

PGWC Policy Development Guidelines

**Department of the Premier
Chief Directorate: Policy Development**

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1. Glossary and acronyms

1.1 Glossary

“**action**” – Activity to achieve identified goals/aims.

“**framework**” – An essential supporting or underlying structure.

“**guidelines**” – General policy principles, rules or advice to achieve an action.

“**implementation**” – Putting a plan into effect.

“**lead department**” – Department responsible for taking the initiative for a particular programme; department acting as custodian of the programme.

“**plan**” – Detailed proposal for doing or achieving something. Quarterly, annual, or multiyear schedules of expected outputs, tasks, timeframes and responsibilities.

“**policy**” – Formal guidelines for how government decisions should be made or how programmes should be implemented.

“**strategy**” – Plan to achieve provincial as well as departmental goals and objectives.

1.2 Acronyms

AU	African Union
GDS	Growth and Development Strategy
MDG	Millennium Development Goal
NEPAD	New Partnerships for Africa's Development
NSDP	National Spatial Development Perspective
PDC	Provincial Development Council
PGWC	Provincial Government of the Western Cape
SCC	Sector Coordinating Committee
SLA	Service Level Agreement
TOR	Terms of Reference

2. PGWC Policy Dimensions

2.1 Introduction

- 2.1.1. The aim is to establish a consistent, coherent, integrated and shared policy framework for the Provincial Government of the Western Cape (PGWC) to develop, implement, monitor and evaluate policies.
- 2.1.2. Underlying this framework is a common policy approach found in all aspects of iKapa Elihlumayo, the Growth and Development Strategy (GDS), which maps the province's development in its varied forms.
- 2.1.3. The policy framework is about creating, facilitating, supporting and promoting an environment to realise the iKapa-GDS's intended outcomes. The framework emphasises the need for a shared policy approach to bind different yet common PGWC policy imperatives.
- 2.1.4. The framework serves as a practical device to inform, shape and guide a shared policy approach. Shared growth and integrated sustainable development priorities will be emphasis.
- 2.1.5. In other words, the framework clarifies the links between policy imperatives and outcomes. In this way the framework recognises mutually reinforcing policy variables, while harnessing shared growth and integrated sustainable development opportunities.

2.2 Objectives

- 2.2.1. The purpose of this framework is to guide, inform and encourage the development, implementation, monitoring and evaluation of a common and integrated policy approach that is driven by the needs and priorities of the PGWC. The framework is results orientated.
- 2.2.2. The PGWC framework should therefore be viewed as an instrument for understanding, conceptualising, developing, implementing, monitoring and evaluating PGWC policies in their varied yet common outlook. The specific objectives are the following:
 - To encourage, promote and facilitate an environment conducive for common and integrated policy development, implementation, monitoring and evaluation within the PGWC.
 - To inform, guide and support PGWC shared growth and integrated, sustainable development imperatives through a common policy approach.
 - To advance, shape and support a focused and coherent PGWC public policy agenda through a common policy approach.

- To encourage and promote dialogue and wide-range participation in the PGWC policy development processes.
- To develop processes and mechanisms for monitoring and evaluating the impact of PGWC policies.

2.2.3. Apart from PGWC policies, the framework draws from the broader South African shared growth development agenda. It outlines a shared approach based on various social, economic and political policy aspects.

2.2.4. Policy subject matter is varied and complex, therefore this framework is not prescriptive. It is rather a practical guide aimed at transcending policy overlaps and their likely unfavourable implications.

2.3 Principles

2.3.1. All policies and strategies developed by the PGWC must strive to achieve the principles outlined below. Many of the outcomes are highly desirable but may be difficult to achieve. However, there must be an indication that the principles have indeed guided the development of the policy or strategy.

2.3.2. Policies and strategies must follow a rights-based approach.

2.3.2.1. All policies and strategies must seek to respect, protect, promote and fulfil the rights mentioned in the Bill of Rights.

2.3.2.2. Fundamental human rights are entrenched in Chapter 2, sections 7 to 39, of the 1996 Constitution. The Bill of Rights is arguably the part of the Constitution that has had the greatest impact on life in this country. As the first words of this chapter say: ‘This Bill of Rights is a cornerstone of democracy in South Africa. It enshrines the rights of all people in our country and affirms the democratic values of human dignity, equality and freedom. The state must respect, protect, promote and fulfil in the Bill of Rights.’

Section 8 states that the Bill of Rights binds the executive, the judiciary and all organs of state – which means everyone from the president to the police. The rights in the Bill of Rights are subject to the limitations contained or referred to in section 36, or elsewhere in the constitution.

Human rights fall into two broad classes – traditionally known as **first** and **second generation**.

First-generation rights

Civil and political rights, customarily included in constitutions around the world, tend to be considered first-generation rights. These rights include the basic rights to life, dignity, equality and privacy and also the fundamental freedoms associated with democracy: freedom of expression, association, assembly, opinion, belief and religion, and movement.

Second-generation rights

Second-generation rights are those connected to the social and economic features of life. South Africa is one of only a few countries in the world to entrench rights such as access to food, water, housing, health care and social security (see section 27). The right to education and the special rights of children also fit in here.

Third-generation rights

This is a relatively new field in human rights and concern the environment and development, as well as culture and language.

2.3.2.3. The Constitutional Court stated that it is incumbent on the State to institute a reasonable programme in order to progressively realise the socio-economic rights named in sections 26 and 27 of the Constitution. The Court laid out a number of criteria against which to measure the ‘reasonableness’ of a government programme. Firstly, government policies and programmes must be reasonable both in their conception and their implementation. This is determined by the following factors:

- The programme must be coordinated and comprehensive.
- The programme may not exclude those in desperate need and living in intolerable conditions.
- The degree and extent of the denial of the right to be realised must be taken into consideration.
- Those whose needs are the most urgent must not be ignored by the measures aimed at achieving realisation of the right.
- If the measures, though statistically successful, fail to respond to the needs of those most desperate, they may not pass the test.
- A reasonable programme must be one that is balanced and flexible.
- It must pay attention to short-, medium- and long-term needs.
- It must not exclude a significant sector of society.

