



the dr&pw

Department:
Roads and Public Works
NORTHERN CAPE PROVINCE
REPUBLIC OF SOUTH AFRICA

GUIDELINES FOR THE DEVELOPMENT OF DEPARTMENTAL POLICIES

Version 1

CONTENTS		PAGE
1.	Introduction	3
2.	Objectives of the Policy Development Guidelines	4
3.	Phases of Policy Development	4
4.	Roles of Departmental Stakeholders	9
5.	Structure of a Policy Document	10
6.	Specific Budgetary Responsibilities	12
7.	Monitoring and Evaluation of the Guidelines	13
8.	Review of Policy Development Guidelines	13
9.	Approval of Policy Development Guidelines	13
	Annexure A: Policy Template	14
	Annexure B: Example of memoranda for submission of policies to the Head of Department (HOD) for approval	24

1. INTRODUCTION

Policy documents can be submitted in the form of structured documents, while others may assume a memorandum or circular format. The structured policies themselves tend to follow different formats, depending on which elements various authors attach importance to in the generic framework of an institutional policy document, and also from which directorate / sub-directorate the draft policy comes from.

In addition, policy submissions do not indicate the critical steps that were followed by the various policy initiators in coming up with the draft policy, which is submitted to the Senior Management for approval. The institutional legitimacy of a policy cannot be guaranteed during the adoption stage. This has remained so precisely because policy development and management in the Department is not underpinned by common institutional values and principles. Putting a policy in place is viewed as an end in itself without due regard to the importance of issues of consultation, coordination, and stakeholder analysis and involvement in the formulation of departmental policies.

The above state of affairs remains one critical factor, which, *inter alia*, accounts for the existing climate of poor policy debate within management ranks and continues to perpetuate compartmentalization of departmental functions and general silos mentality. In the circumstances, policies are known only to those who initiated them – with others happening to know of the existence of policies when such are contravened. In this regard, necessity for the development of an institutional framework for the formulation and submission of directorates' policy proposals to the Head of Department (HOD) and / or the Member of the Executive Council (MEC) for approval has become inevitable to ensure an efficient and effective administration and good governance.

It should also be noted that these guidelines is based on the principles of continuous learning, in that the Department and the people who staff it shall continuously exploit the opportunities for growth, development and change by:

- constantly re-appraising work practices and behaviour and the values and assumptions that underpin them;
- building upon useful practices and discarding those that are not;
- being prepared to experiment with new ideas and practices; and
- learning from mistakes rather than attempting to conceal them.

It has become common practice in the South African Public Service that national legislative frameworks in the form of Acts and Regulations require Executing Authorities and or Heads of Department to put into place a set of policy guidelines on various management and administrative aspects which cannot be prescribed for them. How various departments do that has always been left entirely upon them, but with the understanding that their policy formulation and management processes may, in no way, conflict with the existing government policy framework, including the values and principles underpinning it.

On the other hand, Chapter 10, Section 195 of the Constitution of the Republic of South Africa Act, Act No. 108 of 1996, presents a set of values and principles that should govern public administration, and the most relevant to our topic being:

- People's needs must be responded to, and the public must be encouraged to participate in policy-making at a strategic level.
- Transparency must be fostered by providing the public with timely, accessible and accurate information.

Regarding the content of various departmental policies, guidelines in the form of Codes of Good Practice are issued out by various national ministries, indicating the main issues, which a responsive policy should cover. What is presented in this guideline, in particular, is therefore a generic framework of the policy development and management process in the Department.

2. OBJECTIVES OF THE POLICY DEVELOPMENT GUIDELINES

These guidelines intend to:

- promote uniformity of policy formulation and management processes in the Department;
- ensure better coordination and demarcation of policy roles and responsibilities within the departmental policy processes;
- improve the quality of departmental policy documents and thereby enhance the corporate image of the Department; and
- promote easy access and comprehension of departmental documents to departmental employees, stakeholders, clients and the general public.

These guidelines will therefore embrace the process, structure and functional issues and thereby provide an outline for a unified and effective policy development practice in the Department.

3. PHASES OF POLICY DEVELOPMENT

This section of the guidelines is intended for policy initiators to understand the various steps of the policy process they are in when managing the policy formulation and or review of departmental policies. (For a schematic layout of the process see page 8).

