CHANGE MANAGEMENT STRATEGY FRAMEWORK

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DEPARTMENT OF PUBLIC SERVICE AND ADMINISTRATION

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1. CONTEXTUALISING THE CHANGE MANAGEMENT STRATEGY FRAMEWORK

In its analysis of the South African society, the National Planning Commission’s Diagnostic Overview Report (2011) indicated, inter alia, that:

“Significant progress has been made since 1994, notably through the introduction of a democratic system, constitutional and legal provisions that promise people equal rights and provide protection against discrimination, and extended access to basic services. Yet the process of transformation is far from complete. In some areas, constitutional and legal provisions have not been fully implemented; in others, there has been a lack of sustained and effective focus.”

The focus on the socio-economic challenges therefore defines the era of change that the country is currently in, and building a capable and developmental state is a key component in taking the transformation process forward.

Building a capable and developmental state, according to the National Development Plan, 2011 (NDP), requires collaboration between all sections of society and effective leadership by government. In a society with deep social and economic divisions, neither social nor economic transformation is possible without a capable and developmental state. The state provides the institutions and infrastructure that enable the economy and society to operate. Critical interventions are required to build a state capable of realising the vision for 2030.

The main challenge, as identified in chapter 13 of the NDP, has been the unevenness in capacity that leads to uneven performance in local, provincial and national government. This is caused by a complex set of factors, including tensions in the political-administrative interface, instability of the administrative leadership, skills deficits, the erosion of accountability and authority, poor organisational design and low staff morale.

There have also been many individual initiatives, but there is a tendency to jump from one quick fix or policy fad to the next. These frequent changes have created instability in organisational structures and policy approaches that further strain limited capacity. The NDP and the 2011 Census Report have further identified urbanisation and the youth unemployment as some of the emerging drivers of change that face our developmental state, which need to be properly managed as they pose further challenges for the state. Cabinet has also resolved that a transformed public service is key to the achievement of government outcomes, hence the creation of a new public service culture is critical.

The management of change in the public service thus requires a more structured and consistent approach, as opposed to reactive change which is a piecemeal response to problems as they develop. The change management strategy framework therefore seeks to respond to this identified weakness, among others, by providing a structured and consistent approach to the management of change in the public service in line with the mandate of Minister for Public Service and Administration.
2. INTRODUCTION AND MANDATE

In terms of the Public Service Act, 1994 (as amended) the Minister for Public Service and Administration (MPSA) is, inter alia, responsible for establishing norms and standards relating to transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the public service and its service delivery to the public. The Minister shall give effect to such a mandate by making regulations, determinations and directives, and by performing any other acts provided for in this Act. This mandate supports the basic values and principles governing public administration as espoused in chapter 10 of the Constitution of the Republic of South Africa, 1996.

Based on this mandate, the Service Delivery and Organisational Transformation (SDOT) Branch has done the analyses of what needs to be done in terms of its focus areas in order to fulfil its mandate regarding the required regulations, determinations and directives, and frameworks. In terms of the SDOT Conceptual Framework, one of the areas that have been identified is the development of the regulations and framework for managing change in the Public Service.

The development and adoption of the Strategy Framework is thus deemed to be critical to the achievement of the government’s outcome based approach, especially the outcome 12 deliverables, as managing change is a common success criterion for achieving the set outcomes. This would ensure that change at a macro level in the Public Service is managed in a coherent and consistent manner. It is therefore not the intention of this framework to micro-manage the management of change in the Public Service, but rather to provide a common reference point for managing significant transitional and transformational changes based on best practice.

The White Paper on the Transformation of the Public Service (1995) – referred to below as the White Paper (1995) - set the scene on the topic of change and reform. It specifically states that: “In forging ahead with the processes of reconciliation, reconstruction and development, the South African Public Service will have a major role to play as the executive arm of government. To fulfil this role effectively, the (Public) Service will need to be transformed into a coherent, representative, competent and democratic instrument for implementing government policies and meeting the needs of all South Africans.”

3. PROBLEM STATEMENT

In the context of the transformation of the Public Service, the question therefore is: what should be the consistent process and methodology (the how) of transforming the Public Service beyond what the White Paper (1995) sought to achieve, and how should that process be managed in the Public Service? The proposed Strategy Framework for Managing Change in the Public Service seeks therefore to answer that question.

The White Paper (1995) further states that: “In consequence, while this White Paper will contribute towards the longer-term reform process, through the
elaboration of a broad vision and policy guidelines, its immediate concern will (be) to **facilitate the shorter-term process of administration transformation.** The White Paper (1995) thus marks the beginning of an on-going process of **change and reform,** which will require **additional policy documents,** including new White Papers, in the future.”

As part of the ongoing process of change and reform (as stated above), additional policy documents such as the Batho Pele White Paper (1997), as one of the eight transformation priorities, were developed. The Batho Pele White Paper (1997) purpose being to provide a policy framework and a practical implementation strategy for the transformation of public service delivery; and is primarily about **how** public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered.

However, there has not been a framework that specifically deals with the subject of change management and reform in relation to the longer-term transformational issues in the Public Service that are highlighted in the White Paper (1995). This is, therefore, the gap that the proposed Change Management Strategy Framework seeks to close through:

- Providing a shared and consistent approach to managing change in the public sector that can be customised to specific circumstances;
- Establishing best practice in change management across all three spheres of government;
- Empowering and enabling management in government to manage change effectively.

Such a framework is primarily targeted to be used by:

- Heads of Department (HoDs) who are undertaking large-scale transformation projects in the public sector;
- Senior Managers / Project Managers who are assigned by HoDs to lead change management processes;
- Human Resources practitioners including organization development and change management practitioners;
- Employee Wellbeing practitioners;
- Any practitioner who finds the framework useful in their area of work.
4. DEFINITIONS

In order to provide context to the terminology used in the Change Management Strategy Framework, the following definitions are given:

4.1 Transformation as defined in the White Paper on the Transformation of the Public Service (1995)

The term ‘transformation’ is defined in the White Paper (1995) thus: “The Government regards transformation as a dynamic, focused and relatively short-term process, designed to fundamentally reshape the Public Service for its appointed role in the new dispensation in South Africa”. This definition was given in the context of what was an immediate priority at that time namely; ‘administrative transformation’. Hence the White Paper (1995) states that while it (the White Paper) will contribute towards the longer-term reform process, through the elaboration of a broad vision and policy guidelines, “its immediate concern will (be) to facilitate the shorter-term process of administration transformation”.

Broadly speaking, “transformation” is a continuous process of fundamental change to achieve broader and long-term goals of the government as set out in various policy documents. In this context, “change” is part and parcel of “transformation”. And transformation can also be regarded as part of change - if that type of change is revolutionary or profound or fundamental in nature. The Reconstruction and Development Programme (RDP) White Paper (1994) also refers to this type of “revolutionary change” as “fundamental transformation” which is what the Reconstruction and Development Programme (RDP) sought to achieve.

4.2 Reforms in relation to the Modernization of the State and Change Management

The White Paper (1995) defines the “reform” as a longer-term and on-going process of administrative reform which will be required to ensure that the South African Public Service keeps in step with the changing needs and requirements of the domestic and international environments. In this context, “reform” can be regarded as a process of continuous improvement in service delivery objectives in order to achieve the broader goals of transformation. In the Public Service for example, certain aspects of the administrative reform process have been institutionalized through the Public Service Act, 1994 (as amended) and Regulations which require an executive authority to establish and sustain a service delivery improvement programme for his/her department.

Therefore, state reforms (whether political or administrative) may be seen as change oriented activities aimed at:

- Transformation (transformational change);
• Modification, modernizing, or altering the status quo (traditional or transitional change).

In other words, state reforms are change triggering initiatives and manifest themselves into different types of change and therefore need change management.

4.3 Migration Process

A migration process generally refers to a process of placing employees from a post in the old organisational structure to another post in the new organisational structure. Such a migration process is generally implemented through a migration plan which provides a procedure for operationalising the migration process in a department. As most changes in the public service involve some form of migration, the guidelines on the migration process are provided as part of the strategy framework [Annexure A].

5. ROLES AND RESPONSIBILITIES FOR MANAGING CHANGE IN LINE DEPARTMENTS

In view of the mandate of the MPSA in regard to establishing norms and standards relating to transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the Public Service; the following key roles and responsibilities for change management in line departments are outlined below:

5.1 Key Roles and Responsibilities of Executive Authorities (EAs)

In line with the mandate of the MPSA, the Executive Authorities are required to:

- Prepare a change management plan when significant transitional and transformational changes are introduced. Such a plan should, inter alia, clearly articulate the impact of the changes on women and people with disabilities.

The preparation of such a change management plan by the Executive Authority (EAs) shall:

- Form part of the Strategic Plan of a department.

The introduction of the Change Management Strategy Framework approved by the MPSA provides an enabling framework which guides the Executive Authorities (EAs) and the Heads of Departments (HoDs) in the preparation and implementation of such change management plans.

The DPSA will facilitate the implementation of the enabling framework through inter alia:

- Issuing of directives / determinations in terms of the Public Service act, 1994 as amended;
• Providing support and advice on the implementation of the enabling framework;
• Conducting capacity building workshops on managing change;
• Providing the change toolkit that supports the initiation and implementation of the change, including the change that focuses on the human element.

The above mentioned roles and responsibilities are critical in at least five respects.

Firstly, they place the responsibility and accountability for managing change where it belongs, namely with the executive authority who is the political head and the executive authority of a particular department in the Public Service.

