
Development of a Strategic Management Capacity for the Administration of the North-West Province, South Africa

September 1995

FINAL REPORT
Prepared for the Administration
of the North-West Province, South Africa
and USAID



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Overview of the Three Consultations and the Major Accomplishments

This activity was composed of three consultations provided to the North-West Province of South Africa by the IPC Project with funding from the USAID Africa Bureau and the Global Bureau's Center for Democracy and Governance. An overview of each follows:

I. Final Consultation Intended to Initiate Implementation of a Strategic Management Process for the North-West Province

The third and final consultation took place in the North-West Province from September 13 to 22, 1995, and was designed to build on the previous activities by conducting local capacity-building activities and a culminating workshop to acquire leadership input and agreement on a decentralized strategic management process for the province. During two workshops, the IPC team assembled a local facilitator group and assisted them in developing a strategic management process. The combined team then conducted a workshop for senior management to acquire agreement on the process and to initiate steps for department level implementation. The results of this final intervention are presented in a memorandum entitled *Results from the Final Consultation Intended to Initiate Implementation of a Strategic Management Process for the North-West Province, South Africa* which is included in this report under tab one.

II. IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of North-West Province

The second consultation took place between August 6 to 18, 1995, during which a three day seminar on strategic management tools was delivered to twenty-five members of the senior management of the North-West Province. This group included the heads of the ten provincial departments, one or more directors from most of these departments, six staff members from the Director General's (DG) office, and a director from the Public Service Commission. The assembled group essentially represented a "critical mass" of the provincial senior management. This same group was targeted during the final (third) phase of this activity. The results and evaluation of this seminar were presented in a memorandum entitled *Results from the IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of North-West Province* which is included in this report under tab two.

III. Pre-activity Needs Assessment and Planning Visit with the Senior Leadership of North-West Province

The first consultation occurred in July 1995 and was conducted as a preparatory assessment visit intended to inform the formulation of the whole consultative process. It also served to orient the consultant team to the specific provincial and departmental issues which would be relevant to conducting training on and implementation of strategic management in the

province. The results of this assessment visit were presented in a memorandum entitled *Summary of Results from the South Africa North-West Province Assessment Visit* which is included in this report under tab three.

Major Accomplishments

The integrated approach to these consultations and workshops produced several significant accomplishments for the government of the North-West Province. These are summarized below:

1. The elaboration of a draft strategic management process adapted to the needs and realities of the government of the North-West Province. This draft was analyzed, modified and accepted by an assembly of the senior provincial management.
2. Development of ownership and agreement of the NWP strategic management process with identification of support and monitoring functions for the Strategic Management Unit in the Directorate of Corporate Services in the Office of the Director General.
3. Development and agreement on work plans from each of the ten provincial departments for the implementation of the strategic management process with agreement on a culminating process to develop a provincial-level mission statement and set of strategic objectives.
4. Practical application of the strategic management tools by a critical mass of the provincial government.
5. Harmonization within the adopted NWP strategic management process of strategic objectives which focus on service delivery and internal organizational transformation objectives which support service delivery. The combination of these objectives represents a process for significant culture change with the government of the North-West and respond to policy imperatives outlined in the White Paper on the Transformation of the Public Service
6. Incorporation of customer service focus into the NWP strategic management process.
7. Creation and development of a core team of local facilitators who are trained in the strategic management tools and who were integral in the formulation of the NWP strategic management process. This team conducted the culminating workshop which developed agreement on the process among the senior leadership and produced departmental action plans for implementation. This group of facilitators are also departmental leaders who will provide assistance to the Strategic Management Unit as local process facilitators.
8. Development of specific next steps in implementing the NWP strategic management process by the Strategic Management Unit and the local facilitator team.

9. Determination of department progress to date on steps in implementing the NWP strategic management process with identification of specific needs for support and further implementation.

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MEMORANDUM

DATE: September 24, 1995

TO: Job Mokgoro, Director General, Administration of the North-West Province
Jan de Waal, Director of Corporate Services

FROM: Drew Lent, Janet Tuthill and Dumisani Mahlasela

RE: Results from the Final Consultation Intended to Initiate Implementation of a Strategic Management Process for the North-West Province, South Africa

REF: 1) Memoranda on Results from the IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of North-West Province (*under tab two*)
2) White Paper on the Transformation of the Civil Service (*under tab four*)

COPY: IPC: Dr. Ben Crosby and files
USAID/G/D&G: Pat Isman and Jeanne North
USAID/South Africa: Steve Brent, faarooq mangera and Faith Xulu

This report and its annexes presents the results of the last of three consultations by IPC consultants to the North-West Province of South Africa, during which two workshops were conducted to develop and initiate implementation of the strategic management process in the province.

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BACKGROUND AND PURPOSE OF THE ACTIVITY

This activity was the last of three consultations provided to the North-West Province by the IPC Project with funding from the USAID Africa Bureau and the Global Bureau's Center for Democracy and Governance. Key players in the development and implementation of this three phase intervention were the Director General, Mr. Job Mokgoro and the Director of Corporate Services in the DG's Office, Mr. Jan de Waal and his staff. This group is currently developing a strategic management unit which will assist in coordinating and supporting strategic management activities in the various departments as well as on the provincial-level.

The first consultation occurred in July 1995 and was conducted as a preparatory assessment visit intended to inform the formulation of the whole consultative process and to orient the consultant team to the specific provincial and departmental issues which would be relevant to conducting training on and implementation of strategic management in the province. The results of this assessment visit were presented in a memorandum entitled *Summary of Results from the South Africa North-West Province Assessment Visit* which is included in this report under tab three.

The second consultation took place between August 6 to 18, 1995, during which a three day seminar on strategic management tools was delivered to twenty-five members of the senior management of the North-West Province. This group included the heads of the ten provincial departments, one or more directors from most of these departments, six staff members from the Director General's (DG) office and a director from the Public Service Commission. The assembled group essentially represented a "critical mass" of the provincial senior management. This same group was targeted during the final (third) phase of this activity. The results and evaluation of this seminar were presented in a memorandum entitled *Results from the IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of North-West Province* which is included in this report under tab two.

The third consultation, the subject of this memorandum, took place in the province from September 13 to 22, 1995, and was designed to build on the previous activities by conducting local capacity-building and decision-making activities. As the Strategic Management Unit will not be in place until October or November, the IPC team identified an *ad hoc* local facilitator team composed of eight participants from the Strategic Management Tools Seminar. This team worked closely with the consultant team in developing and conducting a culminating workshop to acquire leadership input and agreement on a decentralized strategic management process for the province. During two workshops, the IPC team assembled a local facilitator group and assisted them in developing a strategic management process. The combined team then conducted a workshop for senior management to acquire agreement on the process and to initiate steps for department level implementation.

MODIFICATIONS TO THE PLAN OUTLINED DURING THE PREVIOUS CONSULTATION¹

The MSI team and Director General's office had agreed on a set of objectives for the next and final round of assistance after the "tooling" workshop held at Hunter's Rest in August 1995 (*see page 2-8 under tab two*). These tentative objectives focused on two events: a forum to be conducted with the Deputy Directors General (DDGs) and other Heads of Departments (HODs) to gain agreement on the implementation of the Departmental and Provincial strategic management process; and a "launch" event involving all Northwest Province management. These two workshop activities had as their objectives the orientation of the leaders to a change process, the selection of key issues for the process, and the development of a comprehensive set of next steps to move implementation along.

Upon consultation with each other at the beginning of the current intervention, the MSI team and the Strategic Management Unit of the Director General's Office quickly realized that an opportunity existed to move the process along more expeditiously by developing a draft strategic management process collaboratively with the facilitator team. The DDG Forum could then become an opportunity to fine tune the process and thereby develop ownership for it directly. At the same time, it was decided that the "launch" activity might be more effective if it were held somewhat later and if it was more closely tied to the actual progress on some of the early strategic management steps themselves rather than serving merely an explanation of the process. There was an opportunity to use both workshop events more proactively and therefore the team decided to adjust the plan.

The training of trainer's activity with the local facilitator team was developed as a drafting session for the strategic management process steps as well as a team planning workshop for the preparation of the DDGs and HODs Forum. The Forum became an opportunity to pilot test the strategy steps with those who will lead the implementation of it, make changes and adjustments, and allow each department to plan for implementation of the process with the input of the provincial senior management team. Instead of discussing how to manage change, it was decided to opt for some valuable practice in planning for it.

¹ Refer to page 8 of the Memorandum on the Results from the IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of North-West Province, South Africa, dated August 20, 1995. This memorandum is included under tab 2 of this report.

OBJECTIVES AND OUTCOMES FROM THE FACILITATOR TEAM PLANNING WORKSHOP: DEVELOPMENT OF THE NWP STRATEGIC MANAGEMENT PROCESS

Following is a brief summary of the outcomes from the facilitator team planning exercise that was conducted at Lowe in Mmabatho on September 14 and 15 (*an annotated agenda for this workshop is included in the annexes*). The stated objectives for this workshop were as follows:

1. Review customer orientation concepts and their applications to the transformation of the public service.
2. Develop a draft set of strategic management process steps for the NWP with the values in the White Paper and those of customer satisfaction.
3. Design the workshop objectives and session outlines for the DDG Forum
4. Gain insights on the basic principles and practice of effective facilitation.

The outcomes of the Lowe Workshop were as follows:

1. The facilitator team drew a draft strategic management process for the entire province which was presented to the larger forum of heads of departments.
2. Workshop objectives for the DDG forum were designed and an agenda was drawn up by the group.
3. A team plan was drawn with team roles clearly defined and expectations from each member clarified. This resulted in the fostering of a team spirit among the members of the team and a boost in confidence that the team could handle the task at hand.
4. The facilitator team also came out of Lowe with an appreciation for the need for service delivery as a major goal of the public service.
5. In a concrete way, the event symbolized the empowerment process and building of internal capacity in that the MSI team handed over the running of the DDG Forum to the local team of facilitators who will largely be responsible for driving the strategic management process in the province.

OBJECTIVES AND OUTCOMES FROM THE DDG FORUM IMPLEMENTATION WORKSHOP: IMPLEMENTATION OF THE NWP STRATEGIC MANAGEMENT PROCESS

Following is a brief summary of the outcomes from the DDG Forum Implementation Workshop that was conducted at Vaal Spa Resort outside of Christiana on September 19 and 20 (*an agenda for this workshop is included in the annexes*). The stated objectives for this workshop were as follows:

1. Finalize strategic management process and obtain ownership from DDGs and HODs.
2. Develop common understanding of process including customer satisfaction.
3. Draw up an implementation plan with deadlines, procedures, roles and responsibilities.
4. Identification of support needs for the strategic management process by the departments.

Strategic Management Process For The North-West Province

After discussing the draft strategic management process presented by the facilitator team, The DDG Forum agreed on these steps in the process:

1. Agreement to implement
(Present the process plan and other workshop conclusions to Exco)
2. Develop a draft mission statement and strategic objectives
 - 2.1 Distribute preparatory documents
 - PRITF documentation
 - National-level documentation, e.g., mission statements, etc
 - White Papers and other policy documents
 - Departmental objectives
 - Coopers & Lybrand study
 - 2.2 Revise and refine departmental mission statements and strategic objectives
(this draft informs the conduct of activities in step 3)
3. Conduct departmental level stakeholder analysis for each draft strategic objectives
 - 3.1 Identify stakeholders and customers
 - 3.2 Gather information on customer expectations (requirements)
 - 3.3 Engage stakeholders in SWOT for each strategic objective

Culminating Provincial Workshop

- 3.4 Further revise and refine departmental mission statements and strategic objectives (from step 2.2)
 - 3.5 Present departmental mission statements and strategic objectives at a provincial workshop and draft provincial-level statements and strategic objectives
4. Finalize Mission Statement and Strategic Objectives
 5. Identify internal organizational change objectives to support delivery on strategic objectives
 6. Develop strategy to implement delivery on strategic objectives
 - 6.1 ACTION PLAN: Who, what, when, how much?
 - 6.2 Performance indicators and evaluation plan
 7. Implement strategies
 8. Monitor progress on strategic objectives and internal change objectives

Departmental Action Planning for Implementation

Once the Strategic Management Process was reviewed and revised by the group, the attention turned to how to implement it. Each department was asked to respond to some specific questions in preparing the implementation of the agreed upon strategic management process. The departments were joined by representatives of the Public Service Commission and the Premier's and Director General's Offices in completing the exercise. The orienting questions for each departmental group were:

1. What does my department need to do to move the strategic management process along?
2. What parts of the process do we already have work available on?
3. What are our 5 or 6 priority actions for the next few months?
4. What kind of input do we need from the Province? From the other departments?
5. What kind of timetable for all the process steps would make sense for my department? Include dates. Who will be responsible?

After working in departmental teams, each group provided a 10 minute presentation. All departments except education were represented. PSC gave a report also as did the newly combined offices of the Premier and the Director General. The outcomes of these reports will be produced by the Strategic Management Unit into a draft set of implementation plans for further discussion with each department as the process begins. It was noteworthy that each department was able to come up with specific steps and actions very expeditiously and received positive support from their

assembled colleagues for their efforts as well as constructive suggestions. Nearly every department asked for two types of assistance from the Province. One was pressure from the DG in getting the PSC to quickly settle personnel appointments and the other was assistance from the Strategic Management Unit in facilitating workshops to implement the process. The departments' timetables ranged from three to seven months and reflected the differences in background and composition among the units as well as their perceived progress in strategic management functions.

Trainer Observations on Challenges in Implementing the Process

At the final session of the DDG Forum the IPC consultants were requested to make a few comments relative to results of the action planning session. The key points follow:

1. The tension continues to be demonstrated in the group reports on the importance of internal issues versus the focus on external (service delivery concerns). Many of the report-outs focused on personnel actions as priority. In certain cases this concern comes after the department has done considerable planning for service delivery, in other cases not. The facilitator noted that although it is difficult for morale when there are several people still in pending positions, the customers and customer expectations are not pending. Regardless of their internal travails the service rendered by each department will continue be judged by their constituencies.
2. In order to meet the needs of all the departments requesting assistance for workshop facilitation, the group will need to address ways of developing more local facilitation talent, such as in departments. This is part of the recommendations for future action.
3. The group will soon need some punctual assistance in setting basic standard for strategic objectives, indicators, etc. prior to finalizing the departmental and provincial plans. Failure to set some basic terminologies and standards has been a particular problem in other organizations that have run decentralized strategic management efforts.
4. Although they may not perceive it, this group is far ahead of many other public sector organizations even in the modest progress that they have made in the last three months. The Province can and should serve as an example for other provinces and therefore they need to develop simple ways in which their insights and progress can be communicated throughout the public service.

NEXT STEPS FOR ADVANCING THE STRATEGIC MANAGEMENT PROCESS

On September 22 the IPC team met with members of the facilitation team to:

1. reflect on the facilitation of the DDG Forum Implementation Workshop; and
 2. to determine specific next steps for the next four months.
-
1. In the first part of the planning session, the group discussed:
 - ▶ “lessons-learned” in formulating and presenting the process to the group and in the facilitation of the actual workshop;
 - ▶ anticipated difficulties in implementing it; and
 - ▶ identification of values that need to guide the implementation process

The following is a summary of responses to these topics by the local facilitation team.

“Lessons-learned” in Facilitation of the Vaal Spa Workshop

- ▶ It was fun... there was a sense of empowerment in conducting this event for our “superiors”
- ▶ Managing time in the workshop program is challenging
- ▶ Careful planning prior to the workshop is the key to success
- ▶ It is necessary to contemplate and anticipate process-related problems before they happen
- ▶ Tasking the small group work is very important and not necessarily easy

Difficulties in Implementing the NWP Strategic Management Process

- ▶ The need for departmental leadership to stay engaged... to lead the process
- ▶ We need to recognize and address that every player needs to know “What’s in it for me?”
Possible motivations could include
 - to please the DG
 - to get good personnel evaluations (the appraisal system needs to integrate implementation of the strategic management process as an evaluation parameter)
 - allows managers to predict problems in delivery systems
 - can help in focusing & motivating subordinates
 - can provide “results” information that can be used in PR with constituency (provided the indicators are things that customers really care about)
- ▶ The implementation of Step 3 and on of the process is unclear to many people in the group. They will need support in facilitation these session and in applying and using the techniques learned at the Strategic Management Tools Workshop.

Process Implementation Values:

The facilitation team articulated a set of values they thought would serve the implementation of the NWP strategic management process:

P Remember that we are here to make the new South Africa
A
R This includes normalisation of the SA society and the public service can model this.
T
I We need to assure accessibility.
C
I Transparency in our actions required - not just in our budget process.
P
A Accountability in the Public Service is a must.
T ↓ ↓ ↓
I Good and proper management in the administration is required for this.
O ↓ ↓ ↓
N Remember that good delivery of services needs to be at the base of all our activities.

Inclusiveness in the public service activities is a key value, esp. gender inclusiveness

We need the strategic management activities to achieve and assure representativeness of the different levels of the public service and civil society.

Dedication and commitment to the process on the part of the implementors will be necessary.

Facilitators need to MODEL these values in their work with the departmental groups.

Inclusion and “cascading” of the process requires the following effects:

- ▶ the need to get people at all levels INVOLVED
- ▶ need to INFORM people throughout the organization
- ▶ the necessity to avoid using the hierarchy to essentially control the activities occurring on lower levels

2. The second part of the meeting produced a plan of strategic management implementation activities for the next four months. The conclusions are presented in the next section.

Activities for the Next Four Months

starting in:

1. Each department has steps to implement (*as stated at the Action Planning session at the Vaal Spa workshop*)
Corporate Services needs to formally submit the Strategic Management Process Plan and provide facilitators to departments on request while they interact closely with the DDGs on the progress being made.

October
2. Conduct tooling exercises (*two or three Strategic Management Tools Workshops*) for all directors and above. These should be organized to include the complete management team of several departments at a time and should include representatives from organizations in the civil society. The DDGs would be expected to attend the course again to work with their management teams. Prior to conducting each workshop the facilitation team would assist in conducting needs assessment interviews to determine relevant issues for analysis in the small group sessions. A design modification should be made in the workshop to include a session on standards and practice in writing SOs and indicators and a session on the use of objective trees in planning for performance measurement during the strategic management process. These sessions would best follow the exercise on the development of organizational mission statements.

*November/
December*
3. Arrange facilitator training to further develop local capacity to implement the NWP strategic management process.

TRAINING FOR DEPARTMENT FACILITATORS

The candidates would be chosen from the above-mentioned workshop participants. The training curriculum should include facilitation methods and interventions as well as work on workshop design. The facilitators would also benefit from practical sessions on TQM exercises and techniques and applications in formulating SOs, indicators, and organizational development interventions.

ADVANCED TRAINING FOR STRATEGIC MANAGEMENT UNIT

Conduct advanced facilitator training for the Strategic Management Unit which would include performance measurement techniques, team-building methodologies and leadership and conflict resolution models

*December/
January*

4. Develop a workshop process to present the departmental Mission/SO and develop the provincial-level ones after Step 3 has been engaged by most departments.

February

**Program for a Workshop to occur after Step 3
(stakeholder and customer inquires)**

1. Each department presents their draft Mission Statement and SOs as well as a description of the process and findings from Step 3 of the NWP Strategic Management Process. After group review and discussion these can be finalized.
2. Based on this data, the group develops a provincial-level Mission Statement and set of SOs.

ANNEXES

Participant Lists

For the Facilitator Team Planning Workshop, September 14 - 15, 1995

1. Ben Weideman, CD, Public Works Department
2. David Ceruti, Manpower Development
3. Jan de Waal, Director of Corporate Services, DG's Office
4. Madoda Zibi, Director, DG's Office
5. Noah Booitjie Mokgethi, acting CD, Public Media, Arts and Culture Department
6. Nomama Kgantsi, Assistant Director, DG's Office
7. Rabeng Sophney Tshukudu, Director, Economic Affairs Department
8. Sello (Shoes) Thompson Mosweu, Director, Transport Department
9. Tshepiso Mphahlane, Premier's Office

For the DDG Forum Workshop on the Implementation of the NWP Strategic Management Process, September 19 - 20, 1995

1. Ben Weideman, CD, Public Works Department
2. Carl Anthony Mayeza, Director, Health and Development Social Welfare Department
3. Comfort Molokoane, DDG Public Works Department
4. David Ceruti, Manpower Development
5. Gerry Tube, Director, Agriculture Department
6. Gulam-Husien Mayet, DDG Education Department
7. James Maine, Transport Department
8. Jan de Waal, Director of Corporate Services, DG's Office
9. Johannes (Shelwood) Mojalefa Nale, Safety & Security Department
10. John Henry Baird, Agriculture Department
11. Manana Bakane-Tuoane, DDG Agriculture Department
12. Mmanong Caroline Ntoane, DDG Health and Development Social Welfare Department
13. Montshiwa Tlhale, DDG Economic Affairs Department
14. Noah Booitjie Mokgethi, acting CD, Public Media, Arts and Culture Department
15. Nomama Kgantsi, Assistant Director, DG's Office
16. Paul Daphney, CD, Office of the Premier
17. Petrus Johannes Gerber, Director, Public Service Commission
18. Phineas Tjie, DDG Finance Department
19. Pierre van Rooyen, Director for Environment (Agricultural Department)
20. Rabeng Sophney Tshukudu, Director, Economic Affairs Department
21. Samson Morake, Director, Public Media, Arts and Culture Department
22. Sello Thompson Mosweu, Director, Transport Department
23. Sherwell Shalo Rakhudu, CD, Local Government Department
24. Squire Mahlangu, acting CD, Public Service Commission
25. Tebogo Job Mokgoro, DG of the North-West Province
26. Tshepiso Mphahlane, Premier's Office

Annotated Agenda from the Facilitator Team Planning Workshop

Thursday, September 14, 1995

10:30 **Introductions** of each other (name, function at the NWP or in this activity, what strength he/she brings to this activity)

Presentation of the background and purpose of workshop.