Phase 1: Agenda setting

1. Someone and or a unit identifies an issue as being important enough to demand a creation of a policy, guidelines standard operating procedure (SOP) or terms of reference (ToR).
2. The need to prioritize the policy issue is clarified with the principals (Senior Management) to ensure legitimacy of the process to follow.
3. A project leader is appointed to champion the policy / guidelines formulation process within the unit or directorate.
4. Preliminary research is conducted on the subject at hand through perusal of current legislation on the policy to be developed and bench-marking, for example.

Phase 2: Policy formulation and approval

1. A champion unit / directorate that is proposing a policy on a certain issue should form a policy working group to formulate a first draft policy.
2. The first draft of the policy must first be discussed within the champion unit / directorate and have gone through all the necessary committees (if applicable) before it is sent to the Policy and Research unit.
3. Documentation (e.g. legislation, bench marking) should be perused and discussed by the champion unit / directorate working group. In terms of the applicable legislation / regulations, the Directorate Legal Services should also be consulted.
4. The first policy draft should be developed and circulated for inputs with a due date, to the rest of the Department by the Policy and Research unit, via, and with the support of the Communication and Marketing unit, for departmental inputs.
5. After departmental inputs have been received, the Policy and Research unit should then develop a second draft of the policy.
6. The second policy draft should then, with due regard to the inputs received from the rest of the Department, be submitted by the Policy and Research unit to the Director: Strategic Planning Management, who, after obtaining a positive recommendation from the Chief Director: Corporate and Management Services, shall in turn recommend and submit the draft policy for approval by the Head of Department (HOD).
7. The draft policy submitted to the Head of Department (HOD) for consideration should be accompanied by the necessary evidence of consultation from departmental stakeholders.
8. A draft policy should be submitted to the honourable Member of the Executive Council (MEC) via the HOD for approval / non-approval if the MEC is required to approve such policy.

9. In the case of non-approval, a draft policy shall be referred back to the Department for reconsideration by the HOD, indicating the reasons for non-approval.

Phase 3: Policy implementation and monitoring

1. An approved policy should be communicated to all directorates, regions and units.
2. Depending on the nature of policies, training sessions should be organized by the champion unit for implementing directorates and stakeholders to ensure proper interpretation and effective implementation.
3. Approved policies should be incorporated in the training manual for induction of newly-appointed employees.
4. Departmental directorates should take note of the budgetary implications arising out of approved policies and consider these during budget and operational planning processes.
5. The policy championing directorate should design monitoring mechanisms to track progress during implementation and coordinate feedback on possible unintended consequences of the policy to the Monitoring and Evaluation unit as they emerge during implementation.

