



KWAZULU-NATAL PROVINCE

**OFFICE OF THE PREMIER
REPUBLIC OF SOUTH AFRICA**

POLICY GUIDELINE ON DEVELOPING MACRO POLICY IN KZN PROVINCIAL GOVERNMENT

2021

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List of Annexures

Annexure	Relevance
1. KZN Policy Inventory Template	This document provides a tool to assist with the coordination and tracking of policy development against key priorities of the Provincial government.
2. Example of Policy Instrument Inventory Report	This provides an example of how the policy inventory and tracking systems culminate into a report to inform policy management processes.
3. Socio Economic Impact Assessment System (SEIAS) April 2020	Provides a summary diagram of the National SEIAS approach. The Socio-Economic Impact Assessment System (SEIAS) Manual seeks to guide departments on the use of the system during policy and legislation development processes. The document outlines the rationale, objectives, roles and responsibilities, and the two phases of SEIAS.
4. MTSF and PGDS Alignment	Extract provided for information purposes to illustrate key priority areas in KZN.
5. Generic Policy Development Process	This serves as a checklist of each of the six steps in the policy development process. This is a generic approach and readers are encouraged to also peruse checklists from the website as the nature of policies and policy instruments would determine the ultimate approach.
6. Policy Document Outline	Given the diverse nature of policy and policy instruments, this guideline is not intended to be a “one-size-fits-all” approach but rather to serve as a guide of key elements to be considered.
7. Executive Council Submission Compliance Check List	This is the Compliance Check form for Executive Council memoranda
8. Links to Key documents	Provides links to key documents and tool sets available

1. Introduction

Policy management is a core function of government however, policy and planning functions operate in a dynamic and complex environment. It is ever changing due to societal-, economic-, and technological- and knowledge factors that make it more complex. The sources of policy and strategic issues in communities are often unclear, especial when more than one department and often more than one level of government are involved. Hence, the alignment, coordination and integration of all policy instruments is crucial for success in making a collective impact on communities. The legitimate demand from communities to participate in the processes of policy making and planning with a view to acquiring ownership of these policy issues and processes is also increasing.

Factors of globalization and fiscal resource limitations contribute to uncertainty and pressure on the government in less developed countries to adopt specific policies that do not necessarily serve the national interests of the countries. In such political conditions, the social and economic environment necessitate that government adopts responsive and developmental public policies, while also appointing competent, experienced and capable managers, policy analysts and planners involved in the design and delivery of policies and programs.

All South Africans government functions are broadly premised, prescribed and defined in the Constitution of the Republic of South Africa (1986) and are concretised, crystalized and embedded in the specific sector policy and legislative frameworks to provide line function departments their respective mandates, powers, authority, functions, obligations, delegations, roles, responsibilities against which and on which the government departments are obliged to periodically provide public accountability, performance accountability and financial accountability on the implementation of those functions to the relevant authoritative institutions, such as parliament, Auditor – General, Public Protector and other oversight and monitoring structure.

The public sector environment in which the government functions are executed is regulated by the policy and legislative provisions that direct the public policy management system of the government. The sequence of public policy management system start with the policy making that is followed by planning, which in turn proceeds the financing and after is organising, subsequent to this is staffing personnel that is followed by the procedure making controls and implementation, monitoring, evaluation reporting and review.

Each government sectoral departmental line function has specialised functions that are executed on the basis of division of labour for efficiency and manageability purposes. All the line functions in departments, including the Office of the Premier are all mandated by the policy frameworks that prescribe what is to be done based on which plans, implemented by which specialised programmes in the department with which and how which allocated financial resources and when and how the reporting should be done and by who should accountability be rendered.

The absence of provincial guideline result in departments developing sector policies in isolation from one another and do so differently, in some instances without taking into account critical policy imperatives and processes. This tends to compromise the quality of the policies and suggest a need for uniformity and standardisation of policy

making and policy development processes. However. The peculiar nature of line function policy needs is to be taken into account and as such, this document serves as a recommended guideline to ensure key policy development factors are taken into consideration in the development process.

This provincial guideline provides the principles and values to be taken into account to ensure the common standard and criteria that the departments should use in shaping the policy form, structure and provisions.

The provincial guideline on developing Macro Policies for provincial government also provides the conditions and circumstances under which such policies should be developed and the need for authorisation of both their development, adoption and review by the Provincial Executive Council. It will also provide a framework that will be used by the Office of the Premier to facilitate the policy and programme co-ordination and alignment of the provincial government policies with the national government policies in order to ensure policy coherence and integration.

The primary purpose of this document is to guide provincial government departments and their entities with key factors and basic tools to assist them in the method and process of developing their policies. It also provides guidance on policy imperatives that should be considered when formulating Macro Policies for KwaZulu-Natal Provincial Government, whilst also indicating the need to improve coordination and integration. Policy developers and Policy makers are encouraged to use this guideline as a reference resource document throughout the process of policy making.

2. Background

2.1 Context

The Provincial Government of KZN has acknowledged the need to improve policy management technical capacity policy co-ordination alignment of the Policies, Plans and Programmes. This has been reaffirmed in its Cabinet Lekgotla of February 2017 where the Provincial Executive Council took a resolution that Policy Developers and Policy Makers should ensure that all Macro Policies address the priorities of government. With introduction of which SEIAS at a Provincial it is hoped that this will be a possibility. SEIAS is a policy analysis tool aimed at improving policy and law making in South Africa for reduction of excessive regulatory and administrative burden placed on different groups of the society.

This resolution supports previous expressions in which it had been resolved that:

All Macro Policies should be aligned with priorities of Provincial Government. This Provincial Executive Council Resolution resonate well with the provisions of the Cabinet Handbook of 2002 and 2014 which stipulate that Macro Policies should address Provincial Government Priorities and should be aligned with other policy instrument.

This also responds to diagnostics undertaken in 2010 and 2011 by the National and Provincial Planning Commissions in which the need to ensure alignment was

expressed. The National Development Plan also stress about the need to ensure policies are not failing. Moreover, at provincial level, this was also extended to ensure that an inventory of policy instruments was maintained and that alignment to the PGDS/P is assessed. The policy audit results were earmarked to be utilised together with the Provincial Growth and Development Plan (PGDP) to improve governance and coordination of policies of the provincial government. The Action Workgroups which are aligned to the objectives of the PGDP are the engines of the implementation of the growth strategy of the province of KwaZulu-Natal.

This implies that when Macro Policies are developed due regard should be dedicated to the determination of the synergy between the policy statements of intent interventions on the other hand priorities on the other hand. Macro policies will respond to policy problems that are viewed by the Provincial Government as priorities to be addressed.

Policy audits and capacity assessment undertaken by the Office of the Premier in the context of policy development also indicates that capacity in the policy management flied is varied, thus also impacting negatively on the quality policy development and coordination outputs.

It is against this brief background that this policy guideline is formulated.

2.2 Current systems and processes

Whereas the policy alignment and prioritisation matters had been communicated in the PGDS and PGDP, since its inception, several tools had been developed to promote policy alignment to priorities. These include the following, and where possible, have been appended to this document for ease of reference:

- a. Cabinet Manual 2020.
- b. Policy Instrument Inventory established updated 6 monthly through the Policy Forum, (*Annexure 1*) with a report tabled at the Provincial Planning Commission (example attached as *Annexure 2*). This includes the most recent schedule of policy instruments – based on inputs received from departments; as well as a draft inventory of policy areas to be tracked based on National and Provincial Priorities
- c. In 2007, following a project undertaken by the Presidency and the National Treasury, Cabinet approved that Regulatory Impact Assessments (RIAs) be piloted for two years. The proposed end state was for RIA to be integrated into existing Cabinet and Parliamentary processes and to be undertaken for all regulations, including subordinate legislation. During the pilot period, very few RIAs could be undertaken as RIAs were not integrated into departmental processes. The two-year pilot expired in 2009 and was not renewed. The RIA's narrow focus on economic costs and benefits to business needs to be coupled with ensuring a greater alignment of strategies around the broader cross-cutting national priorities of economic growth, employment, equality, social cohesion and stability, and environmental sustainability. It is also important to evaluate risks as well as static costs and benefits.

- d. SEIAS was approved by Cabinet in 2015 to replace the Regulatory Impact Assessment (RIA) to ensure that policies, bills and secondary legislation are aligned to national priorities and the National Development Plan (NDP). The system is coordinated by Policy and Research Services in the Presidency.
- e. The DPME has developed the Socio-Economic Impact Assessment System (SEIAS) This has been updated by the Presidency and the 2020 edition links are attached (*Annexure 3*). This provides a summary diagram of the National SEIAS approach. The Socio-Economic Impact Assessment System (SEIAS) Manual seeks to guide departments on the use of the system during policy and legislation development processes. The document outlines the rationale, objectives, roles and responsibilities, and the two phases of SEIAS. **It is to be noted that as per the Presidency, these templates are prescribed – deviations need to be accommodated within the current templates provided on the website.**
- f. As per SEIAS Guidelines which were approved by Cabinet in 2015, SEIAS is to be applied to the following:
- (i) New or to be amended primary legislation.
 - (ii) Subordinate legislation that can have a significant impact on society.
 - (iii) Significant regulations, legislations and policy proposals.
 - (iv) Major amendments of existing legislation, regulations, policies, frameworks, strategies and plans that have country coverage with high impacts.
- g. Various generic tools are available to assist with the various stages of policy development. These are not exhaustive, and it is not the intention of this guideline to include all of these. The following, however, have been recently promoted by the DPME to assist practitioners:

Generic tools are available to assist with the various stages of policy development:

Table 1: Generic Tools

Tool	Purpose	Location
Theory of Change	Assist with ensuring policy and programme developments follow a structured approach in problem solving and/or effecting changes through policies and policy instruments. It also includes means of informing the monitoring and evaluation framework	Contained in : http://www.treasury.gov.za/legislation/pfma/TreasuryInstruction/Guidelines%20for%20Implementation%20of%20the%20Revised%20Framework%20for%20Strategic%20Plans%20and%20Annual%20Performance%20Plans.pdf
SEIAS	<ul style="list-style-type: none"> • Departments analyse risks and costs associated with the 	Extract is appended and adjusted for the KZN context

Tool	Purpose	Location
Note: The use of The Presidency Guidelines /Templates are compulsory	<p>development of policies, legislation and regulations and propose ways to mitigate them.</p> <ul style="list-style-type: none"> • Contribute more to improving policies, rather than only helping to decide whether they are worthwhile. • Help address the blockages to consistent implementation to date and point to ways to improve the effectiveness and efficiency of implementation. 	<p>(Annexures 3), however these are also available from http://www.thepresidency.gov.za/SEIAS</p>
Problem Identification, Solving and Planning tools, frameworks and guidelines	These include cause and effect, problem tree, log frame.	http://www.treasury.gov.za/legislation/pfma/TreasuryInstruction/Guidelines%20for%20Implementation%20of%20the%20Revised%20Framework%20of%20Strategic%20Plans%20and%20Annual%20Performance%20Plans.pdf
Programme Implementation Guidelines (DPME Guideline 2.2.3 Guideline for the planning of new implementation programmes)	Assist with the development of programmes to support policy implementation	https://evaluations.dpme.gov.za/pages/guidelines-other-resources
Monitoring and Evaluation tools	Guides various approaches to evaluations to assist with appropriate action/responses to policy/process reviews	https://evaluations.dpme.gov.za/pages/guidelines-other-resources

The Presidency has updated the SEIAS Model and the templates to be used are attached as *Annexure 3 (Appendix 1)*. As per the instruction from the Presidency, these should not be amended in any way at this stage. The KZN adjusted process flow to implement Phase 1 and 2 of the revised model is attached as *Annexure 3 (Appendix 2)*.

3. Purpose of the Policy Guideline

The purpose of this Policy Guideline is to provide broad technical policy guidance and support to the Policy Makers and Policy Developers to ensure that Macro Policies respond to the priorities of government. It is to be noted that this document does not

seek to replace the National initiatives but to support the provincial manifestation thereof.

4. Objectives of the Policy Guideline

The objectives of this guideline are as follows:

- To facilitate responsiveness of Macro Policies to the government priorities.
- To sensitise and support Policy Developers on the need to the alignment of Marco Policies with government priorities.
- To improve Policy Co-ordination and Alignment.

5. Principles of this Guideline

This Policy Guideline is underpinned by the following principles to be considered when developing policies.

- Macro-Policies must comply with the imperative equity and fairness in the distribution of national resources.
- Macro Policies must advance democratic values and human rights as enshrines in Chapter of 2 of Act 108 of 1996 (Constitution of RSA).
- Macro Policies must directly address, Poverty, inequality and unemployment.
- They should be clear implementation plans of Macro Policies adopted by the Provincial Executive Council.
- Macro Policies must not contradict or duplicate one another and they should not contradict National Policies and or any legislation.
- Macro Policies must be aligned to the Sustainable Developmental Goals, National Development Plan, national policies, Medium Term Strategic Framework, Provincial Growth and Development Strategy and-Plan and key national and provincial priorities.
- All Macro Policies must be subjected to (SEIAS) for potential impact assessment and there should be alignment and co-ordination between National, Provincial and Local Government Policies.
- The process is informed by the **National Policy Development Framework** – Please refer to <http://www.thepresidency.gov.za/download/file/fid/2079> to access the overarching document.
- **SEIAS Application Manual.** Please refer to <http://www.thepresidency.gov.za/download/file/fid/2076>.
- **Policy and Legislative Process Map.** Please refer to <http://www.thepresidency.gov.za/download/file/fid/1889>.

6. Macro Policy Development Guideline

6.1 Definition

WHAT IS “MACRO/PUBLIC POLICY”? There are numerous definitions of public policy found in literature and used amongst practitioners. Following are some examples:

“A proposed course of action of a person, group or governments within a given environment provided obstacles and opportunities which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or purpose.” (Frederich 1963, p. 79).

“Commitment to a course or plan of action agreed to by a group of people with the power to carry it out.” (Dodd et al., p, 2).

“A plan of action agreed to by a group of people with the power to carry it out and enforce it.” (Capacity Building, p.1).

For the purposes of this guideline and in the context of the KwaZulu-Natal Provincial Government, “public policy” or “macro policy” will refer to statements of intent outlined and formally adopted by the Provincial Cabinet as macro-level interventions aimed at improving the lives of citizens in KwaZulu-Natal.

Within this context, a policy can be defined as a plan of action to guide decisions to achieve rational outcomes. It is a statement of government intent, and ways of realizing intent through the efficient and effective use of public resources and authority. It is also a purposive course of action to address a particular need or problem and translating these real or alleged/perceived problems into a future state or solution. This is also aligned to the “outcomes based” approach adopted by the South African government through the National Development Plan, and the KwaZulu-Natal Provincial Growth and Development Strategy and Plan.

Whilst law can compel or prohibit behaviours, policy merely guides actions towards achieving desired outcomes. Broadly, policies are typically instituted to avoid (proactive) or address (reactive) negative effect(s) and undesirable outcomes that have been noticed and to stimulate change, usually over a period of time. Furthermore, in the context of the public sector, policies are developed to meet the needs of the public and also assisting in reducing or minimising risks that may be experienced during policy implementation.

Literature illustrates that alternative, overlapping policy classifications or typologies exist, e.g.: Public, voluntary and private sector policies; political, sectoral, written and unwritten. The line of distinction between policies, guidelines and strategies is often blurred. Typically, policy deals with the broader context of what needs to be done and why, whilst implementation strategies and operations address the how, when, by who and with what resources (Cloete 2011:14).

Policy is context specific and as such is affected by the continuing changes in the macro-environment and the subsequent impact on implementation through various factors (e.g. political, economic, social, cultural and organisational environments etc.). It is therefore not surprising that the policy development process follows a similar process and techniques to that of problem solving, research and strategic planning. The adoption of the outcomes-based orientation in South Africa underpins the move towards policy development that is measurable at impact and outcome level, which is enabled through a range of outputs, supported by processes. A logic model is used to link inputs, activities, outcomes and impacts, as per the following diagram, adopted from the Treasury Guidelines for Strategic Plans and Annual Performance Plans:

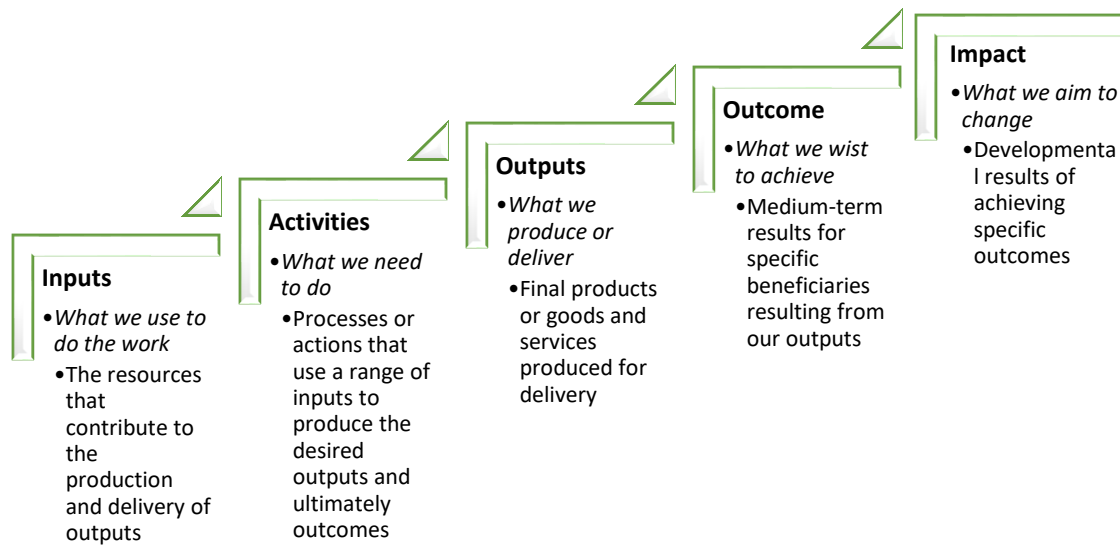


Figure 1: Key Performance Concepts

6.2 Content considerations

6.2.1 Government priorities

Whilst government priorities are communicated through the manifesto of the ruling party. Government has adopted the outcomes approach which is embedded in and a direct resultant of the electoral mandate.

