

# FOREWORD

I am pleased to present the KwaZulu-Natal Legislature's 2010–2014 Strategic Plan which outlines the direction this institution will take in the next five years. As an institution, we fully understand that it is our role to define the form and nature of our institution as we go forward in our quest to be the true representatives of the people of KwaZulu-Natal. We have agreed that ours will indeed be an activist Legislature, an institution that is sensitive to the broader issues affecting the people of our province. We do so fully aware of the renewed mandate that the people of KwaZulu-Natal has entrusted upon us.

As the KwaZulu-Natal Legislature, we have located oversight, especially financial oversight as one of our strategic thrusts for the next five years. We are aware of the negative economic climate in which we find ourselves. In exercising our oversight, some uncomfortable decisions will be taken and I want to assure you that we will do this not because of our desire to be seen to be popular, however we will do so because that is what our constitutional democracy calls on us to do.

Equally, we will broaden our public participation initiatives, especially in relation to Sectoral Parliaments. We have come to realise that there are certain critical sectors of our society whose issues have not been adequately addressed by our public participation efforts. As our Vision proclaims, "*We Are a People-Centred, Activist Legislature*". Therefore, it cannot be that there are no Sectoral Parliaments for street traders, the business community and faith-based organisations to name but a few. We have already begun to address this with our inaugural sitting of the senior citizens Parliament in Uthukela, and our inaugural sitting of the Disabled People's Parliament in KwaMaphumulo.

We will also continue to hold our sittings amongst the ordinary people through our innovative programme of *Taking Legislature to the People*. The overwhelming response which this programme has enjoyed amongst our electorate since it was introduced has reassured us that this Legislature is moving in the right direction in its quest to promote participatory democracy. We hope to consolidate this programme in this electoral term in a manner that appropriately integrates representative democracy with participatory democracy.

We derive our existence from the constitution and we enjoy a vantage position as a law-making body, oversight body and a body that entrenches involvement of the public in legislative processes. However, through practice, we have allowed inertia to set and a perception to grow where Legislatures are erroneously confused with government departments. It is a misnomer that a Legislature; must be overseen by a provincial department in respect of its finances. As an arm of government, co-existing with the judiciary and the executive arm; the Legislature has a specific role to ensure that the executive arm of government is accountable to it. In the next five years mechanisms will be put in place to ensure that the Legislature articulates its constitutional role. Chief amongst the mechanisms is the promulgation of the KZN Legislature Financial Management Bill. This will be a key priority for the Legislature during this term as we seek to strengthen, inter-alia our financial autonomy.

In this term of office, I will appeal to both Members and officials of the Legislature that we continuously critically look at the manner in which we have been conducting our business, the way in which we have or have not fulfilled our mandate. This will help us in our annual strategic reviews to ensure that we maintain our focus on developmental objectives of our activist Legislature. Let us take note of how the Constitution guides us and use that as stepping stone towards attaining a solid foundation for our institutions. Let us take that which is good from what we have done and build upon it to ensure that we guarantee a strong democracy that emphasises the rule of law; ensures implementation of the Bill of Rights and guarantees the freedom of individuals through effective oversight, efficient law-making and involvement of the public in our legislative processes. This is primarily to ensure that the quality of lives of the people of KwaZulu-Natal is transformed.



**N. P. Nkonyeni: Speaker of KwaZulu-Natal Legislature**

## OFFICIAL SIGN-OFF

It is hereby certified that this Strategic Plan:

- Was developed by the management of the KwaZulu-Natal Legislature under the guidance of the Speaker in consultation with the political office-bearers of the KwaZulu-Natal Legislature.
- Takes into account all the relevant policies, legislation and other mandates for which the KwaZulu-Natal Legislature is responsible.
- Accurately reflects the strategic goals and objectives which the KwaZulu-Natal Legislature will endeavour to achieve over the period 2009-2014..

S. Sokhela  
Chief Financial Officer

Signature:



N. Khumalo  
Manager: Organisational Performance  
(Head Official responsible for Planning)

Signature:



N. Naidoo  
Accounting Officer

Signature:



*Approved by:*  
N. P. Nkonyeni  
Executive Authority

Signature:



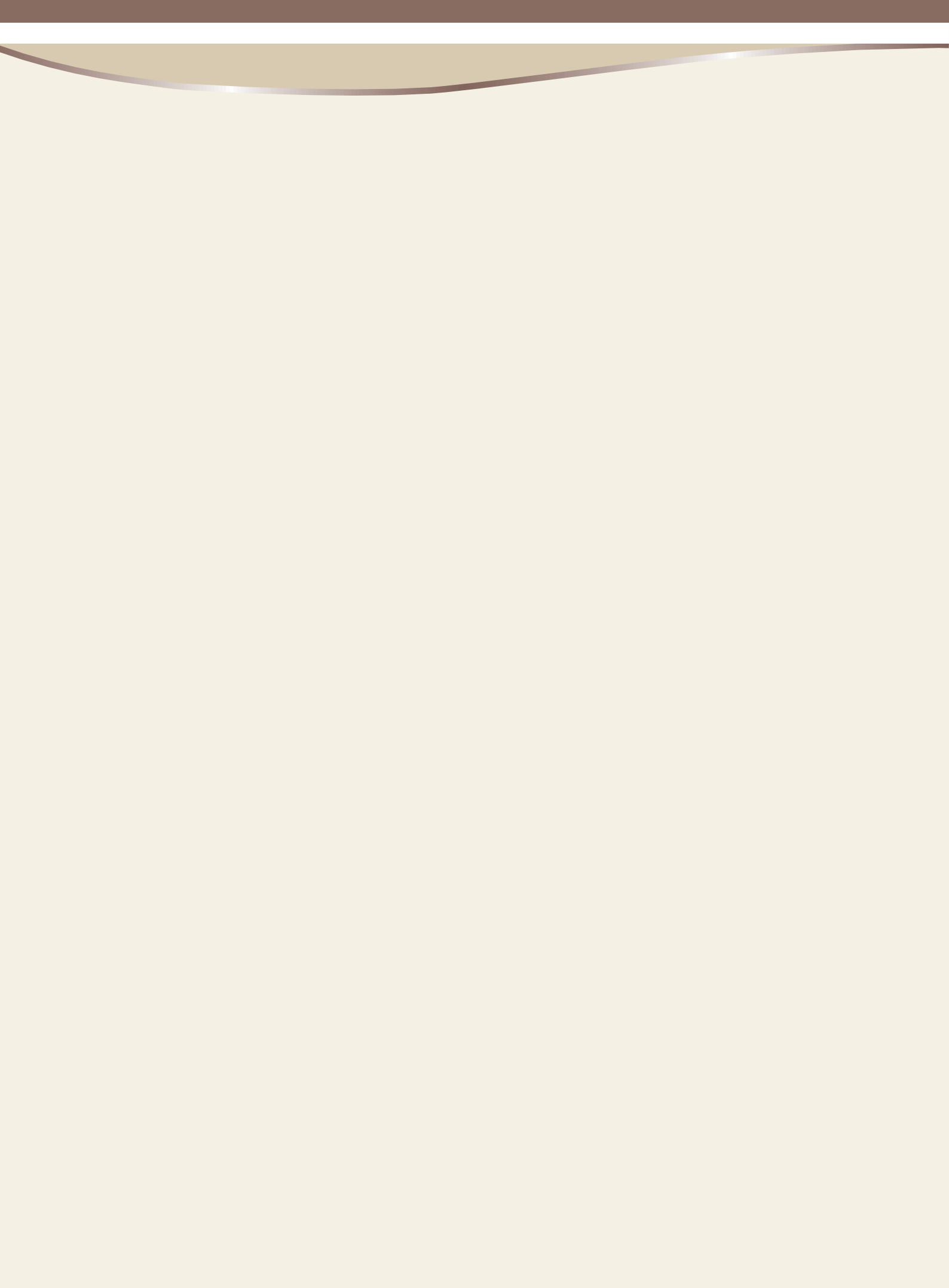
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# ABBREVIATIONS

<b>ABBREVIATION</b>	<b>FULL DESCRIPTION</b>
AOP	Annual Oversight Plan
AU	African Union
BranCo	Branch Committee
CBOs	Community Based Organisations
CEDAW	Convention on the Elimination of all Forms of Discrimination
CFO	Chief Financial Officer
CPA	Commonwealth Parliamentary Association
ECM	Enterprise Content Management
EEA	Employment Equity Act
EPUM	Electronic Pop-up Monitors
EQR	Electronic Questions Register
ERP	Enterprise Resource Planning
EVS	Electronic Voting System
ExCo	Executive Committee
FMPL	Financial Management of Provincial Legislature
ICT	Information Communication Technology
IYM	In-Year Monitoring
LexCo	Legislature Executive Committee
ManCo	Management Committee
MEC	Member of the Executive Committee
MGDs	Millenium Development Goals
MOU	Memorandum of Understanding
MPL	Member of Provincial Legislature
MSP	Master Systems Plan
MTEC	Medium Term Expenditure Committee
MTEF	Medium Term Expenditure Framework
NCOP	National Council of Provinces
NCSL	National Conference of State Legislatures
NEPAD	New Partnership for Africa's Development
NGO	Non-governmental Organisation
PAIA	Public Access to Information Act
PEPUDA	Prevention of Unfair Discrimination Act
PFMA	Public Finance Management Act
PIVC	Performance Information Validation Committee
PPOs	Preferred Provider Organisations
PPPU	Public Participation and Awareness Unit
QOL	Quality of Life
RTT	Real-Time Transcription System
SADC	Southern African Development Community
SALSA	Secretaries' Association of Legislatures of South Africa
SCOPA	Standing Committee on Public Accounts
SLAs	Service Level Agreements
Stacov	Standing Committee on Oversight
TLTP	Taking Legislature to People
UNCRRDP	United Nations Convention on the Rights of Persons with Disabilities



# STRATEGY FRAMEWORK



# THE STRATEGIC FRAMEWORK

## Background

1. The **strategic framework for the KwaZulu-Natal (KZN) Legislature (2009–2014)** represents the institution's medium – term statement of intent. This medium-term statement encapsulated in this framework constitutes an integral part of the institution's strategic journey towards a united, democratic, non-racial, non-sexist and prosperous province as mandated by the constitution of the Republic of South African. In this document, an attempt is made to identify and isolate issues of strategic importance for the Legislature in the next coming five years. The relationship between this Legislature's vision and the longer-term national vision is both critical and dynamic. This type of relationship will from time to time articulate and manifest itself in the process of implementing this strategic framework.
2. Underlying the process of identifying strategic issues to be considered in managing the Legislature's operations, lays an endeavour to specify a strategy that will be followed to enable the Legislature to achieve that which has been identified in its strategic intent. Equally significant, is the organizational position of this strategy framework. It serves as a base statement that will provide direction and guidance for all other strategic conversations and efforts within the institution during the period 2009 to 2014. This framework is informed, in the main, by the electoral mandate provided by the 2009 April elections. Critical to this mandate are the following mid-term *strategic priorities*:-
  - (i) Access to quality education;
  - (ii) Access to quality health care;
  - (iii) Prevention of crime and eradication of corruption;
  - (iv) Creation of decent work and expansion of work opportunities; and
  - (v) Agrarian reform and rural development.
3. All the five strategic priorities listed above have direct bearing on the efficiencies in the local government structures. This makes it important that the Legislature considers the **improvement of service delivery at local government level as a sixth priority area**.
4. Factored in the development of this framework were strategic issues emanating from a review of the past 15 years of democracy. This review indicates that major strides have been made since installation of a democratically elected government in 1994. Consequently, tangible achievements aimed at improving the lives of the South African people can readily be identified. As part of this review, gaps were also identified relating to the government's ability to deliver on some of its identified strategic objectives. As a result, it becomes necessary to ensure the said gaps or glaring weaknesses in the state's capacity to deliver on its mandate are adequately addressed.
5. Considered also in the development of this 2009–2014 framework are developments in the environmental context nationally and globally. Such consideration has been inspired by the need to understand the potential impact such developments could have on the state's ability to deliver on identified strategic objectives now and in the future. Having considered the environment in which the Legislature exists and

operates, it became necessary to review its vision, mission and values. This review was necessitated by the need to ensure that these remained relevant in the context of changing dynamics of the current and future operating environment.

## **Introduction**

6. Moving forward, the Legislature intends to align its operations and strategy with the said priorities. The approach (to locate the strategic and operational thinking of the Legislature in the context of the pronounced strategic priorities) is born out of a realization that in the past 15 years of democratic governance, attempts at delivering services to the electorate were riddled with severe service delivery challenges, mostly due to, but not limited to:-
  - (i) weak work systems
  - (ii) inadequate coordination of delivery activities, and
  - (iii) weak alignment and non-integrated approaches to service delivery by organs of state, especially the Legislature and the Executive.
7. Consequent to this observation, the Legislature has found it logical and proper that a model seeking to coordinate, align and integrate business processes and resources at the disposal of the state be sought. This is believed to be one urgent and strategic initiative to be pursued towards the streamlining, enhancing and fast-tracking of service delivery in the Province. The institution has acknowledged the need to improve alignment and coordination of the operations of Provincial Executive with those of the Legislature. This, it is hoped, would create conditions such that in totality, it is possible to think and talk of a comprehensive and integrated business/operating model and approach to service delivery by the two arms of government in the province.
8. It will be appropriate to state at this early juncture that in this term, the Legislature seeks to align its operations and strategic posture with the overall government's desire to achieve effective service delivery. The creation of a planning commission and monitoring and evaluation departments in the Office of the State President is a clear demonstration by the President that proper planning and effective implementation will be key to improved service delivery for this term of government. This position by the State President is here seen by the Legislature as an awakening call for all organs of state to conduct introspection on their own state of readiness to accelerate service delivery as demonstrated by their own quality of planning and implementation. This has implication on how well each organ of state understands its constitutional and legal mandate. The implication for the Legislature is that it needs to better fathom its own purpose of existence and focus on delivering on the very purpose.
9. As the Presidency focuses on effective planning and performance by all organs of state, the KwaZulu-Natal Legislature's strategic focus will prioritise, amongst others, improving alignment of performance targeting and implementation of performance plans of its internal structures and ensure that oversight over the executive emphasises the same. This will require cooperation on achieving the following:-
  - (i) Focused performance planning and reporting, with particular emphasis on developing Annual Oversight Plans that respond to performance plans of the executive,

- (ii) Improved oversight competencies of both staff and elected members,
- (iii) Enhanced law making initiatives,
- (iv) Expanded and improved exploitation of public participation initiatives,
- (v) Improved institutional governance (i.e. focused resource management including human, financial, tools, etc as well as applicable management practices), and
- (vi) An organizational design properly reflecting linkages between the administrative and “political” wings of the Legislature.

## **Lines of Demarcation**

10. In pursuing the above, the Legislature will do so in complete cognizance of other relevant constitutional and legislative dictates that define and regulate the lines of demarcation between the roles, powers and responsibilities of the two arms of government (i.e. the Legislature and the Executive). It should as well be borne in mind that these distinct lines of demarcation may act as an impediment to closer cooperation and collaboration between the said arms of government. In the spirit of cooperative governance, it is hoped that such should not be the case. In fact, a strong argument is here made to assert that high levels of cooperation and collaboration between the two can still be achieved, despite the constitutionally and legally drawn lines of demarcation.
11. In circumstances where over-emphasis is placed on the lines of separation and in the absence of foresighted leadership driven by courage and commitment to transform the state, its structures and traditionally entrenched business practices, some of whom may be, constitutionally and legally sanctioned, it is very easy to be conceptually constrained and practically rendered powerless by such legal prescriptions. Having pointed out these constraining potentialities, it must be indicated that the conceptualization and crafting of a cooperative model is to be inspired by the desire to find a working solution that transcends these concerns.
12. In the midst of complex dynamic interrelations, sometimes over-characterized by “venomous” turf wars, even intelligently crafted constitutional and legal prescriptions and regulations are rendered less effective in arresting the temptation of overstepping these lines of demarcation due to their extent of blurring. However, it must be said that this temptation to overstep these lines does not arise because of over-eagerness of one arm to encroach into another’s territory but, this becomes a natural occurrence in circumstances in which their respective functions are carried out.
13. In the above context, efforts will be made to ensure that the Office of the Leader of Government Business becomes a critical stakeholder in the Legislature’s efforts to achieve close partnership with the Executive. The Office of the Speaker, supported by the Whippers, will pursue improved cooperation in this regard and the role of Parliamentary Liaison Officers in the Provincial Departments will be exploited in enhancing this partnership with the executive.

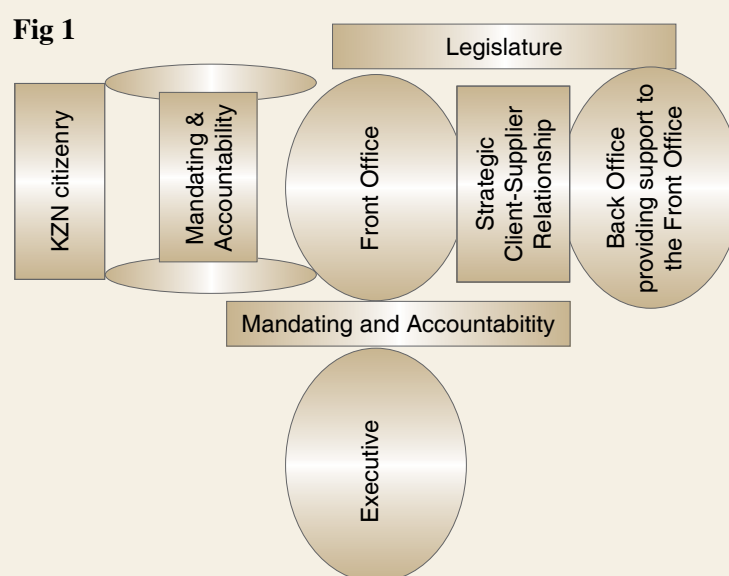
**NB:** Attached as **Annexure A** are issues that may prove to be critical in achieving the required levels of integration/alignment between the Legislature and the Executive. These have not been made part of this discussion because they require a different forum or platform in which both the Executive and the Legislature may strategically engage each other. It is, however, intended that at an appropriate time, the Speaker, through the Office of the Leader of Government Business may facilitate a strategic conversation with the executive on proposals contained in the said Annexure.

