority

35% of the Kampala Capital City Authority (KCCA) output indicators are likely to be achieved at the current rate of implementation, 7% of the output indicators may be achieved with additional effort, and 7% are unlikely to be achieved by year end, while 51% of the data was not assessed because there was insufficient data. In regard to budget efficiency by half year, delivery on output indicators was 28% against 563.8% of the UGX 7.651bn budget released; indicating that at mid-year, delivery on outputs is considerably slower than release.

Under the outputs on Urban Market Construction and rehabilitation; were not met by mid-year. KCCA reported that architectural designs for Busega Market were completed; procurement of contractor finalized and construction will commenced in June 2014. Under urban road maintenance, by half year, 2.9 Km of Urban roads were maintained¹⁹ (sectional repairs) out of the annual target of 5Km. this implies that the annual target is likely to be achieved by close of the financial year. The output target for the indicator under Urban Road Construction was outstripped by mid-year stage as 12.88Km. of urban roads was constructed to bitumen standard more than the annual plan of 8Km. The roads that were upgraded from gravel to bitumen include roads like Kamuli Link (0.65km), Kintu/Kitintale road (1km), Canoon (0.85 km), Circular drive (0.8km), Corporation road (0.27), Access Road (0.1km), 2(0.06 km) Wanainchi road (0.4 km) Martyrs (0.27 km) UNEB access road (0.35km) Access Road 2 (0.1km) Lakeside road (1km), Radio Maria road (0.55km), Mutungo road 1 (0.75km), Kabalega Crescent Road

¹⁹ This includes Old Mubende Rd and Kyabagu Rd.

(0.9km), Buvuma road (0.27km) Muwafu (0.23km) Martyrs' Rise (0.05km), Martyrs' Drive (0.25km) Martyrs gardens A and B (0.5km and Martyrs Link (0.17km). This was done with 49% of the UGX 72.9Bn budget released. In addition, 14.09 Km. of urban roads were rehabilitated²⁰ (Bitumen standard) by mid-year.

Under Primary Education infrastructure construction, 100 out of 100 Primary Schools benefited from infrastructure construction as staff quarters were constructed, staff quarters at Naguru Katali primary school in Nakawa Division, renovation of staff quarters at Ntinda primary school in Nakawa Division. Under the output of provision of Urban Health Services; 176,416,773 against 516,416,713 outreach programmes of the value of essential medicines delivered to health facilities by NMS were conducted. Therefore the output indicator target may be achieved if more effort is put in at the current rate of implementation. These include various outreaches conducted by KCCA health units to communities for immunisation, safety, hygiene, TB and sanitation improvement. These also included outreaches to cattle traders, butcher men, workers in factories, markets, slaughter houses, hotels and schools. Zero of the planned 9 health facilities reporting no stock out of the 6 tracker drugs was recorded; this is unlikely to be achieved.

SECURITY SECTOR

The objectives of the Sector are to preserve and defend the sovereignty and territorial integrity of Uganda, build adequate and credible defence to address both internal and external threats, provide intelligence information to support national security and stability, and create military alliances that enhance regional security and stability.

The Sector is led by the Ministry of Defence (MoD), and includes Internal Security Organization (ISO) and External Security Organization (ESO). While the Ministry for Security falls under this Sector, it is not a Vote of its own but its functions are spelt out in the Budget Framework Paper as coordination of security agencies under the Office of the President.

The Security sector received UGX 480.6 (41%) of the annual budget of UGX 1159.29bn-donor inclusive and spent 94% of the budget release. The sector registered

good performance at half year with 95% of the output targets likely to achieve the annual targets by financial year end if the implementation rate is maintained and 5% of the output targets may be achieved if additional effort is made. The Sector performance on utilization of funds shows that 79% of the output targets were delivered in line with the budget release.

Table 1.6: Half-Year Performance Scorecard for Security Sector

OUTPUT PERFORMANCE

	Likely to be Achieved	May be Achieved	Unlikely to be Achieved	No Assessment	Denominator
Sector	95%	5%	0%	0%	19
MoD	89%	11%	0%	0%	9
ISO	100%	0%	0%	0%	5
ESO	100%	%	0%	0%	5

BUDGET PERFORMANCE

Budget	Approved (UGX Bn)	Released (UGX Bn)	Spent (UGX Bn)	% of budget release	% of release spent	% of budget spent
Sector Total (GoU+Donor)	1,159.29	480.60	452.76	41%	94%	39%
Sector Total (GoU)	906.04	480.60	452.76	53%	94%	50%
MoD (GoU+Donor)	1,105.63	449.33	421.69	41%	94%	38%
MoD (GoU)	852.39	449.33	421.69	53%	94%	49%
ISO (GoU+Donor)	39.77	24.33	24.22	61%	99.6%	61%
ISO (GoU)	39.77	24.33	24.22	61%	99.6%	61%
ESO (GoU+Donor)	13.88	6.94	6.86	50%	99%	49%
ESO (GoU)	13.88	6.94	6.86	50%	99%	49%

EFFICIENCY ASSESSMENT

	% where output performance is in line with budget released	% where output performance is *not in line with budget released	No Assessment	Denominator
Sector Total	79%	21%	0%	19
MoD	89%	11%	0%	9
ISO	40%	60%	0%	5
ESO	100%	0%	0%	5

**Where progress in performance indicators were proportional to financial releases at output level, in cases where progress in performance indicator was equal or above the releases.*

Ministry of Defence

The total release to the Ministry by half year was UGX 449.33bn (22%) of the approved annual budget of UGX1159.29bn and 94% of the release was spent. Efficiency assessment of the Ministry indicates that 89% of the output targets was delivered in line with the released funds. The performance of the Ministry at half year shows that 89% of the output indicators likely to be achieved by financial year end if the current rate of implementation is maintained and 11% may be achieved if additional effort is made. Indicators had already surpassed the annual budgets by half year on value of food stuff procured and supplied (140% of UGX 18.9bn) – the MoD notes that the food budget does not have enough funds to cater for the entire feeding requirement, hence over performance in this area at half-annual hence the need for a funding increment of UGX 34.99bn on the budget to cater for this shortfall. Value of petroleum Oil and Lubricants (POL) procured also performed at 202% of UGX10.3bn- also attributed to budget shortfall of UGX31.98bn.

Indicators that had already achieved the annual targets include: medicare services accessible to UPDF officers, militants and their families (67%, number of children enrolled in UPDF formal schools (100% of 40,842school children), and number of category courses conducted for officers and militants (100% of 6 courses). Other areas, which had registered good progress against their annual targets by half year are: procurement of uniforms (54% of UGX 10.9bn), construction, renovation, and upgrading of several projects for officers and militants (55% of 49 projects).

Internal Security Organization

By half of FY 2014/15, the Internal Security Organization (ISO) had received UGX 24.33bn (61%) of the approved annual budget of UGX39.77bn and 99.6% of the release was spent. Half year performance assessment of Internal ISO shows that all (100%) of the output indicators are likely to be achieved at the current rate of implementation. Performance assessment indicates that ISO was on track to achieve its annual targets in the areas of collection of technical and human intelligence and training of administration staff, training of ISO staff. However, the progress registered at half annual was not commensurate with the release since only 40% of ESO outputs indicators were delivered in line with budget released.

External Security Organization

The External Security Organization (ESO) received 50% (UGX 6.94bn) of the approved budget of UGX 13.88bn and utilized 99% of the released funds. ESO was on track to achieve all its output indicators all (100%) of the output performance indicator targets likely to be achieved at the current rate of implementation. These include weekly collection of technical intelligence and human intelligence and generation of intelligence reports and daily briefings to the President. The progress registered at half annual was commensurate with the release since 100% of ESO outputs indicators were delivered in line with budget released.

DISCUSSION OF RESULTS

Evaluation can be formative – where it is done during the initiation and design of an intervention and is thus interested in of improving the value of a proposal, project, or organisation; and, assumptive – where it draws lessons from a completed intervention. Evaluation involves: a systematic, rigorous, and meticulous application of scientific methods (Ross, Ellipse and Freeman, 2004), an objective and critical assessment focusing on facts as well as value laden judgments of the programs outcomes and worth (Reeve and Paperboy, 2007). While main purpose of evaluation can be to "determine the quality of a program by formulating a judgment" (Hurteau, Houle and Mongiat, 2009) various evaluations also serve various purposes with some serving a monitoring function rather than focusing solely on measurable program outcomes or evaluation findings and a full list of types of evaluations would be difficult to compile (Reeve and Paperboy, 2007).

GoU, (2013) points out that plans are not being designed with performance in mind, routine monitoring is uneven in scope and quality, and evaluation is sparse in coverage and use. In the Uganda public service for example, the Government has also realized that stronger coordination is needed to ensure that monitoring and evaluation helps guide public actions toward greater cost-effectiveness in pursuit of poverty eradication and to improve information standards, requirements, and systems that support different levels of national decision-making (GoU, 2013). With regard time constraints, an evaluator may face the challenges that include: too many activities that were poorly planned for while scheduling that they overwhelm the evaluator as time will be elapsing without completing activities on schedule. Data constraints include the challenge of accessing some respondents that Bamberger, Rugh and Mabry (2006) termed as hard to reach, additionally; there may be covert resistance by some organisational members to provide the evaluator with required information which causes some frustration in the process.

CONCLUSIONS

The Government Half Annual Performance Report provides information on the performance of Government at mid-point of the current Financial Year (FY) 2014/15. The objective of the report is to highlight areas where progress has been made against the set targets and actions and where delays have been occasioned. This report is therefore intended to aid Cabinet and line Ministries, Departments and Agencies, and Local Governments to support Government in ensuring that agreed targets are met by the end of the Financial Year. Budget releases to sectors and their constituent Ministries, Departments and Agencies are uneven at mid -year point. Sectors like, Accountability, Justice Law and Order, Legislature, Public Administration and Public Sector Management all received over half of their annual budgets (Government component only, excluding donor contributions) in the first two quarters, while others have received considerably less than expected. Amongst these Securities has not received more than 45% of their annual budgets (Government component only) by the half-year stage. The Security, Public Administration, Justice Law and Order are making good progress.

In conclusion, there is evidence of improving endogenous demand for monitoring evidence. In Uganda there is increasing performance reporting in Cabinet with the reports discussed on a regular basis, showing a high level demand for M&E evidence.

Monitoring dominates the M&E systems in all cases, and there are issues with the results orientation, scope and quality of data of the monitoring systems. This article has built on some of the work done by the technical officers in the monitoring and evaluation department of the Office of the Prime Minister on M&E systems, building not from a donor demand, but in-country demand. As a result, there are emerging efforts from the ministries, departments and Agencies to build on each other's experience, with an active exchange programme happening between OPM and MDA's, around evaluation. International organizations like 3ie, UNDP and donors (DFID) are actively supporting this sharing. This should help to reduce donor dominance, both in terms of concepts and instruments, help to reinforce in-country capacity to develop M&E systems, and build local confidence.

In Uganda the lead agency collates information from other departments and so is dependent upon the capacity of other agencies to produce quality information. Monitoring reports are generally widely disseminated and in all cases considerable human and financial resources are put into their development. Results have shown that in Uganda, there is a system of biannual Cabinet retreats to review the performance of the government. The President, Vice president, Prime Minister, Ministers, top public servants and local government leaders attend the retreat. The retreats review reports and issue recommendations to inform budgeting processes of the following years. In this way, there are emerging mechanisms to institutionalize monitoring to feed into executive decision-making processes in order to improve budgeting and effectiveness in service delivery. However, what remain unclear are the consequences of poor performance and the rigor of the evaluative decisions that are taken.

POLICY IMPLICATIONS

In evaluating the sector budgets and efficiency retreats of Cabinet Ministers, Ministers of State, Permanent Secretaries and Local Government Officials to assess the performance of Government have been held since the Financial Year 2009/10. The reviews are based on the findings of the Government Annual Performance Report (GAPR) and (GHAPR) produced by the Office of the Prime Minister. In line with key medium term objective, the performance reports provide timely information to policy makers on the performance of Government during the previous financial year, highlighting what has been delivered, what has not, and the reasons why. Fundamentally, the report is designed and timed to

inform the key policy makers on where resources and efficiency measures need to be placed in the coming financial year.

The purpose of the Retreats is to look critically at the performance of Government against intended outcomes and planned actions and output targets and resource usage across the sectors that constitute the planning and budgeting framework of all the Government and whether or not these actions and outputs remain appropriate to the achievement of sustainable results in economic infrastructure and competitiveness, service delivery in rural and human development, and ensuring security, justice and good governance. During the retreats, Ministers make presentations on the performance of each sector from the Office of the Prime Minister. After presentation and discussion of the performance of a particular sector, the plenary suggests specific actions that should be adopted to rectify the policy or implementation issues highlighted. The Cabinet then endorses the actions, and relevant Ministries Departments and Agencies are requested to plan and implement the actions in the following year. They are further followed-up to ensure that implementation has been done.

Further in-depth work is needed, which will both help to deepen the analysis and also lead to more in-depth sharing across government ministries. Some fruitful follow-up work could be undertaken from four perspectives: (1) citizens, (2) line ministries, (3) parliaments and (4) the profession of evaluation. In this analysis, there is a gap in knowledge of how citizen demands for development spur government demands for monitoring and evaluation. Filling this gap would be important given the appearance of an increasingly active citizenry in Uganda. An investigation of line ministries would give a deeper political perspective on how the centralized rules and incentives play out in practice. The use of M&E information by parliaments provides an opportunity for increased demand and use of M&E information for accountability. Parliaments are locations of latent demand for evaluation, where there is space for contestation around evidence. Finally, deeper analysis of the profession of evaluation would give an indication of the gaps between government demand and the current supply as governments start to regulate the markets they generate as they commission evaluation.

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The Performance Evaluation System in Pakistan's Civil Service

ARTICLE

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Abstract

While achieving economic growth and development are dependent on the performance of the bureaucracy, there is a growing inability in Pakistan to objectively evaluate this performance. In this article, we examine performance evaluations systems that can be applied to developing country bureaucracies and find that the best system in the Pakistani context is the SMART performance evaluation system. We then analyze the present Pakistani system and compare it to an example of a SMART system and find that the disconnect between the actual performance of the civil service and the measurement of this performance by the performance evaluation report (PER) in Pakistan, has discouraged optimal performance. The article also looks at the perceptions of senior civil servants themselves on what they perceive as the shortcomings of the performance evaluation management system in Pakistan as well as their opinions on a potential SMART performance evaluations system. The article recommends an immediate re-evaluation of the present performance management where the re-evaluation initiatives must be tempered with the realization that the present system has been established not to optimize bureaucratic performance but rather to sustain the present system of patronage and power.

Keywords: Incentive, political capture, merit, service delivery, performance evaluation, civil service, perceptions, Pakistan

Introduction

The bureaucrat is instrumental in the successful implementation of government policy and in making development a reality (Reynolds, 1983). The ability of the bureaucrat to transform the tenets of policy into the reality of development is dependent on the capability and capacity of the bureaucracy as an organization to ensure development. (Cheema and Sayeed, (2006); Kaufmann, Kraay, & Zoido-Lobaton (2000); Evans & Rauch 1999, (2000); World Bank, (1997).

The association between successful delivery and bureaucratic performance is difficult to identify and has led to an increasing interest in establishing the relationship between bureaucratic performance and development outcomes.

In the case of Pakistan, measures to augment the bureaucratic performance entail civil service reforms over the past decades. The reform has led to a system in which performance is supposed to be evaluated but these reforms have had little impact on actual performance. (Hussain, 2007; Tanwir 2010). The reason for this can be two-fold: Either the reformers may have implemented the wrong types of reforms or the civil servants may be resistant to reform since they feel that the present system is optimal for themselves and have created roadblocks for its implementation. We argue that the one of the possible reasons for this lack of impact might be because the Pakistani civil service reformers have failed to fully understand the various performance evaluation systems, which in turn means that the system that has been implemented is the wrong one for Pakistan. We also find that the majority of Pakistani bureaucrats recognize that the present system is flawed and would be willing to accept a revised system that accurately measures and rewards performance. In this article we look at the various models of performance management systems and narrow down the performance evaluation system that best fits the Pakistani context. After this we compare the present Pakistani performance management to an example of the optimal system we have chosen and find that the Pakistani system falls far short. Finally, we take our analysis one step forward and look at what are the perceptions of the Pakistani bureaucrats regarding a revised performance management system and find that there is an overwhelming recognition amongst the bureaucrats that the present system is flawed and that they are willing to accept a new system.

The setup of the article is as follows: Section I one provides the introduction. In Section 2 we explain the link between civil service performance and economic development. In Section 3 we present the various types of performance management systems and see how the SMART system is the best fit for the Pakistani civil service. In Section 4 we see how the present Pakistani performance management system compares to the SMART system. In Section 5 we look at how current bureaucrats view the present Pakistani performance management system as well as how they feel about the elements of a new performance evaluation system based on the SMART system. In Section six 6 we present conclusions.

The Link between Civil Service Performance and Development

The main reason for civil service reform is that policy makers realize that there is a direct relationship between the performance of the bureaucrats and public service provision, leading to the overall development objectives of society. In this section we look at the evidence on the link between civil service performance and development.

There are now both case studies and cross-country empirical analyses that affirm that bureaucratic performance is essential for development (Kaufmann et al, 2000; Evans & Rauch, 1999, 2000; World Bank, 1997, Kohli, 2006). The primary instrument of the developmental states remains a competent and a professional bureaucracy (Evans, 1995). The miracle of the East Asian developmental state has largely been attributed to the role of the professional and autonomous bureaucracy, which closely approximate the Weberian mode²¹ (Chang, 2002).

As the literature highlights an efficient and well performing bureaucracy is a catalyst for the modern developmental state, it also informs on the costs of inefficient performance of the bureaucrat. The inefficiency and incompetency of the bureaucrat have grave consequences for the nation state. Huber and McCarty (2004) inform that when bureaucratic capacity is low, successful policy making remains hostage, as

²¹Having inherited the colonial British Weberian model at its birth in 1947 (Briabanti, 1966) provided the starting point for establishing the characteristics of bureaucratic performance in Pakistan

politicians²² in such polities get trapped in a situation whereby they have little incentive to undertake reforms of either the bureaucracy or other institutions which are quintessential for efficacious policymaking.

Underlining the significance of the efficiently performing bureaucrat and the close correlation to positive development outcomes, governments and practitioners have turned their attention towards augmenting the capacity of the bureaucrat (Matheson, A. et al. (2007); Pollitt & Bouckaert, (2000) .This is more important than ever before, as with the 21st century, the forces of globalization, and increasing volatility and irregularity within the social and economic environment, has called for the civil service, particularly the senior civil service to realign and reinvent itself to cope with the evolving strategic challenges. In this process of reinvention and modernization of the senior bureaucracy, modernizing the performance management and performance evaluation of the civil servants has emerged as a key concern in public administration (IPPR 2013: 13-14)

Thus the literature explicates how a well-functioning bureaucracy is a critical component for development. In the next section we explain performance management and introduce the performance evaluation report as a key criterion, in the context of the civil service and discuss various models that are relevant in the development country context.

Performance Management Systems in the Context of the Pakistani Bureaucracy

In this section we look at what performance management systems are and what they mean in the context of developing country bureaucracies. We then look at various models of civil service performance management systems and find the one that best fits the Pakistani context.

Performance is now seen as being fundamental to the modern state (Matheson, A. et al. (2007), and the modern state has primacy only to the extent it performs and performance management and evaluation remains the primary means by which public service goals are linked to individual target-setting, appraisal and development. It provides a strategy for delivering a higher quality (public) service and for increasing

²²The Pakistani bureaucracy has been charged with increased politicization (Tanwir and fennel, 2010)) as there is a rise of the transfers of bureaucrats between official posts that appear to be related to political machinations.

efficiency by enhancing accountability and individual motivation, and improving communication to assist organizational change. Pollitt and Bouckaert (2004) offer an integrated analysis of the wave of management reforms which have swept through several countries in the last decades. Their research suggests that optimal performance management and accurate measurement is of crucial significance to ensure successful development outcomes.

The origin of the literature performance management lies in the financial management and economics literature in which firms are judged by their shareholders based on measures of profitability (see Kaplan and Norton, 1996 and Morisawa, 2002) or organizations are judged by their stakeholders on measureable criteria such as increased effort and productivity (See Otley, 1999). Performance management has been defined and interpreted in different contexts and organizations. It can be understood as:

The periodic measurement of progress toward explicit short and long run objectives and the reporting of the results to decision makers in an attempt to improve program performance (Poister, 1983:3).

In terms of performance management what comes to the forefront is the term *Performance Measurement*, which is a key element in augmenting performance.

Performance measurement is intended to produce objective, relevant information on program or organizational performance that can be used to strengthen management and inform decision making, achieve results and improve overall performance, and increase accountability (Positer, 2003:4)

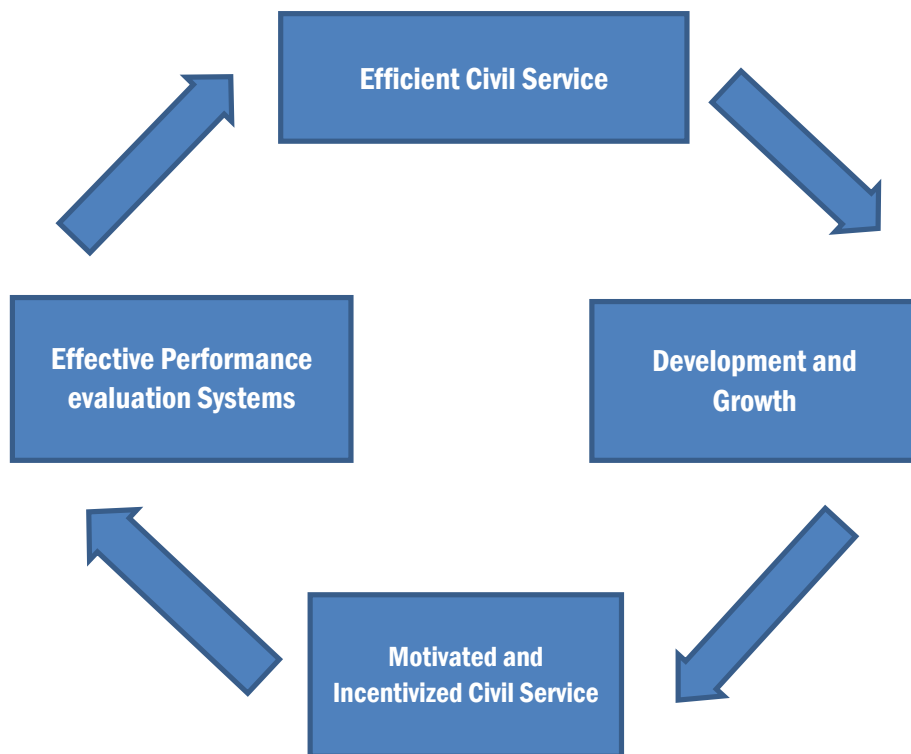
Though the literature on performance measurement systems is diverse in nature, the three major models of performance measurement that have emerged are (1) the balanced scorecard model, (2) the performance pyramid (or SMART system) and (3) the performance prism. The balanced scorecard was developed by Norton and Kaplan (1990) and established the link between financial/operational measures with outcomes measures such as customer satisfaction, productivity, value, etc. The performance pyramid or SMART system of Cross and Lynch (1992) was different from the balanced scorecard model in that it recognized that organizations were hierarchal structures and thus the SMART model provided a link between performance measures at each of these

levels aimed at achieving an overall organizational objective which was the summit of a 'pyramid'. The performance prism model was developed by Neely et al (2001) and goes beyond the ideas of the other models by incorporating the idea of what stakeholders actually want and looking at performance management through this lens.

In the context of developing country bureaucracies, performance management and evaluation systems are those systems that improve service quality in the bureaucracy as well as lower costs and increase accountability to stakeholders. As Garvin (1993) has aptly informed, *"if you cannot measure it, you cannot manage it."* Accurate performance measurement tools would warrant if the work rendered is satisfactory and adequate or indicate warning regarding dismal performance of the civil servants. Accurate and objective performance measurement would lend clarity when examining the cause of the success or failure of development programs performance management can also provide signals to what may be the problem, whether it is the performance of the bureaucrats or other extraneous factors which need consideration.

Positer (2002) informs that accurate Performance measures can provide managers and policymakers with valid, reliable, and timely information on how well or how poorly a given program is performing, however he does stress that ultimately it will be the responsibility of the managers and policymakers to respond effectively to improve performance (Positer, 2002:272)

As a natural consequence of an accurate bureaucratic performance evaluation system, there would be weightage on good performance and subsequently good performance would be recognized and rewarded by promotion to the next senior grade. Furthermore, seniority would imply higher quality of management, where the senior is superior in experience and skills to the junior colleague. A good performance evaluation system would provide incentive for efficient performance of the civil servant and provide an accurate indicator to evaluate that performance. It would also reward good performance and discourage inefficient performance. It would also imply that the senior officers are more competent as their promotions were based on efficient performance. It would also imply that the officers occupying important posts have reached there by seniority and merit, and are qualified for the job and will work efficiently and promote development initiatives. The following figure illustrates the argument:



Source: Authors own

But the question that arises after this discussion is which model of performance evaluation fits Pakistan the best? The Pakistani bureaucracy, like many developing country bureaucracies is based on a system where compensation is purely based on seniority (which is usually more linked to years of experience rather than performance) but positions or 'postings' are supposed to be based on performance. This means that in the Pakistani context an effective performance evaluation system that objectively and accurately assesses the performance of its officers and on the basis of the assessment of performance offers recommendations for future transfers and promotions is a very

important tool in ensuring that the well performing, efficient officers are posted and promoted correctly, so as to better pursue developmental work.