Presentation of the **Workshop Objectives**, as follows:

1. Review customer orientation concepts and their applications to the transformation of the public service.
2. Develop a draft set of strategic management process steps for the NWP with the values in the White Paper and those of customer satisfaction.
3. Design the workshop objectives and session outlines for the DDG Forum
4. Gain insights on the basic principles and practice of effective facilitation.

Presentation of the workshop schedule and participant materials.

Participants' determination of workshop norms which included punctuality, the need to stay on the agenda, and informality.

11:00 **Introductory exercise:** On a piece of paper answer the following:

"The strategic management process that we are here to design will address the question, "Who are we and what are we here for?" What is your first draft of a response to this question?"

The responses were each read and the facilitator recorded the key concepts raised in each draft provincial mission statement. Seven of the eight responses raised the notion of quality service or serving the needs of the people of the NWP. This provided the justification for the discussion of customer service orientation as the primary issue in the transformation of the NWP government and therefore as the key parameter in the strategic management process.

11:30 **Customer Orientation Session**

- Situate the need for a cultural change as stated in the White paper references
- Review previously suggested process to implement the White Paper implementing culture change
- Discussion of world trends in customer focus in the public and private sector
- Review key concepts in TQM and the materials in notebook

Discussion of areas for improving customer service in the NWP

- 12:00 TQM Exercise “coffee stains”
Discussion of the difference in customer quality perceptions and the implication of this vis-a-viz the reforms raised in the White Paper
- 12:30 Lunch
- 13:30 **Developing the NWP Strategic Management Process**
Review the 9 steps and appendix in Tech. Note #1 (*from the Strategic Management Tools Participant Notebook*)
- 14:00 Two report out sessions were conducted to bring the group up to date with developments that had occurred since the Strategic Management Tools Workshop. For each the reporters were asked to address:

Report Out Questions:

- What are the main points that you learned?
How can it inform our development of the process?

The first report out addressed the interviews of all the NWP department heads conducted by the Directorate of Corporate Services. The issues follow below:

- ▶ Management positions are not yet filled in many departments (many of the leaders are working in “acting” capacity). Therefore these managers are uncertain of their future and find it hard to focus on strategic planning.
- ▶ How should managers develop a mission statement if they are only “acting” heads?
- ▶ Heads of departments (HODs) don’t understand where the politicians stand on issues
- ▶ Need for role clarification between line management and politicians and the DG (who some HODs perceive as being shoved around by the MECs)
- ▶ HODs look to the DG for direction, salvation
- ▶ Need for established objectives and continuity to avoid a scenario like what happened in the PRITT
- ▶ Relationships with National Departments are unclear
- ▶ Some departments are awaiting legislation to move on their agenda
- ▶ HODs want the Strategic Management Unit to be very involved in departmental deliberations, i.e., meetings and planning sessions. This includes having the unit play a coordination and facilitation role.
- ▶ Need for strategic management process with targets, dates, time frames
- ▶ HODs want “tooling” training for all departments and everyone from director level and above.
- ▶ Departments need trained facilitators in house to help in their strategic planning.
- ▶ HODs are unclear as to who is responsible for making strategic management policy
- ▶ NWP is leaving determination of important issues to outsiders, e.g., consumer protection policy
- ▶ PSC has policy control on transformational issues

- ▶ Standards of performance are important for the staff.... look at personnel appraisal systems. There is need for leadership's commitment on this.
- ▶ Need "normal" (conventional) management skills in addition to strategic management skills training

After the presentation the group analysed the list to determine that only a few issues were customer-oriented. Most of the issues were internally focused.

15:00 The second report-out addressed the results of the meeting of the National DGs on August 30 - 31, 1995, during which the group analyzed implementation issues in the White Paper on the Transformation of the Public Sector. These includes:

- ▶ Resources... budget doesn't support the change process
- ▶ Rationalization... need for strategic framework to inform it, i.e., service provision
- ▶ National versus Provincial PSCs roles and authorities
- ▶ Authorities of DGs
- ▶ Need of a "vision" for the White Paper
- ▶ How to communicate the White Paper to 1,200,000 South African public servants?
- ▶ Loss of skilled public servants from the past regime
- ▶ Section II of the White Paper (past legacy) is overly negative
- ▶ Relationship between key role-players, i.e., politicians versus administration as well as the role/involvement of the civil society
- ▶ Internal systems are inflexible and out-dated
- ▶ Implementation structures are needed such as quarterly feedback fora with the national DGs as well as with other stakeholders

After the presentation the group analyzed the list to determine again that only a very few issues were customer or service oriented.

15:30 Coffee break

16:00 Discussion of key principles in planning an adapted strategic management process. Topics discussed included: the relationship and relative importance of externally oriented versus internally oriented objectives, ways to ensure the process focuses on results and constituencies, ways to ensure that the process involves people at the lower levels of the administration.

16:45 Review of day's progress on the workshop objectives and review of Friday's program

17:00 End of day

Friday, September 15, 1995

8:30 Recap yesterday's session

9:00 Small group work on the NWP Strategic Management Process

The facilitator lead a discussion on the level and type of specificity needed in the proposed process. Several examples of steps were made. The group was divided into two groups of four participants and allowed to work on a proposal for the NWP strategic management process.

10:30 Coffee break

11:00 The groups reported out their processes and discussed the similarities and differences. The group synthesized the reports into one process which appears below:

DRAFT STRATEGIC MANAGEMENT PROCESS

1. Agreement to implement
2. Develop a draft mission statement and strategic objectives (*Question for the DDGs: Which should lead the provincial or departmental phases of this?*)
3. Conduct departmental level stakeholders analysis for each draft strategic objective
 - 3.1 Identify stakeholders and customers
 - 3.2 Gather information on customer expectations (requirements)
 - 3.3 Engage stakeholders in SWOT for each strategic objective
4. Finalize Mission Statement and Strategic Objectives
5. Identify internal organizational change objectives to support delivery on strategic objectives
6. Develop strategy to implement delivery on strategic objectives
 - 6.1 ACTION PLAN: Who, what, when, how much?
 - 6.2 Performance indicators and evaluation plan
7. Implement strategies
8. Monitor progress on strategic objectives and internal change objectives
(*Question for the DDGs: - Meet on department level every 30 days; - Meet on provincial level every ?? days*)

13:00 Lunch break

14:00 Develop outline and sequence of DDG Forum sessions, including objectives and outcomes
(*this program is provided later in this annex*)

15:45 Coffee break

16:00 Discussion of Team Roles: It was determined that the MSI team would play the role of process facilitators. The assembled facilitator group would team up to conduct each of the sessions. This approach would best promote the ownership of the strategic management program among the provincial leadership.

16:30 Assignment of sessions to local facilitators

17:00 End of planning session

Monday, September 18, 1995

The team met for three hours at the training site to walk through the detailed agenda and to finalize preparations for the conduct of the DDG Forum

**Agenda from the DDG Forum Implementation Workshop
September 19 and 20, 1995**

Tuesday 9/19

*persons
responsible*

8:30 Opening comments by the DG

8:40 Introductions and orientation to the workshop objectives and norms (30 mins) Sophney

9:20 Recap of Strategic Management Tools Workshop at Hunter's Rest (10 mins) Dumisani

Update of activities to date (HOD interviews, National DG meeting on 8/30&31) including importance of maintaining a customer service orientation (20 mins)

Noma & Ben

10:00 Present proposed Strategic Management Process for the NWP (60 mins) Tshepiso
(presentation in parts with questions for clarification) Dave
Shoes

10:30 *coffee break*

10:45 presentation of Strategic Management Process continued

11:15 Small group work (90 mins) - 4 groups of six participants Noah
Set up group task and report out

Questions for group analysis:

- Suggested timing and sequence of developing the provincial and departmental mission statements and strategic objectives (SOs).
- Are there steps that are unclear?
- How else can we involve our customers?
- What are realistic time frames for completion of the various steps?
- How and where in the process should we involve the politicians?
- What modification would the group make to ensure success of the process?

12:30 *lunch*

13:40 Group Work continued (20 mins)

14:00 Report out of small group work (10 mins X 4 groups) Ben & Tshepiso
Processing of group work and conclusions

15:30 *coffee break*

15:45 Conclusions on the NWP Strategic Management Process continued

16:30 Review of day's objectives
Overview of tomorrow's program Sophney

Wednesday 9/19

8:30 Recap of yesterday's main conclusions Shoes

8:40 Action Planning - Implementing the Strategic Management Process
Set up task Sophney, Ben & Jan

Group work in department units (90 mins)

10:15 *coffee break*

10:30 Departmental group report-out with questions/critique
(10 units X 5 minutes)

11:30 Processing:
- Commonalities among group reports for next steps
- Provincial-level conclusions/implications

12:15 Closing comments by the DG



“Coffee stains” Handout

As part of the recap at the beginning of the forum with the DDG's, the facilitator team recreated a small portion of the customer service discussion held at the team planning meeting. The facilitators presented a list of “coffee stains” that they had identified within their current work as an illustration of the kinds of pre-occupations the customers of the NWP might have in service delivery. These “coffee stains” represent things that lead the customer to construe what overall performance looks like based on a perspective of what is noticeable at first contact. The attached handout (*on the next page*) is the example which the team provided to stimulate group discussion.

STRATEGIC MANAGEMENT PLANNING

IMPLEMENTATION WORKSHOP

SESSION ON CUSTOMER SERVICE AND DELIVERY

PRESENTED BY: THE OFFICE OF THE DIRECTOR GENERAL & THE
DEPARTMENT OF PUBLIC WORKS & ROADS

1. Importance of the "customer" in the Public Service context.
2. Identification of the "customer" (External and Internal Scanning).
3. Is there a "bottom line" for the Public Service?
4. "A bad case of bad image" (Coffee Stains).
5. Seizing the opportunities afforded to the North West Provincial Government.
6. Should we not ask ...
 - (a) How many times does the phone ring? Does it ring at all?
 - (b) Does the fax machine work?
 - (c) Do we acknowledge receipt of a letter?
 - (d) Are we appropriately represented at important meetings?
 - (e) How long does it take to respond to a problem?
 - (f) Is my staff informed on important/strategic issues of my department?
 - (g) Do we know what our customers think of us?
 - (h) Do we practice "achievement auditing"?
 - (i) Do we really care what happens out there?
 - (j) Are we in touch with what is expected of us?
 - (k) Do we have a sense and spirit of duty and responsibility?
 - (l) Are we really motivated to do all this?
 - (m) Do we really have and understand our mission?
 - (n) Do we display visionary leadership?
 - (o) Are we reactive to customer demands or pro-actively anticipating and addressing their needs?
 - (p) Why did we chose to be public servants?
 - (q) Is my Department's delivery process visible?
 - (r) Are we continuously concerned about corruption, apathy or lethargy taking root in our Departments?
 - (s) Do we have an effective communication strategy?

DO NOT DESPAIR ...

"The mere fact that these "customer" issues are deemed important enough to be considered and evaluated at this level of management puts us at the cutting edge of Strategic Management Planning".

MR B WEIDEMAN
/kn
cd91

MS NORMA KGANTSI

Best Practices on Performance Measurement

Adapted by: Janet Tuthill and Molly Haegeboeck, MSI
for the Administration of North-West Province,
South Africa

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I. Current Practice in Performance Management Systems: Lessons from Experience

Around the world governments and development agencies are becoming more and more focused on how to present the results of their efforts. This performance measurement impetus seems to be a part of a greater commitment to quality service in both the public and private sectors.

1. Public Administration

The Government Performance and Results Act of August 1993, commits the U.S. government to the establishment of strategic planning and performance measurement systems with plans in place by September 30, 1997. The Act aims to improve decision-making for both Congress and Government, service delivery to citizens, program effectiveness and accountability. To begin implementation, a series of pilot projects were initiated throughout a variety of government agencies.

Preliminary results of the first round of pilot agency activities has yielded some conclusions:

- Program goals and objectives need to be negotiated with a wide range of stakeholders. The current system encourages each agency to develop their own without a government wide specific standard. This can be the cause of future confusion when objectives are compared across agencies.
- Performance goals need to represent realistic challenges beyond current performance.
- All the actors should be partners in implementation and interpretation of results.
- Terms used need to be clear to people outside the agency.
- Audiences for results need to be more clearly identified.
- Vision statements of specific agencies are often so broad that they do not provide an acceptable starting point to link strategy and mission thinking. Plans were criticized for being often divorced from senior management at a policy level. This was attributed to the fact that plans were often prepared at levels too low in the organization to reflect strategic thinking. The direct linkage between strategy and activities is crucial and this must reflect managements commitment to results. **There is no such thing as being too clear about what and agency is to do.**
- Agency leaders need to be motivated and the process must engage higher level executives in the decisions. Most existing statements are too general to be measurable as is and need interpretation and definition by key actors.
- Performance indicators chosen appear to measure activities at too low a level in the organization to show significant performance improvement.

- Measurement by itself is insufficient to bring about performance improvement. Performance must be analyzed against the improvement definition.
- A broader range of indicators may be needed to capture the performance changes. Levels of indicators (output and input) were often confused.

In an attempt to situate the U.S. government effort within the international context, the General Accounting Office of the U.S. government completed a study of the performance systems of the United Kingdom, Australia, New Zealand and Canada. The results were released in May 1995 and have some relevant points:

- Changing the culture of government to become results oriented was not an easy task. Managers needed to learn how to collect, report and use new information. Central management departments were called to provide guidance and review implementation.
- Performance measures worked best if they were derived from program objectives directly.
- Ability to influence achievement of the results was key to selection of performance measures.
- Program staff needed to play a role in designing the performance measures for their own programs.
- Reporting on a few key measures worked best.
- Qualitative as well as quantitative measures were needed to determine results.

The PRISM measurement program at USAID (Performance Information for Strategic Management) provides another current experiment to examine for relevant lessons. The program started in a selected set of regional programs in the late 1980s and became agency wide 1991. Several conclusions on progress to date are:

- Leadership support which is visible is essential. Both a mandate and resources should be clearly in view by the organization's members.
- Ownership is needed at all management levels in the organization.
- Program managers need to be involved in plans for how to use the results of analysis.
- Agency staff need training in performance measurement, not all are familiar with the elements or it use.
- At each management responsibility point there should be a focus on a few key results.

- Reporting intervals should be determined by the aspects of performance being measured. Some should be more frequent than others because they can be changed readily and are sensitive to other changes. Less sensitive program changes should be reported less frequently.
- Give the system time to get established. Several years to make it work is not unusual.
- Use less indicators and keep the system as simple as possible. Not all information is relevant. More is not better.
- Share responsibility for performance improvement throughout the organizations so that it remains organic and is not delegated to a measurement bureaucracy.

2. Performance Management Concepts

The dialogue on how to implement a performance reporting system can be advanced if the main elements of such a system are proposed for review and adjustment at the outset. In developing this paper care was taken to observe certain basic principles:

- Any system must be organic to the organization and not consist of disparate elements imported from elsewhere.
- Easily adopted methodologies should be proposed to avoid unnecessary experimentation and confusion. These methodologies should have already been tested and used elsewhere successfully.
- Elements of existing reporting and decision-making systems should be incorporated to the maximum extent.
- The likely resource requirements in time and budgetary costs should not be underestimated.

1. Key Concepts

The starting point for a program is a clear set of objectives. Objectives are the intended results of a program. Establishing objectives for programs is a strategic planning task. Strategic plans are used to define the **objectives or results** programs are expected to achieve. They also serve to establish a basis for judging program performance. Indicators, in turn, provide clear signals about whether programs are producing results.

A five step process can be used to clarify intentions with respect to a particular program and to establish the basis upon which that program's performance will be judged. This five step process is itself interactive. Each step helps to refine and further clarify initial ideas about what a program will achieve. They are:

1. Selecting a program focus;
2. Articulating program objectives as intended results;
3. Developing a logical, results-oriented program strategy;
4. Establishing performance indicators and targets; and
5. Affirming the program plan as a contract to produce results.

2. Selecting a Program Focus

Decisions on service delivery performance can encompass a range of factors. As strategies are articulated to be more measurable at the impact level, they require a set of characteristics which can govern the totality of the sets of activities being undertaken. The focus here is not on becoming a sum of all the parts, but rather to understand what will be the higher order and longer range program impacts.

3. Articulating Program Objectives as Intended Results

Organizations practicing strategic performance measurement have found the use of the **objective tree** beneficial in articulating the inter-related sets of objectives needed to focus strategic performance. The one presented here has the advantage of being easily grasped in a short period of time by most practitioners and being well-suited to collaborative decision-making and measurement. The Objective Tree translates choices about program focus into a logical plan for achieving results. It graphically displays the results a program is meant to achieve.

The tool has some basic features which make it useful for performance measurement:

- Its logical structure;
- Its ability to display causes and their results graphically;
- The way it helps program planners to examine alternative strategies and approaches in a systematic way;
- The way it encourages an examination of the uncertainty associated with a program design, i.e., the assumptions that must be made about factors outside the implementers' control;
- The efficiency with which it communicates program intentions; and
- The ease with which it can be modified.

The process of developing an Objective Tree involves two steps, which are themselves interactive, i.e., the development of a hierarchy of program objectives and the explicit identification of assumptions that could affect the achievement of those objectives.

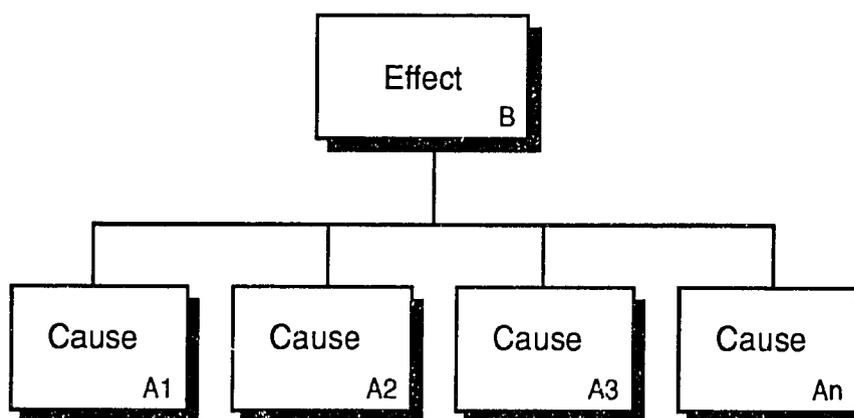
In an Objective Tree, objectives are displayed as a hierarchy. The highest level objective to which a program aspires is displayed at the top of an Objective Tree. Questions about how this important service delivery objective is to be achieved are used to define the preconditions, or means to this end. These preconditions are stated as intermediate objectives. As each level of intermediate objectives on an Objective Tree is defined, a new round questions is asked about how these results will be achieved.

Between any two levels of objectives an hypothesis exists which takes the form of an “if-then” statement. Elements at lower levels of an Objective Tree are hypothesized to be the causes which will bring about results at higher levels of the tree.

Then, the result sought at this level will occur.



If, all of the intermediate objectives at this level are achieved.



The strategic planning task involves deciding what set of intermediate objectives and supporting actions, if undertaken, will yield the results sought. Ideally, a program strategy and detailed plan will provide for those intermediate objectives, supporting actions and important assumptions that constitute the “necessary and sufficient” conditions to ensure that a program achieves its primary objective. The inclusion of the “necessary and sufficient” conditions for achieving a program objective are thought to be a minimum standard that all programs need to meet. This does not necessarily mean that the implementing agencies will finance all aspects of a program. For many programs, projects developed and funded by others in addition to government activities play an important role in ensuring that the “necessary and sufficient” conditions for program success are brought into being.