Phase 4: Policy review, monitoring and evaluation

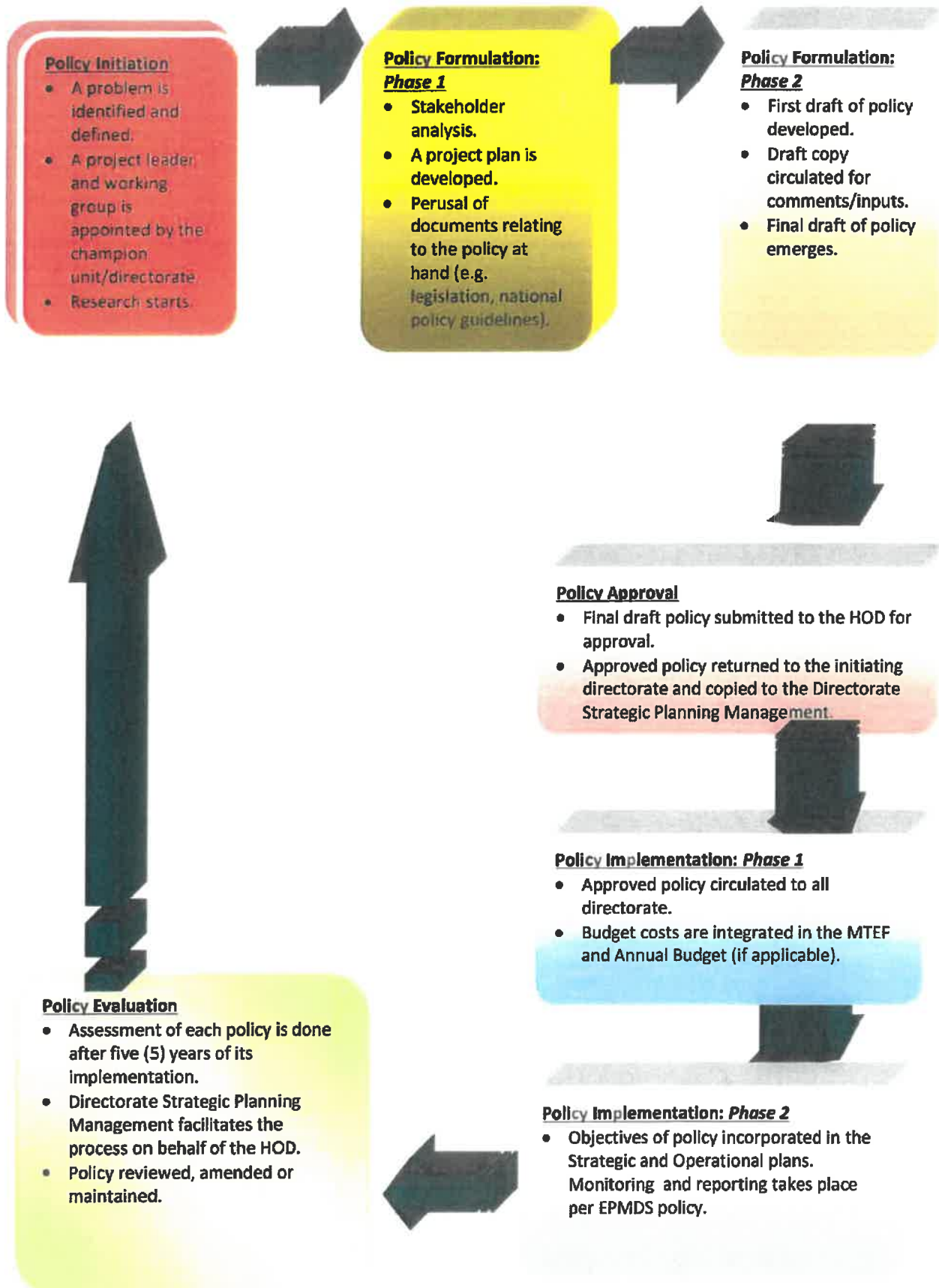
1. As a standard rule, departmental policies shall, after a period of five (5) years be reviewed.
2. Monitoring and Review seeks to examine policies from one or more of the following fronts:
 - ❖ **Impact:** to check if the desired results have been achieved; whether services emanating from the policy reached the targeted beneficiaries.
 - ❖ **Responsiveness:** to check the ability of the policy, as it stands, to address the initially identified problem.
 - ❖ **Fairness:** to check the extent to which the policy has satisfied expectations of those it is intended for.
 - ❖ **Applicability:** to determine whether the policy is still worth utilizing.

Phase 5: Post-policy evaluation actions

1. Listed hereunder are some of the options available to the Department after conducting an evaluation of its policy.
 - ❖ **Policy innovation:** create a new policy based on a new purpose or adjusted goal.

- ❖ Policy succession: replace the existing policy with a different policy while maintaining the old policy goal i.e. the goal shall be achieved by a new set of objectives based on new conditions.
 - ❖ Policy maintenance: adjusting, reviewing or amending the existing elements by considering pertinent issues of it.
 - ❖ Policy termination: the existing policy is abandoned as a whole (repeal).
2. In all or any of the above circumstances the champion directorates shall submit proposals, by way of official submission (see *Phase 2: Policy formulation and approval*), to Head of Department (HOD) for approval.
 3. It is only the MEC or HOD who grants approval for a new policy, reviewing or amending an existing policy or for a complete repeal of a departmental policy.
 4. The various directorates shall enter into communication with relevant stakeholders in any of the above circumstances.
 5. Policy evaluation is a specialized, time-consuming activity that may be conducted in-house or externally (outsourced). When this activity is outsourced, that should be done through, or in conjunction with the Directorate Strategic Planning Management, in which case a departmental official shall be seconded to the project to ensure a transfer of skills.