In this context, the balanced scorecard approach does not fit the Pakistani system because it tries to link measures of performance with outcome measures such as development but it ignores the hierarchal structure that is inherent in the Pakistani bureaucracy. On the other hand even though the performance prism model takes into account the structure of the Pakistani bureaucracy, its emphasis on looking at performance through the lens of the stakeholder can be tricky in the Pakistani case: Is the principle stakeholder the political entities that decide on bureaucratic transfers, promotions or postings or is it the citizens of Pakistan that have little impact on the careers of bureaucrats? And if it is the latter, then how can bureaucrats be held accountable to these citizen stakeholders? So, the performance evaluation system that fits the Pakistani bureaucracy the best is the performance pyramid or SMART system which takes into account the hierarchal nature of the Pakistani bureaucracy and links measurable performance measures with measurable outcome measures in terms of an overall objective which in the Pakistani context is economic development.

Comparing the Pakistani performance evaluation system with the SMART System

In this section we describe the current Pakistani performance evaluation system for civil servants as well as comparing it to an example of the SMART system of performance management.

Examining the performance management system, one finds that as opposed to international best practices it only contains one performance evaluation report (PER). (The performance management system and the performance management report are quintessentially the same and only primary criteria of managing and evaluating bureaucratic performance)²³.

²³ Unlike the UK Performance management system, where the PER is only one part of the whole management system, there exists only one document the Performance evaluation report that determines the career trajectory of the civil servant. As the next section will elaborate there are no prior objectives and which are first discussed and no specific targets that are agreed by the line manager and officer and then reviewed bi annually, and then assessed annually, where the officer himself comments on the attainment (or the lack of) targets and objectives. But the PER is just simply filled up the line manager, the next in command.

The PER (previously termed as the annual confidential report (ACR) is filled out by the senior/boss of the officer being assessed and is the most important criteria for assessing whether the officer is worthy of being promoted to a higher grade or not. This document according to Weber (1968) should be based on merit and performance. Evans and Rauch (1997) similarly talk about promotion based on performance as a key Weberian criterion, that would ensure predictable long term careers, and it would imply a system that rewards performance and discourages incompetence. According to Weberian Tradition the PER should be an objective and fair assessment of the officer concerned, and it should recommend a promotion to a higher grade if the performance warrants it. According to Weber (1968) promotion is contingent on the on judgment of superiors. If promotion is lacking, or further capacity building of the officer is required then it should report these facts accurately also²⁴.

The World Bank report (1998) also acknowledges the failings of the ACR in assessing actual performance, and its lack of provision of an objective basis for determining promotions. The inadequacy of the ACR in gauging performance is confirmed by Cheema and Sayeed (2006) who report that the ACR emphasizes the personal qualities of the officer rather than to setting objective and measurable targets against which performance can be assessed. Tanwir (2010) informs on the lack of correlation between the PER and the performance of the civil servant. Research conducted by Pakistan Institute of development economics (PIDE, 2006), informs that the promotions are not based on merit. But it appears that the rationale for these decisions is a combination of political pressure and rent sharing.

The report informs that the bureaucrats insist on clear job description as being mandatory for effective management and performance, which is missing in the Pakistani case. And without a clear job description, the performance cannot be effectively assessed and hence merit and reward system cannot be established. However The World Bank (1998) acknowledges that the PER would be of limited utility in developing a performance oriented culture even if used boldly. Because these systems give greater

²⁴For this section it is important to highlight that a Favorable performance evaluation reports is conducive for career progression in the bureaucracy. It is the document that is necessary to finalize the promotion of the officer. A very important document that is quintessential for an upward career trajectory of the civil servant. It gives the officer the incentive to perform efficiently and determines his success or lack off in his career trajectory.

emphasis to personal qualities than to setting objectives and measurable targets against which performance can be objectively assessed, consequently many commonwealth countries are now moving to such objective driven systems and find that focusing on outcomes enhances the objectivity of reports.

As discussed above, the present Pakistani performance evaluation system is fundamentally flawed. Another way of analyzing the system would be to compare it to the British system which is an example of the SMART system that we feel would be the optimal performance management system in the Pakistani context. We specifically choose the British PER for two reasons.

Firstly, Both India and Pakistan inherited the colonial British Weberian model at its birth in 1947 (Briabanti, 1966), which provided the starting point for establishing the characteristics of bureaucratic performance in Pakistan. Not only have we inherited the British civil service as our colonial legacy but the British civil services has recently adapted some of the best international practices prevalent in performance evaluation systems all over the world. A key action of the latest civil service reform plan calls for a rigorous performance management and appraisal system, where performance will be further strengthened by standardizing competency frameworks across government and implementing a tougher appraisal system. It mandates that Good performance will be rewarded and efforts will be made to tackle poor performance tackled (cabinet office, 2013/14).

The UK performance management and appraisal system does not only rest on a PER but has a full umbrella system for appraisal. The UK system mandates that each senior civil servant will first develop an agreement with his/her line manager and this will include a mutual agreement consisting of targets and objectives to be achieved. This will encompass performance planning at the beginning of the annual business cycle to provide individuals with direction and stretching objectives; performance review throughout the business cycle to ensure objectives remain relevant and good progress is being made, and formal performance assessment at both mid and end-year points. The performance evaluation report specifies that Objectives which are set and agreed on, must be must be SMART (Specific; Measurable; Achievable; Relevant; Timed). And for each objective job holders should record the main actions to be carried out with deadlines wherever possible, and the measures or targets which will be used to assess whether the objective has been successfully delivered. And once finalized and agreed,

the objective form must be cascaded by the job holder to at least the management level below²⁵. In the UK, under the performance management system, the agreement with the line manager is for a period of 12 months.

An important point highlighted in the UK performance evaluation system is that the Performance indicates both the completion of objectives and the manner in which they were completed or achieved. This would significantly impact the quality of work rendered, and assessed. The HR practitioners guide (2013) stipulates that the performance of job holders must be assessed by taking account of both 'what' and 'how' the targets have been achieved.

To evaluate the performance of the senior civil servant, the same two parties are involved who initially drew up the agreement; the line manager and the senior civil servant. There are two evaluations: A mid-year review and an end year review. A mid-year review gives the opportunity to both parties to revisit the agreement and targets and alter if the need arises. And the end year review the senior civil servant himself writes a report on his work emphasizing on achievement or missed targets which were initially agreed. The senior or line manager will then recommend a promotion or bonus, increased autonomy, all contingent on his view of the performance of the civil servant. There is also a possibility of under achievement of targets and poor performance will translate into the development of a performance improvement plan before any formal dismissal is considered. Furthermore, if the underperformance continues the civil servant will be eventually dismissed from service (Horton, 2006).

On introspection it appears that the Pakistani and British PER diverge across many different dimensions. The comparison between the two reports on different dimensions informs that, the while British PER is very explicit in stating the budgetary allocations and manpower responsibilities, and the Pakistani PER is much less categorical and states the allocations and responsibilities in a more abstruse manner.

Although both reports ask for targets and statistical evidence of achieving targets but the British PER also asks for deliverables in the report, which is lacking in the Pakistani PER. Furthermore another significant difference between the two reports is the number

²⁵The intention is to ensure clear accountabilities about who is responsible for what, and to enable job holders to go on to set objectives and work plans for their teams. In addition, it is envisaged that cascading objectives will increase the quality of objective setting, and will facilitate effective 360 degree feedback, by staff being clear about the objectives the SCS are working to deliver.

of assessments carried out. British PER has a mid-year and an end year assessment while the Pakistani PER is assessed one a year. The British PER performance assessment is based on performance against targets and behavior. While the Pakistani PER inquires more in regard to general behavior (honesty, communication skills, strengths, weaknesses). The British PER objective performance criteria ask for the clear list of each objective from earlier in the form and inquires on the manner through which the civil servant has achieved each objective. The Pakistani PER does not inquire in this regard and is far more subjective. Gunnigle et al (2006, p.167,) give the difference between analytical or non-analytical assessment criteria, and these differences are evident in the comparison between Pakistani and British PER report. The British (analytical) assessment criteria involve jobs being broken down into a number of critical factors that are then analyzed and compared using a quantitative measure. Pakistani (Non analytical) job evaluation represents more of a general overview of the job as indicated by the role profile, without consideration of the constituent parts. Analytical job evaluation is generally seen as more rigorous and objective. Although both Pakistani and British PER both ask for subjective assessments. But the British PER also asks for objective measurements of how the civil servant achieved each target on a scale of 1 – 3:

- 1) Met expectations
- 2) Not met expectations
- 3) Exceeded expectations).

The Pakistani PER does not; and last but not any less importantly the British PER has punitive sanctions for officers who have not performed optimally; unfortunately this is not the case in the Pakistani PER.

Some of the key differences between the SMART British performance evaluation system and the Pakistani performance evaluation system are illustrated in table 1 below:

Table 1: Comparison of the British SMART System and Pakistani Performance Evaluations Reports (PER)

Criteria for comparison	UK PER	Pak PER
Time frame for discussing targets	Yes	No
Time frame for discussing performance evaluation	Yes	Yes
Establishing Analytical targets	Yes	No
Evaluation of Bureaucratic Competency	No	Yes
Evaluation of Bureaucrat's strengths and weakness	No	Yes
Evaluation of Bureaucrat's Honesty	No	Yes
Provision for punitive measures	Yes	No

Source: Authors own

Perceptions of Pakistani civil servants on the present Pakistani performance evaluation system and elements of a potential SMART system

Importance of determining perceptions of civil servants

In the discussion above we have established three distinct points: First, civil service performance is critical for development and growth. Second, that civil service performance is linked to performance evaluation systems. And third, that the Pakistani civil service performance evaluation system strays significantly from the optimal system in the Pakistani context, which has translated into detrimental outcomes for the bureaucrat and the economy.

But in the Pakistani context there is still one unanswered question: Does this deviation from best practices in terms of the Pakistani performance evaluation system impact bureaucratic performance? This question is far from trivial since the argument can be made that the present performance evaluation system though far from the best practices case works in the Pakistani context which could be because the best practices

simply does not work on Pakistan or alternately the Pakistani context is so different that the present system has been developed to optimize bureaucratic performance. If this is the case, one can argue that the Pakistani performance evaluation system works and in turn has a positive impact on development.

In order to determine the true efficacy of the Pakistan performance evaluation system, we conducted a unique survey of senior civil servants to determine what their perception of the present system is and whether the present system is optimal in terms of determining bureaucratic performance as well as motivating high levels of bureaucratic performance. We also asked them questions on the perceptions of senior bureaucrats regarding elements of a potential SMART system. This was important to judge their perceptions about the benefits of a new SMART system which also is indicative of how receptive they would be to the implementation of a new SMART system.

The structure of the survey

In order to determine the perceptions of senior Civil Servants in Punjab regarding the present performance evaluation system we developed and administered a detailed questionnaire for senior civil servants. The questionnaire was informed by the comparison and contrasts of the British²⁶ and Pakistani performance evaluation system. More than 100 senior civil servants were surveyed to determine their perceptions regarding the efficacy of the present system as well as their recommendations for restructuring the present system. The survey was carried out in January 2014, at the National institute of public administration, Lahore. The civil servants were in training courses at the institute. What makes this survey unique is that it was conducted for civil servants from a variety of services, and not only by the District management group (DMG) as initially envisaged. The details of all the different service groups surveyed are given in the appendix.

²⁶The reason for focusing on the British management system was twofold. a) The recent 2013 Performance management system (PMS) introduced in the cabinet office, has the potential of being one of the best globally, and contains best practices approved internationally b) Pakistan inherited the British bureaucracy as its colonial legacy, and has a similar Weberian structure.

The questionnaire was divided into different sections which inquired on the strengths and weaknesses of the present performance evaluation system. It inquired on the nature of the targets set in the system and the links between efficiency of performance and postings, and link between performance, training and pay structures.

Results from survey

The survey looked at the three critical aspects of the link between bureaucratic performance in Pakistan and the Pakistani performance evaluation system. First, it looked at perceptions of bureaucrats regarding the system itself. Second, it looked at the link between civil service performance outcomes and the present civil service performance evaluation system. Third, it asked about possible changes to the present system of civil service performance evaluation.

Firstly we looked at the perceptions of bureaucrats regarding the present performance evaluation system. The reasons for looking at these perceptions was to determine whether the present system was supported by the civil servants since this impacts how civil servant behavior may be impacted by performance evaluations. The findings were significantly negative which supports the idea discussed above that the Pakistani performance evaluation system deviates significantly from best practices. Also this deviation may have a significant impact on bureaucratic performance. Some the key results of the first part of the survey were:

- 85% of the civil servants (CS) perceived the current performance evaluation report (PER) to be inaccurate in assessing their performance.
- 81% of the Cs perceived that the PER was not a motivator for their performance.
- 70% of CS confirmed that the current PER was highly susceptible to political manipulation.
- 70% of the CS though the PER was subjective and lacked tangible objective criteria.
- 99% of the CS confirmed that no targets were agreed between the officer and the senior manager for public service delivery.

The results of this section of the survey suggest that even though accurate performance evaluation is quintessential for public service provision (and positive development outcomes) the present performance management system is inaccurate, highly susceptible to political interference and lacks tangible criteria for assessing performance which negatively affects the performer and the assessor. This in turn has a negative impact on development in Pakistan.

Next the survey looked at the link between bureaucratic outcomes and the present performance evaluation system. This was critical since it answers the question of whether the present system may be still motivating civil servants to perform even if it is far from optimal. What we find is that there is absolutely no link between actual bureaucratic performance and the present performance evaluation system which strongly suggests that the present system is failing to adequately measure civil service performance. Some of the key results of the survey are:

- 78% of the CS agreed that there was no link between efficient performance and the present performance evaluation system.
- 70% confirmed that there was no link between efficient performance and training opportunities.
- 84% confirmed that there was no link between efficient performance and better/plum postings.
- 70% of the CS said there was no link between efficient performance and pay.

These results suggest that the present performance evaluation system fails to be a motivator for efficient performance. This also implies that the bureaucrats in the most important positions are not the best qualified or even the best performers, which has a significantly negative impact on bureaucratic outcomes which in turn cause low development outcomes.”

The final aspect we looked at was what civil servants thought about a new system based on the SMART model of performance evaluation. This is important since the argument can be made that even though the present system is inefficient in measuring bureaucratic performance, a better system will fare no better in motivating bureaucrats to perform better. Or in other words, even if the flawed system of performance evaluation was fixed, the civil servants would not perform any better. But based on our

survey results we find the opposite: A significant number of civil servants wanted to reform the present performance evaluation system based on the principles of the SMART system and even though this may not be popular with politicians they want objective, quantifiable criteria that are not subject to political manipulation. Some of the key results of the survey were:

- 90% said that there should be quantifiable targets in the PER.
- 95% confirmed that there can be objective criteria in the PER which cannot be politically manipulated.
- 70% of CS confirmed that they don't think the politicians want an objective PER system.
- 75% of the CS want to have an objective PER which is not susceptible to political manipulation).

These results suggest that without quantifiable targets in the PER which are beyond political manipulation there can be no way forward for accurate assessment of bureaucrats which is critical because bureaucrats blame this failure for low bureaucratic performance and outcomes.

Implications of results

The results from the survey of senior Pakistani civil servants are not just interesting from the Pakistani perspective but rather have deeper implications for all developing countries. The reason is that in the developing country context it is believed that poor bureaucratic performance is the result of either lack of effort on the part of bureaucrats, corruption or ineptitude. No matter what the reason, it is well understood and well documented that low level of bureaucratic effort leads to poor bureaucratic performance which in turn leads to poor development outcomes. But our results show that one of the principle reasons for low effort by the Pakistani bureaucrats is that this is a reaction to the Pakistani performance evaluation system in place at present. This poor performance evaluation system is strongly susceptible to political interference and corruption which means that bureaucrats tend to politically align themselves with individuals and parties and concentrate their efforts on pleasing them as opposed to maximizing social and developmental outcomes. This means that the individual

bureaucrats are completely rational in their decisions of how much work to do and what work to do which in turn determines their career trajectory in the present system. But in the end these perverse incentives lead to the bureaucrats and politicians colluding to maximize individual benefit at the expense of national benefit.

Another implication is that despite what politicians and political parties say, there is very little incentive for them to alter the system since they receive the maximum benefits from it. On the other hand the civil servants are overwhelmingly in favor of changing the present system into a system that reflects the SMART principles of performance evaluation. This has the potential to have a significant impact on bureaucratic performance and developmental outcomes. But like civil servants in most developing countries, they realize that this transformation is not something that the politicians truly want which means that developing countries like Pakistan may be caught in low civil service performance traps which result in weaker institutions as well as poorer developmental outcomes.

Conclusions

We have shown that the optimal performance evaluation system used to measure the performance of Pakistani bureaucrats is the SMART system which is not being implemented in the Pakistani case. In particular the present Pakistani system fails in establishing objective criteria for assessment as well as emphasizing aspects that are completely unrelated to bureaucratic performance. But even after this the argument can be made that the present system works well in the context of Pakistan and bureaucratic performance is maximized for positive development outcomes.

In order to test this idea we conducted a novel survey of senior civil servants which showed that there is a significant disconnect between the present performance evaluation system and the actual performance of civil servants. This in turn has led to significantly negative perceptions of the present performance evaluation system. But perhaps most importantly the survey shows that the majority of civil servants would like significant changes in the present performance management system to make it a more accurate representation of actual civil service performance outcomes.

The implications of this research is that there needs to be an immediate reevaluation of the present performance management systems of Pakistani bureaucrats which makes

it an accurate and objective measure of bureaucratic performance which is not susceptible to political interference. But these recommendations must be tempered with the realization that the present system has been established not to optimize bureaucratic performance (or for that matter for furthering development outcomes) but rather to sustain the present system of patronage and power. So these performance evaluation system reforms have to be accompanied by an effort to convince the political elites that an independent and motivated bureaucracy will lead to more winners than losers. The first step in this process will be to conduct further research that proposes revisions to the present system and explain to all the stakeholders that switching to this new system will result in more winners than losers as well as better long term development outcomes.

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Appendix_ Breakdown of Surveys Conducted by Department

	Number	Percentage
Total Bureaucrats	102	100
Civil Service	4	3.92
No Information on Service	15	14.71
Pakistan Administrative Service (PAS)	11	10.78
Pakistan Railways (RLY Group)	6	5.88
Pakistan Audit and Accounts Service (PA&AS)	10	9.80
Secretariat Group (SECTT Group)	10	9.80
Inland Revenue Service (IRS)	11	10.78
Police Service of Pakistan (PSP)	8	7.84
Customs Group	3	2.94
Foreign service of Pakistan	4	3.92
Other	19	0.19

Source: Authors own

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Professionalization and Innovations in Nigerian Public Service:

How far the Dream of Success?

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Abstract

Public service accounts for a substantial share of a country's economic activity. It is designed as an agent of fruitful change and development in the state. The transformation of any society or system depends on the effectiveness and efficiency of its civil service. The article examines the nature of professionalization and innovation in Nigerian public service. It argues that professionalization in the public service is an overarching value that determines how its activities will be carried out. The article note that various attempts have been made in Nigeria to professionalised and encourage innovation in the public service, but these have not bring about the expected changes in the public service. It therefore advocates for professionalization and innovations as panacea to the ills of public service in Nigeria. The article concludes that no public service can meet the challenges of the twenty first century without a stronger commitment to the professionalization of its workforce.

Keywords: Professionalization, Innovation, Public Service, Public Administration, New Public Management, Nigeria

Introduction

Public administration is a key mechanism of society's attempts to sustainably improve the human condition by delivering essential services. Society therefore suffers when public administration is weak. As observed by Mishra (1998), Nigerian public administration needs to be reinvented to enhance the work capacity of the public sector. The state and its main agent, the public bureaucracy, continue to be vital to service delivery and driving national development. The effectiveness of the delivery of services by public agencies depends to a large extent on the calibre and competence of individuals manning public bureaucracy; it becomes an immediate objective and goal for every government (Mishra, 1998:2)

Public service is one of the agents of development in any nation. The transformation of any society or system depends on the effectiveness and efficiency of its Public Service, particularly the developing societies (Lawal & Oluwatoyin, 2011). It is an institution of governance and administration established essentially to deliver public good to the people in the most efficient and effective manner. Its roles, among others, is "to carry out the burden of planning and dealing with the problems of growth and development in order to transform our natural resources into goods and services that would meet the rising expectations that come with political independence." The public service is therefore an influential public institution, which is "an instrument of public service delivery and development" (Inyang & Akaegbu, 2014:90).

Professionalization has been a topical issue in public administration since the beginning of the 20th century, although it has not been successfully accomplished in various instances. Discussions about professionalization began in the 1970s. This was a result of observations concerning the growing power of bureaucratic management, process-driven working methods and de-skilling of middle class labour (Meintjes, & Niemann-Struweg, 2009:1). Pratt and Adamolekun (2008:25) argue that part of the reality of the modern world is that the best interests of professionals are constantly being undermined by innovations in procedure and revolutions in technology. While most such innovations may be harmless and even beneficial, some have a distinct capacity to undermine the security and stability of professional practice (Gold, Rodgers, & Smith, 2002:48). The practice of public administration is no different.

The global move towards the professionalization of public service delivery has gained momentum over the past twenty-five years. This is due to democratic governments

seeking partnership governance to achieve social-economic development with their progressive social development policies (Geoghegan & Powell, 2006:845). To transform a public service that is characterized by corruption, low productivity, inefficiency, lack of transparency and accountability to an accountable, responsive, functioning and performance based one, there must be change of both behaviour and culture of the society (Lankeu & Maket, 2012:265). Today governments are putting in considerable efforts in making the public service effective.

In the twenty-first century, the idea of public administration has been under constant interrogation from the principles and demands of democratic governance. The fundamental issue is couched in the question: How is the public servant to be trained and capacitated in such a way as to make the public service perform its democratic mandate? This question flows from the original conception of the public service as representing the democratic, indeed the human and humane face of the state vis-à-vis its citizens (Olaopa, 2011:2). The progress of the public service is therefore measured in terms of how well the public servants are trained to be able to carry out their tasks of providing the public goods that would make the life of the people meaningful. It is in this sense that the idea of professionalization and innovation serve as the test of genuine development for African states.

The significance of improved public service professional capacity has long been recognized in both academic and organizational settings. Yet the question of how to shape the future of a more professional public service remain highly topical, particularly an environment that is characterized by wide scale social and economic development as well as organizational change (Fatile & Adejuwon, 2010b:81).

The main thrust of this article is that professionalization and innovation are important to address the problem of inefficiency faced by the public service in Nigeria. This article argues that professionalization and innovation in the public service can go a long way in diffusing the brewing tension in the public sphere. The research methodology applied is essentially of a qualitative nature where secondary sources in a literature survey are consulted from existing research.

Conceptual Discourse

The two major concepts in this article are professionalization and innovation. In this section, attempts were made to explain these two concepts.

Professionalization

Professionalization is one of the most controversial issues ever discussed in the academic public administration literatures. Scholars in the field have debated all aspects of professionalization at different levels of intensity for over 100 years and the result has been a stalemate. Positive aspects of professionalization are widely acknowledged and broadly accepted, but the same is true of the narrative against it. In the present day, professionalization has become a fringe topic, lurking just out of view in the shade of other more popular matters. Professionalization brought public administration into existence and gave it purpose. It is about commitment and the embrace of an ideal: goals and outcomes can be flexible, and excellence is somewhat dependent on the context (Gornitzka & Larsen, 2004:461).

The word 'professionalization' is derived from the word 'profession'. Profession according to Hart (2012:57) was first analysed comprehensively by Carr-Saunders and Wilson in 1933; the results are still regarded as the standard history of profession. The concept of professionalization is regarded as the process to achieve the status of profession and has been interpreted as the process to pursue, develop and maintain the closure of the occupational group in order to maintain practitioners own occupational self-interests in terms of their salary, status and power as well as the monopoly protection of the occupational jurisdiction (Larson 1977, Abbott 1988). Professionalization is 'not a simply collective action by a cohesive group, but a complex social process' (Leung, 2011:3).

Professionalization is linked to a need for raising standards of practice by means of a standardised, cohesive and effective movement (Fitzsimons, 2010:54). Professionalization is 'the means by which an occupation alters its socio-professional situation and becomes a profession by acquiring professional attributes'. Evetts (1999:120) defines it as 'the series of diverse and variable, social and historical, processes of development, of how work sometimes becomes an occupation ... and how some occupations achieve various forms of occupational control of work'. The latter definition proves that several processes of professionalization exist – and that there is no one 'blue-print' to follow during the professionalization of an occupation.

From the above, four major features of professionalization can be identified. The first is linked to specialized knowledge and expertise. That is, all members of a profession are expected to have a certain degree of theoretically and empirically based knowledge

acquired through education or training at acknowledged institutions. In order to improve professional performance, research and development is carried out on the issues related to the profession. Assuring that all members have a "decent" education or training guarantees the intellectual level of a profession. Second, there are demands on the practices of a profession, described in code of ethics (Gornitzka & Larsen, 2004:457; Van Bockel, 2005:5). The third is the continuing desire to raise the profession's formal status and strengthen its public image and prestige. This can be reached through creating a common professional culture and identification. Making sure that members can fully develop themselves in the field and make a living out of their profession in a full-time job sets the basis for a profession's formal status. The fourth component of professionalization has to do with professional autonomy and delegation of power to the associations (Mosher, 1982; Gornitzka & Larsen, 2004:463).

Given that the definition of professionalization is complex, careful consideration has to be given to how we measure professionalism and what degree of it can be attributed to success in public sector reform and new public management efforts. Furthermore, there is the issue of what is being measured; what aspect of employees' performance is being predicted for improvement; and what numbers of measures are to be selected.

The Concept of Innovation

Public administration has become a fertile ground for innovation, a phenomenon that has been approached from different angles. In most literatures, innovation carries a more general meaning and is viewed mainly as a process that aims to contribute new solutions to unresolved social problems. It also focuses on the type of social relationships generated by these innovations, such as organizational innovations (management and coordination relationships) and institutional innovations (power and regulatory relationships) (Lévesque, 2006 cited in Lévesque, 2012:15). This article subscribes mostly to the first meaning given to the term, although at times make use of the second meaning when it appears expedient, in particular with regard to public services.