Secondly, they ensure that the triggers of change, the nature of change and the magnitude of change, whether they are transitional or transformational in nature, are determined beforehand in order to ensure that the proposed interventions are proportionate to the nature of the changes required;

Thirdly, they ensure that once an analysis has been undertaken and the nature and magnitude of the changes is known, what has to be done (intervention) is captured in the form of a change management plan as part of the strategic planning process;

Fourthly, since the strategic planning/management process is the responsibility of the top leadership in the departments, developing a change management plan as part of the strategic plan will ensure that the ownership of such a plan remains the responsibility of the top leadership in a department; and

Fifthly, they ensure that the draft Change Management Strategy Framework guides the development of a change management plan in order to ensure consistency in the Public Service.

5.2 Change Drivers – Instances where executive authorities have to prepare change management plans guided by the Change Management Strategy Framework

Figure 1

<table>
<thead>
<tr>
<th>CHANGE DRIVERS:</th>
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<tr>
<td>INSTANCES WHERE EXECUTIVE AUTHORITIES HAVE TO PREPARE CHANGE MANAGEMENT PLANS GUIDED BY THE CHANGE MANAGEMENT STRATEGY FRAMEWORK.</td>
</tr>
<tr>
<td>Leadership and strategy</td>
</tr>
</tbody>
</table>

communicate and demonstrate the new direction. This creates a foundation for employees to understand the changes that will follow and establishes a sense of goodwill.

**Organization architecture**

This is typically a change in the structure of the organization – either from merging (or separation and creation of new entities), rationalisation or efficiency drive. This indicates changes to processes and systems that form part of workflows, as well as possible changes to roles and decision making authority. The change challenge is to ensure clear, factually correct, and, regular communication to create awareness and understanding of the change in order to allay anger or fear related to perceived loss (jobs, status, etc.), denial that things won’t change, or, a dip in productivity.

Since most of the changes in the Public Service are usually associated with the change in the structure of the organization, the guidelines on the migration process strategy are provided [Annexure A].

**Resource deployment (and economics)**

This is typically the change that happens when there is a top-down decision that results in change in the allocation of resources – usually resulting from reprioritisation of where funds are spent or the need to reduce costs resulting in budget cuts. This may result in frustration: operational budgets will be affected which will frustrate management, while staff may react to the need to do more with less. The change challenge is to make visible the link between the reallocation of budgets/cutting of budgets and the bigger change vision. People are generally willing to make sacrifices if it is for the greater good.

**Human capital**

This change typically arises when substantially new skills, new work behaviours or a new working culture is required to implement the strategy/deliver against the mandate. This will have significant and widespread implications and a multi-faceted approach is required. The change challenge will be need to include leaders and managers “leading from the front” and demonstrating their belief in and commitment to the changes by practicing new behaviours, applying new processes and living the values; a campaign will be required to enhance the awareness and understanding of staff; an organisation wide culture programme of
<table>
<thead>
<tr>
<th>Change Drivers</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy regulation</td>
<td>This change is typically driven by the changes in the legislative and regulatory environment, or changes in the organisation’s capability in influencing/managing stakeholders within this environment. Change in this area could signal changes in any one of the other change drivers. This change may require new or different ways of doing things by certain parts of the organization or by the whole organisation. The change challenge will be to manage resistance, changing how things are done and implementing programmes to ensure behaviour change so that the organization complies.</td>
</tr>
<tr>
<td>Citizens/services</td>
<td>This change is typically driven by the citizens’ demand for new services and activities. This indicates a change of citizens’ experience of the current service and service offerings or changing needs that are not being met by the organization. The change challenge is to implement initiatives in which continuous improvement, performance and innovation can be fostered.</td>
</tr>
<tr>
<td>Function shift</td>
<td>This change is typically driven by changes in the mandate and authority of organizations. The implication of this could be the onset of further change emanating from the other change drivers as the organisation responds to the change by realigning itself. Leadership visibility, clear communication and active engagement with employees will be required. The function shift change will also typically be associated with the migration of employees; hence the guidelines on the migration process strategy [attached as Annexure A] will be applicable.</td>
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</tbody>
</table>

It should be noted that there could be more than one change drivers involved in a change process, in which case the change manager is expected to properly diagnose the organization and advise accordingly on the appropriateness of interventions.

### 5.3 Other uses of the strategy framework

The strategy framework will also guide departments when:

- Developing the terms of reference for the appointment of service providers to assist with the change management programmes;
• Departments compile change management modules for the purpose of training in change management;

• Tertiary institutions such as Schools of Public Management and Administration compile modules on change management;

• Tertiary students undertake research on the government’s generic approach to managing change;

• Planning to manage team dynamics in situations such as in the collective bargaining environment;

• Introducing interventions that require legislative compliance such as Employment Equity, Gender Equity and Disability Programmes;

• Introducing Employee Wellness Programmes as a result of post change management interventions or as part of ensuring the continuous well being of the employees.

5.4 Constitutional Values and Principles Governing Public Administration

Chapter 10 of the Constitution, 1996 deals with public administration. Section 195 (1) specifically directs that public administration must be governed by the democratic values and principles enshrined in the Constitution. One of the DPSA performance areas being implemented in compliance with the values and principles governing public administration pertains to managing diversity in the public service. Documents which have been published by the DPSA in this regard include: A Guide for Employment Equity compliance in the public service of 2010; the Gender Equality Strategic Framework of 2008 and the Job ACCESS Strategy for the Appointment, Recruitment, and Retention of People with Disabilities of 2009.

In the preparation and implementation of the change management plans, the Executive Authorities (EAs) should comply with the letter and spirit of the aforementioned documents as well as any other associated documents on managing diversity. The practice of the Batho Pele Principles outlined below should also be read in the context of the basic values and principles governing public administration in section 195 (1) of the Constitution, 1996.

5.5 Batho Pele Principles

The process of preparation and implementation of change management plans by the Executive Authorities (EAs) must ensure that the Batho Pele principles as outlined below are practiced.

• Consultation

   Citizens should be consulted about the level and quality of the public services they receive.
• **Service standards**
  
  Citizens should be told what level and quality of public services they will receive so that they are aware of what to expect.

• **Access**
  
  All citizens should have equal access to the services to which they are entitled.

• **Courtesy**
  
  Citizens should be treated with courtesy and consideration.

• **Information**
  
  Citizens should be given full, accurate information about the public services they are entitled to receive.

• **Openness and transparency**
  
  Citizens should be told how departments are run, how much they cost, and who is in charge.

• **Redress**
  
  If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy.

• **Value for money**
  
  Public services should be provided economically and efficiently in order to give citizens the best possible value for money.

### 6. CHANGE MANAGEMENT DIMENSIONS AND TYPES OF CHANGE

A change management framework in this regard is understood simply as a guiding tool for managing the successful initiation and implementation of change programmes in the Public Service based on best practice. It is not by itself a Change Management Plan; but rather it is a guiding tool that seeks to help departments in developing change management plans as per the outlined roles and responsibilities for managing change in line departments.

Planning for change implementation generally therefore involves understanding where the organization is currently and identifying dimensions that need to change in order to take the organization from its current state to its desired state.
### 6.1 Change Management Dimensions

The following five dimensions of the change framework are suggested, as a minimum, for any change management plan to be developed as per the roles and responsibilities for change management in line departments and the change process to be undertaken in the Public Service as per **Figure 2** below:

<table>
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<tr>
<th>Five Dimensions of the Change Management Process</th>
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<tbody>
<tr>
<td><strong>1. Envisioning for Change</strong></td>
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<tr>
<td><strong>Note:</strong></td>
</tr>
<tr>
<td>• DPSA Change Management will provide facilitation and change diagnostic toolkits.</td>
</tr>
<tr>
<td>• DPSA Organisation Development (OD) will also provide support where applicable.</td>
</tr>
<tr>
<td>• DPSA Employee Health and Wellness will provide diagnostic support as per the improved SOLVE programme as part of the Employee Health and Wellness Strategic Framework.</td>
</tr>
<tr>
<td>• DPSA Research and Analysis Unit will regularly write policy briefs and occasional papers on the subject of managing change. This will, inter alia, help to keep line departments informed on national and international trends and developments on the subject of managing change and related topics.</td>
</tr>
<tr>
<td><strong>This dimension entails inter alia:</strong></td>
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<tr>
<td>a. Understanding the change drivers (triggers) highlighted above;</td>
</tr>
<tr>
<td>b. Understanding the nature and type of change;</td>
</tr>
<tr>
<td>c. Preparing the organisation for change;</td>
</tr>
<tr>
<td>d. Establishing a clear direction in terms of making a compelling business case for change;</td>
</tr>
<tr>
<td>e. Communicating the case for change early and often;</td>
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<tr>
<td>f. Ensuring clarity around who is leading the change process and who will approve the actions to be taken;</td>
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<tr>
<td>g. Creating a collective sense of urgency;</td>
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<tr>
<td>h. Creating an understanding of the broad timescale involved.</td>
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</table>
2. **Stakeholder Management**

**Note:**
- DPSA Change Management will provide stakeholder readiness tools.
- National School of Government will conduct training on stakeholder management.

This dimension entails inter alia:

Creating the right climate for change by preparing the groundwork with stakeholders to create an initial sense of involvement and engagement through:

- a. Stakeholder identification;
- b. Identification of change influencers;
- c. Undertaking change readiness assessment through mechanisms such as:
  - focus interviews,
  - focus groups, and
  - surveys.