## **Internal Efficiency**

14. While it is true that in any client-supplier relationship in the value-creating chain, clients may not be necessarily keen or overly-interested in the internal processes of the supplier, **it is also true that the cost of business processes is directly passed onto the consumer.** To provide competitive prices and keep clients, businesses focus on improving the efficiencies of their business processes. With this in mind, the Legislature will, in this term of Office, commit its efforts on continuously seeking avenues of improving its internal business processes in full acknowledgement of the fact that its quality of service is directly influenced by the level of efficiency of its business processes and organizational arrangements. Competency in this area will be created and exploited. Given this reality, it makes sense therefore for the Legislature, **to identify its core business processes** and focus more on sharpening their capabilities in ensuring that the executive delivers on the identified strategic priorities of government.
15. As a strategic move towards improving the internal business processes of the Legislature, a global conceptual configuration of the internal structures of the institution needs to be developed and contextually understood by both elected members and officials in the Legislature. Such a configuration needs to address and respond to the following mandatory realities about the environment in which the Legislature is to both exist and operate:-
  - (i) KZN citizenry mandates the Legislature to be its custodian of democracy and that the Legislature is also its (citizenry) oversight agent ensuring that government delivers on its political promises made during the electoral process. In return for its cession of right to self-determination, the citizenry expects the Legislature to be fully accountable to it. Here lies the need for maximum usage of public participation initiatives by the Legislature.
  - (ii) The Executive derives its mandate to govern from the Legislature and therefore accounts for its decisions and actions to it. The need for tighter oversight regulations/approach to cause greater accountability by the Executive may not be overemphasized.
  - (iii) The efficient and effective execution of the Legislature's constitutional mandate is dependent on its ability and readiness to deliver on both its political and administrative aspects of this constitutional mandate. This means issues of the following nature should be considered:-
    - The constitutional mandate of the Legislature is mainly political and its fulfilment requires that Members of the Legislature spend most of their time focusing on political work. This spells out the critical and core nature of the political wing of the Legislature. In succinct, the strategic outputs of the Legislature should therefore be heavily influenced and drawn from the political wing of the Legislature. This wing may as well be understood as the **Main/Front Office.**

- The administrative work of the Legislature exists mainly to facilitate and enhance the execution of the work of the political wing. This wing (administrative) renders strategic support to the political and it operates behind the structures of the political wing. While the political wing is viewed as the main office, the administrative wing is viewed as a **Support/Back Office**. It is important to state that the work of the administrative wing is managed outside of but in unison with the political wing.
- The effectiveness of the services of the Legislature are dependent on the existence of an effective strategic multi-dimensional relationship configuration between the said two offices (main and support offices).

16. A pictorial presentation of the above is displayed below as Fig 1:-



17. The organizational structure, business processes and post establishments of the Legislature will continuously be informed and shaped by the above model. These matters will be discussed later on in this strategic framework.

## STRATEGIC PARADIGM SHIFT

### Authority of the Legislature

18. The role, functions and authority of the Legislature are both defined and spelt-out in Chapter 6 of the Constitution of the Republic of South Africa. The said chapter identifies oversight over the Executive, lawmaking and public involvement as primary mandate of the Legislature. In pursuit of this mandate, the Legislature has, to date, shown growth in terms of:-

- exerting its constitutional influence on the work of the Executive through tightening oversight approaches and
- bringing to fore the critical role of public involvement and participation on oversight interventions.

19. In this ensuing term, the Legislature will pursue, rigorously, some initiatives aimed at:-
  - (i) Elaborating and elevating the authority of the Legislature to its rightful place.
  - (ii) Protecting and strengthening the authority of the Legislature in relation to the other arms of government,
  - (iii) Exploring constitutional partnerships with institutions such as the Auditor-General, the Public Service Commission and Civic Organisations on issues of accountability, primarily, of all organs of state in the Province;
  - (iv) Supporting a strong democracy through ensuring the implementation of the provisions of the Constitution by all citizens and structures bound by the Constitution.
  
20. In the above context, it becomes critical to question the wisdom of having authority if the “*power*” to execute and cause compliance to the very authority is not adequately comprehended by:-
  - (i) those on whom the authority has been vested (i.e. the elected members of the Legislature,
  - (ii) support personnel to the elected members of the Legislature (i.e. officials of the Legislature),
  - (iii) those on whom the authority is to be exercised (i.e. the Provincial Executive and all other relevant organs of state in Province), and
  - (iv) other interested stakeholders such as the judiciary, the electorate, civic organizations, the Public Service Commission, the Auditor-General, etc).
  
21. If the Legislature has constitutional authority and mandate to execute oversight over the executive, what “*power*” does the Legislature have to cause and bring the Executive to full accountability and compliance to the authority of the Legislature? One of the strategic stances that the Legislature has taken in this term of office is to encourage both members and officials in its employ to diligently search and fathom their “*sources*” of power as they execute their constitutional authority. Where necessary and possible, the Legislature may have to explore available constitutional means to create both such “*power*” and conducive environments to exercise the same. The autonomy and financial independence of the Legislature are some of the critical factors that create the required power to execute Legislative authority.

## **Autonomy and Independence**

22. It is in the above spirit that institutional capacity will be created to both protect and develop the independence of the Legislature through strategically supporting the initiatives on the establishment and implementation of the Legislative Sector policy. The Legislature will create both personnel and financial capacity to pursue sector policy deliverables. Another critical aspect is the financial relationship between the Legislature and the Provincial Treasury as defined by the Public Financial Management Act (PFMA) and its practice notes.
  
23. In terms of the PFMA, the Speaker is the Treasurer of the Legislature and as such, the Speaker has power to source and allocate funding for the execution of Legislative authority. Financial adequacy is, as has been alluded to earlier, one of the fundamentals required to run and maintain effective oversight. This may be “*uncomfortable*” for the Executive yet this is the constitutional requirement of the Legislature. It is therefore critical that the Legislature acts to protect this constitutional imperative and **independence by limiting as much as possible its dependence on the Executive for the success of its operations.**

24. It is important to highlight the fact that while some sections of the PFMA may be applicable to the Legislatures, the said PFMA is a legislative instrument created primarily for and executed by the Executive. It is, however, unfortunate that currently, there is a “direct” legislative vacuum with regards to how the Speaker is expected to execute his/her role as the Treasurer of the Legislature. Although the PFMA was adopted to fill in the said vacuum, the PFMA is also “silent” on the Treasury functions of the Speaker and or the relationship between the Speaker and the Provincial Treasury. Furthermore, this Act (PFMA) enables the Provincial Treasury to compel the Legislature and Provincial Departments to account to it (Treasury) on matters of financial management. This presents a challenge for the Legislature in that instead of Treasury being accountable to the Legislature as required by the constitution, it is the Legislature that is financially accountable to the Executive through Treasury.
25. The resources required by the Legislature to execute its functions in respect of the Executive should ideally, be allocated by a process that is independent of the dictates of the Executive through the Provincial Treasury. The authority and activities of the Legislature should not be constrained by the budget allocations and controls determined by the Executive over which it conducts oversight. Funding for the Legislature must be managed in a manner that protects its independence from the Executive. Parliament has already passed the Financial Management of Parliament Act as part of its efforts to address this abnormality. The Legislature will hastily, but carefully engage in a similar process.

## **Image**

26. It will also be important to move swiftly on properly marketing and branding the Legislature in a manner that gives it its due dignity and respect as accorded to it by the constitution. The need for both new and definitions of official symbols such as the logo, the mace and their significances are to be rigorously revisited. A detailed discussion on this matter is attached as **Annexure B**.

## **Healthy Tension**

27. It should not come as a surprise that the Legislature has chosen to reposition itself in the above manner. This is expected, especially because of the following realisation:-
- (i) the three arms of government (i.e. Parliament, Executive and Judiciary) are established to balance power to govern. Each arm is therefore created to serve and pursue a specific purpose of governance without which, the machinery of governance will be crippled.
  - (ii) the very nature of the three arms of government is such that their interaction is only beneficiary if they maintain an equivalent level of power tension amongst themselves. Should one or more of them renege on both protecting and exploiting its power to exert its authority on the other arms of government, the hard fought for democracy will be lost.
  - (iii) unless each arm of government resolves to protect its authority and mandates, it may find itself being subordinated to the other arms. Again, unless checked, one arm may over exert itself to a point of encroaching into the mandates of the other arms of government.

28. It may as well be opportune to state that it has come to be acknowledged that the failures of government's state organs to better the lives of its citizenry is actually one of the indicators of the failures of the Legislature to conduct effective oversight. A strong/powerful Legislature is therefore one of the critical components of an effective service delivery processes driven collectively by different organs of state. This new attitude towards the role and authority of the Legislature marks a radical paradigm shift in how both members and staff of the Legislature are to comprehend and embrace their roles in both pursuing delivery on the priorities of government and entrenching democratic processes within the Province.

## **Mutual Respect**

29. The strategic position of the Legislature is firmly founded on the premise that of the three arms of government, the Legislature is the one that represents the will and indeed is the custodian of the voice of the electorate. As has been stated earlier, this view is located on the firm understanding that the only state institution and/or arm of government in which the electorate cedes its natural right to self-determination through an electoral process is the Legislature. Therefore any disarming tendency that seeks to view and treat the Legislature as a junior partner of the other two arms of government, particularly, the Executive, will be avoided at all costs, both conceptually and practically. A critical observation of the past fifteen years of democratic rule though, seems to paint a picture that this disarming tendency is deeply entrenched and has in the past manifested itself in various forms of sometimes self-defeating tendencies in the activities of both the Legislature and the Executive.
30. Central to the above observation is the argument that says, such tendencies should be allowed to continue to flourish. In this term of office, this Legislature has resolved to act in a manner that seeks to defeat such tendencies in all their forms and remnants. The Legislature argues that a conceptual view potentially placed to synergize and practically integrate the roll-out of a progressive business/operating model can only come about **through fostering strategic partnership based on mutual respect and accommodation between the Legislature and Executive**. The Legislature has come to a point wherein it should ensure that its strategic thinking, execution and its operating model is guided and informed by the relevant mandate of the electorate at any point in time. This point should be clear to all and sundry since the Legislature exists, first and foremost, to serve and represent, primarily, the interests of the electorate and not necessarily, of either the Executive or the Judiciary. In fact, the Executive is an implementing agent of the Legislature, while the Legislature is the primary servant of the people/electorate.

## **Dictates of Government Priorities**

31. Accordingly, the mandate for the current term of government office (2009-2014), is to focus service delivery on the five priorities stated earlier (see paragraph 1 above). It is, however, further accepted that, taken in totality, conceptualization and execution of the responsibilities of the state cannot be reduced in any way to the said five strategic priorities. Doing so would be tantamount to some form of negligence by those duly elected to manage the affairs of the state on behalf of the electorate. It is a widely accepted view that the needs of the electorate and society in general are too wide to be reduced to

five strategic deliverables. However, it is equally accepted that in the context of expansive societal needs and constrained availability of resources of delivery, effective leadership should be characterized by a process of prioritization. Such prioritisation ought to simultaneously be accompanied by proportionate apportionment of resources in order to have visible and telling impact. On the basis of the insight here articulated, it makes sense therefore to advocate for an 80/20 principle in which, at the very least, 80% of all Legislature resources, activities and programmes are focused on the realization of the said five government priorities, which are mandatory.

32. The next logical question may be how best can the Legislature execute this imperative? Since the fundamental existence of the Legislature evolves around law-making, oversight and public participation, its configuration should be appropriately designed such that it is able to strengthen and sharpen its capacity to deliver on these two functions. It is also worth noting for simplicity purposes, that the Legislature is understood to be comprised of the political (main/front office) and administrative (support/back office) wings. Appropriate reconfiguration of the main office of the Legislature around these core functions (i.e. lawmaking, oversight and public participation) becomes central in the organization's broadening of its capability to deliver on its constitutional mandate.
33. It must also be indicated that these three critical functions (lawmaking, oversight and public participation) have been taken to constitute the two major business processes of the political wing of the Legislature. The Legislature's linkages to the five strategic priorities of government attract the following questions:-
  - (i) how do lawmaking, oversight and public participation business processes of the Legislature contribute to and/or enhance the realisation of the said priorities?
  - (ii) how do various activities and other supporting internal business processes of the Legislature link up with its lawmaking and oversight functions?
  - (iii) how does the acquisition, development, nurturing and deployment of the Legislature's resources and their attendant capabilities contribute to and/or enhance the realization of government priorities?
  - (iv) what are the current and future resource bundles and their attendant capabilities or combinations, that are required by the Legislature to enhance its potential capacity to deliver on the said priorities, both in the present and in the future? and
  - (v) what are the current and future resource transformation regimes that are required to enhance institutional capacity to deliver on the five strategic pillars in both the present and the future?
34. Given the constitutional expectation that a sizeable chunk of the function of the Legislature be around overseeing the activities of government departments, it is incumbent upon the Legislature to ensure that its resources and their attendant capabilities both readily available and potential are deployed such that all activities of government departments are directed towards delivering on these five strategic priorities inherent in the mandate for 2009-2014. Critical to this requirement is the configuration of the Legislature such that it is able to coordinate its activities around its law-making and oversight functions in a manner that gives effect to the key strategic deliverables of government. Another critical aspect of the Legislative processes requiring a critical re-look is the public involvement/participation mandate.

## Public Participation

35. While public participation is regarded in some quarters as the third core business process or function of the Legislature, it is (public participation), however, taken to constitute more of a philosophy that should guide and direct the execution of the other two business processes/functions (law-making and oversight). More than just a philosophy, it is an effective and constitutional instrument by which the Legislature both partners with the electorate and accounts to the same. It is also important to state that, while it is a fact that public participation is a requirement for all relevant organs of state, there is always a potential for duplicated efforts in this regard.
36. While there will be an expanded approach to sectoral parliaments, it has also been acknowledged that such public participation initiatives should be re-engineered to enhance their efficiencies and effectiveness. In this term, a concerted effort will be applied to ensure that sectoral parliaments are drawn into the mainstream of the Legislature's law-making and oversight business processes. This will require strengthening public education programs and to fast-track the implementation of public participation strategy.
37. To further enhance public involvement, there will be need to put to maximum utilisation the existing constituency offices. These may be utilised as easy access and entry points for members of the public. These may be viewed as satellite offices of the Legislature throughout the province. The current public participation strategy needs to clearly define this area.

## CONFIGURATION OF THE LEGISLATURE

38. Configuring the organization requires a clearer understanding of its purpose and the critical functions arising from it. As already indicated earlier, law-making, oversight and public participation are to become the critical determinants of any re-configuration endeavour in respect of the Legislature. These key functions are the responsibility of the political wing. The administrative wing exists solely to provide both the strategic and operational support to the other wing order that it is able to execute its functions. On the basis of this understanding, the key question has been, **how best to strategically reconfigure the main/front office** of the Legislature such that it is better positioned and potentially capacitated to deliver on its mandate during this fourth term of office.
39. A scant consideration of the current configuration of the Legislature's main office reveals that its conceptualization is anchored, more often than not, on the configuration of government departments that it is meant to oversee than on the need to strategically execute its core functions. This can, for instance, be seen in the configuration and functional focus of its portfolio committees.
40. Contrary to the current convention, what is being advocated in this term is the turning of this conceptual view and functional focus on its head. Instead of merely basing the configuration of the Legislature's main office on the government departments' resource deployment and their configurations, such, ought to be based on strategic imperatives defined in the Legislature's mandate for the term of office under consideration.

41. The question to be answered by the Legislature is how best it will ensure that these strategic imperatives become primary to its strategic thinking, development and execution? Equally significant is a need to find a workable solution to the requirement that the same strategic priorities permeate government departments whose activities the Legislature is entrusted to oversee.
42. Taking this as a point for further argument, it would ideally be proper to continue a strategic conversation on how to re-configure the main office of the Legislature around these five strategic pillars. Such reconfiguration may create a Legislature with five portfolio committees plus whatever standing committees, such as SCOPA prescribed by law.
43. However, in the light of current circumstances and the fact that this is not a utopian world, consideration must be given to the fact that currently there are more than 20 portfolio committees with specific areas of operation. It is this reality that should be borne in mind in any endeavour to reconfigure the main office of the Legislature on the basis of the proposed comprehensive and integrated model. To this end, it may suffice that instead of forming portfolio committees around the five strategic priorities, the latter may be mirrored in clusters with the current portfolio committees assigned to such clusters. This arrangement may, however, be understood as an operational arrangement in transition probably up until the next term of office where portfolio committees may then be re-configured in accordance to strategic priorities of government.