It is up to Government to decide on the precise content of the measures to be adopted, and we must ensure that these measures are reasonable.

2.3.3. **Emphasis on equality**

The mainstreaming of human rights into the culture and practice of government should be a central element. This will enable the full and equal enjoyment of rights by all, especially the most vulnerable. We need to go beyond descriptive reporting on particular rights to addressing the application of these rights to particularly vulnerable groups.

Human rights will mean nothing without practical visible change. Human rights should therefore be central to delivery and delivery policy. Rights should be enforced as the practical standard for delivery performance.

Identifying and removing obstacles and barriers for full enjoyment of policy intent are essential and must be maintained across the whole policy development process. This is to ensure that people who are excluded and marginalised benefit from mainstream provisions. The policy should also stand the test of time as we move to more inclusive, holistic or unified provisions.

Mainstreaming as a strategy or in the context of any policy development process must be geared to equal opportunities and outcomes. The whole of government is responsible in line with our national and international human rights obligations.

Mainstreaming refers to the (re)organisation, improvement, development and evaluation of strategies, policies, programmes and budgets so that:

- Role-players incorporate equality and non-discrimination at all levels and at all stages (to ensure constitutional compliance);
- Inclusion and equal opportunities and benefits or outcomes are achieved for those whom it is aimed at within a single planning framework (to ensure impact at grassroots level).

Thus, mainstreaming in practice means that equality and non-discrimination must be dealt with within the existing and complete delivery framework of the PGWC (to ensure compliance. It is especially important to identify barriers and challenges to develop dedicated programmes that impact at grassroots level. Planning and development for all within the context of a Home for All should be the key criterion for improved quality of life.

2.3.4. **Sustainable development**

Sustainability must be part of policy, planning and decision-making. For the PGWC, sustainable development will be achieved through implementing integrated governance systems that:

- Promote economic growth by contributing to greater social equity; and
- Maintain the ongoing capacity of the natural environment to provide the ecological goods and services needed for socio-economic development.

2.4 **Policy context**

The policy framework is embedded within a complex relationship of national, provincial and local policies and policy-making processes. They are:

- The South African Constitution
- The Millennium Development Goals
- New Partnership for Africa's Development (NEPAD)
- Vision of Government 2014
- Accelerated and Shared Growth Initiative for SA (ASGISA)
- The National Spatial Development Perspective (NSDP)
- The developmental state
- iKapa Growth and Development Strategy

2.4.1. **The South African Constitution**

2.4.1.1. Fundamental human rights are entrenched in Chapter 2 of the 1996 Constitution. The Bill of Rights is the part of the Constitution that has had the greatest impact on everyday life since 1994.

2.4.2. **The Millennium Development Goals**

2.4.2.1. PGWC policies and strategies must seek to achieve the goals set out in the United Nations Millennium Declaration. South Africa has committed itself to progress that is based on sustainable economic growth, which must focus on the poor, with human rights at the centre. The objective of the Declaration is to promote 'a comprehensive approach and a coordinated strategy, tackling many problems simultaneously across a broad front'. The set targets are expected to be met in 2015.

2.4.2.2. The eight Millennium Development Goals (MDGs) form a blueprint agreed to by all countries and leading development institutions world-wide. They have led to unprecedented efforts to meet the needs of the world's poorest. Our policies and programmes must all be designed to achieve these goals. The goals are:

Goal 1: Eradicate extreme poverty and hunger

- Reduce by half the proportion of people living on less than a dollar a day.
- Reduce by half the proportion of people who suffer from hunger.

Goal 2: Achieve universal primary education

- Ensure that all boys and girls complete primary schooling.

Goal 3: Promote gender equality and empower women

- Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015.

Goal 4: Reduce child mortality

- Reduce by two thirds the mortality rate among children under five.

Goal 5: Improve maternal health

- Reduce by three quarters the maternal mortality ratio.

Goal 6: Combat HIV/Aids, malaria and other diseases

- Halt and begin to reverse the spread of HIV/Aids.
- Halt and begin to reverse the incidence of malaria and other major diseases.

Goal 7: Ensure environmental sustainability

- Integrate the principles of sustainable development into country policies and programmes, and reverse loss of environmental resources.
- Reduce by half the proportion of people without sustainable access to safe drinking water.
- Achieve significant improvement in the lives of at least 100 million slum dwellers by 2020.

Goal 8: Develop a global partnership for development

- Develop further an open trading and financial system that is rule-based, predictable and non-discriminatory, and committed to good governance, development and poverty reduction — nationally and internationally.
- Address the least developed countries' special needs, such as tariff- and quota-free access for their exports; enhanced debt relief for heavily indebted poor countries; cancellation of official bilateral debt, and more generous official development assistance for countries committed to poverty reduction.
- Address the special needs of landlocked and small island developing states.
- Deal comprehensively with developing countries' debt problems through national and international measures to make debt sustainable in the long term.
- Develop decent and productive work for youth, in cooperation with the developing countries.
- Provide access to affordable essential drugs in developing countries, in cooperation with pharmaceutical companies.
- Make available the benefits of new technologies, especially information and communications technologies, in cooperation with the private sector.

2.4.3. **New Partnership for Africa's Development (NEPAD)**

2.4.3.1. NEPAD provides the Strategic Policy Framework and Socio-economic Development Programme of the African Union (AU). NEPAD is now a programme of the African Union, though it has its own secretariat based in South Africa to coordinate and implement its programmes.

2.4.4. **Vision of Government 2014**

2.4.4.1. Vision 2014 was adopted by the South Africa Government and is one of the most important guiding documents for policy development in South Africa. Vision 2014 is South Africa's direct response to the development challenges set out in the Millennium Development Declaration.