Diagramme 1: The Policy Making Process in the DR&PW - a schematic representation.



4. ROLES OF DEPARTMENTAL STAKEHOLDERS

To ensure proper management of the policy process in the Department, there are specific responsibilities that must be carried out by various individuals, offices and units as presented hereunder:

4.1 Employees

- Participate in policy formulation, review and evaluation activities.
- Advocate for the effective implementation of departmental policies.

4.2 Middle Management

- Participate in the policy formulation, review and evaluation activities.
- Advocate for the effective implementation of departmental policies.
- Facilitate meaningful participation by all employees in the policy making processes of the Department.
- Raise awareness and conduct ongoing education on approved policies.

4.3 Senior Management

- Initiate new policy proposals that are consistent with government objectives and integrate cluster priorities.
- Facilitate the review of existing policies.
- Manage the outsourced policy development and evaluation work and ensure adherence to departmental guidelines.
- Organize, integrate and coordinate resources for effective implementation of departmental policies.
- Champion policy development and advocate policy implementation and evaluation within the directorate.
- Monitor policy implementation and provide feedback to top management and the Senior Management committee on the implementation challenges and propose appropriate actions for the Department.

4.4 Directorate Strategic Planning Management

- Render a professional advisory support to various directorates' policy development, implementation and evaluation activities.
- Create and maintain a departmental policy database on behalf of the Head of Department (HOD).
- Coordinate the formulation of transversal departmental policies and monitor implementation and / or compliance thereto.

- Conduct policy research and advise management on developments within the government policy arena, local and international best practices in policy management to ensure organizational efficiency and effectiveness.
- Liaise with the Office of the Premier, the Economic and Infrastructure cluster, provincial and national Departments, institutions of Higher Learning, the private sector, non-governmental organizations and other organs of civil society on policy and strategic planning.

4.5 Directorate Legal Services

- Edit departmental policies, where applicable, for compliance before approval by the Head of Department (HOD).
- Render legal advice to the HOD and / or the Member of the Executive Council (MEC) in policy matters of the Department.

4.6 Head of Department (HOD)

- Ensure that the necessary policies that are aligned with the overall government policy and integrated with the cluster priorities are developed, implemented and evaluated in the Department.
- Organize, integrate and coordinate resources and systems for effective implementation of departmental policies.
- Provide guidance to programmes on the political context within which policies have to be implemented.
- Feedback to the Member of the Executive Council (MEC) on the implementation status of government policies, challenges and possible remedies.
- Assume the custodianship responsibility of departmental policies in terms of high quality decision-making information.
- Represent the Department's policy positions at inter-governmental fora and cluster levels.

5. STRUCTURE OF A POLICY DOCUMENT

The structure of an institutional policy document talks to the broad framework of the policy which generally entails the formulation of the problem, proposed solutions and outlines the strategy for implementation. Many policy researchers have agreed since time immemorial in that how the policy is structured in terms of the problem definition, policy options and implementation mechanisms has a direct bearing on the successful implementation of the policy.

A policy document must be able to sufficiently convey the message of the problem being addressed, actions prioritized, the targeted beneficiaries and the broad policy framework from which the policy at hand draws its mandate.

Presented hereunder is a generic structure of a departmental policy document. It should be prudent to indicate that this pro-forma is not presented as a blueprint for all departmental policies. Some elements of the pro-forma may be more necessary in some policies than in others. The pro-forma is also by no way exhaustive of key policy elements. Having said that, certain elements of the pro-forma are just unavoidable to ensure ease of comprehension, non-ambiguity and effective implementation and compliance with departmental policies.

Table 1: Structure of a Policy Document

SECTION	ELEMENT	DEFINITION
1	Definitions and Acronyms	Meaning of terms, concepts, and acronyms / abbreviations used throughout the policy document.
2	Introduction	A brief exposition of the policy problem and the context within which it exists. This should include a brief account of the processes preceding the emergence of the policy at hand.
3	Regulatory Framework	This section lists alphabetically sources of information (including acts, regulations – with section numbers if deemed appropriate), departmental, provincial and national strategy documents that impact on the development and implementation of this policy.
4	Policy Objective	A statement which indicates the new situation(s) that the policy seeks to achieve.
5	Principles, values / philosophy	The expression of values and principle framework underpinning the policy that needs to be understood in a similar way by all those implementing the policy.
6	Scope of Applicability	Indication of what work areas, staff categories, units and directorates are affected by the policy for implementation and impact. This includes both those who are bound by the policy and those it targets or stand to benefit.
7	Procedures	A broad description (step by step) on how to implement the policy.
8	Roles and responsibilities	Classification of role-players and or stakeholders targeted by the policy and a description of their roles and responsibilities.
9	Resource implications	Indication of what resources (financial, human, infrastructure etc) shall be required during implementation. This section is optional and would come in instances where the existing management planning processes have been unclear or are suspected of being ambiguous hence a policy demarcation must be made.