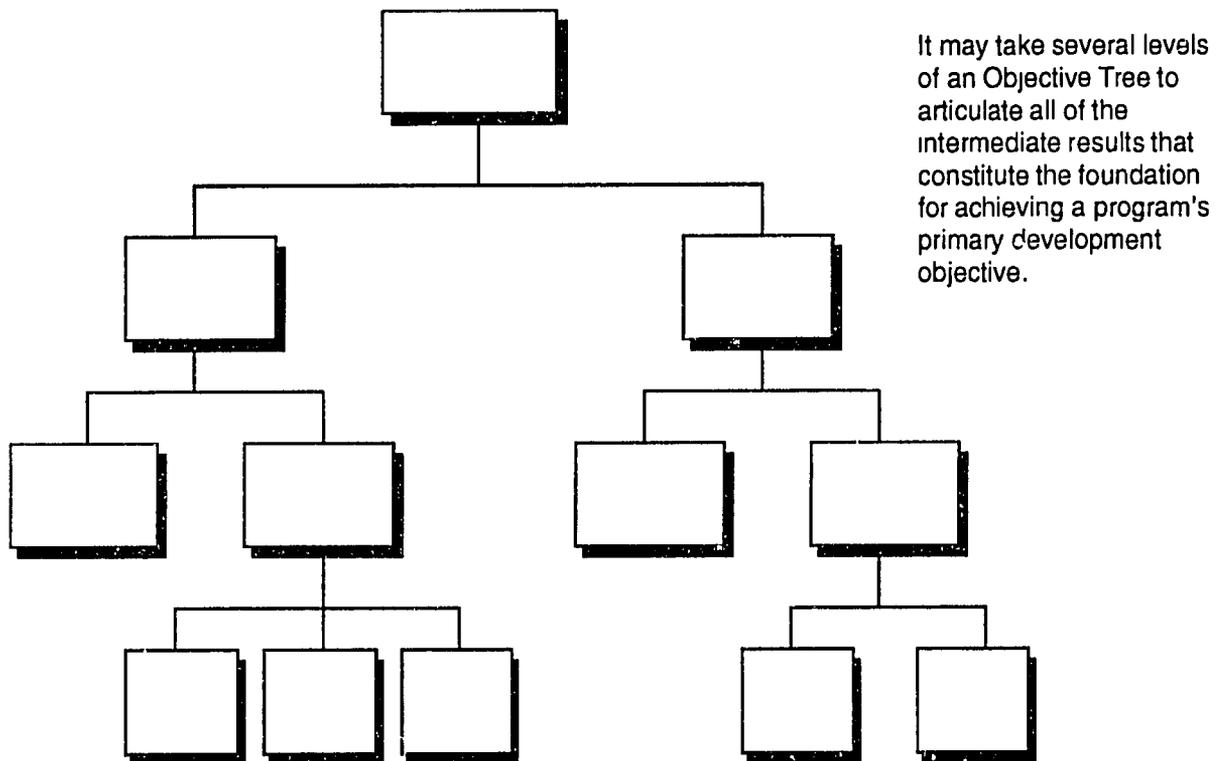
What this logic asks is whether we believe that:

- **If**, all of the results a program intends to produce are produced, and
 - All of the intermediate results that our partners intend to produce are produced, and
 - External factors that can affect the linkage between two levels on an Objective Tree act largely as it was assumed they would act,

- **Then**, the problem the agency and its partners set out to address will be considerably lessened if not eliminated, i.e., an important development objective will be achieved.

Simply put, the point is to determine that the “necessary and sufficient” conditions for the successful achievement of a program’s primary development objective are adequately reflected on the Objective Tree.

When operating units and their development partners use an Objective Tree to articulate the hierarchical, cause-and-effect logic of a program, they may use as many levels as it takes to fully explain how a program would bring about an important development objective. For complex programs, a number of levels may be required to fully develop the structure of intermediate objectives that must be achieved.



4. Developing a Logical Results-Oriented Program Strategy

In the process of developing an objective tree to describe a program, the process of participation by key decision-makers becomes crucial.

A group process for developing the elements of an Objective Tree takes time, more time than it would take an individual to generate such a tree. Among other things, the active participation of development partners in the creation of a program Objective Tree is more likely to ensure that alternative strategies and approaches are considered at every point in the process than is an after-the-fact review process. This can yield project level benefits as well.

- When participants with different experiences and points of view are party to the discussion of “how” a particular objective will be achieved, that discussion tends to be much richer than might otherwise be the case. Options which may not have been identified otherwise become part of the discussion.
- When the organization finds ways to productively involve program “clients” in the process for developing an Objective Tree, as informants or as full participants, opportunities can be created within that process which help program planners understand the differential manner in which certain strategies or approaches might affect specific sub-populations, e.g., women and men; rural and urban residents; members of particular ethnic groups or specific age groups; families living at different socio-economic levels, etc.
- A participatory process is also likely to make agency staff aware of the preferences customers have for specific strategies and solutions and, hopefully, the reasons that lie behind those preferences.

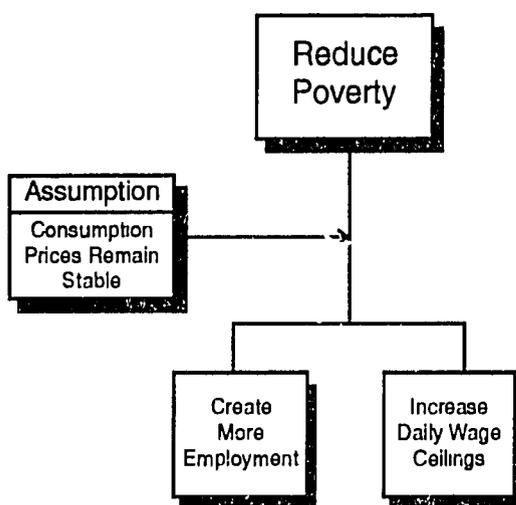
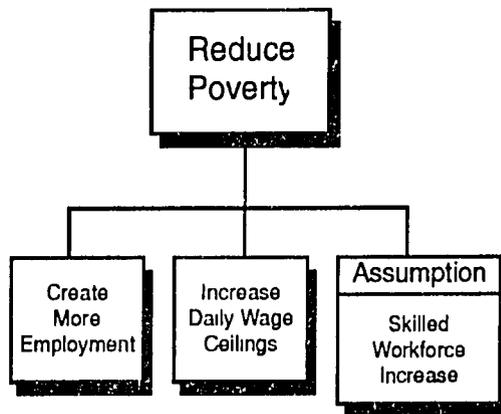
A critical element in the use of the objective tree is the careful definition of key assumptions related to program choices and likelihood of achieving objectives. Given the complex and interdependent sets of variables which influence results, the careful analysis of key assumptions is a key step in program performance definition.

There are two ways in which assumptions can be displayed on an Objective Tree. Assumptions about other agency or partner programs can be shown as logical elements in the structure of a program’s objectives and simply designated as assumptions. Other kinds of assumptions can be shown as elements which intervene between two levels of objectives.

While an implementing agency will normally be able to articulate the assumptions it is making, it may not be in a good position to estimate the probability that such assumptions are valid in a particular context. Proximity is at work here. Actors who are close to the action generally have a better sense of how outside forces might affect a program than do people who are not as familiar with the circumstances in which programs operate.

The uncertainty introduced by program assumptions, when combined with the experimental nature of many programs, makes development a fairly risky business. Risk, or the probability of failure, is one of the factors that affects a program's potential for achieving a sustainable impact.

Some assumptions can be treated as program elements



Others can be treated as factors that intervene between levels of program objectives

The important role that assumptions play in determining the “riskiness” of a program, i.e., its chances of not succeeding, underlies the value of having them identified as part of a strategic planning exercise.

The strategic objectives are used to explain the main focus of a strategy. They explain why a program is in place and what its main accomplishments will be. If we need to describe the program quickly, we can look at the strategic objectives as the *raison d'etre* for the program. Implementing agencies take responsibility for achieving these objectives in the medium term (5-10 years usually).

The intermediate level objectives are achievable during the medium term. They represent progress directly linked to project level activities. Their results must be directly attributable to the actions of the agency and its partners.

Activity level objectives are not shown on the objective tree for a program but can be readily seen as linking to the individual intermediate objectives. This is the test for the objective tree. It shows whether the strategy bears any reality to the programs operational components.

Depending on the nature of a particular program, a Strategic Objective may have a national focus, or a sub-national one. In impact terms it may affect all of the citizens in a country, or only one population sub-group. It is particularly important for operating units to be very specific about the scope of their Strategic Objectives.

The responsibility accepted for achieving a Strategic Objective is accepted on behalf of the entire operating unit. In order to achieve its Strategic Objectives, program directors and staff may need to play an active role, e.g., encouraging government, other agencies and partners to sustain their concentration and commitment to such objectives. In cause-and-effect terms, an operating unit should be able to establish a **plausible association** between its program and changes which occur at the level of a Strategic Objective.

The fact that operating units are considered to be responsible and accountable for the Strategic Objectives they select creates a productive tension. While one set of forces pushes an operating unit to reach to the top of their Objective Tree, other forces seek a lower level, where staff may be more confident of their ability to ensure results.

Operational units would hence need to undertake the task of selecting their Strategic Objectives after a reasonably complete Objective Tree has been developed. There is no reason to select a program's Strategic Objective before the elements that will support its achievement are defined in a reasonably clear way. The opportunity to study a reasonably well-developed Objective Tree provides operating unit with a sound basis for selecting its Strategic Objectives.

Key points in the role of indicators in program performance measurement are discussed next. It is worth noting again that indicators are developed only after there is agreement on the objectives to be evaluated and monitored. **Indicators alone are insufficient to measure performance results since the success standard is not present, only the interval of change to be tracked.** Without objectives, indicators become empty means of tracking results.

Objective Trees define a program's destination and outline one plausible way to reach that destination. Performance indicators, and the specific targets established in relation to those indicators, serve as the road signs for the journey.

From a performance management perspective, it is particularly important to establish such road signs for a program's Strategic Objectives and its intermediate objectives. These two elements

on an Objective Tree come closer than others to capturing the essence of a program's intentions and defining what is meant by success.

Information on performance at line levels on an Objective Tree is also important, especially for the operating unit that has day-to-day management responsibility for a program. Information about performance at lower levels on an Objective Tree can provide "early warning" signals to these managers, alerting them to any need to modify a program's inputs or tactics that may exist.

5. Establishing Performance Indicators

Reference to local situations are often observed by using what might be called "indicator shorthand," e.g., per capita and household income levels; mortality rates; yields per hectare or acre; birth weight; population growth rate or density per square mile or kilometer; grade level completed in school; distance to a clinic or major medical center; air quality index; balance of trade; and voter turnout. Such indicators tell us, across a wide performance spectrum, how society is faring across the board.

Technically speaking a performance indicator is a measurement concept for which a practical measurement procedure exists or can be devised. Ideas about performance can thus have precise meaning as a function of the numeric scales along which changes in temperature are recorded using simple devices that provide an accurate reading. **A performance indicator is not a target. It is the continuum along which targets are set.**

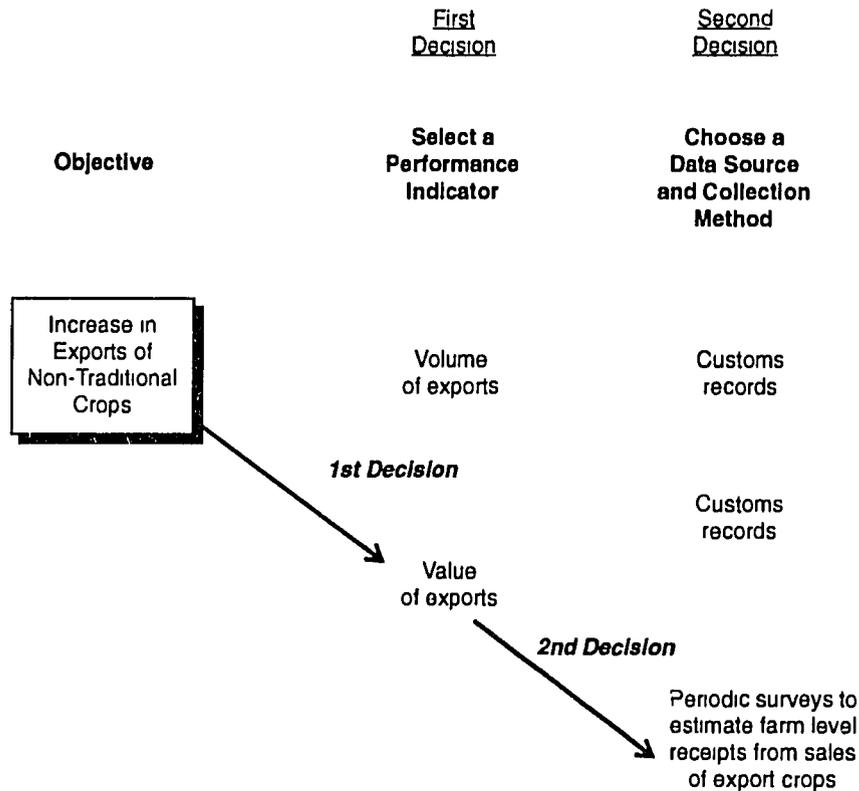
Quantitative indicators are used more frequently than qualitative indicators. Many of the changes that agencies are interested in measuring can be tracked using quantitative indicators, e.g., the health status of a population; the performance of a national economy; educational attainment levels, and many environmental conditions. However, indicators are not automatically useful just because they are quantitative.

Qualitative indicators are valuable because they can be used to measure dimensions of performance that quantitative measures do not easily detect. There are, for example, no obvious ways to measure concepts such as "capacity" or whether something is well-made, using only quantitative indicators. Yet such factors are often important.

For most objectives, it is possible to identify a number of plausible indicators of performance. A participatory process which generates a number of candidate indicators can be useful. It is not, however, a good idea to track every possible indicator for each Strategic Objective and intermediate objective just because they exist.

The data collection, storage and analysis requirements implied by lengthy lists of indicators are usually greater than these operating units anticipate. At the program level, the opportunities for "overbuilding" performance monitoring systems are even greater. Measurement as an end in itself does not contribute to good management.

Sample decisions for indicator selection



Program planners often find that they can generate a fairly long list of ways to measure performance. In selecting from among a list of candidate indicators, agencies and their partners need to be certain that the measures they select are as appropriate and useful as possible. The process for determining which of a number of candidate indicators is most appropriate, as well as the experience and judgement of those involved, can be a highly participatory one.

Decisions about performance indicators should always be considered tentative until their data collection implications are clearly understood. Alternative performance indicators can lead in the very different directions from a data collection perspective.

Choices about indicators lead in two general directions, i.e., toward existing or secondary data, such as customs records, or toward the collection of new primary data, e.g., surveys. Both kinds of data have a role to play in a performance measurement system. It is useful to note here that the process of performance measurement system development is incomplete without serious attention to data collection and analysis dimensions. This aspect will force re-examination of indicator choice and ultimately the focus of the individual objective itself.

Illustrative matrices for the development of performances indicators can be found attached.

TABLE 1: WORKSHEET FOR A PERFORMANCE MEASUREMENT PLAN FOR A STRATEGIC OBJECTIVE

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION		DATA REGULARLY AVAILABLE	ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE		SCHEDULE (BY REPORT)	RESPONSIBLE OFFICE
STRATEGIC OBJECTIVE 1:								
1.	Defintion. Unit:							
2.	Defintion: Unit.							
3.	Defintion: Unit:							
COMMENTS/NOTES								

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TABLE 2: DATA FOR STRATEGIC OBJECTIVE 1: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS
 (an illustration)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		EXPECTED AND ACTUAL RESULTS									
				1991		1992		1993		1994		1995	
		Year	Value	Actual	Actual	Exp'ed	Actual	Exp'ed	Actual	Exp'ed	Actual	Exp'ed	Actual
STRATEGIC OBJECTIVE 1													
1	Definition:												
	Unit:												
2	Definition:												
	Unit:												
Comments/Notes:													

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MEMORANDUM

DATE: August 20, 1995

TO: Job Mokgoro, Director General, Administration of the North-West Province
Jan de Waal, Director of Corporate Services

FROM: Drew Lent, Donald Spears and Dumisani Mahlasela

RE: Results from the IPC Executive Management Seminar in Strategic Management Tools for the Senior Leadership of the North-West Province, South Africa

REF: 1) Summary of Results from the South Africa North-West Province Assessment Visit
2) White Paper on the Transformation of the Civil Service
3) Report from the First Strategic Management Tools Seminar conducted in Madagascar in September 1992.

COPY: IPC: Dr. Ben Crosby and files
USAID/G/D&G: Pat Isman and Jeanne North
USAID/South Africa: Steve Brent, faarooq mangera and Faith Xulu

This memorandum and its annexes present the results of the second of three trips by IPC consultants to the North-West Province of South Africa, during which a three-day course on strategic management tools was conducted for the senior management. This is intended to provide the various client groups of this activity with an overview of the results and an identification of the next steps which will build on this activity during the month of September 1995.

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BACKGROUND AND PURPOSE OF THE ACTIVITY

As stated above, this activity was the second of three consultations provided to the North-West Province by the IPC Project with funding from the USAID Africa Bureau and the Global Bureau's Center for Democracy and Governance. The first consultation occurred in July 1995 and was conducted as a preparatory assessment visit intended to inform the formulation of the whole consultative process and to orient the consultant team to the specific provincial and departmental issues which would be relevant to conducting training on and implementation of strategic management in the province. The results of this assessment visit were presented in detail in Reference #1 (*Summary of Results from the South Africa North-West Province Assessment Visit*).

The second consultation and the subject of this memorandum, took place between August 6 to 18, 1995, during which a three day seminar on strategic management tools was delivered to twenty-five members of the senior management of the NWP (North-West Province). This group included the heads of the ten provincial departments, one or more directors from most of these departments, six staff members from the Director General's (DG) office, and one director from the Public Services Commission. The assembled group essentially represented a "critical mass" of the provincial senior management. The full management group, including everyone holding director positions or above constitutes a group of more than 60 professionals and this group will be targeted during the third and final phase of this intervention.

The third consultation is scheduled to take place in the province from September 13 to 26 and is designed to build on this subject activity with specific local capacity-building activities and a two-step process to acquire widespread awareness and leadership agreement on a decentralized strategic management process for the province (*described in Next Steps*).

The expressed purpose of conducting the Strategic Management Tools Seminar was to enable and equip the senior managers of the provincial administration and role-players within the Office of Corporate Services in the DG's office with a working capability in strategic management tools. The specific training objectives for the course and the three-day seminar schedule appear in the annex. This course was adapted from a practitioner's course developed by the IPC project to support the implementation of policy change activities in the various countries where IPC has been engaged around the world. The first pilot for this course was designed, developed and then conducted for delivery to the leadership of the environmental sector in Madagascar in 1992 and served as the model by which the IPC training team developed and conducted the North-West Province seminar.

Key players in the development and implementation of this three phase intervention are the Director General, Mr. Job Mokgoro, and the Director of Corporate Services in the DG's Office, Mr. Jan de Waal and his staff. This group is currently formulating a strategic management unit and three members of the Corporate Services staff attended this seminar. The strategic management unit will assist in coordinating and supporting strategic management activities in the various departments as well as on the provincial-level. Initially the unit will consist of five facilitators who have yet to be placed and trained. While the unit will not be fully in place during the third consultation, the IPC

team has identified an *ad hoc* local team composed of participants from the Strategic Management Tools Seminar who will work closely with the consultant team. To enhance the development of local capacity, the third phase of this intervention will include training in facilitation skills as well as training in change management.

PROFILE OF THE SEMINAR

Workshop rationale: To enable and equip the leadership within the NWP administration with strategic management tools.

Workshop dates: August 14 through 16 - participants traveled to the site on the evening of August 13 to start at 9:00 AM Monday morning.

Venue: Hunters' Rest in Rustenberg (two hours from Mmabatho)

Participant distribution by organization:

6	people from the Director General's Office, including the Director General, Chief Director, Director of Corporate Services, Assistant Director of Corporate Services, Communications Officer, Director of Policy Research
17	people the ten departments, ten HODs and a Director each from seven departments
1	person from the Premier's Office
1	person from the PSC
2	visiting part-time participants from SAFPUM
<hr/>	
27	participants total

Workshop agenda: The seminar program followed the workshop design developed for the first strategic management tools workshop in Madagascar. The specific strategic management tools included in the course are:

1. Formulation of organizational mission statements
2. Stakeholder analysis
3. Macro-political/environmental mapping techniques
4. Micro-political/environmental mapping techniques - network maps
5. SWOT analysis
6. Strategic issues/questions analysis

In addition, session was added in the third day on action-planning and development planning techniques (objective trees) to inform the group's drafting of logically focused action plans.

The "next steps" session was used to develop key principles for use of the tools and development of the strategic management process to be adopted in the province. This topic will be developed in depth during the third phase of the IPC consultation, culminating in a large group assembly of the

provincial leadership to review and gain agreement on a strategic management process that will be provincial and departmental in focus (decentralized).

Course content references: The White Paper for the Transformation of the Civil Service in South Africa. The seminar used this document as a focal point for the exercises and the White Paper was re-distributed to the participants at the seminar. The DG leads a national study group on the implementation of the policy. The provincial leadership is keenly interested in developing the implementation of specific areas of this policy paper even while the draft is being considered and debated on a national level.

Specific provincial issues dealt with during the proceedings: The following issues were selected from the White Paper based on the findings of the preliminary assessment visit. The seminar relies considerably on experiential small group exercises to train the participants in the intricacies of the strategic management tools. The work groups were asked to select issues from this list to serve as the subject of their analysis. Therefore, while learning the tools, the group also developed analyses on the application of these policy changes within their departments or the province as a whole.

1. Mobilizing for the upcoming local elections
 2. Implications of affirmative action for women in “X” department
 3. Rationalization in “X” line department.
 4. Implementing a performance appraisal system based on merit
 5. Changing the gender distribution in the leadership.
 6. Reducing the number of grades in the civil service - producing a “flatter” organization.
- The groups chose and developed analyses on issues number 2 through 5 and their report-outs were saved and typed by Corporate Services to be distributed to the participants as reference during possible implementation.