The NDP and Medium-Term Strategic Framework (MTSF) is an expression of government's Programme of Action where strategic priority areas were identified. This MTSF 2019 - 2024, outlines the implementation priorities across South Africa's national development priorities for the sixth administration. It is built on three foundational pillars:

- 1) a strong and inclusive economy,
- 2) capable South Africans, and
- 3) a capable developmental state.

The MTSF 2019 - 2024 translates the ruling party's electoral mandate into government's priorities over a five-year period. The three pillars set out above underpin the seven priorities of this strategic framework. These priorities, which will be achieved through the joint efforts of government, the private sector and civil society, are as follows:

- A capable, ethical and developmental state.
- Economic transformation and job creation.
- Education, skills and health.
- Consolidating the social wage through reliable and quality basic services.
- Spatial integration, human settlements and local government.

- Social cohesion and safe communities.
- A better Africa and world.

Cross-cutting focus areas: The NDP Vision 2030 prioritises the significant role of women, youth and people with disabilities in our society. If these three groups are strong, our whole society will be strong. These are cross-cutting focus areas that need to be mainstreamed into all elements of South Africa’s developmental future and all programmes of government. They will inform interventions across the three pillars

Based on the current policy priorities and findings of the strategic analysis, it was found prudent and in the best interest of alignment, coordination and integration to adjust the framework of this reviewed PGDS to reflect the seven priorities as pronounced in the 2019 -2024 MTSF. The former 7 PGDS Strategic Goals have been translated and transformed into seven new MTSF priorities.

The long-term vision of the macro national and provincial plans is guided by 5-year strategic frameworks and implemented through annual implementation plans, as indicated in the table below:

Table 2: Macro Planning Alignment

20 Year Vision	5 Year Horizon	1 Year Horizon
NDP	MTSF (5 years)	Annual Implementation MTSF
PGDS	PGDS (5 years)	PGDP Provincial Implementation Plan MTSF
DDM	DDM One Plan, One Budget (Long Term)	Annual Integrated Development Plans (IDPs)

At a provincial level, this has been customised at provincial level through the adoption of the Provincial Growth and Development Strategy- and Plan. It is fully aligned to the:

- United Nations Sustainable Development Goals (SDGs)
- African Unity Programme Goals 2063.
- NDP
- 2019 - 2024 Medium Term Strategic Framework (MTSF).
- Eight Provincial Priorities as announced by the leadership of the Sixth Administration.
- Spatial Planning and Land Use Management (SPLUMA) Principles.
- KZN Radical Socio-Economic Transformation Programme.
- Operation Sukuma Sakhe (OSS) Principles.
- The District Development Model (DDM) as a new approach to district level integration

Table 3: National and Provincial Priorities

MTSF National Priorities	Provincial Priorities
Priority 1: Capable, Ethical and Developmental State	Priority No. 8 - Build a Caring and Incorruptible Government
Priority 2: Economic transformation and job creation	Priority No. 2 - Job Creation Priority No. 3 - Growing the Economy Priority No. 4 - Growing SMMEs and Cooperatives
Priority 3: Health and Education	Priority No. 5 - Education and Skills Development
Priority 4: Consolidating Social Wage through reliable and quality basic services	Priority No. 1 - Basic Services
Priority 5: Spatial integration, human settlements and local government	Priority No. 6 - Human Settlement and sustainable livelihood
Priority 6 : Social Cohesion and Safe Communities	Priority No. 7 - Build a Peaceful Province
Priority 7: Better Africa and the World	Priority No. 3 - Growing the Economy Priority No. 7 - Build a Peaceful Province

The strategy aspires to achieve this vision through alignment to the National Priorities expressed through the MTSF, including those interventions relevant to the Province, as well as provincial specific needs.

In addition to this, focus areas requiring intervention to respond to changes in the environment should be aligned to these goals, noting that areas of emphasis would be articulated through government structures, including Lekgotla and FOSAD, and find expression in the SONA and SOPA, and could find expression through priority intervention updates in the annual revision of the PGDP/KZN MTSF Implementation Plan.

6.2.2 Summary of Policy imperatives to be considered when developing Macro Policies

It is important that when Policy developers draft Macro Policies in their respective Departments the mandate of those policy drafts are featured as the bases for Policy Formulation. These policy mandates should guide the process of aligning the policy proposals with government priorities. Hence policy imperatives provide the contextual premise for policy development in the government. The following are some of the Policy Mandates that informs the development of this framework.

These include:

- The Constitution of the Republic of South Africa.
- National and Provincial legislation.
- National and Provincial Priorities.
- Medium-Term Strategic Framework.

- Transversal and sector specific National and provincial policies (e.g. Land Reform and Redistribution Policy; Rural Development Policy and Legislative Framework); National Development Plan and Medium Term Strategic Framework (however, noting possible constitutional mandate priorities and assignments, RASET, RET, Economic Reconstruction and Recovery Plan).
- PGDS/P Most recent editions.
- State of the National Address (SONA), however, noting possible constitutional mandate priorities and assignments.
- State of the Province Address (SOPA).
- Provincial Executive Council Resolutions.

6.2.3 Policy Mandates

It is important that when policy developers draft macro policies in their respective departments the mandate of those policy draft are featured as the bases for policy formulation. These policy mandates should guide the process of aligning the policy proposals with government priorities. Hence Policy Mandate provide the contextual premise for policy development in the government.

6.2.4 Process and Methodology

The very term development may be taken to imply a neat, incremental, highly rational and structured approach. This is rarely the case. Authors also propose different terminologies and approaches and models. This is largely as a result of the dynamic nature of policies: different situations and different ideologies need different approaches. As indicated, the process is informed by:

- the **National Policy Development Framework** – Please refer to <http://www.thepresidency.gov.za/download/file/fid/2079> to access the overarching document.
- **SEIAS Application Manual.** Please refer to <http://www.thepresidency.gov.za/download/file/fid/2076>.
- **Policy and Legislative Process Map.** Please refer to <http://www.thepresidency.gov.za/download/file/fid/1889>.

A typical process is outlined in the following diagram:

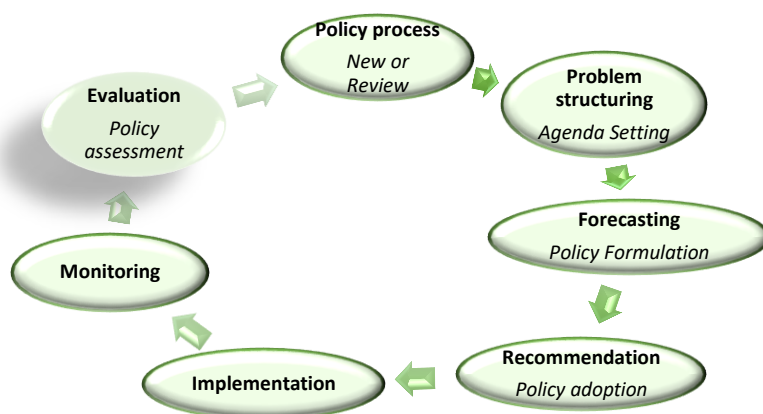


Figure 2: Typical Process Flow

A sound process will also consider the following checklist:

Table 4: Process checklist

10-point plan		Pass-mark
1	Forward Looking	Outcomes clearly defined, take into account long-term strategy (NDP in RSA and PGDS/P in KZN)
2	Outward looking	Considers international, national, regional factors, experiences and contexts
3	Innovative and flexible	Consider outsiders, diverse disciplines, alternative approaches, and risks
4	Evidence based	Solicits research (existing and new); expert opinion
5	Inclusive	Direct and indirect stakeholder, impact assessment
6	Aligned	Holistic with sound legal, moral, ethical base; and considers cross cutting objectives and inter-departmental and sectoral links defined
7	Learning approach	Continuous improvement, based on sound monitoring and evaluation
8	Communication	Effective communication plan, including consultation, feedback, and education
9	Evaluation	Clear objectives and indicators for monitoring and evaluation identified and built into the development process – This needs to be from input-activities-output-outcome-to impact),
10	Review	Programmed, ongoing and based on feedback from stakeholders including implementers and customers/clients

(Adopted from Northern Ireland Civil Service, 1999:6)

For the purposes of this guideline, a generic policy development process will be outlined, based on a logical progression through five steps: problem definition, agenda setting, policy development, policy implementation, and policy evaluation. These comprise of sub-processes as follows:

Table 5: Summary of Generic Policy Development Processes

Development Stage	Key Issues
1. Problem Identification and Definition	(a) Problem recognition (b) Situation analysis (c) Problem definition (d) Priority determination
2. Agenda Setting	(a) Focus on goals (b) Develop alternatives (c) Think broadly and outside of established norms.
3. Policy Development	(a) Use tools to evaluate alternatives (b) Understand potential impacts (c) Include costing of options to inform decisions and trade-offs (d) Consider, debate alternatives (e) Compromise, make trade-offs, bargain (f) Close the loop
4. Policy Implementation	(a) Understand success factors (b) Assess capacity (c) Assign responsibility (d) Choose instructions (e) Align (f) Transfer
5. Policy Evaluation	(a) Monitor/obtain feedback (b) Compare actual and desired results (c) Learn (d) Modify as necessary

6.2.5 Evidence based policy-and decision making

DPME Evaluation Guideline 2.2.16 provides guidelines that point to the need for sound evidence to inform decision making. This also applies to policy development cycles and this should guide the process. SEAIS also seeks to strengthen evidence informed policy development to ensure effective, responsive policies. This requires consulting different experts and reviewing several sound research findings and data.

6.2.6 Implementation plan and implementation technical capacity

In making determination on the Macro Policy to be adopted the Provincial Executive Council together with policy developers should also decide on the most appropriate service delivery mode to expedite the implementation of the policies adopted. The determination on implementation mode for service delivery on the policy choice made should take into account the availability of organisational technical capacity resources and skills to deliver required services to the citizens. In this instant the government may choose amongst many modes of service delivery which are Partnerships, Joint Ventures, and Collaborations with light minded organisation to advance Socio-Economic Development of the KZN Province. Therefore, it is important for the policy developers to indicate the strength on which they have recommended one mode of service delivery as opposed to others.

The SEIAS Tool (*Annexure 3, Appendix 2*) as well as the DPME Guideline on Programme Implementation Planning tool are recommended approaches to assist in this regard.

In addition to this, policy development requires departments to have sufficient capacity. SEIAS itself also promotes departments to take ownership of their policy development processes through the appointment of SEIAS Champions and internal SEIAS certification signing off by the accounting officer. For this reason the Office of the Premier will be conducting Capacity Audits from time to time to monitor policy development capacity in the Province. This is guided by the template appended as *Annexure 3, Appendix 3*.

6.2.7 Monitoring, Evaluation and Policy Cycle

Monitoring, Evaluation and/or Policy cycle should be determined upfront as part of the policy development process. Evaluation is not the final step, but rather an ongoing process aimed at ensuring continued improvement. Indicators and timeframes should therefore be considered upfront to assist with tracking implementation progress, challenges and future amendments. Ideally, policy review periods should be identified upfront, i.e. at least once every 3 years (based on the MTEF) or once in a 5-year term. Mid-term reviews are also to be considered. These timeframes should be scheduled and included in the Departments M&E frameworks and registers as well as the provincial policy inventory (see section 6.4 Coordination, below). Guidelines for different evaluation types have been developed by the DPME and are available on the website at www.dpme.gov.za.

The following diagram illustrates how this complements the policy development cycle:

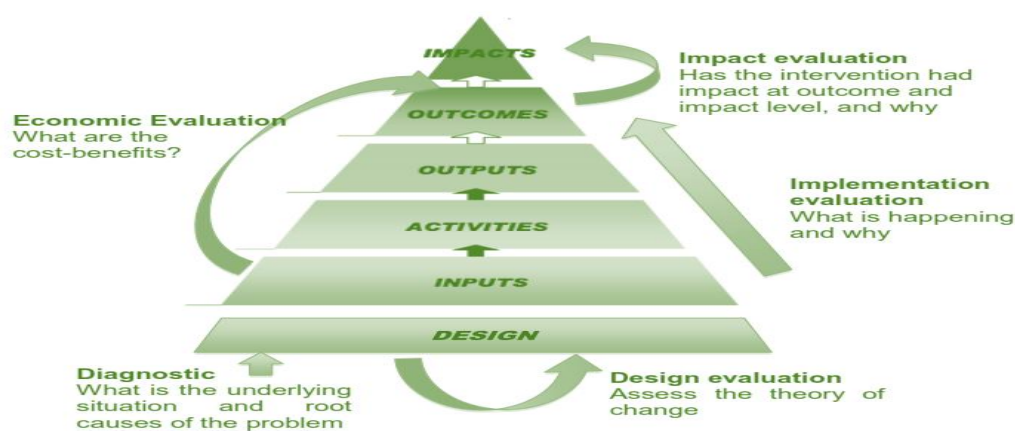


Figure 3: Policy Development - Designing for Impact

6.2.8 Format

Whilst the nature of any policy and/or policy instrument will determine the format and approval route, the following framework is suggested (Example appended as *Annexure 6*). The following outline is suggested:

- a) Cover Page.
- b) Head Notes.
- c) Subject.

- d) Purpose.
- e) Background and Overview.
- f) Problem statement.
- g) Policy Proposal (including the intended Impact, and Outcomes and unpacking the logframe, logic model or theory of change).
- h) Rationale and Motivation.
- i) Monitoring and Evaluation Framework, supported by a log frame with proposed indicators to measure impact, outcome and outputs.
- j) Review Cycle.
- k) Alternatives (Option analysis).
- l) Legislative and policy mandates, and alignment with government priorities.
- m) Consultations.
- n) Implications (Constitutional and Legislative; Financial; social, economic).

6.3 Approval Process

The roles, responsibilities and functions of government and its different spheres thereof is defined in the Constitution of the Republic of South Africa, 1996. Subsection 125 (2)(d) and (e) places the Office of the Premier at as the centre for governance in the Province by providing that:

- “a. developing and implementing provincial policy.*
- b. co-ordinating the functions of the provincial administration and its departments.”*

In the context of the management of policy development, the Office of the Premier has several responsibilities:

- (i) Develop Policies related to its mandate
- (ii) Coordinate the development of Public Policies through line function departments.
- (iii) Providing policy support (including research, technical analysis and training).
- (iv) Action Working Groups are part of the Institutional Arrangements for Implementing the PGDS and government Priorities, and as such are just as important in OTP.

Public policy approval must be channelled through the Provincial Executive Council cluster system, and as depicted in the following Process flow. However, the 2020 SEIAS provides the following broad steps in ensuring policy processes are done well:

- 1) Custodians of drafted policies/legislation/regulations are responsible for application of SEIAS;
- 2) Departments’ SEIAS Champions appointed by Heads of Department assist with coordination and ensure that all policies/ bills and regulations are subjected to SEIAS by initiating units; and
- 3) The Policy and Research Services (PRS) Branch in The Presidency coordinates the implementation of SEIAS, support departments and quality assure (QA) SEIAS reports as developed by departments. At a Provincial

Level, these inputs will also be facilitated through the Office of the Premier, as per the Diagram below:

- 4) The process comprises of two phases:
- Phase 1 – Initial Impact Assessment (IIA) accessible via <http://www.thepresidency.gov.za/download/file/fid/1883>, and
 - Phase 2 – Final Impact Assessment (FIA) accessible via <http://www.thepresidency.gov.za/download/file/fid/1884>

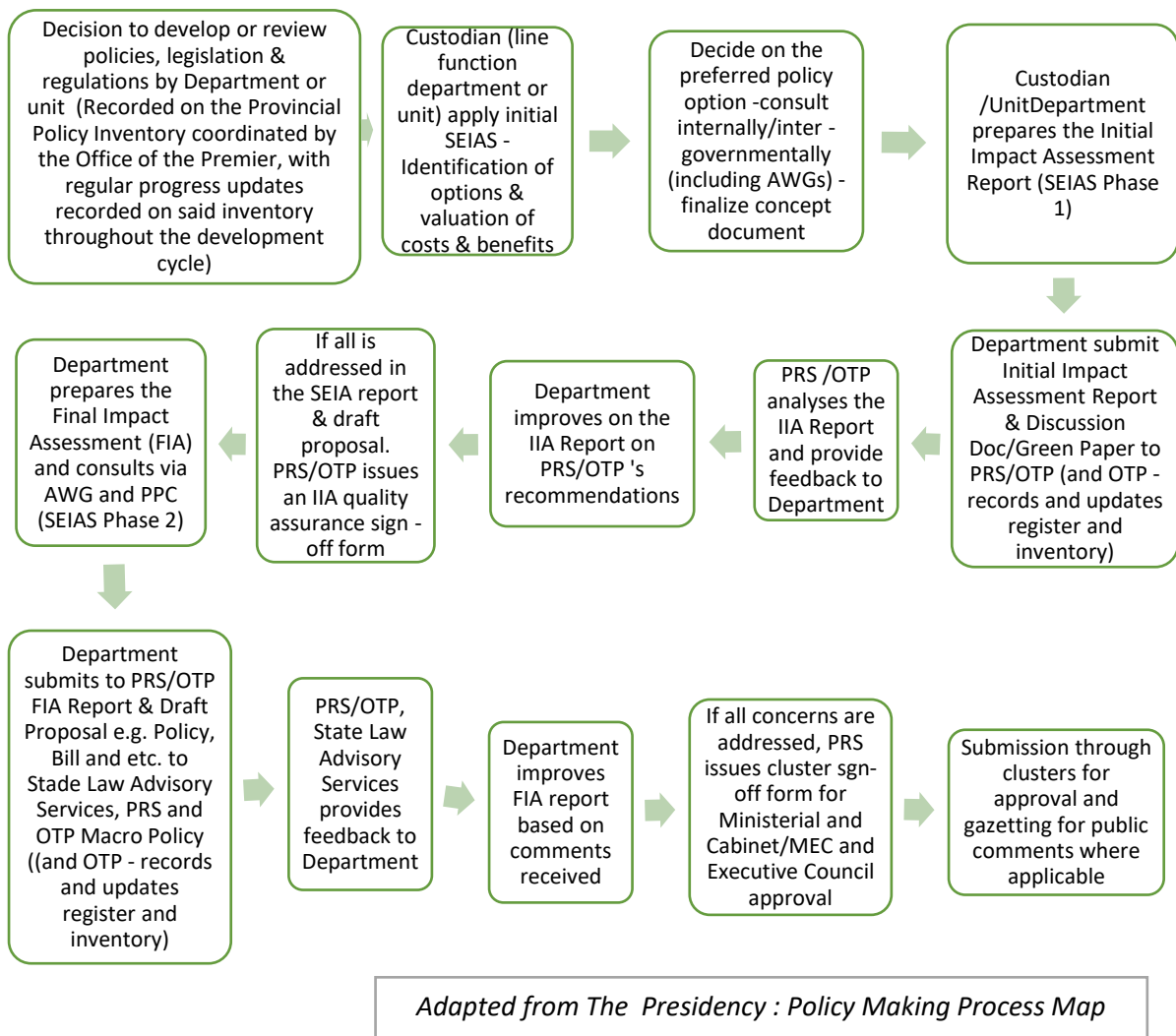


Figure 4 : SEIAS Process Flow

Note: Not all types of policy documents need to be submitted to the Executive Council. Sound governance practice and administrative justice requires proper consultation and approval processes to underpin all policy development processes. Line function departments are thus required to ensure an effective administrative approval process is documented for the approval of different policies within that department (including directives, notices, etc.). The following table serves as a guide to assist in determining the relevant approval authority:

Hierarchy of policy instruments		
Level of authority	Policy Instrument	Jurisdiction
<p>High</p> <p>Low</p>	<ul style="list-style-type: none"> • Constitution • Parliamentary Acts 	Legislature
	<ul style="list-style-type: none"> • Subordinate legislation (proclamations, regulations and notices) • Policy White and Green Papers 	
	<ul style="list-style-type: none"> • Transversal Provincial Policies and policy instruments, including strategies, frameworks, master plans and programmes 	
	<ul style="list-style-type: none"> • Organisational Strategic Plan/framework • Operational directives • Business, project, operational, implementation plans and strategies • Administrative Circulars • Procedural Guidelines • Departmental Operational Policies (HR, Budget, etc) 	Organisation

Figure 5: Hierarchy of Policy Instruments

All decision/policy memoranda must first be submitted to a relevant AWG for discussion and technical inputs before these are submitted to Technical Clusters for consideration. This will ensure the alignment of government-wide priorities, facilitate and monitor the implementation of priority programmes and to provide a consultative platform on cross-cutting priorities and matters being taken to Cabinet. The diagram below depicts the flow of memoranda from Departments through AWGs to the Executive Council.