### **Annual Oversight Plans**

44. In the past term, the activities of the portfolio committees were based on performance plans which were not formally monitored. In this term, the performance plans of portfolio committees will be both tabled as part of the Annual Performance Plans of the Legislature and will be formally monitored. The implication of this is that the said performance plans of the committees (which from now on will be called **Annual Oversight Plans**) will at some stage be subject to performance audit by the Auditor-General. Chairpersons of respective committees are therefore to ensure that their members take seriously the issue of performance planning and adherence to the Annual Oversight Plans (AOPs). A clear planning process to develop the said AOPs will be established (see also paragraphs 51-54). The Office of the Speaker, through the Chair of Chairpersons, the Legislature will establish reporting and accounting structures as well as relevant templates to ensure that there is delivery against the said AOPs.
45. To ensure that there is effective oversight of the activities of the Executive, the said AOPs are to be heavily influenced by the respective Strategic and Annual Performance Plans of departments. The implication is that committee members are to fully acquaint themselves with the nature of business and operations of the respective departments. This may require members to acquire certain oversight skills and competencies. Close partnership with the support office (i.e. the administrative wing) will also be required especially in providing technical skills/services required for oversight purposes. This aspect will be touched again later when the support office is discussed.

46. The purpose of the proposed reconfiguration is to streamline and enhance the manner in which the Legislature conducts its business. It is hoped that through such streamlining and focus, the Legislature strategically places itself in a position that constructively complements and influences the direction and content of service delivery by government departments. Equally important is the possibility that, through this proactive, dynamic, future-oriented and collaborative approach, government departments would strategically be placed to shape and influence the oversight function of the Legislature and the performance metrics that would be the focus of its oversight and law – making functions. The strength of the proposed approach is on its emphasis on synergizing and integrating the efforts of the Legislature and government departments at strategic areas of operation. Currently, it has been observed that these two arms of government rarely collaborate on matters of strategic significance in respect of shaping and probably agreeing in advance with regard to how these can best be achieved.

### **Planning Challenges**

47. What appears to have happened in the past and continues to happen to this day is that the strategy-making processes of both the Legislature and government departments tend to forget to align their strategic plans with each other. The absence of this alignment distorts the required overarching strategic focus being dictated by the priorities of government for both the Legislature and the Executive. More often than not, individual government departments would go out for strategic retreats to craft and develop their strategies based on what they believed to be their functional responsibilities. A similar and parallel process is repeated with the strategy-making process of the Legislature. The inherent weakness to this approach was that it produced unrelated performance plans and targets. Furthermore, it entrenched deep founded functional silos at a strategic level of the provincial government as a whole. This is a practice that the Legislature will seek to overturn during this term.
48. Equally observed, is the fact that even at the level of the Executive, this strategic endorsement of functional silo-creation negatively impacts on its ability to develop and maintain a common strategic line of sight thus negating its ability to collectively deliver on the overarching strategy. Also critical is the fact that this debilitating impact is not only confined to the strategic level where this silo-mentality, whether consciously or unconsciously, is endorsed. It, however, has the tendency to filter down to other operational levels. A similar process also happens at the operational levels within the Legislature.
49. This problem of silo-mentality poses a greater challenge against the delivery processes of government. It is therefore an embraced view that an effective resolution to this major problem would be a relentless effort by the strategic leadership aimed at integrating and aligning its strategic thought and enactment at a strategic level. To respond to this, the institution will adopt a new approach to strategy and planning as discussed below.

## A COLLABORATIVE STRATEGIC PLANNING FRAMEWORK

### **The Main Office** (*Political Wing*)

50. This new strategy-making framework is intended to link up with and facilitate a seamless implementation of the proposed business/operating model. It is presented here for the purposes only of conceptual clarity and simplicity as a linear and sequential process. Its practical articulation is by no means linear and sequential. In reality various elements of this strategic framework are dynamic, interconnected and complex. This insight becomes critical in understanding the dynamism, interconnectedness and complexity of the envisioned framework and the interfacing of its various elements as it unfolds. Failure to grasp such dynamic complexity and interconnectedness of the various elements of the framework carries the potential to render the strategy making process and execution ineffective.

### **Planning Role of the Strategic Leadership**

51. The Office of the Secretary, supported by the senior managers in the administration, must facilitate and attend a strategic planning retreat for the management of the front office, i.e. the Speaker, Deputy Speaker, Chief Whip, Deputy Chief Whip, Chairperson of Chairpersons and the Deputy Chairperson of Chairpersons. The purpose for such a retreat is to allow a high-level conceptualization and interpreting of the overarching strategic pillars emanating from the electoral mandate to determine the following:-

- (i) a collective understanding and interpretation of the five strategic priorities.
- (ii) things that the Legislature ought to do to give meaning and effect to the five strategic priorities (this to be done in the context of an agreed conception of the overall strategy).
- (iii) a proper interrogation of the Legislature's readiness to implement identified strategic and policy programmes as per the five strategic priorities.
- (iv) to further examine the extent to which institutional resources and their attendant capabilities are strategically positioned and deployed to drive the effective and efficient execution of the overall strategy.
- (v) pronounce on mechanisms, though very broadly, requiring pursuance in order to acquire, develop and deploy for execution of set goals.

52. It is also important to indicate that these deliberations will have to take place, amongst other issues, within the context of the **sector policy and sector strategic framework**. This is necessary to create alignment between issues and expectations raised in these sector policy documents and the institutional strategy going forward. The purpose of this approach is to ensure alignment and creation of synergy and integration between the work and programmes arising from the sector policy and strategic framework and the five strategic imperatives. The criticality and significance of this alignment cannot be over-emphasized.

53. It would also be imperative that this expedition pronounce in clearer terms how the Legislature will deal with the identified discrepancies in terms of its level of readiness to deliver. This work will clearly not be complete without a set of clearly defined, measurable lead and lag performance metrics and indicators.

The **vision, mission statement, strategic goals and objectives** as well as the **corporate values** are some of the major products of this strategic retreat by the Strategic Leadership team as led by the Speaker.

54. Important as well, is the realization that as the Strategic Leadership team engages in these complex issues, the Executive through the Leader of Government business should intimately be brought on board into the process. This is necessary to allow integration and alignment of issues and programmes dealt with by both the Legislature and Executive at strategic levels. For instance, it has been indicated earlier, that critical to the outcome of the Strategic Leadership team retreat lies the prioritization and concretization of programmes emanating from the five strategic pillars of the government's overarching strategy.
55. The need by the Legislature to engage and involve the Executive should be reciprocated by the Executive when it deals with matters of strategic importance relating to their work. In this process reciprocation and interface, convergence of minds must be sought and encouraged in an attempt to synergize and streamline operationalization of their respective strategies. This has implications on the planning process of structures in the Legislature (especially portfolio committees) and departments in the Executive. Each arm (Legislature and the Executive) must follow its processes but the Office of the Leader of Government Business must play its role in informing both arms of each other's processes. This will ensure that there is always a shared political vision and coordinated purpose of action.

### **The Planning Role of the Standing and Portfolio Committees**

56. Members of strategic clusters and standing committees should take this process further by drawing on the vision, mission, strategic goals/objectives, values and priorities developed by the Strategic Leadership team. Their effectiveness in progressing this work would be determined by their ability to answer the question, what role strategic clusters and standing portfolio committees must play individually and collectively to drive the successful realization of prioritized goals. For them to be able to do this, they would be required to unpack identified strategic goals and try to concretely define them in the context of their specific areas of focus. This exercise should also be accompanied by the interrogation of the lead and lag performance metrics/indicators in the context of clusters/committees specific and collective responsibilities and define these such that they are concrete, relevant and appropriate for the kind of work they are required to engage upon.
57. It is at this level of planning that the planning priorities of the respective departments are to be both understood and responded to by the standing and portfolio committees. Provincial departments may be required to present their planning and explain their performance targeting in terms of the five priorities of government. The process should allow committees (without taking over the planning role of the Departments) to make inputs into the said performance plans. Such engagements are meant to ensure that as the Committees develop their **Annual Oversight Plans**, they truly align their oversight activities to what the Departments have planned to do.
58. Engagement in this strategic session should enable participants to develop some insight into the kind of resources and their attendant capabilities that may be required to ensure the successful execution of their responsibilities and achievement of identified goals. As they emerge out of these strategic conversations,

members of strategic clusters and standing portfolio committees should have clearer ideas relating to the role and contribution their envisioned responsibilities would have on the programmes emanating from the sector policy, its strategic framework and the overall strategy of the government during this fourth terms of office. Concurrent to this exercise, Members should define in unambiguous terms performance indicators that would be the focus of their oversight function. This process should give birth to what has been referred to earlier as the **Annual Oversight Plans** (AOPs).

59. The clusters and committees' strategic areas of focus and performance metrics captured in the AOPs should then be shared with government departments in advance. This will put an end to what has been in the past a reactive oversight exercise which may have been ad-hoc in nature. The proposed Clusters and Portfolio Committees should also find additional workable mechanisms to engage various Members of the Executive Council (MECs) and their departments in their strategic conversations to avoid unnecessary strategic conflicts due to reprioritization etc. This will also assist the Departments to understand what is required and will not result in officials going on a wild goose chase.

### **The Support Office (*Administrative Wing*)**

60. The *vision, mission statement, strategic goals, values and AOPs* developed by the main office are to be the main inputs into the planning role and process of the support office (i.e. administration) led by the Secretary. The purpose of the strategic retreat of the support office is to ensure that resources of the Legislature are configured and structured in such a manner that they provide adequate support to strategic performance goals set by the main office.
61. Before discussing in detail the role, nature and purpose of the strategic retreat of the support office (administration) it is necessary to consider the required relationship configurations of the Legislature as an institution. Consideration of these configurations ought to take place in the context of an intense analysis of the resources and their attendant capabilities required to deliver on the identified strategic performance goals. Approaching operations of the Legislature from within this perspective requires an acknowledgement that the efficacy and effectiveness of the main office is inextricably bound up with the efficiency and effectiveness of the support office.
62. The degree of efficiency and effectiveness for both the main and support offices of the institution derives from a highly complex, non-linear interactive relationship between the two offices operating as one unit. This complex internal relationship (between the said offices) is partly defined by the fact that the main office, is in principle driven by constitutional and political mandates while the support office is regulated by administrative legislations and therefore is mainly compliant in nature. In this complex, on-going interaction, between these two, sits a possibility of a wide range of working relationship configurations. A continuous conceptualizing and clearly defining the possible range of configurations becomes critical. It should be understood that the point at which the working relationship configurations eventually settle, will in the final analysis serve as a basis upon which organizational operations arise.
63. The relationship between the point of settlement of relationship configurations and arising organizational operations is a complex and dynamic one and must therefore be understood as such. It is in the context of

this understanding that the adopted strategic position in this regard advocates for an integrated combination of various interactive relationship configurations. The complexity of the contextual perspective of the Legislature renders, both conceptually and practically, any endeavour seeking to settle at only one relationship configuration inadequate and ineffective.

64. It is the above firm belief that informs the advocating for a multi-dimensional and multi-layered relationship configuration. Having pointed this out, it may now be proper to turn to the planning role of the back office.

### **The Planning Role of the Support Office**

65. Flowing from the strategic conversations engaged in by the Strategic Clusters and Standing Portfolio Committees, the two strategic areas of delivery, i.e. law-making and mobilization and oversight and service delivery would engage in a similar strategic expedition. The difference though is that in this regard, the primary objective would be to explore and define in concrete terms those issues that each of the strategic areas for delivery would need to focus on and achieve in order to ensure that the support they render enhances the delivery of the **Annual Oversight Plans** and strategic imperatives as defined by these clusters and committees (main office).
66. Part of the responsibilities of these strategic areas of delivery would be to identify the nature of resources and their attendant capabilities required to support strategic goals and objectives identified by Strategic Leadership, Clusters and Standing Committees. At the same time, this strategic retreat should also be able to come up with performance indicators that will help to both determine and track the successes on these strategic areas of delivery. This process talks directly to the development of **Annual Performance Plans (APPs)** of the support office (i.e. the administrative wing) of the Legislature.
67. The outcome of these strategic conversations would shape and inform further strategic endeavours by the other strategic areas of delivery such as strategy, human capability and transformation, risk and compliance, financial management etc. These conversations evolve around:-
  - (i) the nature of strategic objectives identified by the other two strategic areas of delivery (law-making and oversight),
  - (ii) the nature of the resources and capabilities required to deliver on these objectives,
  - (iii) the extent of the availability of necessary resources and capabilities and programmes around the acquisition, development, bundling and deployment of these to provide the support required by the clusters and standing committees.
68. Performance metrics (Annual Performance Targets) must also be clearly defined in order for the success profile of these strategic areas to be determined. This profile should incorporate both lead and lag performance metrics and indicators that should be used to track progress and impact made. In a nutshell, when the Annual Oversight Plans and the strategic objectives as set by the Strategic Leadership are all put together in one document, the said document becomes the Strategic Plan and or Annual Performance Plan for the whole institution.

## INSTITUTIONAL PERFORMANCE

69. To both improve the sense of responsibility and accountability in the Legislature, there will be major reconsiderations entailing possibilities on:-
- (i) Introduction of internal service level agreements within and between different business units/processes
  - (ii) Overhauling its Performance Management System to ensure an enhanced management of Performance Agreements and Awards at all levels
  - (iii) Revision of job profiles and designs
  - (iv) Collation, reporting, validation, approval and submission of performance information
  - (v) Introduction of dedicated policy and efficiency management processes/unit
  - (vi) Management of delegations (financial, supply chain and personnel)
  - (vii) Restructuring of the organizational design and post establishments to respond to the above
  - (viii) etc.

### Organisational Design Concept

70. As stated above, institutional performance and efficiencies, amongst other instruments, are dictated to by organizational arrangements/design. Of critical importance in this regard is how the alignment and crafting of business processes and functions together with their attendant capabilities are configured to reflect the overall mandate and strategic goals of the Legislature.

#### *Core Business Processes*

71. To this end, it is suggested that the process of structural reconfiguration takes as its critical point of departure, the migration of the current, rigid, functionally-focused structure to a more flexible, process-based structure. Accordingly, and in line with the view that the organizational structure should mirror and reflect the intentions of the strategy, it is proposed that the first port of call for the restructuring of the institution should endeavour to be around the core functions of the Legislature, i.e. law-making, oversight and public participation. On the basis of the above, there is clearly a need to establish and clearly define the following three strategic core business processes that will directly provide support to the main office:-
- (i) law-making process,
  - (ii) oversight process, and
  - (iii) public involvement and participation process.
72. These could be constituted by a number of sub-business processes such as knowledge generation and research, public interaction, budget analysis etc.
73. Consequently, the discussion at this juncture, does not intend to go into much detail in respect of how the reconfiguration of other constituent sub-processes will be like. Suffice to say that in the course of the continuous strategic conversations, details of such business processes and relevant configurations will emerge. However, as a matter of demonstration, it may be necessary to briefly explore some envisioned

opportunities that may be opened by migrating to this new structuring. An example of one such sub-process is the knowledge generation and dissemination business process.

74. The question that may need to be asked is whether or not the processes of knowledge generation, development, bundling and application are clearly defined, understood and strategically executed. It is a held view that this is, at the moment, not the case. Would it not, therefore, be fantastic for the Legislature to generate its independent database, e.g. in the case of education that has credible data in respect of the number of secondary and primary schools per district across the KZN province? In the same database, the Legislature can have a number of total educators employed in the province and the number of learners in the schooling system and what the overall spread in respect of resource allocation both human and otherwise across the province is like.
75. The emphasis is that such information can be organized and arranged around districts and local councils in order to have a better grasp of the issues within the educational system. Concurrent to these and other quantitative data required to broaden the Legislature's understanding and better insight into the schooling system, researchers employed or commissioned by the Legislature should go out there to source qualitative data to complement the quantitative aspect of it. These can jointly be used to create knowledge that should better prepare and capacitate members of the education portfolio committee in their oversight function. This process could help do away with the current arrangement where members find themselves having to do their oversight function using information provided by departments themselves.
76. Whilst, the information provided by Auditor-General is helpful as part of a combination of efforts aimed at assisting departments improve their operations, and the Legislature to conduct its oversight, such information comes rather too late in the sense that it comes out on an annual basis. There is clearly a need to strengthen the Legislature's capacity to gather data urgently, on an on-going basis, without having to heavily depend on the media, translate such into useful knowledge, strategically deploy it to assist the Legislature in its law-making and oversight work. For this to happen properly, there clearly is a need to define and plot a business process that should specifically focus on this.

#### *Corporate Support Processes*

77. The Core Business Processes referred to above, are themselves to be supported by critical and sometimes highly technical processes dealing with:-
  - (i) the acquisition,
  - (ii) the development,
  - (iii) bundling; and
  - (iv) deploymentof divergent resources and their attendant capabilities required to support the main office.
78. To this end, two other strategic areas of delivery are proposed to provide support to the said three core business processes (i.e. law-making, oversight and public involvement and participation). These strategic areas of delivery are:-

- (i) Strategy management, Human capability and transformation, and
- (ii) Risk, compliance and financial management.

79. These two strategic areas of delivery should also be understood not necessarily as functional divisions but as two strategic business processes, called **Corporate Support Processes** of the Legislature. This brings to five the strategic business processes in the Legislature:-

- (i) Lawmaking process
- (ii) Oversight process
- (iii) Public Involvement and Oversight
- (iv) Strategy management, Human capability and transformation, and
- (v) Risk, compliance and financial management.

80. Arising from these five strategic business processes are many other strategic and operational constituent business processes that have to be properly defined and deployed as part of the on-going strategic conversations. The knowledge generation, management and deployment business process was given earlier as an example of such processes.

81. It must, however, be stated that there is a marked and probably radical difference, both conceptually and practically, between a functionally-focused structure and a process based structure. This migration, on its own requires a progressive paradigm shift and interventionary measures are to be put in place to support such a move. This will include other soft institutional competences such as management practices entailing a need for a total culture change for both members and staff in the employ of the Legislature. This will obviously be a lengthy and probably cumbersome process and as such, there will be no rush in this regard.