An assessment of stakeholder perceptions is necessary as it defines all stakeholders in the change process, and establishes what their position is with regard to the potential change.

This covers inter alia:
- How they might see the change,
- How they might react,
- Any alternative positions they may hold.

Stakeholder identification and analysis is essential at the start of any change as it helps establish the impact and the degree of acceptance of the changes. This aspect is critical if the department has to know how hard it has to work.

3. **Capacity for Change**

**Note:**
- National School of Government will provide programmes on managing change on a continuous basis.
- DPSA Change Management will provide continuous support to departments through workshops.

This dimension entails the assessment and development of the organisational capacity for change in terms of **inter alia** the following focus areas:

- a. Identification of the champions for change;
- b. Developing change leaders team;
- c. Building the capacity of change agents in respect of the:
  - process,
  - skills and
  - tools for change;
- d. Alignment and mobilisation for change.
The effective management of change would therefore require that there be a clear understanding of the three types of change (as illustrated below) as well as the corresponding dimensions of change (which are related to the dimensions outlined above) such as:

<table>
<thead>
<tr>
<th>4. Developing and implementing a workable change plan</th>
<th>5. Sustaining Change</th>
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<tbody>
<tr>
<td><strong>Note:</strong></td>
<td></td>
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<tr>
<td>- DPSA Change Management will provide support to</td>
<td></td>
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<tr>
<td>departments through advice and workshops.</td>
<td></td>
</tr>
<tr>
<td>- DPSA Employee Health and Wellness will provide</td>
<td></td>
</tr>
<tr>
<td>diagnostic support as per the improved SOLVE</td>
<td></td>
</tr>
<tr>
<td>Programme as part of the Employee Health and</td>
<td></td>
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<tr>
<td>Wellness Strategic Framework, more specifically</td>
<td></td>
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<tr>
<td>with respect to behavioural change interventions.</td>
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</table>

So far the dimensions have focused on people issues, mainly because those are the ones mostly likely to cause implementation challenges if not handled properly. However, it is important (as envisaged in the roles and responsibilities in line departments) to build and maintain a project plan for change that includes all the normal project management elements such as:

- a. Major tasks;
- b. Deliverables and timelines; roles and responsibilities;
- c. Risk management; and
- d. Other logistical issues.

The project plan will also include the more traditional elements of change plans such as:

- a. Scope;
- b. Governance structure;
- c. Roles and responsibilities;
- d. Implementation plans;
- e. Progress review methodology;
- f. Emotional impact of change; and mechanisms to address psychosocial factors among others.
- g. Managing culture and resistance;
- h. Mobilisation, communication options and plans.

<table>
<thead>
<tr>
<th>4. Developing and implementing a workable change plan</th>
<th>5. Sustaining Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Note:</strong></td>
<td></td>
</tr>
<tr>
<td>- DPSA Change Management will provide support through advice, workshops and survey tools.</td>
<td></td>
</tr>
<tr>
<td>- DPSA Employee Health and Wellness will provide support intervention meant to sustain behavioural change.</td>
<td></td>
</tr>
</tbody>
</table>

This dimension entails making change stick with respect to issues such as:

- a. Skills transfer and empowerment through:
  - Leadership structures,
  - Performance, and
  - Reward;
- b. Measuring progress through:
  - Monitoring and reporting,
  - Performance management aligned to strategic plan,
  - Surveys;
- c. Consolidation and enabling action through:
  - Strategic review,
  - Integration into business processes,
  - Consequence management.

The effective management of change would therefore require that there be a clear understanding of the three types of change (as illustrated below) as well as the corresponding dimensions of change (which are related to the dimensions outlined above) such as:
- The motivating for change;
- The degree of change;
- The type of thinking required;
- The actions required; and,
- The destination of changes.

### 6.2 Types of Change

**Figure 3:** Adapted from Daszko, M. & Sheinberg, S. (April 2005) Article

<table>
<thead>
<tr>
<th>THREE TYPES OF CHANGE</th>
<th>Incremental/Traditional</th>
<th>Transitional</th>
<th>Transformational</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Motivation for Change</strong></td>
<td>Better, Faster, Cheaper</td>
<td>Fix a problem</td>
<td>Survival, Environment, World Changes, Breakthrough needed</td>
</tr>
<tr>
<td><strong>Degree of Change</strong></td>
<td>Incremental improvements</td>
<td>Transition from old to new; A to B</td>
<td>Revolutionary, Necessary</td>
</tr>
<tr>
<td><strong>Thinking</strong></td>
<td>Improve</td>
<td>Change management; strategic planning</td>
<td>Radical shifts in mindset/thinking/actions</td>
</tr>
<tr>
<td><strong>Actions</strong></td>
<td>Manage and control processes</td>
<td>Design the plan; implement the plan</td>
<td>Whole system change, complete overhaul of mindset, paradigms, culture, communications, strategy, structure, actions, systems and processes, use of data, System of Profound Knowledge, cycles of Plan Do Study Act (PDSA)</td>
</tr>
<tr>
<td><strong>Destination</strong></td>
<td>Improvements; can be limited to improving the wrong things</td>
<td>Projects completed</td>
<td>Continually transforming; no end state</td>
</tr>
<tr>
<td><strong>Change Requires</strong></td>
<td>Improvement of skills, practices and performance; often limited to focusing on individual</td>
<td>Controlled process / projects managed / assigned</td>
<td>Senior leadership committed to new thinking, learning and actions; coaching from outside: “a system cannot see itself.” Courage</td>
</tr>
</tbody>
</table>
Such an understanding would facilitate proper planning for change by line departments; as the research done by Mckinsey and Company (2008) indicates that:

“Conventional change management approaches have done little to change the fact that most change programmes fail. The odds can be greatly improved by a number of counterintuitive insights that take into account the irrational but predictable nature of how employees interpret their environment and choose to act”. The same research outlined four basic requirements for influencing employee behaviour which are summarized below as follows:

- **A compelling story:** Employees must see the point of the change and agree with it, or at least to give it a try;

- **Role modelling:** Employees must also see employees they admire modelling the desired behaviour;

- **Reinforcement systems:** Surrounding structures, systems, processes and incentives must be in tune with the new behaviour;

- **The skills required for change:** Employees need to have the skills to do what is required of them.

7. THE PROPOSED CHANGE MANAGEMENT STRATEGY FRAMEWORK

The proposed Change Management Strategy Framework is based on the premise that the Public Service has been managing change since the dawn of democracy in 1994. As such, the presumption is that the Public Service already has a pool of change management practitioners who have the expertise to use the framework and the tools that it provides. Hence the main target audience to be capacitated through the workshops on the application of the framework and the tools are the senior managers and change management practitioners.

The proposed change management framework is better understood through the three frameworks that help the user of the strategy framework from the diagnostic phase (using the diagnostic framework), interpreting the Change Readiness Index (results of the diagnostics) in relation to the four phases of the change

<table>
<thead>
<tr>
<th>Outcomes</th>
<th>Improvements, limited</th>
<th>Changes, limited</th>
<th>Sustainable change (continual learning and new actions) new system: agile, adaptable, flexible, intelligent, emerging, connected, involved, creative, moving forward; ability to sense and respond</th>
</tr>
</thead>
</table>

| performance rather than the Whole system to make significant differences | Improvements, limited | Changes, limited | Sustainable change (continual learning and new actions) new system: agile, adaptable, flexible, intelligent, emerging, connected, involved, creative, moving forward; ability to sense and respond |
management strategy framework (through plotting the results of the diagnostics on the phases), and translating those results into actionable interventions in order to ensure alignment between the current state and the desired state.

7.1 Change Diagnostic Framework

Each phase of change is characterised by a unique set of conditions, performance challenges and barriers to change. The approach to execute effective change will require different leadership, different initiatives and different tactics to address the unique challenges of each reality. A diagnosis entails the understanding of each phase, what is expected of employees, management, leadership and what the organisation needs to do to exit each phase.

The change diagnostic outlines the minimum dimensions that need to be assessed in an organization in order to help plan and prepare for change management. The change diagnostic assessment consists of about forty questions that are administered to an identified audience to establish the state of readiness in the organization. The dimensions measured by the diagnostic tool are attached as [Annexure B].

Some departments already have their own diagnostic tools that they have utilised over a period of time. As such, this framework does not seek to prescribe any particular diagnostic tools for departments, save to provide the minimum dimensions that any diagnostic tool should seek to assess to determine the capability of the department to manage change [Annexure B].

DPSA has, however, developed a standard change diagnostic tool to support departments as and when required and which is being utilised in the change management capacity workshops that are conducted in provinces.

7.2 Change Management Strategy Framework Phases

The proposed Change Management Strategy Framework consists of four phases namely: the ready phase; the willing phase; the able phase; and the sustain phase.

a. The Ready phase: An organisation is generally ready when the change manager has assisted the organization in ensuring that:

- There is an understanding of the rationale for the change, what is required to make it work and a readiness to change;
- The necessary structures, systems, frameworks, policies and procedures are in place to support effective and efficient functioning.

b. The Willing phase: An organisation is generally willing when the change manager has facilitated the creation of an environment where:

- Employees (especially managers) are engaged and mobilised in support of the change and are inspired to try their best;
The necessary collaborative partnerships are in place and functioning effectively.

c. The **Able** phase: An organisation is generally able when the change manager has assisted the organization to create an enablement environment to ensure that:

- Employees (and managers, in particular) have the competencies (knowledge, skills and attributes) to change and drive successful implementation of the change.

d. The **Sustain** phase: Generally an organisation can sustain performance when:

- There is a high level of alignment between internal effectiveness and positive impact on the organisation’s external environment;

- An adaptive culture and organisational architecture drive continuous learning, change and innovation;

- This is the phase where the continuous interventions focusing on the sustaining the right organizational culture became critical, since the organizational culture is the “glue” that binds the organization together.