Defining innovation is difficult because the concept depends on the context where it is nurtured. Innovation is easily mistaken with positive effects such as *increased public value* and *advances in public goods* (Bland; Brunk; Kim & Lee, 2010:2). As a result a number of different conceptualizations and definitions of innovation exist. So while the

experience of innovation may be intuitively easy to comprehend by specific actors, innovation in itself has proven harder to pin down as it borders on a wide range of phenomena and concepts.

The word *innovation* means to introduce new thing. Without innovation capability, there would be no computers, aero-planes, high tech television, and wireless technology, just to name a few. Innovation has been practiced throughout human history and has become a way of improving human life. The concept of innovation has developed mainly around private business, with historic focus on product innovation. Innovation in services is more difficult to define and identify, particularly innovation in public services. Innovation in the public sector does not always result in new public services, but may be linked to institutional renewal, new forms of governance, process innovation, digitisation and/or organisational improvements, i.e. changes in management techniques, the introduction of performance management or strategic planning etc, in which case it is not always labelled as "innovation". To Osborne and Brown (2005:140), innovation is about the introduction and adoption of new ideas that produce a change in the existing relationships between an organization and its internal and external environments. It is a process in which valuable ideas are transformed into new forms of added value for the organisation, customers, employees and stakeholders (Merx-Chermin & Nijhof, 2005: 137). On the other hand, Rogers (1983:11) sees innovation as 'an idea, practice, or object that is perceived as new by an individual or another unit of adoption'.

Innovation in the public service refers to conceiving a creative idea and successfully implementing it to solve a pressing public service problem. It is an effective creative and unique answer to new problems or a new answer to old problems. In terms of public perception, innovation should be a core activity of the public sector. The goal is to help public services improve performance and increase public value; respond to the expectations of citizens and adapt to the needs of users; increase service efficiency and minimize costs. The public sector *has* been successful at innovation in the past (Hamson, 2004:14). How to seek out and foster innovation in all public programs is crucial to continual development and improvement: only half of all innovations are initiated at the top of organizations. Maintaining diversity of staff, paying attention to the needs and expectations of users and frontline staff, and promoting formal creativity techniques are all valuable tools to ensure innovation is sought (Jessica, Christopher & Kimberly, 2011:3).

It is important to note that innovations in public administration and in most public services spread more through institutionalization, namely through the recognition and support of public authorities, than through market forces. Moreover, the role of the state remains significant in market or quasi-market situations, and state-regulated redistribution consolidates the demand for services deemed essential (Le Grand & Bartlett, 1993). This is evident in Nigeria where government has been playing major role in reforming the public service towards professionalization and entrenchment of innovation.

Public Service Professionalization

Professionalization in the public service is an overarching value that determines how its activities will be carried out. It encompasses all other values that guide the public service such as loyalty, neutrality, transparency, diligence, punctuality, effectiveness, impartiality, and other values that may be specific to individual countries (Olaopa, 2011:3). Public service professionalization represents the process of attracting, selecting and creating the corps of civil servants, specialised in the area of public management, in order to apply the principles of public management, its modern techniques and methods, aimed to achieve the public institutions' mission.

Public service professionalization is underpinned by the unique set of values upheld by its members. It resides in how skilful and how well a public service employee performs his/her functions and duties and that it manifest in public servant's behaviour and the skills that are necessary for carrying out his/her task and enhancing output and productivity (Adegoroye, 2005:5). As observed by Fatile and Adejuwon (2010a:194) professionalization is a much wider task than implementing civil laws and introducing personnel management improvements. For instance, if the administrative structure within which officials are working is not also improved, they might still have to make arbitrary decisions, with insufficient communication with the public and insufficient coordination with other institutions, even in a situation where they have been selected on merit and are subject to systematic training.

There is a need for professionalization in the public service because of the new capacities to exploit new opportunities and to ensure that all civil service functions are carried out to the highest professional standards. The skills needed in the public service, both now and in the future put greater demands on public servants and call for more

professionalism in public management (Fatile and Adejuwon, 2010b:181). In the same vein, Jane (2008:2) noted that the changing environment and the changing expectations of public servants have ensured that enhancing professionalization of public sector leaders has become a major part of public management. Professionalization is of course a question of training managers and staff, but this is not all. It is of course also a question of introducing regulations defining duties and corresponding rights of staff as in civil service law; a question of establishing administrative context in "which officials can carry out their duties in a professional, impartial, transparent and controllable way (Staffan, 2009:16).

Professionalization of the service entails that all civil servants were expected to perform specialized or professional functions (Maduabum, 2006:67). It has come to mean the pursuit of excellence and just competence. As argued by Staffan (2009:18), professionalization is not only about the quality of staff and their status. It has to do with the following:

- (a) The quality of substantive law, providing the substantive framework for decision making, *i.e.*, the tool for the officials and the source of information and prediction for the public.
- (b) The quality of procedural legislation, providing procedures for administrative decision making, for co-ordination and for balancing of powers, for officials relations and communication with the public, and providing opportunities for concerned physical or legal persons to have a say or to appeal.
- (c) The quality of financial and administrative accountability and control mechanisms, providing for transparency, checks of financial and administrative decision making and including means of correction, prosecution and redress (Staffan, 2009:18-19).

Public service professionalization embraces the notion that those people who join the public service need to be inculcated with shared values and trained in basic skills to professionally carry out these official duties. It requires thorough understanding of professionalism and strict adherence to public norms of model behaviour.

Public Service Innovation

The public sector has traditionally been viewed as being radically different than the private sector in terms of innovation, with the public sector often seen as a regulatory framework for innovation in the private sector, and as a passive recipient of innovations from the private sector. However, in recent years, public sector innovation has been increasingly regarded as a central factor to sustain a high level of public services for citizens and businesses, as well as addressing social challenges and improving welfare. Public sector innovation may have considerable effect not only on the quality and efficiency of public services itself, but also may influence the private sector's ability to innovate (Bloch, 2012:3).

Innovation has the potential of opening new doors, reformulating old problems, breaking with policy deadlocks, bringing new actors together and formulating and implementing new ideas (Sørensen & Torfing, 2012: 3). It has become the gateway to growth, economic transformation and decrease in poverty. A country's capacity to influence the creativity of its population and promote new commercially relevant ideas and products has become critical to upgrade institutions and economic activities that are essential for making use of new tools. An innovative public sector that offers quality services acts to strengthen relations between the public sector and citizens. While there is growing awareness that much innovation currently takes place in the public sector, it is also recognised that more systematic efforts to promote innovation are needed to address the economic and societal challenges that public sectors face (Koch & Hauknes, 2005; Eggers & Singh, 2009). As noted by Albury (2005) it is only through a process of innovation that public services can shift out of a 20th century 'mass provision' mode to a more personalised mode. Without innovations in the areas of staffing, organisation and delivery, service agencies will not be able to adapt to these changed demands.

Amongst other things, innovation is considered essential to:

- ✓ reducing costs and increasing productivity, thereby improving profits and strengthening the organisation
- ✓ maintaining competitiveness in a globalised economy;
- ✓ the organisation's ability to adapt to changing environments (which may be legislative, technological, social, economic, and physical);

- ✓ breathing new life into slowing or stagnant markets or other operational areas; alternatively, facilitating entry into new markets;
- ✓ inculcating an organisational culture of creativity: particularly visible in research oriented organisations or those working in dynamic markets like ICT, but also relevant to any organisation which seeks to attract high quality creative staff and managers at any level (Damanpour & Gopalakrishnan 1998; Hargadon & Sutton 2000; d'Aveni 1994).

Innovation is crucial for effective public service management in a dynamic society, characterised by 'hyperchange' – defined by Barrett (1998:288) as 'a combination of linear, exponential, discontinuous and chaotic change'. Innovation in the public sector and how innovation is perceived depends to a great extent on the nature of public services. There is also a great degree of heterogeneity in public services, where the differences among public units, both in terms of size, focus, objectives and outputs, are arguably even greater than for the business sector. For example, there are institutions providing services to individual users (which perhaps are those that most closely resemble business services), institutions providing collective services to all citizens, and administrative institutions providing services to other governmental organizations (Bloch, 2012:7). This shows that innovation is very crucial to Nigerian public service in order to provide effective services to the people.

New Public Management and the Idea of Professionalization and Innovation in the Public Service

In this section, attempt is made to look at how the New Public Management (NPM) approach has influenced professionalization and innovation in public administration.

At the beginning of the twenty first century many of the world's nation states are engaged in serious efforts to reform their government and inject a culture of innovation into their government's bureaucracies (Kamarck, 2003:2). The NPM movement began in the late 1970s and early 1980s. Its first practitioners emerged in the United Kingdom under Prime Minister Margaret Thatcher and in the municipal governments in the United States. (e.g., Sunnyvale, California) that had suffered most heavily from economic recession and tax revolts. Later, the governments of New Zealand and Australia joined the movement. Their successes put NPM administrative reforms on the agendas of most

Organisation for Economic Cooperation and Development (OECD) countries and other nations as well (OECD, 1995). As a result, it was supported by most of the big international institutions such the World Bank, the IMF, the United Nations and the (United Nations, 2006).

NPM can be considered 'a set of new ideas about the role of government' as well as 'a set of managerial innovations in the public sector' (Van de Walle & Hammerschmid, 2011:3). Over the last three decades, NPM has become fashionable amongst politicians, policy-makers and scholars of public sector management (Brunsson & Kirsten, 2000). NPM has been associated with the introduction of market mechanisms in the public sector, including the introduction of concepts such as entrepreneurialism, innovation, and customer responsiveness in the delivery of public services.

The current trend in public administration is hinged, among other things, on a managerial ethos which seeks to drive public managers to achieve productivity gains driven by a responsive and professionalised workforce. The NPM-style reform that dominate reform ideas in Africa for example, is especially concerned with the issue of a shift from 'appraisal' to 'analysis', the introduction of performance management systems, the increase in the responsibility of public administrators especially as human resource managers, the introduction of market mechanisms into the public sector, the introduction of quality management techniques (Tamekou, 2008: 218 cited in Olaopa, 2011:3).

There has been a long-drawn-out, ideologically charged debate about the pros and cons of the new public management, or NPM as it is commonly known. This debate tends to focus on the allure or otherwise of NPM reforms in principle, and their timings and appropriateness. Whilst both critics and advocates of NPM accept that it can be universally understood and applied, there is never-the-less a whiff of rhetoric around it. There is some catch-phrases feature prominently in the vocabulary of civil service reform all around the world (Thomas 1996). Yet, professionalization must be central to NPM. This is because NPM as a whole deals with the content of reform, that is, the substance. However, professionalization which is a critical component of sustainable capacity building is about the entirety of the process of administration. This is why NPM measures can be implemented but not sustained without a rigorous and robust implementation of capacity building measures, thus either installing or enhancing the

basic skills and tools of administration. This should be the initial goal of building a sound foundation.

Hood (1991:4-5) was the first to characterize NPM as an ideal type that enhance professionalization and innovation in the public service. This is based on the following elements:

- (a) 'Hands-on professional management in the public sector.' This refers to giving more autonomy to those at the head of a public organization by means of a clear sharing of responsibilities and a better accountability.
- (b) 'Explicit standards and measures of performance.' To this end, the targets, objectives and indicators must be better defined if one wants quantitative evaluations of the performance and a superior accountability.
- (c) 'Greater emphasis on output controls.' Diverse innovations could be proposed to implement incentives for an improved performance.
- (d) 'Shift to disaggregation of units in the public sectors,' which aims for a decentralization of administrations and management systems alongside relatively independent operational units with budgets leaving great leeway to managers, the whole with a view to greater effectiveness.
- (e) 'Shift to a greater competition in public sector.' The aim here is to achieve cost reduction and greater effectiveness by introducing competition among units within or outside of the public sector through tendering procedures.
- (f) 'Stress on private-sector styles of management practice' through the introduction of private sector management tools in the public sector, leading to, among other results, more flexibility in the hiring of personnel.
- (g) 'Stress on greater discipline and parsimony in resource use.' Following the example of the private sector, public administration is encouraged to be more frugal and to reduce costs, in particular concerning human resources (cited in Lévesque, 2012:28).

It is important to note that the above elements of NPM was inspired mainly by the British experience, and they provides elements found in most public service reforms especially in developing societies.

The value of 'effectiveness, efficiency and economy' which the NPM promotes affects the personnel management system of the public service. It motivates a 'reconfiguration of expertise and its management'. In other words, the new managerial ethos draws on a 'revised form of professionalism which has more to do with the "responsibilisation" of labour' (Dent; Chandler and Barry, 2004:2). This underscores the current effort to shift from the procedural culture of 'doing the right things' to the managerial one of 'doing it right' through the management of resources and operations. It is important that to achieve the goal of effectiveness and efficiency in the management of resources, the public servants should be given serious attention. This can be done through training. This shows that public officials in Nigeria should be adequately trained in order to meet up with the challenges of providing effective services to the people.

According to the NPM perspective, innovation is initiated and conducted by the producers. To get there, NPM makes two requests. One, 'public managers innovate', in compliance with the managerial approach, and two, aligned with public choice theory, 'Make public managers innovate', namely by exerting internal pressure (control) on the latter and external pressure by creating competition (Verhoest *et al.*, 2007:470-471). The reforms and innovations realized with the NPM approach have produced significant changes in the restructuring of the administration (Aucoin, 2002:115).

Professionalization and Innovation in Nigerian Public Service: An Overview

Nigeria is Africa's most populous country, home to about 160 million individuals, double the size of any other African country or 20 percent of all the population of sub-Saharan Africa. It thus represents a leading setting in which to understand the determinants of public service delivery in the developing world. It also shares other important features with other developing countries: government expenditures represent 26 percent of GDP, very much in line with countries at similar stages of development; it has generally weak institutions holding government to account, and corrupt practices in public sector organizations are commonplace (Rasul & Rogger, 2013:7).

From 1985 to date, Nigeria has had five specific reform attempts aimed at refurbishing the professional status of the Nigerian civil servant. The following are reforms experienced in Nigeria: the 1985/1988 Phillips Commission, the Ayida Reform of 1995, the Obasanjo Renewal Programme, Yar'Adua Civil Service Reform Programme and

the present Jonathan Transformation Agenda (Olaopa, 2014:4). All these reforms had a very simple objective of reconstructing the personnel of the Nigerian civil servants through professionalising the Nigerian Civil Service and its human resource management architecture. Some of the essential steps taken in this direction include:

- (a) To re-professionalise as a means of creating a new generation of officers and technocrats with sufficient skills, knowledge and motivation for institutional innovation;
- (b) the conduct of vigorous and systematic evaluation and reporting of professional performance to make policy-makers accountable for resources used and for results;
- (c) modernizing core operations and systems of the Nigerian Civil Service using ICT;
- (d) creation of a number of more specialized cadres;
- (e) putting in place a system of capacity utilization wherein core skills are better matched with jobs;
- (f) injection of high skills and competencies available in other sectors of the economy into the public service, using a range of incentives; and
- (g) strengthening policy and research synergies through enhanced collaborative projects, including public-private partnerships (Olaopa, 2014:5).

The current effort to reinvent core values in public administration underscores the notions of "doing the right things and doing it right." These are the marks of professionalism. Various approaches undertaken to promote professionalism in the Nigeria public service include:

- ✓ Rightsizing of the service
- ✓ Restructuring of ministries
- ✓ Service wide capacity building
- ✓ Review of performance management system
- ✓ Review of public service rules and regulations, and
- ✓ Promotion of ethical conduct (Adegoroye, 2005:6).

It is important to note that since 2005, no other serious reform has been carried out in Nigerian to achieve professionalization and innovation in the public service.

The initiative of the Nigerian Government to professionalise the public service include: the review and revision of civil service rules, conclusion of Service Compacts (SERVICOM) with the Nigerian people, establishment of SERVICOM nodal units and of SERVICOM Compliance/Evaluation Index, and the setting up of the Due Process Office, the Independent Corrupt Practices Commission (ICPC), as well as the Economic and Financial Crimes Commission (EFCC) (Balogun, 2008:38).

In terms of improving performance through professionalization and innovations in Nigeria civil service, the Federal Civil Service Commission introduced innovation in Appointments, Promotion and Discipline. These new innovations, as stated by Nwanolue and Iwuoha (2012:17) which the Commission believe will bring to bear on the Civil Service Reforms focused on three major areas:

Recruitment

- (a) That professional examination bodies and professional organizations should be involved in the recruitment exercises. This will bring about standardization, uniformity and transparency;
- (b) That transfer and secondment into the Federal Civil Service should be limited to critical areas of needs in order not to jeopardize the promotion prospects of serving officers; and
- (c) That a database inventory to determine the capacity and requirements of the Civil Service and utilization of such resources through a suitably designed pooling mechanism be established. This will help check the suppression of vacancies where they exist.

Promotion

- (a) That promotion in the Civil Service should be based on the attendance and successful completion of short time training programmes by civil servants on their professions, management and leadership;
- (b) That promotion in the Civil Service at certain Grade Level be tied to membership of professional organizations;

- (c) That officers on secondment to international organizations abroad should, on their return, be permitted to sit for promotion examination and if successful, should be granted appropriate notional promotion to enable them be at par with their colleagues;
- (d) That notional dates of conversion/upgrading of officers should be the dates of acquiring the relevant additional qualifications;
- (e) That officers who pass promotion examination but could not be promoted due to vacancy constraints should not be subjected to repeat such examinations when vacancies become available. Such officers should be promoted in order of merit of their performance in the examination whenever vacancies are available; and
- (f) That officers who passes the required promotion examination should have their salaries upgraded to the next level and the salary be made personal to them.

Discipline

- (a) That the extension of suspension and interdiction of an officer beyond three months in the first instance must be approved by the Commission failing which the Commission reserves the right to recall such officers;
- (b) That Ministries/Extra-Ministerial Departments should respond to all disciplinary cases pending before them for review within four weeks and those for retirement from Service in public interest should be concluded within two weeks;
- (c) That Ministries/Extra-Ministerial Departments, in handling delegated disciplinary cases, should forward to the Commission minutes of deliberations to ensure standardization and uniformity and that all such actions are taken in accordance with the extant rules;
- (d) That all cases involving criminal offences and which attract legal proceedings like theft, embezzlement and fraud be allowed to go through the normal judicial process in accordance with Public Service Rules on charges of misconduct in the matter; and

- (e) That decisions of the Commission on all appeal cases be conveyed directly to the appellants through their Ministries/Extra-Ministerial Departments (Nwanolue and Iwuoha, 2012:17).

Despite the introduction of professionalization and innovation in Nigeria, the public bureaucracy is beset with a number of problems that have hampered its effective role in governance in the country. One of the major problems confronting the public bureaucracy in Nigeria is its politicisation. Several offices in the civil service were at one or the other politicised by the military. These include the offices of the Permanent Secretary and the Head of Service. Although, there is nothing wrong with the bureaucracy performing political functions, but the fear is that unless such political functions are carefully controlled, they can further aggravate the already strained relationship between the political officers and the bureaucrats, with unpleasant consequences during a democratic regime. The political officers would regard such political roles performed by the bureaucrats as usurpation of powers and trespass (Okotoni, 2001:225).

Conclusion: Exploring the Remedies

Without an efficient and effective public service, the implementation of government policies and programmes that are aimed at improving the living condition of the citizenry will be seriously impaired. A professional public service operates on the basis of rules, regulations and procedures to ensure orderly conduct and uniform standards.

In order to achieve efficiency in the public service, there is the need for continuous training of the public servants and for a developmental oriented technocrats training and updating of their technical expertise remains cardinal. As it is a common knowledge formulation and implementation of development policies requires up to date technical and professional expertise, it therefore becomes pertinent for officers responsible for planning and development to update themselves with relevant knowledge surrounding the demands of the position they occupy. The basis of such training and development is necessarily to improve motivation, performance and productivity of the technocrats and bureaucrats.

No public service can hope to meet the challenges of the twenty-first century without a stronger commitment to the professionalization of its workforce. Inventing a high

performing public service, therefore, involves a constant relationship between the processes of recruiting, professionalization and 'reprofessionalization'. In this context, professionalism involves the pursuit of both excellence and competence that achieves a practical link between 'knowledge and theory and the fulfilment of public purpose (Olaopa, 2009: 57). The capacity of most public services in the world today to effectively and efficiently carry out their administrative functions is judged in global terms by the system of high performance management in place that will initiate a productivity paradigm in terms socio-economic transformation and progress. Whereas there are countries like Nigeria still at the transition stage, while there are countries that have innovation practices in their public services like Botswana, Namibia, South Africa etc. to name a very few that gives the assurance that though it is "Not yet Uhuru' in Africa, but there is a silver lining glittering there at the end of the tunnel (Olaopa, 2011:25).

This article sought to postulate the hypothesis that professionalization and innovation in the public service can go a long way in diffusing the brewing tension in the public sphere. The article has shown that the root cause of inefficiency and ineffectiveness, which manifests itself in poor service delivery to the citizenry, is the absence of professional public officials. This is the consequence of the appointment of staff that lacks the necessary skills and expertise and, concomitantly, the confidence required to address the needs and aspirations of the people (Ntliziywana, 2013:16). To guard against such practices, this article asserted that professionalism and innovation are the necessary adjunct to efficient public service. In this regard, various administrations in Nigeria have issued competency frameworks through reform to give practical effect to professionalization of public service.

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Re-imagining the Eastern Cape Province: *Sustainable Human Development from the Perspectives of the State, Civic Society, and the University*

ARTICLE

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Abstract

The Eastern Cape Planning Commission identifies human development as the central concern that the Provincial Development Plan should be premised on (Eastern Cape Planning Commission, 2012). This article proposes to critically examine the emerging (albeit implicit) philosophical foundation for sustainable human development, which we read as a combination of consciousness, capability, and rational organisation, and discusses

these three interrelating aspects against selected stakeholders of sustainable human development: the State, civic society and the university. We determine that a re-imagination of the Eastern Cape Province would require serious consideration for the reshaping of the State, a rethinking of the roles and relationships with, and between, civic society, and a review of the third mission of the university.

Keywords: Re-imagining, Eastern Cape, Provincial government, Planning Commission, Human Development, Civic society.

Introduction

South Africa has a vision 2030; a vision that its National Planning Commission determines as one that seeks to improve the wellbeing of its people; a vision that aspires to Create a caring South African society...[where] the nation's energies are focused both on attacking poverty and on expanding a robust, entrepreneurial and innovative economy...communities will need the resources and capabilities to become their own engines of development (National Planning Commission, 2011:4).

Now, the Eastern Cape Province of South Africa requires a long-term vision, a vision to 2030 that would overcome what the Eastern Cape Planning Commission (ECPC) refers to as the central challenge for the province: the alienation of the human condition (<http://www.ecpc.co.za/working-groups.php>). Thus, the ECPC has 'identified human development as the central problem the new long-term vision of the province must seek to address' (Eastern Cape Planning Commission, 2012:4), and argues that this calls for a re-imagination of the Eastern Cape Province.

If the ideal of human development is about expanding people's choices (Thakrar, 2013), then the history of human civilisation, particularly in Africa, which has been fraught with subjugation and servitude, suggests that expanding people's choices can also be read as the freedom to choose.

The Hegelian derived consciousness of freedom, that is, for individuals to govern themselves according to their own conscience, within a world (with all its social and political institutions) that is rationally organised, provides one scaffold from which human development can be framed. If the objective world were not rationally organised then individuals acting in accordance with their own conscience would conflict with its laws and morality. Thus, if it is the bringing together of the individual conscience (and capability) within a rationally organised world that human development can be achieved, then the obvious question would be, what is meant by a rational (social or political) organisation today? And in the context of South Africa and in the Eastern Cape in particular, what is the contemporary consciousness and capability across the civic and civil realm?

Building on the discussion document (UNDP, 1990:iii) on human development developed for the ECPC, which argued that strategies for human development (and economic development) should not exclude environmental concerns, in this article, we further examine the notion of human development, and propose a critical philosophical

foundation of consciousness, capability and rational organisation, upon which the identified stakeholders involved in human development, that is, the State, civic society and the university, are considered. We begin, however, with a discussion on human development generally and the human development index more specifically.

[Sustainable] Human Development

Whereas the 1950s onwards saw African nations that were under the rule of European colonisers gain their independence, countries like Namibia and South Africa that were subjected to rule of apartheid had to wait until the 1990s for all its people to achieve equal rights and freedoms, as the citation below demonstrates.

We are living in stirring times. An irresistible wave of human freedom is sweeping across many lands... In the midst of these events we are rediscovering the essential truth that people must be at the centre of all development (Sen, 1999).

Indeed, post-colonial Africa, within the context of modernisation, saw the rise of a political and social ideology of human development, with its liberal characteristics of human rights and market economy, and an oppositional view of remaining undeveloped and/or uncivilised. And yet, post-colonial development in Africa brought forth contestations around what is meant by [human] development (Peet and Hartwick, 2009:4), as Peet and Hardwick surmise, 'developmentalism is a battleground where contention rages among bureaucratic economists, Marxist revolutionaries, environmental activities, feminist critics, postmodern sceptics and radical democrats' (Sen, 1999,:285).

It is Amartya Sen's Development as Freedom that focuses the notion of freedom as both the primary end and principle means of human development. He frames development as the abolishment of 'unfreedoms', and central to this is the capability approach, as the main concern of human development is, 'our capability to lead the kinds of lives we have reason to value' (UNDP, 1990:10). Opponents of Sen argue that his treatise promotes individualism, microeconomics and localism, and fatally ignores macroeconomics, the breakdown of community (and therefore collective capability), global capitalism, and historical legacies of unequal entitlement (O'Hearn, 2009:151-161).

