LIMPOPO

PROVINCIAL GOVERNMENT

REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF SOCIAL DEVELOPMENT

POLICY DEVELOPMENT FRAMEWORK

JUNE 2012

CONTENTS

ACRONYMS AND ABBREVIATIONS 2

INTRODUCTION/PREAMBLE 4

PURPOSE AND OBJECTIVES 4

AUTHORITY OF THE POLICY 5

SCOPE OF THE POLICY 5

LEGAL FRAMEWORK 5

DEFINATIONS 6

POLICY PRONOUCNEMENTS 6

ROLES,RESPONSIBILITIES & POWERS . 7

POLICY DEVELOPMENT PROCESS 8

INSTITUTIONAL ARRANGEMENTS 12

LABOUR CONSULTATIVE FORUM 12

DEFAULT 12

INCEPTION DATE 12

REVIEW AND REPEAL OF THE POLICY FRAMEWORK 13

ENQUIRIES 13

ANNEXURE 1 14

ACRONYMS AND ABBREVIATIONS

The following acronyms and abbreviations are used in this Policy:

HR	Human Resources
SPPA	Strategic Planning & Policy Alignment
MEC	Member of the Executive Council
HOD	Head of Department
GM	General Manager
SMS	Senior Management Services
DSD	Department of Social Development

Policy is the most effective tool to ensure that management and administration within the department of Social Development is in line with the basic values and principles as laid down in the Constitution of the RSA and other legislative and policy mandates that will assist in ensuring the efficient and effective delivery of services. The separation or delinking thereof of the department of Health and Social Development necessitated that the department of Social Development should develop its policy framework that will serve as a guide towards developing policies.

There is a need to ensure that the manner in which the Department makes decisions and executes its mandate is predictable and consistent; policies are able to achieve this as well as provide employees and other stakeholders with information on the responsibility and limitation of a functionary in relation to a specific area of interest.

Policies should play a very important role as part of the internal controls within the department. This forms an effective mechanism to address some of the risks that the department faces.

Experience has shown that having policies drafted and approved is not enough to achieve the benefits stated above. The policies have to address relevant issues, and be implemented in such a manner that they are not easily nullified by courts or other superior authorities.

2. PURPOSE AND OBJECTIVES OF THE POLICY

The purpose of this framework is to guide the Department on the development of the Department of Social Development as well as achieve the following objectives:

1.1. To outline the principles that guides the development and management of policy.

1.2. To promulgate the responsibilities for policy development and management.

1.3. To provide for and outline the procedures and processes of policy development and management in line with the following steps:

- Development of a policy agenda

- Policy adoption/approval
- Policy implementation
- Policy Monitoring and Evaluation

3. AUTHORITY OF FRAMEWORK

This authority of framework is issued under the authority of the Member of Executing Council and the Head of Department as the Accounting Officer for the Department.

4. SCOPE OF APLICATION

This policy, except where otherwise indicated, is applicable to all employees and structures related to department and its entire institutions.

The directives outlined in this document relate only to the development and management of departmental policies, that is, policies, procedures, and guidelines that are applicable to the whole department.

Policies that have already been approved in terms of previous process will remain in force. The revision, amendment, or withdrawal of these, as well as the development of any new policy should be in line with this policy.

5. LEGISLATIVE FRAMEWORK

This policy is guided by the following legal prescripts:

No	Legislation
1	The Constitution of the RSA (Act 108 of 1996, as amended)
2	The Public Service Act (Act 103 of 1994, as amended)
3	The Promotion of Access to Information Act (Act 2 of 2000 (as amended)
4	The Promotion to Administrative Justice Act (Act 3 of 2000, as amended)
5	The National Archives and Records Service of South Africa Act (Act 43 of 1996, as amended)
6	The Labour Relations Act (Act 66 of 1995, as amended)
7	Public Service regulations 2001 (as amended)

6. DEFINITIONS

The following definitions are applicable for the purposes of this policy framework:

Policy - A policy is a "predetermined course of action established as a guide towards accepted business strategies and objectives."

Procedure - A procedure is a "method by which a policy should be accomplished; it provides the instructions necessary to carry out a policy statement."

Policy Agenda - A policy agenda is a formal recognition by an organisation that there is a need to develop or review certain policies in order to address specified organisational challenges with a time-frame for the development/review of such policies.