In addition, each department had the opportunity to develop a draft mission statement and a list of strategic issues. Several participants expressed their intention to take this information back to their departmental leadership for further analysis. In fact, prior to the third phase of this consultation the Health Department will have conducted a team-building retreat with assistance from IPC consultant Dumisani Mahlasela. Part of the program will include discussion of a mission statement and the development of priorities for the implementation of policy changes.

SEMINAR DESIGN MODIFICATIONS

Overall the actual flow of seminar activities followed the sequence and timing that was developed in the first IPC Strategic Management Tools seminar, which is reflected on the seminar schedule (*see reference 3 and the schedule page in the annex*). The team was able to start the first day at 9:0 AM and began the following days at 8:30 as planned. This allowed over six and a half hours of training per day.

The seminar design anticipates some difficulty in covering both political mapping techniques as well as network mapping following the stakeholder analysis report-out (day two). The team found that

is was necessary to simply present and discuss the network mapping topic in plenary, as was done in the first Madagascar seminar, without moving into a work team exercise. It was clear from the interactive discussion that introduced this session that the participants grasped the close connection between the networking tool and the macro-political mapping tool, the latter which received comprehensive treatment in an experiential exercise.

The design of day three was slightly modified to the extent that a half hour session was added just prior to the action planning session. That half hour provided an overview of key concepts which could be useful in operationalizing strategic changes. These concepts were drawn from core project planning materials and were included as a response to the apparent lack of awareness of the frequent need for multiple action converging toward a desired outcome. The assessment process carried out prior to the workshop revealed a tendency to assume a one-to-one linear relationship between problems and solutions. The group showed interest in further exploration of planning and design tools which might further enable them to create the necessary and sufficient conditions to bring about the strategic changes they had begun to identify.

EVALUATION SUMMARY

Following is a brief summary of the results of the final evaluation administered at the end of the seminar. The participants were asked to respond in writing to the following three questions:

1. Achievement of the seminar's three objectives
2. The usefulness of the course content to your job
3. Other comments

The participants' verbatim responses are included in the annexes of this report.

The facilitators conducted three evaluation sessions during the seminar and these included a final written evaluation. In each session the quality and applicability of the course was evaluated very positively by the group. As the reader will note from the verbatim responses to the final evaluation questions, the overall evaluation of the seminar was enthusiastically positive. A few quotes illustrate this conclusion,

“The course has brought with it new vigor, and motivation. All of a sudden, there is light at the end of the tunnel.”

“It was an eyeopener as problems/issues will be analyzed objectively, consultation made with various stakeholders”.

In general the participants judged that all of the seminar objectives were met although, there were several comments to the effect that the last two “tool sessions”, e.g., SWOT analysis and strategic issues identification, needed more time for some people to fully acquire the techniques. Given the

short, survey-nature of the seminar design, this degree of agreement on the achievement of the objectives signifies delivery of a highly successful event.

The most common issue raised in regard to the course was the duration. More than a third of the participants stated that the course should have been longer or that a follow-up workshop on these same objectives should be held in the future. This contrasts with the resistance that we encountered during the planning phase, when we more to extend the seminar schedule beyond noon of the third day.

Many people chose to comment on the value and application of each of the tools, showing their degree of appreciation for the content.

Three respondents asked for more training on the action-planning techniques which were presented during the last day on the workshop.

As for the applicability of the seminar, nearly every participant responded that the course would be directly useful to them in their job, and more than half gave examples of direct applications. In this vein one respondent wrote,

“Given the opportunity to apply the techniques acquired during the seminar, one could coordinate the activities of the NW government departments very effectively”.

Another stated,

“The course content is very relevant to my job and I intend to use the tools to the maximum”.

Approximately a third of the respondents expressed the desire that this course be provided to the next layer (mid-level management) of the administration.

Six respondents went out of their way to make comments about the quality of the presentation and the skill of the facilitators. One quote follows:

“Presenters were practical in their presentation, very friendly thereby making it easier to understand.”

Finally as noted in Training Team Observations of this report, many people commented early on in the seminar how much they valued the opportunity to come together as a management group and to experience this as a team-building as well as a “tooling” exercise. This sentiment was expressed in the final evaluations, illustrated by the following quotation,

“We spent a lot of time together, tried to understand one another’s issues and this helped the process of provincial team-building. This was not part of the formal aim of the course but was the most valuable aspect to me.”

TRAINING TEAM OBSERVATIONS

The dynamics of the training group were highly compatible with experiential learning techniques. This was evidenced early in the workshop by the serious consideration given to the introductory exercise during which individual participants identified seminar success factors (expectations) as well as the numerous suggestions made during the discussion of the workshop norms. Even though a broad range of experience and skill levels were represented in this ethnically and racially diverse group, it was clear that a broad interest in developing teamwork prevailed. As might be expected, the early work group reports were handled by the more experienced senior members of the team. By day two several more reticent members of the teams were encouraged by their colleagues to represent their groups in plenary.

We also noticed a significant shift in the level of interaction with the training team as the workshop progressed. During the first half of day one we noticed that participants would respond readily to direct requests or assignments but maintained a passive profile during some of the presentations intended for interactive dialogue. This changed by the afternoon of that day after all three of the training team had interacted directly with the group and modelled supportive interaction with each other. This easy adaptation to the interactive approach to learning suggests that the methodology used in the seminar has not been customary in the North-West Province and, more importantly, it has the potential to be most effective in other forums in which members of this highly motivated group interact.

The training team also found the participant group to be highly cooperative in attending to the tasks assigned in the work groups and in respect to the overall schedule of the workshop. There was a genuine sense of gratitude for the learning opportunity that the seminar provided which was expressed both directly and indirectly throughout the event. The generally high intellectual level of the group was indicated by their ability to easily relate the strategic management tools to the real issues in the province and through an expressed appreciation for the "elegance of the simplicity of the tools" (*stated by the Director General during the proceedings*).

NEXT STEPS

The day after the seminar the training team met with the staff from the Directorate of Corporate Service to plan the third phase of this consultation. In addition to the Corporate Services staff, the meeting was attended by a member of the provincial PSC training division and Mr. David Ceruti, from Manpower Development serving as an internal consultant to the DG on organizational development. Mr. Ceruti had observed the final day of the seminar and has been previously involved in development of the province's strategic planning activities as part of the PRITT process (*see reference #1*).

The key decisions that were made at this planning meeting are presented below. In short, the next phase will include the conduct of three workshops

- one to develop a local staff capacity in facilitation skills, change management and strategic management applications;
- a DDG's Forum to develop an outline for a decentralized strategic management process; and
- a large event to include as many of the provincial leadership (directors and above) as possible to review the strategic management process and establish broad-based agreement on implementation modalities.

A more detailed "outline of activities" for each of the second and third events, mentioned above, follows the outline of the schedule for September (*see next page*).

The planning meeting participants also developed a list of preparatory steps to be undertaken by the Office of Corporate Services prior to the arrival of the IPC team. These include:

- ▶ Determining the availability of the local facilitators from the provincial staff
- ▶ Making physical arrangements for the three different workshops
 - the team planning and facilitation training meetings (probably on site);
 - the DDG Forum (probably off-site); and
 - the "kick-off" event for all director-level and above (off-site or at a local conference site in Mmabatho)
- ▶ Determine the profile of the possible collaboration of SAFPUM, if any, to assist during September visit. This assumes that the previously scheduled strategic planning workshop originally scheduled by SAFPUM for September 13 to 15 will be canceled as stated during the debriefing meetings.

Outline of the Schedule of Activities for September

Monday	Tuesday	Wednesday	Thursday	Friday	Sat/Sun
September 11	12 MSI training team arrives in SA	13 team travels to NWP Planning session with Strategic Management Coordination Team	14 Team Planning Meeting session with local Strategic Management Coordination Team	15 Facilitator TOT sessions for team	16/17
18 <i>continuation of</i> Facilitator TOT sessions for team	19 planning and practice sessions for DDG Forum	20 planning and practice sessions for DDG Forum	21 22 DDG Forum to develop agreement on implementing a Provincial / Departmental Strat. Man. Process (<i>see activity outline below</i>)		23/24
25 Strat. Man. Process "Kick-off" event for the full NWP management (director-level & above) 50 to 100 participants (<i>see activity outline below</i>)	26 Closure sessions with local team. MSI travels to Jo'burg Debriefing at USAID MSI team departs SA	27	28		

Tentative outline of activities for the DDG's Forum to develop agreement on implementing a Provincial and Departmental Strategic Management Process

1. Conduct training sessions on managing the organizational change process and the role of leadership in advancing the process. Review concepts and techniques of facilitation, coordination and monitoring and discuss roles of provincial leadership, the Strategic

Management Unit (in the Office of Corporate Services) and the punctual role of the *ad hoc* strategic management facilitation team.

2. Develop a prioritized list of issues raised in the White Paper as well as other organizational issues to be addressed by the to-be-adopted strategic management process.
3. The local facilitator team and MSI facilitators, present possible scenarios of provincial and departmental strategic management processes. The group analyses these and develops a unified approach that will be presented at the “Kick-off” event.
4. Determine “next steps”, clarify expectations on deadlines and deliverables and outline the monitoring process.

Tentative outline of activities in the “Kick-off” event with the full North-West Provincial Management to present, discuss and validate the Provincial and Departmental Strategic Management Process

1. Develop, through small group processes, draft departmental mission statements followed by development of a draft provincial mission statement. Assign final development of each statement to task teams.
2. Conduct training presentations on managing the organizational change process and discuss roles of provincial leadership, the Strategic Management Unit (*in the Office of Corporate Services*) and the punctual role of the *ad hoc* strategic management facilitation team.
3. Review prioritized list of the White Paper and other organizational issues identified by the DDG Forum. Achieve validation of provincial-level priorities and allow individual departments to adapt and develop a list of priority issues relevant to their own context.
4. The local facilitator team presents the strategic management process, developed during the DDG Forum, to the assembled group.
5. Conduct an exercise to determine the individual departments’ readiness to initiate the process and identify the degree and type of support needed.
6. Briefly review the “next steps”, deadlines and deliverables and outline the monitoring process to be used.

PROCESS PERSONNEL - roles and composition

Local Strategic Management Facilitation Team

- This group of four to six internal facilitators will serve in the interim, while the Strategic Management Unit in the Office of Corporate Services is being staffed and developed. Both units will be lead by Jan de Waal and Noma Kgantsi with process consultation support from MSI and David Ceruti. Six candidates were identified among the Strategic Management Tools Seminar participants, of which at least three will be recruited to serve on the team.

MSI Training Team (during this last phase of the activity)

- MSI will play the role of technical trainers for the local facilitator team as well as process consultants to the team and the DG. They will also serve as co-facilitators of the DDG Forum and the Kick-off event.

Facilitation Support Personnel

- The Provincial leadership will be identifying other South African facilitators and trainers, either internal or external to the province, who can be called in to support the efforts of the strategic management unit, such as in assisting them in conducting large group activities.
- There remains the possibility that SAFPUM may provide facilitators for the NWP. In order to do so SAFPUM must be able to assure the NWP that they can provide a continuity of process facilitators. They will need to provide a sufficient number of facilitator candidates for the DG's Office to be able to select three or four facilitators who will be available over the next year or longer. These people will be expected to be involved in the whole September activity, from team planning sessions, through the DDG Forum and in the Kick-off event.

ANNEXES

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Tools for Strategic Management

Goal:

To enhance the ability of key decision-makers and managers to implement strategic planning and management activities within their organizations.

Objectives:

At the end of the seminar the participants will:

1. be familiar with the basic concepts and process of strategic management;
2. acquire a working knowledge with key strategic management tools, which include:
 - mission statement clarification,
 - stakeholder analysis,
 - environmental mapping techniques,
 - SWOT analysis, and
 - strategic issues analysis;
3. describe how strategic management can be applied to their management tasks.

Strategic Management Tools Seminar

for the Senior Management of the North-West Province

- Schedule -

	August 14	August 15	August 16
8:30	9:00 Opening comments by the DG ▶ Introduction and group norms ▶ Orientation to the objectives, schedule and training materials ▶ Introductory Session ☞ Key concepts and steps ☞ When does one use strategic management ?	▶ continuation of the Stakeholder Analysis exercise ▶ Exercise: Macro-political Mapping Techniques ☞ External environmental scanning	▶ continuation of the SWOT Analysis exercise ▶ Exercise; Identification of Strategic Questions
	<i>coffee break</i> ▶ Exercise: Clarification of Organizational Mission Statements	<i>coffee break</i> small group work	<i>coffee break</i> ▶ continuation of the Strategic Questions exercise ▶ Action Planning Steps and Tools
1:00	<i>lunch</i>		
2:00	▶ continuation of the Mission Statement exercise ▶ Exercise: Stakeholder Analysis <i>coffee break</i>	▶ Exercise: Micro-political Mapping Techniques - Network Maps <i>coffee break</i>	▶ Next steps: application of the tools ▶ Final evaluation <i>Closing ceremony</i>
	▶ continuation of the Stakeholder Analysis exercise	▶ Exercise: SWOT Analysis	
5:00	▶ “reflections”	▶ “reflections”	

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Participant List

For the 3 days

1. Ben Weideman, CD, Public Works
2. Ben Marengwa, Chief Director, DG's Office
3. Carl Anthony Mayeza, Director, Health and Development Social Welfare Department
4. Comfort Molokoane, DDG Public Works Department
5. Jan de Waa!, Director of Corporate Services, DG's Office
6. Johannes (Shelwood) Mojalefa Nale, Personal Assistant to the MEC for Safety & Security Department
7. John Henry Baird, Director, Agriculture Department
8. Madoda Zibi, Director, Director, DG's Office
9. Matiki Josiah Pelle, acting Head, Transport Department
10. Mmabatho Mfikwe, Communication's Officer, DG's Office
11. Mmanong Caroline Ntoane, DDG Health and Development Social Welfare Department
12. Montshiwa Tlhale, DDG Economic Affairs Department
13. Noah Booitjie Mckgethi, acting CD, Public Media, Arts and Culture Department
14. Nomama Kgantsi, Assistant Director, DG's Office
15. Petrus Johannes Gerber, Director, PSC
16. Phineas Tjie, DDG Finance Department
17. Pierre van Rooyen, Director for Environment, Agriculture Department
18. Rabeng Sophney Tshukudu, Director, Economic Affairs Department
19. Samson Morake, Director, Public Media, Arts and Culture Department
20. Sello Thompson Mosweu, Director, Transport Department
21. Sherwell Shalo Rakhudu, CD Local Government Department
22. Tebogo Job Mokgoro, DG of the North-West Province
23. Tshepiso Mphahlane, Premier's Office

participating 2 of 3 days

24. Perfect Malimela, SAFPUM consultant
25. Gulam-Husien Mayet, DDG Education Department
26. Lucas D. Ngakane, CD, Education Department
27. Tamie Mpotulo, SAFPUM Project Manager

Evaluation Verbatim Report

Following are the final evaluation responses as written by the participants. They are presented here verbatim and summarized in the body of the report.. The participants were asked to respond in the final evaluation session by answering the following three questions:

1. Achievement of the seminar's three objectives
2. The usefulness of the course content to your job
3. Other comments

The verbatim responses were as follows:

1. Achievement of the seminar's three objectives have been achieved and hopefully will increase/enhance our capabilities to understanding problem It is my wish that this be cascaded to the lower echelons of the various departments so that our subordinates could also get a feel of what their senior managers are faced. The three objectives constitute a robust approach towards decision making and problem [solving], and their utility cannot be over-emphasised.
2. Application of analytical thinking to world problems
Generation of important information towards capacity building
3. Bring on board also those directors who were not able to attend because of their schedule

Well done!

-
1. Objectives were largely achieved although it was not always dealt with in depth
 2. Course content useful to my job. It is the discussions with other colleagues that made it more useful.
 3. The importance of this course for me was not only the aims and content but the fact that we met together for the first time. We spent a lot of time together, tried to understand one another's issues and this helped the process of provincial team-building. This was not part of the formal aim of the course but was the most valuable aspect to me.

Thank you for the course. Thanks to all the participants.

1. Reasonable successful under the circumstances.
 - a) More practical application studies (case studies)
 - b) More dynamic and interesting presentations
 - c) Better link to objectives of the workshops
 2. Very useful in addressing present problems in the department.
 3.
 - a) Should be followed up by further training or course related to “tools”
 - b) Proposals and inputs on how to transfer this skill knowledge to our staff would have been useful
 - c) It can be made more interesting/motivational
-

1. The objectives of the seminar have, in my view, been achieved beyond doubt. The topics involved were well presented and time was allowed for exercises and participation in general. Presenters were practical in their presentation, very friendly thereby making it easier to understand.
2. As a manager I find the course useful to my work because the tools used/discussed are appropriate to my work problems. Essentially, I will cascade knowledge and strats gained to my colleagues in the department.
3. More time allocation should in future be considered. The problem solving exercise looked very interesting but was done when not time was left. Will you consider a course on this area done in future.

However the seminar was well structured.

1. Participants should be able to identify the basic concepts and separate the strategic issues from everyday management.
The proficiency and usefulness of this ‘tool’ will only be achieved with frequent use. Strat. Man. and Planning is a tool for longer term goal setting and can be a very good indicator as to where pitfalls and/or alliances can be expected.
 2. I will surely not only use the course contents for strategic planning and management but there are enough tools in the course to enhance the normal day to day management process. The tools will definitely be used.
 3. The course needed more practical application of the different tools not only on pertinent present problems but theoretical problems could have stimulated lateral thinking!
-

1. The process followed made the understanding easier.
The clarification of mission statement became clearer when using a checklist will be useful in developing a mission statement which is comprehensive.
Stakeholder analysis--an important exercise--indicates which areas to target when making any project.
Environmental mapping techniques understood and assists in strategising your approaches to dealing with important stakeholders.
SWOT analysis--A good analysis and indication of what you can do, how much and how far you can go.
Strategic issues--Assists in focusing
2. Content will be used in running strategic management workshops in the department--material is well arranged and comprehensible--I also like the idea of projectising the objectives--will use this in project development and implementation.
3. Very useful venture.

-
1. The workshop did achieve its objectives. I think 2½ days are not enough. Need to extend it to 4 days. In future cost-benefit and project evaluation must be included in the course. This makes it possible for people to analyze the impact of policy.
 2. The course has empowered me to critically assess issues within my environment. I will be in a position to conduct a similar course to subordinates.
 3. I was happy with the presentations. The problem is time. We need to extend it to a week or 4 days. A similar workshop must be conducted to Directors and deputies in the departments.

-
1. The seminar was helpful in assisting us to realise that there are a lot of people (govt.) Working in close unity toward the achievement of a common goal which is at the end of the day effective & efficient delivery of services to our people. (Although finally each dept. will have to identify its own delivery process i.e. the nature of that service delivery).
 2. I personally fell the seminar has put me in a position to look at my circumstances in a whole different new way. I have acquired the tools which will assist me in approaching problems in the work place differently. The seminar certainly has not come up with ready made solutions as to our problems but has awakened in me the depth behind our problems on a day to day basis.
 3. Would not mind going on a three week course--not a three day course. There's certainly a whole lot more to this.

-
1. The seminar generated a better understanding of an overall strategic management. The added advantage is the tools used in the process of strategic management were explained and practised and gave all the participants an opportunity to experiment them.
 2. Very useful. It however requires individuals to apply the tools to their unique circumstances.
 3. The course were informative and educative.
-

1. Achievement of the seminar's three objectives was positive.
 2. The course content is relevant and useful to my job.
 3. The duration of the course was short. It is desirable to have a repetition of the course.
 - a) Basic concepts have been grasped
 - b) Familiar with the mission statement
Grasped stakeholder analysis tool
Understood environmental mapping tool
Understood SWOT analysis
Not clear with issue analysis
 - c) Strategic management can be applied to the management tasks by making use of the strategic management tools
-

1. The workshop answered lots of questions in my mind regarding how to tackle the many problems facing government. The three objectives of the seminar were achieved.
 2. Given the opportunity to apply the technics acquired during the seminar one could coordinate the activities of the NW government departments very effectively. This would, however, depend on how systematically and thoroughly the relevant public service personnel was also given capacity. Should the capacity building programme be insufficiently prepared, the results would be the undesirable.
 3. I propose that the machinery for taking this further be set up.
-

1. In general the 3 objectives can be seen as being met, but the other factors that create an environment for successful implementation have not being addressed. This is the area of organizational development vis-a-vis corporate culture, systems, staff, structure, etc.
2. Identification of strategic issues should be much clearer.

3. A more complete case study should have been presented and then discussed. For strategic management to be implemented in NW Province, it should be driven and managed at senior management level.
-

1. No. 1 & 2 covered extensively and I feel comfortable with them, need to practice. No. 3, have an idea. Should like a one day seminar (at least) only on this.
2. Gave me a new perspective & approach to tackle all the fires. I just need time to practice them and incorporate it into my daily approach to tasks.
3. A worthwhile course. Packed & sometimes overloaded. The success lies now in the study of the notes and use that as my bible to implement it. It's a pity we could not give more attention to action planning, I think we all have a big need to discuss this issue further in depth.

Good presentation & support from the facilitators.