2.4.4.2. Some of the most important targets and objectives making up Vision 2014 are as follows:

- Reduce unemployment by half through new jobs, skills development, assistance to small businesses, opportunities for self-employment and sustainable community livelihoods.
- Reduce poverty by half through economic development, comprehensive social security, land reform and improved household and community assets.
- Provide the skills required by the economy, build capacity and provide resources across society to encourage self-employment with an education system that is geared to productive work, good citizenship and a caring society.
- Ensure that all South Africans, especially the poor and those at risk (children, the youth, women, the aged, and people with disabilities), are able to exercise their constitutional rights and enjoy the dignity of freedom.
- Ensure compassionate government service to the people with accessible national, provincial and local public representatives, and citizens who know their rights and insist on fair treatment and efficient service.
- Drastically reduce cases of TB, diabetes, malnutrition and maternal deaths, turn the tide against HIV and Aids, strive to eliminate malaria, improve services to achieve a better national health profile, and reduce preventable causes of death, such as violent crime and road accidents.
- Significantly reduce the number of serious crimes as well as cases awaiting trial, with a society that actively challenges crime and corruption, and with programmes that also address the social roots of criminality.
- Position South Africa strategically as an effective force in global relations, with vibrant and balanced trade and other relations with countries, and in an Africa that is growing, prospering and benefiting all Africans, especially the poor.

2.4.5. **Accelerated and Shared Growth Initiative for South Africa (ASGISA)**

2.4.5.1. ASGISA, published in 2005, is a statement of policy intent that commits South Africa to the target of a 6% growth rate as the primary means for reducing poverty. It is a conscious shift from the market-led approach that was adopted after 1996. The core argument is that public-sector investments in infrastructure will stimulate private (foreign and local) investment in fixed assets which is regarded as the key growth promoter. To this end, the ASGISA framework listed the following 'binding constraints' and associated 'interventions':

- Currency volatility: macroeconomic policies and strategies to stabilise the currency, target inflation, improve fiscal expenditures, and increase the investment component of the budget.

- Cost, efficiency and capacity of the logistics and transport system: infrastructure investment programme.
- Shortage of skilled labour: skills development strategies.
- Barriers to entry and limits to competition: ‘second economy’ and anti-poverty interventions.
- Regulatory environment: governance and institutional capacity.
- State capacity: governance and service delivery improvements.

2.4.6. **National Spatial Development Perspective (NSDP)**

2.4.6.1. The NSDP is an important guiding strategy regarding spatial planning for development. In essence, it advocates a focus on areas with development potential and urges local authorities in localities of low development potential to demonstrate their comparative advantages in order to receive support from other spheres of government.

2.4.6.2. Development potential is based on the following criteria:

- Natural resource potential: agricultural potential, environmental sensitivity and the availability of water.
- Human resource potential: levels of skills and population density.
- Infrastructure resource potential: existing and proposed road and rail infrastructure and the main electricity grid.
- Human need: the spread of poverty and the size of the poverty gap.
- Existing economic activity: Gross Geographical Product (GGP).

2.4.6.3. The NSDP proposes normative principles to be used as a guide by all spheres of government in order to achieve the objectives of national government, namely economic growth, employment creation, sustainable service delivery, poverty alleviation and the eradication of historic inequities. The national spatial development vision is:

“South Africa will become a nation in which the investment in infrastructure and development programmes supports the government’s growth and development objectives:

- By focusing economic growth and employment creation in areas where this is most effective and sustainable;
- By supporting restructuring where feasible to ensure greater competitiveness;
- By fostering development on the basis of local potential;
- By ensuring that development institutions are able to provide basic needs throughout the country.”

2.4.7. **The developmental state**

2.4.7.1. The iKapa GDS and the iKapa strategies address a growing economy in need of public- and private-sector investments and interventions to strengthen key sectors. The challenges are:

- A social fabric that suffers from the effects of poverty, racism and loss of human dignity.
 - A vulnerable ecological context that creates a need for adaptation but also creates new economic opportunities for innovation.
 - A rich institutional mix that needs to be strengthened and harnessed for growth and development.
 - A dysfunctional spatial structure that exacerbates inequalities and inefficiencies and fails to prioritise the Cape Town Functional Region (CTFR) which is where growth potential and poverty is concentrated.
- 2.4.7.2. The iKapa GDS is based on the assumption that globalisation places regions such as the Western Cape in a strategic position owing to the competitiveness and attractiveness of the major metropolitan core. Knowledge-intensive industries and authentic anti-poverty strategies are rooted in empowerment and capability enhancement. Well-connected networks of local practitioners, facilitators and organisers who cooperate across institutional barriers are essential. More than ever, capital investment is needed for high-quality institutions that cater for innovation.
- 2.4.7.3. The problem is that the private sector has little incentive to invest in good settlement management or human skills, social learning, networks, infrastructures and technologies to drive this kind of redistributive development. Public-sector interventions (including the tertiary education sector) are required to ensure that powerful private interests do not take over. The ‘developmental state’ intervenes to ensure openness and opportunity for the widest possible range of people.
- 2.4.7.4. It is imperative to build developmental state structures, delivery mechanisms and accountability systems. The iKapa GDS is designed to facilitate sustainable economic growth, prevent growing inequality and promote environmental sustainability while recognising the importance of Provincial Government development tools and institutions available to deliver on this point.
- 2.4.8. **iKapa Growth and Development Strategy**
- 2.4.8.1. iKapa Elihlumayo is isiXhosa for ‘growing and sharing the Cape’. The Western Cape’s Growth and Development Strategy (iKapa GDS) deepens the province’s commitment to achieve the vision of the Western Cape as ‘A Home for All’. The iKapa GDS aims to build this home by shifting the development path of the Western Cape towards a future of shared growth and integrated, sustainable development. Government is leading this process, but its success depends on strong partnerships with labour, civil society and business to achieve the vision of ‘A Home for All’ in the Western Cape.
- 2.4.8.2. The iKapa GDS provides the PGWC with a clear strategic framework for accelerated and shared economic growth through a thorough developmental intervention in the Western Cape in favour of all its residents, particularly the poor, while restoring the ecosystems and resources essential to sustain shared

economic growth within a coherent spatial development framework.