Policy sponsor - A member of the executive management under whose authority or guidance the policy will be drafted and who will promote the policy within the executive management and any higher authority.

7. POLICY PRONOUNCEMENTS

Policy development and management within the Department shall be guided by the following principles:

- **Consultation**. All the key stakeholders that are expected to affect or be affected by the implementation of the policy should be consulted at all stages of the development or review of the policy.
- **Information**. All employees who are affected by the policy should be informed about the prescript within the policy.
- **Batho Pele**. Policies that are developed within the department should consider the principles of "Batho Pele" in the first instance in relation to the external clients and secondly in relation to the employees of the department.

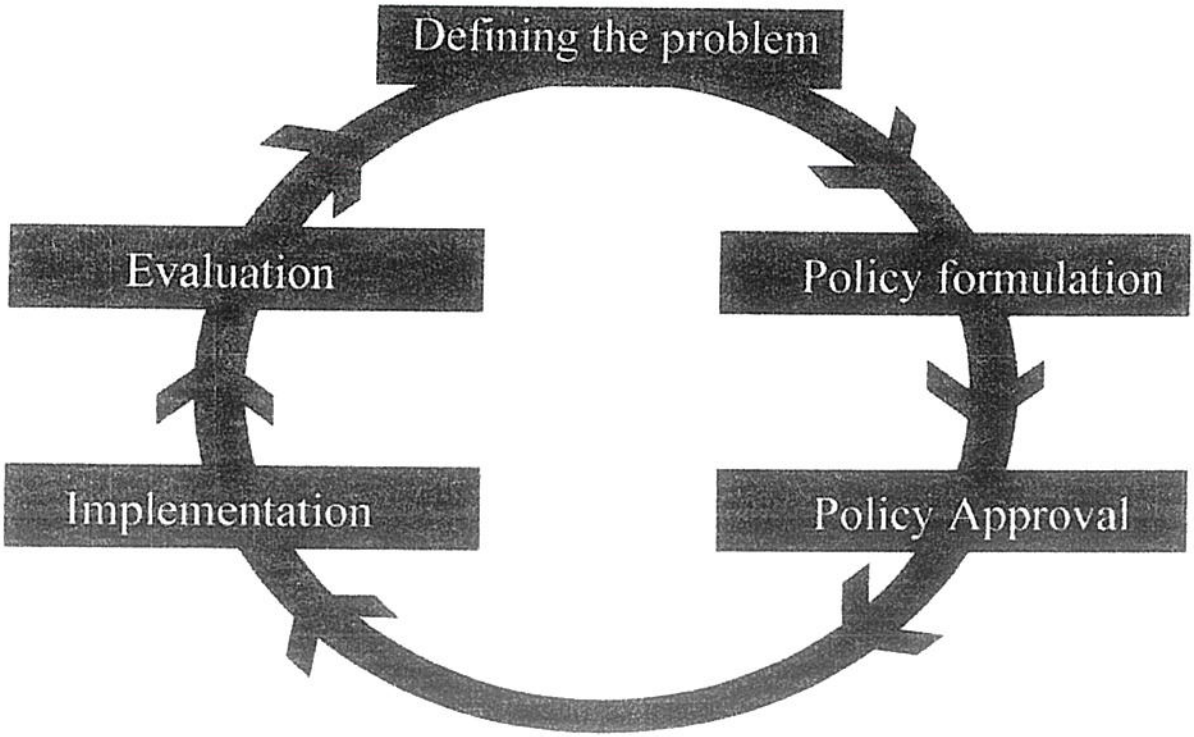
The roles, responsibilities, and powers for policy development and management within the department are outlined in the table below. These roles, responsibilities, and powers apply to departmental policies.

Authority/ Office	Policy Agenda	Formulation & Drafting Policies	Policy Approval	Policy Implementation	Monitoring & Evaluation
MEC	▪ Contributes to policy agenda ▪ Approve s development of new policies		Approves all policies applicable to whole department		Approves amendment of policy resulting from a review
HOD	▪ Contributes to policy agenda ▪ Can approve development of new policies in line with powers conferred by law or delegation	Recommends approval of draft policy to on advise of Executive Management	Can approve policies relevant to whole office in line with powers conferred by law or delegation		Can approve amendments to policies relevant to whole office in line with powers conferred by law or delegation
Executive Management	Inputs to policy agenda	Recommend the draft policy before submission to HOD and/or HOD	Nil	Implement policy within area of responsibility	Monitor and evaluate implementation of the policies at a strategic level
SMS members	Inputs to policy agenda	Draft policy within the area of responsibility supported by Strategic Planning &	Nil	Implement policy within area of responsibility	Monitors & evaluates policies within areas of responsibility

		alignment			
Strategic Planning and Policy Alignment	Inputs to policy agenda	Support all programmes & sub-programmes in the drafting of policies	Nil	Ensure that all policies are implemented in line with this policy	Monitors & Evaluates policies