SECTION	ELEMENT	DEFINITION
10	Monitoring and evaluation	What mechanisms are there or should be put in place to ensure proper implementation or compliance to the policy?
11	Policy review	Indication of when or how frequently shall the policy be reviewed or what circumstances shall lead to a review and who shall coordinate the review process.
*NOTE	Continuous renewal	A policy guideline is a long-term document and for that reason it is likely to undergo a number of revisions into its content. Such revisions will be included in this section of the policy document so that the overall numbering of the policy is not affected.
*NOTE	What <u>NOT</u> to include	To ensure that policies remain current and do not need to be revised frequently, the following types of information should be avoided: personal names (position titles are acceptable); addresses or telephone numbers; specific costs or fees (if necessary, these should be published on a separate fee schedule); specific reporting relationships; topics covered by collective agreements; description of forms and approval processes appendices.

The *Table of Contents* page of the policy document should be preceded by a *Title Page*, which captures the:

- official name of the department;
- province where the department is located;
- provincial logo (insert);
- official title of the policy;
- version of the policy (in low font), as well as
- month and year of approval of the policy (in low font).

The last page of all policy documents should be the *Approval Page* and contains signatures of both the Head of Department and the Member of the Executive Council for the Department of Roads and Public Works, after checking by the Policy Coordination and the Legal Advisory Units (Refer to the Policy Template attached hereto for the correct ordering of signatures).

6. SPECIFIC BUDGETARY RESPONSIBILITIES (IF APPLICABLE)

All directorates shall be responsible for budgeting for the formulation, implementation, monitoring and evaluation of departmental policies related to their functions.

The Strategic Planning Management Directorate shall, during budget planning, provide for costs related to policy research, department-wide policy evaluation projects, formulation of transversal departmental policies and policy database management.

The Human Capital Management Directorate shall budget for capacity building programmes for managers, policy development and evaluation working groups and relevant functional units in various aspects of policy management and analysis. This shall include enhancing the research and development capacity of the Department through training interventions, study tours and formal research programmes pursued locally and internationally.

7. MONITORING AND EVALUATION OF THE GUIDELINES

The Monitoring and Evaluation unit shall, on behalf of the Head of Department, monitor and evaluate compliance and impact of these guidelines by all programmes and sub-programmes in the Department.

8. REVIEW OF POLICY DEVELOPMENT GUIDELINES

This policy is effective from the date of its approval.

This policy shall be reviewed in five (5) years from its effective date to determine its effectiveness and appropriateness. This policy may be reviewed before that time as necessary to reflect substantial organisational etc. changes at the Department or any change required by law.

Deviations from this policy must be approved by the Head of Department (HOD).

9. APPROVAL OF POLICY DEVELOPMENT GUIDELINES

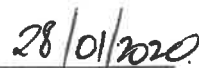
Approved / Not Approved

Comments:

.....
.....



HEAD OF DEPARTMENT



DATE

ANNEXURE A: Policy Template



the dr&pw

Department:
Roads and Public Works
NORTHERN CAPE PROVINCE
REPUBLIC OF SOUTH AFRICA

Departmental Policy:

[Name of Policy]

Version:

[Version number of policy, month and year of approval]

ANNEXURE A (Continued): Policy Template

Contents	Page
Foreword <i>[Optional]</i> .	X
1 Definitions and Acronyms	X
2 Introduction	X
3 Regulatory Framework	X
4 Policy Objective	
5 Principles, Values/Philosophy	X
6 Scope of Applicability.	X
7 Procedures	X
8 Roles and Responsibilities	X
9 Resource Implications <i>[if applicable]</i>	X
10 Monitoring and Evaluation	X
11 Policy Review	X
12 Recommendations & Approvals	X

Keep in mind:

Remember page numbers will change when it is an actual policy.