Typically, the change readiness assessment (through the change readiness index) will help the change manager to locate the dominant phase in an organization in terms of the four change management strategy framework phases, which will then guide the type of interventions that should be implemented.

The change readiness index will also help to guide the change manager and the organization as to the nature of the change tools that are most appropriate in order to move the organization from its current state to its desired state.

### 7.3 People Framework

Successful change is created through the three people networks within the organisation, especially in case where transformational changes are introduced and when the culture change interventions are being contemplated, and where the alignment of the organizational culture and leadership with the organizational strategy is critical. The distinct focus and the role of the three people networks in the change is therefore critical for success. The three networks are discussed below.

The **Leadership network:**

- Creates the vision,
- Creates the agenda, and
- Timeframe for change.

As sponsors of the change programme leaders mobilise and engage people, partners and resources for a successful outcome;
The **Management network:**
- Drives the change,
- Translates the vision into action and ensures compliance to the change agenda,
- Applies resources,
- Communicates the programme,
- Enables capability building, and
- Embeds the change;

The **Staff network:**
- Enlists support for the change through local influence,
- Champions the future and allays concerns,
- Supports capability building, and
- Uses local knowledge to collaborate for success.

In essence, the mapping of the role of the three people networks against each of the phases of the change management strategy framework provides a practical action plan for the change manager to ensure alignment of the organizational culture and leadership with the organization’s strategy in order to respond to the changes in the external environment. An illustration of the people framework is shown below:

**Figure 4**
7.4 Change Tools

Effective change management is characterized by the use of the right tools at the right time for the right stakeholders; in order to enable navigation through change and to overcome challenges and barriers to change.

Different tools can be used in the implementation of the change plan based on the diagnostic results. DPSA will provide and advise departments on the change tools based on its standard change diagnostic tool, as part of the capacity building workshops on change management.

8. ASSESSMENT OF CHANGE PROGRESS - A CHECKLIST

The following checklist for effective change implementation provides a benchmark against which to assess the change progress.

**Figure 5**

<table>
<thead>
<tr>
<th>Key success factors for change</th>
<th>Questions to ask to achieve the Key Success Factors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leading change (who is responsible)</td>
<td>Do we have a leader:</td>
</tr>
<tr>
<td></td>
<td>• Who owns and champions the change?</td>
</tr>
<tr>
<td></td>
<td>• Who publicly commits to making it happen?</td>
</tr>
<tr>
<td></td>
<td>• Who will acquire the resources necessary to sustain it?</td>
</tr>
<tr>
<td></td>
<td>• Who will put in the personal time and attention needed to follow through?</td>
</tr>
<tr>
<td>Creating a shared need (Why do it)</td>
<td>Do employees:</td>
</tr>
<tr>
<td></td>
<td>• See the reason for the change?</td>
</tr>
<tr>
<td></td>
<td>• Understand why the change is important?</td>
</tr>
<tr>
<td></td>
<td>• Understand what will happen if the department does not change?</td>
</tr>
<tr>
<td></td>
<td>• See how the change will help them and the department in the short and long term?</td>
</tr>
<tr>
<td></td>
<td>How does senior management know if the employees see the reasons for change? What feedback and checking has been done?</td>
</tr>
<tr>
<td>Shaping a vision (what will it look like when we are done)</td>
<td>Do employees:</td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td></td>
<td>• See the outcomes of the change in behavioural terms? (That is, in terms of what they will do differently as a result of the change)?</td>
</tr>
<tr>
<td></td>
<td>• Get excited about the results of accomplishing the change?</td>
</tr>
<tr>
<td></td>
<td>• Understand how the change will benefit citizens and other stakeholders?</td>
</tr>
<tr>
<td></td>
<td>How does senior management know that employees see and share a common vision? How has it been checked?</td>
</tr>
<tr>
<td>Mobilizing commitment (who else needs to be involved)</td>
<td>Do the sponsors of the change programme:</td>
</tr>
<tr>
<td></td>
<td>• Recognize who else needs to be committed to the change to make it happen?</td>
</tr>
<tr>
<td></td>
<td>• Know how to build a coalition of support for the change?</td>
</tr>
<tr>
<td></td>
<td>• Have the ability to enlist support of key individuals in the department?</td>
</tr>
<tr>
<td></td>
<td>• Have the ability to build a responsibility matrix to make the change happen?</td>
</tr>
<tr>
<td></td>
<td>How does the department know that people who need to be committed to change actually are?</td>
</tr>
<tr>
<td>Modifying systems and structures (how will it be institutionalized)</td>
<td>Do the sponsors of the change programme:</td>
</tr>
<tr>
<td></td>
<td>• Understand how to link the change to other systems? For example, staffing, training, structure, communication, etc?</td>
</tr>
<tr>
<td></td>
<td>• Recognize the implications of change on the systems?</td>
</tr>
<tr>
<td></td>
<td>• Recognise the criticality of taking the best of the past forward?</td>
</tr>
<tr>
<td>Monitoring progress (how will it be measured)</td>
<td>Do the sponsors of the change programme:</td>
</tr>
<tr>
<td></td>
<td>• Have the means of measuring the success of the change?</td>
</tr>
<tr>
<td></td>
<td>• Plan to benchmark progress on both the results of the change and the process of implementing change?</td>
</tr>
<tr>
<td></td>
<td>• Plan to celebrate success at the appropriate time?</td>
</tr>
<tr>
<td>Making change last (how will change get started and last)</td>
<td>Do the sponsors of the change programme:</td>
</tr>
<tr>
<td></td>
<td>• Recognize the first steps in getting started?</td>
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<tr>
<td></td>
<td>• Have a short and long term plan to keep attention focussed on the change?</td>
</tr>
<tr>
<td></td>
<td>• Have a plan of adapting change over time?</td>
</tr>
<tr>
<td></td>
<td>• Have a plan to keep employees engaged?</td>
</tr>
</tbody>
</table>
As part of the measurement of the effective implementation of change, it is recommended that progress be reviewed on a regular basis against the key success factors for change.

9. CONCLUSION AND WAY FORWARD

Taking forward the work envisaged in the White Paper on the Transformation of the Public Service, this document has sought to contextualize the rationale for the introduction of the proposed Change Management Strategy Framework within the era of change which focuses on the economic and social transformation of the country which is referred to as the second phase of the transition; as well as within what is outlined in the 2012 National Development Plan and the 2012 Census Report.

This document has also outlined roles and responsibilities for managing change in line departments within the mandate of the MPSA who is, inter alia, responsible for establishing norms and standards relating to transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the public service and its service delivery to the public.

A problem statement was also given to identify the gap that the proposed Change Management Strategy Framework seeks to close through:

- Providing a shared and consistent approach to managing change in the public service that can be customised to specific circumstances;
- Establishing best practice in change management across all three spheres of government;
- Empowering and enabling management in government to manage change effectively.

A conceptual understanding of change management in relation to transformation, reform, continuous improvement, and modernisation was also given through the definitions located within the context of the White Paper on the Transformation of the Public Service and other academic literature.

Going forward, it is envisaged that once the draft Strategy Framework has been adopted, DPSA will continue to conduct capacity building workshops for all nominated senior public servants in all provinces and national departments. DPSA will also, from time to time, issue directives/determinations to support the implementation of the enabling Change Management Strategy Framework in line with the mandate of the MPSA as outlined in the Public Service Act, 1994 (as amended).

It will therefore be expected that line departments will utilise this enabling framework as the basis for institutionalising their own change management strategies. As change management strategies are dynamic in nature, this enabling framework serves as the baseline for managing change within line departments.
10. SOURCE DOCUMENTS

In the compilation of this document and the draft Change Management Strategy Framework, the following source documents were consulted.

10.1 Legislative and Policy Mandate Documents

- Batho Pele White Paper (1997) – Especially the framework it provides about how public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered.


- MPSA Communique’: “This Day” Vol 2 No 4. 18 March 2011 – Especially in as far as it seeks to provide clarity on the definition of “Transformation” as a Continuous Process of Change.


- National Treasury (Technical Assistance Unit) (2010) Project Management Methodology – As far as it provides the best practice project management methodology that asks the relevant Change Management questions per each phase of the project.

- National Treasury Framework for Strategic Plans and Annual Performance Plans (2010) – In as far as it assisted in the framing of the proposed roles and responsibilities of the Executive Authorities in relation to the government wide monitoring and evaluation system with specific focus on monitoring outcomes.

- Public Service Act (1994), (as amended) together with its Regulations – As they provide a primary mandate for the work of the Department of Public Service and Administration (DPSA).

- Service Delivery and Organisational Transformation (SDOT) Branch Conceptual Framework – As it gives context to the focus area of Change Management and Batho Pele.

- Statistics South Africa (2011). Population Census Report, 2011. Pretoria – As the 2011 Census Report has identified urbanisation and the youth unemployment as some of the emerging drivers of change that face our
developmental state, which need to be properly managed as they pose further challenges for the state.

- White Paper on the Reconstruction and Development Programme (1994) – Especially regarding the context in which the terms “transformation” and “change” are used.