9. POLICY DEVELOPMENT APPROACH/PROCESS

The policy development process entails a number of processes before a final policy is produced. These processes include extensive research, analysis, consultation and synthesis of information that lead to the compilation of the final policy document with specific desired outcomes. There are specific steps that need to be followed in developing a policy. Below are detailed processes that should be followed in developing policies within the Limpopo Department of Social Development.



The policy development process within the department will follow the following five steps:

Step 1: Development of a policy agenda.

- The primary responsibility to determine the need for a policy resides with the sub-programme or programme which is responsible for the issues addressed by the policy.
- A higher authority such as the MEC, HOD or Executive Management may identify the need for a new policy or review of current policy.
- Once the need for a policy has been identified it shall be approved by the HOD with inputs from the executive management and the Strategic Planning & Policy Alignment Unit.
- The policy sponsor shall inform the Strategic Planning & Policy Alignment Unit of the proposed policy.
- The Strategic Planning & Policy Unit shall maintain a record of the policy agenda.

Step 2: Policy formulation and drafting.

- The unit under which the policy issue resides will undertake the necessary research and consult with the relevant stakeholders including the Legal Services Unit.
- The policy shall be drafted to conform to the letter and spirit of legislation and higher level policies such as white papers and provincial policies.
- The policy shall be drafted in line with the formatting guidelines in Annexure 1.

Step 3: Policy approval process.

- The draft policy shall be presented to the executive management meeting for inputs prior to submission to the MEC, the HOD for approval.
- The memorandum covering the draft policy shall contain a summary of the key policy pronouncements as well as outline the consultative process followed.
- All submissions for approval of draft policies shall provide space for comment by the policy sponsor as well as the Strategic Planning & Policy Alignment Unit.
- The original signed copy shall be kept at the main registry and the Strategic Planning & Policy Alignment Unit shall keep copies of all policies.

- The policy sponsor must ensure that within 30 days after approval by the MEC or HOD, the policy is brought to the attention of all employees of the department and other relevant stakeholders.
- The HR unit must ensure that all new employees are informed of all policies applicable within the department.

Step 5: Policy monitoring and evaluation.

- The Strategic Planning & Alignment unit responsible for the issues addressed by the policy shall device a mechanism for monitoring and evaluating the implementation of the policy.
- The unit shall also confirm that all policies are subjected to a monitoring and evaluation process.
- Where it is concluded that a policy is not achieving the desired results, a policy review process, along the same lines as the policy development process, shall be undertaken.

The six guiding principles for evaluation are:

a. **Pluralism** - Evaluation implies considering in a balanced manner all the legitimate points of view the various stakeholders expressed about the evaluated activity.

b. **Independence:** Evaluation is carried out impartially and independently of programme management and decision-making processes. This independence serves to safeguard the public decision-makers' freedom of choice. Evaluation professionals inform their partners of any possible conflict of interests.

c. **Competence**: Specific competencies are needed to design, manage and commission evaluations, collect data and interpret findings. Evaluation professionals must update their skills consistently and explicitly mention their limitations. Recognized methods should be used, particularly those used by the international evaluation community.

d. **Respect:** Participants in the evaluation process must respect the rights, integrity and safety of all affected parties. They may not disclose the sources of any information or

e. **Transparency**: At the beginning of an evaluation it should be decided how findings will be disseminated. Presentations must clearly describe the object of the evaluation, its purpose, its intended audience, the questions asked, the methods used and their limitations, and the arguments and criteria which led to these findings. The findings of evaluations should be made public. The integrity of findings should be respected.

f. **Responsibility:** At the beginning of an evaluation, clear responsibility must be assigned for each function in the evaluation (defining the brief, the management process, research and analysis, formulating findings and recommendations, disseminating findings).

Persons and institutions involved in the evaluation process should make available appropriate resources and the information required to carry out the evaluation. They are jointly responsible for properly implementing the guiding principles set out in the signed charter.