82. A detailed discussion on these issues, including an overview of how a process based organogram may translate into a restructured post establishment for the Legislature is attached as **Annexure C**. This Annexure is attached with an intent to ignite strategic conversations within the institution on the concept. It is important to state up front that the proposal to migrate from a functionally based structure to a process one is made with a full understanding that this move will require a radical overhaul on a number of management practices, approaches and the philosophy thereof. This acknowledgement informs the need to move slowly and carefully in implementing this concept.

# STRATEGIC PLAN



# PART A: STRATEGIC OVERVIEW

## 1. VISION

To be a people centered, activist Legislature.

## 2. MISSION

To deepen democracy and activism in KwaZulu-Natal through robust oversight, effective public participation and efficient lawmaking.

## 3. CORE VALUES

- Integrity** : Being honourable and following ethical principles  
**Discipline** : To act in accordance with established rules  
**Excellence** : Continuous improvement in performance and standards.  
**Transparency** : Being straightforward, sincere and candid in discussions.  
**Caring** : Feeling and exhibiting concern and empathy for others  
**Altruism** : A deliberate pursuit of the welfare of others  
**Respect of Diversity** : Understanding that each individual is unique

## 4. LEGISLATIVE AND OTHER MANDATES

### 4.1 Constitutional Mandates

In terms of the Constitution, the mandate and authority of the Legislature is drawn and described in Chapter 6 of the Constitution of the Republic of South Africa. The Legislature, amongst other issues, is given mandate to:-

- Consider, amend, pass or reject provincial laws
- Consider, reject and or approve budgets for Provincial Departments
- Conduct oversight functions over the Provincial Executive, and
- Ensure public participation in driving democracy in the Province.

### 4.2 Legislative Mandates

The following mandates clearly define the duties and the requirements of the KwaZulu-Natal Legislature:

- Public Finance Management Act, Act 1 of 1999 and Treasury Regulations;
- Promotion of Access to Information Act 2 of 2000;
- Labour Relations Act, Act 66 of 1995;
- Basic Conditions of Employment Act, 75 of 1997;
- Skills Development Act 78 of 1998;
- Employment Equity Act 55 of 1998;

- Preferential Procurement Policy Framework Act, No. 5 of 2000;
- Broad Based Black Economic Empowerment Act, No. 53 of 2002; and
- State Information Technology Agency Act, No. 38 of 2002.

#### 4.3 Policy Mandates

The functions of the Provincial Legislature are governed mainly by the following policies and Regulations:

- The Standing Rules of the Legislature
- Resolutions of the Rules Committee
- Treasury Regulations
- KZN Conditions of Employment
- KZN Supply Chain Management Policy Framework.

#### 4.4 Relevant Court Rulings

None

### 5. SITUATIONAL ANALYSIS

#### 5.1 Performance Environment

In pursuit of the above vision, goals and objectives, the Legislature's outputs over the next five years will be focussed on the following:-

##### 5.1.1 Governance and Accountability

- The governance and management framework of the institution will be strengthened by focussing on improving the Administration and Political Interface including clarifying the role of Administration, role of Political Structures and their linkages. The personnel capacity in the Office of the Speaker, Secretary, Research and Budget units will be given priority. There will be an improvement in reporting and accounting on performance matters including on Annual Oversight Plans.

##### 5.1.2 Delinking

- There is a need for the legislature to progressively assert its autonomy and ensure that it is prepared for as much independence from the executive over which it has an oversight role. Separation of powers, systems required, oversight of self, integrity and own control systems, sector participation, legal framework, structures of governance, human resource structures, financial management systems, audit and internal audit committee will be looked into.

##### 5.1.3 Public Participation

- This Legislature is recognised as a leader amongst other Legislatures in the country in terms of public participation. It will be pushing its performance targets in this area by integrating various public participation programmes to enrich the oversight and lawmaking processes. The feedback processes to communities will be enhanced to improve public confidence in the Legislature. There will be an

expansion of sectoral parliaments to include other sectors such as the senior citizens, the disabled etc. The role of research in public participation will be boosted including better utilisation of print and electronic media, public education initiatives, public hearings, portfolio committee visits, multi-party visits, constituency offices and effective use of taking parliament to the people.

#### 5.1.4 Law Making

- A framework will be developed in which subordinate legislation review will be rolled out. Enhanced participation in law making to involve CBO's, NGO's and civil society will be prioritised. The Legislature will continue to:
  - Involve ordinary public in law-making.
  - Align with NCOP and National Assembly Processes.
  - Interact through SALSA.

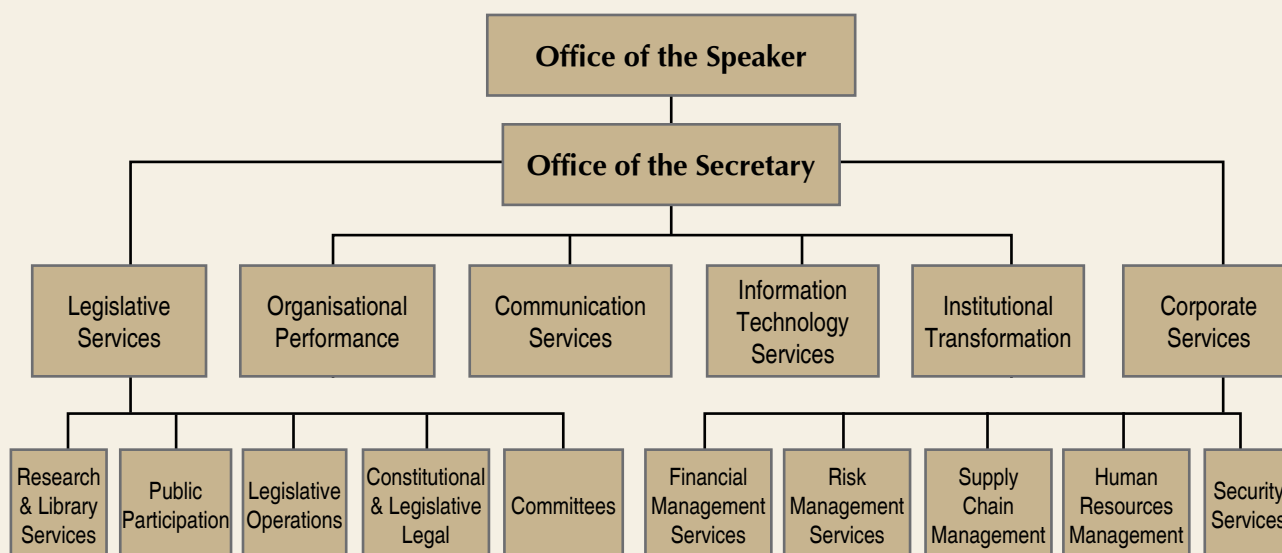
#### 5.1.5 Oversight

- The portfolio committees, which form the core the legislature oversight function, may have to be restructured to enable provision of support that will improve their effectiveness and lead to effective oversight. The rethink of committee structures to reintroduce a cluster system will form part of the reforms in this area. Constituency Offices, as information disseminating points for the legislature, will be looked into. High volume committees will be identified and resources for them be sought accordingly. Introduction and implementation of Annual Oversight Plans for portfolio committees will be done in a phase in approach to ensure that performance auditing on portfolio committees does not lead to administrative challenges.

#### 5.1.6 Communications and Stakeholders

- The legislature will improve its communication with internal and external stakeholders. The plan is to introduce a dedicated and effective stakeholder, media management process. This will include providing capacity for speech writing and improved web-site management

### 5.2 Organisational Environment



The key structural issues related to capacity within the offices of the speaker and the secretary. These need to be strengthened together with the rest of the related divisions to support the achievement of the strategic goals outlined. There is a need to analyse the job roles and content to eliminate duplication and redundancy so that all human resources are effectively deployed. The predominant view is that additional posts are required and that without those resources the achievement of the strategic goals is at risk. There are units that are managed through temporary resources and this is hardly effective. However, in many areas, a thorough analysis will release some capacity.

### 5.3 Description of the Strategic Planning Process

For the first time in the history of the KZN Legislature, the strategic planning process was conducted in a more structured and focused manner. The whole process was facilitated by strategic planning facilitators from Regenesys who command experience in Legislative work having facilitated planning sessions for Gauteng and Limpopo Legislatures.

The process ensured that all leadership stakeholders were taken on board at different but appropriate stages of planning process. This was done in an effort to ensure that there is a total ownership of the resultant strategic plan. The process required that the political leadership initiates the planning which was done through a two day workshop held at the Durban Edward Protea Hotel on **28–29 October 2009**.

The first day of the workshop was attended by the all Presiding Officers of the Legislature (i.e. the Speakerage, Chairpersons of Committees and the Whippers). This day concentrated on convening broad planning issues around the vision, mission statements and strategic goals. The second day was left for the strategic leadership team (the Speaker and her Deputy, the Chief Whip and his Deputy, the Chair of Chairpersons and his Deputy) to fine tune the broad statements developed by the bigger team of Office Bearers. This process led to the final development of the vision, mission statement, values and strategic goals and objectives for the Legislature.

While the said two day workshop was meant to present a forum for the political leadership to express its view and provide a clear mandate for the administration, the senior management team (i.e. heads of directorates) were also invited for purposes of grasping and fathoming the discussions that led to the new strategic direction. This was important because the administration's task was to convert the work of the political leadership into performance plans for the next MTEF period. Following this work by the Presiding Officers, the administration met on **08 – 09 December 2009** at *iTala Game Lodge* to translate and develop performance targets for this term of the Legislature. The work of the administration also produced the **2010/11 Annual Performance Plan**.

## 6. STRATEGIC GOALS AND OBJECTIVES

There are four strategic goals each with its own strategic objectives. The strategic goals were crafted out of the three core functions of the legislature while the fourth one addresses the corporate obligations of the institution. These are listed below as follows:-

## 6.1 Lawmaking

*To be an effective, efficient and visible law-maker through:*

- (i) Ensuring effectiveness, efficiency and visibility as a primary source of lawmaking in KZN and enhancing public participation in the law making function of the Legislature
- (ii) Evaluating the achievement of the intent and impact of the laws passed in the province
- (iii) Deepening members understanding of the provincial competency with respect to lawmaking.
- (iv) Enhancing process alignment in the consideration of NCOP legislation
- (v) Monitor the implementation of International Treaties and Conventions relevant to KwaZulu-Natal.
- (vi) Establish an effective mechanism for the review of Subordinate Legislation

## 6.2 Oversight

*To enhance oversight performance leading to accountability over service delivery through:*

- (i) Ensuring legislative compliance (chapter 2 of constitution).
- (ii) Monitoring the achievement of national and provincial priorities.
- (iii) Provide effective oversight over organs of state in the province.
- (iv) Building strategic partnership with chapter 9 institutions and civil society organisations.
- (v) Effective monitoring of financial and other resources for prudent and economic utilisation thereof including independent verification of the utilization of resources.

## 6.3 Public Participation

*To ensure effective public participation in all legislative processes of the KZN Legislature through:*

- (i) Expansion of sectoral parliaments
- (ii) Public education and outreach initiatives
- (iii) Involvement of constituency offices in enhancing public participation (to be referred to caucuses)
- (iv) Implementation of Petitions strategy
- (v) Ensuring public involvement during oversight and law making (feedback visits, public hearings, multiparty oversight visits, oversight meetings)

## 6.4 Leadership and Governance

*To ensure effective leadership and governance of the Legislature through:*

- (i) Strengthening the governance structures of the Legislature
- (ii) Enhancing the legislative, structural and operational framework to entrench constitutional independence of the legislature
- (iii) Increasing efficiency and effectiveness of Administrative Services
- (iv) Improving internal and external stakeholder services and relations of the legislature

# PART B: PROGRAMMES AND SUBPROGRAMMES

## 7. PROGRAMMES AND SUBPROGRAMMES

The table below outlines the programmes and sub-programmes in which the services rendered by the KZN Legislature have been categorised.

Programme	Sub-programme
1. <b>Administration</b>	1.1 Office of the Speaker 1.2 Office of the Secretary 1.3 Financial Management 1.4 Corporate Services
2. <b>Parliamentary Services</b>	2.1 Library, Research and Information Services 2.2 House Proceedings 2.3 Committee Services and NCOP 2.4 Legal Services 2.5 Public Participation and Awareness 2.6 Hansard and Language Services
3. <b>Facilities for Members and Political Parties</b>	3.1 Facilities and Benefits to Members 3.2 Political Support Services

### 7.1 STRATEGIC OBJECTIVES

#### 7.1.1 Administration

The purpose of this programme is to conduct the overall management of the Provincial Legislature. There are four sub-programmes within this programme, namely Office of the Speaker, Office of the Secretary, Financial Management, and Corporate Services.

##### 7.1.1.1 Sub-Programme 1.1: Office of the Speaker

The Office of the Speaker is responsible for policy implementation and the provision of support services to the Speaker and Deputy-Speaker. It provides political direction to the administration in meeting its obligations. The Office of the Speaker must ensure public involvement in the activities of the Legislature as well as ensure that the Legislature plays its oversight role over the Executive and Provincial Departments.

##### 7.1.1.2 Sub-programme 1.2: Office of the Secretary

The Office of the Secretary consists of components that mainly render direct and personal support to the Secretary. The said components provide capacity for strategy management, institutional performance monitoring, Communications as well as Information Technology. As the highest Office in the administration side of the Legislature, it does not pursue a single specific strategic objective in the strategic plan but provides strategic institutional leadership by creating a conducive environment for the administration to pursue its vision and strategic objectives. The Office of the Secretary, working closely with the Office of the Speaker, provides a vital link between the political and administrative wings of the KZN Legislature.

#### 7.1.1.3 **Sub-programme 1.2.1: Organisational Performance**

The role of this Unit is to ensure effective service delivery, institutional development, the setting up of institutional targets and the provision of vision, strategy, control, monitoring and evaluation. In a nutshell, the Unit -

- Provides the Office of the Secretary with the necessary competence to research, develop and implement a corporate strategy
- Ensures accountability and responsible performance reporting
- Assists the Secretary in the monitoring and evaluation of the execution of strategy, performance plans, programmes and operations, and also monitors the impact of implementation.
- Provides efficiency services to ensure optimum utilisation of resources.
- Provides and facilitates policy management process.
- Develops and maintains the application of service standards.

#### 7.1.1.4 **Sub-programme 1.2.2: Communications**

The Communication Services Unit is located in the Office of the Secretary, and it is charged with the responsibility of ensuring that all programmes and activities of the Legislature and its committees are widely publicised for the benefit of the public and all relevant stakeholders. Furthermore, the Unit is responsible for enhancing the image of the Legislature by building and maintaining good relations with the media.

#### 7.1.1.5 **Sub-programme 1.2.3: Institutional Transformation**

This Unit manages interventions on gender, disabilities and HIV/Aids-related matters. It ensures that both male and female staff members participate as equal partners in creating a just and non-discriminatory society. The unit also instils transformation processes in order to guarantee that developed policies, procedures and practices serve to ensure equal rights and opportunities for men and women in all sectors of the KwaZulu-Natal Legislature.

#### 7.1.1.6 **Sub-programme 1.3: Financial Management**

This sub-programme caters for the CFO's office, Internal Control and Procurement Management and is responsible for providing expertise and advice in terms of financial management, planning the departmental budget, procurement management and monitoring and evaluating expenditure and revenue collection.

#### 7.1.1.7 **Sub-programme 1.4: Corporate Services**

This sub-programme is responsible for the provision of support services, human resource management, safety services and skills development in accordance with the Skills Development Act and IT Services. The budget for building renovation costs and other major procurement costs is centralised under this sub-programme.

#### 7.1.1.8 **Sub-programme 1.4.1: Risk Management**

The Risk Management Unit forms part of Corporate Support Services and reports to the Office of the Chief Financial Officer. The Risk Management Unit was established to perform the following functions:

- To assist in the accomplishment of strategic and operational objectives of the Legislature by facilitating early identification and managing of potential risks which, if they materialise, would hinder the achievement of the stated strategic objective, and
- To perform internal control function aimed at providing reasonable assurance regarding the economy, efficiency and effectiveness of operations, internal financial control, as well as compliance with applicable laws and regulations.

#### 7.1.1.9 **Sub-programme 1.4.2: Supply Chain Management**

Supply Chain Management is an integral part of Corporate Services which renders the following services:

- Bids and Procurement Services
- Technical Services
- Logistics Management and
- Asset Management

#### 7.1.1.10 **Sub-programme 1.4.3: Human Resources Management**

Historically, the human resources (HR) function has always been understood as an administrative one, dealing mainly with transactional issues such as salaries, employees' leave, staff absenteeism, and so on, but its evolution has reached a point where the provision of other HR services to Members and staff in the context of the KZN Legislature are now being understood. Whilst there has been a paradigm shift from its historical view, being one that was mainly concerned with transactional matters only, the minimalist view which continues to define the role of the human resources function within the Legislature remains unsatisfactory. It is in this context that going forward in preparation for the incoming fourth Legislature that a broader and more strategic view of the HR function must be presented, because it is only on the basis of this view that the potential role of HR can be leveraged and fully exploited to benefit the institution in its future undertakings.

This sub-programme is therefore a strategic partner whose primary function is to propel the KZN Legislature in its continued endeavours at acquiring, positioning, developing and rewarding its human resources. Furthermore, this unit will ensure that it plays a leading role in the growth and development of Members within the political wing of the Legislature.