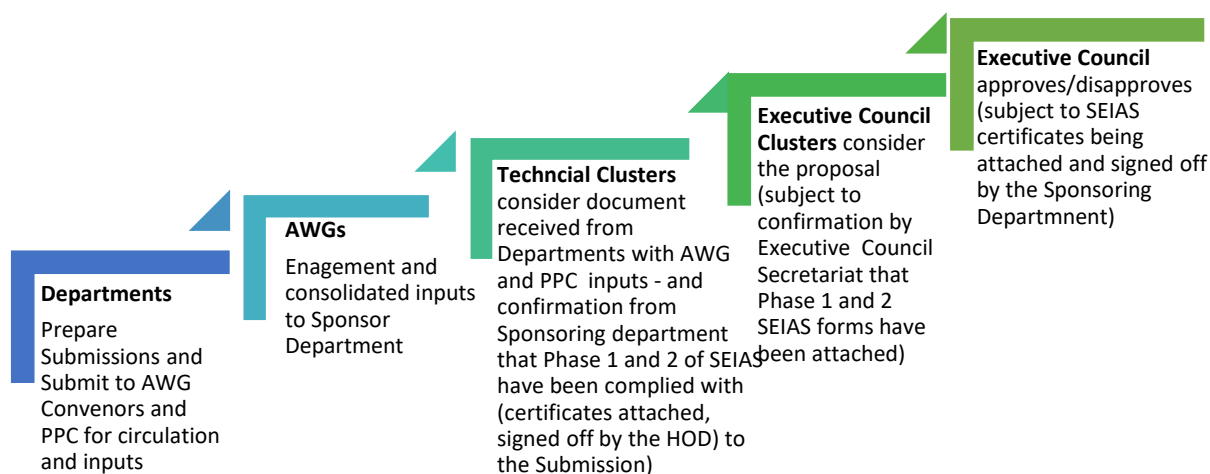


Figure 6: Flow of Executive Council memoranda (Policy Proposals)

In the light of the above issues, it was considered important to clearly identify the nature of support services and institutions required by the Premier, by the Executive Council and by individual Members of the Executive Council to design and maintain a strategic policy management system; choose feasible options among contending

issues; ensure prioritized resource allocation; monitor and evaluate public policy outputs and impacts; and manage, in general, uncertainties and engage in the creation of different plausible futures. The nature and quality of advisory, informational, policy analytical and institutional support services are to ensure the existence of public policies that are capable of engaging the real world because of capacity to address critical context factors as represented, among others, by economic- financial, socio-cultural, political, legal and created natural environmental factors.

The SEIAS process referred to earlier have been introduced at a National level to facilitate this and the key considerations for KZN is appended hereto (*Annexure 3, Appendix 2*). Also note that the Checklist for Executive Council Memoranda has been updated (Attached as *Annexure 7*).

6.4 Coordination

The Constitution provides the Office of the Premier and Provincial Government with the authority to develop and implement Provincial Policies within its Constitutional exclusive competencies. The policy coordination program is imperative to facilitate alignment and coordination of policies that are initiated by Provincial Government Departments. In this regard, the Office of the Premier, through the provincial policy forum, initiated a policy audit process framework (*Annexure 1*). This has led to further developments and the established an inventory and progress report that is aimed at assisting the Executive Council and Provincial Departments and Entities to track policy developments. It aims to:

- Facilitate the Public Policy co-ordination for the provincial government.
- Improve the policy management of the provincial government.
- Improve the technical policy capacity of the departments.
- Oversee and monitor the implementation of provincial policies.
- Facilitates alignment.

Policy development progress must be updated on the inventory (*Annexure 1*) to facilitate effective policy management in the Province.

7. Recommendations

In order to enhance policy alignment and co-ordination it is important to implement the following recommendations:

1. It is hereby recommended that Macro Policy developers for all departments should use this guideline as a resourceful reference in formulating policies.
2. It is also recommended that policy developers should comply with the content of this policy guideline.
3. Policy Developers in all Provincial Government Departments should ensure that Macro Policies in their own sectors respond directly to the KZN Government priorities, as articulated in the PGDS/P and SOPA, also noting relevant areas outlined in section 6 above. Departments to be guided by the principles of the National SEIAS system in the development of policies.

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KZN Inventory of Policies and Policy Instruments

The purpose of this document is to provide a consolidated inventory of the policies and policy instruments developed and being implemented since 2014, and to track progress on the development of new policies/policy instruments.

The inventory comprises of five (5 sections).

Section 1 : Status of **Approved Pre-Existing/Existing Provincial Macro Policies and Policy Instruments.**

This section seeks to track the development of Departmental macro policies and policy instruments in existence during the period of 1 April 2014 to date. For the purposes of this section, the focus is on service delivery orientated policies relating to the **core business and mandate of the Department** that directs service delivery in the **Province of KwaZulu-Natal**. These could be in the form of policies, programmes, strategies or other frameworks and development programmes, e.g. Zibambele Policy, Integrated Radical Socio-economic Transformation Strategy and IGULA Programme.

Please only **provide macro/strategic/public policies developed by the Department**. Operational Policies will be dealt with in Section 4.

Please note that the section provides for 3 broad categories: Category 1 = Policies and Policy Frameworks; Category 2 = Strategies and Master Plans; and Category 3 = Implementation/Development Programmes.

Section 2 : Status of **Draft Provincial Macro Policies and Policy Instruments**

As above, but noting that this section deals exclusively with policies that are at the conceptual and draft stage. For such policy to be recorded there must be an approved mandate/resolution/directive (e.g PGDP interventions, Executive Council Resolutions, Management Instruction, National DOT mandates).

There are also 3 broad categories: Category 1 = Policies and Policy Frameworks; Category 2 = Strategies and Master Plans; and Category 3 = Implementation/Development Programmes

Section 3 : Status of **Approved National Macro Policies and Policy Instruments mandating/enabling provincial service delivery**

This section seeks to record the status of national macro policies and policy instruments in existence during the period of 1 April 2014 to date that provide the mandate/direct the Department in terms of its mandate. The focus is on service delivery orientated policies relating to the core business and mandate of the Department that directs service delivery in the Province, and also provides for the recording of national transversal policies. These could be in the form of policies, programmes, strategies or other frameworks and development programmes.

Please note that the section provides for 3 broad categories: Category 1 = Policies and Policy Frameworks; Category 2 = Strategies and Master Plans; and Category 3 = Development/Implementation Programmes

Section 4 : Departmental **Approved Operational/Support Policies and Instruments**

This section seeks to track progress on operational corporate policies. These include (**but are not limited to**) the following areas:

- Finance
- Asset Management
- Supply Chain Management
- Internal Control and Risk Management
- Human Resource Management
- Communication Support
- Corporate Services
- Legal Services
- Information Technology (IT)
- Information Management
- Strategic Management
- Security Services

Section 5 : Departmental **Draft Operational/Support Policies and Instruments**

This section seeks to track progress on operational corporate policies. These include (**but are not limited to**) the following areas:

- Finance
- Asset Management
- Supply Chain Management
- Internal Control and Risk Management
- Human Resource Management
- Communication Support
- Corporate Services
- Legal Services
- Information Technology (IT)
- Information Management
- Strategic Management
- Security Services

KZN POLICY INVENTORY EXTRACT



Kwazulu-Natal Department of Transport Inventory of Approved Policies and Frameworks; Policy Instruments and Draft Policies and Instruments

01 June 2021

Category 1 = Policies and Policy Frameworks; Category 2 = Strategies and Master Plans; and Category 3 = Implementation/Development Programmes

Policy and Instruments	Categories	Functional Area	Title	Purpose	National/Provincial/Departmental	Approved/Draft/Under review?	Responsible Directorate	Has the national Policy officially been adopted by the Department, if so what date	Date of first approval	Date of last review	Projected date of next review	Current Status and key challenges
Section 1 - Status of Approved/Pre-Existing/ Existing Provincial Macro Policies and Policy Instruments.	Category 1: Macro Policies/ Policy Framework	Strategic Management	Kwazulu-Natal Provincial Land Transport Framework	To set out the policies and strategies of the Province with regards to transportation.	Departmental	Approved	Strategic Policy and Planning	N/A	2004	N/A	2021	Currently being implemented.
Section 1 - Status of Approved/Pre-Existing/ Existing Provincial Macro Policies and Policy Instruments.	Category 1: Macro Policies/ Policy Framework	Infrastructure	Infrastructure Planning		Departmental	Approved	Strategic Management TIRS		01/08/2005			
Section 1 - Status of Approved/Pre-Existing/ Existing Provincial Macro Policies and Policy Instruments.	Category 1: Macro Policies/ Policy Framework	TIRS	Local Roads For Rural Development In Kwazulu-Natal, March 1997		Departmental	Approved	Engineering Services		01/03/1997			
Section 1 - Status of Approved/Pre-Existing/ Existing Provincial Macro Policies and Policy Instruments.	Category 1: Macro Policies/ Policy Framework	TIRS	Roads for Rural Development		National	Approved	Engineering Services		2004			

ANNEXURE 2: Example of Policy Instrument Inventory Report

Annexure 2



KWAZULU-NATAL PROVINCE
OFFICE OF THE PREMIER
REPUBLIC OF SOUTH AFRICA

Note : The purpose of this annexure is to demonstrate how information from the inventories and SEIAS is consolidated into a report to the PPC and/or COHOD

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**TO: THE CHAIRPERSON: PROVINCIAL PLANNING COMMISSION
DEPUTY DIRECTOR-GENERAL: STRATEGIC MANAGEMENT**

FROM: CHIEF DIRECTOR: PROVINCIAL PLANNING, RESEARCH AND POLICY

SUBJECT: POLICY AND RESEARCH INVENTORY REPORT: PROGRESS AND UPDATED INVENTORIES

1. PURPOSE

The purpose of this memorandum is to provide an updated report on provincial macro policy and policy instruments as part of the coordination function of the Office of the Premier, and in keeping with Goal 6 of the Provincial Growth and Development Strategy, and the Annual Performance Plan for the Office of the Premier 2021-2022.

2. BACKGROUND

2.1 The Office of the Premier, as the centre of governance has a coordination and leadership role. This includes the coordination of macro-policies and research. This mandate is derived directly from the constitution, section 125, as follows:

“The executive authority of a province is vested in the Premier of that province. The section provides for the Premier exercising the executive authority, together with the Executive Council, in the Province by:

- *Implementing national and provincial legislation;*
- *Administering national legislation falling outside legislative competence assigned to province;*
- *Developing and implementing provincial policy;*
- *Co-ordinating functions of the provincial administration and its departments;*
- *Preparing and initiating provincial legislation; and*
- *Performing any other function assigned to the provincial executive.”*

- 2.2 The Provincial Strategic Management Branch in the Office of the Premier also provides secretariat support services to the Provincial Planning Commission and has been tasked to facilitate the effective implementation of the National Development Plan, through the Provincial Growth and Development Strategy. The situational analysis that informed the development of the 2011 PGDS identified the need for improved policy and research coordination, as well as ensuring that policies are assessed on an ongoing basis to ensure effective delivery against the PGDP. This was reaffirmed in the PGDS 2016 through the following interventions under *Goal 6 – Governance: “6.1(e) Maintain and implement policy co-ordination and inventory instruments”*.
- 2.3 The previous report was circulated in November 2020.
- 2.4 The Medium Term Strategic Framework and KZN Implementation Plan as well as Covid Recovery plan of Clusters further guide key focus areas moving forward. In addition to this the Medium Term Strategic Framework and Draft Provincial Growth and Development Strategy incorporates the priority of a capable, ethical and developmental state to drive sound governance and effective implementation.
- a) A capable, ethical and developmental states requires sufficient capacity and effective integration through sound strategic- and policy management for the centre to hold.
 - b) This is founded on evidence informed policy and planning, including research, policy development, planning, monitoring and evaluation and for “the centre to hold”.
 - c) The institutional and organisation issue of limited technical capacity in the Policy, Research, Planning, Monitoring and Evaluation Units of the provincial government departments is a long standing problem that was identified in the 2008 and 2010 Reports of the Public Service Commission of South Africa
 - d) It impacts adversely on programme performance - from planning and design, implementation and monitoring and evaluation of programmes and projects.
 - e) These functions require dedicated, deliberate attention and reconsideration from the structural and organizational perspectives, including sufficient and necessary specialised technical occupational competencies.
- 2.5 Correspondence had been circulated to Planning; Policy and Research forum Members, and Action Working Groups. Letters have also been sent to Heads of Department.

3. PROGRESS AND KEY FINDINGS

- 3.1 Responses received are summarised below and the inputs received with the updated inventories (excluding the operational policies) are appended (*Annexures 1 and 2*):
- 3.2 The Presidency had conducted a presentation Heads of Department explaining that the process owner has shifted from the department of Performance Monitoring and Evaluation to the Presidency. A process is also underway to review the resuscitation of Macro Policy Units (both in the Presidency and Offices of the Premier).
- 3.3 The Provincial Training Academy has engaged with the Presidency and the National School of Government to conduct training on the SEIAS and the Office of the Premier is updating a guideline on the policy developments incorporating the reviewed SEIAS requirements advocated by the Presidency. These can be obtained from <http://www.thepresidency.gov.za/SEIAS>.

- 3.4 A capacity audit was also undertaken by the Office of the Premier in response to the Priority of a Capable, ethical and developmental state, but in the context of policy management, Key findings are summarised as follows:
- a) All 14 departments were requested to complete the questionnaire on assessing Policy, Research, Planning and the M&E capacity in Departments.
 - b) 2 Departments did not provide Planning inputs (DSD and DARD)
 - c) Eight Departments submitted responses for M&E. The following Departments did not submit responses:
 - i. Dept of Agriculture and Rural Development
 - ii. Dept of Community Safety and Liaison
 - iii. Dept of Cogta
 - iv. Dept of EDTEA
 - v. Dept of public Works
 - vi. Dept of Social Development
 - d) An assessment was undertaken based on the submission of the responses from the Departments that submitted.
 - e) Some departments did not provide all information.
 - f) Based on the information provided as at February 2021 the following was observed:
 - i. **Agriculture** : The Department has dedicated Research Capacity. There is no policy formulation capacity. No responses were provided for both planning and M&E – it is noted however that there are contact persons who share these functions. It is further noted that policy capacity is subsumed under monitoring and planning.
 - ii. **Arts and Culture** : No dedicated policy unit. Research conducted through its entity, but from feedback and inputs received, the relationship between parent department and entity in this area needs to be strengthened. Whilst there is a Chief Director, actual planning and M&E capacity is minimal.
 - iii. **Cogta** : Well capacitated in all strategic management areas in terms of warm bodies. The department uses a decentralized approach where M&E and planning is performed through the line functionaries and coordinated by a central unit.
 - iv. **Community Safety and Liaison** : The Department has limited policy and research capacity, and recently reduced planning and M&E capacity through the loss of a colleague.
 - v. **Department of Education** : Policy, Research or Planning capacity (although it is noted that the Planning is also part of the M&E unit. No policy unit is indicated).
 - vi. **EDTEA** : Has research and policy capacity, as well as some macro-planning. M&E and strategic departmental planning is a shared function with limited capacity. The head responsible for policy and research is well qualified and experienced.
 - vii. **Department of Health** : Dedicated research, planning and M&E but policy is weak (no experienced or dedicated capacity at present).
 - viii. **Department of Human Settlements** : Capacity exists in all 4 areas. It is further noted that dedicated macro planning through the integrated planning unit has been created to support municipalities with human settlement projects identification.
 - ix. **Department of Public Works** : No research and policy expertise. Planning and M&E units are in place. These relate mainly to micro planning (i.e organisational planning) with limited expertise in the macro planning and policy fields.
 - x. **Department of Social Development** : Policy and Population Unit rather than Research Unit (however this is drawn from internal knowledge as incomplete

information was submitted). No information was submitted from strategic planning, although it is noted that the AWG convenor was submitted as the contact for planning and M&E. Assessments of the APPs in terms of alignment has raised concerns, similarly no responses in terms of PGDS Review related matters.