1 Definitions and Acronyms

This element provides a list of definitions of terms, concepts and acronyms to clarify the meaning of key words used in the policy document.

Guiding questions:

- Are there terms and/or concepts in the policy documents that need to be explained and/or clarified for adequate understanding for the reader?
- Which concepts should be included?

Keep in mind:

Commonly understood terms and broad terms, for example performance management should not be defined.

2 Introduction

The introduction section of the policy document should contain:

- a contextual **background** description of the policy, and;
- a **purpose** statement.

The **background** description of a policy explains the context and dimensions of the policy. Some history or background to the development of the policy should be included, along with an account of the partners involved in the development process. The policy development process is as important as the policy itself. The description of the policy development process provides decision makers and other key stakeholders the notion of the legitimacy, validity and relevance of the policy at hand. It describes the systematic, participatory, inclusive and transparent nature of policy development that is so crucial for effective policy management and impact.

Guiding questions:

- In what context has the policy been developed?
- Which issues have triggered the need for this policy?
- How has the policy been developed?
- Who originated the policy initiative?
- Which key stakeholders (management, unions, policy beneficiaries) were involved in the development process and how were they consulted (interviews, workshops, management meetings)?
- Was there a policy working group?

Keep in mind:

The account for the process can only be applied either when policies need to be customised to suit your Department conditions or when your Department is drafting its own policy.

- For general policies (for example, certain provincial HR policies) there may be no reason to customize policy content to your Department. As such policies are developed outside of your Department, you cannot account for the policy development process in the introduction element. In this case, you may mention that the policy is based on the provincial / national policy.

The **purpose** states why a policy has to be developed or modified. In other words, it is a statement of the problems and needs the policy seek to address. There may be a number of reasons.

Common reasons are:

- Basic needs are not being met (i.e. retired staff are not receiving their pensions).
- People are not treated fairly (i.e. staff with disabilities don't have access to office buildings).
- Resources are distributed unfairly (i.e. staff development is limited to those with higher grades).
- Current policies and laws are not effective.

Guiding questions:

- What are the underlying reasons for developing this policy?
- What current and/or future problems and needs is the policy there to address?
- Who will benefit from this policy?

Keep in mind:

The policy may address problems and needs that are specific (relevant) for the Department, whereby the policy needs to be customized to departmental conditions.

3 Regulatory Framework

List sources of information alphabetically, including Acts and Regulations (with section numbers, if appropriate), other policies, strategies, and other related documents.

Guiding question:

- Which regulatory documents (legal and administrative) are related to this policy?

Keep in mind:

When a departmental policy is based on a provincial policy (as is the case with Human Capital Management for example), the provincial policy should be listed in the regulatory framework for adequate reference.

4 Policy Objective

The objective statement indicates what the policy is set out to achieve. Policy objectives are there to provide a basis for decision-making and guidance for Departments to develop action plans to comply with policy.

Guiding questions:

- What is the policy there to achieve?
- How is the objective phrased? Is it specific enough to support decision-making and to guide actions?

Keep in mind:

There needs to be clear linkage between the problem/need identified in the purpose element and the objective statement.

The objective is there to address that problem/need.

Objectives "what" needs to be distinguished from actions "how".

5 Principles, Values & Philosophy

This element is an expression of values and principle framework underpinning the policy that needs to be understood in a similar way by all those implementing the policy. When there are no specific principles or values (these may be catered for in other documents – see below), this element may contain a standard text:

"This policy is intended to reflect the Department's commitment to the principles, goals and ideals described in the Department vision and core values."

Two critical principles highlighted in the national and provincial priorities are, for example, employment equity and HIV/AIDS. To ensure the visibility and mainstreaming of these two issues in departmental policies, such considerations need to be included in policy documents (where applicable).

Guiding questions:

- Are there specific values and principles that need to be highlighted in this particular policy?
- Are there commonly known principles (Batho Pele, Department vision, mission and core value statements) that apply also for this policy?
- How does this policy relate to principles around employment equity?
- How can this policy promote the principle of employment equity?
- How does this policy relate to the principles around HIV/AIDS?
- How can this policy promote the work of HIV/AIDS issues in our Department?