- 2.4.8.3. To realise the vision, the iKapa GDS commits the Provincial Government and the province to five long-term goals and nine objectives that will guide policy-making and resource allocation:

Goal 1: Grow and share the economy

- **Broaden economic participation and reduce poverty by:**
 - reinforcing the globally linked knowledge economy;
 - promoting existing strengths (film industry, boat building, micro-economic development sectors, etc.);
 - promoting new 'green economy' value-chains;
 - building the capabilities within households and amongst individuals for maximising the new development opportunities (e.g. locating near centres of employment).
- **Stimulate efficient and effective infrastructure** to sustain economic growth and development, including:
 - 'connectivity' infrastructure (mobility, ICT);
 - 'operational' infrastructure (energy, water, sanitation, waste, roads).

Goal 2: Build a more equal and caring society where poverty has been eradicated

- **Promote liveable and caring communities** that foster and nurture the well-being of all residents
- **Improve resilience and tolerance within and between communities** that are increasingly interconnected through social solidarity links and safe open spaces for cultural interaction, economic opportunity, public dialogue and debate.
- **Enhance human capacity** through improvements in the health, education, welfare and safety of individuals and communities.

Goal 3: Promote ecologically sustainable development

- **Ensure sustainable resource use** to respond to climate change, ecosystem degradation and threats to key strategic natural resources.

Goal 4: Foster greater spatial integration

- **Ensure greater spatial integration** to overcome the apartheid legacy and promote liveable communities by:
 - creating safe vibrant public places;
 - creating places of economic opportunity;
 - conserving our natural environment;
 - enhancing the connectivity of the province's development nodes and corridors.
- **Develop an effective public and non-motorised transport system** accessible to all residents of the province, especially the poor and those disconnected from opportunities, and that can link the different nodes in the province and in urban settlements together.

Goal 5: Ensure effective governance and institutional strengthening

- **Build effective governance institutions** that can involve the entire province in achieving the shared goals of the iKapa GDS.

2.4.8.4. The iKapa GDS lead interventions are selected from all the iKapa strategies for the sake of planning, budgeting and institutional capacity. The result is a set of

‘path-breaking’, ‘path-shaping’ and ‘path-consolidating’ lead interventions to knit government together and ensure that the correct priorities are supported by budgets and the allocation of human and institutional resources. These lead interventions consist of clusters of projects that are significant public-sector budget commitments for development.

2.4.8.5. **Path-breakers:** These interventions unblock the constraints to shared growth and integrated, sustainable development in today’s Western Cape economy, namely:

- Investment in infrastructure (transport, human settlements, energy, water, sanitation, waste).
- Investment in knowledge development (scarce skills, education, social learning).

The tertiary education sector, NGOs, public-private partnerships and consulting firms all have to build collective economic opportunities.

2.4.8.6. For long-term development the following immediate path-breaking interventions are necessary:

1. Integrated transport: intergovernmental strategy and implementation through a multi-year expenditure programme with clearly dedicated resources.
2. Integrated human settlements: priority projects that integrate communities and bring the poor into the heartlands of the province’s towns and cities; link housing to transport and access to facilities and economic opportunity to improve community life.
3. Skills development: focusing on scarce skills, public employment programmes, information flows that connect labour opportunities with job seekers, the Expanded Public Works Programme, further education and training, learnerships and consolidation of partnerships with tertiary institutions to ensure long-term innovative social and economic development, and improving general education and training, adult basic education and training, and early childhood development.

2.4.8.7. **Path-shapers:** The PGWC has direct control of the following multi-year interventions that will shape development of the Western Cape over the medium to long term:

4. World Cup 2010: strategy and projects focusing on delivering a world-class event while ensuring a positive developmental legacy, resulting in increased investment, job creation, socio-economic development, improved infrastructure and social cohesion.
5. Climate change: response strategy regarding renewable energy, energy efficiency, water-wise actions, and waste reduction and recycling.

6. Social transformation: short-term strategy aimed at several geographical priority areas in the province with high rates of crime, poverty, unemployment and substance abuse, and weak local government requiring Project Consolidate intervention.

2.4.8.8. **Path-consolidators**: Working in partnership with private and community stakeholders, the following longer-term interventions are necessary for momentum and impact:

7. Property development: approaches that reflect the spatial, economic, social and ecological goals of the iKapa GDS and empower previously disadvantaged communities.
8. Expanded public works: creating better skills and more jobs for people through projects and initiatives, especially in areas of greatest need, while improving infrastructure, biodiversity and building healthy communities.
9. Governance: ensuring an accountable, responsive and united government that serves the interests of everyone in the province, and implementing the Intergovernmental Relations Framework Act by building regional planning and coordination capacity under the various coordinating forums.
10. Poverty reduction and second economy: interventions to ensure sharing of the benefits of growth and creating more employment.
11. Sectoral development: strategies such as business processing and outsourcing, call centres, tourism, oil and gas, and information and communication technology; plus other sectors with potential such as the creative industries, renewable energy, waste recycling and sustainable agriculture.

2.4.8.9. **Path-supporters**: These interventions refer mainly to the management and review of the iKapa strategies that support and reinforce the development agenda established and forged by the path-breaking, path-shaping and path-consolidating interventions. In line with the 2014 Vision, each iKapa strategy has its own set of long-term goals and objectives and will guide the allocation of financial and institutional resources over the medium to long term. However, the strategies will also need to be reviewed in view of practice and emergent outcomes, and new ones might be required. The monitoring and evaluation system for the iKapa GDS will include monitoring the implementation of the iKapa strategies by each respective Provincial Government department.