1. I am familiar with the basic concepts (very effectively presented).
 2. The first 3 very effectively done. SWOT analysis was less than effectively done, the quality of the results was probably affected by the numbers of attendees. Generation of ideas and issues was affected (few minds brainstorming). Include strategic issues analysis in above evaluation. The effectiveness and enthusiasm tapered towards the end.
 3. Very useful course.
-

1. By and large, the three objectives were achieved, though it would have been more advantageous to have had more time for discussions/exercises on strategic issues analysis.
 2. As a manager, the contents of the course, because of their relevance, are highly useful to my job.
 3. Presentations were good. Notes well-prepared and very useful, especially for future references. The course has brought with it new vigour, and motivation. All of a sudden, there is light (life?) at the end of the tunnel.
-

1. We have been successful in achieving the three objectives. We should however, have spent more time on strategic issues analysis and action planning.
2. The course content and materials will be useful as reference.
3. I still think that we should have some more into the white paper, and in this way given participants a sense of the enormity of the task of implementing the white paper.

-
1. Familiar with basic concepts yes
Working knowledge with key tools, yes.
Strategic management would help to find solutions to the variety of management problems in the N.W.P.A. and to select the best alternative to implement.
 2. The course refreshed my mind to use knowledge in the more scientific way to assist understudies to understand their important role in die (the) new process.
 3. Whoever a basic good course and a good presented one, more practical and less hypotheses aspect could be more used.

-
1. After this workshop I can say with some degree of confidence that I am familiar with the basic concepts & processes of Strat. Management and have a working knowledge with Strat. Management tools. In other words, the seminar achieved its objectives. I cannot foresee a problem in applying Strat. Man. to my tasks.
 2. The course content is very relevant to my job and I intend to use the tools to the maximum.
 3. This was dynamic seminar. I enjoyed it very much and Viva to DDD (Dumisani, Donald & Drew).

-
1. Well familiar with the basic concepts but at times not in a position to know which comes immediately after stakeholder analysis.
To acquire a working knowledge that can be used in everyday life will take a lot of practising. The knowledge I have acquired is that policies issues should be well researched and not tackled like mere administrative problems.
As strategic management is external in outlook and future oriented, it can be useful in management tasks as future problems can be avoided.
 2. It was an eyeopener as problems/issues will be analysed objectively, consultation made with various stakeholders.



3. To make this course more useful to the Province other similar courses should be offered to senior officials even those in the lower ranks.

-
1. Now I think I'm familiar with strategic planning and what it entails. Though some of the topics were dealt with briefly this served a good purpose.
 2. Extremely useful. The only snag is that one is involved in a lot of firefighting exercise that it might become impossible to apply these strategies daily. The most practical thing to do would be to apply them in major policy issues. Stakeholder analysis=relevant because it must be used every day to identify and target the relevant audience within my organisation and outside the org.; in order to impact meaningfully to them! (stakeholders).
 3. It is much more practical to run this exercise over four/five days in order to do justice to the last topics, i.e., action planning steps and tools. + application of the tools.

-
1. Achievements of workshop:
Has generally expanded my theoretical knowledge of management
Has further opened up my mental capacity to analyse management tasks/issues.
 2. Found the workshop mentally engaging since it aptly addressed the sort of problems facing my Department.
 3. Found the workshop very reinforcing to some of the management practices that I probably carried out intuitively.

-
1. Mission Statement: This is a tool which really guide us to know what we (our organisation/s) are about, i.e., the purpose of our being there.
Stakeholder Analysis: This tool is of utmost importance in dealing with issue because it ensures inclusivity and interaction and these lead to a common understanding of issues to be tackled by all interested parties.
Environmental Mapping: This tool allows for the assessment of the strength of interest to be shown by different stakeholder.
SWOT Analysis: This is important to assess your advantages or disadvantages both internally and externally
Strategic Issues Analysis: This too enables us to differentiate normal traditional issues from strategic issue facing our organisation.
 2. The course was very useful in that it enhance effectiveness and efficiency.

3. Looking forward to day when we would be having something like this course again.
-

1. The different exercises on all topics clearly enriched one's scope in dealing with management. It is indeed a matter of familiarity rather than absolute knowledge of basic concepts and therefore, this is what one has achieved and I hope the whole group feels the same.
2. The question of mission statement clarification is not that much of a problem hence the workshop has really enhanced the knowledge.
3. Being a new and interesting tool, one has indeed acquired a working knowledge. EMT is again a new tool that has enlightened us on a systematic way of dealing with strategic matters. It has sunk in without difficulty. The objective of acquiring this knowledge is achieved. SWOT exercise has also enhanced our knowledge. The introduction of strategic issues analysis may still need more exercise/practice. The introduction in itself has shown light. As an intro we achieved our goal. One is clear, particular when the whole exercise is assessed against daily activities. The course was more than useful. This course should be conducted periodically and last assistance is necessary to deal with individual depts.

MEMORANDUM

Date: June 27, 1995
To: IPC Managers - **MSI & USAID/D&G**
Re: Summary of Results from the South Africa North-West Province Assessment Visit
From: Drew Lent, Director of Training Resources

The following is a summary of the results of the assessment visit conducted by myself and my South African counterpart Dumisani Mahlasela. This includes an overview of the training plan and a compilation of reporting documents prepared on the request of the Director General.

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Activity Brief

The assessment visit was very successful in that the team was able to interview the vast majority of the newly place provincial leadership. The assessment served to situate the progress of the ten department in their transition to a new civil service and to identify the various organizational issues that each are grappling with. The interviews also established the new leadership's background with strategic planning, which is very mixed. There is considerable interest all around in developing more capacity in strategic management even though many of the managers state that they are blocked at this point in "crisis management". The assessment also included considerable document review including the White Paper on the Transformation of the Public Service, the Strategy for Governance

(PRITT document) and its current evaluation, various issues papers and departmental plans, and historical and current press on political developments with the province.

The information gathered during the interviews was well received by the Director General (DG) and his staff. The modalities of the first workshop were determined and are summarized below. Discussions with the staff will need to continue to define the exact scope of the September consultation.

We were also asked by the DG to provide two other assessments. One was a critique of the PRITT process that is on-going in the province. This has considerable relevance to strategic management in that it is supposed to serve as a “reengineering” effort to re-organize the administration. The DG expressed his complete dissatisfaction with the progress of this activity, which is being run by his Chief Director (deputy) who would not make himself especially available to us during our visit. Among the problems noted in the PRITT process, the lack of current ownership and openness, the lack of specificity in the analysis and inadequacy of the action planning stand out as most important (*see the memorandum on the PRITT later in this report*).

The second task requested by the DG was a suggested process for the implementation of the transformational of the public service based on the policy initiatives stated in the White Paper. Given the breath of this document we negotiated that our “thought piece” would focus primarily on provincial-level transformation and would be considered an internal discussion paper. The presentation served as the source of a lengthy discussion during which several aspects of organizational development training and approaches that were new to the DG were explored. This presentation is the last attachment to this report.

List of Acronyms/Definitions

ANC	African National Congress political party
Bop	Bophuthatswana - previous “independent’ homeland that comprises part of the new North-West Province and was the source of much of the existing civil service
CD - Chief Director ..	Immediately below a Deputy Director General, in this document, may serve as the head of a smaller provincial department or may serve as a deputy to the DDG, often hands departmental directorate as well
DDG	Deputy Director General, in this document, the head of a provincial department (branch)
DG	Director General, in this document, the head of the provincial civil service

Exco	Executive Council composed of the Premier, MECs and the DG
MEC	Member of the Executive Council (“provincial cabinet” - heads of provincial departments)
Premier	Political head of the province, chairmen of the Executive Council
PRITT	Provincial Reconstruction Implementation Task Teams
PSC	Public Service Commission (there are national and provincial organizations in place to determine organizational structures, recruit and hire)
RDP	National Reconstruction and Development Plan

Overview of the Training Plan for August

Workshop Rationale: To enable and equip the role-players within the Provincial Administration with strategic management tools. The participants will include department heads and one or two other senior management. The Director of Corporate Services in the Office of the Director General will be formulating a strategic planning unit and the head of this office will attend. The unit will consist of five facilitators who have yet to be placed.

Workshop agenda: The program will follow the workshop design developed for Madagascar with the possible addition of a session on development planning techniques (objective trees, logframe) to inform the group’s weaknesses in drafting logically focused and measurement action plans.

Workshop Dates: August 14 through 16 - participants will travel to the site on August 15 and return home August 16.

Venue: Madikwe River Lodge (one and a half hours from Mmabatho)

Participant Breakdown for the Strategic Management Workshop

6 people from the Director General's Office Director General, Chief Director, Director of Corporate Services, Assistant Director of Corporate Services, Communications Officer, Director of Policy Research

20 to 23 people from the ten departments (2 from each department and a third from Public Works, Local government)

1 from the Premier's Office

1 secretary (Corporate Services will arrange for a complete seminar report to be made for Exco)

28 to 31 participants total

Options for the September Visit

- I. Conduct a second one or two Strategic Management Tools workshop(s) for departmental staff *and/or*
 - II. Facilitate strategic planning sessions in reference to the White Paper on the Transformation of the Public Service.
-

List Of Organizational Issues Relevant To The Development Of This Activity

1. The role of the MEC's versus the administrative side of the departments (department DDG, Chief Directors and Directors) is not yet an issue in Safety & Security as it is with most departments. Prior to the placement of the permanent administrative leadership the departments were by and large run by the MECs and with the transition some MECs have not yet removed themselves from involvement in daily operations. Where they are proficient in playing their macro-policy role they don't master the handling of small, operational policies
2. Many department heads have to answer to two bosses: the local ones (the DG and MEC) as well as their national-level ministries. Many department heads wonder "who is the "accounting officer" therefore for the department?"
3. There is confusion between ANC policy and Provincial policy (This was raised at Education) where the head said, "Politicians are vision makers, we are reality makers").
4. 90% of the civil service of the North-West Provincial administration is black - the real issue in affirmative action is achieving a gender balance (option of the DG).

5. The Strategy for Governance planning exercise from 9/94 identified the following as current priority issues for which PRITT committees were formed:
 - a. internal communications'
 - b. evolving legislative and leadership powers
 - c. developing departmental structures and placing the leaders
 - d. linking the RDP with the civil society
 - e. training and orientation of the civil service

Progress on these issues has been far below expectations, especially for items a, d and e.. The reasons for this are several:

- ☛ the leadership has changed completely since 9/94;
- ☛ the support and coordination of the committees has been limited;
- ☛ the process of issues identification and action planning was too general.

(The memorandum reviewing of the PRITT process provides more information about this process.)

6. The vision/aspirations/expectations of the politicians are not in line with realistic delivery of services. (especially in primary education, health services, and other services delivery departments)
7. The DDG for Education is wanting for more leadership from the DG and sees the need for shared vision, ownership of the provincial program, etc. However the department is months & months away from being able to plan strategically - transitions haven't been made - people aren't in place - political demands are great.
8. Public Service Commission (PSC) (national & provincial) has too much power. PSC lower-levels make/ratify appointments of more senior level appointments (even national PSC Minister agrees the Commission is too powerful). The frustration with the PSC is wide spread and deep. Some people are calling for the provincial level to be abolished where as the PSC's role figures heavily in the White Paper. The PSC administrative people that we spoke to think it should not act as a department but should be made a directorate under the DG's office.
9. A common complaint is that the RDP is trying to play a controlling rather than coordinating role and also the delineation of the RDP Office in Premier's Office and in RDP directorate in DG's Office is unclear. They are- having a workshop in next few days to work this out There is still confusion about the institutional arrangements on the provincial level as all the ability to implement the RDP occurs in the departments and they take their directions from the DG. This "role of the RDP" question is a major national issue. Most people believe that the RDP - on all levels - is doing little or nothing to move along the agenda and it fact is part of the problem. National ministries and departments have proven to be very resistance to the RDP's direction. The RDP believes that one of its role is grassroots communication with the people instead of advocating that this dialogue happen at the service delivery level between the end-users and the providers.

10. Who is responsible for strategic planning support in the Provincial Administration? Who's is calling the shots in the DG's office (Director of Corporate Services, Chief Director)? What is the relationship between strategic planning, the White Paper's implications and the PRITT process?? What is role / interest of the other directorates in the DG's office, e.g. Policy Research, RDP Coordination in these activites?
11. Inter-department communication and consultation (coordination) is perceived to be (and in fact seems to be) lacking. This was a focus area in the 9/94 strat-planning exercise that made very little progress. Not all departments have Public Relations Officers (PRO) although this is mandated. Considerable resources exist in the province for external communication that is grossly under-utilitized (Bop Radio, Bop TB, Mmabatho TY, North-West Communication Services). Regular, dynamic internal communications are limited except for a bi-weekly Secretaries Forum (attended by most, not all, department heads) and an alternately inter-departmental forum.
12. Some people perceive that there have been several "false starts" in strategic planning and that the activity has not had sufficient focus or ownership.
13. The formulation of realistic action plans is thwarted: 1) by constant and gradual change-over since the elections from the SMTs (Strategic Management Teams - consultants who lead departments during the early transition) and the Acting Secretaries to the new departmental leadership; and 2) the extended delay in the appointment of permanent top-level staff (certain department top-management units will still not be in place for next several more months).
14. Envisaged rationalization of the public service, which is of considerable political interest as of late. The issues and perceptions at hand include:
 - a. Ex-Bop administration was over-staffed.
 - b. Rationalization needs to be enacted in 6 mos or so yet certain departments still would be integrated by then;
 - c. In the White Paper rationalization is advocated contrary to the provisions of the Interim Constitution which assures that public sector jobs are secure. In fact jobs are secured but positions are not. Public employees may in fact face redudancy if they can't find a new position within six months of the rationalization process;
 - d. There is a firm commitment to affirmative action for a balanced work force mandated in the White Paper;
 - e. Recognition of the need to reduce the percentage of the public service in the national work force in order to attract private investment and maintain fiscal discipline;
 - f. Some services such as Education says they'll need more people (in addition to their 35-40,000 employees) in order to meet the needs of the full population;
 - g. Safety and Security's have little control over their internal transition process. This will be run at the national level. The delay in enacting the national Police Act has become a serious obstacle to assimilating and transforming police services. There are 11 agencies nationally which need to be integrated. In the North-West Province there are only two police organizations to integrate (SAP & Bop Police).

- h. The PSC on the provincial level is run by a politically appointed commission composed of 2 Full-time and 2 Part-time Commissioners who refuse to delegate authority for making lower-level appointments to department heads;
15. Resistance to the transition is often strongest from locally based provincial offices in the communities of the Ex-Transvaal and Ex - Northern Cap;
 16. Some administrative systems are not on-line. Many newly appointed employees have yet to be paid;
 17. Staff demotivation due to lack of security in their positions is high. Most haven't been appointed yet and some of them are holding jobs from the old order (Bop admin). There are significant numbers of people who have no expressed responsibilities yet who come to work and stay idle;
 18. The DG chose not to situate his office in the Premier's Office leading to questions about who is leading the province? The DG is very well regarded locally and nationally for his expertise in public administration. The Premier is politically weak and has organized rivals in the persons of the ex-Bop president (Magope) and a recently resigned MEC for Agriculture. Both have opposition political parties.
 19. MECs have very little staff to assist them in their work and often come to departmental staff to perform their tasks;
 20. The dependence of Education on Public Works and RDP is unsatisfactory. Local public services don't always deliver and they are forced to go to the private sector (ex. For printing tests and getting materials);
 21. The administration's leadership is very cautious about making decisions or taking actions due to the unclear legal and political implications in this transitional environment;
 22. Previous planning, e.g. Strategy for Governance, took place in a vacuum and this could happen again if it is conducted while staff complements are incomplete or unsure;
 23. Lack of budget for public relations seriously limits departments' ability to get the message out to the broad population;
 24. Managers complain that they spend all their time in crisis management just to keep services going and to keep their politicians happy. That they have little time to develop systems, work with their management teams, plan, etc. One problem is that managers are constantly running to workshops, meetings etc
-

Summary of Provincial Departments Assessment

This summary document is intended to serve as a reference for the Director General of the North-West Province and for the MSI training team preparing a series of workshops to develop local capacity and support for strategic management at the provincial level. These preliminary conclusions, drawn by MSI Consultants, Drew Lent and Dumisani Mahlasela, are based on information gathered during the Strategic Management Pre-Workshop Assessment interviews which were conducted with heads of the ten Provincial departments and key members of their management staff during the period of July 11 through July 19, 1995. The interviews were arranged and, by and large, attended by either Mrs. Mmabatho Mfikwe or Ms. Nomama Kgantsi representing the Directorate of Corporate Services in the Director-General's office.

The purpose of the interviews was to provide the consultant team with basic information about the stage of transition and the issues relevant to each department in becoming a permanent and integrated provincial structure. The discussions also focused on each unit's background and familiarity with strategic planning and well as other issues in each department's organizational development. This often included discussion of key components of the policies outlined in the White Paper on the Transformation of the Public Sector.

The team interviewed 53 members of the public service, including members of each of the ten departments, the PSC and the Premier's Office (*see Interview List on page 11*). Each departmental meeting took about 90 minutes (with the exception of Agriculture) during which the scope and purpose of the MSI consultancy was explained. Given that the length and depth of the discussions were limited, this summary is not intended as a comprehensive assessment of any particular unit but rather as a "snapshot" of its development and institutional capacity to conduct strategic management on a provincial level.

The graphics on following page present the current relative status of the departments in terms of their transition to a final structure and their experience in strategic planning exercises.

DEPARTMENTAL COMPARISONS

Development of the organizational structural:

Transition Complete

Transition In Progress

Transition Un-initiated

Staff in place/ Staff development on-going	Rationalization in progress	Key management appointed & in place	Positions advertized Interviewing in progress	Organogram pending PSC approval	Submission of structure made to PSC	Discussions new structure & interim coordination of ex-Bop / IPA / CPA & other underway	New "acting" administrative management in place	MEC staff serving as management
	<ul style="list-style-type: none"> ☞ Finance ☞ DG's office 	<ul style="list-style-type: none"> ☞ Local Gov't ☞ Health (admin.-not services) 		<ul style="list-style-type: none"> ☞ Media & Culture ☞ Public Works 			<ul style="list-style-type: none"> ☞ Education ☞ PSC 	<ul style="list-style-type: none"> ☞ Safety & Security ☞ Transport

?? Agriculture

Background/capacity in strategic management:

Strategic Management

"Mixed" Experience in Strategic Planning

No Strategic Management

Strategic management institutionalized with monitoring and measurement systems	Existing strategic plan with structure for follow-up (operational strategic management)	Experience in using strategic planning techniques	Some participation in strategic planning workshops	No background or focus on strategic management
	<ul style="list-style-type: none"> ☞ Agriculture ?? 	<ul style="list-style-type: none"> ☞ Public Works ☞ DG's Office 	<ul style="list-style-type: none"> ☞ Finance ☞ Economic Affairs ☞ Education ☞ Local government ☞ Transport 	<ul style="list-style-type: none"> ☞ Media & Culture ☞ Health ☞ Safety & Security

NB: This comparison is only meant to represent the comparative progress made in these two specific areas. Other conclusions would not be relevant given that each department is unique in terms of its size, the Ministries that it relates to, the number of historical components that it has to integrate and the nature of its operations.