Keep in mind:

The advocacy on public service delivery principles, predominantly Batho Pele, has had considerable impact on the awareness and understanding of such principles amongst staff. This means that additional principles to guide policy implementation may be superfluous.

A policy should not be confined to its own principles when it is preventable. Instead, the policy should be simplified as much as possible to allow for broad application.

6 Scope of applicability

Indicates and clarifies what the policy covers (issue area and targeted directorates, work units, staff etc.), and who are bound by the policy or those the policy targets/stand to benefit.

Guiding questions:

- What issue area (work of specific directorates, staff categories) does the policy cover?
- Does the policy target specific staff categories or grades?
- Who stands to benefit from this policy?

Keep in mind:

If the scope of application of the policy is restricted, the scope needs to be described briefly.

7 Procedures

Procedures provide a *broad description* (step-by-step) of how the policy is to be implemented to guide targeted staff (work units, and directorates etc.) identified in the scope of applicability element.

Guiding questions:

- What are the implementation steps that can guide targeted staff to comply with this policy?
- Are procedures detailed adequately to guide implementation?
- Are procedures too detailed – for example, restricting those targeted by the policy to a specific, policy unique procedure? If so, are such procedures likely to change in the short or long term?
- How are policy procedures different from regular Department work procedures?
- Are there regular work procedures in place already in the targeted directorate, work unit etc. in which the policy procedures could be integrated (regular planning, budgeting, reporting, monitoring and evaluation etc.)?
- Are procedures listed in a chronological manner?

Keep in mind:

- The thumb rule is that since a policy is conceived as a long term document with broad application it is seldom revised. This rule works well when there are functioning policy management systems in place to receive policies.
- Considering that the definition and function of a policy is merely an expression of intent to improve departmental work practices, detailed implementation procedures should be avoided as much as possible.
- Complying with policy is ultimately the responsibility and accountability of management.
- If work procedures are too detailed, given the function of a policy, procedures are very likely to be revised frequently, necessitating continuous, unnecessary revision of the policy document itself and thereby hampering its implementation.
- When policy management systems are lacking, the thumb rule needs to be flexible application. This means that the decision to develop policy specific procedures and/or detailed procedures for policy depends on each individual case:
- If policy procedure as similar to existing regular work procedures in the Department and they work (*no detail*).
- When the policy is broad, describes an intention rather than required actions (*no detail*).
- When the policy has existed for awhile and has been integrated to available management structures (*no detail*).
- When the policy is new (for example, new application procedures, new standards), and/or there is a political will and interest to implement policy due to some urgent need (*more detail*).
- When the policy is small regulating a specific (new or emerging) problem (for example, the use of mobile phones) (*more detail*).
- Participatory and consultative policy development processes amongst stakeholders and those affected by the policy may provide indications on the level of detail needed for policy implementation procedures.
- Make sure that listed procedures are in line and sequenced against the responsibilities element. Avoid repetition.

8 Roles and Responsibilities

Describe the roles and responsibilities of those targeted by the policy.

Guiding questions:

- Who are responsible for implementing the policy (classification of staff categories, grades, etc.).
- What tasks are these role players expected to carry out?
- How do these role players relate to one another (reporting mechanisms etc.)?
- How do roles and responsibilities relate and align with the listed policy procedures?

Keep in mind:

- A policy may generate new organisations, interim committees, management systems, etc. The terms of reference (duties, expected outputs, etc.) for such new organisations need to be clarified in the policy.
- Make sure that responsibilities coincide with policy procedures. Avoid repetition.

9 Resource Implications (If Applicable)

The resource implications provide:

- (a) An indication of resource requirements for implementing the policy.
- (b) Highlight the need to integrate such resource requirements into departmental short and long term business planning.

Resource requirements can be divided into three categories:

9.1 Financial

This section could include specific budget items to consider.

When there are no specific resource implications that need to be highlighted under this element, resource implications can be expressed using a standard text:

“Targeted directorates shall be responsible for budgeting for the implementation, monitoring and evaluation of the policy. Senior managers must take note of cost implications of the approved policy that should be borne by the respective directorates.”