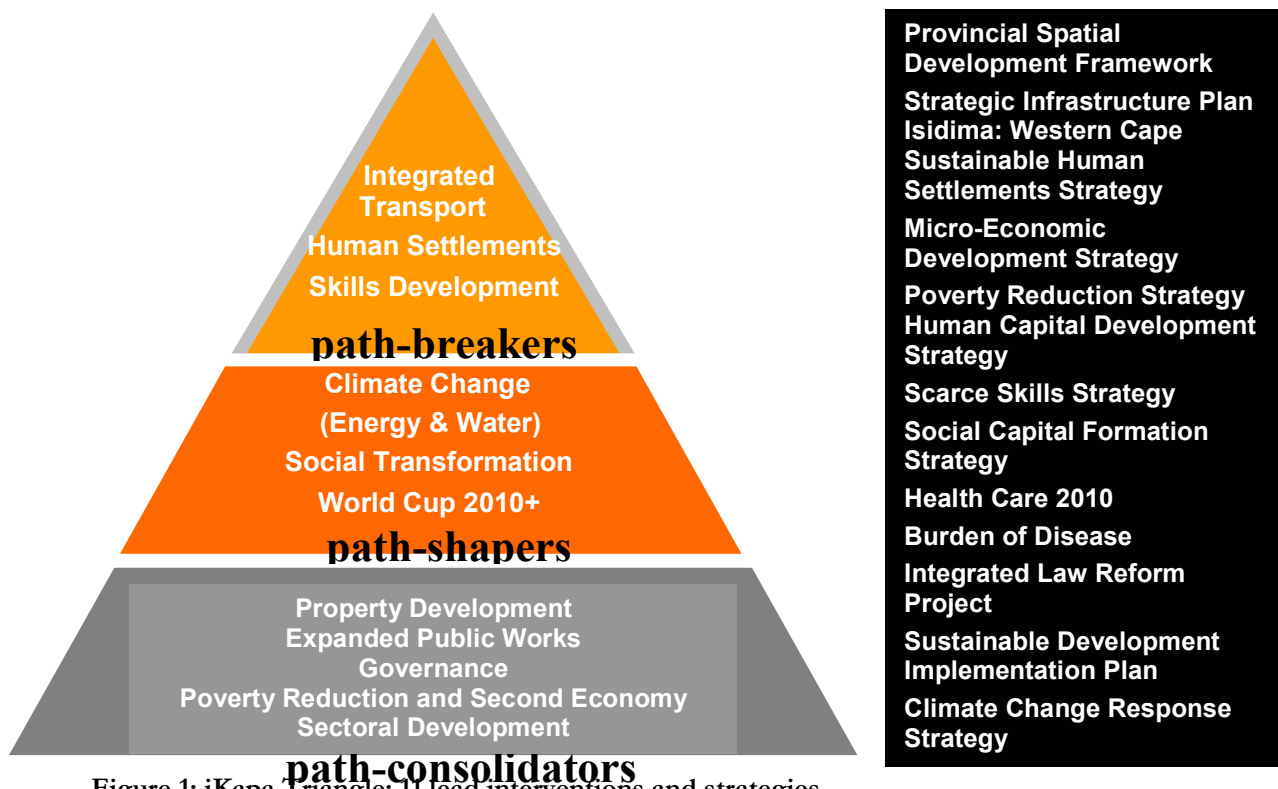


Figure 1: iKapa Triangle: 11 lead interventions and strategies

3. PGWC Policy Framework Perspective

3.1 Policy Focus

- 3.1.1. The South African policy environment has markedly evolved. Initially, emphasis was on developing policies based on democratic principles. Later, measures were instituted to bridge the gap between policy desires and outcomes as the objects of democracy.
- 3.1.2. Impressive strides have been made regarding policy development and coordination, but policy implementation and the expected outcomes remain a challenge.
- 3.1.3. A number of deficiencies result in challenges. These include limited resources to implement policy decisions, and the absence of policy monitoring and evaluation.

3.2 Policy definition

- 3.2.1. A policy is a comprehensive and systematic plan, strategy or programme encompassing a set of principles and values to guide, inform and shape actions, decisions and resource allocation based on prevailing circumstances.
- 3.2.2. Policies are developed to fuse multiple issues and processes on a certain subject matter. Policy therefore is about informing practice, and entails weighing and

“The State has made significant progress in recent years in improving policy co-ordination both within and across spheres of government, but these efforts need to be further consolidated with greater attention being focused on implementation. Now that the basic policy frameworks of the democratic dispensation have been created, more attention can be given in all spheres to overseeing or managing the delivery process.”

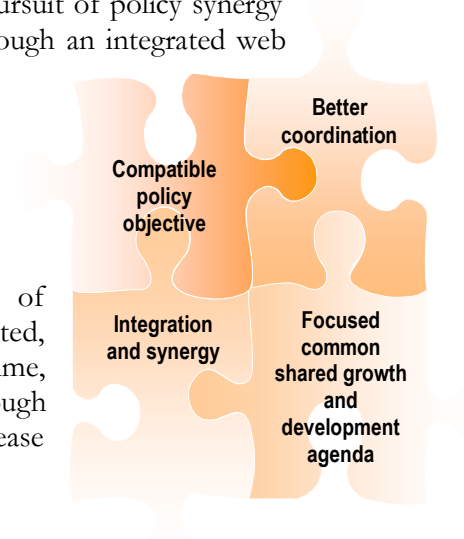
Policy Coordination and Advisory Services. October 2003. *Towards a Ten Year Review*. The Presidency.

understanding the costs and benefits of particular considerations and actions.

- 3.2.3. A policy represents the most appropriate course of action. It is a detailed response to specific challenges or needs as experienced by Government or society. It describes the responsibilities of various role-players, sets a plan of action and identifies objectives.
- 3.2.4. A policy approach refers to reinforcing actions emanating from policy imperatives. For the PGWC, this would refer to how the iKapa GDS is logically expressed in policy development, implementation, monitoring and evaluation.