- xi. **Department of Sports and Recreation** – Policy Unit in place but no Research Unit – however this contradicts the information consolidated in the report. The Policy Unit has got four official and the head of that unit is at a Chief Director level. Planning and M&E Capacity is in place.
- xii. **Department of Transport** : Although the strategic planning post at salary level 11 is vacant, the DD:Policy Formulation has been assisting with strategic, annual performance and operational planning in the micro planning unit. There is no dedicated research unit. Strategic Planning and M&E is a shared function.
- xiii. **Provincial Treasury** : No dedicated policy and research unit, also no dedicated strategic planning unit. This is fragmented between the CFO and Corporate services.
- xiv. **Office of the Premier** : Capacity is limited as the units are responsible for both internal and transversal functions.
 - This field requires dedicated sector specialists (which from the information received from departments on non-existent or in limited supply, hence limiting support to the clusters. Macro (Provincial) Planning Managerial position is currently practically vacant, with only one DD who is also responsible for the PPC administrative support; Only one policy analyst – on sick leave since December 2020.
 - There is no DD for Evaluation, and only 1 for Monitoring (sharing internal and external). Internal Policy and Research Committee Terms of Reference circulated to augment capacity and coordination, nominations received from Corporate Services and Part of Strategic Management only; similarly in the case of the Planning Subcommittee.
 - Engagement with the DPME, confirmed that this approach of duality is unique to KZN – own engagements with Western Cape, Gauteng and Eastern Cape confirmed separate internally focussed strategic management units in Programme 1. These are based on the DPISA model.
 - The Presidency is also working with the DPISA to ensure that the Policy and Research units in Offices of the Premier is strengthened.

3.5 The following table indicates the trends in updates received and departments respond to requests for information (as at Feb/March 2021):

POLICY INVENTORY AND POLICY FORUM MEMBERSHIP (as at 31 March)

No	Department	Policy inventory submitted yes/no (June 2020)	Policy forum membership submitted yes/no	Policy inventory Updated October	Policy Inventory Updated February-March 2021	Policy Capacity Inputs received or updated Yes/No	* SEIAS Training Needs Indicated or Updated Yes/No
1.	Treasury	YES	YES	NO	YES	No (Department indicated that they do not have Policy Unit	YES

No	Department	Policy inventory submitted yes/no (June 2020)	Policy forum membership submitted yes/no	Policy inventory Updated October	Policy Inventory Updated February-March 2021	Policy Capacity Inputs received or updated Yes/No	* SEIAS Training Needs Indicated or Updated Yes/No
2.	Comm Safety	YES (after PPC report)	YES	Yes (with no new updates)	Yes (with no new updates)	Yes	YES
3.	Public Works	YES	YES	Yes (with no new updates)	Yes (with no new updates)	NO	NO
4.	Sports and Rec	YES	YES	Yes (with no new updates)	Yes (with no new updates)	NO	NO
5.	Transport	YES	YES	Yes	Yes	Yes	YES
6.	Health	YES	YES	Yes	YES	NO	YES
7.	Education	NO	No (Department of Education indicated that they do not have Policy Unit)	No (Department of Education indicated that they do not have Policy Unit)	YES	No (Department of Education indicated that they do not have Policy Unit)	NO
8.	Human Settlements	NO	YES	YES (with no new updates)	YES	YES	YES
9.	EDTEA	YES	YES	YES	YES	YES	NO
10.	DARD	YES	YES	Yes (with no new updates)	Yes (with no new updates)	YES	NO
11.	Social Development	NO	YES	Yes (with no new updates)	YES	YES	YES
12.	Arts and Culture	YES (after PPC report)	NO	NO	NO	NO	NO
13.	Cogta	YES	YES	YES	YES	YES	NO
14.	Office of the Premier	YES	YES	YES	YES	YES	YES

* It is to be noted that updated nominations for SEIAS training has been received, however, progress on administering this training through the Public Sector Training Academy with the National School of government (NSG) has been suspended. This is due to the NSG and The Presidency engaging on the roll out of the training.

3.6 The table below indicates the routing of policy and policy instruments. It also indicates that departments are either not updating the inventory and/or are not routing documents through the Policy unit.

Policy Instrument	Responsible Department	Routed via Macro Policy: Yes/No (Source: Policy Comments Register)	Reflected on Policy Instrument Inventory: Yes/No (Source: Policy Instrument Inventory as at 31 March 2021)	Updated on Policy Inventory Yes/No : (Source: Policy Instrument Inventory as at 31 March 2021)
Provincial Integrated Youth Development Programme	Office of the Premier	NO	YES	YES
KwaZulu-Natal Framework on Consequence Management	Office of the Premier	YES	YES	NO
Provincial Employee Health and Wellness Strategy	Office of the Premier	NO	YES	NO
KwaZulu-Natal Reading Strategy: 2020 -2025	Education	NO	NO	NO
Implementation of Basic Education Sector Employment Initiative	Education	NO	NO	NO
Sustainable Planning and Management of cemeteries in KwaZulu-Natal (Action Research)	COGTA	NO	NO	NO, Also not listed as a new Action Research in the Research Inventory)
COVID 19 Risk and Control Measures	Treasury	NO	NO	NO
Provincial Risk Management Framework	Treasury	NO	NO	NO
Combined Assurance Framework	Treasury	NO	NO	NO
Provincial Internal Audit Framework	Treasury	NO	NO	NO

3.7 The table below indicates policy instruments approved/submitted for information to the Provincial Executive Council (PEC) as at and including 4 April 2021.

Policy Instruments	Status	PEC Date
Launch of the KwaZulu-Natal Reading Strategy: 2020 - 2025	(a) The Executive Council was informed of the KwaZulu-Natal Reading Strategy 2020 – 2025 which was launched on 29 October 2020. (b) The Department of Education was requested to ensure that the strategy also takes into account languages that prioritised in the Provincial Language Policy.	2 December 2020
Implementation of Basic Education Sector Employment Initiative	(a) The Executive Council approved the implementation strategy for the Basic	2 December 2020

Policy Instruments	Status	PEC Date
	Education Employment Initiative within the Department of Education. (b) It was reported that about three hundred thousand people will be employed as part of this programme throughout the Country to render a number of services in schools.	
Provincial Employee Health and Wellness Strategy	Approved.	10 February 2021
Progress report on the implementation of policy and procedure on incapacity leave and ill-health retirement (PILIR)	Approved.	10 February 2021
Operations Management Function to form part of the Mandate of the 6th Administration	Approved.	10 February 2021
KwaZulu-Natal Framework on Consequence Management	(a) The Executive Council approved the KwaZulu-Natal Framework on Consequence Management. (b) The Framework is aimed providing the structural approach on the manner in which to effect enforcement and management of: (i) Reported cases and allegations of fraud. (ii) Corruption. (iii) Mismanagement of resource. (iv) Unacceptable performance. (v) Unethical conduct, and (vi) Any other irregular behaviours that does not conform with and legally falls below appropriate approach legislative framework, bargaining council agreements or any other prescribed norms and standards.	3 March 2021

3.8 Changes from the previous policy inventory submitted is summarised as follows:

- 3.8.1 Provincial Government Departments were requested by the Policy Unit within the Office of the Premier to submit updates on the status of policies. All departments have responded as requested except Department of Arts and Culture who has not yet nominated a new member of the Policy Forum.
- 3.8.2 The Office of the Premier, Department of Transport, EDTEA, Department of Health, Department of Social Development, COGTA, Department of Human Settlements, KZN Provincial Treasury, Department of Education have provided inputs on the report. Three Units have provided inputs within the Office of the Premier.
- 3.8.3 Department of Public Works, Department of Community Safety and Liaison, and Department of Agriculture and Rural Development, Department of Sport and Recreation have indicated no changes in their Policy inventory report from what has been reported previously.
- 3.8.4 Summary of departments who updated/ not updated the report and sections they have updated in the report (note operational policies have been excluded from this report as the focus is on Macro Policy).

Departments	Inventory Updated Yes/ No	Section updated
Office of the Premier	Yes	Section 1 and 2
COGTA	Yes	Section 2
Department of Human Settlements	Yes	Section 1 and 3
Treasury	Yes	Section 1 and 2
Department of Education	Yes	Section 2
Department of Social Development	Yes	Section 2
EDTEA	Yes	Section 1,2,3
Department of Transport	Yes	Section 1,2,3
Department of Health	Yes	Section 1
COMSAFETY	No	Nil
Department of Sport and Recreation	No	Nil
Department of Public Works	No	Nil
Department of Arts and Culture	No	Nil
DARD	No	Nil

3.8.5 Summary of policies updated by Departments that indicates the previous and current status/challenges.

3.8.5.1 **Office of the Premier**

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status/challenges
Provincial Persal Policy	Implementation Policy is current. The Directorate Persal Management have commenced with the 2019/20 Provincial Persal Policy Compliance Audit. The Audit should be completed by end October 2019 and the final report completed by 31 December 2019.	Policy is current. The 2020/21 Provincial Persal Policy Compliance Audit was completed in November 2020. The Departmental reports were sent to HOD's during December 2020 and the consolidated Provincial Compliance report was tabled at COHOD on 2 February 2021. Compliance with the policy by Departments is very good, the overall average level of compliance by departments was 94% in the 5 areas which were audited.
Provincial Conflict of Interest	Policy approved.	Policy has last been reviewed on the 11 July 2019. No challenges have experienced thus far.
Whistle blowing Policy 2013	Policy reviewed 2019.	Policy has last been reviewed on the 10 December 2019. No challenges have been experienced thus far.
Fraud Policy 2014	Policy Reviewed 2019.	Policy has last been reviewed on the 10 December 2019. No challenges have experienced thus far.

Section 2: Status of Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status/challenges
KZN Integrated Youth Development Strategy	To conduct a consultation with Youth on the Strategy.	to be presented to political GCSID for adoption in March 2021 and projected to be approved in April 2021.
KwaZulu-Natal Framework on Consequence Management		Approved.
Provincial Employee Health and Wellness Strategy	The Policy is implemented through Operational Plan	Approved.

3.8.5.2 COGTA

Section 2: Status of Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status
Sustainable Planning and Management of cemeteries in KwaZulu-Natal	New policy	Conceptualisation
KwaZulu-Natal Disaster Risk Management Policy Framework	Policy review to be finalised in the 3rd quarter of 2020	Policy is with Legal Services for certification
KZN Traditional Council Recruitment and Selection Policy for Traditional Councils	TRADS to confirm review of the policy	Policy to receive HOD's signature by end of financial year
Guidelines for Development of Ward Committee Support Plans	Policy review to be finalised in the 3rd quarter of 2020	Policy to receive HOD's signature by end of financial year

3.8.5.3 Department of Human Settlements

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status/challenges
Revised Material Supply Policy		Approved on the 28/01/2021.
Enhanced Norms and Standards for Community Residential Units.	Approved date 27/10/2014	To be reviewed in 2024 and its current status is that cost of building materials had increased, and it was difficult to deliver in terms of the approved norms and standards. Policy did not make provision for raft foundation and finishes such as curtain rails.

3.8.5.4 Treasury

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments

Policy Name	Previous status	Current status/challenges
Draft KwaZulu-Natal Supply Chain Management Policy Framework	Conceptualisation	Challenges related to non-compliance with PPPFA
KwaZulu-Natal Provincial Contract Management Policy Framework	No information	None
Risk Management Strategy	Last reviewed Sept 2020	No challenges at present
Risk Appetite Statement	Last reviewed Sept 2020	No challenges at present
Ethics Management Strategy & Implementation Plan	Last reviewed Sept 2020	A fairly new requirement. Challenges include assistance with a fraud/ethics risk review. Training to the Ethics Committee
Risk Management Terms of Reference	Last reviewed Sept 2020	No challenges
Risk Management Policy	Last reviewed Sept 2020	No challenges
Ethics and Fraud Terms of Reference	Last reviewed Sept 2020	No challenges

3.8.5.5 **Department of Education**

KZN Policy Inventory Section 2: Status of Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Current status/challenges
Implementation of Basic Education Sector Employment Initiative	Approved.
KwaZulu-Natal Reading Strategy: 2020 -2025	Launched on 29 October 2020

3.8.5.6 **Department of Social Development**

KZN Policy Inventory Section 2: Status of Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status/challenges
Policy on Youth Development	Draft	Workshops with relevant stakeholders are to be conducted starting from the 16/11/2021

3.8.5.7 **EDTEA**

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments. No change to the previous report submitted in November 2020.

3.8.5.8 **Transport**

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments.

Policy Name	Current status
KZN White Paper on Freight Transport Policy	Will be replaced by the KZN Integrated Freight Transport Strategy that is currently being drafted.
Policy for the Implementation of the Zibambele Programme	Currently being implemented. Challenges with policy review due to budget implications
Integrated Radical Socio-Economic Transformation Framework	Currently being implemented.
KwaZulu-Natal Integrated Freight Transport Strategy	Currently being reviewed.
Operation Sukuma Sakhe	Currently being implemented.
Operation Valingozi	Currently being implemented.
Zibambele Programme	Currently being implemented. Challenges with policy review due to budget implications.
Igula - An Integrated Radical Socio-Economic Transformation Programme	Currently being implemented.
S'hamba Sonke Programme	Not provided

Section 2 : Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Current status
Provincial Public and Freight Transportation Framework	Draft Currently under consultation with stakeholders
Provincial Public Transport Subsidy Framework	Currently still being drafted
Vukuzakhe Contractor Development Programme (VCDP) Framework	Currently still being drafted
Policy on the Mentorship Programme for the Built Environment	Currently still being drafted
Provincial Land Transport Plan (2020- 2030)	Currently still being drafted
Mentorship Programme for the Built Environment	Policy is being drafted.

Section 3: Status of Draft Provincial Macro Policies and Policy Instruments.

Policy Name	Current status
National White Paper on Transport Policy, 1996	1996 document is currently being implemented
National Treasury's Framework for Strategic Plans and Annual Performance Plans	Repealed – Replaced by the DPME's Revised Framework for Strategic Plans and Annual Performance Plans; August 2020
Dept of Planning, Monitoring and Evaluation's Revised Framework for Strategic Plans and Annual Performance Plans; 15 August 2020	Currently being implemented.
Supply Chain Management Policy Framework	No significant challenges.
Preferential Procurement Policy Framework	The Supreme Court of Appeal has recently ruled that the implementation of provisions for the compulsory and optional sub-contracting as pre-qualification criteria is unlawful. While this ruling has no bearing in the short term, it doesn't bode well for provincial objectives in 11 months' time.
Guidelines for the Implementation of Labour-Intensive Infrastructures Projects	Currently being implemented

Policy Name	Current status
under Expanded Public Works Programme (EPWP)	
Framework for Infrastructure Delivery and Procurement Management, May 2019" (FIDPM) as issued by National Treasury, effective from 1 October 2019	Currently being implemented. In a Departmental policy, Policy for Infrastructure Delivery and Procurement Management, approved on 31/12/2020
Declaration of Policy Document for Traffic Training Colleges	This policy is currently being reviewed by the RTMC in consultation with all Provinces
The National Land Transport Strategic Framework (2017-2022)	No challenges.
National Youth Policy	Currently being implemented.
Co-operative Development Policy of SA	Currently being implemented.
Minimum Information Security Standards	Not legally enforceable Awaiting the signing of the Protection of State Information Bill and POPI.
Minimum Physical Security Standards	Under review. Progress delayed by COVID-19.
National Policy Framework for Women's Empowerment and Gender Equality	Currently being implemented.
National Evaluation Policy Framework (NEPF); 2011	The department must officially adopt the framework.
Framework for Managing Programme Performance Information (FMPPI; 2007	The department must officially adopt the framework.
National Development Plan; 2030	No challenges
Medium Term Strategic Framework (2019-2024)	Currently being implemented.
Rural Transport Strategy for South Africa	2007 document currently being implemented.
Integrated Sustainable Rural Development Strategy	No challenges
National Transport Master Plan Vision 2050	No challenges
Public Transport Strategy and Action Plan, 2007	Currently being implemented.
National Freight Logistics Strategy	None
National Road Safety Strategy, 2016-2030	Active
White Paper on the Rights of Persons with Disabilities	No challenges
Operation Hlokomela	Programme being implemented
S'hamba Sonke Programme	Currently being implemented.

3.8.5.9 Department of Health

Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/Existing Provincial Macro Policies and Policy Instruments.

Policy Name	Previous status	Current status
Policy and Procedures for the KwaZulu-Natal Department of Health Infrastructure Approval Committee (HIAC)	Policy is not new, but it was not included in the previous inventory.	Stakeholders have a challenge with observing the two-week timeframe from submission of project documentation to presentation to HIAC
Policy on obstetric and neonatal ambulance	Policy is not new, but it was not included in the previous inventory.	Implemented throughout the province.

Policy Name	Previous status	Current status
EMS SOP	Policy is not new, but it was not included in the previous inventory.	Implemented throughout the province.
Uniform Policy	Policy is not new, but it was not included in the previous inventory.	Implemented throughout the province.
Implementation of HPCSA Clinical Practice Guidelines for EMS	Policy is not new, but it was not included in the previous inventory.	Implemented throughout the province.
Implementation of the strategic framework on disaster management medicine for the DOH	Policy is not new, but it was not included in the previous inventory.	Implementation across the province.
Antimicrobial Resistance National Strategy Framework 2014 – 2024	Policy is not new, but it was not included in the previous inventory.	Difficulty in coordination between Departments (Health & Agriculture).
Policy and Strategic Framework for Rational Utilization of Laboratory Services	Policy is not new, but it was not included in the previous inventory.	Currently being implemented
SOP for Verification and Reconciliation of NHLS Accounts	Policy is not new, but it was not included in the previous inventory.	Currently being implemented.