And so whilst the discourse and praxis of human development is certainly not new, indeed the recurring theme of human development can be attributed to philosophers and economists throughout the ages, it is the influence of Sen that resonates in

contemporary thinking of human development, as the United Nations Development Programme (UNDP) definition of human development demonstrates:

Human development is a process of enlarging people's choices. The most critical ones are to lead a long and healthy life, to be educated and to enjoy a decent standard of living. Additional choices include political freedom, guaranteed human rights and self respect...Human development has two sides: the formation of human capabilities such as improved health, knowledge and skills – and the use people make of their acquired capabilities – for leisure, productive purposes or being active in cultural, social and political affairs. If the scales of human development do not finely balance the two sides, considerable human frustration may result (Cruz, 2007:97-154).

The human development approach considers human beings as both the means and ends of development. Central to the notion of human development is the concept of capabilities; capabilities, in terms of what people can do, as well as, capabilities that are formed, acquired, and applied to the pursuit of a meaningful life.

What is not clearly articulated by proponents of the capability approach is the concept of consciousness, as human development is subject to humanistic traits, such as imagination, judgement and will, in terms of social and political action (Barnett, 2000). Thus, efforts by the individual, the community, the State, the university, and the conditions of society can both expand or constrain capabilities and consciousness, such that those individuals and communities with poor capabilities or lack of consciousness are less able to chart their own course.

Whilst mindful of Barnett's (Sullivan, 2006) portrayal of the 21st Century as the 'age of supercomplexity' (which requires us to make sense of our world, of ourselves, and of our relationships to the world, and to each other, and the environment), Sullivan (Clark, 2012:2) argues for a shift from 'human as centre' to 'the earth and all species' as centre to the development process; the emerging ecological age he suggests, requires us to bring into closer dialogue ecology and economics, physics and politics, biology and business, philosophy and communication, etc.

Is the ECPC notion of human development too narrow, particularly in light of the growing global concerns around energy, climate, amongst others? Should the ECPC rather expand the notion to encompass sustainable human development? Particularly in light of the opening speech for the Fifth Ministerial Forum on Development, where, Helen Clark, Administrator of UNDP, stated that, 'we are now challenged to incorporate

environmental sustainability in the [Human Development] Index, appreciating the relationship between human development and the ecosystem in which it occurs' (Neumayer, 2012: 561–579).

Neumayer ((Neumayer, 2012) suggests that a frank and open discussion of the links, complementarities, and conflicts, will go some way towards addressing the criticism of vagueness laid against the concept of sustainable human development, as well as, intra-generational and inter-generational equity issues that will emanate as a result, 'some are worried that, for example, increased spending on reducing gas emissions will take financial resources away from assisting the poor of today' (Sen, 2000:18).

Human Development Index

In 1990, the UNDP launched its first human development report (HDR), having established a human development accounting process premised on a pluralist notion of progress to the scheme of development evaluation, as Sen points out, 'human lives are battered and diminished in all kinds of ways' (UNDP, 2003), and as the report stipulates:

This Report is about people - and about how development enlarges their choices. It is about more than GNP growth, more than income and wealth and more than producing commodities and accumulating capital. A person's access to income may be one of the choices, but it is not the sum total of human endeavour...Human freedom is vital for human development (UNDP, 2003:ix).

The 1990 UNDP HDR focused on three facets of human life – longevity, knowledge and decent living standards – as the foundation for measuring human development. However, a key proponent of Sen's argument has been that analysis of human development cannot (and should not) lead to a, 'misguided search for some one measure of success and failure, some single clue to all other disparate concerns' (Sen, 2000:22), and yet the UNDP did just that in its overall and composite human development index, which it derived from averaging the values of life expectancy, adult literacy and the purchasing power to satisfy basic needs.

In 2003, the UNDP published its South Africa HDR, subtitled 'Unlocking People's Creativity' (UNDP, 2003). This country-specific report focused on five challenges: poverty, and extreme income and wealth inequalities; the provision and access to quality basic

services; the promotion of environmental sustainability; a sustained reduction in the unemployment rate; and the attainment of sustainable high growth rates. Interestingly then, the South Africa HDR did contain the component of environmental sustainability. The report surmises that in 1994, the South African transformation focus was that of people-driven process, yet in 2003 the human development outcomes remain, "uneven and weak" (UNDP, 2003:ix) (UNDP, 2003:ix). The human development index for South Africa shifted from 0.73 in 1990, to 0.67 (ECSECC, 2012) in 2003 – what does this mean exactly? As Sen points out, 'the real merit of the human development approach lies in the plural attention it brings to bear on developmental evaluation, not in the aggregate measures it presents as an aid to digestion of diverse statistics' (Sen, 2000:22). The 246-page SA HDR is sadly delineated to a composite index and there is a danger that this overall measure serves to detract from the, 'interconnectedness of the factors that affect the human condition', such as poverty, healthcare, education, social infrastructure, access to assets (such as land) and services etc (National Planning Commission, 2011:27).

The South Africa HDR acknowledged that the five challenges addressed as part of the human development analysis, as stated above, are interrelated and cut across the sectoral responsibilities of government departments; the recommendations from the report were better coordination among government departments and active participation of civil society. How does the state realise such a recommendation?

The frustration with this report is that it does not express capability, of say the State [or consciousness and rational organisation], in relation to sustainable human development, in other words and by of example, the recommendations do not provide enough detail from which the State could rethink its role, organisational structure or priorities. In reference to the Hegelian notion of a rational organisation, what kind of State, and its capabilities (and consciousness), realise sustainable human development? This in turn begs the question: what kind of State is the Eastern Cape Government?

Finally, critical to developing a discussion on sustainable human development is how sustainable human development is defined in the Eastern Cape context, and what significant quantitative and qualitative factors are identified (and measured) as part of its accountability process (Gorobets, 2011:751-779).

Eastern Cape and the Type of State

After the first democratic elections in South Africa in 1994, the new South African government embarked on large-scale political and socio-economic reforms, to redress the legacy of apartheid, which was a South African economy dominated by the white minority, and the majority black population deprived of basic political and economic freedoms (Rodrick 2006).

My Government's commitment to create a people-centred society of liberty binds us to the pursuit of the goals of freedom from want, freedom from hunger, freedom from deprivation, freedom from ignorance, freedom from suppression and freedom from fear. These freedoms are fundamental to the guarantee of human dignity. They will therefore constitute part of the centrepiece of what this Government will seek to achieve, the focal point on which our attention will be continuously focused (Mandela, 1994).

The post-1994 reforms were driven by the macro-economic policy known as the Reconstruction and Development Programme (RDP), symbolised by its ideology of 'growth through redistribution', followed in 1996 by the more conservative Growth, Employment and Redistribution (GEAR) plan that focused on stringent monetary and fiscal targets; based on post-Fordist lines GEAR was a shift to 'redistribution through growth' (Fataar 2003:31-39).

In mid-2005 the national ruling party, the African National Congress (ANC), in its National General Council, committed itself to building a developmental State in an attempt to restructure the economy; the notion of a developmental State had subsequently remained a consistent theme in ANC policy discourse, as President Jacob Zuma in his 2009 State of the Nation Address (SONA) asserts, 'working with people and supported by our public servants we will build a developmental state, improve public services and strengthen democratic institutions' (Zuma, 2009). By his 2012 State of the Nation Address (SONA), President Jacob Zuma declares South Africa 'a developmental state located in the centre of a mixed economy' (Zuma, 2012). Interestingly, the 2013 SONA made no explicit reference to a developmental State.

Whilst a developmental State seeks to balance economic growth and social development, utilising State resources and State influences to abolish what Sen refers to as 'unfreedoms' (Sen, 1999), a developmental State is one that not only embodies the principles of electoral democracy, but also ensures citizens' participation in the development and governance processes, and as Edigheji points out, 'this will entail

possessing a developmentalist ideology' (Edigheji 2010:4). Does the consciousness of the Eastern Cape State lean towards developmentalist ideology?

In addition, the notion of a developmental State, with its interventionist approach to facilitate economic growth, places the market and a top-down perspective on the role of the State at its core, is somewhat replaced in the National Development Plan, which introduces the notion of a capable State, which suggests a move away from a singular emphasis on the market towards an agenda that places importance on the value of people (and thus sustainable human development) alongside capable institutions that are responsive to their context; a correlation to Sen's theory of development. Whilst the government may argue that a capable State and a developmental State are one and the same, the origin and exercise of power may not be as equal across both notions. For example, if the developmental State is one that is actively involved in guiding economic development, access to critical resources, such as land, places a level of power with the State in terms of decision making, whereas a capable state draws on inclusivity and responsiveness, which in turn imply transparency and accountability.

Furthermore, scholarly reflection on the notion of a developmental State has, on the whole, focused on economic growth measures to the neglect of social policy and human capability, and perhaps that is reflected in how the developmental State agenda has been realised, particularly in the Eastern Cape. For instance, whilst macroeconomic stability has largely been achieved, with South Africa turning itself into one of the emerging markets, that is, the more mainstream economy has become increasingly integrated into global markets, open to international trade and capital inflows, finance continues to direct and condition the economy (Fine, 2011), unemployment is one of the highest in the world and remains heavily concentrated among the young, unskilled and the black population, and inequalities in income and wealth distribution continue to rise (Eastern Cape Socio-Economic Consultative Council 2012).

Ngamlana argues for a capable developmental State:

A capable developmental state in my view requires as its bedrock active citizens and a common purpose. It requires active engagements by the people with the process of government in all its forms, beginning with the very local (Ngamlana, 2013).

What kind of State is the Eastern Cape Provincial Government? To investigate this further it is important to reflect on the history of the Eastern Cape Province.

The Eastern Cape Province was demarcated in 1994, as a separate part of the former, much larger, Cape Province. The eastern half contained two former Bantustans, the Transkei and Ciskei, while the western half fell within former white South Africa, the former Cape Provincial Administration areas. Picard (2005) argues that during the accession to power, the ANC [and its Reconstruction and Development Programme] had no detailed plans for public service transformation, rather political expediency gave way to effective rationalisation, and policy emphasis was on racial transition as opposed to organisational reform, such that by 1998, there were about 138,000 public servants in the province and by 2004 this number had only reduced to 125,068.

The province inherited poor administration capacities that were inherent in the homelands. The concept of separate development had seen different systems of administration that ran parallel (the homelands are known to have relied on patrimonial bureaucracy) until the democratic elections of 1994 which enforced integration (Ngoma, 2007). Yet, as the Provincial Government Growth and Development Plan 2004 – 2014 points out:

Provincial Government has been unable to function as a single entity, but rather has been operating as a coalition of many government departments and bureaucracies. Compartmentalised government rather than “joined-up” government – has been the reality for the first 10 years of democracy (Eastern Cape Provincial Government, 2004:305).

What is a rational organisation for the Eastern Cape State within the context of a developmental and/or capable state and sustainable human development? Critical to sustainable human development has been Sen’s idea of a pluralist conception as opposed to monoconcentration, as he iterates, ‘the human development approach assumed the leadership of a pluralist world of multiple concerns, and its intellectual departure has a coordinating function that is quite central to the entire enterprise’ Sen, 2000:22).

What implications does pluralism have on the rational organisation of the Eastern Cape State? Moreover, what of the Eastern Cape State’s capabilities? Fine (Fine, 2011:16) suggests, ‘more coordination, skills and capacity are required if South Africa is to

become a developmental state', whilst Yang (Yang, 2010) argues that the main focus in improving sustainable human development should be policies directed at strengthening State capacity, and promoting State effectiveness. Yet, the Eastern Cape State continues to experience high levels of staff turnover, particularly within the senior management ranks and this has significant impact on the State's social, economic and fiscal directions (Eastern Cape Provincial Administration, 2006), and whilst Chang (2010) reflects on how 'to do' a developmental state in terms of the political, human resource and organisational requirements; he concludes the Eastern Cape State has failed to stretch the capabilities of its civil service.

The ECPC seeks to re-imagine the Eastern Cape Province. The process of re-imagination needs to take into account the prevailing consciousness, capability and rational organisation of the State, against a backdrop of public sector reform post-1994, particularly as its conceptualisation, design and implementation, 'assumed capacity and resources where they did not exist but more important it assumed that the nature of the bureaucracies that existed were highly matured to absorb and act on the speed of the transformation required' (Ngoma, 2007:217).

The Civic Society of the Eastern Cape

Critical to sustainable human development, and a developmental/capable State, is the role of civic society both in terms of public participation and community engagement. Public participation is based on the premise that those who are affected by a decision have a right to be involved in the decision making process, as Edigheji points out:

A democratic developmental state is one that not only embodies the principles of electoral democracy, but also ensures citizens' participation in the development and governance processes. Thus...it is pertinent to bring citizenship back into politics (Edigheji, 2010:5).

Naude (2001:1) asserts that the colonial-cum-apartheid regimes sought to advance the agenda of racial segregation and exclusion; a history that is reflected by the reality of the majority prohibited from participation. Yet, Westaway concludes that in its formation, the Eastern Cape State did not attack segregationism but rather assimilated it, as he argues, 'this year [1994] did not signal a moment of discontinuity, it did not mark the end of one era and the beginning of another...For former Bantustan residents, 1994

meant that they were no longer regarded as 'extra-domestic aliens'...but they have not yet attained citizenship' (Naude 2001:1).

Nyalunga (2006:15-20) argues that public participation will not happen by itself, it needs people who have a passionate conviction and commitment, yet the Eastern Cape Non-Governmental Organisation Coalition illustrates a present-day opposite:

The pre-1994 period is often regarded as having been a robust era for civic society in South Africa...During this period society had a definitive direction and purpose...Post-apartheid era CSOs [Civic society Organisations] are still in existence but have somehow withered (Eastern Cape NGO Coalition, 2012).

The questions thus arise:

- Why was civic society in South Africa, prior to 1994, so robust?
- Was it because the 'definitive direction and purpose' gave us something in common?
- Did that commonness make us a community?
- Are we suggesting then that post-1994 we no longer have a definitive direction and purpose? Put differently, do we no longer have anything in common?
- What is the prevailing consciousness of the Eastern Cape civic society with regards to citizenship and the common?
- How does this affect and effect sustainable human development?

However we define community, whether we consider it from a sociological perspective or from an individual perspective, what is central to both is the sense of who is included and who is excluded from membership. As Secomb argues:

It is not disagreement, resistance, and agitation that destroy community. It is rather the repression or suppression of difference and disagreement in the name of unity and consensus, which destroys the engagement and interrelation of community (Secomb, 2000).

This then raises the question of whether the method of public participation in the Eastern Cape Province, whether it is within a community or between the community and the State fosters difference? Secondly, what is a rational organisation for civic society, such that it ensures public participation?

Public participation should be seen as an on-going process rather than an event, which suggests then rich relationships say between the State and civic society

organisations, community representatives etc; innovative methods of participation; capabilities for facilitating participation (particularly by the State); and the avoidance of politicization of the participation space (Nyalunga, 2006:15-20). Yet, one of the key mechanisms of public participation across South Africa is the Integrated Development Planning (IDP) process, a process that should bring together the State and civic society of a particular geographical area, to develop a coherent plan that seeks to improve the quality of life for all the people living in that area.

The following example of one District Municipalities IDP process demonstrates not only an event-driven public participation method, but also perhaps an assumptive and paternalistic philosophy of 'I am the expert; I know best' - the 2010/2011 Amathole District Municipality had an IDP steering committee comprising entirely of civil servants, and an IDP Representative Forum comprising of councillors, civil servants, NGOs and business, which as a body, was given 1 day in the 7 month IDP development process to identify development priorities. IDP road shows, which were public hearings that anyone could attend, took place at the end of the IDP process (IDP, 2011/2012), in other words, citizens were participating after the fact (Thakrar, 2012).

Recognising the vitality of public participation, in 2008 the Public Services Commission (PSC) conducted a study on the assessment of public participation practices across the civil service. Its findings included that public participation is not institutionalised, and where it does occur, it is implemented in a haphazard manner. The following key challenges were raised by departments in the application of their different public participation practices (Public Services Commission, 2008): budgetary constraints; lack of feedback-report on issues raised by citizens; inadequate human resources; poor institutional arrangements such as weak ward committees and local government; poor planning; translation of documents into different languages; and political dynamics where political parties always fight for influence. And yet, the PSC 2008 study demonstrates a unidirectional praxis of public determination, as there was no public participation in the research itself.

Community engagement is a process of inclusive participation with a self-identified community and is often made operational in the form of partnerships, collaborations and coalitions that serve as catalysts for change, as Thompson and Kinne argue, change '... is more likely to be successful and permanent when the people it affects are involved in initiating and promoting it' (Thompson & Kinne, 1990).

Rousseau determines that, 'as soon as public business ceases to be the citizens' principal business, and they prefer to serve with their purse rather than with their person, the state is already close to ruin' (GGLN, 2011:87). On 7th February 2013, civic society in Nkonkobe launched Sakhubuntu, a forum for dialogue and public participation; a key speaker from the Eastern Cape Department of Social Development used the platform to put forward the lack of State funds, and went on to provide a checklist of instructions regarding formal registration, as only then would organisational legitimacy be achieved and a relationship with the State formed. So in this case, the purse was empty and whilst there in person, the State representative had little to offer outside bureaucratic requirements. So neither purse nor person facilitated any form of community engagement.

Instead of a politics of power and interest, central to community engagement is a deliberative democracy, based on reciprocity and trust, where members address their community problems and by reasoning together, determine how best to solve them. As Ncinane, a member of the Cata community in the Eastern Cape illustrates, 'One of the key factors for success was to ensure that ownership lies with the community. It is important that projects are based on the assets of the community, instead of simply copying what is done elsewhere' (Kienast, 2010:4).

What is capability, consciousness and rational organisation of the State with regards to public participation and community engagement? Similarly, what is the capability, consciousness and rational organisation of civic society to participate/engage with the State, or other public entities, such as the university?

Tiwari and Ibrahim (2012:69-85) argue the relevance of agency for sustainable human development, and the importance of identifying and facilitating complementarities between the instrumental capabilities of key stakeholders, whilst Kienast identifies that the existing poor public participation and community engagement offers an opportunity for a shift from State-centric nature of development towards genuine forms of co-production, that is, a shift away from the narrow and technocratic approach to [sustainable human] development towards one that is community-directed and driven.

Finally, for the ECPC, public participation and community engagement is a double-edged sword. On the one side, public participation and community engagement is vital if the provincial development plan is to represent a re-imagination of the province and harness the assets of its people; on the other side increasing public participation and

community engagement needs to be contained within the provincial development plan itself, reflecting on the consciousness, capability and rational organisation of both the State and civic society.

The Eastern Cape University

Over and above the mission of human development traditionally ascribed to universities, that of producing graduates, there is a growing international discourse of the expanded mission (or third mission) of universities, that of university-community engagement to achieve social and economic transformation (Watson, Hollister, Stroud and Babcock, 2011), as Goddard argues

Universities in the round have potentially a pivotal role to play in the social and economic development of their regions. They are a critical 'asset' of the region; even more so in less favoured regions where the private sector may be weak or relatively small, with low levels of research and development activity (Goddard, 2011:viii).

Whilst the South African university has this mission contained in legislation (DoE, 1999), there is little or no discussion across higher education as to who or what the community is that the university engages with? Furthermore, the Eastern Cape University is a 'western' institution (Wernick, 2006:557-579), established along the traditional lines of the modern European university, with its disciplines, academic programmes, faculties and departments. So whilst on the one hand it could be said that the very aspects of human development discussed above reside in the university, on the other hand, critics of the university argue that the 'ivory tower' prevails, in that the university is distant/isolated from its communities. Furthermore, when the university does engage, its approach to outsiders is unidirectional and paternalistic and thus debilitates true engagement (Keet, 2010), and as it is organised along mono-centric lines (discipline-specific faculties and departments), it is incapable of pluralist strategies.

In that sense then, it could be argued that the university is not rational; it does not have its own consciousness in terms of its organisational structure or its mandate and is incapable to either recognise this for itself or to change (Barnett, 2011). In fact, whilst the university has changed very little, society has become more complex. Does the university reflect the State in that regard? (PDoE, 2011/2012). An added complication is, of course, the historical legacies of the Eastern Cape University. The impact of apartheid, through its Extension of University Education Act in 1959, sought to dedicate specific universities

to white students. Thus, universities that were established in the early part of the 20th century were subsequently affected and consequently transformed and fragmented by the successive apartheid governments, such that by 1985, a total of 19 universities (out of a total of 29) had been established exclusively for white people, a minority racial group (Bunting, 2006). As a result, higher education in the Eastern Cape became synonymous with inclusion versus exclusion along racial lines, State disinvestment of some universities and investment in others and the post-apartheid anxieties to overcome these legacies being more than the auditable racial composition of its student and staff body today.

Nevertheless, a number of issues regarding university-community engagement need to be raised here; the first is that the legislated mandate of community engagement is an unfunded one. So, the Eastern Cape University, like its global counterpart, is rewarded and recognised by its rate of throughput of students and publication output, and thus these missions dominate over university-community engagement. Secondly, whilst there is a growing discourse in terms of the praxis and institutionalisation of university-community engagement across higher education South Africa, there is little or no discourse around what or who the community is, and what is meant by engagement. Thirdly, and like the State, is the assumption that the Eastern Cape university is capable of community engagement a correct one? Finally, is community engagement in the Eastern Cape University more of an individual endeavour as opposed to a systemic and strategic reality? (Council on Higher Education, 2010).

Conclusion

This article begins by advocating that the ECPC should rather consider the notion of sustainable human development as the central problem the development plan of the Eastern Cape province should seek to address, particularly since economic development and human development are increasingly constrained by environmental concerns; a system in stress. For example, as part of the State's small town regeneration project, the action plan for the town of Alice determines that in relation to social and economic development, agriculture is a key focus sector. Yet, the diagnostic of Alice determines that the degradation of the natural systems within the town is clearly evident, with overgrazing having a direct impact on the water systems, both from a water and food security perspective (Aspire, 2010).

In reference to the State, what consciousness prevails across the civil service? Is it as Manuel suggests, 'If we, in public service, cannot see the simple causal links between skills, education, good health, employment, prosperity and increased trust and stability, then we don't belong in the public service' (Manuel, 2013). Does this level of critical thinking occupy the consciousness of the State officials? Furthermore, the pluralist notion of such multiple concerns should effect and affect the rational organisation of the State, both in terms of structure and spatial presence. Finally, capability, whilst central to the sustainable human development approach, has to ensure the risks and challenges of omission and power are mitigated. The overarching capacity of the State in the Eastern Cape Province to implement a provincial development plan in a manner that may require shifts in consciousness, a re-imagination of its rational organisation and determinations of relevant capabilities, should be considered alongside the development of the plan itself.

In reference to the Eastern Cape civic society, first and foremost, the prevailing consciousness, and the Freiren concept of conscientization as a means to critically develop the individual and society needs to be critically reflected upon. Public participation and community engagement systems in the Eastern Cape need to be re-considered (and undoubtedly re-imagined) if cooperation and collaboration between and across civic society is to be realised. Whilst there is a concerted effort to bring the State closer to the private sector, there has to be an equalising effort with the non-governmental (and non-private) sector. How the state interacts with social movements, community-based organisations and structures, non-governmental organisations, traditional leadership, the university, alongside its own embedded system of local councillors demonstrates already the complexity of who or what is (or represents) the Eastern Cape community.

From a civic societal perspective the success of the provincial development plan will lie in not only what is produced, how it is shared, acted upon, implemented, monitored and evaluated but also the very process of its development in terms of whom is involved and how. As Manuel concludes, 'this is not the time to play ideological games. We have to find ideas that work; not ideas that sound right' (Manuel, 2013). Who is involved (and how) in the development of the provincial development plan should not be overlooked; the Eastern Cape Provincial Development Plan represents the long-term, and this requires the civic and civil (and political) society to think and behave likewise.

From a university perspective, a review of the third mission of community engagement, as both a self-reflection along the lines of institutional consciousness, capability and rational organisation, and at a national policy level, is imperative if there is to be equivalence of stature and reward of this mission alongside the traditional teaching and learning, and research.

Does a re-imagination of the Eastern Cape Province extend to reorganising and reengineering the rational organisation of the State or the university? Does it extend to a critical rethinking of individual and institutional consciousness? Finally, does it extend to a frank and honest discussion of capability?

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Implementing the Green City Policy in Municipal Spatial Planning:

The Case of Buffalo City Metropolitan Municipality

DLANI, Abongile | IJEOMA, EOC | ZHOU, Leocadia

ARTICLE

Abstract

The term “eco-city,” and similar concepts such as “green” and “sustainable” cities, has evolved overtime concurrent to the development of the understanding of social change and mankind’s impact on environmental and economic health. With the advent of climate change impacts, modern economies developed the green city policy to create sustainable urban development, low emission, and environmentally friendly cities. In South Africa municipalities, including Buffalo City Metropolitan Municipality (BCMM) have been tasked to develop and implement the green city

policy. However, BCMM is yet to develop the green city policy that clearly articulate how the municipality will combat climate change and reduce its Green House Gases (GHG) emissions in its spatial planning designs.

Against this background, this article reviews and analyses green policy landscape in Metropolitan Municipalities. It is envisaged that the research will provide the basis for the development of a comprehensive green policy strategies and programmes for the local transition to action in Buffalo City Metropolitan Municipality, in the Eastern Cape Province.

Keywords: Eco-city, Green-city, Green House Gases, Climate change, Buffalo City

Introduction

According to South Africa's National Climate Change Response Paper (2011), the phenomenon known as climate change, the focus of this article, refers to an ongoing trend of changes in the earth's general weather conditions as a result of an average rise in the temperature of the earth's surface often referred to as global warming. Climate change, and what to do about it, has become one of the enduring problematics of our time. It is, so the rhetoric goes, a global problem requiring global solutions (Bulkeley & Kern, 2006). Subsequent to the Kyoto Protocol in 1997, countries in the world committed themselves to a reduction of greenhouse gases (GHG) Emission produced by them. The Intergovernmental Panel on Climate Change (IPCC) Assessment Report (AR) 4 stated that urban activities are GHG emitters through industry and transportation.