3.3 Policy coherence

- 3.3.1. The PGWC policy approach is intended to strike a balance between meaning, operationalisation and value in attaining common goals based on the province's development experiences, challenges, needs and priorities. At the core of this policy approach is policy coherence which implies the pursuit of policy synergy across a wide spectrum of government departments through an integrated web of policy actions.
- 3.3.2. Policy intervention in one area is highly likely to influence another policy area. For instance, a human settlement policy is bound to have an effect on environmental, transport, education and safety policies.
- 3.3.3. There is an increasing appreciation of the benefits of mutually dependent shared growth and integrated, sustainable development opportunities. At the same time, there is the need for improved service delivery through efficiency. Resources should be utilised to increase development prospects.



- 3.3.4. PGWC development interventions cannot be viewed in isolation. Instead, policy coherence should be encouraged by creating a value chain of linkages and mechanisms across different policy areas.
- 3.3.5. On 21 November 2007, Cabinet adopted the iKapa GDS as a White Paper and resolved the following:
- The iKapa GDS must be embedded and rolled out through:
 - Social partner engagement through the Provincial Development Council (PDC);
 - The provincial Imbizo month;
 - Engagements with state-owned enterprises and appropriate national departments led by the Department of the Premier.
 - The iKapa GDS must be the basis for budgeting and departmental budget prioritisation for the Medium-Term Expenditure Framework periods 2008/2009 and 2009/2010.
 - The iKapa GDS must be the basis for engaging with municipalities and guiding the development of credible integrated development plans as well as growth and development strategies (for districts and the metro).
 - All departments must take note of the contents and implications of the iKapa GDS to inform their strategic plans, annual performance plans, budgets and relevant iKapa base strategies and implementation plans.
 - The work of the iKapa GDS must be integrated into the established workstreams of the clusters under oversight of the Sector Coordinating Committee (SCC).
 - Each policy must incorporate a uniform set of standard indicators and data, and policies must be aligned with other policies that have preceded them, in particular the iKapa GDS.

4. PGWC Policy Development Framework

4.1 Policy development approach

4.1.1. Policy development: assessment stage

4.1.1.1. To develop policy, issues must be explored that may require a policy response. Obviously, issues would vary in scale and underlying reasons. Not every issue in the province, no matter how serious it may appear to be on the surface, will necessitate a policy response on the part of the PGWC.

4.1.1.2. As the first step in developing any policy within the PGWC, an unambiguous and systematic needs assessment or situation analysis should be undertaken. This is done in order to determine the nature and extent to which issues or concerns require a policy response.

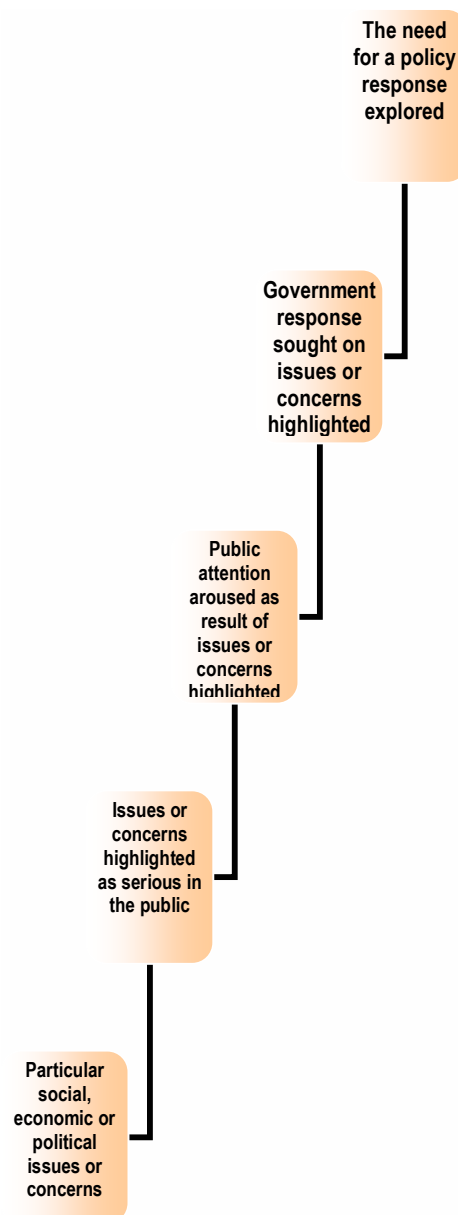
4.1.1.3. The needs assessment will form the basis of a policy discussion paper which is the initial step in policy formulation. Therefore, it is important to give much thought to its contents. Aspects for policy consideration should be explicitly defined and thoroughly explored.

4.1.1.4. Part of this process is asking some of the following guiding questions regarding the policy discussion paper:

- What is the subject?
- What are the objectives?
- What is the scope?
- Who are the beneficiaries?
- Which issues are to be considered?

4.1.1.5. The policy position paper should also examine and strike a balance between some of the following aspects central to the policy development process:

- Determine who should be consulted in developing the new policy and the way in which the consultation process will unfold (including affected communities and representatives)
- Determine the objectives in consultation with relevant stakeholders
- Determine how the underlying principles and values are intertwined with the iKapa GDS and iKapa base strategies
- Determine the resources and institutional arrangements needed to implement the identified objectives



- Determine the monitoring and evaluation mechanisms to be put in place to measure the impact of the intended objectives.

4.1.2. **Policy development: preparations stage**

4.1.2.1. Once a persuasive need for a new policy has been identified in the policy discussion paper, a policy formulation process should start. A PGWC department with an overarching jurisdiction over the policy under consideration should take the lead in the entire policy development process.