3.9 The following progress is noted on the updated research inventory submissions:

No	Department	Research inventory Submitted yes/no (June 2020)	Research inventory Updated October	Research Inventory Updated Feb/March 2021	Copy of updated research report submitted to OTP Policy and Research Unit Yes/No	Research forum membership submitted yes/no	Research Capacity Audit submitted or updated
1.	Treasury	YES (with no research projects indicated)	YES	NO	NO	YES- a new member was added	YES
2.	Comm Safety	YES	YES	YES	NO	No-Membership remains the same	YES
3.	Public Works	YES (with no research projects indicated)	NO- No Research Unit	YES	NO	No-Membership remains the same	YES
4.	Sports and Recreation	YES	NO- Projects remains the same	NO	NO	YES- a new member was added	YES, submitted a blank template
5.	Transport	NO (No Research unit)	NO- (No Research Unit)	NO	NO	No- no representative	YES- Indicated a zero
6.	Health	YES	NO- Projects remains the same	YES	NO	NO	YES
7.	Education	YES	NO- No Research Unit	NO	NO	NO	NO

No	Department	Research inventory Submitted yes/no (June 2020)	Research inventory Updated October	Research Inventory Updated Feb/March 2021	Copy of updated research report submitted to OTP Policy and Research Unit Yes/No	Research forum membership submitted yes/no	Research Capacity Audit submitted or updated
8.	Human Settlements	NO	YES	YES	NO	No-Membership remains the same	YES
9.	EDTEA	YES	NO- Awaiting for Inputs (e-mail have been send)	NO	NO	YES- a new member was added	YES
10.	DARD	YES	NO- Projects remains the same	YES	NO	YES- a new member was added	YES
11.	Social Development	YES	NO- Projects remains the same	YES	NO	No-Membership remains the same	YES
12.	Arts and Culture	YES	NO	NO	NO	NO- No Research Forum Member	NO
13.	Cogta	NO	YES	YES	NO	NO	YES
14.	Office of the Premier	YES	YES	YES	NO	YES	YES
Response rate (%)		85	92	57	0	78	85

3.10 Updates have been received subsequently, and these are indicate in red font on the attached annexure. Projects with completed reports, based on the information are highlighted in yellow: These are summarised as follows:

Name of Research Project	COVID related (Yes / No)	Depts.	Project Distribution	Commence Date –	Research Project location area	Status/progress of the project
4th Industrial Revolution and KZN Cogta readiness	No	COGTA	The project was undertaken internally	01-Apr-20	Within Cogta	A research final report has been produced.
Baseline information on the municipalities with increasing households with access to basic services	No	COGTA	The project focused on municipalities where there has been an increase in the households receiving basic services	01-Jul-20	Across all 54 municipalities in KZN	A research final report has been produced.
Municipal facilities and resource profiling	No	COGTA	The project is being undertaken to profile resources and facilities	01-Oct-20	Across all 10 districts plus the metro and 54 local municipalities	Report was produced. However, the progress was made relying on un-confirmed

Name of Research Project	COVID related (Yes / No)	Depts.	Project Distribution	Commence Date –	Research Project location area	Status/progress of the project
			across 54 local municipalities and 10 districts plus 1 metro			secondary data available on internet. Intentions are to expand further on the report.
Local Government response to Covid 19	Yes	COGTA	The report focuses on the responsiveness of the 228 local municipalities to the Covid 19 pandemic	Mar-20	All municipalities Nationally	A report has been disseminated for public consumption.
Evaluation report on the key Departmental lessons learnt during the level 5 lockdown	Yes	COGTA	The project was undertaken internally with the Departmental Officials	Apr-20	Within Cogta	A report has been completed and sent through to the HOD and other affected officials.
Research into Sustainable Livelihoods and SMART Projects	No	DHS		May-20	Desktop	The Concept document has been drafted and submitted to Chief Director. Research report submitted on 4 February 2021.
Community Participation in Human Settlement Projects	N/A	DHS	N/A	April 2020	KZN/Western Cape	Approved.
Investigate the potential of <i>Sericea lespedeza</i> as summer grazing for sheep	No	DARD	Applicable to the Grassland areas of KZN	2010	Dundee	Final Report submitted.
Performance of goats supplemented with sweet potato vines	No	DARD	Applicable throughout KZN	2015	OSCA	Final Report to be submitted.
The effect of supplementation on the performance and carcass yield of indigenous goats grazing Cocksfoot in the Moist Midlands Mistbelt of KZN	No	DARD	Applicable to the Grassland areas of KZN	2017	Cedara	Final Report submitted.
An overview of cucurbits production in UMnambhthi and Indaka local municipalities	No	DARD	Applicable throughout the KZN province	2014	UThukela	Survey & Final Report.

Name of Research Project	COVID related (Yes / No)	Depts.	Project Distribution	Commence Date –	Research Project location area	Status/progress of the project
Improving ruminants' production in KZN through supplementing winter nutrition.	No	DARD	Applicable throughout the KZN province	2016-2021	Cedara	Final Report Submitted.
An overview of cucurbits production in UMnambhli and Indaka local municipalities	No	DARD	Applicable throughout the KZN province	2014	UThukela	Final Report Submitted.
Sweet potatoes production in a maize based farming system.	No	DARD	Applicable throughout the KZN province	2014	Bergville	Final Report Submitted.

4. GENERAL OBSERVATIONS

- 4.1 Whilst there is improvement through the addition of initiatives to the templates, gaps remain a challenge in reporting and movement on key instruments are still slow. There has been no substantial movement on the instruments indicated in the November report.
- 4.2 Most policy instrument development is at the level of corporate operations.
- 4.3 Alignment to the MTSF Priorities in terms of Policies and Research Inventory information still requires attention. Some Departments are still using the 2014-2019 MTSF and its Outcomes as opposed to the 2019-2024 MTSF Priorities and Outcomes.
- 4.4 Accuracy of information provided. There is still a disjuncture between updates on the inventories and developments through the Executive Cluster approvals, e.g. Departments not updating information based on approvals at the Executive Council, and/or reporting progress through the departmental reports. Examples are indicated in the table in paragraph 3.6 above.
- 4.5 Reporting on Implementation Programmes remains a challenge and where such programmes are developed, key issues such as the socio- economic impact and cost implications have not been taken into account.
- 4.6 SEIAS has not been applied to any of the instruments.
- 4.7 It is further noted that most Departments still need to update their inventories to add the Draft February Lekgotla 2021 Resolutions relating to Policy and Research. These have been extracted from the most recent draft and are appended as Annexure 3.

5. INTERVENTIONS AND PROPOSED IMPROVEMENTS

- 5.1 Feedback continues to be provided to Heads of Departments and relevant forums on an ongoing basis.
- 5.2 The office of the Premier commenced engagements with the Presidency for ongoing support in the implementation of SEIAS and exchanging information on policy and research developments.

- 5.3 The Provincial Public Service Training Academy is working with the National School of Government and Presidency to facilitate training on SEIAS as well as other areas related to the Policy Management Cycle.
- 5.4 Awareness of the updated templates has started. Notices have been sent to all policy and research forums, as well as the Action Working Groups to access the updated templates.
- 5.5 An updated schedule of policies and research initiatives will continue and be measured against other sources to provide updated information regarding the status of policies and policy instruments.

6. RECOMMENDATION

- 6.1 It is recommended that the Provincial Planning Commission is informed of and notes the progress on the policy and research inventory updates as it relates to the PGDS/P and MTSF Implementation Plan, and proposed interventions outlined in section 5 of the report.
- 6.2 Heads of Department, Forum members and Action Work Groups to be reminded on an ongoing basis to ensure that projects be informed by the National and Provincial Priorities (including SONA, SOPA, Lekgotla Resolutions, One-on-one Resolutions and MTSF Implementation Plans).
- 6.3 Heads of Department, Forum members and Action Work Groups to be reminded on an ongoing basis to ensure integrated reporting on progress against policy instruments and research projects through the inventories.
- 6.4 Forums be workshopped to simplify templates and input systems.

SUBMITTED

Date: _____

M M Milne

CHIEF DIRECTOR : PROVINCIAL PLANNING,
RESEARCH AND POLICY

KZN Policy Inventory: Section 1: Status of Pre-Existing/Existing Provincial Macro Policies and Policy Instruments. (Extract)

Department:	OFFICE OF THE PREMIER	Contact Person (Name of Person that will be able to provide details on the information provided for this section)			B Mahlangu et al	Contact No:		
		E-mail				Date:		
Section 1: Status of Pre-Existing (i.e Policies in existence pre 1 April 2014 that were still applicable post 1 April 2014)/ Existing Provincial Macro Policies and Policy Instruments.								
Policy and Instruments	Title	Purpose	Covid Related Yes/No		Date of first approval	Date of last review	Projected date of next review	Current Status and key challenges (as observed by policy owner or through feedback from stakeholders)
Category 1 : Macro Policies/Policy Framework	ICT Governance Policy Framework	Corporate governance is concerned with individual accountability and responsibilities within a department and is a vehicle through which value is created.			15 May 2017	Further review of the policy will be done once the National Policy is reviewed	Next review of the policy will be done once the National Policy is reviewed	The department MPAT 1.8 self-assessment result was level 4 and the final result was level 3 which indicates that the department is performing well and is in line with the CGICTPF.
	Fraud Policy 2014				12-09-2014	10-12-2019	N/A	No challenges
	Whistle blowing policy 2013				05 April 2017	10-12-2019	N/A	No challenges
	Provincial Conflict of Interest Policy				08 February 2014	11-07-2019	N/A	No challenges
	Provincial Peral Policy				2010	The policy review has recently been completed and it was approved by the Director-General on 4 February 2021	The policy may be reviewed in 3 to 5 years' time (i.e. 2024 to 2026).	Policy is current. The 2020/21 Provincial Peral Policy Compliance Audit was completed in November 2020. The Departmental reports were sent to HOD's during December 2020 and the consolidated Provincial Compliance report was tabled at COHOD on 2 February 2021. Compliance with the policy by Departments is very good, the overall average level of compliance by departments was 94% in the 5 areas which were audited.

ANNEXURE 3: Socio Economic Impact Assessment System (SEIAS)

Socio Economic Impact Assessment System (SEIAS)

Please refer to the Presidency website to download SEIAS Guidelines and templates: www.thepresidency.gov.za

Appendix 1: SEIAS tools : Documents available from <http://www.thepresidency.gov.za/SEIAS>

SOCIO-ECONOMIC IMPACT ASSESSMENT SYSTEM (SEIAS) GUIDELINES (EXTRACT)

Version: 2020 SEIAS Guidelines: Version- April 2020

Procedures and responsibilities

SEIAS consists of a set of common procedures and support institutions for assessing the socio-economic impact of new or to be amended policies, regulations and legislations.

Application of SEIAS

As per SEIAS Guidelines which were approved by Cabinet in 2015, SEIAS is to be applied to the following:

- New or to be amended primary legislation.
- Subordinate legislation that can have a significant impact on society.
- Significant regulations, legislations and policy proposals; and
- Major amendments of existing legislation, regulations, policies, frameworks, strategies and plans that have country coverage with high impacts.

SEIAS PHASES

SEIAS follows two phases namely **Initial Impact Assessment (IIA)** and **Final Impact Assessment (FIA)** and which are to run concurrently with stages of policy or legislation development i.e. from conceptualisation to development of an intervention. As per SEIAS Guidelines, SEIAS distinguishes the following six main stages in the policy process:

- A decision to develop (or amend) policies, regulations or legislation in order to address an identified social or economic problem.
- An initial assessment involving (a) identification of options for addressing the problem and (b) a rough evaluation of the costs and benefits of each option for different social or economic groups.
- Agreement on the basic option and finalisation of draft policy initiatives, regulations or legislation in a process that includes appropriate consultation and a continual review of the impact assessment as the proposals evolve.
- Development of a final impact assessment that provides a detailed evaluation of the likely effects of the legislation in terms of implementation and compliance costs as well as the anticipated outcome.

- Publication of the draft policy initiatives, regulation or legislation for public comment and consultation with stakeholders, with the final assessment attached.
- Revision of the draft and the final assessment based on comments from the public and stakeholders, if required, and submission of the draft policy initiatives, regulation or legislation for approval with the final assessment attached.

Proposals that are exempted from SEIAS are those of:

- Automatic increases in statutory fees as long as the increase is at or below the headline inflation rate measured by the Consumer Price Index.
- Regulations giving effect to budget decisions (such as the Division of Revenue Act).
- Individual Departments’ operational policies such as Human Resource and Budget Policies. Policy practitioners should however take into consideration of these corporate policies when developing public policies and legislation.

Roles and Responsibilities on implementation of SEIAS

Table 1: Roles and Responsibilities on implementation of SEIAS

Stakeholder	Roles and Responsibilities
The Presidency- Policy and Research Services	<ul style="list-style-type: none"> • Lead, oversee and establish relevant capacity internally for the effective implementation of the SEIAS across departments • Develop guidelines, templates and capacity building materials for SEIAS • Provide continued support to departments on implementation of SEIAS • Conduct analysis and quality assurance on SEIAS reports produced by departments • Issue quality assurance sign off forms for completed SEIAS reports • Chair and provide Secretariat support for the SEIAS Interdepartmental Steering Committee • Coordinate and support coordinated policy/ legislative development across departments and affected stakeholders
The Presidency- Cabinet Office	<ul style="list-style-type: none"> • Ensure that any draft policy, Bill or regulation that requires Cabinet approval is accompanied by the SEIAS form to the relevant Cabinet Memorandum • Provide feedback to the Steering Committee on any matters from Cabinet relating to • the submitted draft bill or regulation
SEIAS Interdepartmental Steering Committee	<ul style="list-style-type: none"> • The Steering Committee provides guidance in the development of appropriate guidelines and reviews of the template regularly to ensure that it supports effective evaluation process and aligned with national priorities • Provide support on training and capacity building methodology and approach • Provide guidance on the establishment of panel of experts to be used by government departments • Where deemed necessary, provide guidance to custodian departments that conducted SEIAS to their respective policies or legislation

SEIAS KEY RESPONSIBILITIES FOR THE OFFICE OF THE PREMIER	<ul style="list-style-type: none"> • Facilitate policy integration and alignment of policy perspectives in the policy proposal. • Confirm that the Socio-Economic impact assessment (phases 1 and 2) of all policy proposals submitted to the Office of the Premier by the departments (or relevant Branches in the case of internal OTP), had been complied with (Note: Departments are responsible for conducting the SEIAS Phase 1 and 2 assessments). • Provide technical support when requested by departments or units within the Office of the Premier. • Provide comments and/or issue SEIAS certificate and including ensuring M&E is addressed in the document. • Harmonisation of strategic policy interventions with the government priorities. • Provide technical policy advisory support services to the department on policy and governance SEIAS implications.
Departments	<ul style="list-style-type: none"> • Apply SEIAS on policies, legislation, regulations, and where relevant on certain high impact strategies, plans and frameworks for different stages of development. • Develop policies and legislation as per policy or legislative program (SEIAS does not replace action plans/ legislative program). • Ensure that Final Impact Assessment reports are published on the website when gazetting the proposals for public comments.
SEIAS Champions within Departments	<ul style="list-style-type: none"> • Ensure that Units responsible for developing/ amending policies, legislations and regulations apply SEIAS which happen at different phases (Initial and Final Impact Assessments). • Ensure that proposals that are internally approved are subjected to SEIAS. • Become a link between PRS and respective office of the DG. • Provide progress on the SEIAS implementation in the Department. • Coordinate internally for PRS to facilitate or provide training to staff • Ensure that units finalize SEIAS reports, post inductions.
Policy crafting team/line function	<ul style="list-style-type: none"> • Ensure that SEIAS is aligned to the APP targets on development of proposals, action plans and legislative programme. • Ensure the application of SEIAS on development of proposals that happen at different stages. • Improve the SEIAS reports based on PRS comments

Methodology

By their nature, impact assessments require an estimate of the likely effects of an action that has not yet been undertaken. To achieve that end, they analyse the existing situation so as to forecast the effects of a change in the rules. The discussion here aims to establish some common approaches to make these estimates as reliable and consistent as possible. Again, the aims are to improve proposals, not simply to accept or reject them as is; many of the costs and benefits will be described but not quantified; and the SEIAS process should always identify the main risks to achieving the desired outcomes and ways to mitigate them.

The SEIAS builds on two fundamental approaches to evaluating the impact of a new rule:

1. Technical analysis, where researchers identify from their investigations, published studies and more or less complex simulations how the new rule will likely affect different groups in society, and

2. Participatory research, mostly through consultation with stakeholders, in order to get an assessment of the impact of a new rule from those most affected and knowledgeable about the context.

Policy makers must manage the following challenges in the assessment process.

First, as noted above, it is important to ensure that the assessment process is proportionate to likely impact of the proposed rule. A relatively minor technical change, for instance to modify standards for solar water heaters, would require some consultation with producers and consumer representatives, as well as a fairly rough calculation of the cost of re-tooling production lines and the implications for the final price. In contrast, assessment of, say, the National Health Insurance policies, legislation and regulations will require a large research programme and ideally some modelling of the economic and social impacts. It would also necessitate a very broad programme of consultation with representatives of various healthcare providers, the public (as healthcare consumers), employers, unions and provincial health departments, amongst many others.

Second, the assessment process must manage the biases that, especially in such an unequal society, inevitably affect both the people doing the assessment and their respondents. For this reason, as noted in the assessment formats proposed in the next section, estimates of costs and benefits should always be linked to the affected groups. In addition, assessments should explicitly look at the impact of proposed new rules on the core national priorities of social cohesion and security, economic inclusion and growth, and environmental sustainability.

A particular challenge arises in evaluating stakeholders' inputs. By definition, stakeholders often know more about the context and likely impact of any policy than government officials. But their information is also necessarily shaped by their own interests. Framing the consultation in terms of the broader, longer term national interest helps contain overt self-interest bargaining. Nonetheless, some bias will persist in all stakeholder inputs. Their information is critical for sound decision making, but it must be evaluated carefully against research as well as other stakeholders' views.