- White Paper on the Transformation of the Public Service (1995) – Especially on the definitions of the terms “administrative transformation” and “reform”, and the White Paper’s stated need for additional policies to be developed to take forward the ongoing process of change and reform.

10.2 Academic Literature

The academic literature below was consulted especially in regard to the conceptual understanding of the definitions of terms and for ensuring that the proposed Strategy Framework is on par with international best practice on managing change both in the private and public sector institutions.


1. Introduction

A migration plan can be a highly effective transformation tool. The migration process that is implemented must ensure that the objectives of the transformation process are achieved. However, the process is a highly emotive one that is associated with significant employee uncertainty and anxiety. This migration process guideline should, as a result, be read together with the “DPSA (2006) Guide on Transformation and Restructuring: Human Resources”, as well as the Public Service Coordinating Bargaining Council (PSCBC) Resolution No. 7 of 2002.

It is also a process that may result in legal challenges. Therefore, the process must be fair, objective and legally justifiable and must be implemented as part of a clearly defined change management programme. The Heads of Departments (HODs) who embark on an organisation review and re-alignment process usually seek to:

- Review and re-align the department following an integrated approach to address silos, duplication and fragmentation;
- Link policy with implementation, develop synergies and strengthen their functions in order to achieve their vision, mission and values;
- Examine organisation design and resourcing implications as a result of having to implement the department’s programmes;
- Address the need for accelerated transformation as defined by the White Paper on Public Service Transformation and other related policy documents; and
- Take note of the complexity of interface and linkages as well as uncertainties regarding certain institutional arrangements.

Since the creation of the new organisation structures affects employees, HODs should seek to minimize possible service disruptions and alleviate employee uncertainties, with the view to achieving a sound, fair and transparent process that will see the placement of staff into the new structures.

This migration plan generally seeks to:

- Guide the migration of all existing employees in the department into the new organisation structure.
- Also guide the operationalisation of the migration plan.

It should be emphasized that the departments must agree and approve the organisation design to give effect to the migration plan.

1.1 Definitions

“Migration/ Placement” generally refers to the process of placing or repositioning employees from one post in the existing organisational structure to another post in the new structure.
“Close March Approach” generally means an assessment of the degree to which the outputs of the post in the new structure match the outputs of the post in the old structure.

“Competency Profiling Assessment” generally refers to the human resources management competency assessment which focuses on the individual’s aptitude as well as the underlying characteristic of an individual which is related to the effective and superior performance in a particular job.

“Direct Migration” generally means the process of confirming an employee directly into the same post or substantially similar post in the new organisational structure.

“Competitive Migration” generally means the process of advertising a position in the new organisational structure where:

- There are more employees within the old organisational structure and less posts available in the new organisational structure, thus necessitating competition for the available posts; or
- A post in the old organisational structure is substantially different from the one that appears in the new organisational structure, by virtue of the competencies required to do the job, the job scope, reporting lines, accountability, and the like; or
- The post is an entirely new one that did not exist within the previous organisational structure.

“Displaced Employee” generally means an employee who has not yet been placed in the new organisational structure.

“Job Content” generally means a written summary of the main functions or key performance areas of a particular post.

“New Post” generally means responsibilities and requirements of a post that appear in the new organisational structure that did not exist in the previous structure, and are therefore entirely new.

“Pool” generally means the virtual group of employees who cannot be placed into the new organisational structure.

“Deployment” generally means a process of appointing a displaced employee from the pool to a post in the new organisational structure in accordance with the Departmental operational needs.

“Redundant Post” generally means a post that no longer appears in substantially the same way in the new organisational structure as it did in the old structure.

“LRA” means the Labour Relations Act, 66 of 1995 as amended.

2. Guiding Principles and Objectives of the Migration Process

The objectives and principles underpinning the migration plan and the process of placing employees into new structures are inter alia to:
• Ensure uninterrupted and orderly service delivery during the migration and orientation of employees into the new organisation structure.
• Ensure that skills retention is a priority. This means that existing employees shall be given preference when being considered for positions in the new organisation structure.
• Ensure that employment equity is a priority. In order to further the objective of creating an equitably representative workplace, employees from designated groups shall enjoy, after migration, preference in competitive migration, deployment and redeployment processes.
• Take all reasonable steps to ensure that employees remain gainfully employed.
• Prioritise the migration of existing employees and avoid dismissals for operational requirements as far as reasonably possible.
• Facilitate the optimal use of employees and maximise their developmental capacities.
• Provide for a fair and transparent procedure that minimises claims and disputes and provides certainty to employees as soon as reasonably possible.
• Provide for a specialised internal grievance resolution mechanism to deal with migration grievances promptly and efficiently to minimise the referral of disputes in terms of the Labour Relations Act where employees remain aggrieved at a migration decision.
• Communicate regularly with employees to mitigate fear and uncertainty and to generally encourage constructive participation in the process.
• Give effect to the department’s skills development and employment equity objectives and plans, and adapt those as and when they emerge in the migration process.
• Give meaning to the principles of knowledge sharing and up-skilling by, amongst other things, being flexible when incorporating employees, or the possibility thereof, into other areas in which they may hold skills.
• Enforce the principle that incumbents in acting positions have no superseding right to permanent migration within those positions in the new structure.
• Ensure that sufficient and adequate resources be provided for the efficient application of the migration plan.
• Act in accordance with the overriding principle to ensure improved service delivery; that all employees to be placed must be suitably qualified or have the capacity to become suitably qualified within a reasonable period of time to properly perform the functions of the post.

3. Code of Conduct

The HODs must ensure that the department, its employees and all members of the Matching and Placement Committees adhere to the following standards of conduct throughout the migration process. To this end, the department, its employees and members of the Committee shall, in addition to their usual legal requirements:

• Adhere to the migration principles, guidelines and procedures contained in the migration plan;
• Disseminate all information based on facts and not speculation;
• Strive to reach consensus where decisions are required;
• Act in the best interests of the department and its service delivery obligations;
• Operate in a respectful and courteous manner toward one another;
• Respect the confidentiality of and, subject to Section 16 of the LRA, not disclose confidential information;
Display their willingness, commitment to and encouragement of ‘buy-in’ to the process;
Provide sufficient notice of their inability to attend a meeting or to meet a deadline, and refrain from doing so where reasonably avoidable; and
Disclose upfront all possible conflicts of interest and recuse themselves where there is or may appear to be a conflict of interest.

4. Migration Approaches

There are, in essence, two approaches to migration:

• The close match approach; and
• The competency profiling assessment approach.

However, a hybrid of the two approaches may also be used in the migration process.

4.1 The Close Match Approach

The close match approach focuses solely on the outputs of a position. The extent of change is assessed through a comparison of the outputs of the position in the old structure versus the new structure. The outputs are assessed by comparing the outputs as defined in the role description of the position in the old structure versus the outputs as defined in the role description of the same or similar position in the new organisation structure. The migration decision is based on the extent of change of the outputs.

4.2 The Competency Profiling Assessment Approach

The competency profiling assessment approach focuses on the outputs and inputs of a position. The extent of change is assessed through a comparison of the outputs and inputs of the position in the old structure versus the new structure. The outputs are assessed by comparing the outputs as defined in the role description of the position in the old structure versus the outputs as defined in the role description of the same or similar position in the new organisation structure. The inputs are assessed through assessing competencies through a battery of legally valid and acceptable competency tests.

The migration decision is based on the extent of change of the outputs as well as the inputs and whether or not the manager has met the baseline competency score.

In the typical context, it could be recommended that a hybrid approach be used. This would mean that:

• The competency based approach will be utilized for all management levels of the organisation. Management levels will undergo management competency assessments and/or technical competency assessments. The outcomes of these assessments will then form the basis of determining whether an employee will be placed in a particular post.
• The close matching approach will be used to migrate all other levels of the organisation into the new structure.
5. The Migration Process and Procedure

In order to undertake a fair and objective migration process, it is necessary to consider the following steps in the process. The HODs must ensure that sufficient attention is paid to each of these key steps prior to operationalising the migration process.

5.1 The Organisation Design

Organisation design involves the development of a high level organisation structure depicting the overall design of the organisation and its key functions.

5.2 The Migration Plan

The plan is generally a high-level policy statement, which includes a high level procedure for implementing the migration process. The plan also provides for the development of an implementation tool to assist the department in operationalising the migration process.

The focus of the migration plan usually provides practical, hands on steps for the departments’ matching and placement committee and managers who are tasked with migrating employees from their existing structures into the newly designed organisation structure.
5.3 Role Profiling and Job Grading

Following the completion of the organisation design at both a high and detailed unit level, it is necessary to define the responsibilities of each of the positions within the organisation structure. This is performed by developing role profiles, highlighting knowledge, skills, behaviours, attributes and experience that is required to perform the job. The role profile forms the foundation for the appropriate “level” (usually known as “grade”) to be determined and an appropriate salary to be assigned to the level of work.

5.4 The Competency Framework

The strategic direction of the department may require that the organisation has people with the correct skills and competencies in the appropriate positions. In that instance the department will need to develop a competency framework to support the new organisation structure, which will define key competencies, per level or post that employees will be required to possess.

The competency framework will be used as the yardstick against which the results of competency assessments will be measured to determine any gaps which may exist between the competencies possessed by an employee and the competencies required for the post that he/she occupies. The gap analysis will be used to prepare personal development plans for individual employees.

5.5 Matching Old and New Positions - Determining the Extent of Change to Positions in the New Organisation Structure

An analysis of the old and new organisation structure will be conducted to determine the extent of change of the organisation structure, old versus new, on a level by level and post by post basis.