4.1.2.2. If the policy to be developed falls under the jurisdiction of one particular department only, a project manager within the lead department should be appointed to oversee policy development. The project manager must establish an intra-departmental task team to aid in this process. Task team members should be carefully selected based on their expertise and ability to provide sound policy advice. The roles of the task team should be the following:

- Formulating a project plan for the development of the new policy which will deal with the following:
 - Terms of reference
 - Roles and responsibilities
 - Inputs and expected outcomes
 - Deliverables and timeframes
 - Human and financial resource requirements
 - Stakeholders and consultation process
 - Coordination and implementation mechanisms
 - Structure and reporting lines
 - Monitoring and evaluation instruments
- Appointing a service provider if there is limited internal PGWC capacity to develop the policy. Such an appointment should strictly adhere to PGWC preferential procurement guidelines and stipulations.
- Developing a comprehensive Service Level Agreement (SLA) or Terms of Reference (TOR) to guide the work of those responsible for developing the new policy. Before the actual policy formulation process can begin, the Legal Services Unit should scrutinise and endorse the SLA.
- Regularly monitoring and reporting on the policy development process in close collaboration with relevant stakeholders which may entail:
 - Arranging meetings and other consultative forums
 - Ensuring that service providers adhere to the stipulations of the SLA or TOR
 - Providing comments and feedback on the policy development process.
- Establishing a reference team consisting of external and internal stakeholders to track, monitor and give input into the process.

4.1.2.3. If the policy to be developed relates to various departments, the lead department or Department of the Premier must appoint a project manager to oversee policy development. The project manager must establish an intra-departmental task team to aid in this process. Task team members should be carefully selected based on their expertise and ability to provide sound policy advice. The roles of the task team should be the following:

- Formulating a project plan for the development of the new policy which will deal with the following:
 - Terms of reference
 - Roles and responsibilities
 - Inputs and expected outcomes
 - Deliverables and timeframes
 - Human and financial resource requirements
 - Stakeholders and consultation process
 - Coordination and implementation mechanisms
 - Structure and reporting lines
 - Monitoring and evaluation instruments
- Appointing a service provider if there is limited internal PGWC capacity to develop the policy. Such an appointment should strictly adhere to PGWC preferential procurement guidelines and stipulations.
- Developing a comprehensive Service Level Agreement (SLA) or Terms of Reference (TOR) to guide the work of those responsible for developing the new policy. Before the actual policy formulation process can begin, the Legal Services Unit should scrutinise and endorse the SLA.
- Regularly monitoring and reporting on the policy development process in close collaboration with relevant stakeholders which may entail:
 - Arranging meetings and other consultative forums;
 - Ensuring that service providers adhere to the stipulations of the SLA or TOR;
 - Providing comments and feedback on the policy development process.
- Establishing a reference team consisting of external and internal stakeholders to track, monitor and give input into the process. Expertise should be drawn from non-governmental organisations, research or academic institutions or other experts. The role of external members may be advisory.

4.1.2.4. As the custodian of transversal policy initiatives within the province, a representative from the Department of the Premier's Governance and Integration Branch, particularly the Policy Development unit, should be part of the task team. The Department of the Premier will play the following roles in the process:

- Ensuring an integrated and aligned inter-departmental and external policy development process.
- Ensuring policy coherence through coordination and a net of iKapa base strategies.
- Ensuring integrated provincial policy service delivery systems and mechanisms.
- Enhancing Provincial Government performance through policy compatibility.

4.1.3. Policy development: formulation stage

4.1.3.1. The task team will have to determine their capacity in the actual formulation of the policy. Preliminary preparations will be followed by:

- Policy drafting.
- Stakeholder's consultation.
- Draft policy dissemination.
- Final policy endorsement.

4.1.3.2. If there is sufficient internal capacity, part of the role identification in the project plan by members of the inter-departmental team should be policy formulation. This should be the first consideration when developing new policies within the PGWC.

4.1.3.3. Where there is limited capacity, service providers can be sought to complement existing PGWC internal capacity. Where there is no capacity at all, the services of consultants can be procured to formulate the new policy.

4.1.3.4. Service providers in this regard will include academics, researchers, research organisations, and institutions of higher learning or individual experts. If service providers are utilised, the policy drafting process should be guided by a comprehensive SLA or TOR.

4.1.3.5. Those responsible for formulating the new policy should start to gather relevant information based on identified overall policy objectives. The information gathering process will entail some of the following:

- Research: conducting various forms of scientific research to determine facts about a particular subject and the best course of action.

The Premier exercises the executive authority, together with the members of the Executive Council by:

- Implementing provincial legislation in the province.
- Developing and implementing provincial policy.
- Coordinating the functions of the Provincial Administration and its departments.
- Preparing and initiating provincial legislation.

The Constitution of the Republic of South Africa, Act 108 of 1996

- Documents: reviewing documents such as reports, legislations, speeches, departmental strategic plans and policy priorities.
- Interviews: conducting personal or telephonic interviews to generate rich insight about the beliefs and opinions of those affected and experts.
- Discussions: seminars, conferences, roundtable discussions, makgotla and imbizos with communities, social partners and experts.

4.1.3.6. Discussions with various stakeholders in this instance refer to a consultation process. This is the most important feature which should drive policy formulation. Far from an information-gathering exercise, this process is about affording the people the opportunity to shape the policy decisions and process that will have a bearing on their day-to-day life experiences.

4.1.3.7. Therefore emphasis should be on ensuring an open participatory process. This will nurture and enhance public trust, ownership and a profound sense of identity with PGWC policies. Consultation will also entrench inclusivity, transparency and accountability and guard against unrealistic public expectations from the PGWC.

4.1.3.8. As the platform for social dialogue, the PDC should also be used for consultation purposes. Yet consultation should not be limited to those social partners represented in the PDC. The following principles should shape the consultation process:

- Inclusivity
- Openness
- Transparency
- Ownership
- Partnership
- Participatory
- Tolerance
- Equality

4.1.3.9. It is important to involve other stakeholders within the state, the market and civil society in policy development, implementation and evaluation. In order to be useful, knowledge produced by policy experts, not only has to be scientifically valid and relevant to the policy debate, but also has to be accepted by stakeholders. This places some specific demands on the methodology that is used by policy developers. The policy development and sign-off process should include public consultations held in each district in the Western Cape.

4.1.4. **Policy development: finalisation stage**

4.1.4.1. The next steps will be to analyse data and formulate a draft policy. Critical information should be prioritised. Most importantly, information should be arranged in a systematic way.