#### 7.1.1.11 **Sub-programme 1.4.4: Information Communication Technology**

ICT targets the institution more holistically i.e. Members and Staff, with the provision of solutions, systems and technology that would further enhance the day-to-day operations. Business needs of Members and various Operational and Support components of the KZN Legislature are assessed, brainstormed and, should there be an available technologically driven solution that meets the need and more importantly could add value, the ICT Unit would then, as part of the institution, play a role in effecting the deliverables.

#### 7.1.1.12 **Sub-programme 1.4.5: Security Services**

The main objective of this Sub-Programme is to provide security services to Members, staff and the public within the precincts of the Legislature or any place where activities of the Legislature may

take place. This is a service required in terms of the National Intelligence Agency and is therefore regulated by national security prescripts.

### **7.1.2 Parliamentary Services**

This programme consists of seven sub-programmes and the main objectives and services of these sub-programmes are as follows:

- To provide library, research and archive services
- To provide services with regard to legislation, petitions and legislative procedure, etc.
- To facilitate public involvement in the legislative and policy formulation process of the KZN Legislature
- To consider legislation referred to the provincial Legislature by the NCOP
- The provision of secretarial services to committees of the provincial Legislature
- Reporting, translating and interpreting of debates

#### **7.1.2.1 Sub-programme 2.1: Library Research and Information Services**

The research unit provides quality and pro-active research that is aimed at assisting the Legislature in functioning efficiently while overseeing service delivery to the people of KwaZulu-Natal.

#### **7.1.2.2 Sub-programme 2.2: House Proceedings**

This sub-programme deals with all administrative and operational issues relating to sittings of the KZN Legislature, whether they are formal sittings in the Chamber, off-site sittings (sittings not inside the precincts of the Legislature), such as Taking the Legislature to the People (TLTP) initiatives, or sittings of sectoral Parliaments (i.e. Workers' Parliaments, Youth Parliaments and Women's Parliaments). With regard to the latter, this sub-programme provides training to delegates and ensures that they are familiar with the Standing Rules and procedures of the House.

#### **7.1.2.3 Sub-programme 2.3: Committee Services and NCOP**

The main objectives and services of these sub-programmes are as follows:

- To provide administrative, Logistical and secretarial services to Committees of the Legislature;
- To facilitate and ensure provincial participation in Legislative processes of the National Parliament.
- The provision of services with regard to legislation, petitions and legislative procedure, etc

#### **7.1.2.4 Sub-programme 2.4: Legal Services**

The purpose of the unit is to support and enable the Legislature and its components to comply with their constitutional and other legal obligations, more particularly to maintain oversight over the exercise of provincial executive authority, to hold the Executive Council accountable to it and to exercise its legislative authority (law-making).

The core functions of the unit are to provide legal advice and support services to the Office of the Speaker, the Office of the Secretary, all office bearers, all committees of the Legislature (including management, portfolio and standing committees) and other units within the Legislature; and to render legislative drafting services, primarily to committees

#### 7.1.2.5 **Sub-programme 2.5: Public Participation and Awareness**

The Public Participation and Petitions Unit (PPPU) was established to comply with the constitutional imperative that a provincial legislature must facilitate public involvement in all its legislative and other processes. The framework which governs the PPPU draws from:

- The Constitution of the Republic of South Africa, in particular Section 118; Section 17 and Section 115(d)
- The KwaZulu-Natal Petitions Act, Act No 4 of 2003
- The Standing Rules of the KwaZulu-Natal Legislature

#### 7.1.2.6 **Sub-programme 2.6: Hansard and Language Services**

The main objective and service of this sub-programme is to record, transcribe, interpret, edit, translate and publish all debates that take place within the Legislature.

#### 7.1.3 **Facilities for Members and Political Parties**

This programme consists of two sub-programmes, namely Facilities and Benefits to Members and Political Support Services. The purpose of this programme is to render administrative support services to political office-bearers and other Members of the Legislature with regard to facilities and benefits.

##### 7.1.3.1 **Sub-programme 3.1: Facilities and Benefits to Members**

This sub-programme caters for items such as telephone allowances, flights, travel and subsistence costs, stationery and other items relating activities by portfolio committees, standing committees and public participation events.

##### 7.1.3.1 **Sub-programme 3.2: Political Support Services**

This sub-programme makes provision for constituency allowances, secretarial allowances and political party funding, with the entire budget allocated to Transfers and Subsidies to Non-Profit Institutions.

## 7.2 **RESOURCE CONSIDERATIONS**

Resource considerations made while developing the strategic plan include the following:-

- Reviewing of the organisational structure so as to improve advisory services to assist elected members in their oversight and law-making work. This will include the provision of adequate budget analysts, researchers and the need to relook into job profiles in the Oversight processes. There could be need to introduce a new category of Oversight jobs, for example, Oversight Officers. Other critical areas include the personnel capacity in the offices of the Speaker and Secretary and the Communications unit and all its facets including website management.
- The increase in subsistence and travel costs so that the Members and staff could provide effective oversight over organs of state in the province;
- The ongoing spending pressures associated with public participation programmes, as well as the carry-through costs thereof. The focus on being an activist legislature will put additional pressure on

its public participation activities to ensure that activism is felt by the communities in the province. This suggests that additional personnel and financial resources may be required to boost this area, especially in light of possible additional sectoral parliaments.

- Additional funding aimed at assisting political parties to carry out their constitutional mandate of advancing ideals of democracy. This brings to fore the role of constituent offices as links between the legislature and the communities. There is need to improve efficiency and utilisation of the said offices.

The tables below provide a summary of the vote's expenditure and budgeted estimates over the seven-year period, by programme and by economic classification, respectively.

*Summary of payments and estimates by programme*

R thousand	Outcome			Main Appropriation	Adjusted Appropriation	Revised Estimate	Medium-term Estimates		
	Audited 2006/07	Audited 2007/08	Audited 2008/09				2009/10		
<b>Programmes</b>	<b>124,092</b>	<b>183 005</b>	<b>252.701</b>	<b>252 830</b>	<b>267 261</b>	<b>267 031</b>	<b>269 996</b>	<b>288 522</b>	<b>304 533</b>
1. Administration	60,315	72,198	66,546	80,035	89,943	89,943	95,278	104,764	117,229
2. Parliamentary Services	23,416	25,690	30,421	35,364	43,281	42,781	44,883	54,654	62,622
3. Facilities for Members and Political Parties	40,361	72,856	101,923	114,353	109,943	109,943	120,541	129,430	133,785
<b>Direct charge on the Provincial Revenue Fund</b>	<b>36,699</b>	<b>39A55</b>	<b>48,759</b>	<b>57,299</b>	<b>63,601</b>	<b>63A01</b>	<b>61,491</b>	<b>64,284</b>	<b>67,048</b>
Members remuneration	36,699	39255	48,759	57,299	63,601	63,601	61,491	64,284	67,048
<b>Total</b>	<b>160,791</b>	<b>209,999</b>	<b>247,649</b>	<b>287,051</b>	<b>306,768</b>	<b>306,268</b>	<b>322,193</b>	<b>353,132</b>	<b>380,684</b>
<b>Less</b>									
Departmental receipts not to be surrendered to Provincial Revenue Fund (Amount to be financed from revenue collected into S22(1) of the PFM A)	2,776	2,678	3,828	2,278	2,278	967	567	601	629
<b>Adjusted total</b>	<b>158,015</b>	<b>207,321</b>	<b>293,821</b>	<b>2114,773</b>	<b>304,490</b>	<b>305,301</b>	<b>321,626</b>	<b>352,531</b>	<b>380,055</b>

Note: Programme 1 includes the Speaker's and Deputy Speaker's remuneration R2 536 571

*Summary of payments and estimates by economic classification*

R thousand	Outcome			Main Appropriation	Adjusted Appropriation	Revised Estimate	Medium-term Estimates		
	Audited 2006/07	Audited 2007/08	Audited 2008/09				2009/10		
<b>Current payments</b>	<b>81,064</b>	<b>122,234</b>	<b>131,983</b>	<b>149,329</b>	<b>158,084</b>	<b>157,584</b>	<b>172,717</b>	<b>193,420</b>	<b>212,387</b>
Compensation of employees	32,763	43,409	50,123	56,693	65,410	65,410	76,036	95,529	110,641
Goods and services	48,301	78,825	81,860	92,636	92,674	92,174	96,681	97,891	101,746
Other	—	—	—	—	—	—	—	—	—
<b>Transfers and subsidies to:</b>	<b>23,732</b>	<b>38,980</b>	<b>63,616</b>	<b>71,001</b>	<b>71,001</b>	<b>71,001</b>	<b>78,762</b>	<b>86,688</b>	<b>91,022</b>
Provinces and municipalities	43	—	—	—	—	—	—	—	—
Departmental agencies and accounts	813	—	—	349	—	—	370	392	412
Universities and technikons	—	—	—	—	—	—	—	—	—
Public corporations and private enterprises	683	1,768	2,077	2,358	2,558	2,558	2,499	2,650	2,782
Foreign governments and international organisations	264	162	1,081	1,060	1,110	1,110	1,124	1,191	1,250
Table 2.3 Details of payments and estimates of Da	21,924	37,015	60,159	67,234	67,234	67,234	74,769	82,455	86,578
Households	5	35	299	—	99	99	—	—	—

R thousand	Outcome			Main Appropriation	Adjusted Appropriation 2009/10	Revised Estimate	Medium-term Estimates		
	Audited 2006/07	Audited 2007/08	Audited 2008/09				2010/11	2011/12	2012/13
<b>Payments for capital assets</b>	<b>19,296</b>	<b>9,530</b>	<b>3,291</b>	<b>9,422</b>	<b>14,082</b>	<b>14,082</b>	<b>9,223</b>	<b>8,740</b>	<b>10,227</b>
Buildings and other fixed structures	1291	2,498	1,019	1208	1208	1,208	1281	1,358	1,426
Machinery and equipment	16,319	3,478	2,162	4,096	6,596	6,596	4,342	3,602	4,832
Cultivated assets	-	-	-	-	-	-	-	-	-
Software and other intangible assets	1,686	3,554	110	4,118	6278	6278	3,600	3,780	3,969
Land and subsoil assets	-	-	-	-	-	-	-	-	-
Heritage assets	-	-	-	-	-	-	-	-	-
Specialised military assets	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>124,092</b>	<b>170,744</b>	<b>198,890</b>	<b>229,752</b>	<b>243,167</b>	<b>242,667</b>	<b>250,702</b>	<b>286,848</b>	<b>313,636</b>
<b>Less:</b>									
Departmental receipts not to be surrendered to Provincial Revenue Fund	2,776	2,678	3,828	2278	2278	967	567	601	629
<b>Adjusted total</b>	<b>121,316</b>	<b>168,066</b>	<b>195,062</b>	<b>227,474</b>	<b>240,889</b>	<b>241,700</b>	<b>250,1135</b>	<b>2138,247</b>	<b>313,007</b>
Statutory payments	36,699	39,255	48,759	57,299	63,601	63,601	61,491	64,284	67,048
<b>Adjusted total (incl. Statutory payments)</b>	<b>158,015</b>	<b>207,321</b>	<b>213,821</b>	<b>284,773</b>	<b>304,490</b>	<b>305,301</b>	<b>321,626</b>	<b>352,531</b>	<b>380,055</b>

The Members' remuneration reflects a steady increase over the seven-year period. The 2009/10 Main Appropriation is fairly high as it includes a once-off special allowance of R9.510 million for Members whose tenure of office was affected by the 2009 elections. Further funding was allocated in the 2009/10 Adjusted Appropriation to cater for the annual increase in the salaries of Members. However, despite the additional funding allocated, the Provincial Legislature is still anticipating to over-spend by R3.128 million at the end of 2009/10, due to the higher than anticipated annual increase in Members' salaries, backdated to April 2009, and this accounts for the high 2009/10 Revised Estimate.

The reduction in 2010/11 when compared to 2009/10 can be ascribed to the above-mentioned once-off special allowance allocated in 2009/10 for Members whose tenure of office was affected by the 2009 elections.

All three programmes reflect a consistent and substantial increase over the seven-year period, apart from a few fluctuations as explained below:

- There is a slight reduction in the 2008/09 Audited amount of Programme 1: Administration when compared to the 2007/08 Audited amount, due to the fact that several amounts allocated in 2007/08 were largely once-off, such as the feasibility study costs and the costs of accelerated overseas study tours in 2008/09, ahead of the 2009 elections.
- The 2009/10 Revised Estimate amounts of Programme 2: Parliamentary Services and Programme 3: Facilities for Members and Political Parties are slightly lower than the 2009/10 Adjusted Appropriation amounts, as a result of the Provincial Legislature's undertaking to cut-back in spending in terms of the Cabinet-approved Provincial Recovery Plan.
- The drop in Programme 3 from the 2009/10 Main Appropriation to the Adjusted Appropriation relates to a correction of the budget in the 2009/10 Adjustments Estimate. Approximately R4.5 million was

moved from Programme 3 to Programme 1, to provide for various costs which are centralised under Programme 1, such as cell phones, land lines, and maintenance of equipment and buildings. The prior year amounts and MTEF budgets for these centralised costs were also adjusted.

The substantial increase in the operational budget of the vote as a whole from the 2009/10 Main Appropriation to the 2009/10 Adjusted Appropriation is largely due to the following adjustments in the Adjustments Estimate:

- R4 million to cater for costs incurred with regard to observing and monitoring the 2009 elections;
- R4.208 million to cater for the higher than anticipated 2009 wage agreement in respect of the Legislature staff;
- R1.709 million, being the surplus revenue collected by the Provincial Legislature in 2008/09, allocated back in terms of Section 22(1) of the PFMA; and
- R2.698 million, shifted from the Members' remuneration (relating to savings in respect of the once-off post-election allowance payable to Members) to the operational budget, to enable the Provincial Legislature to commence implementing the JE results.

The Provincial Legislature's budget continues to increase substantially over the 2010/11 MTEF. The increase can largely be attributed to the carry-through costs of the correction of the baseline with effect from 2009/10, in accordance with Resolution 12/2008 of the Finance Portfolio Committee, as well as the carry-through allocations of the above-mentioned additional funding allocated to assist political parties. In addition, the Provincial Legislature was allocated additional funding for the implementation of the JE review over the 2010/11 MTEF.

The category *Compensation of employees* increases steadily over the seven-year period, particularly from the 2009/10 Main Appropriation to the 2009/10 Adjusted Appropriation and again over the 2010 MTEF, largely due to the JE review, which was finally completed towards the end of 2008/09, as already mentioned. Although no additional funding was allocated for the JE review in the 2009/10 Main Appropriation, the Provincial Legislature reprioritised funding in the 2009/10 Adjustments Estimate to commence the upgrading of posts, and this accounts for the increase in the 2009/10 Adjusted Appropriation. Additional funding was allocated over the 2010/11 MTEF for the full implementation of the JE results, accounting for the increase from 2010/11 onward.

*Goods and services* show a steady increase over the seven-year period. The sharp increase in the 2007/08 Audited Outcome relates to the roll-over of funds from 2006/07 for outstanding commitments, including the feasibility study costs for the proposed new Legislature complex, and additional funds for in-year spending pressures, such as accelerated overseas study tours. These were largely once-off allocations.

The increase in *Goods and services* in the 2008/09 Audited Outcome relates to a roll-over of R5.512 million from 2007/08 for the Legislature complex feasibility study. The slight dip in the 2009/10 Revised Estimate, when compared to the Adjusted Appropriation, relates to the undertaking of the Provincial Legislature to reduce its spending in terms of the Cabinet-approved Provincial Recovery Plan.

The category *Transfers and subsidies* increases steadily over the seven-year period, as explained below:

- Foreign governments and international organisations increases fairly steadily, although there are some fluctuations in the prior years as a result of unanticipated claims from the Commonwealth Parliamentary Association (CPA);
- Public corporations and private enterprises, which relates to the funding of insurance premiums in respect of life and accident cover, also increases steadily, based on the increasing number of claims received. These premiums cover both the Members of the Provincial Legislature and staff for life and personal accident, in terms of the Members' Handbook; and
- Non-profit institutions reflects a substantial increase, due to additional funding allocated for the funding of political parties, including the constituency and secretarial allowances.

With regard to Buildings and other fixed structures, the high expenditure reflected against the 2007/08 Audited amount relates to costs incurred for further renovations undertaken to the Natal Witness building.

Both Machinery and equipment and, to a lesser extent, Software and other intangible assets, fluctuate markedly in the prior years, due to the largely once-off nature of purchases made under these categories. For example, the 2006/07 Audited Outcome in respect of Machinery and equipment is substantially higher than the subsequent years, as it includes R10 million for the installation of a security system in the Provincial Legislature buildings. With regard to Software and other intangible assets, the fluctuations relate to progress with the implementation of the ECM project and other technological improvements. Both categories reflect a fairly steady increase over the 2010/11 MTEF.