The migration process is founded on the extent of change of positions in the new organisation structure, as compared with those in the old organisation structure. In other words, the migration approach that will be implemented will be dependent on the extent of change of the positions in the new organisation structure. For example, in a particular context, the “change to a position” could be defined in the following manner:

- Change to a position in the levels below management (SMS) levels could be determined by assessing the outputs and minimum requirements of a position only: Change will therefore be determined by assessing the extent to which the outputs and minimum requirements of the position in the new structure has changed as compared to the outputs (including minimum requirements) of the same or similar position in the old organisation structure.

- Change to a position in the management (SMS) levels could be determined by assessing the outputs, minimum requirements and inputs (competencies) of a position: Change will therefore be determined by assessing the extent to which the outputs, minimum requirements and inputs of a position in the new structure has changed as compared to the outputs of the same or similar position in the old organisation structure. (In brief, competencies describe the knowledge, skills and behaviours that are required to deliver successfully).
5.6 Classification of Posts

The matching and placement committee will review the posts in the new structure and classify them according to the degree of change, as follows:

• **Unchanged Post:** the responsibilities and requirements for the post remain the same (matching of 75% or more).

• **Changed Post:** the responsibilities and requirements for the post have changed in either of the following ways:
  - **A non-material (minor) change:** the responsibilities and post requirements have not changed significantly (a change of less than 50%); and
  - **A material (major) change:** the responsibilities and requirements for the post have changed significantly (a change of 50% or more).

• **New Post:** the responsibilities and requirements of the post are new in that it did not exist in substantially the same form in the old structure.

• **Redundant Post:** a post that appeared in the old structure but no longer appears in the new structure. In order to classify the status of each post within the categories of unchanged or changed posts as identified above, the job descriptions and profiles of the old and new positions must be weighed up against each other; either the outputs (including minimum requirements) and/or the inputs and outputs (including minimum requirements) required for both.

**Direct Migration** - Employees will be placed directly into a post in the new structure that is the same or substantially similar to their post in the old structure unless there are fewer unchanged posts in the new structure than there were in the old. In that event, the post will be classified as competitive and advertised among those affected employees.

**Competitive Migration** - Competitive migration takes place when:

- There are fewer posts within the new structure than there were in the old; or

- A post in the old structure resembles a post in the new structure, but the post in the new structure is actually significantly different as a result of, inter alia, the job requirements, scope, reporting lines, accountability, influence; or

- The post is an entirely new one that did not exist within the previous structure. The employees who best meet the selection requirements for the post will be placed into the post in the new structure. Migration from a post in the existing structure to a post in the new organisation structure will be undertaken in accordance with the following matrix:
<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>PROCESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job inputs and/or outputs the same and post level the same (i.e. 100% “match”)</td>
<td>Direct migration</td>
</tr>
<tr>
<td>Job inputs/or and outputs substantially the same and post level the same (i.e. not identical but largely the same – 75% match or more)</td>
<td>Direct migration</td>
</tr>
<tr>
<td>Job inputs and/or outputs the same or substantially the same and post level the same; and if more candidates than posts</td>
<td>Competitive migration and potential displacement of unsuccessful candidates into a pool or into advisory posts if no deployment opportunities exist</td>
</tr>
<tr>
<td>Job inputs and/or outputs substantially the same and post level higher</td>
<td>Competitive migration and potential displacement of unsuccessful candidates into a pool if no deployment opportunities exist</td>
</tr>
<tr>
<td>Job inputs and/or outputs changed and post level the Same</td>
<td>Deployment</td>
</tr>
<tr>
<td>Job inputs and/or outputs decrease and post level lower</td>
<td>Deployment</td>
</tr>
<tr>
<td>Job inputs and/or outputs increase and post level higher</td>
<td>Competitive migration</td>
</tr>
<tr>
<td>New posts</td>
<td>Advertise/ promote in terms of Recruitment and Selection policy/ Competitive migration</td>
</tr>
</tbody>
</table>

With regards to management posts, an additional requirement will be whether a manager meets the minimum competency score. In other words, the same criteria, as detailed in the table above will apply; however, additional criteria will be whether the manager has met the minimum competency score. The psychologists designing and conducting the competency assessments will determine the minimum competency score. Where managers do not meet the minimum competency score, the manager will enter the labour pool and the posts will be filled through a competitive migration process. These managers may still apply for any new, vacant and/or competitive posts.

### 5.7 Pencil Migration Exercise

In the instance of all posts other than management (SMS) level posts, on completion of the matching and classification exercise, the HODs will appoint relevant persons, in each division and/or institution to perform a pencil migration exercise.

This process merely describes the migration exercise. Where there has been no change and/or no substantial change in the post and employees can be placed directly into their positions in the new structure, their names will be ‘pencilled’ into the new organogram. Other positions will be identified for advertisement etc. As and when advertised positions are filled, those employees will also be marked on the new structure. Similarly, where employees can be deployed elsewhere, they will appear in pencil on the new organogram. After consultation and negotiations where necessary with affected employees, they will
be “penned” into the new organogram, to be validated by the Matching and Placement Committee and
signed off by senior management.

In the instance of management (SMS) posts, the pencil migration exercise could be undertaken when the
results of the competency assessments are released. Those managers who achieve the minimum
competency scores will be pencilled into the organogram, based on the classification exercise. In other
words, in those management posts, where there has been no and/or no substantial change to the post and
where the manager has met the minimum competency score, he/she could be directly placed into the
structure and pencilled into the organogram.

5.8 Finalisation of the Migration Process

The pencil exercise will be validated by the Matching and Placement Committee and approved by the HOD
and/or his/her delegate. In the instance of management (SMS) positions, the migration must be approved
by the HOD and/or Executive Authority. In the instance of all other levels, the HOD or relevant delegate
must approve the migration decisions.

Employees will be advised of their situation and, after being advised of the time period and process within
which to object to a migration decision, certainty will be obtained one way or the other as to whether the
employee will be placed, deployed or otherwise dealt with. Employees will be given placement letters
and/or contracts of employment for signature on acceptance of the post.

6. The Competitive Migration Procedure

A classification of the posts will take place, where the profiles of both the old and the new posts will be
compared to assess the extent of changes, if any, to the old post. The posts will then be classified
according to the categories set out in paragraph 5.6. In the instance where the classification would have
revealed that the competitive migration process must be followed, the next steps would then be the
following:

- Engagements with employees and unions should commence at the start of the process – so as to
  obtain buy-in and input.
- The results of the classification process must be communicated to all employees and the unions.
  The HOD must continue the consultation process with affected employees (i.e. previous
  incumbents of the posts now identified as posts for competitive migration) and advise of the
  process to be followed.
- Objective selection criteria should be identified for each post classified for competitive migration.
  The selection criteria will be based on the role profiles, the competency framework and/or any
  other objective criteria.
- An internal competitive process should then be implemented. The posts should be advertised
  internally and employees will be given the opportunity to apply for the posts. Previous incumbents
  of the posts may be given preference during the competitive process.
- The internal competitive process may either include:
  - A ‘paper application’ of the objective selection criteria; and/or
  - An interview process.
- In respect of management positions (SMS positions), a competency
based interview process should be followed. Interview questions will be post-specific, based on the competency requirements for the post.

- Managerial (SMS) level employees will then be placed after the HOD and/or Executive Authority has signed off on the preliminary migrations and any amendments thereto. All other levels of employees will then be placed after the HOD or his/her delegate has signed off on the preliminary migrations and any amendments thereto.

7. The Matching and Placement Committee

7.1 Establishment of the Committee

- The Committee should be comprised of at least five members, including a chairperson, appointed by the HOD.
- The recognised Unions active in the department concerned may each appoint two observers to the Committee.
- An HR representative should provide secretariat services to the Committee.

7.2 Functions of the Committee

The functions of the Committee are to:

- Ensure and oversee the fair and consistent application of the migration process as contemplated by the Migration Plan.
- Ensure that the migration process is finalised and signed off as complete on the date of finalisation or any other date approved by the HOD.
- Consider all submissions made by the persons appointed by the HOD for the migration of employees into the new structures.
- Communicate all migration decisions taken by the HOD or his/her delegate to the employees.
- Investigate, report and/or make recommendations to the HOD or his/her delegate on any other matter that it is empowered to in terms of the Migration Plan.

7.3 Powers of the Committee

- While the power to confirm or reject any migration proposal vests ultimately with the HOD or his/her delegate, the Committee is empowered to consider and make recommendations to the relevant HOD or his/her delegate on all matters relating to migration proposals submitted to it, and issues relating thereto.
- In making its recommendation to the relevant HOD, the Committee may either confirm or reject any migration proposal submitted to it.
- Subject to the HOD’s or his/her delegate’s prior written approval, the Committee may invite any other persons to attend meetings or otherwise assist the Committee in discharging its obligations, the cost of which (if applicable) will be borne by the department concerned in accordance with the limitations determined by the HOD.
- The Committee should evaluate its own performance on a regular basis to ensure ongoing compliance with the Migration Plan, and for the purposes of recommending continuous improvements that may be made to ensure the efficient and effective migration of employees.
7.4 Migration decisions

- The persons appointed by the HOD should, within the time periods determined by the Committee, submit to the Committee for consideration their proposals on the migration of employees into the new structure.
- The information submitted to the Committee must, at the very least, include in respect of each employee:
  - The titles of the old and new posts;
  - The outputs required of the old and new posts;
  - Classification of the post; and
  - Recommended migration of employees into the new structure or the corporate pool.
- All relevant documentation must be included where possible to enable the Committee to obtain a full assessment of the migration proposals.
- The Committee will consider the submissions and either confirm or reject, with written reasons, the recommendations submitted to it, all of which must be submitted to the relevant HOD and/or his/her delegate within five working days from the date of receipt of the migration recommendations.
- The HOD or his/her delegate should thereafter make a final determination within two working days of receiving the Committee’s recommendations.
- The HOD or his/her delegate should refer the outcome back to the Committee who should then notify the employee in writing of the decision and any reasons for that decision.
- The Committee must advise the employee of the right to lodge an objection to any aspect of his or her migration or displacement in accordance with the procedures set out in the migration plan.
- The Chairperson of the Committee must ensure that minutes, copies of all reports and other relevant data relied on by the Committee in reaching its decisions and the communication thereof are properly maintained.