66

Interview List

Department: AGRICULTURE
Persons contacted: Mr. Charles Ndabeni, Personal Assistant to the MEC
Mr. Lungile Tyatya, Legal Advisor to the MEC

Department: ECONOMIC AFFAIRS
Persons contacted: Mr. Montsiwa Tlale, Deputy Director-General and
Mr. Rabeng Tshukudu, Director, Industries (Acting)

Department: EDUCATION
Persons contacted: Mr. Gulam Mayet, Deputy Director-General
Mrs. Van Wyk, Director of Auxiliary Services
Mr. Isaac Motsikenyane, Acting Chief Director
Mr. Seakamela Abbey, Chief Teachers Colleges and Training
Mr. J Myburgh, Director of Curriculum Development and Testing
Chief Director and one other Director

Department: FINANCE
Persons contacted: Mr. Phineas Chie, Deputy Director-General
Mr. Ernst van Wyk, Chief Director, Treasury and
Mr. Geo Paul, Director, Provincial Accounting

Department: HEALTH AND SOCIAL WELFARE
Persons contacted: Ms. Caroline Ntoane, Deputy Director-General

Department: LOCAL GOVERNMENT
Persons contacted: Mr. Sherwell Rakhudu, Chief Director
Mr. Jacques Wolmarans, Director, Constitutional and Legal Affairs
Mr. Jacobus van Zyl, Director Local Government

Department: PUBLIC MEDIA, ARTS AND CULTURE
Persons contacted: Mr. Nowa Mokgethi, Acting Head
Mr. Samson Morake, Arts and Culture Component
Mr. Boitomelo Rantao, Cultural Affairs, Dept. Of Population Development
Ms. Esmay Verskoo, Senior Cultural Officer, Potchefstroom
Ms. Charlotte van Schalkwyk, Senior Cultural Officer, Potch.
Mr. Ronnie Mathebula, Principal Cultural Officer
Rev. E.J. Teu, Director, Religious Affairs, Pop. and Development
Ms. Valerie Shababa, Head of publications division, Home Affairs
Mr. M.L.E. Moulhabedi, Financial division, Pop. and Development

Department: PUBLIC WORKS
Persons contacted: Mr. Molokwane, Deputy Director-General
Mr. Weideman, Chief Director, Buildings
Mr. Pienaar, Director, Public Works

Department: SAFETY AND SECURITY
Persons contacted: Mr. Khulu Nair, Private Secretary to the MEC
Mr. Shellwood Nale, PA to the MEC on Management and Operational Issues
Mr. Hamlet Morule, PA to the MEC on Community Policing
Mr. Mpho Mmutle, PA to the MEC on Transformational Issues
Ms. Charlene Marais, Public Relations Officer

Department: TRANSPORT
Persons contacted: Mr. P.D. Molefe, Personnel
Mr. A.M. Ruele, Road Transportation Board
Mr. J.R.M. Maine, Road Transportation Division
Mr. L.J. Moroka, Road Transportation Board
Mr. C.M. Dichabe, Motor Division
Mr. E.L.M. Mafoyane, Training
Ms. P.N. Mokgosi, Logsheets Section
Ms. K. Nkopane, Salary Section
Ms. K.E. Ramahanelo, Accidents Section
Ms. M.M. Motshegare, Auxiliary Services
Ms. S.C. Sekgetle, Personnel Section
Mr. J. Pelle, Acting Head
Mr. G.L. Molokwane, Civil Aviation
Mr. S.J. Molatudi, Traffic Police

MSI MEMORANDUM

DATE: July 20, 1995

TO: Job Mokgoro, Director General of the North-West Province

FROM: Drew Lent, MSI

RE: Comments on the PRITT Process

As requested in our meeting on Monday, July 17, please find the following few comments relevant to the PRITT process. My points are based on only two documents provided to me on the PRITT effort: 1) The Strategic Plan for Governance (Sept. 1994), and 2) the April 1995 evaluation report. As the documentation of the process is limited some of my impressions could be incorrect. In addition, the scope of the MSI team during this assessment visit was not to explore the structure, procedures or processes of the PRITT.

Regardless, the focus of the MSI activity is the White Paper on the Transformation of the Public Service and this initiative overlaps in several ways with the on-going PRITT process. Despite the changes in the top management and the considerable transition that has happened since the PRITT was initiated, any discussion of strategic directions and transformation of the civil service of the North-West should revisit and validate this process. Several other observations may be useful:

1. The basic questions addressed and procedures of inquiry in the original planning exercise seem correct despite the lack of detail in the documentation. Missing is information on what the specific focus of the SWOT analysis exercise and the stakeholder analysis (this normally includes listing the stakeholder's particular interests and available resources regarding the specific issue/reform/activity at hand). Using a very general formulation of the questions in strategic analysis like "what are the threats for the province", "who are the provinces key stakeholders" provide very little specific information that can be of use in formulating strategy. In short, if general questions go in -only general conclusions will come out. General inquiries, though interesting at times, will not help much in planning or improving performance.
2. The vision statement in the evaluation summary reads to me like a mission statement. While the two are often confused, I believe the difference is important. Mission answers "who are we" (what do we do) while vision asks "where are we going". The good news is that no organization can last for long without a mission, many can idle along without a vision. I encourage that vision statements be written as "end results" which are often ambitious (maybe not readily attainable). The clarity and ownership of such an ideal statement is what imbues it with power.
3. It strikes me that the strategic planning activities undertaken by the various departments and units would be very well served to disaggregate service delivery functions from organizational development activities (that in most cases are designed to support service delivery). Once the delivery functions, targets, threats, challenges, etc. are clear the work of determining the best

structure and procedures takes on a new meaning. We could debate this point from an academic viewpoint indeed, but the point remains that if the transformation of the service is not about delivering results (first and foremost) then it not about anything.

4. Beware of mixing the need to organize, coordinate, and manage with strategic management. If strategic management teams allow themselves to engage in the business of managing inputs and outputs they will quickly lose their strategic focus. "Strategic" refers to that which is on the horizon - future opportunities and threats. It is not a replacement for good management of daily operations and normal business areas. To use a private sector paradigm, strategic management for business development is normally not about "selling existing products to existing clients" - that's regular business! Strategic approaches are about selling new products to existing clients, at best, or about selling existing products to new clients. (Selling new products to new clients too risky to mention here). The public sector chases increases in sales and clients in terms of "results" and end-users of its services.
5. Action planning skills need to be developed to move beyond the simple linear equation of "here's a problem, this action will solve it". Most entrenched problems require more than one action to make the desired change. Figuring out what the logical combination of "necessary and sufficient" steps is a critical question in effective action planning. Tools from development planning such as the objective tree technology (hierarchy of objectives) and the logical framework would go a long way in helping people focus and concentrate on the essential combination of actions to make the change (and then be able to measure progress). Unfortunately the up-coming tools workshop will not be sufficient to teach these skills as well, although I suspect that this must be available (GTZ - German Development Organization - was trained in this technology by MSI years ago) and uses it, as does USAID, in their project and program planning.

Perhaps prior to even getting to developing action plan strategies planners should consider using force field analysis to determine what possible changes and influences are the most promising in making the changes.

Finally these tools and perhaps simple GANTT charting might help people do a better job of establishing realistic time frames and benchmarks.

6. Any macro-level process like interdepartmental strategic management teams need to include ways to keep the pressure on to deliver. Making the committees report progress on a monthly basis to senior management (the Premier and the DG) is one effective way. Steering committees can help as long as they don't exceed the optimal group size (7 to 9 people) otherwise large groups serve well to gather and vet information but not to make decisions and do problem-solving.

*Outline of a Process for the
Implementation the Transformation
of the Public Sector in the North-
West Province*

*Presentation to the Director General
July 20, 1995*

desired organizational outcomes

Outcomes relevant to the provincial level of government called for in the White Paper on the Transformation of the Public Service include:

- culture and attitudinal change toward commitment to excellence, service delivery and customer satisfaction (TQM)
- institutionalized capacity to plan for, measure and monitor progress toward results in service delivery programs
- demonstrated progress in equity, balanced work force and affirmative action within 2 years

organizational outcomes continued

- provision of training in all areas of management and performance, including teamwork, strategic management, conflict resolution, leadership, language skills
- creation of “transformational units” to drive the process internally
- attention to interdepartmental coordination and the rationalization of the service
- formation of government - community partnerships and revenue sharing

three phase approach

phase one

tooling

- ◆ Training in TQM, customer focus & Orientation to Achieving Results

visioning & leading

- ◆ Initiate broad-based Strategic Management exercises

phase two

planning

- ◆ Training in Objective Setting and Program Planning for Results

measuring

- ◆ Departments develop and implement Program Performance Plans

supporting

- ◆ Initiate Organizational Analysis teams & workshops

phase three

learning & refining

- ◆ Organizational Development Support for Managing for Results
- ◆ Provide other management skills training on a specific-need-for basis
- ◆ Encourage bi-annual departmental retreats and team-building

FEEDBACK LOOP: applying lessons-learned & re-tooling

phase one - tooling

- ◆ Training in TQM / customer focus
 - defining quality, value-added processes, customers, stakeholders, intermediaries, etc.
 - external & internal customer
 - conducting customer surveys

with an

- ◆ Orientation to Achieving Results
 - going for profits (impact & results)
 - basics of planning for & measuring for results

audience: senior management &
service managers, ?? MECs

phase one - visioning & leading

- ◆ *Initiate Strategic Management on the Provincial Level with Focus on Service Delivery and Customer Satisfaction*
 - Revisit vision, mission and values
 - By specific “business areas” or targeted reform:
 - ◆ explore stakeholders’ interests, resources, position
 - ◆ develop political and network maps
 - ◆ conduct SWOT analysis
 - Determine strategic issues
 - Disseminate and generate broad-based ownership
 - audience: MECs, senior management & “critical mass” of administration

phase two - planning

◆ Training in Objective Setting and Program Planning for Results *on the Program Level with Focus on Service Delivery*

goal

- Writing measurable objectives
- Developing hierarchies of objectives (objective trees)
- Identifying indicators of success and critical assumptions
- Planning for program performance measurement and monitoring & evaluation

strategic objectives

audience: senior management, planners & senior service managers grouped by department

phase two - measuring & supporting

- ◆ Departments develop and implement Program Performance Plans with Measurement Components *based on customer surveys and consultative processes*
- ◆ Initiate Organizational Analysis team and workshops to address:
 - determination of rationalisation criteria
 - affirmative action planning
 - team development and training needs analysis
 - recommendations for improvement of work conditions, incentives, etc.
 - possible formation of Transformational Units

phase three - learning & refining

◆ Organizational Development Support for Managing for Results

- Initiate or Modify Employee Performance Appraisal System to Reinforce Teamwork, Productivity and Career Development
- Formulate Task Teams to drive and monitor interdepartmental initiatives, e.g., affirmative action, gender targeting, streamlining coordination of RDP activities, development of government / community partnerships, etc. (beginning a devolution of authority... empowerment)

phase three - learning & refining

- ◆ Provide other management skills training on a specific-need-for basis in the following techniques (*concurrently develop local training capacity if required*) :
 - team-building and empowered work groups
 - problem-solving and decision-making in teams
 - Situational Leadership (Hersey-Blanchard)
 - conflict management
 - Myers-Briggs Type Indicator (MBTI) - personality type implications in the workplace
 - time & meeting management
 - diversity training

phase three - learning & refining

- ◆ Encourage bi-annual departmental retreats to:
 - review progress in service delivery and to facilitate customer dialogue
 - monitor and refine organization developments
 - encourage input from lower-ranks
 - reinforce previous training, esp. TQM
 - capture lessons-learned to share with other groups
 - report out progress and obstacle on strategic objectives
 - development teamwork

key process observations - 1

- ◆ Effective leadership is key to organizational change. The most effective leadership style is the one best matched to the followers' level of competency.
- ◆ Evolving into a "Learning Organization" will require that the coordinating office (DG) provides leadership in :
 - communicating expectations and praise
 - advocating for decentralized innovation & risk-taking
 - facilitating regular and open concertation on obstacles and lessons-learned
- ◆ Training requires a shift from "telling & orienting" to "showing & discovering" (experiential learning)

key process observations - 2

- ◆ Changing “attitudes” necessary for promoting a change in the organizational culture is nearly impossible to effect directly - change in behavior is the leading indicator. Therefore:
 - focus vigilantly on behavior not attitudes
 - leaders must model behavior deliberately
 - reward positive behavior
- ◆ Training can only go so far in promoting changes in individual behavior - the rest depends on consistent supervision and effective leadership

key process observations - 3

- ◆ Delegation of authority is essential to delivering more efficient service. Responsibility can be delegated, accountability cannot. Regardless, employee **empowerment** comes from within. If you want to foster empowerment it needs to be addressed in terms of work values, awards for risk-taking, and training in delegation.
- ◆ Don't assume that clearly delineated hierarchies of authority will serve as effective communication systems. Assuring adequate information flow up and down the hierarchy will require its own analysis and systems approach.

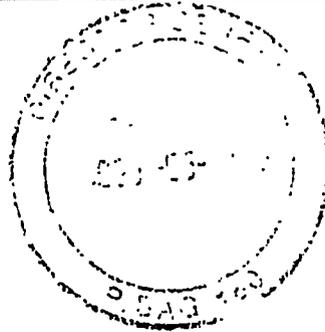


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21 April 1995

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Dear Mr Mokgoro

↓
FIRST DRAFT: WHITE PAPER ON THE TRANSFORMATION OF THE PUBLIC SERVICE

Enclosed, please find the first draft of the White Paper on the Transformation of the Public Service.

I sincerely request you to give me your reaction and impression on the paper before I place it before Cabinet.

Your honest critique - both from a practical and academic point of view - within a week would be appreciated.

Kind regards


DR Z S T SKWEYIYA
MINISTER

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DRAFT WHITE PAPER

**ON THE TRANSFORMATION OF
THE PUBLIC SERVICE**

2nd Draft
(Revised)

April 1995

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Part 1: Introduction

1.1 THE NEED FOR CHANGE

On its accession to power the Government of National Unity inherited a society marked by deep social and economic inequalities, as well as by serious racial, political and social divisions. Guided by the principle of national reconciliation, the new Government adopted the Reconstruction and Development Programme (RDP) to reorient and reunite society in a common purpose, in order to overcome many of the political, social and economic problems of the past and to ensure a stable transition to the new South Africa.

In forging ahead with the processes of reconciliation, reconstruction and development, the South African Public Service will have a major role to play. To fulfil this role effectively, the service will need to free itself from its apartheid past and to be transformed into a much more coherent, representative, competent and democratic instrument for executing government policies and meeting the needs of people. The Government's commitment to this process is demonstrated by the fact that it has identified administrative transformation as one its top five strategic priorities, along with education, health, housing and land claims.

A first step in this direction was taken by new Government through the introduction of the Public Service Act of 1994 (Procl. 103/1994). This act created the basis for integrating the fragmented system of state administrations inherited from the apartheid era into a unified national public service. Much more needs to be done, however, in transforming the public service into an agency capable of achieving the crucial goals set for it by the people and government of South Africa. This present White Paper, issued by the Minister for Public Service and Administration, proposes a number of major ways forward for the transformation process.

1.2 PURPOSE AND SCOPE OF THE WHITE PAPER

The principle aim of this White paper is to establish a framework to guide the introduction and implementation of new policies and legislation aimed at transforming the South African public service. To this end the document attempts to identify:

- The main problems that will need to be overcome in the transformation process (Part 2).
- A new vision for the South African public service (Part 3).
- The main elements of a policy framework that can guide and facilitate the transformation process (Part 4).
- Some of the key implications of the transformation process at the organisational, legislative and financial levels (Parts 5, 6 and 7).

The scope of the White Paper is guided by the terms of the present Constitution of the Republic of South Africa (Act 200/93), as well as by the agreed policy statements of the RDP as regards the transformation and developmental roles of the public sector (RDP White Paper).

Its mandate is to cover those parts of the public sector, both national and provincial, which are regulated by the Public Service Act (Procl 103/94); but it aspires in its more general thrust to be relevant also to the remaining areas of the public sector (local government and the parastatals).

1.3 A CONSULTATIVE CHANGE PROCESS

The transformation of the public service will be a complex and controversial process. It is also being undertaken in a context where other government policies that are likely to have a significant impact on the public service are still being shaped and negotiated. Thus, while the White Paper provides a broad framework for the transformation of the public sector, further elaboration of policy will be necessary in the forthcoming years.

In line with government policy generally, the Ministry for Public Service and Administration places considerable emphasis on the need for effective consultation. Comments on the first draft of this White Paper were invited and received from a wide range of individuals and stakeholders both within and outside the public service. These have been taken into account in preparing this current and revised draft. The process will not end there, of course. Further consultation will be undertaken both before legislation is presented to Parliament, as well as afterwards, to ensure that the transformation process is adapted on a rolling basis to the changes taking place in the country.

Part 2: The Legacy of the Past

The public service inherited by the new Government was structured and developed by the previous regime to promote and defend the social and economic system of apartheid. As a result, many of its policies and practices, if left unchanged, could seriously jeopardise the capacity of the public service to meet its new role in the social and economic transformation of the country.

It is important to identify, therefore, the principal problems that have historically afflicted the public service system and that will need to be overcome if the service is to discharge its new roles efficiently, effectively and equitably.

2.1 LACK OF REPRESENTATIVENESS

The administration as a whole was characterised by its lack of representativeness of all the peoples of South Africa. The central and provincial administrations were overwhelmingly staffed by white men, as were the "white" local authorities. This was particularly the case within the management echelon, which in 1994 was 85 per cent white. Since the civil service was dominated by whites and was geared to the implementation of white minority interests, it was necessarily elitist and racially biased. It was also heavily biased in terms of gender. In 1994 only 3 per cent of the management echelon was female.

In the other outposts of government, notably in the former "TBVC states," "self-governing territories," and "own affairs authorities", black men fared better within the senior management ranks, though admittedly on a racially and ethnically-determined basis. Black women were still seriously under-represented, however.

2.2 LACK OF LEGITIMACY

Because public officials were seen by the majority of South Africa's communities as the agents of the apartheid state, they came to lack any popular legitimacy. Even where officials tried honestly and diligently to implement constructive policies, as some did, they not infrequently met opposition and hostility among the communities they were attempting to assist.

2.3 LOW CAPACITY FOR SERVICE DELIVERY AND DEVELOPMENT

For the majority black population at least, the public service in South Africa has failed to live up to what should have been its essential mission and purpose, that of serving the people. The system of service provision that developed historically was both discriminatory and exclusionary, and was based largely on the assumption that communities were passive recipients rather than active participants in the limited services that were provided. The notion that the public service could or should play an important developmental role did not enter into the apartheid lexicon. The purpose of state officials was to administer, control

and, at best, to hand down services, not to work closely with communities in ways that might enable them to take control of their own development and empowerment. Development, if it happened at all, was something done to people not with them.

2.4 CENTRALISED CONTROL AND TOP-DOWN MANAGEMENT

Because the public service was strongly oriented towards control of the majority population, it became of necessity highly authoritarian, centralised and rule-bound in its operation. It was characterised in particular by the development of a vertical, top-down management structure in which the lower levels (as well as clients) were hardly consulted and seldom dared to question a decision. Democratic practices were discouraged, both internally and in interaction with the public. There was little or no incentive for creativity and no culture of service and responsiveness to the needs of citizens and clients.

2.5 LACK OF ACCOUNTABILITY AND TRANSPARENCY

Accountability within the service, where it existed at all, was limited to bureaucratic accountability. Employees were held accountable for adherence to rules and procedures rather than for efficiency and productivity. The performance audits introduced lately by the Auditor General covered only a few areas and seem not to have had much impact on improved output and increased public insight.

Wider accountability of the service to the public was even less in evidence. In fact, the various public services were characterised by their secretiveness and the exclusion of public scrutiny. Information was closely guarded and released only under pressure. Decisions with a strong impact on the public were frequently made outside the scrutiny of the minority Parliament let alone that of the population as a whole. All this created space for widespread inefficiency, mismanagement and misappropriation of funds and increased the illegitimacy of the government in the public's eye. The state under these circumstances became very much a law unto itself.

2.6 ABSENCE OF EFFECTIVE MANAGEMENT INFORMATION AND FINANCIAL CONTROL SYSTEMS

No fully deployed management information systems were installed to promote information sharing and efficient monitoring and revision of public sector programmes. One important consequence of this is that there are few reliable statistics on the staffing and composition of the public service today.

Budgetary proceedings were formalistic, unrelated to past performance and future programme goals, and exclusive of public participation. Rigidity in procedures and detail locked resources into inappropriate or badly-planned programmes. And overall control of expenditure and the prevention of corruption were notable largely for their ineffectiveness.

2.7 INAPPROPRIATE USE OF STAFF RESOURCES

The total number of public servants in South Africa, at about one per 30 inhabitants, is extremely high in relation other countries at a comparable stage in their economic development. Productivity is relatively low, however, particularly if judged in terms of the ability to deliver services that meet the needs of the people. Low productivity results in part from the lack of appropriate education and training opportunities for the majority of staff. But it also results from the fact that a disproportionate number of staff are involved in essentially duplicative administrative functions, whereas serious understaffing frequently occurs at the level of essential service provision, particularly for Black, Indian and Coloured communities. The shortage of qualified teachers and health workers in such areas is well documented, for example.

2.8 POORLY PAID AND DEMOTIVATED STAFF

The public service is characterised by unusually high and racially determined pay differentials. The income differential ratio is about 1:25, as compared with most other countries at a comparable level of development, where the ratio lies between 1:8 and 1:18. Whereas pay levels for managers (predominantly white), are relatively high, those for the lower echelons (predominantly black) are greatly depressed. This applies most glaringly in the essential service departments of education, health and the police. Black women are particularly exploited at this level. Benefits likewise have been biased historically along race and gender lines, particularly with respect to housing and pension entitlements.

Promotion and advancement were often dependent on criteria such as political allegiance, race and gender, rather than on merit and dedication. Linked to this, there was a lack of adequately defined career paths and an under-provision of related training opportunities, especially for disadvantaged groups. This helped to reduce opportunities for career advancement amongst such groups and to reproduce inequalities in the racial and gender composition of service, particularly at management levels.

The existence of low and inequitable wages and benefits, unfair career systems and poor conditions of work have had a demotivating effect on many staff and have contributed to low morale and productivity.

2.9 CONFLICTING LABOUR RELATIONS

For much of the apartheid era, labour relations were either prohibited or closely regulated according to race. The result for many public servants, and particular those who were black, was that they were denied the opportunity to try and improve their conditions through collective bargaining. Relations between the state and its employees became strongly adversarial under such conditions, with conflict mediated by force rather than peaceful negotiation.

In recent years, however, progress has been made towards establishing collective bargaining rights for all public sector workers. And the principle of affirmative action is coming to be

widely accepted by unions and professional associations, irrespective of their racial base.