Most of the world's GHG emissions are ultimately attributable to cities, which are centres of economic activity (Hoorweg, Freire, Lee, Bhada-Tata, Yuen, 2011). However, greenhouse gas emissions emanate from the activities and decisions of individuals and organisations operating at local, regional, national and international levels. According to Simarmata et al (2012) it is necessary to reconfigure the cities development strategies, from economic infrastructure development-orientated, to environmental protection-orientated. Urban development strategies need to be directed to the development of environmental-friendly cities, by limiting the development of economic infrastructure that increases emissions.

Spatial planning, which contains strategies and policies for urban development, should be directed to the efforts to reduce GHG in transport, urban design and development, waste management, renewable energy, environmental health and water resources. In order to contribute to such an analysis, this article reviews and analyses green policy landscape in Metropolitan Municipalities in South Africa. The aim of the research will provide the basis for the development of comprehensive green policy strategies and programmes for the local transition to action in Buffalo City Metropolitan Municipality, in the Eastern Cape Province.

The Concept of Eco Cities

The term "eco-city" is still relatively new, and researchers and governments use it to describe a multitude of ideas and concepts (Van Dijk, 2011; Joss, 2010). Synonymous

concepts such as "sustainable city," "low-carbon city," "eco-community", "green city" are used interchangeably with the term "eco-city." These terms all describe attempts at the city level to resolve economic, social, and environmental conflicts that have arisen primarily due to the consequences of economic growth and demographic change.

Despite its origins in the late 1800s, eco-city planning is not a singular body of thought but an amalgamation of various planning modes that have arisen in response to the side-effects of economic development during the past 150 years. The plethora of ideas and descriptors makes it difficult to formulate a single precise definition (Zhou & Williams, 2013).

According to Zhou & Williams (2013) broadly, an eco-city should incorporate plans, measures, technologies, and operational strategies to increase all aspects of environmental, social, and economic health; narrowly, these goals should be accomplished primarily by efforts to conserve natural resources, reduce fossil fuel use, increase density and reduce automobile use, reduce and recycle waste streams, integrate nature into cities, shift the economy toward the service sector and high value-added technology creation, build diverse spaces that offer value to all population subgroups, and actively seek and support community involvement in city improvement efforts

Governance and Green Economy

The new policy wave sweeping both developed and developing countries is the move towards green economies. The concept is the brainchild of developed countries and can be traced back to the 2008 global financial crisis. There was a realisation that neither the increased greenhouse gases nor the global financial crisis could be reversed through current industrial and production systems, which have a cumulative effect on the environment (Kaggwa et al, 2013). In their quest to re-invigorate economic growth, global leaders decided to address the financial crisis along with other crises that acted as drivers of the global green economy transition, including energy and climate change (UNEP, 2011).

According to Kaggwa et al (2013) the green economy in South Africa is viewed as a path to sustainable development based on its potential to address the interdependence among inclusive economic growth, social protection and natural ecosystems. It is defined as a 'system of economic activities related to the production, distribution and consumption of goods and services that result in improved human well-being over the

long term, while not exposing future generations to significant environmental risks or ecological scarcities (DEA, 2012). Developing a green economy implies decoupling resource use and environmental impact from economic growth. The green economy is characterised by substantially increased investment in green industrial sectors, supported by enabling policy reforms. As with any other new policy initiative, the social and economic impact of the transition to a green economy, in both the short and the long term, is not yet fully understood. As such, it is important to assess the implications of this transition at country level using selected indices, given that each country has unique developmental challenges and aspirations.

The Politics of Climate Change

Climate change has moved to the centre stage of public concern in a remarkable way and in a very short space of time. Scientists have expressed serious concerns about global warming for a quarter of a century or more. Environmental groups have struggled for much of that period to get governments and citizens to take the issue seriously. Yet within the past few years, climate change has assumed a very large presence in discussion and debate, and not just in this or that country but across the world (Giddens, 2008). Climate change is now a mainstream political issue. However, as yet there is no substantive framework for policy which offers coherence and consistency as to how national governments should cope with the long-term political challenges of climate change.

According to Giddens (2008) the literature on climate change tends to divide into several categories. There are many books written by scientists and others about the phenomenon itself and the dangers it poses. Where books and articles have been written about the "politics of climate change", they tend to be about such international agreements. Giddens (2008) argues most countries have no effective politics of climate change, especially at a national level where much of the action must happen. That is to say, there is no developed analysis of the political changes we have to make if the aspirations we have to limit climate change are to become real.

Giddens (2008) further states that very few aspects of the climate change debate are uncontroversial and the controversies between protagonists are often intense and even bitter. Three different positions can be distinguished. First, there are the climate change sceptics, who claim the case that present-day processes of global warming are produced

by human activity is not proven. Fluctuations in climate, they point out, produced by natural causes, have been a constant feature of world history. The current situation, they assert, is no different. Other sceptics accept that climate change is happening and that it is humanly induced, but argue that the threat it poses has been exaggerated. For them, other world problems, such as poverty, Aids, or the possible spread of nuclear weapons, are both more worrying and present more pressing dangers than climate change. The sceptics have dwindled significantly in numbers in recent years as the science of climate change has progressed, but they still get a significant hearing.

Challenges in implementing Green City Policies

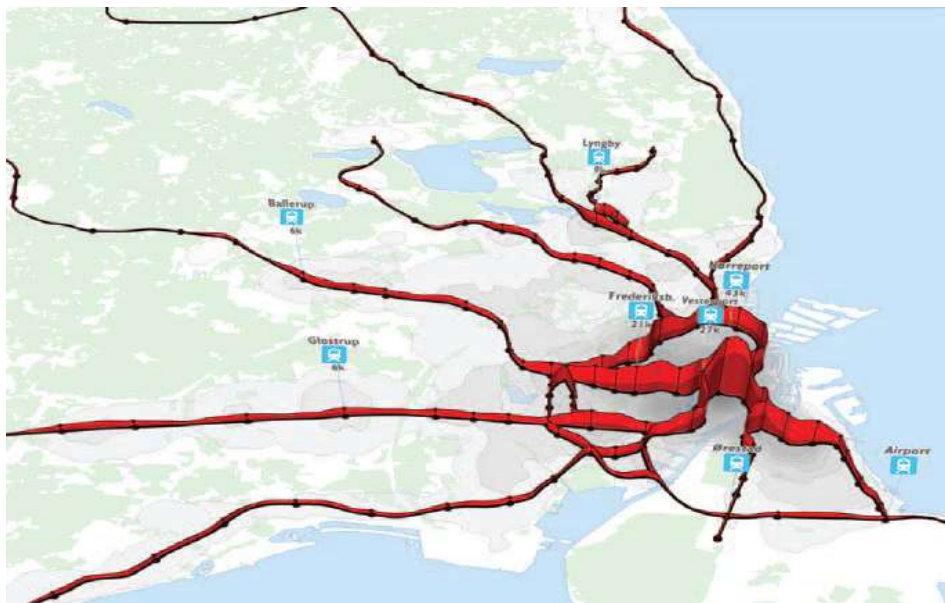
According to a survey done by the Global Green Growth Initiative (2012), most cities face a number of challenges in implementing green city initiatives. Challenges in the transport sector are mentioned most frequently, followed by pressures of rapid urban population growth, employment, governance challenges, and limited financial resources. Of the 90 cities analysed, 70% identify air pollution as a significant or very significant environmental challenge for the city and its region. This is followed by severe storms and flooding (68%), stormwater management (64%) and solid waste processing and disposal (57%). The majority of cities also identify fly tipping of household waste, water pollution and lack of green space as significant challenges.

Cities in middle- and low-income countries face additional challenges to those surveyed in high-income countries. With respect to environmental issues, water-related challenges, sewage treatment, solid waste and soil erosion are all reported significantly more often by cities in middle- and low-income countries. Three in four cities surveyed in middle and low-income countries identify solid waste processing/disposal, sewage treatment/disposal and dumped household waste as important challenges. Environmental challenges also differ between geographic regions. Stormwater management is more important to city authorities in Asia and North America than to those in Europe. With regard to urban development challenges, overcrowding and informal land developments are more frequently reported by Asian cities. European cities more often report social exclusion as a major challenge and noise pollution seems to be particularly acute in Europe: 18 out of 25 European cities identify noise as an important challenge, while only three North American cities regard noise as significant

Best Green Policy Initiatives and Practices Case Studies

According to the Global Green Growth Initiative report (2012) certain cities in the developed and developing world have made significant milestones towards green growth in all facets of city planning. The case studies provide inspiration by reporting on the success of integrating policy sectors and contributing to green growth. Each city's experience also offers important lessons about on-going challenges for building effective partnerships between business and government, delivering on environmental targets and integrating economic and environmental policy.

Figure 1: Population and employment density along major transit routes in Copenhagen

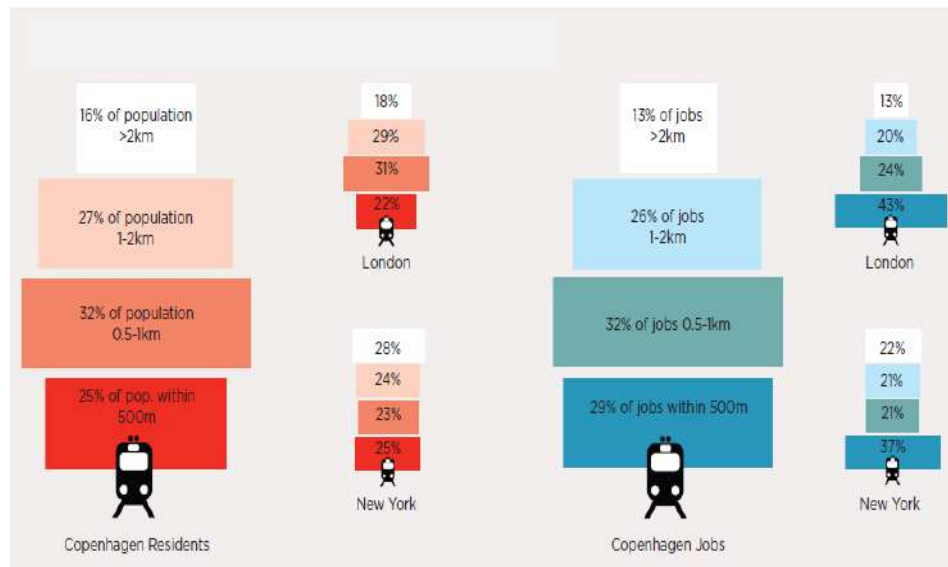


Land use and transport

Copenhagen: integrated regional planning for green growth

The City of Copenhagen has placed green growth and quality of life at the centre of its latest Municipal Plan (Curtis, 2014). The City has an ambitious goal to be “the world’s first carbon neutral capital” by 2025 and at the leading edge on technology and innovation in Europe. Copenhagen has a vision of being a key hub for business in Scandinavia and at the centre of the cross-border Oresund region. Copenhagen is widely regarded as one of the greenest cities in the world and recently came top in the Economist Intelligent Unit’s European Green City ranking (Economist Intelligence Unit, 2009). The city’s environmental policy leadership spans renewable energy, district heating, waste management, the cleaning of its former industrial harbour and promoting cycling, for which it has become best known.

Figure 2: Copenhagen pedestrian accessibility to rail and metro stations



The Policy Programme

According to the Global Green Growth Institute (2012) Copenhagen’s integrated transport and land-use strategy is a key element in the city’s green growth agenda.

Initiated more than six decades ago with the regional-scale 'Finger Plan' and continuing today with investment in the metro and the successful promotion of cycling, Copenhagen's approach to land-use and transport has established dense, walkable urban centres connected by rail-based public transport (see figure 1). The 'Finger Plan' promotes urban growth along rail corridors radiating from the city centre, while protecting 'green wedges' from development. This includes the 'Station Proximity Principle', which generally requires new large offices of more than 1,500 m² to be located within 600 m of a railway station.

Figure 3: Population and employment density along Hong Kong's MTR network



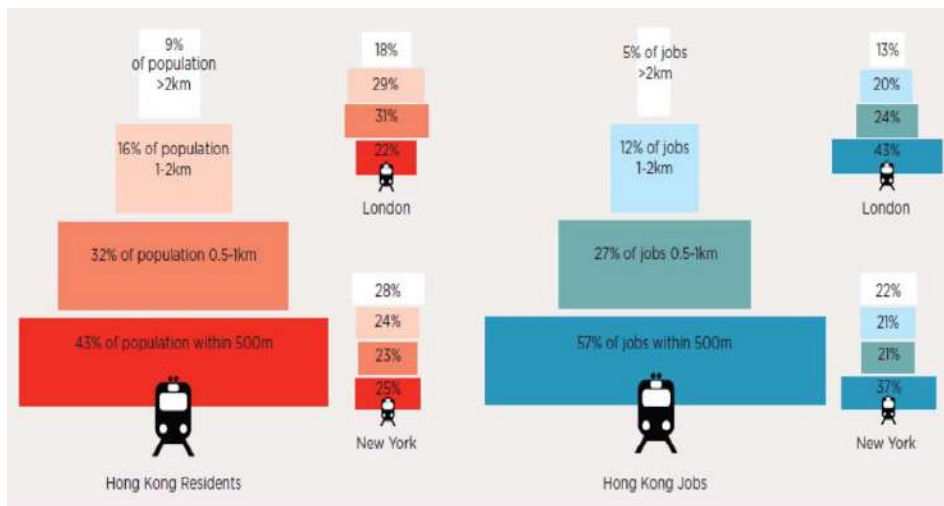
Hong Kong: building a compact city economy

The Policy Programme

Hong Kong's policy approach to land-use and transport combines extensive investment in public transport infrastructure and services with complementary land-use regulations in order to tightly integrate urban expansion at high density public transport nodes and along linear rail-based corridors (see figure 3) (Cullinane & Cullinane, 2003). Above all,

public ownership of most land enables the government to have direct control over spatial development (Ming, 2004). Hong Kong's mountainous landscape limits urban expansion, and reinforces the orientation of development around public transport corridors. The latest planning strategy shows an evolution from the ambitious new town developments of the 1970s through to the 1990s, towards brownfield development and urban regeneration.

Figure 4: Hong Kong pedestrian accessibility to rail and metro stations



Spatial planning is currently guided by the Hong Kong 2030: Planning Vision and Strategy, a broad framework that generally follows an approach developed over the past 30-40 years. Key concepts include a 'rail-based pattern' of development, and a commitment to 'doing more with less' – prioritising regeneration of existing urbanised territory rather than expansion into Greenfield areas (see figure 4). According to Ming (2004) related regulation and guidelines specify where development can occur and at what density levels, while limiting car-parking provision. Urban expansion occurs in strictly defined areas, since 46% of Hong Kong's territory has been legally protected by 'Country Park' status since the 1970s. A further 30% of land remains undeveloped and subject to various degrees of protection under a 'hierarchy of no-go areas'. Land is

zoned according to maximum floor-area ratios, with extremely dense building permitted directly above and adjacent to rail stations.

Eco-districts and Buildings Globally

Stockholm: Innovation and the next generation of eco-districts

In the words of Stockholm's Mayor, Sten Nordin, "In 2030, we will be the green capital of the world". This goal is part of the City's Vision 2030, designed to make Stockholm and its economy 'world class' (City of Stockholm Executive Office, 2010). Stockholm has a history of green growth and was named European Green Capital in 2010.

Figure 5: Hammarby Sjöstad, Stockholm



The Policy Programme

Stockholm and Sweden more generally, has a long history of energy efficiency in the buildings sector. Over 50 years ago the City began creating the infrastructure for district heating, which now accounts for nearly 80% of all heating in Stockholm (City of Stockholm, 2012f). Originally owned by the City, the system is now owned and operated by Fortum, a private corporation. Today, 80% of the energy used for district heating in the City is renewable fuel, energy from waste or residual heat.

National building regulations – which are some of the most stringent in the world – have also driven the energy efficiency of new buildings in the Stockholm region. Energy use must comply with a standard of 90 kWh/m² for district heating and 55 kWh/m² for electric heating. These standards have been taken further by energy efficiency targets under the City of Stockholm’s Environmental Programme 2012-2015.¹³ Using contractual obligations on land designated by the City, developers will need to meet a standard of 55 kWh/m² for district heating.

Portland: A leader of the US green building economy

Portland, Oregon, which sits in Multnomah County in the Pacific Northwest, is considered one of the greenest cities in the United States (Business Courier, 2011). The city is also known for its urban growth boundary, restricting urban expansion into surrounding farmland and forests. Portland has experienced green economic growth as a result of its combined economic and environmental policies. Between 1993 and 2010, the metropolitan economy grew by 59%, while between 2003 and 2010 the number of jobs in the green sector increased by 32%. Greenhouse gas emissions per capita decreased by 26% from 14 tCO₂e in 1993 to 10.4 tCO₂e in 2010.

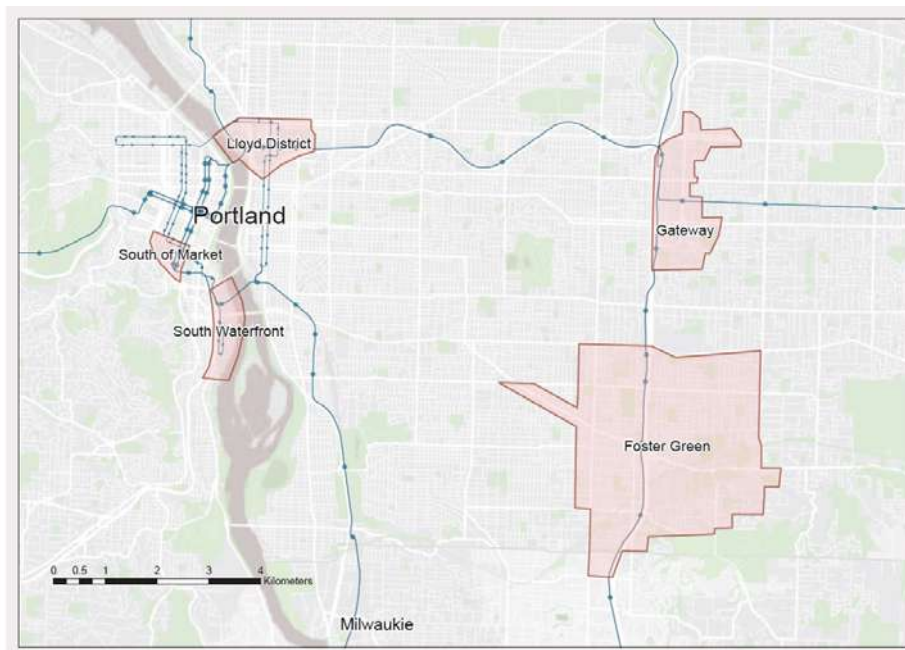
The Policy Programme

The City of Portland has actively promoted the green buildings sector over the last decade. In 1999, Portland’s Energy Office established the “Green Building Initiative” to assist home builder associations to develop green building programmes. Since then, the City’s Office for Sustainable Development has carried out a progressive green building programme. In 2001, the City Council adopted the City’s Green Building Policy, which requires all new city-owned facilities to register and certify at the Leadership in Energy & Environmental Design (LEED) level and incorporate green building strategies into tenant improvement and operation and maintenance practices ((Allen, Potiowsky, 2008).

Under Portland and Multnomah’s Climate Action Plan, the City has four main goals for the building sector to meet by 2030. These are (1) reducing by 25% the total energy use of all buildings built before 2010, (2) achieving zero net greenhouse gas emissions in all new buildings and homes, (3) producing 10% of the total energy used within Multnomah County from on-site renewable sources and clean district energy systems,

and (4) ensuring that new buildings and major remodels can adapt to the changing climate.

Figure 6: Portland's five eco-districts



Waste, recycling and energy

Belo Horizonte: harnessing collective action to recycle

The City of Belo Horizonte, the centre of Brazil's third largest metropolitan area, is considered a leader of Brazil's economic growth in the last few decades. The metropolitan area's economy – measured as Gross Value Added (GVA) per capita – grew by 37%, its population by 41% and the number of people employed by 65% in the period 1993 to 2010. This growth was accompanied by a 37% increase in greenhouse gas emissions per person in the municipality between 2000 and 2010, though at 1.6 tCO_{2e} per person this remains low compared to developed countries, which emit an average of 10.6 tCO_{2e}. While recycling rates up until 2009 remained relatively low at around 5-7% of total waste, the city has nevertheless made significant advances in

recent years and now has programmes in place to recycle construction waste (around 300 tonnes a day) and is developing a sophisticated composting programme for organic waste (10 tonnes a day), including the redistribution of surplus processed food to registered charities in the city (Mendes, 2012a).

The Policy Programme

Belo Horizonte has been a pioneer in municipal solid waste management in Brazil since the 1990s and instrumental in the move to include the informal sector in municipal recycling strategies. The need to improve existing informal employment structures and raise the standard of living of the urban poor led to the development of an integrated solid waste management (ISWM) strategy. The policy emphasised segregation of waste at source to minimize environmental impacts and maximize social and economic benefits in local communities (Dias, 2011). In the early 1990s, local legislation was changed to prioritize the collection of recyclables by co-operatives of informal waste-pickers, recognizing that these workers were already contributing significantly to increasing recycling volumes in the city and that a partnership with the city would improve their productivity and help the city meet both environmental and socio-economic goals.

Following this regulatory change, the Superintendência de Limpeza Urbana (SLU), responsible for all solid waste management services for the city, used a combination of legislative and financial policy tools to further integrate the informal sector into municipal waste management. Today, around 600 waste-pickers work for the cooperatives, with a total of 80 sorting warehouses run by seven different cooperatives across the city.

Durban: a leader in waste-to-energy

Policy Programme

In 2004, the Cleansing and Solid Waste Department of the Durban Metropolitan Area municipal government developed an integrated waste management strategy that covers generation, collection, treatment and disposal of waste. As part of the new integrated waste management policy, the city aims to ramp up its recycling programme and is focusing on educating residents about the importance of waste reduction and recycling.

In addition to initiatives concerned with managing waste generation at source, the city is also pioneering gas-to-electricity conversion at two of its landfill sites, making it

the first city in South Africa to explore such technologies. Since 2008, the city has been extracting landfill gas (a mixture of methane gas and carbon dioxide produced by the breakdown of organic wastes in the landfill site) for the generation of electricity at the Bisasar Road and Marian Hill landfill sites, both owned and operated by the city (EThekwini Municipality, 2011e). Durban's landfill sites were initially identified as a suitable location for such a project by the World Bank back in 2002 (World Bank, 2006). The project finally became financially viable after ratification of the Kyoto Protocol in 2005, which allowed the municipality to apply for funding through the United Nations Framework Convention on Climate Change's (UNFCCC) Clean Development Mechanism (CDM) (Interview John Parkin, 2012).

Electric mobility and renewable energy

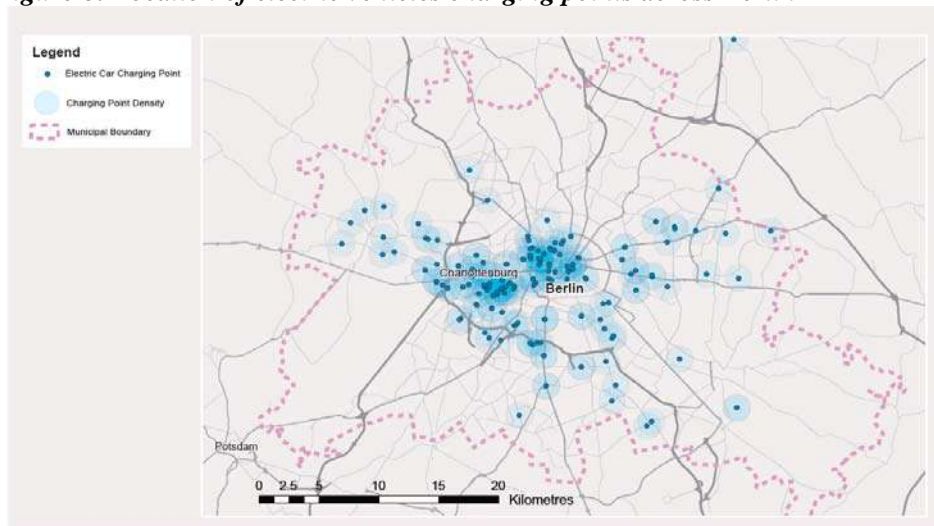
Berlin: urban mobility for the next industrial revolution

Over the last decade, the Berlin-Brandenburg metropolitan region has embarked on one of the most ambitious renewable energy and electric mobility agendas of any city region of similar size and status.

Figure 7: Deutsche Bahn has led the integration of electric mobility with public transport in Berlin



Figure 8: Location of electric vehicles charging points across Berlin



The Policy Programme

The Berlin-Brandenburg electric mobility programme is part of the German Federal Government's National Development Plan for Electric Mobility (German Government, 2009). At the federal level, this programme is primarily based on an agenda to build a globally competitive electric mobility industry and to introduce 1 million electric vehicles to German streets by 2020. More broadly, this policy is part of Germany's Energy Transformation, which itself is facilitated by six new federal laws including the much publicised feed-in tariff for renewable energy. According to Weiss et al (2011) the Electric Mobility Plan itself focuses on funding new battery technology, new e-mobility systems and related infrastructure development, as well as provisions for regulatory incentives. Across Germany, only about 3,000 new vehicles were electric, compared to 6.5 million newly registered vehicles between 2010 and 2011. In Berlin/ Brandenburg, about 500 electric vehicles are registered today and 220 public charging stations have been installed, supplying 100% certified renewable energy (see figure 8).

London: the electric vehicle pioneer

Over the last decade, London has become a prominent leader in progressive transport policies and is globally recognized for introducing congestion charging, the upgrading of

public transport and more recently the promotion of cycling. These policies have contributed to a steady drop in car ownership across London, from an average of 0.81 cars per household in 1995 to 0.76 in 2011. The city has also seen the introduction of about 2,300 electric vehicles, the largest number in any city to date, and has been leading on the development of charging infrastructure for over five years (Greater London Authority, 2012a).