8. Migration Objections

Employees aggrieved at any decision regarding their migration or displacement, or any aspect of the migration process in general, may refer their objection to the HOD (or such other person or panel delegated to do so by the HOD, other than those persons involved in the initial migration decision) in accordance with the procedures set out below.

The HOD must make a written determination that either upholds or rejects, in whole or in part, an employee’s objection. The HOD may secure the services of any other person(s) to carry out or assist him/her in carrying out any functions or duties assigned to the HOD in terms of the migration plan.

The HOD may call upon the parties concerned, and any other relevant persons, to make oral or written representations, as deemed appropriate in the circumstances.

8.1 Lodging a Migration Objection

- An aggrieved employee may lodge a written objection to the HOD, which must contain sufficient detail to enable the HOD to make an informed decision.
- The objection must be lodged within three working days of the aggrieved employee receiving
written notification or publication from the Committee of the decision pertaining to that employee.

- The HOD should, as far as reasonably possible, consider the objection within five working days from the date of receipt of the objection.
- The HOD may condone the late referral of a migration objection on good cause shown.
- In determining whether or not to allow the late lodging of the objection, the HOD should consider:

  a) The reasonableness of the explanation: if the explanation is improbable, it should count against condoning the delay, and vice versa.
  b) The prejudice that others may sustain as a result of the request being granted or refused.
  c) The employee’s prospects of succeeding with the objection.

8.2 Final Determination

- The HOD must make a finding, either settlement or dismissal of the objection, within five working days of receiving the objection.
- In making any finding, the HOD must do so with reference to what is fair in all the circumstances in accordance with the Migration Plan, any applicable laws or authority, and have regard to the principles of good practice.
- The HOD’s findings must be in writing, and must include a summary of the reasons for the finding, and ensure that it is sent to the employee, the employee’s manager, and the relevant functional head.
- Where the employee’s objection has not been upheld, the HOD must advise the employee of his/her right to refer a dispute to the relevant Bargaining Council, using the relevant procedural protocols.
## ORGANISATIONAL MATURITY (OM) DIAGNOSTIC TOOLKIT

### CATEGORIES

<table>
<thead>
<tr>
<th>OVERVIEW</th>
<th>OM 1</th>
<th>OM2</th>
<th>OM3</th>
<th>OM4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dysfunctional [Change Resistant]</td>
<td>Cannot perform basic functions effectively. Success when it happens is by chance or individual effort. Management weakness prevalent.</td>
<td>Performs most basic functions effectively with low impact on external customers/constituencies. High dependency on management and/or individuals in fire-fighting mode.</td>
<td>Consistently meets objectives at most levels of the organisation with medium levels of customer/stakeholder satisfaction. High levels of management and lack of appropriate delegation.</td>
<td>Consistently meets stretch targets across the organisation with high levels of external impact on customers/stakeholders. Management pre-occupied with planning and leading. Appropriate delegation in place.</td>
</tr>
</tbody>
</table>