A further issue around stakeholders is that some elite groups – notably suburban ratepayers associations, professional groups and business associations – have more capacity to engage with drafters than comparatively impoverished, poorly organised and vulnerable people and groupings. In any democracy, however, the government does not just mediate between stakeholders, but is responsible for representing the long-term interests of the majority of the population and the country as a whole. It is therefore critical that the drafter consult where possible with representatives of the majority of the electorate, for instance through union and community leaders.

Third, any new rule inevitably imposes some burdens on those who benefited from the pre-existing laws and structures. In South Africa, in particular, achieving a more equitable and inclusive society requires systematic changes in the behaviour of formal enterprises and relatively well-off communities. Relatively small sacrifices on their part can lead to a significant improvement in the conditions of the majority. The challenge is to identify when the burdens of change loom so large that they could lead to excessive costs to society, for instance through disinvestment by business or a loss of skills to emigration.

The impact assessment should help manage these risks by pointing to ways to reduce the burdens associated with change as well as identifying benefits to offset them. Many

relatively well-off households and businesspeople understand that a more equitable and inclusive economy will benefit them in the longer run both by providing a more welcoming and supportive society and by reducing the level of crime.

Fourth, impact assessment should support the alignment and integration of government strategies by identifying the economic impacts of non-economic measures and the social effects of economic measures. By extension, impact assessments for rules that target improvements around infrastructure, social services, the environment and security should include an estimate of the impact on economic growth, investment, employment creation and equity. Similarly, rules designed to affect economic activities, for instance supporting investment or employment creation, should be assessed in terms of their implications for the environment, social cohesion and security.

Finally, policy makers need to decide how far they can go in quantifying the impact of their measures, in addition to providing a broad qualitative analysis. As noted above, any quantification necessarily involves estimates, since the assessment relies on predictions for outcomes that do not yet exist. For many assessments, only an understanding of the broad order of magnitude is required, based on an evaluation of how the measure will affect different groups. Again, SEIAS aims to clarify decisions and focus discussions, not to come up with a simple numerical judgment. Even if no definitive cost-benefit analysis is possible, the impact assessment should point to major concerns and opportunities.

That said, modelling techniques can simulate the impact of some kinds of measures, including the indirect economic effects. They provide more precise (although not necessarily more accurate) estimates. For most new rules and policies, however, the cost and time required for modelling outweigh the benefits. Furthermore, the precision of the models often masks unproven assumptions, building in a hidden bias.

Frequently Asked Questions

a) Who should do the impact assessment?

The impact assessment should be managed by the drafters of the policy. As a rule, they should carry out the initial assessment, which should be approved by their Director General. Where the proposal affects other departments or government agencies, they should discuss the assessment with these bodies.

Who does the final assessment depends on how complex an analysis is required, which in turn depends largely on the scope of the proposal being assessed. For major interventions, it is desirable to ensure an expert analysis, possibly including a modelling exercise. As a rule of thumb, the drafters should seek outside expertise to help fill out sections of the form that they cannot complete using their own knowledge.

b) Will Cabinet consider a proposal without the impact assessment?

From [DATE], only proposals that have an impact assessment attached will be considered by Cabinet.

c) Stakeholders just lobby for their own interests – why should I listen?

Stakeholders generally know more about their conditions and the likely impact of a proposal than government officials. If drafters simply ignore their inputs, they often come

up with erroneous estimates of the cost of new measures. The time spent in consultation should be viewed as participatory research. If the stakeholders appear to have exaggerated views, then more academic research should be used to check them.

It is useful to frame discussions with stakeholders by (a) requiring that their inputs provide alternative ways to solve the problem identified, if they do not like the one that has been drafted, and (b) requiring that they consider how their inputs would impact on broader development and growth. This approach seeks to move the discourse from power and self-interest to reason and evidence. Experience demonstrates that it generates much more meaningful and thoughtful discussions.

d) All this research will just stop us from implementing anything.

SEIAS permits drafters to adjust the scope of the assessment process to the significance of each proposal. In any case, a failure to take unintended consequences into account can mean policies become unnecessarily contentious, impose large undesirable costs on society, or are simply ignored.

e) My job is to provide a specific service. Why should I care about the priorities of other departments that are listed in the assessment format?

The failure to align government around core priorities has undermined service delivery and economic transformation. Taking the impact on national priorities into account with every measure, even if it is not directed at those priorities, is critical to improve the alignment of government actions. The process also builds in a quid pro quo, since other departments also have to take into account your priorities, as long as they align with the national mandate.

f) Will the impact assessment count even if I can't quantify costs and benefits?

Often only a qualitative analysis of the impact of a policy is possible or desirable. That kind of estimate improves the policy process by pointing to areas where costs and risks can be moderated or where they are patently excessive relative to the anticipated benefits of the policy. The impact assessment should serve more to focus discussion and identify areas of debate and improvement than to provide a fully quantified accounting.

g) How should I quantify costs and benefits if they're intangible or very broad or long term? For instance, improved ECD leads to better educational outcomes and income over a person's whole lifetime. That can't be meaningfully put into a single number.

Often it is important to point to the existence of major costs and benefits, even if they can't be fully quantified. Again, the aim is mostly to ensure that policy makers take these costs and benefits into account. There are techniques for quantifying them if it proves really necessary, but usually it is less important than having a broad understanding of the issues involved.

Thank you for co-operating with this effort to improve policy making and achieve a more coherent, sustainable, prosperous and secure society!



Annexure 3
Appendix 1(a)

THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

SOCIO-ECONOMIC IMPACT ASSESSMENT SYSTEM
(SEIAS) INITIAL IMPACT ASSESSMENT TEMPLATE (PHASE 1)
REVISED 2020

Please DO NOT ALTER the template and questionnaire

The Initial Impact Assessment [Insert the Name of the Policy/Bill/Regulations/Other]

The Initial Impact Assessment aims to ensure that the policy is on the right track by requiring evaluation of alternative approaches. It should help drafters avoid finalising an inappropriate solution because they moved too quickly to select a strategy without adequately analysing the roots of the problem and considering alternative measures. It should facilitate a brainstorm about issues involved in the problem and full range of alternatives to deal with them.

1. The problem/ Theory of Change

1.1. What is the **social or economic problem** that you are trying to solve?

1.2. What are the main causes of the problem? That is why the problem arise and why does it persist?

Identified Problem	Main Causes of the Problem	Why does it persist as a problem?

1.3. Whose behaviours give rise to the problem, and why does that behaviour arise? Remember that several groups including some in government may contribute to the identified problem. Their behaviour may arise amongst others because the current rules are inappropriate; because they gain economically from the behaviour; or because they are convinced that they are doing the right thing. Identifying behaviours that cause the problem should point to the behaviours that must be changed in order to achieve the desired solution.

Identified Problem	Behavior giving rise to the identified problem	Groups whose behavior give rise to the identified problem?	Why does the behavior arise?

1.4. Please explain why implementation of the existing policies/ laws/regulations or any proposals are not effective in addressing identified problems.

1.5. Identify the major social and economic groups affected by the problem, and how are they affected. Who benefits and who loses from the current situation? **Be mindful of the vulnerable groups (Women, Youth, Children, People with Disabilities), Low income groups, Rural Households and Small Enterprises.**

Identified Problem	Groups (Social/ Economic)	How are they affected by the identified problem?	Are they benefitting or losing from the current situation?

1.6. Which of below Seven (7) national priorities are negatively affected by the identified problem?

National Priority	How is the priority negatively affected by the identified problem?
1. Economic Transformation and Job Creation	
2. Education, Skills and Health	
3. Consolidating the Social Wage through reliable and quality Basic Services	
4. Spatial Integration, Human Settlements and Local Government	
5. Social Cohesion and Safe Communities	
6. Building a Capable, Ethical and Developmental State	
7. A better Africa and World	

2. Options

2.1. Describe least three options for addressing the identified problem, including (a) your preferred proposal, and (b) an option that does not involve new or changed regulation (baseline or existing option)

a)

b)

2.2. Are the proposed options linked to other existing government laws or regulations and what are the gaps / limitations of those existing ones to address your identified problem?

Government legislative prescripts	Custodian department / units within your department	Areas of Linkages	What are the limitations of existing prescripts?

2.3. What social groups would gain and which would lose most from the each of the three or above options? Consider specifically the implications for the households earning less; micro and small business; black people, youth and women; and rural development.

Option	Main Beneficiaries	Main Cost bearers
a)		
b)		
c)		

2.4. For each option, describe the possible implementation costs, compliance costs and the desired outcomes, listing who would bear the costs or, in case of the outcomes, enjoy the benefits.

Option	Implementation costs	Compliance costs	Desired Outcomes (Benefits)
a)			
b)			
c)			

2.5. Based on the above table on costs and benefits, describe how different options would contribute to or detract from the national priorities. Remember this is a think-tool, so explore the issues freely.

Priority	Option 1	Option 2	Option 3
1. Economic Transformation and Job Creation			
2. Education, Skills and Health			
3. Consolidating the Social Wage through reliable and quality Basic Services			
4. Spatial Integration, Human Settlements and Local Government			
5. Social Cohesion and Safe Communities			
6. Building a Capable, Ethical and Developmental State			
7. A better Africa and World			

2.6. Describe the potential risks that could threaten implementation of each option and indicate what can be done to mitigate the identified risks.

Option	Potential Risks	Mitigation Measures	Comments
a)			
b)			
c)			

At this point, if you think the analysis points to a more useful or stimulating set of options, revise the SEIAS. You may find that you would like to combine some of the options, or that the process of discussion around the options has generated ideas that are better than your original ideas. Ideally, the three options considered should all be good ideas-that provides the best test for the final strategy adopted.

3. SUMMARY

- 3.1. Based on your analysis, as reflected in the discussion of the three options above, summarise which option seems more desirable and explain?
- 3.2. What specific measures can you propose to minimise the implementation and the compliance costs of your preferred option, to maximise the benefits?
- 3.3. What are the main risks associated with your preferred option, and how can they best be managed?
- 3.4. What additional research should you do to improve your understanding of the costs and benefits of the option adopted?

For the purpose of building SEIAS body of knowledge please complete the following:

<i>Name of Official/s</i>	
<i>Designation</i>	
<i>Unit</i>	
<i>Contact Details</i>	
<i>Email address</i>	



Annexure 3
Appendix 1(b)

**THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA**

SOCIO-ECONOMIC IMPACT ASSESSMENT SYSTEM (SEIAS) REVISED (2020)
FINAL IMPACT ASSESSMENT TEMPLATE –PHASE 2
NAME OF THE PROPOSAL:

1. Please DO NOT ALTER the template and questionnaire
2. Date must be clearly indicated
3. Draft SEIAS report should have a watermark word DRAFT indicating the version and should be accompanied by the supporting documents (draft proposal, M&E plan and pieces of research work)
4. FINAL report will be in PDF format and will be inclusive of the sign-off
5. FINAL report will have the approval stamp of the Presidency on the front cover and will include the sign-off
6. Sign off forms are only valid for a period of six months.
7. Bills and Regulations that introduce permitting, licensing and registration system must be accompanied by a streamlined process map and indicate the proposed turnaround time for processing of such.

PART ONE: ANALYSIS FOR FINAL SEIAS REPORT

Please keep your answers as short as possible. Do not copy directly from any other document.

1. Conceptual Framework, Problem Statement, Aims and Theory of Change

1.1. What socio-economic problem does the proposal aim to resolve?

1.2. What are the main root causes of the problem identified above?

What socio-economic problem does the proposal aim to resolve	What are the main roots or causes of the problem

1.3. Summarise the **aims** of the proposal and **how** it will address the problem in no more than five sentences.

1.4. How is this proposal contributing to the following national priorities?

National Priority	Impact
1. Economic transformation and job creation	
2. Education, skills and health	
3. Consolidating the social wage through reliable and quality basic services	
4. Spatial integration, human settlements and local government	
5. Social cohesion and safe communities	
6. Building a capable, ethical and developmental state	
7. A better Africa and world.	

PART TWO: IMPACT ASSESSMENT

2. Policy/Legislative alignment with other departments, behaviours, consultations with stakeholders, social/economic groups affected, assessment of costs and benefits and monitoring and evaluation.

2.1. Are other government laws or regulations linked to this proposal? If so, who are the custodian departments? Add more rows if required.

Government legislative prescripts	Custodian Department	Areas of Linkages	Areas of contradiction and how will the contradictions be resolved

2.2. Proposals inevitably seek to change behaviour in order to achieve a desired outcome. Describe (a) the behaviour that must be changed, and (b) the main mechanisms to bring about those changes. These mechanisms may include modifications in decision-making systems; changes in procedures; educational work; sanctions; and/or incentives.

- a) What and whose behaviour does the proposal seek to change? How does the behaviour contribute to the socio-economic problem addressed?
- b) How does the proposal aim to bring about the desired behavioural change?

2.3. Consultations

Who has been consulted inside of government and outside of it? Please identify major functional groups (e.g. business; labour; specific government departments or provinces; etc.); you can provide a list of individual entities and individuals as an annexure if you want.

Consulted Government Departments, Agencies and Other Organs of State

Department's name	What do they see as main <u>benefits</u> , <u>Implementation/ Compliance costs and risks</u> ?	Do they <u>support</u> or <u>oppose</u> the proposal?	What <u>amendments</u> do they propose?	Have these amendments been <u>incorporated</u> in your proposal? If yes, under which section?

Consulted stakeholders outside government

Name of Stakeholder	What do they see as main benefits, Implementation/ Compliance costs and risks?	Do they support or oppose the proposal?	What amendments do they propose?	Have these amendments been incorporated in your proposal?

- a) Summarise and evaluate the main disagreements about the proposal arising out of discussions with stakeholders and experts inside and outside of government. Do not give details on each input, but rather group them into key points, indicating the main areas of contestation and the strength of support or opposition for each position

- 2.4. Describe the groups that will benefit from the proposal, and the groups that will face a cost. These groups could be described by their role in the economy or in society. Note: NO law or regulation will benefit everyone equally so do not claim that it will. Rather indicate which groups will be expected to bear some cost as well as which will benefit. Please be as precise as possible in identifying who will win and who will lose from your proposal. Think of the vulnerable groups (disabled, youth women, SMME), but not limited to other groups.

List of beneficiaries (groups that will)	How will they benefit?

List of cost bearers (groups that will bear the cost)	How will they incur / bear the cost

- 2.5. Describe the costs and benefits of implementing the proposal to each of the groups identified above, using the following chart. Please do not leave out any of the groups mentioned, but you may add more groups if desirable. Quantify the costs and benefits as far as possible and appropriate. Add more lines to the chart if required.

Note: "Implementation costs" refer to the burden of setting up new systems or other actions to comply with new legal requirements, for instance new registration or reporting requirements or by initiating changed behaviour. "Compliance costs" refers to on-going costs that may arise thereafter, for instance providing annual reports or other administrative actions. The costs and benefits from achieving the desired outcomes relate to whether the particular group is expected to gain or lose from the solution of the problem.

For instance, when the UIF was extended to domestic workers:

- *The implementation costs were that employers and the UIF had to set up new systems to register domestic workers.*
- *The compliance costs were that employers had to pay regularly through the defined systems, and the UIF had to register the payments.*
- *To understand the inherent costs requires understanding the problem being resolved. In the case of UIF for domestic workers, the main problem is that retrenchment by employers imposes costs on domestic workers and their families and on the state. The costs and benefits from the desired outcome are therefore: (a) domestic workers benefit from payments if they are retrenched, but pay part of the cost through levies; (b) employers pay for levies but benefit from greater social cohesion and reduced resistance to retrenchment since workers have a cushion; and (c) the state benefits because it does not have to pay itself for a safety net for retrenched workers and their families.*

Group	Implementation costs	Compliance costs	Costs/benefits from achieving desired outcome	Comments

2.6 Cost to government: Describe changes that the proposal will require and identify where the affected agencies will need additional resources

- a) Budgets, has it been included in the relevant Medium Term Expenditure Framework (MTEF).
- b) Staffing and organisation in the government agencies that have to implement it (including the courts and police, where relevant). Has it been included in the relevant Human Resource Plan (HRP)

Note: You MUST provide some estimate of the immediate fiscal and personnel implications of the proposal, although you can note where it might be offset by reduced costs in other areas or absorbed by existing budgets. It is assumed that existing staff are fully employed and cannot simply absorb extra work without relinquishing other tasks.

2.7 Describe how the proposal minimises implementation and compliance costs for the affected groups both inside and outside of government.

For groups outside of government (add more lines if required):

Group	Nature of cost (from question 2.6)	What has been done to minimize the cost?

For government agencies and institutions:

Agency/institution	Nature of cost (from question 2.6)	What has been done to minimize the cost?

2.8 Managing Risk and Potential Dispute

- a) Describe the main risks to the achievement of the desired outcomes of the proposal and/or to national aims that could arise from implementation of the proposal. Add more lines if required.

Note: It is inevitable that change will always come with risks. Risks may arise from

(a) unanticipated costs; (b) opposition from stakeholders; and/or (c) ineffective implementation co-ordination between state agencies. Please consider each area of risk to identify potential challenges.

- b) Describe measures taken to manage the identified risks. Add more rows if necessary.

Mitigation measures means interventions designed to reduce the likelihood that the risk actually takes place.

Identified risk	Mitigation measures

- c) What kinds of dispute might arise in the course of implementing the proposal, whether (a) between government departments and government agencies/parastatals, (b) between government agencies/parastatals and non-state actors, or (c) between non-state actors? Please provide as complete a list as possible. What dispute-resolution mechanisms are expected to resolve the disputes? Please include all of the possible areas of dispute identified above. Add more lines if required.

Note: Disputes arising from regulations and legislation represent a risk to both government and non-state actors in terms of delays, capacity requirements and expenses. It is therefore important to anticipate the nature of disputes and, where possible, identify fast and low-cost mechanisms to address them.

Nature of possible dispute (from subsection above)	Stakeholder involved	Proposed Dispute-resolution mechanism

2.9 Monitoring and Evaluation

Note: Sound implementation of policy and legislation is due to seamless monitoring and evaluation integration during the policy development phase. Policies and legislation that are proficiently written yet unable to report on implementation outcomes are often a result of the absence of an M&E framework at the policy and legislative planning phase. It is therefore imperative to state what guides your policy or legislation implementation monitoring.