10. INSTITUTIONAL ARRANGEMENTS

The Department of Social Development shall utilise the following structures for policy development and review:

11. Labour Consultative Forum

The Labour Consultative Forum shall be the structure where labour unions are consulted on departmental policies.

12. Executive Management Committee

The Executive Management Committee shall be the structure to ratify policies that have been consulted with labour unions. Such ratified policies shall then be processed for approval by the MEC or HOD so delegated.

13. DEFAULT

Any policy, procedure, or guideline that does not follow the procedures and processes outlined in this policy will not be approved by the relevant authority.

of the Public Service Code of Conduct or any rules or policies, that employee shall be charged with misconduct and the necessary disciplinary measures will be taken against him or her.

14. INCEPTION DATE

The inception date for this Policy Framework shall be within 30 days after the approval by the Executive Authority.

15. REVIEW AND REPEAL OF THIS POLICY FRAMEWORK

This policy framework will be reviewed by the Sub-programme and the Strategic Planning & Policy Alignment Unit at least every 24 months based on the comments and inputs from the stakeholders. The amendments resulting from the review will be processed in line with paragraph 0 of this policy.

This policy framework shall remain in force until and unless repealed by the Executing Authority.

16. ENQUIRIES

Enquiries regarding this policy should, in the first instance, be directed to the Strategic Planning and Policy Alignment Unit.

RECOMMENDED FOR APPROVAL BY:

HOD

25/9/12

APPROVED BY:

MEC: DR N MABASA

2012/10/23

Date

ANNEXURE 1

FORMAT FOR DRAFTING POLICY DOCUMENTS

1. COVER PAGE

1.1. The cover sheet is the first page of the policy that any reader will come in contact with and has to include the following information:

- The fact that the policy is that of the Department
- The name of the policy
- The revision/ version of the policy

1.2. The design of the cover page has to be in line with the province's corporate image.

2. CONTENTS PAGE

2.1. The contents page should at the very minimum indicate on which page the main headings indicated in this annexure appear within the policy.

2.2. A policy containing less than 5 pages does not need to have a contents page.

3. ACRONYMS AND ABBREVIATIONS

3.1. All the acronyms and abbreviations should be clarified in this section of the document.

4. EXECUTIVE SUMMARY

4.1. It is not always necessary to include an Executive Summary, however if the policy is more than ten (10) pages it is advisable that it should be included.

4.2. The Executive Summary should not exceed a page and always starts on a new page.

5. INTRODUCTION

5.1. The introduction should provide the necessary background and context of the policy as well as any preamble.

5.2. The introduction should always start on a new page.

6. PURPOSE AND OBJECTIVES OF THE POLICY

section. These form the basis of the policy pronouncements.

7. AUTHORITY OF POLICY

7.1. This section will mention the authority which issues the policy and thus reinforce the scope of application.

8. LEGISLATIVE FRAMEWORK

8.1. This section will list all the legal prescripts that form the basis and authority for the policy pronouncements within the policy.

9. SCOPE OF APPLICATION

9.1. A statement along the following lines will almost always be part of this section: "This policy, except otherwise indicated, is applicable to ..."

9.2. The scope could be clarified in terms of the type of activities and/or programmes the policies covered as well as the organisational depth and width of the policy.

10. DEFINITIONS

10.1. Special focus should be on defining words and concepts with special meanings or interpretation.

11. POLICY PRONOUNCEMENTS

11.1. This section is the core of the policy document and requires to be particularly well crafted and explain the expectations.

11.2. Every objective of the policy has to be addressed by the policy pronouncements.

12. DEFAULT

12.1. This section should state the consequences of non-compliance with the policy.

13. INCEPTION DATE

13.1. Extreme caution should be taken regarding backdating the inception date of a policy; this should generally be avoided.