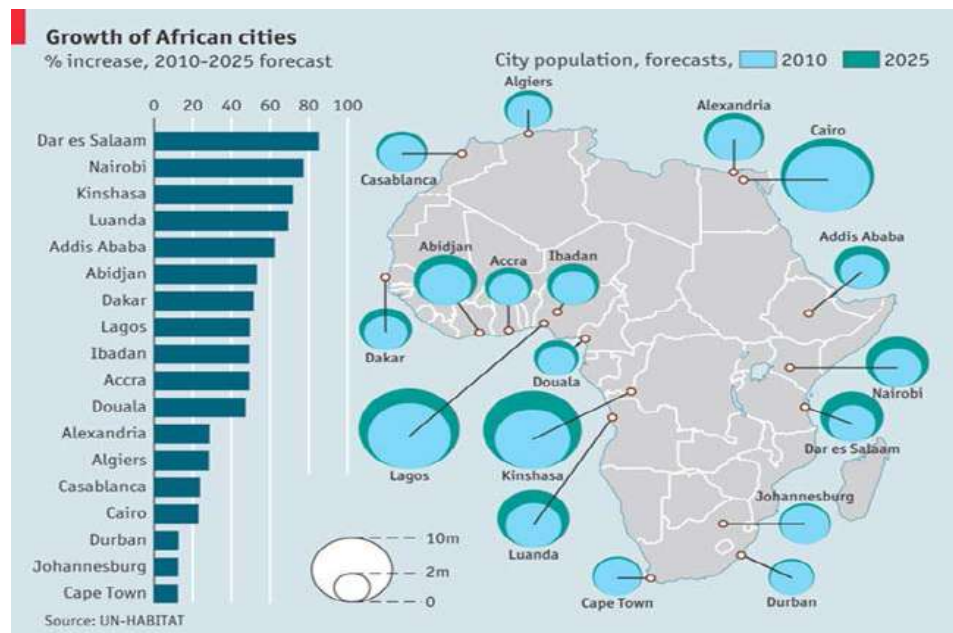
The Policy Programme

The London electric mobility programme is part of the city's wider effort to de-carbonize transport and address air quality issues in the city. While not directly linked to a renewable energy strategy, it builds on the broader ambition of the UK Government to increase renewable energy production (Nathan, et al., 2012). According to McGreevy (2012) the relatively early adoption of electric vehicles in London was initially stimulated by a 100% discount on the congestion charge introduced in 2003, with savings for electric vehicle owners of up to £2,000 (US\$3,200) a year. While this created an important financial incentive, the marketing effect of this approach was arguably even more important. More recently, a range of regulatory, incentive-driven and investment-based policy instruments have been established at national, city and borough level to encourage a shift towards electric vehicles.

Implementation of Green City Policy in Africa

Africa is urbanizing fast. The proportion of the population living in urban areas has risen from 15 percent in 1960 to 40 percent in 2010 and is projected to reach 60 percent in 2050 according to the United Nations Population Division (see figure 9). Urban growth is estimated at 3.7 percent a year, more than twice the world's urban growth rate (Un-Habitat 2010). Between 2010 and 2050, African urban populations will triple, reaching 1.2 billion people. This challenge is unique in human history in terms of size and the pace of the transformation.

Figure 9: African Cities population increase projections



City of Lagos

Energy and CO2: Well above average

In 2008 the Lagos State government, in collaboration with the Clinton Climate Initiative, embarked on a beautification programme for its major open spaces and highways. Within two years over 500,000 trees had been planted. On top of this the state government called on the private sector to partner with it in the greening of public spaces.

Transport

With over six million cars on the road every day, thoroughfares are congested and polluted. The public transport system, consisting mainly of tens of thousands of privately owned buses, is not directly controlled by city officials. In March 2008 the Lagos State government introduced bus rapid transit in conjunction with the private sector. This was promoted as an affordable, reliable and safe means of travelling while significantly

reducing congestion on the city's roads. The buses, running in dedicated lanes, can reduce journey times by 30%.

Waste

The Lagos Megacity Project is the overarching waste policy of the state government. One of the most notable initiatives of the past decade was the waste-to-wealth programme to convert various types of waste into usable materials. The programme was introduced in 1999 but has gathered momentum in recent years. As part of this programme, Lagos has established one of the biggest compost plants in Africa and converts 800 tonnes of municipal solid waste into fertiliser each day. In addition, the city has established four small-scale plastic-recycling plants, which convert 30 metric tonnes of nylon or plastic waste materials into usable products like shopping bags

Water

The World Bank is currently conducting a water initiative across the states of Lagos and Cross River called the Second National Urban Water Sector Reform Project. It has several aims: to improve the reliability of water supplies produced by the water treatment works in Lagos; to increase access to piped water networks in four cities in Cross River State; and to improve the commercial viability of urban water utilities in Cross River and Lagos states. The project was approved in 2005 and is expected to end in May 2013. Some of the practical outcomes of the project will be the installation of safe and suitable housing for pumps and generators; hiring better-trained chemists, biologists and water scientists for laboratory work; completely fencing-off the perimeter of water treatment plants; using better and more secure manhole covers; and conducting more frequent testing of water before it is pumped out for distribution.

Air quality

The Nigerian government has a long-standing ban on the import of cars more than five years old. While the government has not put any other specific measures in place, such as monitoring emissions from cars and generators, preventing very old cars from entering the country is expected to have a positive effect on air quality over time.

City of Accra

Energy and CO₂: Above average

Although the national government's main renewable priority is hydropower, the state-owned power company, the Volta River Authority (VRA), has also initiated a project to generate 100 megawatts of wind and solar power by the end of 2011 through the installation of solar plants in three northern regions and a coastal wind farm.

Air quality: Above average

Unlike the majority of Index cities, Accra informs citizens about the dangers of air pollution. Air monitoring is also relatively rigorous. Checks are made at various locations throughout the city for levels of nitrogen dioxide, suspended particulate matter, suspended fine particulate matter and carbon monoxide. The transport sector, primarily consisting of the trotros, is the dominant source of air pollution in Accra. Authorities take air pollution seriously, particularly from the transport sector, and are taking steps to tackle the problem (see "green initiatives" below). In 2006 the national Environmental Protection Agency (EPA) conducted an assessment of carbon dioxide emissions from the transport sector. On the basis of this study, the agency drafted a plan for an annual vehicle certification regime that would include CO₂ emissions. The EPA is exploring collaborations with private companies in order to implement the plan. In addition, the government's bus rapid transit project aims to reduce air pollution from the transport sector.

Environmental governance: Well above average

Accra is the only city in the Index to place well above average in the environmental governance category. The city's local government works in partnership with the national EPA to implement environmental policies. The city's assembly has the power to implement environment-related regulations, and has a relatively wide remit, encompassing all the main category areas monitored by the Index, including sanitation, land use, informal settlements and waste management. In addition, each of those main category areas has been subject to a baseline review within the last five years. Accra provides public information on environmental projects and performance. The city also has a process to involve non-governmental organisations and other stakeholders in public meetings on projects that have a major environmental impact. One of Ghana's

most noteworthy environmental initiatives is its participation in the UN Convention on Climate Change. As part of this process, the EPA is preparing a national greenhouse gas inventory report, which will identify greenhouse gas emissions by source from 1990 to 2006. Work on the inventory began in 2008 and the report was expected to be released in late 2011. The results of the study will be used to develop a national climate change mitigation policy.

City of Cairo

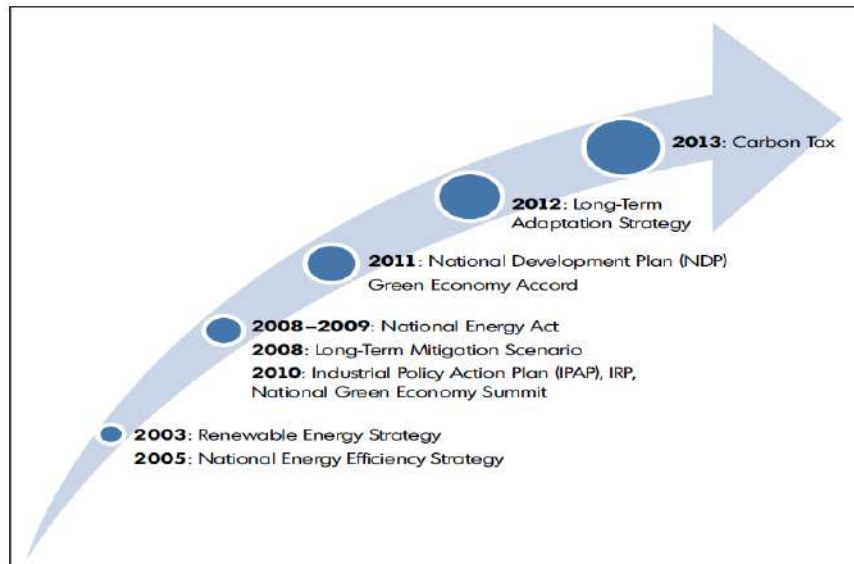
Energy and CO2: Average

UN Habitat estimates that almost all households in Cairo have access to electricity, but the city fares less well in curbing electricity consumption. On average, Cairo consumes 8.0 gigajoules of electricity per capita, compared with the Index average of 6.4 gigajoules. Despite high electricity consumption, CO₂ emissions from electricity are an estimated 477 kg per capita, less than half of the Index average of 984 kg. Nearly 70% of the city's electricity production is based on natural gas. Egypt is a beneficiary of the Clean Technology Fund (CTF), an international multi-donor trust fund to provide financing for low-carbon technologies with the potential for reducing greenhouse gas emissions.

Transport: Above average

A major programme is under way to improve traffic congestion and reduce polluting emissions from public transport vehicles. The work is being carried out through two schemes – the Egypt Urban Transport Infrastructure Development Project and the Carbon Finance Vehicle Scrapping and Recycling Programme. Both initiatives are being developed with financial assistance from the World Bank and the multi-donor Clean Technology Fund. The urban transport project includes the provision of 1,100 new fuel-efficient buses to replace the old fleet, the construction of six bus rapid transit corridors and improvements to the traffic management system.

Figure 10: Landmark development in South Africa's green economy space



Green City Policy implementation in South African Metros

Coordination and alignment of policies and actions is central to achieving climate resilience and in South African cities. Achieving climate change resilient development requires both horizontal and vertical integration of climate change into government planning, and needs to involve all sectors of society (see figure 10) (National Climate Change Response White Paper, 2011). In response for policy in action, South African cities have made significant milestones towards implementing green city policies in short to medium and long terms planning. These cities include the city of Cape Town, EThekwin metro and City of Johannesburg.

City of Cape Town

Transport: Smart Mobility

Smart mobility innovations are being used to change current inefficient patterns and to create a much wider range of mobility options. Smart mobility is integral to urban renewal and integrated spatial design (Green is Smart, 2013). There are major changes in

public transport that are underway or planned, particularly in Cape Town. Examples include the multibillion Rand investment in the MyCiti bus rapid transit system, a major upgrade planned for the commuter rail system by Metrorail and the creation of a metropolitan transport authority for Cape Town. In addition to the hard systems, soft systems aimed at improving the public transport experience through mobile and other applications are being developed. According to Green is Smart (2013) in addition to MyCiti bus the City of Cape Town has implemented two green initiatives in their bid for lower carbon transportation system.

University of Cape Town (UCT) RideLink

In an attempt to decrease single-person car usage at UCT, UCT traffic and the Green Campus Initiative created the Ridelink Carpooling System. The system is designed to make it easier for students to find lifts with people travelling to university at similar times/areas to them. Students and staff can enter their details and search the database to find people with matching schedules at the click of a button. Special parking is allocated to people participating in the system.

Green Cab

Green Cab provides a green transport solution through the utilisation of Liquefied Petroleum Gas (LPG) and BioDiesel. LPG burns more cleanly than petrol and reduces carbon emissions by up to 34%, and harmful emissions by up to 87%. The Green Cab taxi company was set up in 2008 by four women because they "realised we cannot continue to do business as usual in the tourism sector". Green Cab claims to be Cape Town's only carbon-neutral transport service.

Water

According to Jennings et al (2008) Cape Town is a severely water stressed region. However the cost of water does not yet reflect this shortage nor environmental impact of water borne waste and impact of storm water systems. These are addressed in the following ways:

- Recycled water is made available from the Potsdam effluent treatment plant and treated to a level adequate for irrigation

- In addition it is further treated before being polished by the managed wetland to maintain the canal water levels
- All storm water is treated via silt traps before being attenuated in the canal system
- The managed wetlands maintain the canal water quality and a constant flow through the canals assists in oxygenation supporting aquatic life.

Figure 11: Water supply in City of Cape Town



The approach to view a problem rather as a solution not only reduces the off-site impact of storm water and effluent but provides a safe and significant amenity in the canals. It has been interesting to see the innovative response from building owners in the use of rainwater systems as well as the irrigation water for cooling towers supporting energy efficient cooling systems (see figure 11). With the current cost of the irrigation water well below potable water the current economic benefit will only be further

accelerated as the financial cost of municipal water starts to reflect the shortage and environmental impact.

City of Johannesburg

Jo'burg is determined to create a green city, in keeping with the movement to prevent climate change and improve the environment in whatever way possible (Circo, 2007). Many of the City's development decisions are taken with the need for a green planet in mind: from greening and cleaning the environment, to reducing the energy load in buildings, to cutting carbon emissions.

Landfill gas to energy project

Landfill preparation for a gas flareIn 2005, the City identified Robinson Deep, Marie Louise, Linbro Park, Goudkoppies and Ennerdale landfills as potential sites to implement a landfill gas to energy Clean Development Mechanism (CDM) project. Through the implementation of a CDM project, the City will contribute to the country's achievement of the Kyoto Protocol commitments and simultaneously generate revenue through the sale of Certified Emission Reductions (CERs) and sale of electricity generated (Schäffle & Swilling, 2013). The City of Johannesburg Environment Infrastructure and Services department initiated the landfill gas to energy CDM project in 2007. The main aim of the project is to mitigate the harmful greenhouse gases (GHG) emitted from the landfills. It is anticipated that the renewable energy generated from the project will be fed into the municipal grid, thus off-setting largely coal derived electricity (Schäffle & Swilling, 2013).

Green Building

Green buildings are designed and constructed to maximise the whole life cycle performance, conserve resources and enhance the comfort of occupants. This is achieved by the use of technology such as fuel cells and solar-heated water tanks and by attention to natural elements such as maximising natural lights and building orientation (Singh & Sharma, 2014). In hybrid (mixed-income) property development sites, such as Cosmo City, as well as social housing delivery in places like Alexandra, the municipality has also introduced a pilot programme through which solar water heaters have been installed into low-income homes. Through this initiative, an attempt is being made to

construct a housing and service delivery model that not only responds to the basic needs of poor households, but does so in a manner that is consistent with energy conservation (Mokwena, 2009).

The Case of Buffalo City Metro

According to South Africa's National Climate Change Response White Paper (2011) measurement and monitoring of climate change responses is critical to ensure their effective implementation. Given the nature and implications of climate change and the economic and social implications of effective climate change responses, decisions must be based on accurate, current and complete information in order to reduce risk and ensure that interventions are effective.

Buffalo City Metropolitan Municipality (BCMM) plays a vital role in addressing the Metro's social, economic and environmental needs. All South African municipalities, including BCMM, are tasked with the provision of services in a sustainable and equitable manner, the facilitation of social and economic development and the promotion of a safe and healthy environment for all people living within its domain. Climate change is already having a direct impact on the ability of many South African municipalities to meet their developmental objectives. According to BCMM's not yet adopted Draft Climate Change Strategy (2012) extended dry seasons, increasing temperatures, extreme storms and sea level rise result in drought, crop failure, livestock death, damage to infrastructure, runaway fires and will further entrench poverty with the increase of vector-borne disease, disabling of existing livelihoods and damage to household assets. These effects are further compromising the municipality's ability to provide sustainable services to its citizens.

The NCCS White Paper therefore places an obligation on BCMM to formally include climate change response in planning. In line with this, the South African Municipal Infrastructure Dialogue on Climate Change (January 2010) notes that local governments, with their task of approving and implementing development frameworks around the country, are seen as uniquely placed to tackle climate change. According to BCMM Metro Growth Strategy (2030) situational analysis BCMM has the spatial characteristics to implement green policies and environment friendly strategies.

BCMM Physical Landscape

Topography

The topography of the region is characterised by a number of incised river valleys, that run nearly parallel to each other in a South –Easterly direction through the municipality and which dissect the municipality at regular intervals. This terrain lacks large tracts of flat land, impacting significantly on settlement patterns and the cost of provision of services within the Region.

Geology and Soils

The geological stratum of the Region is typical of the Karoo system consisting of mainly mudstones and sandstones infringed by dolerite dykes and sills. Much of the geology is of marine origin, giving rise to the high salinity of the groundwater in the area. The soils are generally moderate to deep clayey loams and the erodible index of the soils in the region is recorded as being medium to low.

Climate

The climate is moderate for most of the year, with hot spells from December to February, particularly in the inland areas. Although the region does receive rainfall all year round, it is primarily a summer rainfall region, with the months of June and July generally being the driest months of the year. The rainfall within BCMM varies from approximately 1000mm along the coastal belt between East London and Kwelera, gradually decreasing in a westerly direction to 500mm in the areas of the upper reaches of the Tyolomnqa, Keiskamma and Umkhangiso Rivers. In the north western portion of the region, in the vicinity of the Amatole Mountain Range, the mean annual precipitation again increases to between 1000 to 1500mm.

The Buffalo City Metro Municipality has ten (10) major river systems, nine (9) of which are considered "endangered" and the Buffalo River system is considered „vulnerable“ (SANBI, 2004). In terms of aquatic systems, the National Wetlands Inventory identifies a total of 2064 wetland areas. The groundwater potential in the region is generally not good, resulting in low borehole yields (generally below 2 l/s) and high salinity waters. The north-western portion of the region has the greater groundwater potential (i.e. Peelson villages), with the potential reducing in a south-easterly direction towards the coast.

Vegetation

BCMM has a wide variety of vegetation types and the main type of vegetation types of vegetation types are spread throughout the BCMM covering 252577.5ha. The vegetation types may impact to a certain extent on the livelihood of communities as it determines the carrying capacity of the field in terms of livestock units. The scarcity of vegetation again determines whether crop production or livestock farming should be practised. The four biomes represented in BCMM are: - Albany Thicket (66.82%); Savannah (29.24%); Forest (2.73%) and Grassland (1.14%) of which twelve (12) vegetation types have been classified by Mucina & Rutherford (2006). An estimated 26.8% of BCMM area that has no natural habitat is remaining. The South African National Biodiversity Institute (SANBI) identifies no critically endangered, endangered or vulnerable terrestrial ecosystems within the Municipality.

Urban and Rural Land Use Coverage

About 9% of the land is cultivated on a semi-commercial/subsistence basis; over 10% of land cover in the municipality is degraded. The urban or built up residential land covers about 7.8% of land cover, 19,127 ha consists of Urban Land. A total of 230 rural villages exist with a total coverage of 13,339 ha. The subsistence agriculture affects the quality of the soil/land cover/environment and although important for survival, poses a threat to the species. Subsistence agriculture is evident in the densely populated rural areas with surrounding degraded land.

Spatial form of the City

The Cities spatial structures can bring about positive change through transforming entrenched settlements patterns and developing attractive environments, such as areas of high vitality intermixed with high-quality public space - that are conducive to inward migration of talent, investment, eliminate congestion, sprawl - associated with energy in efficiency (World Cities" Report 2012). The current SDF emphasize on major capital investment (housing and a diversity of economic enterprises) in the core urban areas and proposes targeting areas of opportunity and areas of need in fringe rural and per-urban areas, to upgrade existing settlements and facilitate new development opportunities in these areas" through infill - development of vacant land (i.e. infill areas) and "compaction" (Buffalo City, 2012).

Green Opportunities based on Situational Analysis

- Opportunity to expand agricultural production: explore innovative and sustainable agricultural approaches within the commercial farming sector and the subsistence and small-scale farming sectors;
- Opportunity to harness natural resources for feasible production of renewable energy;
- Agro-industry development through beneficiation;
- Agriculture exports, Supporting rural development and small-scale agricultural activities to retain and develop the rural agricultural skill base and rural agricultural output;
- Improving agricultural skills base, and
- Aqua-culture development.

The environmental landscape

The fact that cities alleviate poverty has a flip side of environmental and natural resource challenges, as Cities generally consume more energy and commodities and generate more waste, thus presenting threats to non-renewable commodities and energy sources that will become scarce (World Cities Report: 2011).

Natural Environment

According to BCMM IDP (2013/14) Buffalo City has 68 km of coastline which is a significant natural asset, which includes ten (10) estuaries, conservancies, National Heritage Sites, rocky shores and fourteen (14) sandy beaches. Certain areas are near pristine, while other areas along the coast are currently over-utilised. The coastline has tremendous potential for the development of tourism, subsistence fishing, recreation and conservation. The biophysical environment in Buffalo City has got a number of pressures, including; - increased development pressure, especially along the coastline, estuaries & rivers; demand for low income housing and associated services; proliferation of informal settlements; poor sanitation, poor operational state of certain wastewater treatment infrastructure; polluting waste sites; lack of proper waste disposal facilities; illegal industrial effluent discharges and other illegal dumping; poor storm water management; overgrazing on commonage and communal land.

The pressures impact negatively on the state and quality of Buffalo City's natural environment resulting in:

- polluted water resources;
- polluted air;
- damage to the landscape and loss of biodiversity in sensitive coastal areas, natural forests and other important ecosystems (thicket);
- increased invasion by alien plant species;
- increased erosion disasters, particularly in the peri-urban and rural areas;
- loss of urban open space and environmental and health impacts.

South Africa's metros currently have per capita CO₂ emissions that range between 3.7 and 7.5, waste production in the order of 1 000 kg per person per annum and a Gini coefficient of between 0.67 and 0.753 (Siemens 2011, Lewis and Jooste 2012, Peters and Swilling 2012).

Types of Energy Resources

A global phenomenon and challenge that South Africa is continually faced with, is the issue of cost effective and renewable energy. Energy is critical to virtually every aspect of the Municipality's economic and social development and depending on the manner in which it is produced, transported and utilised, it can contribute to environmental degradation. The investments in renewable energy and energy efficiency are important to reduce the negative economic, social and environmental impacts of energy production and consumption in South Africa.

BCMM would need to investigate potential alternative sources of energy to ensure a more sustainable energy mixes. The BCMM would need to investigate potential alternative sources of energy to ensure a more sustainable energy mix by 2030.

The BCM State of Energy Report (2008) highlighted some issues and opportunities associated with sustainable energy in BCMM. These are outlined here below:-

- Energy not necessarily used efficiently or sustainably - Energy demand is increasing, the focus has been on increasing supply, rather than managing demand;
- Lack of incentive to use energy efficiently;
- There are a number renewable energy, energy efficiency and carbon trading opportunities in BCMM.

Climate change

According to Makiwane (2011) the climate changes could imply that Buffalo City Municipality is faced with: - More frequent and severe flooding as a result of higher intensity storm events and possibly more frequent hail events. This will impact on human settlements, infrastructure, human health and place a greater burden on particularly impoverished communities, higher intensity storm events could create increased swell surges and higher waves, coupled with sea-level rise, potentially damaging all infrastructure on the coastline and threaten settlement in such areas, higher rainfall may increase agricultural production but, water availability could become a limiting factor, requiring increased irrigation. The small scale farming is likely to be most negatively affected. The heat waves may result in increased heat stress to plants, animals and humans and will increase associated fire risk placing livestock and grazing capacity under threat.

Green Opportunities based on situational analysis

- Opportunity to develop renewable power sources to appropriate scales drawing on the natural resources wind and smaller-scale solar radiation;
- Opportunity in linking the green economy to service delivery and employment creation requires significant investment in new technologies, new infrastructure and new means of delivering municipal services.
- Promotion of carbon budgeting approach, linking social and economic considerations to carbon reduction targets, and
- Build standards that promote energy efficiency.

Conclusion and Recommendation

The effects of climate change are most evident on grass roots governance (Local Government) and level. Heavy rains, floods, droughts, soil erosion and unhealthy air to breathe affect all citizens in that region. Municipalities must plan to avert the consequences of climate change on basic service delivery issues. In addition to being responsive municipalities must be proactive by studying the problem and putting in

place measures to ensure that it will not occur in their region as expressed in SA National Climate Change Response Paper 2011.

Buffalo City has the potential in terms of its physical topography, arable land and rivers to be a world class green city. Recently it was awarded an award in this regard. Therefore BCMM is a growing rural Metro that must prioritize preventative measures to ensure that its growth does not become a problem for the environment and citizens. It needs to adopt a green city policy that set out for spatial considerations and reforms.

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Re-inventing Nigeria's Public Sector:

A Review of National Agency for Food, Drug Administration and Control (NAFDAC)

IGBOKWE-IBETO, Chinyeaka Justine

Abstract

Public Over the years, the efficiency and effectiveness of Nigeria's public sector has been a subject of debate. However, in recent time, the organizational performance and service delivery of National Agency for Food, Drug Administration and Control (NAFDAC) have been a success story. Within the framework of New Public Management (NPM) theory, the study investigates the secrets behind the degree of success achieved by NAFDAC with the aim of recommending such to other public sector organizations in Nigeria which has over the years demonstrated lack of zeal for service delivery. The study relied heavily on primary and secondary data. Yamani's formula for sample size determination was used to select a sample of 133 employees from NAFDAC Lagos office out of a total of 200.