2.9.1 Develop a detailed Monitoring and Evaluation Plan, in collaboration with your departmental M&E unit which should include among others the following:

2.9.1.1 Provide clear and measurable policy or legislative objectives

2.9.1.2 Provide a Theory of Change clearly describing the following components:

- Impact: the organisational, community, social and systemic changes that result from the policy or legislation.
- Outcomes: the specific changes in participants (i.e. beneficiaries) behaviour, knowledge, skills, status and capacity.
- Outputs: the amount, type of degree of service(s) the policy or legislation provides to its beneficiaries.
- Activities: the identified actions to be implemented
- Input: departmental resources used in order to achieve policy or legislative goals i.e. personnel, time, funds, etc.
- External conditions: the current environment in which there's an aspiration to achieve impact. This includes the factors beyond control of the policy or legislation (economic, political, social, cultural, etc.) that will influence results and outcomes.
- Assumptions: the facts, state of affairs and situations that are assumed and will be necessary considerations in achieving success

2.9.1.3 Provide a comprehensive Logical Framework (Log-Frame) aligned to the policy or legislative objectives and the Theory of Change. The Log-Frame should contain the following components:

- Results (Impact, Outcomes and Output)
- Activities and Input
- Indicators (A measure designed to assess the performance of an intervention. It is a quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor). Baseline (the situation before the policy or legislation is implemented)
- Targets (a specified objective that indicates the number, timing and location of that which is to be realised)

2.9.1.4 Provide an overview of the planned Evaluation, briefly describing the following:

- Timeframe: when the evaluation will be conducted
- Type: What type of evaluation is planned (formative, implementation or summative) – the selection of evaluation type is informed by the policy owners objective (what it is you want to know about your policy)

or legislation.

2.9.1.5 Provide a straightforward Communication Plan (Note: a common assumption is that the target group will be aware of and understand how to comply with a policy or legislation come implementation. However, increases in the complexity and volume of new or amendment policy or legislation render this assumption false. Hence, the need for a communication plan to guide information and awareness campaigns to ensure that all stakeholders (including beneficiaries) are informed.

2.10 Please identify areas where additional research would improve understanding of the costs, benefit and/or of the legislation.

PART THREE: SUMMARY AND CONCLUSIONS

1. Briefly summarise the proposal in terms of (a) the problem being addressed and its main causes and (b) the measures proposed to resolve the problem.
2. Identify the social groups that would benefit and those that would bear a cost, and describe how they would be affected. Add rows if required.

Groups	How they would be affected
<i>Beneficiaries</i>	
1.	
2.	
3.	
<i>Cost bearers</i>	
1.	
2.	
3.	

3. What are the main risks from the proposal in terms of (a) undesired costs, (b) opposition by specified social groups, and (c) inadequate coordination between state agencies?
4. Summarise the cost to government in terms of (a) budgetary outlays and (b) institutional capacity.
5. Given the assessment of the costs, benefits and risks in the proposal, why should it be adopted?
6. Please provide two other options for resolving the problems identified if this proposal were not adopted.

Option 1.	
Option 2.	

7. What measures are proposed to reduce the costs, maximise the benefits, and mitigate the risks associated with the legislation?

8. Is the proposal (mark one; answer all questions)

	Yes	No
a. Constitutional?		
b. Necessary to achieve the priorities of the state?		
c. As cost-effective as possible?		
d. Agreed and supported by the affected departments?		

9. What is the impact of the Proposal to the following National Priorities?

National Priority	Impact
1. Economic transformation and job creation	
2. Education, skills and health	
3. Consolidating the social wage through reliable and quality basic services	
4. Spatial integration, human settlements and local government	
5. Social cohesion and safe communities	
6. Building a capable, ethical and developmental state	
7. A better Africa and world.	

For the purpose of building a SEIAS body of knowledge please complete the following:

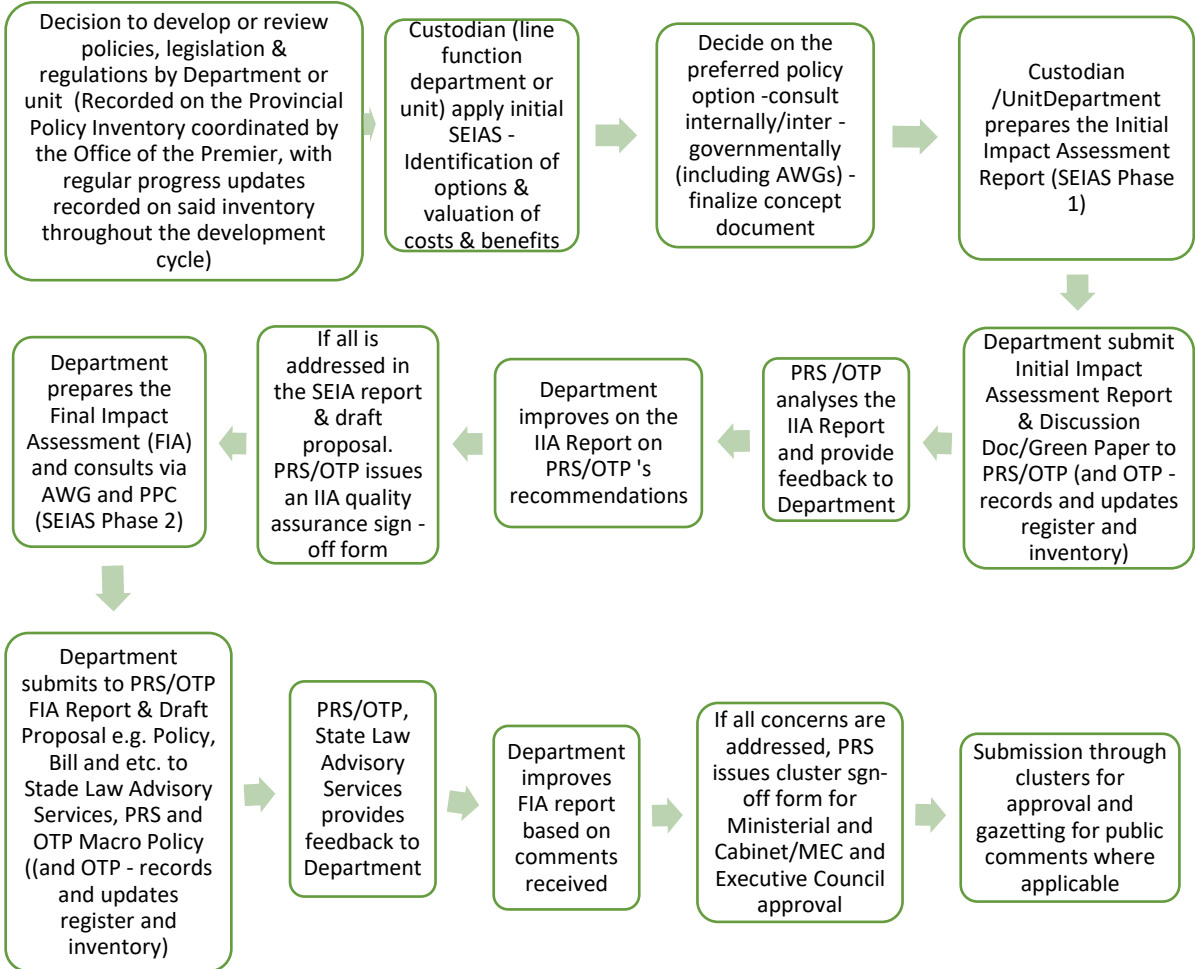
Name of Official/s	
Designation	
Unit	
Contact Details	
Email address	

Annexure 3, Appendix 2

KZN POLICY MAKING PROCESS – Reviewed in line with SEIAS requirements

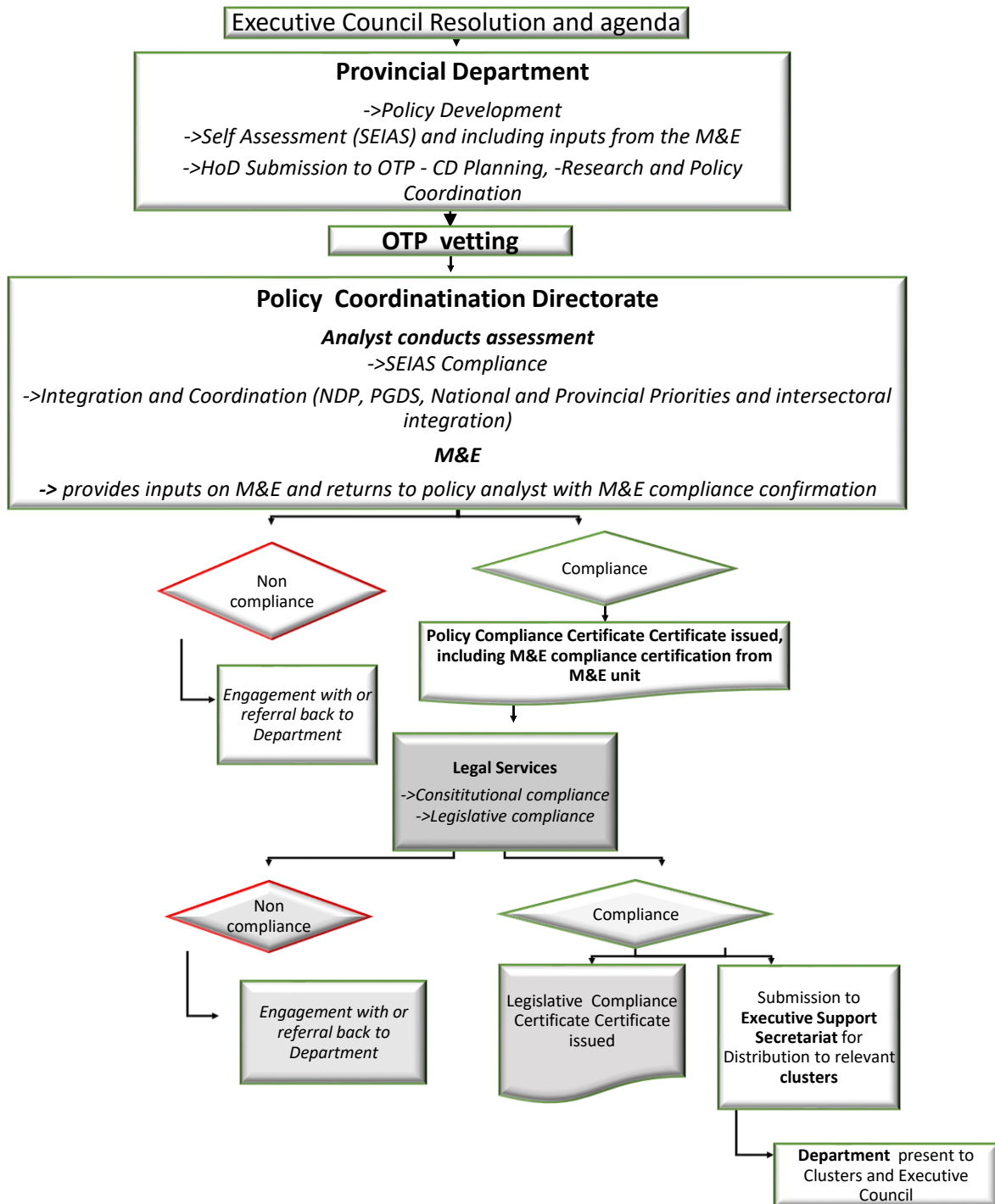
SEIAS follows two phases namely **Initial Impact Assessment (IIA)** and **Final Impact Assessment (FIA)** and which are to run concurrently with stages of policy or legislation development i.e. from conceptualisation to development of an intervention.

Steps on application of IIA and FIA Phases



Adapted from The Presidency : Policy Making Process Map

**PROCESS MAP: SEIAS AND POLICY / LEGISLATION DEVELOPMENT –
PROCESS FLOW FOR PHASE 2**



1. INSTITUTIONAL ARRANGEMENTS

The Socio-Economic Impact Assessment System (SEIAS) Manual seeks to guide departments on the use of the system during policy and legislation development processes. SEIAS was approved by Cabinet in 2015 to replace the Regulatory Impact Assessment (RIA) to ensure that policies, bills and secondary legislation are aligned to national priorities and the National Development Plan (NDP). The system is coordinated by Policy and Research Services in the Presidency.

Roles and Responsibilities on implementation of SEIAS

Table 1: Roles and Responsibilities on implementation of SEIAS

Stakeholder	Roles and Responsibilities
The Presidency- Policy and Research Services	<ul style="list-style-type: none"> • Lead, oversee and establish relevant capacity internally for the effective implementation of the SEIAS across departments • Develop guidelines, templates and capacity building materials for SEIAS • Provide continued support to departments on implementation of SEIAS • Conduct analysis and quality assurance on SEIAS reports produced by departments • Issue quality assurance sign off forms for completed SEIAS reports • Chair and provide Secretariat support for the SEIAS Interdepartmental Steering Committee • Coordinate and support coordinated policy/ legislative development across departments and affected stakeholders
The Presidency- Cabinet Office	<ul style="list-style-type: none"> • Ensure that any draft policy, Bill or regulation that requires Cabinet approval is accompanied by the SEIAS form to the relevant Cabinet Memorandum • Provide feedback to the Steering Committee on any matters from Cabinet relating to the submitted draft bill or regulation
SEIAS Interdepartmental Steering Committee	<ul style="list-style-type: none"> • The Steering Committee provides guidance in the development of appropriate guidelines and reviews of the template regularly to ensure that it supports effective evaluation process and aligned with national priorities • Provide support on training and capacity building methodology and approach • Provide guidance on the establishment of panel of experts to be used by government departments • Where deemed necessary, provide guidance to custodian departments that conducted SEIAS to their respective policies or legislation

SEIAS KEY RESPONSIBILITIES FOR THE OFFICE OF THE PREMIER	<ul style="list-style-type: none"> • Facilitate policy integration and alignment of policy perspectives in the policy proposal. • Confirm that the Socio-Economic impact assessment (phases 1 and 2) of all policy proposals submitted to the Office of the Premier by the departments (or relevant Branches in the case of internal OTP), had been complied with (Note: Departments are responsible for conducting the SEIAS Phase 1 and 2 assessments). • Provide technical support when requested by departments or units within the Office of the Premier. • Provide comments and/or issue SEIAS certificate and including ensuring M&E is addressed in the document. • Harmonisation of strategic policy interventions with the government priorities. • Provide technical policy advisory support services to the department son policy and governance SEIAS implications.
Departments	<ul style="list-style-type: none"> • Apply SEIAS on policies, legislation, regulations, and where relevant on certain high impact strategies, plans and frameworks for different stages of development. • Develop policies and legislation as per policy or legislative programme (SEIAS does not replace action plans/ legislative programme). • Ensure that Final Impact Assessment reports are published on the website when gazetting the proposals for public comments.
SEIAS Champions within Departments	<ul style="list-style-type: none"> • Ensure that Units responsible for developing/ amending policies, legislations and regulations apply SEIAS which happen at different phases (Initial and Final Impact Assessments). • Ensure that proposals that are internally approved are subjected to SEIAS. • Become a link between PRS and respective office of the DG. • Provide progress on the SEIAS implementation in the Department. • Coordinate internally for PRS to facilitate or provide training to staff • Ensure that units finalise SEIAS reports, post inductions.
Policy crafting team/linefunction	<ul style="list-style-type: none"> • Ensure that SEIAS is aligned to the APP targets on development of proposals, action plans and legislative programme. • Ensure the application of SEIAS on development of proposals that happen at different stages. • Improve the SEIAS reports based on PRS comments

Annexure 3, Appendix 3

ANNEXURE - CAPACITY AUDIT – TEMPLATE EXAMPLE

ANNEXURE - CAPACITY AUDIT - POLICY					
Policy and SEIAS Implementation audit					
Which Department are we dealing with?	What institutional model do they apply for macro policy development? Is it a dedicated unit for all macro policies?				
Department	Dedicated Public/Macro Policy Centralised/Decentralised				Mandate of the Policy Unit in the Department -Does this unit develop new policies, or coordinate, directed purely by national policy, or develop guidelines and frameworks only, etc....
OTP	None	Centralised	Decentralised	Dedicated Policy Coordination Unit	
	N/A	Partly	Partly	Yes	Policy unit in OTP Coordinates Provincial Policies and policies of the OTP, and provides technical support. Line function units also develop policies relating to their line function.