## 7.3 RISK MANAGEMENT

### 7.3.1 Programme 1: Administration

#### 7.3.1.1 Sub-Programme 1.1 Office of the Speaker

**Projects:**

- Create capacity within the Speaker’s Office
- Develop strategy for international relations mainly on the African continent
- Develop a Strategy and Policy Framework on the operations of the Office of the Speaker

Risk	Mitigation Strategies
Misidentification of Capacity Needs	Conduct Proper Skills Audit
No plan for capacity Building	Develop a capacity Building Plan
Competing priorities	Prioritise needs and align all plans
Rejection of Capacity Building Efforts	Identify politically acceptable champions to popularize project
No budget for capacity Building	Ensure that activities planned are budgeted for
Lack of Skill	Skills transfer activities
No political will	Get leadership buy and drive
Competing Priorities	Prioritise needs and align plans and budgets
Political Instability	Identify politically stable partners, identify peace keeping and security strategies for affected nations
Rejection of South African Initiatives	Mobilise international stakeholders for support
Lack of skills to complete	Identify properly skilled individuals within legislature; if not, get skills transferred to the legislature
Competing Priorities	Synergize/Align all the plans
No human resources	Develop a human resource plan
Contradicting policies	Review and realign existing policies
Beaurocratic barriers	Get the necessary buy in

#### 7.3.1.2 Sub-programme 1.2: Office of the Secretary

**Projects:**

- Facilitate the establishment of LexCo
- Facilitate the establishment of Standing Committee on Oversight(Stacov)
- Manage Legislature Sector issues
- Create a dedicated forum within the Branch to drive and champion all sector issues.
- Develop a business plan for implementation of the MOU
- Create capacity within the Branch:
- Restructure the Offices of the Secretary to accommodate new perspectives
- Recruit/Redeploy personnel into the Secretary’s Office
- Develop a management plan for the Branch (BranCo, ExCo and ManCo)
- Review the role and functions of these Management Structures

<b>Risk</b>	<b>Mitigation Strategies</b>
No terms of reference for LexCo	Draw up clear terms of reference for the LexCo
Unclear terms of reference	
No commitment from members	Incentives/Disincentives
Irregular attendance by members	
“Seen as extra work”	Integrate project into individual operational plans
Lack of consistent understanding of role	Draw up clear terms of reference for the Stacov
Unclear terms of reference	
No commitment from members	Incentives/Disincentives
Irregular attendance by members	
Insufficient Policy framework	Review policies regularly
Fragmented approach to projects	Coordinate sector activities and have a central champion.
Duplication of activities	
Competing priorities especially against internal leadership and organisational transformation needs.	Establish a clear organisational transformation plan with priority based on current resources. Establish clear focus areas for sectorial issues in which KZN legislature will take a lead
“Elitistism”	Establish regular feedback meetings (bottom up and top down)
Rejection by constituencies	Consultation with all relevant stakeholders
Internal struggles due to political differences	Present issues as legislature and not favouring any single political party
Loss of momentum	Create a variety of activities and use the appropriate mix of talent
Attrition	
Unrealistic time frames	Plan according to resources that can be realistically accessed.
Unrealistic budgets	
Lack of leadership commitment	Drive the process form the highest office
Misidentification of Capacity Needs	Conduct Proper Skills Audit
No plan for capacity Building	Develop a capacity Building Plan
Competing priorities	Prioritise needs and align all plans
Rejection of Capacity Building Efforts	Identify politically acceptable champions to popularize project
No budget for capacity Building	Ensure that activities planned are budgeted for
No clear vision	Articulate vision for restructure clearly
No change management strategy	Have a change management strategy at hand
No clear communication	Use all appropriate channels to communicate the change
No proper stakeholder management	Get buy in from all stakeholders
Lack of leadership	Commitment from leadership
Recruitment process too long	Head hunt if necessary
Not the right skills attracted	Rigorous selection process
Nepotism	Transparent recruitment practices
Party influences on appointments	
Rejection of new recruits by more senior members	Communicate need for new recruits

<b>Risk</b>	<b>Mitigation Strategies</b>
Unrealistic time frames	Plan according to resources that can be realistically accessed.
Unrealistic budgets	
Lack of leadership commitment	Drive the process from the highest office
Insufficient Policy framework	Review policies and augment as appropriate
Fragmented approach to projects	Coordinate and clarify specific role for each structure and associated meetings
Too many meetings and duplication	
Difficult stakeholders	Engage proactively for buy in

### 7.3.1.3 Sub-programme 1.2.1: Organisational Performance

#### **Projects:**

- Establish an institutional Policy Management function service
- Create an institutional performance Evaluation Management Framework/Process
- Align relevant planning and reporting prescripts to the proposed KZN Financial Management Bills
- Establishing Efficiency and Productivity Service
- Introduce Incentives and Criteria for Awarding them
- Functional PIVC Committee
- Pilot Committee Performance Reporting (Implementation of AOPs)

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of policy analysis and development capacity	Attract the appropriate skills
Improper institutional configuration	Consult on institutional arrangement
Lack of leadership	Get leadership buy in
Lack of monitoring	Attract the appropriate skills
Improper institutional configuration	Consult on institutional arrangement
Lack of leadership in implementation	Ensure involvement of managers in design and train managers and employees
Lack of policy analysis capacity	Leverage the appropriate skills in the organization
Lack of leadership	Get leadership buy in
Improper institutional configuration	Consult on institutional arrangement
No monitoring	Introduce monitoring and Evaluation mechanisms
No evaluation	
Role confusion and boundaries	Draw up MOUs with servicers
Lack of leadership	Get leadership buy in
Abuse of the system	Develop appropriate incentive policy
Bias in Awarding incentives	
No budget for incentives	Develop plan for awarding incentives
No plan for incentives	
No policy on incentive award	Draw up clear criteria for the awards
No terms of reference for PIVC Committee	Draw up clear terms of reference for the PIVC Committee
Unclear terms of reference	

<b>Risk</b>	<b>Mitigation Strategies</b>
No commitment from members	Incentives/Disincentives
Irregular attendance by members	
“Seen as extra work”	Integrate project into individual operational plans
Rejection by committees	Get committee buy in
Under reporting on challenges	Develop verification mechanisms
Over reporting on achievements	
Biased reporting	Develop standardized reporting formats

#### 7.3.1.4 Sub-programme 1.2.2: Communications

##### **Projects:**

- Produce publications profiling MPL’s
- Produce newspaper insert profiling the work of the Legislature
- Development of functional Internal Communication Strategy
- Increase public knowledge on the work of the Legislature

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of audience analysis	Clearly identify the target audience
Inadequate distribution channels	Use a variety of platforms (magazines, internet, etc.)
Insufficient coverage of the audience spectrum	
Budgetary constraints	Align all project plans with budgets
Insufficient space	Draw up MOUs with providers
Inaccessible language	Use a multiplicity of languages
Insufficient coverage	Use multimedia to reach a wider audience
Inappropriate authority levels on release of communiqués	Assign authority on interaction with stakeholders outside of the legislature
Multi levels of passing internal communication down or up	Simultaneous release of information to all relevant internal stakeholders
Culture of non transparency	Clear policies on access to information
Overlaps and confusion between functions responsible for production of information and those that communicate it.	Ensure all have guideline
Party posturing	Present the legislature as government and not a single party
Inability to separate legislature from political parties	
Internal struggles	
Hijack legislature successes for party claims	

7.3.1.5 *Sub-programme 1.2.3: Institutional Transformation*

**Projects:**

- Develop and implement a UNCRPD plan
- Develop and implementing Plan which links CEDAW and MDGs
- Develop and implement Transformation Strategy
- Develop the implementation plan for EEA

Risk	Mitigation Strategies
Fear of change	Get buy in
Rejection of transformation	
Lack of skills	Recruit appropriate skills
Lack of coordinated transformation plan	Align transformation with all other programs and projects
Competing priorities	
Lack of M and E	Develop an M and Framework
Unclear transformation agenda	Articulate a clear transformation agenda

7.3.1.6 *Sub-programme 1.3: Financial Management*

**Projects:**

- Contribute in the development and approval of Financial Management Bill and regulations on all finance matters
- Assist in the formation of a functional oversight committee on the Legislature
- Facilitate the acquisition of an ERP system

Risk	Mitigation Strategies
Lack of skills	Training on technical matters
Lack of understanding of financial management policy	Communication of the financial management policy
Inconsistent oversight activities	Clear oversight policy
Irregular oversight meetings	Standing meeting dates
Senior Management support	Get buy in

7.3.1.7 *Sub-programme 1.4: Corporate Services*

7.3.1.8 *Sub-programme 1.4.1: Risk Management*

**Projects:**

- Seek approval and implement risk framework, strategy and policy
- Develop and implement communication of risk strategy and policy
- Create awareness on corporate governance requirements and facilitate compliance with the corporate governance
- Facilitate establishment of Risk Committee
- Facilitate capacitation of an effective internal audit function
- Facilitate the establishment of the Audit Committee
- Facilitate adequate allocation of resources to ensure effective and sustainable internal control

<b>Risk</b>	<b>Mitigation Strategies</b>
Dealing with risk management as a separate issue to overall planning	Integrate risk management to all planning functions
Insufficient coverage	Use multiple media platforms for wider coverage
Irregular meetings of the risk committee	Establish standing meetings
Non executive powers of risk committee	Strengthen the advisory function of the risk committee
No enforcement strategy for non compliance	

### 7.3.1.9 *Sub-programme 1.4.2: Supply Chain Management*

#### **Projects:**

- Strengthening the governance structures of the Legislature
- Enhancing the Legislative, structural and operational framework to assert Constitutional independence of the Legislature
- Complete institutional procurement plan
- Complete procedure manual

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of skills	Training on technical matters
Lack of understanding of financial management policy	Communication of the financial management policy
Inconsistent oversight activities	Clear oversight policy
Irregular oversight meetings	Standing meeting dates
Senior Management support	Get buy in

### 7.3.1.10 *Sub-programme 1.4.3: Human Resources Management*

#### **Projects:**

- Process divisions established and major processes defined
- Internal process of re-orientating and refocusing employees in line with the process thinking is initiated
- Comprehensive plan of migrating terms and conditions of employment consistent with sectoral terms and conditions developed
- Internal preparation for establishment and continued participation in the centralized bargaining forum complete Institution's leadership model developed and adopted
- Succession planning and management model developed and adopted
- Performance measurement system developed, adopted and implemented
- Training and development needs analysis for members conducted and development programmes developed and implemented
- Learning and development needs analysis for employees conducted and learning and development programmes implemented
- HR interface with member support centre around HR related member facilities is enhanced.

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of skills	Training on technical matters
Lack of understanding of HR policy	Communication of the HR policy
Skills transfer difficulties	Mentoring and Coaching
Inappropriate skill gap identification	Proper skills audit
Senior Management support	Get buy in

#### 7.3.1.11 *Sub-programme 1.4.4: Information Technology*

##### **Projects:**

- Creation of the new MSP
- Completion of the appointment of IT unit staff and ongoing support. To also formalise the Help Desk during this period
- Approval of the current IT Policy, implementation and if warranted the creation and approval of new policy/s
- Formation of the new ICT Steer Committee
- Upgrade of the Network and Server infrastructure and the replacement of old desktops and laptops, resulting in the deployment of Windows 7 and the latest version of MS Office
- Strategy to address connectivity and deployment of system and tools to the Constituent Offices
- Review of SLA's and License renewals
- ECM Review, current status and deliverables for the year if any
- Stakeholder review of the website – ongoing operations supported by a Operations Procedure

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of skills	Training on technical matters
Incompatible hard and software	Research all connectivity and communication issues
Lengthy recruitment process	Fast track recruitment
Budgetary Constraints	Align plans with budgets
Stakeholder resistance	Get buy in
Senior Management support	

#### 7.3.1.12 *Sub-programme 1.4.5: Security Services*

##### **Projects:**

- Investigate the understanding of the political wing and other different components of the institution on the responsibilities of the security services in providing safety and security
- Develop a draft security policy and security plan
- Ensure coordination of security services with different structures of the legislature
- Invite all component heads to form legislature security committee and identify security related functions within different components
- Ensure positive and healthy working relations with NIA and SAPS
- Organize an effective work shopping session for senior management on the role of security services in the legislature and a recommended reporting lines
- institutions

Risk	Mitigation Strategies
Lack of resources	Align to plan and budget
Overlooking of information security	Develop clear guideline for protection of all assets in partnership with other departments such as IT

### 7.3.2 Programme 2: Parliamentary Services

#### 7.3.2.1 Sub-programme 2.1: Library Research and Information Services

##### Projects:

- Research on public reactions about the bills to be passed in the house
- Ensure that the research unit has enough capacity to support the legislators
- Enable proper legislative library services
- Cataloguing and electronic library are in place
- Ensure that the procurement of books is in line with the legislature requirements
- Cataloguing of parliamentary documents

Risk	Mitigation Strategies
Lack of experienced resource in this particular field	Employ with experience in research and library services individuals with
Lack of required skills to perform research	Relevant individuals should attend short training on various research methodologies
Doing non-commissioned that may not be utilised thus wasting resources.	Ensure that there is an approval process even for proactive research.

#### 7.3.2.2 Sub-programme 2.2: House Proceedings

##### Projects:

- Participate in drafting of protocol document on video-conferencing system
- Participate in finalisation of protocol document
- Operate and monitor video-conferencing system
- Acquire electronic Questions Register (EQR)
  1. Train users
  2. Operate system
- Acquire Electronic Voting System (EVS)
  1. Train users
  2. Operate system
- Develop Operating Standards during Sittings towards total quality management of services rendered in the Chamber
- Appointment and training of Service Officers
- Establishment of the Divisional Quality Control Committee and Drawing up of Terms of Reference
- Acquire Electronic Pop-Up Monitors (EPUM)
  1. Train users
  2. Operate system
- Provide training on parliamentary processes and procedures to participants / delegates of Sectoral Parliaments

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of skills	Training on technical matters
Incompatible hardware and software	Research all connectivity and communication issues
Budgetary Constraints	Align plans with budgets
Stakeholder resistance	Get buy in
Senior Management support	Get buy in
Inaccurate profiling/scoping of user requirements	Ensure that the correct stakeholders are involved in defining user requirements
Lack of end user training	Training programme to be defined iteratively as certain sections of the systems are defined and signed off
Post installation back up and support from provider	Agree on terms and conditions of post installation up front

### 7.3.2.3 *Sub-programme 2.3: Committee Services and NCOP*

#### **Projects:**

- Logistics done for 4 bills:
  - KZN Internal Audit Act Repeal Bill, 2009
  - KZN Gaming and Betting Bill, 2009
  - KZN Gaming and Betting Tax Bill, 2009
  - KZN Provincial Policy and Planning Commission Bill, 2009
- Review and implementation of AOP Format in line with Sector Oversight Model for 2 pilot Committees with emphasis on review of impact of legislation
- Provision of slots for workshopping of members in the calendar
- Adoption and implementation of the procedure
- AOP Implementation
- Implementation of pilot for 2 Committees
- Review of pilot project
- Resourcing of all other Committee in preparation for extension of implementation
- Hosting of APAC Conference
- Logistical and secretarial support to 175 Committee meetings
- Logistical and secretarial support to 20 SCOPA hearings
- Review and implementation of AOP Format in with emphasis on review subordinate Legislation per committee
- Invitation of chapter 9 institution to brief Quality of life Committee on issues affecting Chapter 2 of the constitution
- Logistical; secretarial and coordination support to all Committee meetings and On site visits
- Reporting to the House and Committee of chairpersons on all Committee activities
- Provision of reports from Sectoral Parliaments/ Symposia and consolidation of responses
- Drafting of reports for oversight delegations for the tabling and debate by the House
- Consolidation of responses
- Proper coordination of Committee activities in respect of petitions
- Arrange at least 2 on site visits per committee to verify service delivery
- Prepare reports for the committees
- Participation in Forum activities

- Championing of Sector initiatives relating to Committees in the Institution
- Review of organogram / staff duties
- Update, adopt and implement business processes
- Standardisation of reporting on letters from the public during Ukhozi programme by chairpersons
- Provision of slots for the Speaker to report on responses to issues raised in Sectoral Parliaments on SABC Ukhozi Programme

<b>Risk</b>	<b>Mitigation Strategies</b>
Low attendance to conferences and meetings	Identify attendees and send out invitations that clearly state objective of conferences and meetings
Lack of skills to perform implementation	Ensure that the right individuals with required skills are leading the implementation efforts
Budgetary Constraints	Align plans with budgets
Stakeholder resistance to implementation	Get buy in through well thought out change management approach
Senior Management support	Get buy in
Lack of capacity to carry out logistical and secretarial support	Assign appropriate number of resources

#### 7.3.2.4 *Sub-programme 2.4: Legal Services*

##### **Projects:**

- Begin process of researching & drafting PAIA manual
- Provide professional legal services to committees and the House, including specialist legislative drafting services
- Review & draft new amendments to Standing Rules where required to facilitate process of lawmaking
- Finalize review and amendment of Guideline for Office Bearers
- Provide professional legal services to Committees and the House, including drafting of mandates for Committees / resolutions of the House
- Review & draft new amendments to Standing Rules to accommodate the undertaking of review of subordinate legislation
- Review provincial subordinate legislation upon request & draft recommendations /proposals to relevant committees
- Review provincial legislation upon request for compliance with chapter 2 (Bill of Rights) & draft recommendations & proposals to relevant committees
- Review Standing Rules & extract Rules that require amendment
- Provide professional legal services, including drafting of relevant legal opinions for committees
- Provide professional legal services, including drafting of relevant legal opinions for committees
- Render briefings at public hearings /pre hearing workshops to facilitate greater public understanding of Bills to enhance public input
- Provide professional legal services to Office of the Speaker, Secretary & Chief Whip
- Reviewing of Standing Rules upon request, to accommodate a shift in policy /new structures / functions

- Finalization of draft KZN Financial Management of Legislature Bill / policy
- Undertake professional advanced training for Legal Division staff members
- Draft and adopt Business Process Manual to improve working of the Division
- Assist in the development of the Legislative Sector through participation in the Legal Advisor's Forum

<b>Risk</b>	<b>Mitigation Strategies</b>
Deviation from defined project/process plan	Define the dangers of possible deviations and knock on effects of such deviations
Failure to manage timelines associated with the project.	Define and implement intervals for progress reports
Failure to follow due process related to amendment of relevant policies, procedures and legislation	Due process must be communicated to relevant stakeholders

#### 7.3.2.5 *Sub-programme 2.5: Public Participation and Awareness:*

##### **Projects:**

- Senior citizen parliament
- Educational workshops
- Adopt petitions strategy
- 50 per public hearing
- People with disabilities parliament
- Educational Workshops, material development and radio slots
- Education campaigns and awareness

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of project management skills	Recruitment of individuals with project management skills or training those involved in project management.
Lack of skills to perform implementation	Ensure that the right individuals with required skills are leading the implementation efforts
Budgetary Constraints	Align plans with budgets
Lack of capacity to carry out logistical and secretarial support	Assign appropriate number of resources
Mis-alignment between targeted participants and inputs required.	Do a proper stakeholder analysis and target relevant stakeholder who will meaningfully contribute.