4.1.4.2. The project leader must present the draft policy document for comments and approval to the following:

- PGWC Top Management Committee
- PGWC Cluster Committees
- PGWC Members of the Executive Council (MECs)
- Western Cape Provincial Legislature Committees

4.1.4.3. Policies can be categorised in terms of two broad categories:

- Policies which are formally gazetted as white Papers
- Policies which are not gazetted

4.1.4.4. Policies that are formally gazetted must involve the following process:

- Internal comments and considerations must be incorporated into the draft policy document. This draft is then referred to as a green paper, which implies a discussion document. The green paper provides a generic yet in-depth and focused discussion of particular policy issues or concerns. However, it does not commit the PGWC to a specific policy direction at this stage.
- The green paper should then be gazetted for public comments. A detailed green paper communication strategy should also be presented to these committees for comments and endorsement. The following media should be used to publicise the green paper:
 - Print media – including community newspapers
 - Radio
 - Internet
 - Brochures
 - Targeted public campaigns
- The public should be given at least three months for thorough engagement by a wide spectrum of social partners and critical feedback. A closing date for public comments, the name and details of the contact person or department should be indicated. The following template should be used for public comments:
 - Policy title
 - Name of person/organisation
 - Address
 - Date when comments were submitted
 - Comments
 - Recommendations
- After the closing date, the stage is set for the formulation of the white paper, which is a policy document. Unlike the green paper, the white paper

represents a formal PGWC course of action on particular issues. Key concerns arising from the public comments will be collated and incorporated into the white paper.

- Not all the concerns raised will be accommodated. The policy development task team should therefore balance the public comments against the broader policy imperatives in formulating the draft white paper.
- Afterwards, the project leader will then present the draft white paper to the same internal PGWC committees for discussions, comments and endorsement. When the Premier and the MECs, on the advice of the Policy Development Unit, have accepted and endorsed the draft white paper, it will be published as a white paper and become a PGWC policy document.

4.1.4.5. Policy (whether gazetted or not) should be widely communicated, implemented and monitored, evaluated and reviewed.

4.1.4.6. The format of the contents of the policy should be arranged in the following way:

- Cover page:
 - Policy title
 - Policy number
 - Date of approval
- Acknowledgements
- Foreword
- Executive summary
- Definitions
- Contents
 - Introduction
 - Background
 - Problem statement
 - Purpose
 - Scope
 - Principles
 - Approach
 - Goals and objectives
 - Strategy/Policy
 - Conclusion
- References
- Annexures

4.2 Policy review, monitoring and evaluation

4.2.1. Policies will need to be reviewed periodically for improvement. Development indicators and the PGWC monitoring and evaluation system must be used to assess its impact.

4.2.2. The definition of policy monitoring and evaluation is as follows:

- Monitoring provides basic information as to whether a policy or development strategy is being implemented as planned and whether it is achieving its objectives.
- Evaluation determines policy relevance, including efficiency, effectiveness, impact and sustainability. Evaluation is a time-bound exercise to systematically analyse and assesses performance against the agreed-upon objectives.

4.2.3. The flow diagram below is an indicator of policy monitoring and evaluation:

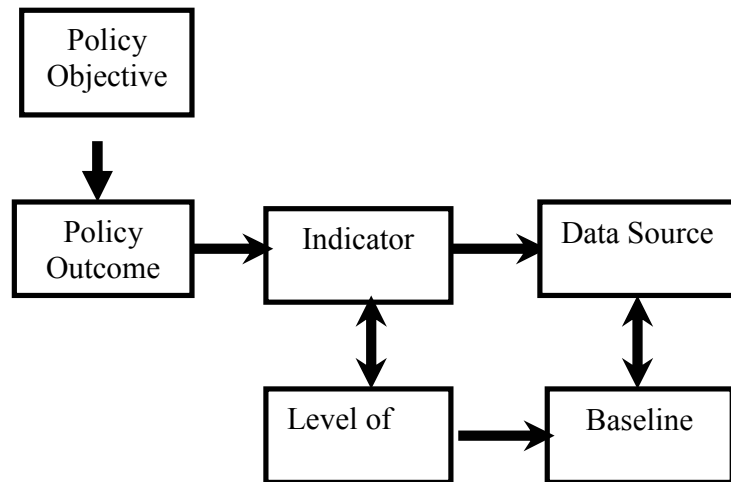


Figure 2: Policy Monitoring and Evaluation Indicator Flow Diagram

[Source: Monitoring, Evaluation and Reporting Framework for the iKapa Growth Development Strategy (2007)]

4.2.4. The six guiding principles for evaluation are:

- 4.2.4.1. Pluralism: Evaluation implies considering in a balanced manner all the legitimate points of view the various stakeholders expressed about the evaluated activity.
- 4.2.4.2. Independence: Evaluation is carried out impartially and independently of programme management and decision-making processes. This independence serves to safeguard the public decision-makers' freedom of choice. Evaluation professionals inform their partners of any possible conflict of interests.
- 4.2.4.3. Competence: Specific competencies are needed to design, manage and commission evaluations, collect data and interpret findings. Evaluation professionals must update their skills consistently and explicitly mention their limitations. Recognised methods should be used, particularly those used by the international evaluation community.
- 4.2.4.4. Respect: Participants in the evaluation process must respect the rights, integrity and safety of all affected parties. They may not disclose the sources of any information or opinions they collect without the agreement of the persons concerned.
- 4.2.4.5. Transparency: At the beginning of an evaluation it should be decided how findings will be disseminated. Presentations must clearly describe the object of the evaluation, its purpose, its intended audience, the questions asked, the methods used and their limitations, and the arguments and criteria which led to these findings. The findings of evaluations should be made public. The integrity of findings should be respected.

- 4.2.4.6. Responsibility: At the beginning of an evaluation, clear responsibility must be assigned for each function in the evaluation (defining the brief, the management process, research and analysis, formulating findings and recommendations, disseminating findings).
- 4.2.5. Persons and institutions involved in the evaluation process should make available appropriate resources and the information required to carry out the evaluation. They are jointly responsible for properly implementing the guiding principles set out in the present charter.

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