2.10 LACK OF A PROFESSIONAL ETHOS AND WORK ETHIC

Many of the problems outlined above have served to inhibit the development of a professional work ethic and commitment amongst public servants. Some islands of efficiency did arise, however, and some civil servants showed impressive dedication and capacity under the most unfavourable conditions. In many parts of the service, however, inefficiency, mismanagement and corruption became the norm. In the former "TBVC states" and "self-governing territories," for example, a lack of commitment to one's work was seen by some public servants as a subtle form of opposition to the Bantustan system. Unfortunately, over time this lack of commitment tended to become a way of life.

Part 3: Vision and Goals for the New Public Service

3.1 VISION

If the problems outlined above are allowed to remain unchecked, they will seriously compromise the ability of the new Government to achieve its major goals of reconstruction and development, nation building and national reconciliation, and community empowerment and democratic participation. A complete transformation of the public service will therefore be required if it is to assist rather than obstruct the achievement of the goals set for the nation by the Government and people of South Africa.

In working successfully towards this, it is vital that the transformation process is guided by a clear, comprehensive and commonly accepted **vision** of the fundamental principles that should govern the composition and operation of the new public service. The Ministry feels that these should include the need for the new service to be:

- service orientated and committed to the provision of services of an excellent quality to all South Africans in an unbiased and impartial manner;
- responsive to the needs of the public, as well as humane and caring in its dealings with them;
- representative of all sections and levels of South African society;
- based upon the maintenance of fair labour practices for all public sector workers irrespective of race, gender or class;
- geared towards development and the reduction of poverty;
- goal and performance orientated;
- efficient, effective and productive;
- committed to the effective training and career development of all staff;
- integrated and coordinated;
- consultative and decentralised;
- democratic in its internal procedures and in its relations with the public;
- respectful of the Rule of Law;
- open to popular participation and scrutiny;
- accessible and informative;
- honest, transparent and accountable;
- oriented towards the development of an ethos of service rather than domination;
- faithful to the Constitution and loyal to the Government of the day.

These principles and the collective vision that they represent are based upon and very much in line with the relevant provisions of the Interim Constitution (Section 212 (2) (b) and Principle XXX of Schedule 4), as well as Chapter 2 of the RDP White Paper.

3.2 GOALS

In pursuit of this vision the Ministry for Public Service and Administration aims to facilitate the transformation of the South African public service into one that can serve the new democratic order efficiently and effectively. To this end, the Ministry lays forward the following broad goals:

- (a) to create a genuinely representative public service which reflects the major characteristics of South African demography, without eroding competence or the merit principle;
- (b) to facilitate the transformation of the attitudes and behaviour of public servants towards a democratic ethos underlined by the overriding importance of human rights;
- (c) to promote the commitment of public servants to the Constitution and national interest rather than to partisan allegiance and factional interests;
- (d) to assist in creating an integrated yet adequately decentralised public service capable of undertaking both the conventional and developmental tasks of government;
- (e) to promote the creation of an adequately responsive bureaucracy to meet the various needs at government levels;
- (f) to encourage the evolution of effective accountability and transparency in public management processes;
- (g) to upgrade the standards of efficiency and effectiveness and improve the quality of service delivery.

Part 4: Towards a Policy Framework for Change

This vision and these goals will need to be concretised within government departments at both the national and provincial levels by the setting of appropriate, specific and measurable objectives; by the design and implementation of detailed strategies and plans for their achievement; and by the introduction of effective systems for the monitoring and evaluation of progress. This section of the White Paper sets out a broad policy framework to guide and inform these processes. Particular attention will be addressed to the following:

- meeting basic needs through improved service delivery;
- achieving representativeness through affirmative action;
- institution building and management;
- restructuring and rationalisation;
- improving pay and employment conditions;
- promoting effective labour relations;
- developing a professional ethos;
- democratising the state;
- the effective management of human resource development;
- monitoring and evaluation.

4.1 MEETING BASIC NEEDS THROUGH IMPROVED SERVICE DELIVERY

Service delivery must focus on meeting the basic needs of the 40 per cent or more South African citizens living below the poverty line, while ensuring continuity of services at all levels of society. Key departments such as Health, Education and Social Welfare are already addressing major social problems.

Delivery within these and other departments must be founded on the creation of government-community partnerships for effective use of public funds and community resources. Strategies must be developed to promote continuous improvement in the quantity, quality and equity of service provision. These will include:

- human resource development and organisation capacity building;
- the redirection of human and other resources from administrative tasks to service provision, particularly for disadvantaged groups and areas;
- the development of a culture of customer care and of approaches to service delivery that are sensitive to issues of race, gender and disability; and
- the introduction of total quality management techniques.

Mechanisms for development financing and resource management must support the objective of continuous improvement.

4.2 ACHIEVING REPRESENTATIVENESS THROUGH AFFIRMATIVE ACTION

4.2.1 The Need for Representativeness

Representativeness is one of the main foundations of a non-racist, non-sexist and democratic society, and as such is one of key principles of the new Government. Achieving representativeness is therefore a necessary precondition for legitimising the public service and driving it towards equitable service delivery. The Interim Constitution stresses the need for a "public service broadly representative of the South African community." (Section 212(2)(b) and Principle XXX of Schedule 4).

For centuries black people were systematically excluded from all positions of influence in the state and civil society. Although a small elite benefitted from the Bantustan dispensation, the majority of senior posts in government are still held by whites. Women and disabled people have been similarly disadvantaged, particular those from black communities. As a result, there has been an enormous waste in human potential. The skills, talents and experiences of such people were not developed and allowed to enrich the performance of the public service.

With the new dispensation in South Africa, this situation cannot be allowed to continue. To meet the new and challenging tasks with which it is faced, it is absolutely imperative that the public service draws upon the skills and talents of all South Africans, and derives the benefits of the broader perspectives that a more representative service will bring.

4.2.2 Making the Service more Representative

In countries that have tried to increase equal opportunities in employment through strategies that have fallen short of affirmative action, three main steps have typically been taken:

- the introduction of laws outlawing discrimination on the basis of such factors as race, gender, and disability;
- the introduction of reforms in the procedures for the recruitment, selection and promotion of staff to promote greater equal opportunity;
- the promotion of attitudinal changes throughout the organisation, especially at management level, to ensure the necessary commitment for the success of such changes.

In South Africa, all three steps are being pursued vigorously. The Interim Constitution specifically prohibits discrimination in employment in any form. And organisational and attitudinal changes to promote equal opportunities are an important component in the strategies for institution building, restructuring and rationalisation that will be covered later in this section of the White Paper.

4.2.3 The Need for Affirmative Action

Such steps, though important, are unlikely by themselves to lead to major changes in the representativeness of the public service in the short term. Attitudinal changes, for example, are often notoriously difficult to implement and frequently take many years to achieve. South Africa does not have the time to wait. The RDP White Paper, for instance, foresees a truly

representative service by the end of the decade, but also requires substantial change in the short term. "Within two years of the implementation of the programme, recruitment and training [in the public service] should reflect South African society in terms of race and gender " (RDP White Paper, Paragraph 5.10.3).

A more proactive approach is therefore vital, and this will predominantly take the form of affirmative action. The development and implementation of affirmative action programmes will allow special measures to be taken to ensure that people from disadvantaged groups inside and outside the public service will be identified and appointed through proper procedures within all ministries and at all levels of the public service, with the aim of achieving representativeness and improved service delivery.

4.2.4 Beneficiaries

The main beneficiaries of affirmative action programmes will be black people, women and people with disabilities. In developing appropriate programmes for such groups, it will be important to take into account differential levels of skill, qualifications and experience. Formally skilled and/or experienced persons from these disadvantaged groups would not be in need of additional training before being fast-tracked, apart from normal familiarisation and induction procedures. Those with potential but less skills, qualifications and experience would need to be exposed to accelerated and intensive training aimed at upward mobility and fast-tracking.

4.2.5 Quotas and Targets

It will be important to examine carefully the concept of "defined quotas" called for in the RDP. It might be more practical to work on the basis of measurable and achievable departmental targets reviewed from time to time.

4.2.6 Guidelines for Departmental Affirmative Action Programmes

Each department at the national and provincial level will be required to draw up a detailed affirmative action plan. Such plans will need to be consistent with the goals, objectives, norms and standards outlined in the Constitution and specified by the national government, particularly through its RDP White Paper.

Such plans will need to include, amongst other things:

- an audit of the composition of departmental personnel according to race, gender and disability;
- goals, objectives and measurable targets and outcomes for the affirmative action process;
- strategies and time-frames for their achievement;
- methods for the annual monitoring and evaluation of progress, including the production and use of accurate management information statistics;
- the people and units designated as responsible within departments for ensuring the effective implementation of affirmative action programmes;
- awareness raising and training strategies designed to promote a positive view of affirmative action and to discourage tokenism and the stereotyping of beneficiaries.

4.2.7 Time-Frames

The results of affirmative action will have to be visible within the first two years, 1994 - 1996. In line with the objectives of the RDP all ministries must define their affirmative action targets for the first two years, and present annual progress reports that will be subject to parliamentary scrutiny.

4.2.8 Monitoring and Evaluation

All ministries will be required to prepared detailed plans for the internal monitoring and evaluation of their affirmative action programmes. In addition they will be required, as indicated above, to present an annual progress report for scrutiny by Parliament. It is proposed that measures should be taken by Parliament in cases where ministries have failed to make visible progress towards their affirmative action targets within the two years stipulated in the RDP White Paper. Similar processes will be followed at the provincial level.

In order to fulfil its accountability to Parliament in accordance with section 209 of the Constitution, the Public Service Commission also has a major role to play in monitoring progress towards greater representativeness in the public service. In pursuit of this role and to ensure that targets are met, the Public Service Commission will, amongst other things:

- advertise revised criteria for hiring, training and promotion;
- embark upon intensive recruiting drives, focusing on candidates from disadvantaged communities,
- require decision makers to justify in writing a decision to hire, train or promote a candidate at senior management level who is not from a historically disadvantaged group; and
- establish a clear appeals system open to individual candidates or classes of candidates

4.2.9 Legislation

It is envisaged that programmes of affirmative action will be strengthened by future legislation designed to ensure the active and correct implementation of such programmes according to the law. Such legislation will need to be introduced into Parliament as soon as possible, and it will have to be carefully dovetailed with the Labour Relations legislation currently being developed.

4.3 INSTITUTION BUILDING AND MANAGEMENT

A major focus of the transformation process must be to build viable and self-confident institutions of government which correspond to the aims and objectives of the public service, which build for themselves a reputation for excellence among the communities they serve, and which are sustainable in the long term. This will require major changes in organisational structure and management philosophy.

4.3.1 New Organisational Structures

In accordance with the tasks and principles set for the public service, organisational structures will need to be flatter and less hierarchical. Although clear lines of responsibility and accountability will still be required, the emphasis will be less on the application of rules and more on the creative use of consultation and team work. To reduce the annoying and wasteful delays which resulted from the old system of referring even the smallest decision to a higher authority, all staff in the new organisation will be encouraged to take decisions and solve problems within their own area of competence.

These changes will need to be accompanied by a major shift in organisational culture, from a rule culture to one which is focused more on the achievement of tasks and the meeting of needs. Such a pronounced change in culture may not be universally welcomed, however, by management or staff. Training will therefore be required to explain the benefits of the new approach, to assuage misgivings, and to equip staff at all levels with the appropriate skills in team building and problem solving.

4.3.2 New Management Styles

A new philosophy of management needs to be developed, in which the resourcing, structure and culture of institutions is shaped not by domination and control, as in the past, but by the satisfaction of needs, both of the public and of staff. This will require a major shift in management styles, attitudes and skills, away from the previous emphasis on directing and controlling and towards a new emphasis on communicating, consulting, supporting, motivating and delegating. Training for managers in this new philosophy will clearly be imperative.

4.3.3 Managing Change and Diversity

The managers of tomorrow will need to be skilled in handling the complex processes of change taking place around them, and will require continuous refreshing and updating in such management skills.

One of the dimensions of change, arising from the successful implementation of affirmative action programmes, concerns the question of diversity. Public service institutions will increasingly become rainbow work-places, representative of the cultures and peoples of South Africa. Such diversity could and should become a major source of strength for the service. But in the short term, at least, it is also likely to pose problems. Conflicts may arise over the infusion of new ideas and new ways of thinking, and due to misunderstandings of a cultural nature between people at work.

The increasing diversity of the public service will therefore need to be managed effectively, to maximise the benefits and minimise the problems. Managers will need training in the management of diversity, to provide them with skills in team-building and conflict resolution, as well as a basic awareness of differences in cultural values, interpretations, behaviours and sign systems. Basic language training will need to be provided to many workers and managers to augment their mutual understanding of each other.

4.3.4 Management Information Systems

If the process of administrative transformation is to lead to much more effective and accountable systems of policy-making, implementation and evaluation, accurate and accessible information will be needed. This will require the redesign and upgrading of existing information systems, particularly computerised systems, to increase the accessibility and accuracy of information, as well as to improve communication between and within departments, and between different agencies and levels of government. Improved financial information systems will also be required, to facilitate effective programme budgeting, tighter financial accountability, and rapid auditing.

Information systems are a strategic and costly resource which requires the development of human resource capacity to ensure optimal use and maintenance of the systems. To ensure an integrated and cost-effective approach to the development of such systems, the Ministry will liaise closely with departments and provinces, and in particular with the RDP Office, the Central Statistical Services and the Department of Finance.

4.4 RESTRUCTURING AND RATIONALISING THE PUBLIC SERVICE

4.4.1 Restructuring

With the installation of the new government, a concerted programme of administrative restructuring has been embarked upon with the aim of correcting the distortions brought about by apartheid and establishing a public service that will efficiently and effectively deliver services and focus on integrated development. Thirty-three (33) National Departments have been established, together with nine (9) Provincial Administrations with their own Provincial Service Commissions. Powers have been granted to the provinces in accordance with the provisions of Schedule 6 of the Constitution. Provincial Governments are making progress, albeit with some difficulties, towards the integration of the administrations of the former "TBVC states" and "self-governing territories."

Restructuring is an on-going process which will need to be guided by necessary legislation and regulations. The Public Service Ministry and the Public Service Commission will in particular be required to provide guidelines within which individual ministries will restructure. These will include objectives and time-frames. The objectives will need to include the meeting of new programme priorities by departments, in line with the RDP and relating in particular to the promotion of representativeness, integrated development, and improved quality and equity in service provision.

The integrated approach to governance demanded by the RDP will require inter-departmental collaboration. The Cabinet has already established inter-ministerial committees, and this approach will need to be adopted throughout the public service.

4.4.2 Rationalisation

The process of administrative transformation and restructuring, though vital, is likely to be a difficult, complex, time-consuming and costly exercise. Of the many problems which will

undoubtedly be encountered along the way, two are of particular importance. The first relates to the availability of resources. South Africa already spends a relatively high percentage of its GDP on the public service, and the Government has indicated its commitment to bringing this percentage down over time. Few additional resources will therefore be available for the transformation process. The second problem relates to the guarantee of employment to existing public servants enshrined in the Interim Constitution. This would seem at first sight to have serious implications for the representativeness of the service and the introduction of new personnel practices, at least in the short term. Both of these factors will need to be taken into account in plans for the rationalisation of the service.

4.4.3 Rationalisation and Cost-Effectiveness

Careful planning will be need to be carried out to ensure that the rationalisation process leads to increasing efficiency and cost-effectiveness without penalising and reducing services to disadvantaged and deprived communities. A number of related strategies will be used for this purpose:

- the redirection of human and other resources away from less desirable programmes and administrative tasks towards service provision for the least resourced areas and groups at national, provincial and local level;
- the introduction of new strategic models for financial management to support this process, by refocussing departmental budgets towards the delivery of services to clients and to meeting outputs required by the RDP;
- the realisation of efficiency savings from increased productivity and the elimination of duplication and waste;
- the attraction of additional funds from international donors and the private sector; and
- the establishment of innovative partnerships between the departments, the RDP office, local communities and the private sector.

Individual ministries will be required to produce strategic plans to indicate the efficient use of human and other resources, and to provide a basis for comparing services and efficiency by department and province. Amongst other things, these should distinguish management and administrative costs from other personnel costs.

4.4.4 Rationalisation, Representativeness and Personnel Practices

It is important to stress that the Constitution guarantees employment not positions. No public servant has an inherent entitlement to retain his or her particular post. Existing posts may therefore be deleted, and new ones created. Opportunities for greater representativeness at the management level can be expanded, for example, through the introduction of early retirement and retrenchment packages.

All ministries will be required to develop procedures for transforming departments to carry out new policies, and for hiring and promoting new personnel. The new policies must be reflected in the entire recruitment and appointment process, from the advertisement of posts to the creation of enabling environments within departments.

The Ministry in consultation with the National Public Service Commission will investigate and establish new criteria for hiring, promotion, training and grading, as well as for a completely new job classification system. These criteria will, amongst things, make provision for candidates to demonstrate skills in terms of appropriate and non-discriminatory combinations of formal qualifications, informal training and experience.

The Office of the Public Protector would provide a first level of complaint or appeal for civil servants who consider that their rights or interests are being adversely and unjustly affected by the rationalisation process. The Office would be entitled to investigate apparent cases of impropriety or to turn cases on to the Public Service Commission or the Constitutional Court.

4.5 IMPROVING PAY AND EMPLOYMENT CONDITIONS

4.5.1 Pay and Conditions

The Government recognises that a necessary precondition for the development of an efficient, honest and well-motivated public service, committed to a professional ethos and work ethic, will be the introduction of more equitable pay and employment conditions for public servants. To this end the Government plans to ensure that an adequate minimum wage, equal pay for work of equal value and performance-related pay are introduced at all levels of the public service as soon as possible.

In addition, appropriate career paths will be developed for all public servants, linked to the provision of widespread training opportunities. At the same time, the number of grades in the public service will be reduced, supporting an approach towards competency-based evaluation and multi-skilling.

Conditions for women will be improved by the repeal of previously discriminatory practices, relating in particular to housing and pension entitlements, as well as by reforms in the tax system, maternity leave and flexible working hours. Facilities and conditions for the disabled will also need to be substantially improved.

To ensure fiscal sustainability, pay scale differentials will be reduced. This will be achieved by significant raises at the bottom, from the current low base; and relative restraint at the top, recognising the need to maintain a salary scale which is equitable if not comparable to market rates. Increases will be linked to training and productivity.

The Government will also work towards greater uniformity in standards and conditions of service across the country. This will require review and amendment of the 1994 Public Service Act, the Staff Code and other relevant regulations.

4.5.2 Public Service Pension Funds

The operation of public service pension funds, particularly in some of the former "TBVC states" and "self-governing territories," have been marked by recent controversy and clearly require rationalisation. Some of the funds are seriously underfunded. This is of particular concern to the national government, provincial governments and the fund members.

One possible route for rationalisation is a single national fund with national government having responsibility for pension payment. An alternative route would be to allow some measure of provincial control of pension funds-within a set of norms and standards applying nationally. Whichever route is followed, it will need to be premised on a fiscally and financially responsible philosophy, and must take place with the full participation of members of the pension funds.

The Ministry of Finance has advised that current draft legislation envisages that the rationalised fund(s) will be administered by a Board of Trustees. The Board will include representatives of employees and the state as employer. Consultation on the draft Bill will take place with representatives of all major stakeholders.

4.6 PROMOTING EFFECTIVE LABOUR RELATIONS

4.6.1 Towards Consensual Models of Collective Bargaining

The Government recognises that the relations between the public service as employer and public servants as employees will quite frequently be characterised by divergent views and interests. If these are not managed and harmonised effectively, conflict can easily result, as it very often did in the past, with serious and disruptive implications for service users.

For this reason the Government plans to move, and to encourage employee organisations to move also, towards more consensual models of collective bargaining based on effective negotiating structures and practices. If and when negotiations break down, the Government will naturally respect the constitutional right of workers to strike, particularly to break deadlocks. But it will expect the unions to use this right responsibly, as a last rather than first resort, thus minimising the disruption of public services.

An important step towards improving collective bargaining will be the repeal of the Public Service Labour Relations Act 1994, and its replacement by a single Labour Relations Act covering all workers. It is anticipated that this new legislation will substantially revise and improve strike procedures and dispute resolution. It will also have implications for the present Public Service Bargaining Council. It is proposed that a new bargaining council be established and that the redesign of bargaining arrangements take into consideration the need for effective representation and meaningful participation for provinces at the central negotiations.

4.6.2 Increased Participation by Labour in Policy Formulation

Public service employees are key to effective service delivery and their participation in policy formulation should enrich policy design and facilitate smoother and more effective implementation. At the same time, the active involvement of public sector workers and their representatives in the formulation of policies that have a direct bearing on their own employment conditions should have a positive effect on labour relations and the emergence of a consensual collective bargaining process. If workers feel that their ideas and views have been taken into account in the framing of policies, they are less likely to object when the policies are implemented.

Issues that might jointly be addressed by management and workers in the policy formulation process would include:

- representativeness and affirmative action policies;
- programmes of staff development and training;
- adequate and equitable pay and conditions for all public servants;
- participatory and open management;

Present conditions indicate that wage negotiations and matters relating to policy formulation should be dealt with in separate arrangements. Negotiations in the Bargaining Council on wages and conditions of service will still tend to be adversarial in nature, despite efforts to introduce more co-operative forms of negotiating. Policy-making on the other hand, is facilitated by a much more consensual model of negotiation. Alternative consultative mechanisms, such as the proposed Public Sector Forum, will therefore need to be developed to facilitate greater worker participation in policy formulation, at both the national, provincial and departmental levels.