Weighted mean and chi-square statistical tools was used to determine the independence or otherwise of the variables under investigation. It is the position of the study that NPM has enhanced NAFDAC's performance and service delivery. It concludes that since the traditional public administration theories has failed to deliver the much needed public goods and services, it is therefore imperative to reinvent Nigeria's public sector in line with (NPM) international best practices so as to reposition the Nigerian public sector for the challenges of a modern and rapidly changing world. However, while change is desirable, we feel there is need to exercise caution on account of the peculiar nature and character of the Nigerian state and society. Reinventing the country's public sector should progress slowly and wisely.

Keywords: Efficiency, Nigeria, Public Sector, New Public Management, Service Delivery

Introduction

Public administration is a feature of all nations practiced at central, intermediate and local levels. Indeed, whether the chief executive of a government is president, prime minister, an emperor, king, duke governor or mayor, that government functions within the context of public administration. According to historians, the first true bureaucracies arose in response to the need to regulate water in the great river valleys, particularly those of the Nile, Tigris and Euphrates. If these water sources supplied the lifeblood of the civilizations they nurtured, those who monitored their flow and supervised their distribution into complex irrigation systems constitute the lifeblood of the government. In the millennia that have since passed, these features have remained the functions of government and have multiplied. Governments themselves have changed and evolved new forms of organization, management and supervision, motivation and remuneration. Today, we think of modernization primarily in terms of efficient and effective response to changing needs and circumstances.

In the late 60s and 70s, public administration was reinvented in the cloak of "Public Management" as a response to the need for the dynamic situation that prevailed in the United States of America, calling for administrative activities or public sector to be relevant to societal needs such as equity, social justice and the likes. In the later 80s through the early parts of 1990s, the forces of globalization, liberalization and privatization reinforced further by the forces and demands of market economy eventually led to the celebration of the concept of "New Public Management" (NPM). Different terminologies are used to describe the concept such as: Market-based Public Administration; Public Management; Entrepreneurial Government or Managerialism; Reinventing Government; Re-engineering; Paradigm Shift; Total Quality Management (TQM); Organizational Transformation; Revitalization; Learn and Mean; Downsizing and Resizing; Empowering rather than serving (see Ayee, 2009; Frederickson, 1996; Osborne and Gaebler, 1993).

In response to this global movement, public sector in Nigerian is under-going tremendous changes that are aimed at repositioning it for the challenges of a modern and rapidly changing world. Principally, this change is aimed at making public sector more effective and efficient. Effectiveness and efficiency in the areas of policy implementation is considered crucial to national development and democratic consolidation. Indeed, in pursuing the goal of development scarce resources has to be judiciously and wisely used.

This is where efficiency comes in. To be sure, Nigerian public sector has had to move from its colonial law and order orientation to that of a more proactive role in the life of the nation. This means, it has to be democracy oriented and closer to the people who it is meant to serve. However, public sector in Nigeria is not what majority of Nigerians expects it to be. Its performance since independence has being below expectations. For example, it has failed to rise up to the challenge of a developing country like Nigeria. This partly explains the slow pace of national integration, growth and development in the country. Lending support to this assertion, Maduabum (2014:74) citing former President Obasanjo posits:

Public officers are the shopping floors of the government business. Regrettably, Nigerians have for too long been shortchanged by the quality of public service delivery by which decisions are not made without undue outside influence, and files do not move without being pushed with inducements. Our public sector have for too long been showcase for the combined evils of inefficiency and corruption, whilst being impediments to effective implementation of government policies, Nigerians deserve better.

To resolve these hydra-headed problems, several reforms have been carried out in the public sector. But, it would seem the problems remain endemic. However, the third wave of democratization has brought a new orientation about the state and its institutions. To become relevant in the scheme of things in the country, public sector in particular is called upon to embrace change or be redundant. But like in the past, this wind of change is bound to face certain hurdles, which could be internal or external to the system of public administration. It is against this background that there is search for a new public administration in the country.

Statement of the Problem

National Agency for Food, Drug Administration and Control (NAFDAC) is an agency of government charged with an important responsibility for food, drug administration and control in Nigeria. Prior to its establishment, Nigeria was almost becoming a centre for fake drugs and other consumables. However, from the tenure of Prof. Dora Akunyili as its Director General till date, the production and distribution of fake goods and consumables has reduced drastically. For many years, the Nigerian standard organization

has been in operation but failed to make appreciable impact in reducing or stopping the production and distribution of fake drugs and other substandard products in the country. The relative success that NAFDAC has recorded makes it necessary to investigate what accounts for this (success story) new development. It is not quite clear what could be responsible for this change in fortune in the war against fake drugs and other consumables in Nigeria. Could it possibly be the influence of New Public Management model on employees' job performance and service delivery? It is this doubt that the study seeks to unravel, hence the need to investigate the secrets behind the degree of success achieved by the (NAFDAC) organization with the aim of recommending such to other public organizations as a framework for enhancing public sector performance and service delivery.

Objectives of the Study

The overall aim of the study is to examine the effect of new public management (NPM) model on employees' job performance and service delivery in the Nigerian public sector organizations with specific reference to National Agency for Food, Drug Administration and Control (NAFDAC). The specific objectives of the study include:

- 1) To examine the relationship between the application of NPM model and organizational performance in NAFDAC.
- 2) To examine the relationship between the application of NPM model in NAFDAC and its service delivery.
- 3) To proffer recommendations on effective public service delivery in Nigeria.

To scientifically investigate the issue raised in this study, two research questions and two hypotheses will serve as a guide to the survey in the quest for answers to the issue being investigated.

To achieve the goals of this endeavour and for ease of analysis, the article is structured as follows: the first section begins with introduction, statement of the problem, objectives of the study, research questions and hypotheses. The second chronicles the conceptual and theoretical framework. The third section examines the nature of old order of public administration and New Public Management as a

framework for reinventing Nigeria's public sector. The fourth section, discusses the factors militating against effective public sector reinvention in Nigeria. The fifth section revolves around research methodology, analysis of surveyed data and discussion of findings. The sixth examines the constraints facing these paradigm shifts while the sixth suggests the way forward and then concludes the study.

Conceptual and Theoretical Framework

Concepts in social and management sciences do not easily lend themselves to universally agreed definitions. This makes every definition perhaps only relevant within the parameters set for a given investigation. In the light of the foregoing, some concepts are central to the discourse in this article. It is therefore necessary to examine them with a view to situate them within the context of our discourse. One of such concepts is Public Sector. However, the fundamental issue to tackle first is that of delineating what the public sector means in any state. As we have earlier argued, the destiny of the state and its public sector is tied in the sense that *an effective public sector makes for an effective and developmental state* (Olaopa, 2013:8). This is because the state exists essentially to serve the public interest, and this consists solely in the provision of goods and services which enable the citizens to live good, healthy and comfortable lives. Thus, Haque (2001:65) argues within this context, that the basic function of the public sector in Africa is to provide goods and services to citizens based on realization and representation of public interests and its possession of unique public qualities compared to business management.

The Dictionary of Politics and Government defines the public sector as the "industries and services owned by the government." For Kai Wegrich (in Olaopa, 2013:9) it refers to "the portion of the economy composed of all levels of government and government-controlled enterprises... it also implies a definition of public activity that goes beyond the core domains of public administration. The general definition of the public sector includes government ownership or control rather than mere function, thereby including the exercise of public authority or the implementation of public policy". Given this definition, the ECA (2009:4) viewed the public sector in a broader perspective as: the machinery of government, i.e. the totality of services that are organized under public (government) authority. To this researcher, it is the totality of the administrative structures within which the work and functions of government is carried out.

According to ECA in (in Olaopa, 2013:9), the public sector covers the following categories of institutions. They are: (i) the civil service in the strict sense of ministries and departments of the central government; (ii) the legislature and judiciary; (iii) local governments; (iv) public or state enterprises, boards, corporations generally referred to as parastatals which operate and provide services in areas such as water and electricity; (v) the security forces; (vi) the professional regulatory bodies such as NAFDAC which are given the power to prescribe training required for members; to regulate the conduct of members and to prohibit the unqualified from practicing.

Flowing from the above, there is therefore a sense in which we can use the "state" and "public sector" interchangeably. The reason is simply that both are coextensive. Corroborating this, Olaopa (2013:9) posits that in the first instance, the existence of the state automatically signals the existence of the public sector. In the second instance, the public sector is the manifestation of the abstract entity we call the state. The space represented by the state and governmental activities is what we call the "public space" as different from the "private" space where individuals can become whatever they want to be without the intrusion of the state. The public sector, therefore, represents the realm where the public administration operates for the benefits of the citizenry.

Nnoli's (2004:45) defined Public Administration as the machinery as well as the integral process through which the government perform its functions. It is a network of human relationships and associated activities extending from the individual government to the lowest paid and powerless individual charged with keeping in daily touch with all resources, natural and human, and the aspect of the life of the society with which the government is concerned. He went further to state that it is a system of roles and role relationships which defines in as clear and practicable terms as possible and in as much detail as possible the intentions and programmes of government; the means available internally and externally to accomplish them; where, when and how they are to be accomplished; who is to benefit from them; and finally, it is a system that cause these intentions and programmes to be realized in real life.

A critical examination of this definition simply reveals that public administration is about marshalling of human and material resources in order to achieve the objectives of public policy. However a material resource is never enough to discharge the goal of development. This is why methods are being developed to moderate the use of techniques needed to achieve greater welfare and well-being for the people. This is where management

becomes relevant. Management is a word conceived to express the need for everyone in an organization to handle his or her affairs in the best possible way so as to achieve the desired result. Management can be defined as the process of working with and through human beings to achieve organizational objectives. Both administration and management are pivotal to the overall goals of development.

Public administrators are expected to moderate the comportment of the people and mobilize them to achieve social change and well-being in society. It is on this basis that the public administrators must be seen as pivotal to the new public management. To evolve a new public administration, government has put forward a number of reforms in the public sector dating back to the colonial days. Some of the recent ones include: Right sizing the sector and eliminating ghost workers; Restoration of professionalism of the public service; Rationalize, restructure and strengthen institutions; Privatize and liberalize the public sector; Tackle corruption and improve transparency and accountability in government's accounts and account of government joint venture companies; Reduce waste and improve efficiency of government expenditures; and enhance economic coordination (Olaopa, 2013:6; 2008:178). But the ills of the sector still linger. NPM since the 80's where applied has been more holistic and far reaching. It seeks to give the customers their rights and enthrone greater transparency and accountability.

There are several windows through which an issue could be examined, especially in the social and management sciences where perspectives often differ based on a scholar's orientation and worldview. It is in the light of the foregoing that we undertake this endeavour. When issues of public sector re-engineering are mentioned in contemporary times, the New Public Management (NPM) theory comes out forcefully. The New Public management theory which is one of several centres on the transition from traditional public administration theories to an arrangement that is workable, practicable and result oriented. It places emphasis on good governance, technological innovation and democratization. New Public management theory is a relentless effort in the direction of greater transparency and accountability in resource allocation and performance management through the quality of service (Pollitt and Bouckaert,, 2004:65).

New Public Management theory therefore, captures the basis of institutional and organization restructuring as an attempt to raise its performance and service by improving the quality of service delivery. According to Hood (in Pollitt and Bouckaert, 2004:66), it is result focused rather than the process of result. Public management theory

came up with different concepts for performance and service delivery principles to achieve it. Consequently, Hood identified the principles as accountability and transparency, efficiency and effectiveness; reduction of public sector (cost) expenditure; improvement in resource use through labour discipline; flexibility in decision making; competition in the public sector through decentralization and emphasis on result and not procedure (in Pollitt and Bouckaert, 2004:66).

Efficiency here refers to the relationship between output and input. According to Eneanya (2009:70), an efficient operation produces maximum output with minimum input for any given quantity and quality. Effectiveness refers to how well an activity is achieving its objectives or other intended effects. In the view of Spreigh (in Eneanya, 2009:7), "an organization is technically efficient if it is adequate to the demand on it". Adequacy here implies competence and capacity to deliver the public goods and services, that is, to attain goals. For example, an efficient policy may be ineffective because its activities, though efficient, are not sufficiently directed at goals and, therefore, not achieving such goals. Thus, efficiency is different from effectiveness. The former emphasises means while the latter emphasises the end of programmes (Igbokwe-Ibeto, Akhakpe, and Agboola, 2013:44). Cost, in this context, refers to attaining the appropriate quantity and quality of public goods and services at the lowest cost. An activity will not be economical if, for example, the cost of affording it is beyond the reach of common man or failure to purchase materials of requisite quantity at the lowest available cost. Galbraith (in Eneanya, 2009:70) argued that "we act efficiently when we maximise the product for the given expenditure which maximises the product". This means that we use resources economically in order to produce maximum results in real, not monetary terms (Igbokwe-Ibeto et al, 2013:44).

The main thrust of New Public Management literature is not with what to do but how to do it better. The emerging trend on client orientation and results-based accountability is encouraging public sector organizations to innovate in many parts of the world Nigeria inclusive. As a deviation from the principles of new public administration, the civil service abysmal performance in Nigeria can be viewed and understood as a carryover effect of this deviation.

All theories are born refuted, New Public Management theory not an exception. The exponents fail to recognize that the ecology of public administration varies and that culture of any given society can hinder or accelerate its growth and development. For example, in

Nigeria, because government is the largest employer of labour, even where and when there is no need for recruitment, government could embark on recruitment for political reasons.

Yet, serious criticism of the new public management is that they are against the precepts of democracy. It is argued that democracy requires bureaucracy. Democracy requires the rule of law, the legally sanctioned regulation of markets, the preservation of equity, and competent bureaucracies subject to control by statute and by judicial institutions. Weber viewed a system of bureaucratic rule in the modern state as inescapable. Bureaucracy and democracy go together and to move away from bureaucracy is to wish to set up a new system of government altogether. This is a big claim. Also, some management transplants from the West to Africa mostly lack enabling ethos and norms that make them functional.

Sinclair (1995:277), Day and Klein (1987) consider various accountability dimensions relevant to the public sector, but note formal lines of accountability are often blurred by public views and expectations on what constitutes good conduct and acceptable performance. The recent economic crisis in Greece, Italy, Spain etc where NPM is in practice is an evidence that all is not well with the model. It is along this line of thought that researchers such as O'Flynn (2007: 353) have started to look beyond NPM's framework and limitations, towards new and alternative paradigms such as public value – 'a way of thinking which is both post-bureaucratic and post-competitive' (Luke, Kearins, and Verreynne, 2008:4-5).

The uncritical adaptation of Western administrative theories and institutions has left their operators with little or no customary structures that supported traditional public administration systems (Mamdani, 2002). What is the nature and character of the old public administration prior to and during colonial rule? This we shall examine in the section that follows.

The Old Nigeria's Public Administration

Public administration as a study commenced with the works of German scholars whose emphasis was on the systematic management of governmental affairs but there was no effort to make it a unique study or academic discipline. However, the environment of corruption and general inefficiency of governmental affairs in the United State of America in the 19th century provided a fertile ground to subject public administration to theoretical and academic discussion aimed at coming up with principle and methods to improve the

administrative system. This search was given a big boost or gained momentum with the famous publication of Woodrow Wilson in 1887 titled "The Study of Administration". Thus, the origin of modern public administration is largely attributed to Woodrow Wilson. According to Basu (2003:13); and Adamolekun (1983:7), the seminar article of the American scholar (Wilson) is widely regarded as marking the beginning of academic discipline of public administration. Lending support to this assertion, Tonwe (1998:19) put it, "this essay and the discussion it generated was of unparalleled importance to the development of public administration as a distinct of study.

"Old" Public Administration is used here to refer to the administrative system prior to, and after the imposition of colonial administrative system in Nigeria. Before the advent of the British colonial administration, the various kingdoms, empires, etc. had their separate administrative/political systems that were either centralized or decentralized. But what we found interesting is the degree of inter-locking principles and procedures that allowed the rulers and the ruled to make valuable contributions to the peace, security and good governance of their societies. There were intricate mixes of authority with responsibility and service with accountability. This made the rulers to exercise their powers and authority within conventional limits. Their powers were not absolute though they seemed so on the surface. It was the freedom the people' enjoyed that allowed them to invest legitimacy on their rulers. The people's participation in governance were sought and cultivated. The people in appreciation of their recognition by their rulers gave their all for the growth and development of their respective communities.

However, the structure of power changed with the advent of colonialism. As a result of its imposed nature, the colonialists created administrative institutions that were not in line with indigenous system of administration. Those that had no relationship with the people were appointed to positions of authority and because they lacked acceptance by the people, they could not carry the people along without the use of force. As Mamdani (2002:63) has argued:

The chief is the law, subject to only one higher authority the white official stationed in his state as advisor. The chief hires his own police... he is often the persecutor and the judge combined and he employs the jailer to hold his victims (in custody at his pleasure). No oriental despot ever had greater power than these black

tyrants, thanks to the support which they receive from the white officials who greatly keep in the background.

This was the trend in most African societies under colonial rule. By the time the colonialist left in 1960, the colonial political legacies became too deeply rooted, to be swept aside by the emergent leaders. Diamond (1999) view is apt in this regard. To him, colonialism scarcely acknowledged (African) cultural traditional and indigenous political pre-dispositions. Thus colonial administrative practices restricted and even prevented the evolution of indigenous administrative systems. Therefore at independence, "rapid and wholesale Africanization" had negative impact on public administration because according to Dike (in Gboyega, 1992), poor organization, painlessness and overstaffing, indiscipline, red-tape and secrecy, apathy to work, incompetence and lousiness, corruption and favoritism, became the norm.

Many scholars blame this state of affairs on the borrowed system of administration, which run contrary to the African traditional administrative system. This point has been made forcefully by Goran-Hyden (in Amuwo, 1997:182) when he posits that in Africa, there is a robust and vibrant interpersonal informal relation that helped to make administration effective. In this context, people tend to identify with the occupant of an office rather than the office they occupy. What this produces is what Hyden calls economy of affection. According to him:

It denotes network of support... among structurally defined groups connected by blood, kin, community or other affinities such as religion. In this system a variety of discrete economic and social units, in other respect autonomous, were linked together.

The effect of all these is that, organization that is suppose to aim at achieving goals for the people becomes self-serving with administrators becoming a class in itself, uncontrollable and unresponsive to the yearnings and aspirations of the vast majority of Nigerians. Bureaucratic corruption has become the order of the day in the public sector. As Ake (1993) succinctly put it:

The public servants do not believe they are serving anybody else but themselves and exploit their position for personnel gain. They generally arrive work late and leave early. They take extra long lunch recesses.

They steal public property. They accept bribe for performance of duties that are contractually part of their responsibilities. When they work, they work slowly. They stymie the public by losing their files through excessive review of the issue at hand or by simply pretending that they have not heard of the matter before, for all of these, they acknowledge no wrong doing for they do not believe what they are doing is wrong.

Given this general dysfunctional state of public sector, it becomes necessary to bring a new lease of life to the sector. However, it would seem that all over the world public servants have developed a culture of their own that has proven difficult to undo. But efforts have not been lacking in the search for a modern, effective and efficient public sector management. The direction of this change is the subject of analysis in the section that follows.

New Public Management as Framework for Reinventing Nigeria's Public Sector

Public sector reinventions have become global preoccupations. Early in the 80's the government of Britain under Margret Thatcher carried out reforms in public sector. These were directed at ensuring the "three Es" i.e. Economy, Efficiency and Effectiveness in the public sector. To this, a fourth feature entrepreneurship could be added. However, the neo-liberal-market reform as it affects public sector is aimed at achieving the following recursive principles:

The pursuit of economy in administration; The projection of efficiency into the implementation of policy and routine functions of the public service; The use of performance indicators to measure effectiveness of officials in achieving their objectives; The promotion of entrepreneurial approach to management and administration through incentives like bonuses and performance payment and; a belief in the need to impose new kind of accountability in public sector management (Massey, 1993:30). In Africa, similar features of reinvention in public sector are being introduced. Some of these reinvention packages have been articulated by Adamolekun (1999:77) to include:

- Redefinition of the role of the state to that of creating the enabling environments for private sector activities to take place;

- The promotion of efficiency measures to enhance public management performances;
- Introduction of measures of enforcing accountability of the government to the governed through transparency, openness and citizen participation.

The Tenets of New Public Management

- Hands on professional management of public organization: Visible managers at the top of organizations free to manage by use of discretionary power. Justification: Accountability requires assignment of responsibility not diffusion of power;
- Explicit standards and measures of performance: Management by objectives (MBO) that is goals and targets defined and measurable as indicators of success. Justification: Accountability means clearly stated aims, efficiency requires "hard look" at objectives;
- Shift to decentralization or disaggregation of units in the public sector: Disaggregate public sector into corporatized units of activity, organized by products, with devolved budgets. Units dealing at arm's length with each other. Justification: Make units manageable, split provision and production, use contracts or franchises inside as well as outside the public sector;
- Greater emphasis on output control: Resource allocation and rewards are linked to performance. Justification: Need to stress results rather than procedures;
- Emphasis on private sector styles of management practice: Move away from traditional public ethics to a more flexible pay, hiring rules etc. Justification: Need to apply "proven" private sector management tools in the public sector;
- Paradigm shift to greater competition in the public sector: Move to contracting out/out sourcing public sector tendering procedures and introduction to market disciplines and customer oriented public sector. Justification: Rivalry via competition as the key to lower costs and better standards; and
- Greater discipline, economy, efficiency and effectiveness in the use of public resources: Cutting direct cost, raising labour discipline, limiting compliance cost

to business. Justification: Need to check and monitor the resource demands of the public sector and do more with less (Dibie, 2014; Hood, 1996:273)

In Nigeria the reinvention agenda of former President Obasanjo's civilian administration and current regime of Goodluck Jonathan encompasses all these with some of the most important ones being; privatization of public sector firms, monetization, due process, down-sizing, etc (NEEDS, 2005). But after more than twelve (12) years in the implementation of these reforms, what does the balance sheet shows? Perhaps, it may be premature to make an over-arching statement on the feasibility of these reforms agenda though; we agree that the process is gradually changing the face of public sector in Nigeria. However, there are certain hurdles that need to be cleared. What are these roadblocks? These are what we shall examine in the section that follows.

Factors Militating Against Effective Public Sector Reinvention in Nigeria

Some of the normative challenges facing the country's public sector are rooted in the very nature of society as they have evolved overtime. We shall at this point examine some of these constraints.

The pluralistic nature of the Nigerian society is one of the major handicaps towards effective performance of her public sector. The quality of human capital in any given organization to an extent determine the degree of success to be achieved, the adoption of federal character principle that compels government at all levels to ensure spread in the recruitment and appointment of personnel into public service has not helped the system. Although, this is not a bad provision in a federal state like Nigeria, but because of the paucity of quality candidates in some states of the federation, less qualified people are given position not suitable for them and in the final analysis; it is the public interest that suffers.

The level of economic crisis and its attendant poverty in Nigeria has made corruption an endemic phenomenon as well as a way of life in the public service. Bureaucratic and political corruption has arrested development in the country, thus, making public interest or service delivery second priority. Corruptions in the civic and primordial publics are view from different perspectives. People relate with the parallel public on the basis of morality because that is where they achieve essences and are identified as human beings (Akhakpe,

2014:159). He went further to argue that in Nigeria, unethical acts in the civic public realm rather than perceived as immoral are regarded as amoral. To steal from the public realm and use such money to benefit the primordial realm is seen as honorable and a worthy act. All these are the people's reactions against a state that is seen as an alien force meant to brutalize and exploit them rather than provide for their needs. Therefore, there is need to reform the "rogue" state in Africa.

Yet, another normative roadblock to NPM in Nigeria is the Western bureaucratic theories and models that are made to look universal, they are conceived on cultural values that are suited for the West. However, their introduction into Africa in general and Nigeria in particular fails to take cognizance of the ecology of Nigerian public administration and therefore have not yielded the same result as in America, Europe, Asia and Latin America. Africa has its own cultural values which are distinct from those of the developed countries. For example, while the Western bureaucratic theories demands that public administrators should be impersonal, discipline, achievement oriented and individualistic, African cultural values promote and encourage vibrant interpersonal, informal relationship build around group or communal interest. Therefore, leading to clash between public administrators and cultural values which invariably result into epileptic performance and service delivery of the public sector organizations. Adherence to traditional values is major obstacle to modern administrative principles/theories such NPM in Africa.

Also, lack of moral leadership and government insincerity about change is another major constraint towards reinventing Nigeria's public sector. Only peripheral reform has been made over the years Structural once is needed. Yet, the effect of poor orientation and attitudinal behaviour of public servants cannot be overemphasized. These needs to be changed for a more people friendly and development focused approach.

Training and development particularly in the public sector is hardly organized. Sometimes it is not focused on the needs of workers. Yet, most public sector workers abhor training and development where available. In addition, remuneration in the public sector is not competitive and motivating enough to encourage selflessness and committed service delivery to the nation. Only good remuneration package can attract quality hands to the public sector.

Furthermore, the neo-patrimonial nature of Nigerian societies has made it difficult if not impossible for public servants to discharge their responsibilities dispassionately. In carrying out their duties, particularistic considerations tend to mediate and clash with

public interest. Corroborating this assertion, Hyden (in Akhakpe, 2012:126) graphically posits, that the thesis of "economy of affection" makes public servants to see the state and its institutions as a distributive networking of rewards, awards and offices than as a productive and service delivery category.

Methodology

The study adopts both qualitative and quantitative research design and descriptive analysis to gain an insight into the nature and character of old public administration and new public management in Nigeria with specific reference to National Agency for Food, Drug Administration and Control (NAFDAC). The study which is theoretical in nature draws its argument basically from primary and secondary data which include questionnaire with five point Likert-scale method, observation, personal interview and focused group discussion were the major instruments used for collection of primary data while the secondary source include journal publications, textbooks and internet sources. To improve on the reliability and validity of the study, multiple secondary sources were used to minimize errors. The data collected were analysed and interpreted using the weighted mean and chi-square statistical tools for testing the hypotheses. The decision rule is that items with mean values of 3.00 and above were accepted and hence given a positive interpretation, whereas items with values less than 3.00 were rejected and given negative interpretation.