Which Department are we dealing with?	Do they have policy analysts? How many and at what level and how many years experience do they have?				OR	If there are no policy analysts, are there dedicated officials dealing with policy development in the department? How				What is the skills profile of policy team?				
	Number and level of Policy Analyst posts on the Departmental structure (Total Number provided)		Number and level of filled policy analyst posts			Number and level of posts on structure directly related to policy development		Number and level of filled policy related posts		Qualification (Indicate Highest level per analyst only)				Years Experience in the use of policy techniques and tools of analysis (per analyst)
Department	Number	Level	Number	Level	Number	Level	Number	Level	First Degree	Hons	Masters	PHD		
OTP														
					1	14	1	14		1		20	tbc	
					1	13	1	13		1		20		
					2	tbc		tbc						
					1	7	1	7	1					

What is the funded vacancy rate of dedicated policy development expertise in the Department?			
Vacancy Rate (Funded Posts)			
Level (Technical post)	Number (Technical posts)	Level (Administrative /Support)	Number (Administrative/Support)

Which Department are we dealing with?	How would you rate the current team's overall/collective ability to undertake SEIAS as per the DPME Guidelines? (1) Good, or (2) OK but need some training, or (3) Weak? This will help us to get a sense on the state of readiness for SEIAS implementation as well as identifying possible skills development needs.										
Department	Current SEIAS Capacity (As per the DPME SEIAS key areas)										
OTP	Theory of Change	Root Cause analysis	Problem solving	Stakeholder analysis	Problem-benefits implementation, costs, risks and impact on national priorities	Risk Mitigation	Option selection and Motivation	Impact assessment	Policy M&E	Overall capacity for Phase 1 (Initial assessment)	Overall Capacity for phase 2 (Final Assessment)
	OK	O	OK	OK	OK	OK	OK	OK	OK	OK	OK

Policy Forum Membership		Who are its representatives on the relevant forums? Will they be able to engage remotely?				
Name of representative	Tel (Land line)	Cell	email	Remote access to emails Yes/No	Access to Microsoft Teams Yes/No	
B Mahlangu				Y	Y	
S Ngubane				Y	Y	

ANNEXURE 4: MTSF and PGDS/P 2021 Alignment

Contextualising Logic Model and Outcomes based approach from NDP and PGDS to Operational Plans

Policy imperatives translate into the logic model and outcomes based approach as follows:

<p>Impact <i>What we aim to change</i> The developmental results of achieving specific outcomes</p>	<p>MTSF 2019-2024</p>	<ul style="list-style-type: none"> • 7 Priority Areas • 5 year targets of outcomes to be achieved towards NDP • Interventions linked to Outcomes 	<p>PGDS</p>	<ul style="list-style-type: none"> • 20 Year Vision and incorporates NDP, SDG and AU 2063 • Impact changes through 7 Priority Areas (direct mapping of MTSF 2019-24) • Interventions prioritised to Outcomes within a 5 year outlook
<p>Outcome <i>What we wish to achieve</i> The medium-term results for specific beneficiaries that are the results of specific outputs</p>	<p>5 year Strategic Plans</p>	<ul style="list-style-type: none"> • Corporate Strategy) with Impact Statement, • Achieved through Outcomes (based on a Theory of Change) 	<p>5 year Strategic Plan</p>	<ul style="list-style-type: none"> • OTP/Departmental Strategy with Impact Statement • Achieved through Outcomes • Based on Theory of Change logic model • Alignment to PGDS
<p>Output <i>What we produce or deliver</i> The final products, or goods and services for delivery</p>	<p>Annual Performance Plan</p>	<ul style="list-style-type: none"> • Annual Performance Plan • Output Programme Performance Measures 	<p>KZN MTSF Implementation Plan Annual Performance Plan</p>	<ul style="list-style-type: none"> • Departmental Implementation Plan for MTSF • includes alignment to SOPA, Cabinet Lekgotla resolutions and any other pertinent priorities • APP operationalises Strategic Plan through the achievement of outputs.
<p>Activities <i>What we do</i> The processes or actions that use to deliver goods/services</p>	<p>Operational Plan</p>	<ul style="list-style-type: none"> • Projects • Programme activities • Normal Operations • Support functions 	<p>Operational Plan</p>	<ul style="list-style-type: none"> • Breakdown to sub-activity level for all APP indicators as well as other outputs that are not part of the APP. • Resources outlined. • Dependencies advised. • Responsibilities
<p>Inputs <i>What we need to do the work</i> Resources</p>	<p>Budget/HR/Procurement</p>	<ul style="list-style-type: none"> • Resources and enabling environment 	<p>Budget/HR/Procurement</p>	<ul style="list-style-type: none"> • Human Resources available to carry out activities. • Budget availability • Both to be used when planning targets.
<p>Individual Work plans <i>What is the individual contribution in alignment to the plans</i></p>	<p>Workplan</p>	<ul style="list-style-type: none"> • Developed utilising all available plans and information as highlighted above 	<p>Workplan (linked to Performance Agreement) and in alignment to APP/ OPS plans</p>	

ANNEXURE 5: Generic Policy Development Process

The following is an expanded discussion of each of the six steps in the policy development process.

1. Problem Identification and Definition

Policy analysis normally begins with identifying a problem or an opportunity or threat requiring policy development or analysis. Involved here is the determination of the nature, scope and importance of the issue within the context of the current policy environment that warranted placing it on the policy agenda.

- Issue definition.
- Approaches to issue definition.
- Issue content.
- Issue internal characteristics.
- Issues repercussions.
- Cost of action and analysis.

Relevant questions that could guide this phase include:

- 1) What?
 - What is the issue?
 - Describe the key elements of the proposal, the problem or issue and the deserved end results.
 - Describe what the proponents want to achieve.
 - Describe the root causes.
 - Describe factors influencing the issue.
- 2) Who?
 - Who says it is an issue?
 - Who are the beneficiaries?
 - Identify the key parties, the interest groups or individuals involved in the issue.
 - Describe who will be the most affected.
- 3) Why?
 - Why has it become an issue?
 - Identify the real problem.
 - Describe why things are the way they are and why people are concerned about it.
- 4) How?
 - How are the root causes perpetuated?
 - How does your personal/professional/ background (your gender/experience/value/ belief/ assumptions/ circumstances) affect your understanding of the issue?
- 5) Does this issue require policy analysis/development/government public policy response?

(a) Problem recognition or identification

- Awareness is created through events, media, reports, behaviour
- Preliminary definition what is the issue?
In the KZN context, this could be through media alerts, feedback through stakeholder engagements with interest groups and forums, Executive Council meetings, Lekgotla, Planning and other Commission observations.

(b) Situation analysis

- What is going on?
 - Facts, data, information
 - Views, perspectives
- What circumstances surround the issue?
- See the big picture:
 - Look through the right end of the telescope.

- Assess the situation with regard to risk or perceived risk, technical complexity, jurisdiction, nature of conflict, level of conflict, sector scope and interests, geographic boundaries, financial implications, media interest, ongoing public consultations, and social and economic inclusion.
- Do we seek help from the policy community?
- *Techniques such as macro-environmental scanning of the political, economic, social, technological, legal and organisational environment (PESTLE), and where appropriate strengths, weaknesses, opportunities and threat analysis (SWOT) are useful in the context of macro public policy in an outcomes based approach.*

(c) Problem definition

- Confirmation/modification
- Essence, progressive clarity
- Need to understand and include multiple perspectives
- All stakeholders need to see their concerns expressed
- “It is better to be approximately right than precisely wrong”

(d) Determine overall priority for this problem

- Action, no action, further information, watching.

Opportunities for involvement of the policy community

Needs: Two-way information sharing-data, views, perspectives, and interests

Techniques: Meetings, publications, survey, open house, focus group, and advisory committee

2. Agenda Setting

Alternative are identified and suitability of each is assessed. It underpins the notion that if we do not know where we are going, ideas about how to get there may be premature, hence the need to formulate and consider alternatives to explore the best option. I includes techniques such as:

- Innovation and creativity
- Brainstorming
- Research
- Experience
- Trial and error thinking outside the box
- Beyond the existing policy paradigm.

Opportunities for involvement of the policy community

Needs: ideas, possibilities, innovation and creativity

Techniques: Meetings, publications, advisory, committee, workshop, research, conference and open space

Two key aspects to consider are: (1) Defining the information and consultation inputs; and (2) Research

Defining the information and consultation inputs; and

- What knowledge is needed?
- What sources can best provide it?

Relevant questions:

- What do we need to know about the issue? About the underlying problem? About values influencing the issues?
- What are other related issues, problems, etc.
- Who are the stakeholders and how does the issue affect different stakeholders.
- What are the required time frames that are relevant to the policy question, the time when a decision is needed, the major events or milestones that can affect the issue/proposal?
- What are the theoretical assumptions?
- What information is required to ensure that all perspectives will be taken into account?
- Who will be partners in information gathering/provision? What processes are required to effectively consult with these partners?
- Should the scope of the policy be redefined in light of the availability and appropriateness of the information?

A gender perspective is also required:

- Information regarding groups should be disaggregated by gender.
- Actively seek the advice and participation of community and women's groups' experts.
- Consider that gender disaggregated data are often not available.

Conducting research

- Focus and clarity regarding the research design, and the type of analysis to be done (e.g social impact, cost benefit, etc).
- Research questions.
- Factors that will affect research design.
- Those to be involved in the research and the research design.
- Scope and nature of the research design appropriate for the policy.
- Type of analysis to be done.

Gender perspectives not to be forgotten

- Policies, programs and legislation that do not address gender concerns may omit relevant facts and data.
- Research questions must make specific reference to both men and women if the research is to address their particular circumstances.
- The research design should include gender as an analytical tool for understanding social processes.

3 Policy Development and Adoption

This entails developing and analysing options; making recommendations and seeking approval through the relevant structures.

(a) Use tools to evaluate alternatives

- Cost/benefit analysis
- Social impact assessment
- Environmental impact assessment
 - Options that have been indicated by research are articulated and refined.
 - Implications and outcomes of options are identified and analysed.
 - The relationship of options to, and their impact on existing policies, programs and legislation should be studied.
 - Economic, social, equity, community, environmental factors, and impact analysis should be developed for each option.

(b) Understand potential impacts

- Develop comparative data on pros and cons, stakeholder views, likely impacts.
- Determine public interest, assess societal values, effectiveness and efficiency, social and economic inclusion

Forms:

- Describe options indicated by the data/information/research.
- Describe options directly related to desired outcomes previously determined and described.
- Determine how analysts' values, those of their systems and those of society limit the range of options being developed.
- Demonstrate how these options influence or change the factors affecting the issue as previously identified.
- Determine factors that will positively and negatively affect the implementation of each option.
- Determine who will implement each option and the resources required.
- How will accountability be assured?

(c) Consider/debate alternatives

- Compromise, trade off, bargain
- Interests instead of positions
- Understand stakeholder needs

- Consensus–building and collaboration

The following should also be taken into account in making recommendations/decision seeking:

- Often a collaborative effort and sometimes drawing public input and consultation.
- The rationale for the recommendation is derived from the analysis.
- Present the recommendations in terms of its favourable and unfavourable implications, and the policy environment.

Consider:

- The appropriate channels to be followed (see also section 2.3 below)
- The basis on which the recommendation is made.
- The underlying assumptions and values implicit in the option being recommended.
- Identify documentation needed to support the recommendation.

(d) Close the gap with stakeholders, especially if their views and interests could not be accommodated.

- **Opportunities for involvement of the policy community**
- **Needs:** information, views, perspectives and priorities
- **Techniques:** meetings, publications, workshops, advisory committee, survey and focus groups
- **Needs:** analysis against criteria, determining priorities and making trade-offs
- **Techniques:** consensus process and interest-based negotiation

4. Policy Implementation

- (a) Policy success is dependent upon a number of factors, including support from politicians, the bureaucracy, stakeholders and citizens; adequate funding; leadership and management; clarity of purpose and objectives; and efficient and effective administration.
- (b) Assign responsibility for delivery.
- (c) Assess existing structure of organisation for capacity.
- (d) Choose instruments:
 - Economic incentives and disincentives
 - Legislation/regulation guidelines
 - Program/project development and implementation plan
 - Public enterprise
 - Partnerships code of practice, voluntary compliance.
- (e) Ensure alignment with the existing legislative and policy context.
- (f) Transfer responsibility to operational staff through workshops, guidelines, posting FAQs and case studies on web sites, and field visits.

- **Opportunities for involvement of the policy community**
- These are generally more limited than opportunities at other stages of public policy. However, it should be noted that this is changing as current devolution and decentralisation trends continue.

5. Policy Evaluation

- (a) Monitoring/feedback
 - Develop criteria and indicators in agenda setting and goal clarification
 - Develop capacity to identify changing conditions
 - Be prepared for unanticipated consequences.
- (b) **Comparison of actual results with desired results**
 - What range of outcomes is acceptable?
 - Gap analysis.
 - Continuous feedback
 - Critical for adaptive behaviours

ANNEXURE 6: Policy Document Outline

Annexure 6



KWAZULU-NATAL PROVINCE

OFFICE OF THE PREMIER
REPUBLIC OF SOUTH AFRICA

FORMAT FOR WRITING A POLICY/DRAFTING A POLICY INSTRUMENT PROPOSAL

Policy Title :	
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Policy/File Reference	
Scope	
Effective From	

Review Frequency	
Next Review Date:	
Version	

Policy Originator	
Policy Owner	
Approval Authority	
Amendments Authority	

Strategic Alignment		
National Development Plan (NDP) Which section/s of the NDP is supported by this document?		
Medium Terms Strategic Framework (MTSF 2014-19) (14 Outcomes) Which are the main outcomes and sub-outcomes supported?	Outcome Number	Sub-outcome Number
Provincial Growth and Development Strategy and Plan (PGDS/P) Which are the main goals strategic objectives supported?	Goal number	Strategic Objective Number

FORMAT FOR WRITING A POLICY/DRAFTING A POLICY INSTRUMENT PROPOSAL

Note : Given the diverse nature of policy and policy instruments, this guideline is not intended to be a “one-size-fits-all” approach but rather to serve as a guide of key elements to be considered

PORTFOLIO: NAME OF DEPARTMENT

SUBJECT:

1. PURPOSE

What is the purpose of the document that you are proposing, and what is the scope (who does it apply to)?

Define the purpose of drafting the proposal, and who it applies to.

1. PROBLEM STATEMENT

2. BACKGROUND

Give a brief background of the memorandum.

This section should summarise the matter so that it covers the gist and the circumstances or situation prevailing with regard to the matter that is tabled.

- What has given rise to the matter?
- What are the relevant mandates?
- What does the course of action seek to address?

3. POLICY/INTERVENTION PROPOSAL

Outline the following:

- a) Policy Intent.
- b) Scope.
- c) Policy Goals (Strategic Objectives), and Desired Outcomes.
- d) Definitions (Key terms to be explained).
- e) Outline of the logframe, logic model or theory of change.
- f) Option generation, selection and motivation (supported by evidence).
- g) Risk Management.
- h) Stakeholders.
- i) Institutional arrangements.

4. MONITORING AND EVALUATION FRAMEWORK

Outline who will be responsible, key factors to be considered, timeframes (including review cycle and nature of the evaluation – Diagnostic, Design, Implementation, Impact, etc.)

- How and when the policy will be evaluated and reviewed. Refer to DPME Guidelines for Evaluation, read with the DPME Guidelines on Implementation Programmes.
- Ensure a logframe is included.

5. CONFIRMATION OF POLICY MANDATES AND ALIGNMENT WITH GOVERNMENT PRIORITIES

6. IMPLICATIONS

The SEIAS Framework should be used as a guide

- a Constitutional and legislative.
- b Financial and Economic.
- c Social.
- d Administrative and Procedural.
- e Personnel.

7. CONSULTATIONS

***Who have we consulted and what concerns/key inputs have been raised?
Are we able to address these?***

8. IMPLEMENTATION DATE AND TOOLS

ANNEXURE 7: Executive Council Compliance Checklist



Compliance Check List

This is the Compliance Check form for Executive Council memoranda. In order to ensure that the memorandum fully complies with the Cabinet Manual, please complete, print, sign and attach at cover page of the each memorandum.

DEPARTMENT

.....

TITLE

.....

- | | |
|--|---|
| <input type="checkbox"/> Portfolio | <input type="checkbox"/> Contact Person |
| <input type="checkbox"/> Name of the Cluster | <input type="checkbox"/> Signature of the Director-General/HOD |
| <input type="checkbox"/> Subject | <input type="checkbox"/> Signature of the Premier/MEC |
| <input type="checkbox"/> Purpose | <input type="checkbox"/> The length does not exceed the limit of 8 single-sided pages |
| <input type="checkbox"/> Summary | <input type="checkbox"/> The font used is Arial and the size is 12pt |
| <input type="checkbox"/> Discussion | <input type="checkbox"/> Explanatory Memorandum
<i>(Only applies to Legislative memoranda)</i> |
| <input type="checkbox"/> Other Departments / Bodies Consulted | <input type="checkbox"/> Certification from the Chief State Law Advisor
<i>(Only applies to Legislative and Policy)</i> |
| <input type="checkbox"/> Organizational and Personnel Implications | <input type="checkbox"/> SEIAS Level one and 2 Documents attached and signed off by the Head of Department (Only applies to policy and policy instruments) |
| <input type="checkbox"/> Financial Implications | <input type="checkbox"/> Proof of submission (including SEIAS) to OTP Policy Unit |
| <input type="checkbox"/> Constitutional/Legal Implications | <input type="checkbox"/> Proof of consultation/circulation to relevant AWG/s attached |
| <input type="checkbox"/> Recommendations | <input type="checkbox"/> Copy of Appointee's CV
<i>Only applies on Appointment memoranda</i> |

NOTES

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INITIALS & SURNAME

DESIGNATION

SIGNATURE

DATE

ANNEXURE 8: Links for Key Documents and Tools

Tool	
Logframe Template –	https://evaluations.dpme.gov.za/images/gallery/Guideline%202%202%203%20%20Logframe%20template.pdf
Medium Term Strategic Framework	https://www.dpme.gov.za/keyfocusareas/outcomesSite/Pages/mtsf2021.aspx
Monitoring and Evaluation tools	https://evaluations.dpme.gov.za/pages/guidelines-other-resources
National Policy Development Framework – accessed via	http://www.thepresidency.gov.za/download/file/fid/2079
Problem Identification, Solving and Planning tools, frameworks and guidelines	Contained in : http://www.treasury.gov.za/legislation/pfma/TreasuryInstruction/Guidelines%20for%20Implementation%20of%20the%20Revised%20Framework%20for%20Strategic%20Plans%20and%20Annual%20Performance%20Plans.pdf
Programme Implementation Guidelines	https://evaluations.dpme.gov.za/pages/guidelines-other-resources https://evaluations.dpme.gov.za/images/gallery/Guideline%202.2.3%20Implementation%20%20Programmes%2013%2007%2030.pdf
SEIAS <i>Note: The use of The Presidency Guidelines /Templates are compulsory</i>	http://www.thepresidency.gov.za/SEIAS
SEIAS Evidence Guide	https://www.dpme.gov.za/publications/Policy%20Framework/S/SEIAS%20Evidence%20Guide.pdf
SEIAS Application Manual	http://www.thepresidency.gov.za/download/file/fid/2079
SEIAS Policy and Legislative Process Map	http://www.thepresidency.gov.za/download/file/fid/1889
SEIAS Phase 1 –Initial Impact Assessment	http://www.thepresidency.gov.za/download/file/fid/1883
SEIAS Phase 2 – Final Impact Assessment	http://www.thepresidency.gov.za/download/file/fid/1884
Theory of Change	Contained in : http://www.treasury.gov.za/legislation/pfma/TreasuryInstruction/Guidelines%20for%20Implementation%20of%20the%20Revised%20Framework%20for%20Strategic%20Plans%20and%20Annual%20Performance%20Plans.pdf