#### 7.3.2.6 *Sub-programme 2.6: Hansard and Language Services*

##### **Projects:**

- Recordings of Legislative sittings and public hearings
- Annotations of legislative sittings and public hearings
- Transcripts of Legislative sittings
- Interpreting service rendered
- Translated, edited and proofread Bills, Minutes of Proceedings, as well as other documents
- Adopted language policy
- Number of training workshops attended

- Adopted Hansard Training Manual
- Obtain Real-Time Transcription system (RTT)
- Recording officers appointed
- Record and annotate proceedings of identified portfolio and standing committees

Risk	Mitigation Strategies
Slow turnaround time related to service delivery in this regard	Define Service level agreements
Lack of relevant resources to perform the stated tasks	Provide training; and Recruit resources with relevant skills
Lack of compliance with required quality standards	Inception of regular quality assurance sessions

#### 7.3.2.7 *Sub-programme 2.7: Office of the Chief Whip*

##### **Projects:**

- Develop, seek approval and facilitate implementation of a Legislature Sitting Programme
- Coordinate and facilitate provision of briefings to the Members
- Provide secretarial services to the Whips Forum

Risk	Mitigation Strategies
None	

#### 7.3.2.8 *Sub-programme 2.8: Programmes Facilitation*

##### **Projects:**

- Introduce training in Customer Relations and Project Management
- Create Programme/Event Management Manual
- Programmes for 2010/11
- Establishment of Service Level Agreement and a Penalty Clause

Risk	Mitigation Strategies
Inadequate profiling of potential service providers	Thoroughly define internal requirements
Experience and accreditation status of the service provider as it relates to the training content in question	Request summary of experience from service provider; and Enquire with relevant accreditation body on the accreditation status of the service provider
Lack of finalisation of an annual training plan	Assign finalisation responsibility to and associated timelines relevant stakeholders

#### 7.3.3 **Facilities for Members and Political Parties**

##### **Projects:**

- Establishment of Members Affairs Directorate
- Establishment of a Members Affairs Committee
- Develop and seek approval for a strategy to enhance external stakeholder relations
- Facilitate development of Service Standards by Legislature Directorates to serve Members
- Further Skills analysis

- Facilitate and coordinate for provision of training programmes
- Conduct training workshops
- Facilitate development, signing and implementation of a Memorandum of Understanding (MOU) with necessary institutions

<b>Risk</b>	<b>Mitigation Strategies</b>
Lack of relevant stakeholder engagement and involvement in the process from the commencement of the project	Define stakeholder map and associated communication strategy
Lack of objectivity of the analysis process	Define key objectives and goals of analysis
Lack of internal sponsorship for the project	Get buy in
Lack of dedicated personnel capacity	Increase establishment of Office of the Chief Whip to cater for the Members' affairs

## **PART C: LINKS TO OTHER PLANS**

Part C is not applicable to the Legislature.

# ANNEXURE A



# ANNEXURE A

## CREATING SYNERGY WITH PROVINCIAL DEPARTMENTS

### Introduction

The Legislature is not operating in a vacuum. It is required to be in constant contact and interaction with government departments. Given this reality, it is imperative that a mechanism is found that will coordinate and align its activities and programmes with those of government departments. This paper has suggested in its assertion above that one way of fostering such alignment and coordination is for the Strategic Leadership team of the Legislature to work hand in glove with the Executive through closer cooperation and interaction with the Leader of Government Business. It is further suggested that the Strategic Clusters and Standing Committees ought to be able to coordinate their thinking and programmes with various Members of the Executive and departments under their leadership. These interactions may be forged at strategic levels in order to ensure that alignment and interaction, so desperately required is weaved into operations of both arms of government.

Whilst it is not the intention to dictate to government departments how best such interaction and cooperation could be forged, ideas here contained are proposed to illustrate the interconnectedness of the work of both these arms of government. It makes sense therefore to argue that a model dealing with the operation of the Legislature remains incomplete in the absence of a dimension dealing with government departments. Ideas raised in relation to government departments are therefore an attempt to present the wholeness of this proposed comprehensive and integrated business/operating model. It is by no means an attempt to dictate to the Executive in respect of how it should cooperate with the Legislature. As a matter of fact, cooperation and collaboration cannot be coerced, neither can it be legislated. It only requires a will and commitment to work together which constitutes the essence of this discussion. The intention is to ensure that this comprehensive and integrated model is presented to the Executive by the political Leadership of the Legislature for consideration. It should therefore be possible that when presented to the Executive, ideas raised would receive necessary consideration so that if they are accepted or rejected such acceptance and/or rejection is meritoriously made on the strength or weakness of the arguments presented by the model.

### Strategic Pillars of Government for the Fourth Democratic Term

As with the argument advanced in respect of the Legislature, the need to ensure that the work of the Executive also revolves around the five strategic pillars of the overall strategy of the government during this fourth democratic term of office cannot be over-emphasized. For recapping purposes, these are access and improvement of education, access and improvement of the quality of health care, crime prevention and eradication, creation of decent work and agrarian reform and rural development. In practical terms this means that at the very least a greater portion (may be 60-80%) of what the Executive does must answer the question, how best can acquisition, development, bundling and deployment of resources and their attendant capabilities at the disposal of government departments contribute toward the realization of the five strategic

imperatives. Quite clearly, providing answers to this question requires that the Provincial Departments, as had been proposed with the Legislature in its entirety, should begin to think and conduct their business differently from what is currently the case.

There is need to ascertain if there are limitations in the manner in which the Executive, as with the Legislature, currently conducts its business as it pertains to required synergies, integration and alignment in the work organization, culture of engagements at strategic levels between the Legislature and the Executive. This does not in any way imply that there is no coordination at this level. Indeed evidence emanating from observation from a distance seems to suggest that there are various and significant efforts at this level aimed at coordinating the activities of the various departments so that they reflect the collective efforts of the provincial government as a whole. It may very well be that efforts made in this regard are either insufficient or not addressing key issues of alignment and integration.

Since government departments are structurally configured around specific functions tasked with the responsibility of delivering specific objectives that are functionally couched and aligned, the inevitability is that they may operate in silos and non-integrated manner despite efforts to coordinate and align their activities through the current clustering system. The fact of the matter is that as long as this temptation to fall back into the popular silo mentality is not constantly kept under check, no amount of operational coordination will be successful. As pointed out above, this discussion is not intending to dictate to the Executive on how best government departments should be restructured. However, it merely attempts to make a critical point that the work of the Legislature is inextricably linked with that of the Executive. Therefore, its efficiency and effectiveness is inextricably bound up with the efficiency and effectiveness of government department. With this understanding in mind, it is only proper that a comprehensive and integrated approach to the operation of the Legislature would necessarily encroach into the operations of government departments as well. Following hereunder is the view of the other side of this proposed comprehensive and integrated approach.

## **Reconfiguration of Provincial Departments**

The first paradigm shift that may be appropriate in departmental circles is to view, understand and treat provincial departments as subsystems that exist as inextricably intertwined and integral components of a systemic whole, i.e. (provincial government). Clearly, this systemic view of government is conceptually and qualitatively different from the view of government departments as systems existing independently of one another. This view of provincial government may call for a different kind of reconfiguration to enhance its capacity to deliver on strategic goals. It is contended in this discussion that such reconfiguration would improve operational efficiency and effectiveness. In responding to this different call, this comprehensive and integrated model proposes that departments of education, health, agriculture and rural development, safety and security/police and economic development and tourism be understood and treated as the core or main departments driving the overall service delivery strategy of government during this fourth democratic term of office. The other remaining departments be understood and therefore treated as support departments in the strategic areas of delivery.

Note should, however, be taken that such reconfiguration does not denote any importance of some departments over others. All it means is that for the purposes of trying to effectively deliver the strategy at hand, organizational reconfiguration has to be optimally aligned to give effect to the government's strategic intent. This strategic reconfiguration proposed in this document seeks to move the current, functionally-focused structure to a more process-based structure of operation to be able to streamline and enhance effectiveness and efficiency of service delivery programmes. The proposed model is not dissimilar to the one proposed for the Legislature in the sense that the model seeks to address the operational effectiveness and efficiency of both the Legislature and provincial departments.

## **Strategic Retreat by the Executive Council**

From this perspective, strategic conversations start with the Executive Council taking a strategic adventure in which members of the Council would be required to clearly define what the five strategic pillars of the government's overall strategy mean in the context of the province. In other words, after such strategic conversations, the Executive Council has to be able to emerge with a common view that says what it is that the provincial government ought to do around areas of education, health, crime, creation of decent work and agrarian reform and rural development in order to contribute to the five dimensional mandate emanating from the electoral process. Equally important is for such conversations to provide direction regarding key areas of focus that should drive the programme of the entire provincial government. Concurrent to this, the Council would also be required to map out in clear and unambiguous terms performance metrics that must guide and track progress on its work.

As with the proposal in respect of the Legislature, identified performance metrics should be two dimensional, containing both the lead and lag measures. This overall view concerning the provincial strategic disposition should then be disseminated to the next level of strategic conversation for further concretization. It must be pointed out at this stage that this comprehensive and integrated model proposes, as with the Legislature that, the agreed strategic disposition should through the Leader of Government business be shared with the Strategic Leadership of the Legislature. It is at this level and through these interactions that the programmes, activities of the two arms of government should be streamlined, aligned and integrated for the purposes of ensuring seamless delivery of the overall strategy of the province.

## **Strategic Retreat by the Five Core Departments**

Flowing from the strategic retreat by the Executive Council, the model proposes that the next level of strategic conversations should involve the government's five core departments. The purpose of these strategic conversations is to understand the strategic intent and disposition articulated by the Executive Council in the context of each strategic area's delivery obligations. In other words, each strategic area is required to extract from the overall strategic intent and begin to answer the question, what it is in the context of the overall strategic intent is each of the five core departments is required to contribute to ensure successful execution and delivery. The conversations should be able to come up with key strategic imperatives that will be the focus of the strategic five areas of delivery.

Firstly these strategic imperatives should align with the overall government strategy. Secondly, they ought to be able to assist the strategic areas of delivery to deliver on these strategic imperatives. Such discussions should also be able to take performance metrics developed by the Executive Council, contextualize and align them to the work that each strategic area of delivery is required to perform. Discussions at this stage must begin to crystallize in order to give meaning to performance metrics in order to assist systems of implementation, monitoring and review. As with all other performance matrices suggested in this model, it is important to ensure that performance metrics developed in this regard are also two dimensional containing both the lead and lag measures. The model further proposes that a process of alignment between the work of the government strategic areas of delivery and Legislature's Strategic Clusters and Standing Committees is facilitated.

The purpose of this integration and alignment exercise is meant to ensure that Strategic Clusters and Standing Committees are provided with governments strategic areas of delivery strategic focus in advance. This process should also ensure that performance metrics intended to measure the strategic areas of focus are shared with the Strategic Clusters and Standing Committees. During such interactions and conversations, the Legislature's Strategic Clusters and Standing Committees shares with the government's strategic areas of delivery their expectations and areas of focus with regard to their oversight function. It must be borne in mind that these interactions and conversation are guided by the overall five-dimensional strategy of the government.

## **Strategic Retreat by the Support Departments**

The next step in the strategic conversation process according to this proposed model is for the support departments to engage in their own strategic retreat/adventure. The purpose of this strategic expedition is to clearly understand the strategic objectives identified by the core departments and begin to plot the best ways in which they can contribute and support the core departments to achieve the five priorities of government. For instance, the department of human settlements may need to ask the question, what it is that this department can do to contribute to the creation of decent jobs, improve access and the quality of education, reduce crime, improve access and the quality of health care and assist in agrarian reform and rural development. The same question can be asked by all the other support departments because it is through the interrogation of these issues that resources and their attendant capabilities at the disposal of the state can be used to deliver on the overall goals of the government.

Discussions and debates around some of the issues should not be done in isolation but must bring on board both the core departments and strategic clusters and standing committees from the Legislature side. It is imperative that engagement in such discussions should also incorporate the identification of performance metrics that would be used to assess and track progress in this regard. Interaction between and among these various relevant stakeholders would ensure that information in terms of strategic objectives, lead and lag measures are shared with the view to ensuring alignment, integration and synergy creation at strategic levels.

## Compatibility Consideration

The comprehensive and integrated model proposed in this discussion is motivated by the desire to ensure that there is integration, alignment and synergy in the work of the Legislature and the key strategic pillars of the overall government strategy for the current terms of office. Further, the model seeks to create a similar kind of alignment, integration and synergy between the work of the provincial departments and the same strategic pillars of the government. Above this, there is an attempt to ensure that there is synergy, integration and alignment between the work and programmes of the Legislature and those pursued by the provincial departments in order to ensure that resources and capabilities are optimally utilized for the common good. Equally important is a need to ensure that there is synergy, integration and alignment in the work of the various interdependent operational areas within the Legislature and within government departments. In the course of the suggested strategic and operational conversations, it is imperative that congruence be always sought between the institutions' models of operation, culture and practice and within the subsystems of each of these three factors.

## Conclusion

What has been raised and discussed above are high level strategic issues relating to the proposed comprehensive and integrated approach to service delivery. The model acknowledges that in terms of the Constitution of the Republic and various other pieces of legislation lines of demarcation in respect of roles, functions and responsibilities between the Legislature and Executive are clearly drawn. However, the fact that both arms of government are public institutions whose service offerings are targeting the same constituencies, in reality, in the day to day execution of their roles, functions and responsibilities, lines of demarcation are increasingly becoming blurred. This is the acknowledgement made in this model. It is in this context that interaction and collaboration between the two arms of government are sought, advocated and encouraged at strategic and policy making levels.

# ANNEXURE B



# ANNEXURE B

## IMAGE AND BRANDING

### SYMBOLS

South Africa is a young democracy which still needs nurturing and deepening its democratic culture. One of the imperatives of this Legislature is to make the citizens aware of the separation of powers and where the Legislature is located in that, in order for them to properly utilise this particular arm of government in its proper context. The first thing to be attended to is the symbols of the Legislature; as distinct from the Executive.

#### **The Mace – A Brief History**

The mace is a staff of office symbolising authority. In Britain, the mace is carried in and out of the Commons and Lords Chambers in a procession at the beginning and end of each day. Without the mace in position, each House cannot sit and debate. In the House of Commons the mace lies on the table in front of the Speaker when MPs are debating. The mace is carried in and out of the Chamber by the Sergeant at Arms in a procession at the beginning and end of each day. The House of Lords has two maces dating from the reigns of Charles II and William III.

The ceremonial mace was used early as a symbol of authority of military commanders. The earliest ceremonial maces were practical weapons intended to protect the king's person, borne by the *Sergeant-at-Arms*, a royal bodyguard established in *France* by *Philip II*, and in *England* probably by *Richard I*. The history of the civic mace (carried by the Sergeants-at-arms) begins around the middle of the 13th century, though no examples from that period remain today. At the time, ornamented civic maces were considered an infringement of one of the privileges of the King's Sergeants, who alone deserved to bear maces enriched with costly metals, according to a *House of Commons* petition of 1344.

#### *Maces of the United Kingdom*

Ceremonial maces are to this day used to represent authority (of each chamber and the Royal authority of *Her Majesty Queen Elizabeth II, the Queen of the United Kingdom*) and prestige, as in the *House of Commons* in a *Westminster System* parliament.

The *House of Lords* has two maces, the earlier dating from the reign of *William III*. The Houses of the UK Parliament cannot lawfully meet without the mace present. **The maces represent the authority of the Sovereign; they are carried before the speakers of both Houses when they enter or leave the Chamber.**

To illustrate the importance of the mace, the incidents below happened which resulted in sanctions thereafter:



- In 1930, *John Beckett*, a member of the Labour Party was suspended from the *British House of Commons* for showing disrespect to the Mace by trying to leave the chamber with it while protesting against the suspension of another member. It was wrestled away from him at the door.
- In 1976, *Michael Heseltine*, a member of the Conservative Party famously seized the mace and brandished it at the opposing Labour Party members, during a heated debate on the Aircraft and Shipbuilding Industries Bill.
- In 1987, *Ron Brown*, then Labour MP for Leith, picked up the mace during a debate on the *poll tax*, and threw it to the floor. The mace was damaged and Brown was ordered to pay £1500 to repair it when he later failed to read out a pre-agreed apology to the Speaker, he was suspended from the Commons and the Labour Party.
- In 2009, *John McDonnell*, the Labour MP for *Hayes and Harlington*, in which *London Heathrow Airport* is situated, was suspended from the Commons after disrupting a debate on expansion of the airport. Following Transport Secretary Geoff Hoon's announcement that the government had decided to approve a new Heathrow runway without a vote in Commons, McDonnell picked up the Commons mace. TV pictures of the Commons chamber were cut during McDonnell's protest, and he was suspended from the Commons for five days.