4.7 PROMOTING A PROFESSIONAL ETHOS

The introduction of improved pay and conditions, effective career paths, greater opportunities for staff development and training, and more participatory forms of management should help to promote a more professional ethos amongst staff at all levels; and by so doing to contribute towards greater honesty, integrity and efficiency in the public service as a whole.

Other steps will be considered to facilitate this process. These include the introduction of a code of conduct for public servants and measures to eliminate corruption.

4.7.1 Code of Conduct

The introduction of a code of conduct is stressed, for example, in the RDP White Paper. Such a code, the White Paper argues, would "incorporate the principles of the new South African public service. The ethos should be professional in the most positive sense of the word; the public service must internalise the concept of serving the people. This Code must be enforced and annual evaluation of personnel should take into account compliance with the Code." (Para 5.10.1, p.126).

A draft code of conduct has now been developed and published. Comments and suggestions are currently being solicited by the Ministry and the Public Service Commission from a wide range of community organisations.

4.7.2. The Elimination of Corruption

The elimination of corruption within the public sector is an issue of considerable concern to the Ministry. In view of this, it is intended that a systematic programme will be introduced to prevent corruption and to punish offenders. Consideration is being given to the establishment of an Anti-Corruption Arm (ACA) which will be mandated to detect and expose corruption within the public sector. The ACA will be linked to the work of the Public Service Commission, the Public Protector and the police, while its activities will be jointly overseen by the Ministry and

the Office of the Public Protector.

4.8 DEMOCRATISING THE PUBLIC SERVICE

The RDP calls for democratisation, which goes beyond the right to vote, in both the public and private sectors. This will require a comprehensive approach to the development of a democratic and accountable public service. At one level, a democratic approach will facilitate internal accountability and democracy within the operations of the service. At another level it will ensure that its relationships with the public are also transparent, consultative and democratic.

4.8.1 Internal Democracy

Steps will be taken to ensure that each ministry has built-in mechanisms for regular internal accountability. These mechanisms should promote a participatory approach to decision making on the part of both workers and management. Details on such mechanisms, including the proposed establishment of a public sector forum, have already been provided in earlier parts of this section of the White Paper.

4.8.2 External Accountability

If the public service is to fulfil its essential mission of serving the public and meeting their needs, it is imperative that the public has an important role to play in influencing and evaluating policy, both indirectly, through elected parliamentary representatives, as well as directly. The promotion of a democratic and developmental approach in the delivery of public services will help to ensure that community self-reliance is advanced and dependency on the state is reduced.

Earlier parts of this section of the White Paper have specified some of the steps that will be taken to improve Parliamentary scrutiny of the public service. At the more direct level, ministries will be required to collaborate with relevant institutions within civil society, through bodies such as civics, residents and rate payers associations, other NGOs and private sector organisations. A set of criteria and working guidelines for such consultation and collaboration will be developed by the Government.

In order to promote democratic accountability and transparency, it will be necessary to ensure that all members of the public have easy access to information, irrespective of their levels of literacy. In particular, it will be necessary to inform all citizens of the role of the Public Protector in making enquiries and filing complaints. In addition, the public will be made aware of their own responsibilities and obligations with respect to public affairs.

4.9 MANAGEMENT OF HUMAN RESOURCE DEVELOPMENT

The development of South Africa's vast human resources is one of the five key programmes of the RDP. This is because the development of the country's human resources is central to the realisation of all the RDP's strategic objectives.

4.9.1 Building Public Sector Capacity

Responsibility for developing the creative energies and talents of South Africa's diverse communities does not lie exclusively with the state. For this reason the government foresees that a variety of social forces and institutions will become its active partners in building capacity for good governance. These will include community organisations, private sector agencies and institutions of tertiary education, .

The government, nevertheless, sees itself as playing a direct and active role in building public sector capacity. The development of this capacity will need to form part of the process of administrative transformation. To this end, there is a need for a strategic framework to promote the comprehensive mobilisation, utilisation, integration, training and development of human resources in the public service, at both the national and provincial levels. In developing such a framework, the following steps will need to be taken:

- the role of human resources policy will need to be changed and its status elevated within the overall framework of government policy;
- the position, role and value of trainers as human resources development specialists will need to be significantly redefined;
- an effective and lifelong career development system will need to be established for all categories of public servants;
- methods will need to be developed in order to directly relate training to the goals and performance of public sector organisations; and
- training will need to be positively related to policies on remuneration, promotion and recruitment in the public service.

4.9.2 Public Service Training and Education

Training and education will assist the government to develop the professional capacities of public servants and to promote institutional change. Training, thus, can contribute to the strategic goals of the state in a number of ways:

First, it will enable public servants to acquire a new development oriented professionalism; this will entail the development of a new work ethic, knowledge and skills with which to implement the RDP. Training will also enable officials to reorientate many of the values and practices which they acquired under the previous dispensation.

Second, training, if properly conceived and structured, can be a powerful instrument to anticipate as well as facilitate the introduction of institutional changes within the public service. Training should thus become a key instrument for institution-building; for this reason it cannot be developed in isolation and must be integrated within the overall strategic plans of public sector organisations.

Third, appropriate training will assist public servants to develop a better understanding of the needs of the communities which they are serving, as well as a capacity to respond to these needs. Training should be used to rapidly develop a new civic consciousness amongst public servants, and to develop new knowledge and skills which can be applied in creating a community-centred

public sector.

The public service has a need for managers who not only should have organisational and technical skills, but also the leadership and vision to innovate policies. Thus, loyalty to the government of the day should not preclude creative and visionary thinking on the part of public service managers.

To have optimal impact, training programmes must be directly and systematically linked to the wider processes of social and institutional reconstruction and development in civil society and within the state itself. For this reason:

- training should be needs-based and strategic, as opposed to formalistic and static;
- training inputs must be directly and dynamically linked to the institution-building and institution-transforming programmes of public sector organisations;
- training must be linked to the policy-making process, as this defines both its context and strategic purpose;
- training must be viewed as an interactive process, involving trainers and learners, as well as practitioners from outside the public service.

4.9.3 Targeted Training and Development

As a basic principle, the government has adopted the view that all public servants, from the most senior to the most junior, require ongoing training as an integral part of their professional life. The training of senior and middle management must be linked to the processes and policy-making challenges defined by the RDP. The training of workers must be linked to the new emphasis on customer care and service delivery, the development of career paths and the reorganisation of grading systems within the public service. Among lower-level workers, this will necessitate the rewriting of job descriptions to meet the new skills and knowledge requirements of the RDP.

Training programmes will need to be flexible in order to maximise workers access to in-service training; this will include access to adult basic education. Such in-service training will need to be linked to the National Qualifications System (NQS). The training and career development of public officials will also need to be conducted in close cooperation with public sector trade unions.

A number of immediate training targets may be identified; these would include the following:

- the induction and orientation of new lateral entrants to the public service;
- the retraining and reorientation of long-serving officials, particularly at senior management levels;
- the development of programmes in such crucial areas as policy management, strategic planning, leadership, organisational development, and the management of change and diversity; these will be targeted at senior and middle managers in particular;
- the targeting of training for the management and delivery of services in key departments and programmes linked to the RDP, especially in education, health, police and social services;
- the provision of accelerated and intensive skills training programmes for affirmative

- action beneficiaries;
- the provision of training in gender and race awareness, public service ethics, constitutional law, and human rights.
- the training and retraining of trainers.

4.9.4 Changing the Value and Status of Training

For training to become a genuinely interactive process, there will need to be a move away from the undue emphasis on the role of 'experts' in the learning process. Whilst an important role remains for professional trainers, there is a strong need to combine didactic and participatory methods of teaching and learning. This would imply the need to create a learner-centred training environment, which recognises and builds upon the experiences of the trainees.

For training to become an effective tool of organisational and strategic development in the public service, there will need to be a comprehensive review of the relationship between in-service training bodies, the Public Service Commission, and other agencies of the public service.

4.9.5 The Public Service Training Institute and Provincial Training Bodies

The Public Service Commission (PSC) at a national level, and the Provincial Service Commissions at provincial level, are responsible for ensuring that a proper policy on training is followed. The Public Service Training Institute (PSTI), which falls under the aegis of the PSC, is the single most important statutory body with respect to the provision of in-service training. Since the end of 1994, the composition and role of the PSTI has been under review by the PSC, and an extensive process of restructuring is envisaged.

The PSTI will make a substantial input in the provision of both line function and management training at all levels of the public service, both in central and provincial departments. This role will need to be complemented by inputs from provincial training bodies. It will also require greater flexibility in the current arrangement, so as to allow provincial training bodies the opportunity to make a more substantive contribution than previously to the provision of management training. The PSTI will thus need to jointly plan and coordinate the provision of training with all provincial training bodies.

4.9.6 The Need For External Training Provision

The Public Service Ministry is well aware that the need for training currently outstrips the existing capacity to deliver, both at national and provincial levels. As a general principle, therefore, the Ministry is open to the ongoing involvement of training organisations outside of the public service in support of its programme of capacity building.

Under the previous dispensation public sector training was largely conducted by the Training Institute (now the PSTI), while a limited amount of training was conducted within departments and within the former self-governing states. Supplementary training in management was offered by mainly white universities while a number of technikons provided additional technical training.

As the role of the PSTI is transformed, it is clear that its relationship with external training agencies will need to change. The Ministry is particularly keen to promote greater involvement by historically-disadvantaged tertiary institutions in its efforts to restructure the public sector. Their participation is essential, for both ethical and practical reasons. Given sufficient scope to develop, furthermore, their contribution could make a decisive impact in terms of the institutional, social and cultural transformation of the public service.

The desire to rapidly develop the capacity of historically-disadvantaged institutions should, however, not be seen as excluding the involvement of all of South Africa's many tertiary institutions. Their inclusion should not only increase the overall capacity to build good governance, but should also provide important resources for democratic change.

While tertiary institutions may make important contributions in all spheres of education and training, it is certain that they will play a pivotal role in the provision of more long-term, formative training and learning programmes. Such programmes will provide more solid, all-round skilling than is normally possible or feasible within short-term training programmes.

Community-based and non-government organisations possess a rich tapestry of knowledge, expertise and experience which should be directly and continuously used as a resource base for the public service. From these agencies public servants will be able to learn about the increasingly diverse and complex needs of local communities. They may also gain knowledge about negotiation and consultative skills, participatory learning and teaching, as well as human rights and civic consciousness training.

Apart from national institutions, government will also from time to time, and according to need, seek to encourage cooperation and exchange between training and development agencies inside South Africa and those outside the country. Ideally, this should take the form of institutional partnerships with a strong emphasis on local capacity building.

4.10 MONITORING AND EVALUATION

The establishment of appropriate mechanisms for the monitoring and evaluation of public sector programmes will be central to the process of administrative reform. This will need to be accompanied by the formalisation of channels of consultation. To this end, a Public Service Forum is being set up at which civil service managers, civil servants, public service unions, and reform agencies will have permanent representation. Structured opportunities for making representations at the Forum will be provided to non-members. The Public Service Forum will concentrate on negotiating and monitoring the internal reform of the public service.

The independent monitoring and evaluation of government programmes should be carried out on a regular basis. The Office of the Auditor General should carry out annual financial audits of all departments and provinces, as well as performance audits of a sample of programmes on a less frequent basis. The performance audit should be widened to include a review of the methods used and the levels of consumer satisfaction.

The Office of the Public Protector should be open to receive complaints from the public on service provision and programme execution, and should initiate its own investigations where

serious allegations of improper conduct are made.

In order to give full effect to the processes of reform, it is proposed that Transformation Units be established in each ministry. The membership of these units will be drawn from the staff of the ministries themselves. The transformation units will be mandated to ensure that restructuring, representativeness, accountability, transparency, equity and cost efficiency are actively pursued within government ministries. The work of the units will be co-ordinated by a Transformation Coordination Committee, situated within the Public Service Commission. Transformation units and co-ordinating committees will also be established at the provincial level. Responsibility for the provincial co-ordination units will be assumed by either the Premier's Office or the Provincial Service Commission.

Part 5: Organisational Implications

In order to translate the many policy recommendations and guidelines identified above into a meaningful and co-ordinated strategy for public sector transformation, a number of additional steps must be taken at the organisational level. Three are of particular importance:

- the identification, prioritisation and implementation of specific programmes of public sector reform;
- the identification of the key agencies responsible for driving the reform process, and the development of the necessary capacity and clarity of role to enable them to carry out their tasks effectively;
- the development of effective mechanisms for ensuring that the reform process is consultative and well co-ordinated.

5.1 PROGRAMMES OF ACTION FOR PUBLIC SECTOR REFORM

Reform and restructuring of the public sector will necessitate the implementation of a number of action programmes. Amongst those required will be the following:

- a general review of the structure and functions of the public service as a whole, including, in particular, the division of roles and tasks between central, provincial and local authorities; this will need to be followed by the introduction of appropriate reforms and, where necessary, the redeployment of staff;
- an internal review of each ministry, department, office and agency concerning its objectives, structure, function, staffing, and financing; this will be followed by the drafting of internal reform plans;
- a determined, phased programme of affirmative action, aimed at making the service both representative and efficient;
- a study on the viability of setting up Transformation Units within each ministry and department both to motivate change and evaluate the reform process; this would need to be tested through a number of pilot projects;
- a review and revision of the system, routines and procedures of planning, budgeting and financial execution, with a view to increasing public sector accountability; this would need to be undertaken in partnership with the Ministry of Finance;
- the development of appropriate systems of revenue sharing between the national and provincial tiers of government, which take into account the implications of the transformation process; this would need to be undertaken in partnership with the Financial and Fiscal Commission.

- the introduction of a system of performance auditing throughout the public service; this will require the development of appropriate performance indicators;
- a broad review of salaries, benefits and conditions of service in the public service, linked to the promotion of equity and effectiveness;
- the introduction of a widely accepted and understood code of conduct for civil servants, designed to promote honesty and accountability, a respect for human rights, and the development of a professional ethos;
- the rapid development of a comprehensive national training policy for the public service; this would include the prioritization of training needs and the implementation of an integrated training programme to meet them quickly and effectively;
- a substantial investment in the development, and where necessary the reform, of public sector training institutions, including those at the tertiary level;

5.2 STRENGTHENING AND RESTRUCTURING THE REFORM AGENCIES

A wide variety of agencies will be involved in the implementation, co-ordination and monitoring of the transformation process. These will include, inter alia, the Ministry for Public Service and Administration, the Public Service Commission, the Office of the Public Protector, the Office of the Auditor General, the Provincial Service Commissions, and the political and administrative heads of departments at the national and provincial levels. Measures must be taken to strengthen the capacity of these agencies, as well as to clarify and, if necessary, restructure their respective roles. These will need to be accompanied by enabling legislation, where appropriate.

Although all of these agencies will have an important role to play in the reform process, there is no doubt that the principal responsibility for driving the process rests with the Ministry and the Public Service Commission.

5.2.1 The Role and Independence of the Public Service Commission

The Interim Constitution makes provision for an independent and impartial Public Service Commission composed of three to five Commissioners appointed by the President. The PSC is mandated under the Constitution to make recommendations, give directions and conduct enquiries regarding the organisation, administration, conditions of service, personnel administration, efficiency and effectiveness, and comportment of the public service. The Constitution further mandates the PSC to plan, implement, and evaluate programmes of administrative development.

The PSC reports on a day to day basis to the Minister of the Public Service and Administration, whose Ministry is dependent on the support of the Commission's secretariat for its administrative infrastructure.

5.2.2 The Need for the Establishment of a Department within the Ministry for Public Service and Administration

The independence of the PSC is potentially threatened by a conflict of interests between its role as an independent monitor and arbiter of the activities, ethos and comportment of the public service and its role as a direct implementer of civil service policies. In the light of this, the Ministry intends to examine ways and means to strengthen the independence of the PSC. This may entail a separation of the Department of Public Service and Administration from the PSC Secretariat and its incorporation into the Ministry.

Following this restructuring, the Ministry would assume the administrative functions of the PSC and would fulfil a more appropriate role as the implementer of reform and development in the public service. The PSC, under this arrangement, would continue to act as an independent monitor, evaluator and arbiter in relation to the activities of the public service.

The division of responsibilities between the national PSC and the Department would need to be replicated at the provincial level. National-provincial relations would be structured along the following lines:

- remuneration levels and conditions of employment will be set at the national level; these will represent minimum standards which provinces will be permitted to raise but not to lower;
- national policies and targets will only be introduced after appropriate consultation with the provinces;
- the national PSC and Department must take responsibility for ensuring that revenue sharing between provinces takes due account of the personnel needs of individual provinces.

Further research on this proposed restructuring will be undertaken, particularly with respect to its administrative and constitutional implications.

5.3 CONSULTATION AND CO-ORDINATION

The need for effective consultation within and outside the public service has already been stressed in this White Paper as a vital precondition for the success of the transformation process. The role of the proposed Public Sector Forum will be particularly significant.

Co-ordination of the transformation process will also be vital, especially if the process is lead to the kind of integrated approach to reconstruction and development envisaged in the RDP White Paper. The Ministry for Public Service and Administration and the PSC will take the lead in this process, by ensuring that appropriate mechanisms are established to facilitate effective co-ordination between departments, as well as between the national and provincial tiers of government. If the proposed transformation units are set up as planned within individual departments, then one means of co-ordination would be the establishment of transformation co-ordination committees at both the national and provincial level to oversee and co-ordinate the activities of the different transformation units.

Part 6: Legislative Implications

In accordance with the Constitution (Section 212(2)(b)), the transformation of the public sector will need to be supported by appropriate enabling legislation.

6.1 REPEAL OF APARTHEID LEGISLATION

In implementing reforms within the public sector, numerous apartheid statutes, proclamations, regulations and by-laws will need to be repealed or substantially revised.

6.2 REVISION OF NEW LEGISLATION

Recent legislation pertaining to the public service, including the Constitution (Act 200/1993), the Public Service Act (Procl 103/1994) and the Public Service Labour Relations Act (Procl 105/1994), represent important steps towards the creation of a new public service. This legislation, however, is of a transitional nature and will need to be revised to give full effect to the policies in this document. This will include revision of many procedural rules in order to facilitate greater public participation in the public sector and in order to clarify procedures for appeal.

6.3 LEGISLATION ON FREEDOM OF INFORMATION

Existing administrative law will need to be revised substantially to accommodate forthcoming legislation on the freedom of information, since this will serve as a guide to the administration of official files and records. This legislation should stress the accountability which public officials have towards the legislative assembly and the public at large. It should also specify the procedures and structures to be followed in cases of administrative misconduct. Account will also need to be taken of the need to restrict access to some kinds of information where, for example, national security is threatened or where individual rights to privacy and confidentiality are likely to be constrained.

6.4 AFFIRMATIVE ACTION AND LABOUR RELATIONS LEGISLATION

The policy of affirmative action in the public service will need to be carefully legislated and closely coordinated with the Labour Relations legislation currently being drafted. The need for a uniform Labour Relations Act will need to be seriously addressed if inequity and discrimination between labour sectors is to be avoided. This would also help to promote more effective labour relations at all levels, particularly by strengthening the mediation services, streamlining the industrial court system and entrenching union organising rights. To that end, the Ministry is committed to a process of continuous consultation with public service unions, employee organisations, and public sector offices (at central, provincial and local levels) in the drafting of any new legislation.

6.5 LEGISLATION ON REFORM AGENCIES

New legislation will be necessary to delineate the respective functions of the Ministry of the Public Service and Administration and the Public Service Commission. Further legislation is required on a Code of Conduct for public servants. The role of the Office of the Public Protector, likewise, will require further definition in order to become fully operational.

6.6 DRAFTING THE NEW CONSTITUTION

Attention will be paid to ensuring that the text of the new Constitution is informed by the developments that have taken place in the function, form and objectives of the public service, since 1993.

Part 7: Financial Implications

The transformation of the public sector and the implementation of the policies elaborated in this White Paper will incur inevitable financial costs. It is anticipated that the majority of these costs will be absorbed within existing ministerial budgets, through the re-prioritising of expenditure and the achievement of efficiency savings. Some of the costs will not be absorbed, however, and will need to be accommodated within the national budget.

In the absence of a number of key studies on such complex issues as the financial implications of implementing a comprehensive programme of affirmative action or of establishing comprehensive training programmes, it is not possible to quantify the costs of administrative reform at this stage.

However, some of the costs likely to be incurred during the process of transformation are as follows:

- the setting up of transformation teams in ministries, departments, and provinces will incur some costs, although it is intended that most units will be staffed through the redeployment of existing personnel;
- the redeployment of public officials will require support to cover the costs of relocation and investment in new infrastructure and equipment;
- the programme of affirmative action will require funding for early retirement packages, for relocation of staff, for training and for new salaries and benefits;
- the equalisation of wages throughout the service will require major financing; this will be increased if uniform wages and conditions are to be established at all administrative levels;
- the upgrading of training institutions will require investments in terms of infrastructure, personnel, and equipment; the conducting of training programmes, likewise, will incur both direct and indirect costs;
- the installation of new information systems will require investment in equipment and in the training of users, as well as some running and maintenance costs.