Population of the study comprised the estimated 200 staff of the National Agency for Food, Drug Administration and Control (NAFDAC) in Oshodi Lagos State Nigeria. Given the population of about 200 public servants from NAFDAC Lagos head office chosen for this study, the sample size using Yamani's (1967) formula for sample size determination was used.

Preliminary Analysis

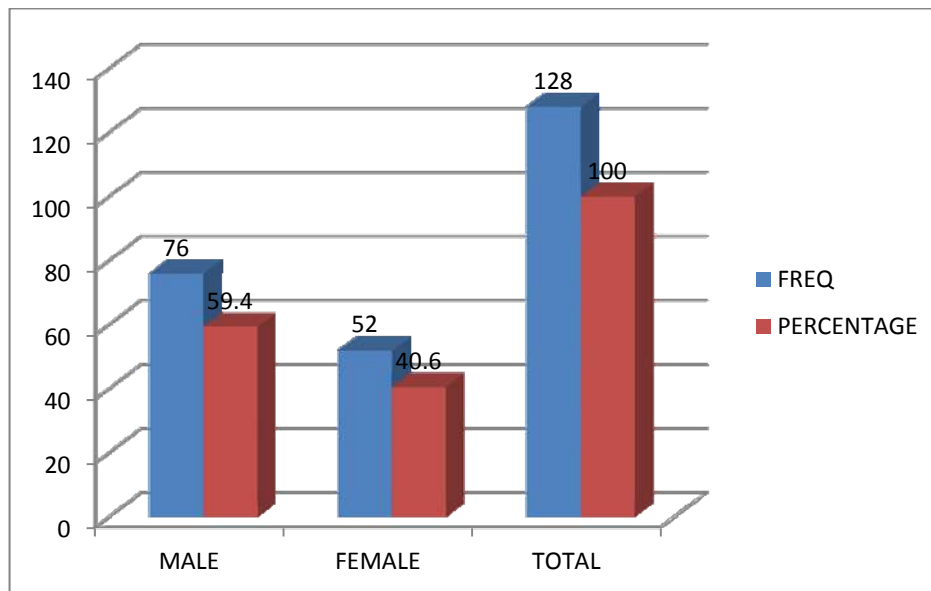
A total of 133 questionnaires of 11 items each were administered to the sample population and interviews also conducted. Out of the 133 distributed questionnaires, the researcher was able to achieve questionnaire return of 128 usable responses representing 96.2 percent while 5 were not returned. The researcher proceeded with the analysis of the data as 96.2 percent response rate is regarded as satisfactory for this study. Some rules of thumb about the response rate is that a response rate of 50

percent is adequate for analysis and reporting, 60 percent is good while 70 percent is very good (Babbie and Mouton, 2001).

Respondents' Characteristics and Classification

This section consists of the socio-demographical data of the respondents such as sex, age and official status; it contains three questions followed by the research questions based on the research objective.

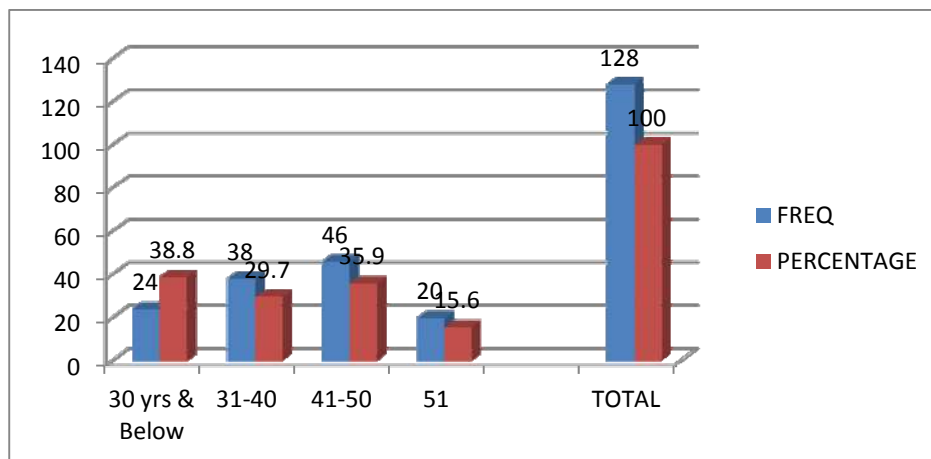
Figure 1: Bar Chart of Sex Distribution of Respondents



Source: Field Survey November, 2014

Analyses of the demographic data of respondents reveals that, 76 or 59.4 percent of surveyed respondents were males while 52 or 40.6 percent were females. This result shows that there are more males than females in the surveyed respondents.

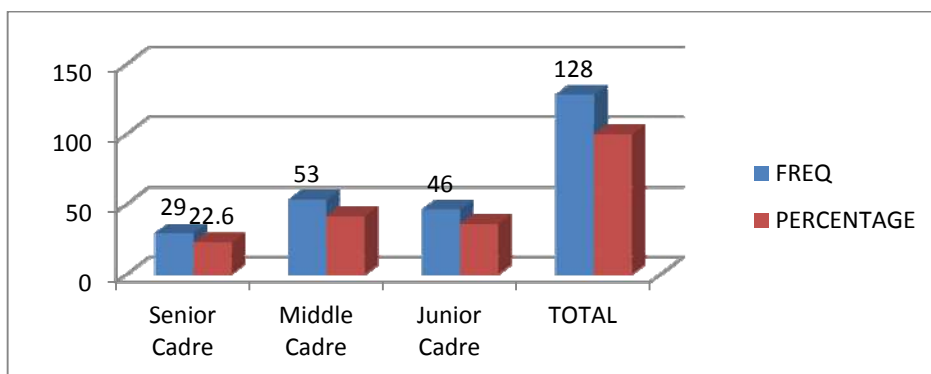
Figure 2: Bar Chart of Age Distribution of Respondents



Source: Field Survey November, 2014

The age distribution of the respondents shows that 24 or 18.8 percent were in the age bracket of 30 years and below, 38 or 29.7 percent were between ages 31-40; 46 or 35.9 percent falls in-between ages bracket of 41-50; while age 51 and above represent 20 or 15.6 percent. We could categorically clear state that majority of the surveyed respondents' falls between 31-50 years of age. This can be said to be an active work force in any given institution/organization.

Figure 3 Bar Chart of Official Status of Respondents



Source: Field Survey, November 2014

Official status of the polled respondents indicates that, 46 or 36.0 percent of them were within the junior cadre while 53 or 41.4 percent were middle cadre staffs with another 29 or 22.6 percent who were in the senior cadre. The merit of the application of the survey instrument is that, the questionnaire was distributed across the various cadres in the organization.

Question I: Does the application of New Public Management model in NAFDAC have any effect on organizational performance?

Table I: Views of Respondents' to Research Question One

S/N	Item	x	Decision
1	NPM has a positive effect on the organizational performance of NAFDAC because of professionalization of NAFDAC.	3.87	Accepted
2	NPM has a negative effect on the organizational performance of NAFDAC because of the paradigm shift.	2.26	Rejected
3	NPM has no effect on the reform, growth and development of NAFDAC	2.44	Rejected
4	NPM has a positive effect on the reform, growth and development of NAFDAC due to explicit standards and measures of performance	4.16	Accepted

Source: Field Survey November, 2014

A cursory look at the table II above shows that question items with mean value scores of 3.87 to 4.16 were accepted by the respondents while the question items with a mean value scores of 2.26 to 2.44 were rejected by the respondents. This means that the surveyed respondents (workers in NAFDAC) were of the view that the application of new public management theory in the organization has enhanced the agency's performance, growth and development.

Question II: Does the application of NPM in NAFDAC have any effect on service delivery?

Table II: Views of Respondents to Research Question Two

S/N	Item	X	Decision
5	With NPM, greater emphasis is now on output control, resource allocation and rewards are linked to performance and service delivery in NAFDAC	3.34	Accepted
6	Moving away from traditional public administration theory/ethics to a more flexible (NPM) pay, hiring rules have improve service delivery in NAFDAC	4.38	Accepted
7	Greater discipline, economy, efficiency and effectiveness in the use of public resources have enhanced service delivery in NAFDAC	4.44	Accepted
8	Introduction of market disciplines and customer oriented public sector have enhanced public service delivery in NAFDAC	3.82	Accepted

Source: Field Survey November, 2014

An analysis of the above table reveals that the whole question items were accepted by the respondents. This is represented by the mean value score of the items ranging from or 3.34 to 4.44. Thus, we can therefore conclude that the application new public management in NAFDAC have positively affected the agency's public service delivery.

Test of Hypotheses

Having presented, interpreted and analyzed the data collated with aid of weighted mean, it will be recalled that the study identified two hypotheses. We will at this juncture test them one after the other using person chi-square test of goodness of fit.

Hypothesis I

H₀: There is no significant relationship between the application of NPM model and organizational performance in NAFDAC.

H_1 : There is a significant relationship between application of NPM model and organizational performance in NAFDAC.

Observed Freq.

ITEM	SA	A	UN	D	SD	TOTAL
Q: 1	47	46	12	23	10	138
Q: 4	35	45	6	10	32	128
Total	82	91	18	33	42	266

Expected Freq.

CELL	O	E	(O-E)	(O-E) ²	$\Sigma(O-E)^2/E$
1	47	42.5414	4.46	19.9	0.47
2	46	47.2105	-1.21	1.47	0.03
3	12	9.33835	2.66	7.08	0.76
4	23	17.1203	5.88	34.6	2.02
5	10	21.7895	-11.8	139	6.38
6	35	39.459	-4.46	19.9	0.5
7	45	43.789	1.21	1.47	0.03
8	6	8.6617	-2.66	7.08	0.82
9	10	15.88	-5.88	34.6	2.18
10	32	20.211	11.8	139	6.88

20.06

Interpretation:

$$\text{Chi-square } (X^2c) = \sum \frac{(o-e)^2}{e}$$

$$X^2 = \underline{20.06}$$

The degree of freedom for Chi-square test of goodness is given as:

$$df = (n - 1)$$

Where df = degree of freedom

n = no responses.

$$df = 3 - 1$$

$$df = 2$$

At 2 df and assumed 5% (0.05) level of significance, the chi-square critical/tabulated value $X^2_{0.95} = 9.925$ (Chi-square statistical table).

Decision Criterion: If the chi-square calculated (X^2_c) is greater than the critical or tabulated value (X^2_t); reject the null hypothesis (H_0) and accept the alternative hypothesis (H_1) and then conclude that the research hypothesis is false.

Research Result: From the computation above, the chi-square calculated (X^2_c) is 20.06 while the chi-square tabulated (X^2_t) is 9.49. Thus, the chi-square calculated is higher than chi-square tabulated. On the basis of this, we can therefore reject the null hypothesis and accept the alternative hypothesis and conclude that there is a significant relationship between the application of new public management model and organizational performance in NAFDAC.

Hypothesis II

H_0 : There is no significant relationship between application of NPM model in NAFDAC and service delivery.

H_1 : There is a significant relationship between application of NPM model in NAFDAC and service delivery.

Observed Freq.

ITEM	SA	A	UN	D	SD	TOTAL
Q:7	36	57	12	13	10	128
Q:8	46	34	8	12	28	128
Total	82	91	20	25	38	256

Expected Freq.

CELL	O	E	(O-E)	(O-E) ²	$\sum(O-E)^2/E$
1	36	41	-5	25	0.61
2	57	45.5	11.5	132	2.91
3	12	10	2	4	0.4
4	13	12.5	0.5	0.25	0.02
5	10	19	-9	81	4.26

6	46	41	5	25	0.61
7	34	45.5	-11.5	132	2.91
8	8	10	-2	4	0.4
9	12	12.5	-0.5	0.25	0.02
10	28	19	9	81	4.26

16.4

Interpretation:

$$\text{Chi-square } (X^2c) = \sum \frac{(o-e)^2}{e}$$

$$X^2 = \underline{16.4}$$

The degree of freedom for Chi-square test of goodness is given as:

$$df = (n - 1)$$

Where df = degree of freedom

n = no responses.

$$df = 3 - 1$$

$$df = 2$$

At 2 df and assumed 5% (0.05) level of significance, the chi-square critical/tabulated value $X^2_{t0.95} = 9.925$ (Chi-square statistical table).

Decision Criterion: If the chi-square calculated (X^2c) is greater than the critical or tabulated value (X^2t); reject the null hypothesis (H_0) and accept the alternative hypothesis (H_1) and then conclude that the research hypothesis is false.

Research Result: From the computation above, the chi-square calculated (X^2c) is 16.4 while the chi-square tabulated (X^2t) is 9.49. Thus, the chi-square calculated is higher than chi-square tabulated. On the basis of this, we can therefore reject the null hypothesis and accept the alternative hypothesis and conclude that there is a significant relationship between application of new public management model in NAFDAC and public service delivery.

Discussion of the Findings

The study highlighted a number of issues which have varied implication for the attainment of goals and service delivery in NAFDAC on the one hand and the Nigerian public sector organizations in general. It is therefore imperative that we discuss some of the research findings. The study revealed that the application of NPM model in NAFDAC has enhanced the agency's performance, growth, development and service delivery. It was also found that the application of new public management model in NAFDAC have positively affected its public service delivery. This is also confirmed by the test of the two hypotheses that indicates that there is a significant relationship between the application of NPM model and organizational performance in NAFDAC. It also established that there is a significant relationship between the application of NPM model in NAFDAC and its service delivery.

Public sector performance is often regarded to be fundamental to delivery of improved services as part of NPM. Emphasis on public sector performance and service delivery is undoubtedly influenced by the basic assumption of NPM. This is rightly supported by Dixon (1998) who describes New Public Management models as a 'private sector prescription for public sector problems. NPM have therefore been seen as framework for public sector reform initiatives in developed and developing countries as the solution for to resolving declining service delivery especially in the developing countries (see for example Obong'o, 2009:66; Balogun, 2003:6)

Conclusion

The issue of reinventing Nigerian section has been espoused with an attempt at clarifying the intellectual "cobweb" surrounding the old public administration and the new public management. In addition, searchlight was also beamed on the theoretical framework for a better understanding of the concepts under interrogation. Thus, New Public Management (NPM) model has been examined as captured by scholars. An attempt has also been made to establish the nexus between old public administration and new public management.

We have seen from the analysis made that public sector have an important role to play in the development of any given society especially in the areas of bringing about social change from the traditional methods of doing things to the evolvement of modernity. The study therefore concludes that the new public management as a framework for reinventing the

Nigerian public sector cannot be overstated if the public sector is to deliver the public goods and services expected of it. However, while change is desirable, we feel there is need to exercise caution on account of the peculiar character of the Nigeria state and society. For some years to come, the public sector in the country will continue to play principal role in the economy and society until such a time when the private sector would have matured to take over from it.

In keeping with the global best practice, Nigeria has adopted the New Public Management models. While we welcome NPM, it is necessary to sound a note of caution so that we do not throw away the baby with the bath water. Hast must be done slowly. In the immediate years of the reform regime, there is need to strengthen the public sector institutions so as to properly lay the foundation of change that could be sustained. Unless this is done, there could be protest and unwillingness to embrace change by public servants who in any case has the wherewith-all to frustrate the process of change currently going on in the public sector.

Recommendations

No doubt public sector has a vital role to play in bringing about societal change in Nigeria. Public sector must compliment the role of other sectors particularly the private sector in the match to a better Nigeria. Some of these steps that may be undertaken are embedded in the challenges to public sector itself. Once they are resolved in the positive direction, the problems could be ameliorated if not nip on board.

Public sector in Nigeria would make an appreciable impact on the people if it is more innovative in its methods of meeting societal needs. The world today is dynamic and Nigeria public sector must move with the speed of time because for public sector organizations to cope, they must be well equipped with modern management techniques which can only be acquired through training and development.

The public interest should be put in the front burner and made the concern of the administrative arm of government. It must be responsive and responsible to the public. A better way to do this is to develop corporate social responsibility which will have as its goal the building of corporate citizenry. But to realize this lofty goal, the right caliber of public managers must be available in the public sector which is one of the tenets of NPM. Lending support to this assertion is the position of Achebe (1983) that the trouble with Nigeria is squarely that of leadership deficit. The public sector in Nigeria must bring forth

patriotic and professional managers to pilot affairs of government for there to be sustainable development in the country.

The socio-cultural setting of a country could contribute or hinder administrative efficiency and effectiveness if not well managed. However, in contemporary times, public administrators should know that their goals should be the pursuit of public interest and in doing this; they must put national interest over and above personal interest and primordial issues.

Under the neo-liberal market reform, it is required that the state and by implication the public sector be deemphasized while the private sector is expected to champion the process of social change in society. While it is true that the public sector has been wasteful and ineffective, in the context of Nigeria and indeed Africa's developmental needs, the public sector remain the engine room of growth and development. This is because in Nigeria, the private sector is still very young and dependent rather than autonomous of the public sector. Indeed, there is no private sector in Nigeria except that which feeds from the public sector. Therefore, Wamalwa (in Balogun, 1995:25) is right when he posits that "Nigeria cannot afford a drained and wobbly public sector especially since the private sector... itself is far from being an epitome of managerial vitality and efficiency."

Area of Further Research

It is instructive to note that though researchers in the Western countries have carried out researches in new public management theory as a framework for effective public sector efficiency and service delivery. However, it was observed in the course of our literature review that little research has been carried out in these areas in a non Western country like Nigeria. As a result of the quantitative nature of this study, similar analysis of reinventing the public sector in Nigeria from comparative perspective is imperative. Also, further research on the influence of ecology of Nigerian public administration on New Public Management is equally of great importance.

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Originality: Originality in this sense refers to the innovative and uniqueness of the academic and professional knowledge contributed by the authors in this journal. The author is required to contribute new and fresh ideas to the subject matter and look at the issues from a distinctive perspective.

Strength of Argument: Your main argument must be sound, based on well-developed and clearly presented supporting arguments, and meaningful conclusion. At the same time, you must remember that you are limited to between 6000 – 8000 words; thus your paper must argue its point and conclude within these limits.

Documentation: The strength of your argument and paper will also be determined according to the amount of research you have carried out and cite in your paper. Uncited statements and references to facts, statistics and other research are unacceptable according to international standards. Such information and material must be documented.

Revisions: Revise your article before you submit it, and then revise some more. It may be beneficial to have a qualified colleague read the article or to present the paper at a conference for input before it is submitted for consideration by the Journal to help the author deal with any areas of weakness before the article undergoes the formal review process. **Proofread! Proofread!! Proofread!!!**

PART B: Organization and Style

Organisation

The general structure of an academic article consists of three parts: an introduction, a body, and a conclusion. Authors are advised to organise their article based on a logical sequence of arguments. In the introduction, the author must outline the problem examined and the main argument related to the problem, the article's major purpose, and the relationship with theoretical or policy issues. To emphasize, stating main argument in the introduction is essential. In the body, the author must carry out his/her argument. Each supporting argument must be presented and clearly developed according to paragraphs and/or sections identifiable with section headings. Finally, in the conclusion the author must provide a summary of the paper, consider the larger theoretical and/or policy implications of the findings, and may offer suggestions for future research. The conclusion should not introduce new ideas or arguments, but stay relevant to the article and argument just presented. In general, the conclusion should not be more than 2-3 pages.

Style: There is general agreement about which writing styles make for a stronger academic article. Below are some guidelines for publications that might be helpful.

Usage: Write in a **positive** rather than a negative form. The positive is more straightforward, vigorous, and brief. For example, illegal is stronger than not legal.

Write in **clear and simple language**.

Avoid jargon whenever possible. Explain in the text or in a footnote terms or phrases which may be unique or highly specialized and that may be unknown to the well-informed generalist.

Abbreviations/Acronyms:

In the first instance, always spell out the full name or term and follow it with the abbreviation or acronym in parentheses. For all succeeding references, use the abbreviation or acronym alone. It is best to use abbreviations and acronyms sparingly to avoid confusion.

Omit periods in abbreviations (US, OECD, CTPL, WTO) and acronyms (NATO, NAFTA, UNICEF, UNCTAD) unless the meaning would otherwise be ambiguous (such as e.g., i.e. and no. [for number]).

Capitalization: Be judicious in the capitalization of entire words for emphasis; use them to help make the text clear. Too many can lead to tedious over emphasis and, visually, can distract from the text. Capitalize official and legal names and titles, but not subsequent references that are partial, inverted, or colloquial versions of the full form (e.g., Government of Canada, but Canadian government; Prime Minister Jean Chrétien but the prime minister).

In titles of books or articles, capitalize the first and last words and all nouns, pronouns, adjectives, verbs, adverbs, and subordinating conjunctions. Do not capitalize articles (a, an, the) unless part of a corporate name (e.g., The Globe and Mail), coordinating conjunctions (and, but, or, nor), subordinating conjunctions (if, as, before, after, when, where), or prepositions (in, at, by, of, off, out, to, up, for, on, under) unless they are the first or last word in a title.

Grammar and Spelling: Authors should check for grammatical errors, spelling and punctuation. Regardless of the language in which you submit your article, the paper should be as error free as possible. Articles with an unacceptable amount of errors will not be considered and automatically returned to authors.

Plagiarism: Proper endnotes and references are extremely important. Failure to acknowledge another writer's idea, quotes or findings in your article is considered plagiarism. In the simplest terms plagiarism can be defined as, the copying by one person of another person's work, in whole or in significant part without crediting the original source.

GUIDELINES AND REQUIREMENTS FOR SUBMISSION

Length and Abstract:

All articles should be accompanied by an abstract of between 150 and 250 words stating the main research problem, major findings and conclusion(s), with articles between 6,000 and 8,000 words.

Ethical considerations:

Authors are expected to reveal the source of any financial or research support received in connection with the preparation of their article. This should be included in the first endnote of the article. The author is responsible for understanding and following the principles that govern the 'fair use' of quotations and illustrations and for obtaining written permission to publish, where necessary. Accuracy in citations and references is also the author's responsibility.

All manuscripts submitted to the journal must not be in consideration or submitted for publication anywhere else, unless rejected by the Editor of The Public Service Delivery and Performance Review Journal.

Technical considerations:

Document file set in South African English, regular A4 paper. 1.5 spacing, Times New Roman 12pt. Margins 1inch Tables, figures and their corresponding captions submitted in a separate file. The main text should however indicate where these must be inserted. Except in special cases where prior permission has been obtained, articles should not exceed 8 000 words. Prospective contributors are specifically requested to ensure that the language and technical aspects of their contributions are of high standard. Since manuscripts are circulated anonymously for evaluation, the name and affiliation of the author(s) should appear on the separate page (see 'title page' below).

Reference: Only the Harvard style will be accepted for references.

E-mail copy: To speed up the review process, it is recommended that authors submit their papers by e-mail to APSDPR@ufh.ac.za as attachment file in Microsoft Word format.

Title page:

The author's full name and contact information (i.e. email address, telephone number and postal address) should appear only on the title page. The title page should be on a separate page from the main text of the article, but in the same document. The main text should begin with the title and abstract.

Endnote entries and Reference Style:

Only Harvard Style of Referencing is allowed. Contributors should submit a short Bio (institution, position, work or project area) and contact details (email and phone). All articles should be submitted as MS word Attachment by email to the contact below. Restrict endnotes to explanatory statements that develop an idea or expand a quotation.

See the following examples:

➤ **Books:**

1. Moore, D. and J. Campbell (Eds), 2008. Politics and Development, New York: Pringle Publishers, p40.

➤ **Journal articles:**

1. Smith, P.A., 1991. State Issues and development: Reviewing S.A Government Policy, State Affairs, vol 10, no 4, March 2008, p18.

➤ **Newspaper articles:**

1. Cronje, H., 2010. The year for change, The Sunday Times, 30 January 2010, p6.

➤ **Website articles:**

1. Kruger, G., 2003. The journey to a perfect democratic state Available at <http://www.skynews.com/currentaffairs/books/kruger.cfm>, [Accessed on 10 April 2003].

➤ **Government acts:**

1. Republic of South Africa, 1998. White Paper on Development. Pretoria: Government Printer, p20.

➤ **Unpublished reports or dissertations:**

1. Makura, B., 2009. The effects of corruption on service delivery in the Eastern Cape: A Case study of the Eastern Cape Provincial Government. Unpublished M.Admin dissertation, University of Fort Hare

➤ **Conference or workshop papers:**

1. Schoeman, L., 2010. The Public Servants Conference. Effective governance. June 21 2010. East London S.A: The Public Servants of South Africa.

➤ **The second time a source is mentioned, use the short form:**

1. Biza and Mthembu, 2007, p6.
2. Craython, 1998, p45.
3. Van der Walt *et al*, 2005, p55.

SOURCES FOR ARTICLES

Call for papers: A call for papers (CFP) is a method used in **academic** and other contexts for collecting book or journal articles or **conference** presentations. A CFP is sent to interested parties, describing the broad theme, the occasion for the call and other formalities such as what kind of **abstract** has to be submitted to whom and a **deadline**. Papers must be submitted using preferably an online service (email or website submission). This means you can write and submit a paper that may be selected to be published in the journal or presented at a conference. The call is usually for a paper dealing with a particular theme. Please make sure you follow the guidelines (page length, topic, etc).

Voluntary papers: Voluntary papers (VP) are papers that are accepted by the editor during the course of the year even without the sending out of a call for the papers. The papers are also required to be in line with the international standards and the guidelines set by the editor and reflected in this journal manual. This means you can write and submit a paper that may be selected to be published in the journal or presented at a conference.

SUBMISSION: Authors are required to submit their drafts of the papers that are written in-line with the guidelines cited in this manual. The authors are to submit a softcopy electronically via email to: APS DPR@ufh.ac.za.

POST-SUBMISSION: After submission, authors will receive an acknowledgement of receipt and subsequent response from the reviewer stating the status of the author's article reviewed. The responses may vary but are guided by the requirements and criteria reflected in the confidential referee's report.