The above illustrates the importance and authority vested in the Mace. The KZN Legislature still uses the mace that pre-dates the new democratic dispensation. The citizens of the Provinces have never participated in an open process to determine a mace that represents them. From the above, it is clear that a mace which is the product of extensive consultations will produce a symbol which is owned by all citizens of the Province. That will further entrench the independence of the Legislature as a distinct oversight entity; not to be confused with the Executive.

### **Branding Symbols**

The Province embarked on an all-inclusive programme to get views of the citizens about its coat of arms. Such interactions produced the current provincial symbol with “Masisukume sakhe” moniker. It represents our “being” as Province. Likewise, a similar project must be done in respect of the Legislature in order to produce a symbol with which the people of the Province will identify.

# ANNEXURE C



# ANNEXURE C

## ORGANISATIONAL ARRANGEMENTS

### Introduction

In the context of the institutional challenges and opportunities outlined in the main strategic framework, the following strategic priorities have been identified to be central in ensuring that the Legislature is able to mount some serious assault on the key objectives emanating from the electoral process outlined in this strategic framework document above. These strategic priorities are outlined as:-

- (i) Understanding the strategic positioning of the Legislature in the broader scheme of governance in the province and how best to leverage this strategic positioning for the benefit of the electorate/citizens.
- (ii) Forming, strengthening and enhancing a strategic partnership based on mutual respect, independence and collaboration between the Legislature and the Executive through closer working ties with the Leader of Government Business.
- (iii) Identifying, developing and strengthening the institution's internal business processes in order to streamline and strengthen its performance.
- (iv) Popularizing and strategically locating the institution's operating model at the core of the institution's operations for both the front and back offices.
- (v) Partnering with other strategically placed institutions in order to leverage the Legislature's resources to advance pursuance of its strategic endeavours.
- (vi) Vigorously branding the Legislature with the view to differentiating its role and functions from other state institutions.
- (vii) Strengthening and enhancing the Legislature's relations with its constituencies throughout the province.
- (viii) Restructuring the Legislature to create and strengthen its capacity to be able to respond to its strategic and operational demands.
- (ix) Engaging in a vigorous process of management and leadership development with the view to strengthening the institutional capacity to lead and respond to challenges confronting the institution.

Having identified the institution's strategic priorities, it is necessary to develop potential interventionary measures aimed at placing it to a level where it is able to execute its electoral mandate. In so doing, there is a need to find a workable mechanism that will assist in the operationalization of its mid-term strategic framework. The central view of the institution's strategic framework revolves around the need to ensure that it is able to integrate and align its strategic thinking and execution. This is fundamentally important as non-alignment and non-integration between these is likely to render the organization ineffective and inefficient. The Legislature should further seek to ensure that it is able to weave its strategic thinking and execution into its day-to-day operations.

## **HOLISTIC MANAGERIAL SYSTEM**

### **Management Structure**

The management structure here refers to decision-makers who influence the institution's strategic perspective and policy. The process of decision-making in any institution includes individual decisions made at the lowest staff levels, administrative committees (e.g. Branch Committees), approvals made by the Secretary and decisions and resolutions of the "House". A closer interrogation of this indicates that in the Legislature, as in many other organizations, there is more than one level of decision makers. This, without any doubt, creates conditions in which the institution's strategic perspective and policy gets informed and influenced by multi-perspectives. Consequently, this strategic framework document acknowledges that people in positions of authority may not possess absolute power to influence and shape the entire institution's thinking. In the context of this acknowledgement, the Legislature should strive to find creative ways to identify all-inclusive and collaborative solutions in this regard. The organisational structure design, job profiles and delegation of authority frameworks are some of the areas that will need to be rethought as part of enhancing a proper management practice in decision-making and the general management of the institution.

### **Management System**

In the context of this strategic framework, the management structure deals with the formal, codified set of procedures that determine processes of decision-making. Having pointed this out, it is possible that existing side by side with the formal, codified set of procedures determining decision-making processes deemed fitting by the institution, are non-codified set of procedures determining processes of decision-making deemed appropriate by other stakeholders either internal or attached to the institution (e.g. organised labour). Most organizations tend to dismiss this fact as irrelevant for their conceptual realm of reference. The unfortunate reality though is that, if not properly managed, the existence of these, more often than not conflictual systems within the same organization could render the organization dysfunctional. For example, the decision-making processes of the organised labour and how such processes compete with those of management may be detrimental to the institution. The issue that must be stressed in the context of the institution's strategy is that in the period ahead, the Legislature should strive to clearly identify and manage the point of interface between the formal and informal processes so as to maximize interrelation for the benefit of the institution.

### **Management Values and Culture**

Management values are the aspect of the Legislature's life that talks to enduring convictions about what is right or wrong, good or bad, and acceptable or unacceptable conduct in the practice of those in management positions. The strategy of the institution seeks to acknowledge that management practice, in its totality, is comprised of more than one area with recognizable value basis. It is also accepted here that the values and their attendant assumptions espoused within most organizations, more often than not, are those deemed appropriate by those in management and or positions of power. Equally significant though, is the realization that, existing side by side with these, are other values deemed appropriate by other stakeholders within the organization that may not necessarily be compatible with the conventional ones. More often than not, the value system of an organization is articulated as part of its vision and mission. The Legislature should be seen as part of such organizations or institutions that have their values written and publicized for all to know. In

the context of this mid-term strategic framework the Legislature should seek to ensure that values espoused in its vision and mission integrate and align with all relevant aspirations within the institution to facilitate a consistent conduct across the institution. It is envisaged that such an approach will facilitate a progressive organisational culture.

Culture refers to the perpetration of the patterns of organizational conduct to the extent that the patterns become characteristic, predictable and enduring. Defined in this fashion, it is clear that culture has a value system inherent in it. Accordingly, when the Legislature articulates its value proposition, it expresses, what generally amounts to its central belief about its own character. In other words, it is conveying a message to all and sundry with regard to what ought to be expected of the institution in its dealings with its stakeholders both internally and externally. What is worth noting for purposes of this discussion though is that the institution's value proposition remains just an articulation. This, in reality means that in the day-to-day operation, it is possible that officials and Members of the Legislature (MPLs) may act or conduct themselves in a manner that is inconsistent with its stated value-proposition. It is in this context that the Legislature will endeavour to practically give effect to its value proposition by ensuring that the management structure will determine and pronounce on decision-making processes that would inform, influence and shape the actual behaviours of people within the institution.

Understanding that performance management begins, amongst other factors, with recognizing the fact that management systems deployed by organizations have underlying assumptions of how things should be done in organizations. Many of these assumptions are about how people ought to relate to one another in the course of executing their duties. In reality, this means that as employees work with and within these organizationally deployed systems, they are required to conduct themselves in a particular fashion. This is part of the reasons why most people behave differently at work compared to when they are not at work. The Legislature as an institution also has its own systems with underlying assumptions guiding and informing the way in which things ought to be done. Management systems, like most other human constructs are products of their time and consequently, they ought to be understood as carriers of value systems. Management systems, however, have to be deployed within the context of organizational culture. Culture, as indicated in this discussion, includes values that determine orientations, norms of conduct, and ways of relating with others.

## **Performance Management**

Given this reality, it has to be acknowledged and accepted that it is possible that value premises in a management system may be in conflict with the prevailing orientations and norms of conduct perpetrated through organizational culture. This conflict could be experienced in a situation dealing, for instance, with performance management. Performance management within the Legislature should place greater emphasis on monitoring performance through bilateral accountability and a coaching leadership process. This will require that managers take and own the responsibility for developing their staff. Despite the democratic values often contained in performance management systems, their effectiveness in terms of improving organizational performance overtime has proven difficult if the culture and specifically values inherent in such culture are rigid and or accompanied by low levels of transparency in decision-making.

A clear Performance Management Development System will be required to ensure transparency in rewarding, recognising and or inculcating a culture of performance amongst both officials and elected members. Performance targets spelt-out in Annual Performance and Oversight Plans will form a base on which performance agreements for at least managers will be developed and signed. This approach should directly drive the implementation of the strategic plan and all its APPs and AOPs. It is important to state that the process of improving performance management will be driven with a clear understanding that performance management systems are often fraught with incidences where for example, above-average individual performances do not necessarily translate and add-up to above-average overall organizational performance. It is for this reason that the APPs and AOPs are to form a base for performance agreements especially for managers.

### **Process and Project Based Structures**

Driven by a desire to improve performance and with an understanding that performance is amongst other factors, related to the efficiencies and effectiveness of business processes, there will be a need to define, redefine and or identify business processes. This should inform the design of the organisation structure, job profiles and probably, the performance management system. Implementing process and project based structures will also call for an unapologetic endeavour to develop a cadre of leadership for both wings of the Legislature which must embody and drive the inculcation of a performance culture throughout the institution. For this to happen, a conventional notion of leadership must be reworked and be better understood within the context of contemporary leadership challenges. The institution will be encouraged to further embrace a more facilitative style of leadership which should enjoy a far more credibility and carry with it the capacity to facilitate change better. This proposed migration of leadership and probably management style should be seen as a long term process of re-training and or skilling management.

It is envisaged that by adopting a process-based approach, management processes will be clearly defined and separated from operational processes. Role clarification between management and operational job profiles will be better achieved to address possible tension and confusion created by the overlapping roles in this regard. The Legislature may have to create or develop generic job categories into which all jobs will fall. Such categories should be informed or talk to the job evaluation system employed by the Legislature, in this case JE Manager.

To implement the said proposal, there will be a need to roll-out a major project of redefining job profiles in terms of proposed job categories and aligning them to business-processes as well as ensuring that they reflect the correct job characteristics. This will further help clarify and accord accountabilities and responsibilities to job incumbents. One of the greatest dilemmas in management with regard to values relate to the need to be task-oriented and the need to be people-oriented. More often than not, these views are often polarized when discussed. Reality is that neither of these two positions is correct and complete if viewed in isolation. It is therefore necessary to ensure that these two “bipolar” views are integrated to allow complementarity between them.

## Work and Job Redesign

A detailed look into work organisation or structure requires recognition that the manner in which work is organized or structured should follow consideration of circumstances in which work is performed. There may be other relevant factors representing the variety of circumstances that may need to be considered but for the purposes of this strategic framework the following four will suffice:

- **the nature of the tasks:** – In the case of the Legislature, this is making laws, overseeing the work of the Executive and public participation;
- **the range of competencies:** - the knowledge, skills and attitudes required to be successful in the above-identified nature of the business;
- **the technology deployed:** - the factor considers the nature of the technology and potential technology possible in this kind of business and the extent to which automation can be maximally deployed; and
- **the scale of operations:** looks at the geographical spread of the operations of the institution.

It is further worth noting that work of the Legislature is more developmental in nature than it may have been assumed. This strategic framework has therefore taken consideration of some characteristics of development work and outlined it as follows:-

- work, more often than not, is project-based and best executed through project groups and/or subgroups;
- the nature of the work is more around services rather than products and therefore requires that emphasis be placed on this aspect of work;
- tasks are interdisciplinary with strong intra-group interdependencies in roles representing specialist competencies;
- the intra-group interdependencies are supported by strong cross-group inter-linkages from specialist functions;
- there is a frequent and continuing interfacing with the community or its groups and/or organizations; and
- not everything is known in advance about the development process which necessitates an on-going learning process.

Experience in the Legislative work seems to indicate that efficiency and effectiveness require and can be achieved through a deployment of inter-linked and integrated teams as a basic unit of operation. Consequently, this strategic framework endeavours to reconfigure and realign institutional structures in a manner that will facilitate the institution's effective strategy delivery. The Legislature will further seek to ensure that working arrangement and culture within the institution inculcates teamwork and collaboration. This is informed by the understanding that work teams are not necessarily synonymous with groups of people working together. This distinction is necessary as demonstrated by some of the characteristics outlined below: groups emphasize personal leadership with its feature of expert leadership and single-point decision making whereas teams' emphasis is on leadership process driven by facilitative leadership and multi-point decision-making;

- accountability for groups, more often than not, is individualistic and vertical whilst team accountability is multi-lateral and collective;
- group performance is additive-sum of individual work contributions compared to team performance that is synergistic and a product of interactivity among the various roles; and
- emphasis on group performance is on individual/personal skills and reliance on interdependence is medium to low whereas teamwork thrives on complementary skills and the degree of interdependence is highly critical.

## CONCLUSION

Systems deployed by the organization in pursuance of its set goals should always be designed such that they contribute to the overall achievement of such objectives. Equally significant is a need to ensure that the design of such systems is done in such a way that its values and underlying assumptions are aligned with the organization's overall value system. For the purposes of the strategy going forward, of all formal procedural systems that may be deployed within the institution, performance management system has been identified as one of its key pillars and is the subject of this discussion. Linked to raising issues around a sound performance management system is the question of accountability.

The issue of accountability represents one of the most confusing issues of contemporary management. Given the confusion around this concept and the fact that it is more closely linked with managing performance, it is important that the institution is able to define its organizational performance more correctly with the desire to do something about enhancing it. A sound performance management system should always stress organizational learning in order to continuously improve its performance overtime. Based on the current state of affairs it is clear that more work needs to be done, firstly to cultivate and inculcate a culture of performance management within the institution, and secondly, move a performance management system away from its non-systemic, individualist character and more towards a collectivist and team focus. In its totality, the institution's performance management system shall at least have three sub-systems, acting as its three arms integrated within it. These three dimensions are outlined herewith:

- A procedural system that views performance outputs in interactive terms, aimed at systemic corrections and improvements
- A procedural system that aids individual adaptations to the systemic demands resembling performance appraisal but going beyond the regulatory orientation in most appraisal systems to a distinctive developmental orientation.
- A procedural system that aids the reinforcement of attitudes and practices deemed helpful and the correction and control of those deemed unhelpful resembling reward systems but going beyond them.

The first of these arms seeks to highlight the importance of the systemic view and interconnections in the organizational performance. This, in simple terms, means that a performance management system has to assume as its point of departure the need to understand performance outputs in interactive terms aimed at

systemic corrections and improvements. The second of these stresses the significance of raising a sufficient level of awareness among employees the interconnectedness of their individual roles to others within the institution and what the impact is as a result of these inter-linkages. This, it is hoped would better prepare them for adaptation and better responses. Thirdly, it is necessary that the system in its application assists in the creation of better working arrangements that will progressively enhance performance going forward. Consequently, this strategic framework shall endeavour to ensure that an organizational paradigm shift in respect of performance management is vigorously pursued. For the purposes of developing a better grasp of the difference between an individually-focused and team-based performance management system, the following assumptions are outlined for consideration.

Before going into the noted assumptions, care should be taken not to fall into a conceptual trap of oversimplifying the interconnectedness and interplay of the issues inherent in these assumptions. The purpose of presenting them as done here is to assist in conceptual clarity and simplicity. However, in the actual day-to-day interfacing of these complex variables it has to be accepted that there is a lot of ambiguity and complexity which ought to be taken on board in trying to understand the issues concerned.

- Current convention in many performance management systems that are individualistic in nature dictates that organization performance is viewed and understood as the sum of unit performances, hence the effort to maximize performance down the line to the individual unit or person. In contrast, team-based performance management systems, advocated in this discussion paper, work on the premise that organizational performance is the outcome of interactivity among units hence efforts should be made to optimize performance up the line from individual units or persons.
- Individualistic performance management systems view performance management with a mechanistic/additive logic and organizational units more often than not as closed systems whereas collective driven systems view performance management with an organic/ synergistic logic. Different units are correctly viewed and understood as closed systems.
- Individualistic performance management systems assume that employees in working group structures should have separated reporting relationships with formal leaders. On the other hand, team-based performance management systems have as their point of departure the premise that team structures are interactive and reporting relationships takes place across all including the formal leader.
- Traditional thinking which is characteristic of most current performance management systems places much emphasis on expert leadership with its focus on work content. On the contrary, the kind of performance management system advocated in this paper focuses on creating and inculcating facilitative leadership with its significant attention to and recognition of work processes.
- The emphasis of the current performance system is on individual performance and/or contribution and focuses on the primacy of a job description with its known rigidity in viewing individual roles. Performance management based on collective effort and contribution on the other hand emphasizes team performance with its primacy on team-level key tasks and flexibility in viewing individual roles.
- Individualistically-inclined performance management systems place heavy reliance on individual attributes and stress the importance of task related competencies whereas team-based systems are known for their

sensitivity to interactive and systemic realities, hence the recognition of the significance of process related competencies.

- It is also worth mentioning that the HRM orientation of individually-focused performance management systems stresses individual performance translated into procedural systems in recruitment, induction, appraisal, training etc whilst team-based performance management systems stresses OD orientation with its emphasis on systemic performance translated into organizational work review, interface building and systemic goal setting practices
- In individually-orientated performance management systems, performance management is equated with performance appraisal whereas team-focused performance management focuses on multi-dimensionality and comprehensiveness with individual employee reviews and development as one sub-system of an overall system.
- Conventional wisdom upon which such individualistic performance management systems are based stresses assumptions of pyramidal career growth paths whilst the essence of team-based systems places emphasis on multiple career paths de-linked from management connotations and management assessment centers become central in this regard.
- The reward system supporting these individually-focused performance management systems reinforces individualistic orientation and values effectively negating necessary interfaces. On the other hand, team-based systems encourage interactivity and teamwork with multi-tier reward system providing recognition to both team and individual efforts.

As indicated earlier, the issues raised in this Annexure suggest a radical overhaul of the human resource management including structural designs and management styles. It is for this reason that the implementation approach is to be steady but sure. There will be awareness programmes aimed at taking stake-holders on board to ensure adequate buy-in into the rate and pace of implementing the radical proposals here contained.