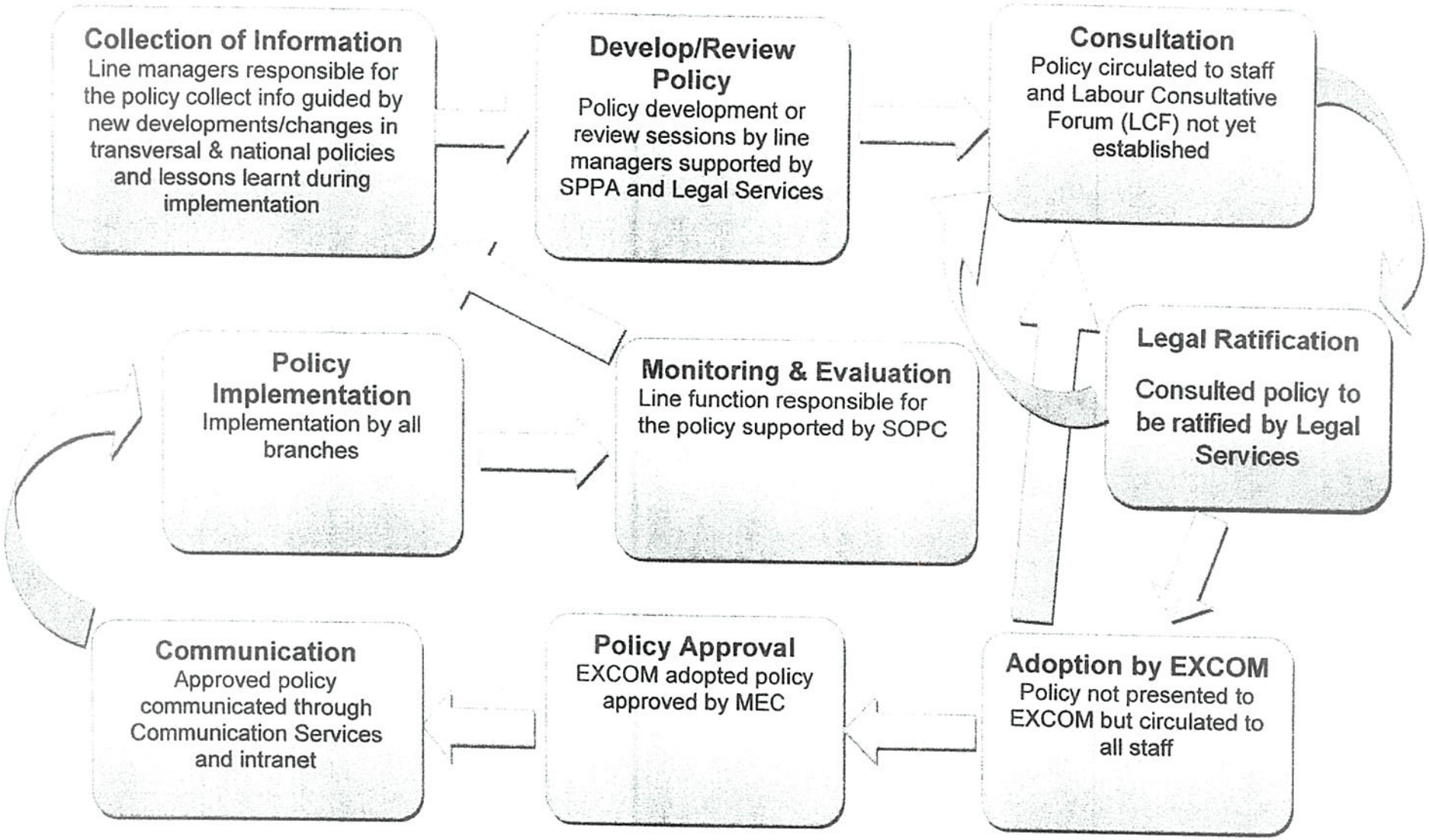
14.1. This section should indicate under which conditions would the policy reviewed or terminated.

15. ENQUIRIES

15.1. The unit, rather than the individual officer, to which enquiries on the policy should be stated here.

16. RECOMMENDATION AND APPROVAL

16.1 Provision should be made for the HOD to recommend approval by the MEC as well as date of approval.


Collection of Information
Line managers responsible for the policy collect info guided by new developments/changes in transversal & national policies and lessons learnt during implementation
Develop/Review Policy
Policy development or review sessions by line managers supported by SPPA and Legal Services
Consultation
Policy circulated to staff and Labour Consultative Forum (LCF) not yet established
Legal Ratification
Consulted policy to be ratified by Legal Services
Adoption by EXCOM
Policy not presented to EXCOM but circulated to all staff
Policy Approval
EXCOM adopted policy approved by MEC
Communication
Approved policy communicated through Communication Services and intranet
Policy Implementation
Implementation by all branches
Monitoring & Evaluation
Line function responsible for the policy supported by SOPC