9.2 Human Resources

9.3 Infrastructure

Guiding questions

- Are there specific considerations management needs to make in annual planning for sufficient policy implementation means?
- Are there particular budget items that need to be included when budgeting for policy implementation?

Keep in mind:

- Whereas new, specific budget items stemming from policy implementation should be listed in all three categories of resources, cost estimates should not be mentioned (as these vary with time and would necessitate frequent revision of the policy document).
- All three types of resource requirements may not be applicable for all policies.
- For effective policy management, resource implications of policy implementation should constitute a part of departmental business planning as a rule of thumb. It is a management responsibility to ensure the allocation of sufficient resources.
- However, and as for procedures above, when such management mechanisms are missing/not functioning properly, the decision to elaborate on resource implications into a policy document depends on each individual case:
- When there is a new policy responding to some urgent needs and requires specific resource considerations.
- When there are specific budget items for policy implementation that may not be catered for in annual planning.

10 Monitoring & Evaluation

The monitoring and evaluation element describes the mechanisms that are there or should be put in place to monitor and evaluate implementation and compliance to the policy.

Guiding questions:

- What Department mechanisms are in place for monitoring and evaluating this policy?
- How can the tracking of this policy be integrated into such Department mechanisms?
- If there are no mechanisms, what need to be developed in order to track policy implementation?
- For this specific policy, what are important issues to monitor in implementation (for example, implementation process, communication of policy, timing, etc.)?
- For this specific policy, what are important aspects to evaluate in implementation (for example, efficiency and effectiveness of implementation process, impact, etc.)?

- How does the monitoring and evaluation mechanisms relate to the roles and responsibilities, as well as the resources allocated in the policy?

Keep in mind:

- Monitoring and evaluation of policy implementation (on process and impact) should strive at integrating mechanisms into prevalent departmental M&E systems. To ensure this integration is the responsibility of the management of the policy champion directorate.
- The evaluation of policy can be done in conjunction with the policy review (see below). Policy review is the result of an evaluation exercise.

11 Policy Review

Policy review is a policy management mechanism, which secures that policy is responsive to a changing policy environment and context. For effective management, the policy document should indicate when the policy would be reviewed. This can be done using a standard text:

"This policy shall be assessed in X years from its effective date to determine its effectiveness and appropriateness. This policy may be assessed before that time as necessary to reflect substantial organisational etc. changes at the Department or any change required by law."

Guiding questions:

- Are there specific issues that the policy needs to highlight for its review?
- How often should the policy be reviewed?

Keep in mind:

Policy review is about assessing the appropriateness of policy to ensure that it fits its policy environment.

ANNEXURE B: Example of memoranda for submission of policies to the Head of Department (HOD) for approval.



the dr&pw

Department:
 Roads and Public Works
 NORTHERN CAPE PROVINCE
 REPUBLIC OF SOUTH AFRICA

INTERNAL MEMO

DATE:	25 FEBRUARY 2020	REF. NO.	S5/2/6/2
TO:	THE HEAD OF DEPARTMENT (HOD)		
FROM:	THE DIRECTOR: STRATEGIC PLANNING MANAGEMENT		
COPY:	THE CHIEF DIRECTOR: CORPORATE AND MANAGEMENT SERVICES		
SUBJECT:	SUBMISSION FOR APPROVAL OF THE DEPARTMENTAL GUIDELINES ON POLICY DEVELOPMENT		

Purpose

1. The purpose of this submission is to obtain approval from the Head of Department (HOD) for the operationalization within the Department of the objectives of the departmental Guidelines on Policy Development.

Recommendations

1. The final draft of this policy has been circulated departmentally by the Communication and Marketing Unit.
2. It is therefore recommended that the HOD approve this policy as Departmental Policy.
3. Please see e-mail attached of the Evidence of Departmental Consultation.
4. Upon approval the policy shall be communicated to all offices of the Department for implementation and compliance, as such necessary resources shall be mobilized within the departmental budget for [include the applicable financial year] to give effect to the objective and intentions of this policy.

MS. B. BEKEBEKE
DIRECTOR: STRATEGIC PLANNING MANAGEMENT

DATE

MS. A. MPOTSANG
CHIEF DIRECTOR: CORPORATE AND MANAGEMENT SERVICES

DATE

MR. K. NOGWILI
HEAD OF DEPARTMENT

DATE