### STRATEGIC FOCUS

<table>
<thead>
<tr>
<th>STRATEGIC PRIORITISATION</th>
<th>Unfocused &quot;spray and pray&quot; approach focused on operational priorities.</th>
<th>Most convincing divisional business cases become organisational priorities.</th>
<th>Disciplined approach within silos to formulate priorities. Centralised approach to finalise strategic priorities.</th>
<th>Disciplined, collaborative and consensual process is followed to the identification of strategic priorities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PLANNING</td>
<td>Little awareness and consideration of national priorities and the plans of &quot;sister&quot; departments in business planning. Regulatory frameworks, laws and collective agreements not considered in business planning.</td>
<td>Basic awareness of national priorities and the focus areas of &quot;sister&quot; departments and some inclusion in business planning. Some consideration of regulatory frameworks, laws and collective agreements in business planning.</td>
<td>Good awareness of national priorities, focus areas of &quot;sister&quot; departments, relevant regulatory frameworks, laws and collective agreements. These are all considered and included in the central business plan.</td>
<td>High levels of alignment and collaboration in the development and review of plans across departments through joint committees thereby enabling &quot;joined-up&quot; government.</td>
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<td></td>
<td>Planning is uncoordinated. Good business plan may exist on paper but do not guide execution or work practice in the organisation.</td>
<td>Good central business plan with inconsistent quality of planning within and between units.</td>
<td>Consistent, disciplined business planning across all units with regular monitoring of progress.</td>
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</tr>
<tr>
<td>LEADERSHIP FOCUS</td>
<td>Very low levels of leadership focus on key challenges. Leadership pre-occupied with crisis management and conflicts [dealing with symptoms rather than causes].</td>
<td>Low levels of leadership focus on efficiency and effectiveness. Leaders often involved in directly managing execution rather than working through others.</td>
<td>Key leaders aligned and focused on internal efficiency and effectiveness. Leaders able to mobilize their managers to execute plans.</td>
<td>All leaders aligned on the strategic challenges. Leaders able to creatively generate new solutions to meet challenges.</td>
</tr>
<tr>
<td>CUSTOMER FOCUS</td>
<td>Little or no focus on customers unless there's a crisis.</td>
<td>Customer service is erratic [there are good days and bad days].</td>
<td>Focused on customers. Listed as part of the organisation's values.</td>
<td>Strong focus on customers [obsessed with service]. Service is a value that is &quot;lived&quot; in the organisation.</td>
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<tr>
<td>Few processes or poorly formulated processes to meet customer needs and expectations.</td>
<td>Basic processes in place to support customer service. Poor understanding of processes or ill discipline results in inconsistent use of processes.</td>
<td>Unable to change rigid internal processes that support customer service.</td>
<td>Able to change internal processes to meet customer needs.</td>
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</tr>
<tr>
<td>Little understanding and appreciation of external customer needs.</td>
<td>Pockets of good understanding and appreciation of the needs and expectations of some external customers (most visible, vocal customers).</td>
<td>General awareness and understanding of the profile, needs and expectations of external customers.</td>
<td>Segmented view of external customers exists. Deep understanding and appreciation of the needs and expectations of each segment.</td>
<td></td>
</tr>
<tr>
<td>Little interface and interaction with external customers.</td>
<td>Some interface with customers (one-way information distribution). Does not initiate interactions to engage with customers on their needs and expectations.</td>
<td>Sporadically initiates interaction with customers to understand needs, expectations and service issues.</td>
<td>Consistently engages with customers through surveys and interventions to understand the extent to which services and products meet the needs and expectations of customers.</td>
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</tr>
<tr>
<td>No identification and recognition of internal customers.</td>
<td>Pockets of good internal customer service. Dependent on individual providing service and the expectations of the manager requiring the service.</td>
<td>Internal customer service driven through SLAs.</td>
<td>Service of internal customer service is entrenched and &quot;lived&quot; as an organisational value.</td>
<td></td>
</tr>
<tr>
<td>GOOD GOVERNANCE</td>
<td>Delegation of authority may exist, but is either not understood or implemented by managers and management structures.</td>
<td>Pockets of adherence to delegation of authority.</td>
<td>All managers and management structures are aware of the delegation of authority which is generally adhered to.</td>
<td>Delegation of authority is clear, followed by all and is an indicator within the area of good governance in performance contracts.</td>
</tr>
<tr>
<td>Basic, weak financial management systems and processes (financial planning, forecasting, budgeting, administration, controls and reporting) in place resulting in qualified audits.</td>
<td>Some financial management systems and processes are more functional than others. Standards of application are inconsistent resulting in an overall qualified audit result.</td>
<td>Functional financial management systems and processes in place. Although not best practice they contribute to positive audit results.</td>
<td>Financial management systems and processes (financial planning, forecasting, budgeting, administration, controls and reporting) are robust, best practice and have high integrity resulting in good audits.</td>
<td></td>
</tr>
<tr>
<td>Little or no understanding of risks (internal &amp; external) faced by the organisation. Risk management processes as such, are absent, basic or weak resulting in qualified audits.</td>
<td>Some understanding of risks (internal &amp; external) faced by the organisation. Some risk management processes in place, but not monitored and tracked to add sufficient value to decision making. Untimely mitigation of risks results in qualified audits.</td>
<td>Good understanding of risks (internal &amp; external) faced by the organisation. Functional risk management processes in place, but inconsistently monitored and tracked. Actions to mitigate risks are often slow in implementing due to red tape. Accuracy and impact of mitigating actions influence audit results.</td>
<td>Deep understanding of risks (internal &amp; external). Rigorous, best practice risk management processes in place, consistent monitoring &amp; tracking of mitigating actions. Contributes to good audit results.</td>
<td></td>
</tr>
<tr>
<td>PROGRAMME MANAGEMENT</td>
<td>No programme management capability.</td>
<td>Sporadic application of project management practices by individual managers in implementation of strategic initiatives.</td>
<td>Project management is the standard through which all initiatives are implemented</td>
<td>Project-oriented organisation with high PM capability across the organisation. Enterprise-wide PMO that is</td>
</tr>
<tr>
<td>ORGANISATIONAL CAPABILITY</td>
<td>PERFORMANCE MANAGEMENT</td>
<td>LINE MANAGEMENT FOCUS</td>
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<tr>
<td><strong>ORGANISATIONAL CAPABILITY</strong></td>
<td><strong>Performance management</strong></td>
<td><strong>Managers are passive and incapable of managing their teams.</strong></td>
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<tr>
<td><strong>Consultant dependent</strong></td>
<td><strong>No alignment to other strategic projects in the organisation as a result of low awareness of the projects being implemented in the organisation.</strong></td>
<td><strong>Managers are not able to 'get things done' consistently. Only some units are managed effectively. Managers in crisis mode.</strong></td>
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<tr>
<td><strong>Formal structures to lead and manage the change are not in place</strong></td>
<td><strong>In pockets of excellence, there will be a project sponsor and the project team will be functional. There will be access to information and decision makers to ensure implementation. No standardised approach and tools across the organisation. Where the project is managed well, staff are released for training.</strong></td>
<td><strong>Managers consistently understand what is expected of them and deliver results. Most managers can manage units effectively.</strong></td>
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<tr>
<td><strong>Managers do not understand the contribution of collaboration and teamwork to the improved initiative.</strong></td>
<td><strong>Where collaboration and teamwork does take place it is initiated by a few managers to deal with a</strong></td>
<td><strong>Management and staff understand what is expected of them and deliver results. Managers lead their units to achieve goals in collaboration with others, thereby fostering interdependence.</strong></td>
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<tr>
<td><strong>Performance management system is absent or ad hoc at best. Where it does exist it is focused on the heroes. Organisation is characterised by a &quot;manpower management&quot; mindset which provides little opportunity for talent to develop and thrive in organisation.</strong></td>
<td><strong>Career management of talent/high performers is managed informally by a few managers in the absence of a formal policy, process or succession plan. Issues of favouritism often arise as link between PM and career management not well communicated and understood across the organisation.</strong></td>
<td><strong>Managers not able to 'get things done' consistently. Only some units are managed effectively. Managers in crisis mode.</strong></td>
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<tr>
<td><strong>Performance management system is in place but is inconsistently applied across business unit or incorrectly applied.</strong></td>
<td><strong>Career management absent or ad hoc at best. Where it does exist it is focused on the heroes. Organisation is characterised by a &quot;manpower management&quot; mindset which provides little opportunity for talent to develop and thrive in organisation.</strong></td>
<td><strong>Managers consistently understand what is expected of them and deliver results. Most managers can manage units effectively.</strong></td>
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<tr>
<td><strong>A few managers effectively differentiate between poor, average and good performance.</strong></td>
<td><strong>Individual development plans are contracted in complying with the performance management process. Career management is focused on improving performance in current role and is the responsibility of training and development mindset.</strong></td>
<td><strong>Managers understand the contribution of collaboration and teamwork to the improved</strong></td>
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<tr>
<td><strong>No differentiation between poor, average and good performance.</strong></td>
<td><strong>Performance management is understood and conducted consistently across the organisation and is recognised as a lever of organisational performance.</strong></td>
<td><strong>Collaboration and teamwork are entrenched behaviours across the organisation and are</strong></td>
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<tr>
<td><strong>Performance management system in place, well understood and used across the organisation.</strong></td>
<td><strong>Performance management is an integral part of the organisation's Talent Management strategy. It is future focused and driven by a human capital management mindset. High performers take responsibility for managing their careers.</strong></td>
<td><strong>Most managers understand the value of collaboration and teamwork. It is encouraged for specific</strong></td>
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<tr>
<td><strong>Most managers effectively differentiate between poor, average and good performance.</strong></td>
<td></td>
<td><strong>Collaboration and teamwork are entrenched behaviours across the organisation and are</strong></td>
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<tr>
<td><strong>Management is adept at managing performance. Poor performers are actively managed. High performers are recognised and rewarded.</strong></td>
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<td><strong>Managers understand the contribution of collaboration and teamwork to the improved</strong></td>
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<tr>
<td><strong>Good level of PM capability in the organisation. PMOs are project driven and form and disband based on projects. PMOs tend to be divisional resulting in projects being implemented in silos. Staff are scheduled to attend training and attendance is monitored and reported on in project status reports.</strong></td>
<td></td>
<td><strong>Collaboration and teamwork are entrenched behaviours across the organisation and are</strong></td>
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<td></td>
<td><strong>Governance and change structures are in place. Standardised approach and methodology across the organisation. PM is a core requirement for Management roles. Utilisation of cross-functional teams on projects.</strong></td>
<td><strong>Managers understand the contribution of collaboration and teamwork to the improved</strong></td>
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<tr>
<td>PEOPLE CAPABILITY</td>
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<tr>
<td><strong>COMPETENT KEY PLAYERS</strong></td>
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<tr>
<td>Poor recruitment, selection and placement of people – [right people in the right place for less than 40% of the organisation].</td>
<td>Personality driven recruitment and selection with long cycle times - [right skills in the right place for 40% - 60% of organisation]. Vacancy management is poor.</td>
<td>Good recruitment, selection and placement of people [right skills in the right place for more than 60% of organisation].</td>
<td>The right people are selected and promoted almost always. Talent management systems in place including succession planning for key roles.</td>
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<tr>
<td>Workforce planning is not conducted.</td>
<td>Recruitment and selection not informed by workforce planning.</td>
<td>There is a good understanding of the current competencies required in each unit. However, forecasting process is not standardised and no centralised view of current and future competencies required exists.</td>
<td>Workforce planning is an integrated part of the talent management system that enables the right people with the right skills to be placed at the right time.</td>
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</tr>
<tr>
<td><strong>ROLES, RESPONSIBILITIES &amp; COMPETENCIES</strong></td>
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<tr>
<td>Role profiles (purpose of the role, description of responsibilities, outputs, competencies) do not exist, or are not relevant.</td>
<td>Role profiles may exist in the form of generic descriptions of responsibilities and competencies. Some role profiles may be customised by a few managers in order to agree responsibilities with their staff.</td>
<td>Clear, relevant role profiles exist for all roles and agreed across the organisation.</td>
<td>Role profiles (purpose of the role, description of responsibilities, outputs, competencies) exist,</td>
<td></td>
</tr>
<tr>
<td>Individuals do not understand what they need to do and what they need to achieve.</td>
<td>Individuals understand what to do, but may lack an understanding of the required outputs and competencies of the role. This will impact the level of performance of the role incumbent.</td>
<td>Most individuals understand what to do and the outputs required of the role.</td>
<td>Role incumbents and their respective managers have a deep understanding of what is required (inputs &amp; outputs).</td>
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</tr>
<tr>
<td>In many cases, there is a poor fit between the individual and the requirements of the role because managers are not aware of/do not fully understand the role profile.</td>
<td>Where technical/role specific competencies are lacking and managers rely on generic competencies, the likelihood of poor role fit is high.</td>
<td>Average level of job fit across the organisation as the focus remains more on whether work can be performed and less on whether the individual is the best fit for the role.</td>
<td>In most instances, there is a good fit between an individual and their role.</td>
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</tr>
<tr>
<td>In the absence of clear competencies, outputs and role boundaries there is a high likelihood of significant role overlap and compression as individuals do what they have always done/what they think needs to be done at a level at which they are comfortable which drives inefficiency.</td>
<td>Role overlap and compression will continue to contribute to inefficiency as a result of poor clarity created by generic role profiles.</td>
<td>Some role overlap and compression will be present as a result of bureaucratic processes and red tape.</td>
<td>Clear, relevant profiles coupled with good management of performance and development ensure that role overlaps and compression are kept to a minimum.</td>
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<tr>
<td>No connection whatsoever between daily activities and organisation's achievement of its goals.</td>
<td>High disconnect between daily activities and the organisation’s achievement of its goals.</td>
<td>Some alignment between outputs of role and the organisation’s achievement of its goals.</td>
<td>High alignment between outputs of role and the organisation’s achievement of its goals.</td>
<td></td>
</tr>
<tr>
<td><strong>TEAMWORK</strong></td>
<td>On-going conflict within and between teams.</td>
<td>Cross functional conflicts – strong silos.</td>
<td>Unit/divisional teams work well.</td>
<td>Strong team cohesion.</td>
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<tr>
<td>Team is weakly managed – if managed at all.</td>
<td>Task–based team work possible.</td>
<td>Cross functional teamwork only possible with strong senior management.</td>
<td>Able to build ‘matrix’ project teams [with cross functional reporting]. Strong team leadership [capability to manage diverse teams and conflicts].</td>
<td></td>
</tr>
<tr>
<td>Diversity is discouraged and ignored.</td>
<td>Diversity is tolerated.</td>
<td>Diversity is valued.</td>
<td>Diversity is celebrated.</td>
<td></td>
</tr>
</tbody>
</table>

| **ENGAGEMENT** | A low level of employee engagement is reflected in low levels of commitment and low discretionary effort. This is most evident in the low morale amongst significant numbers of employees; and 1 in 3 employees feeling ‘disaffected’ [low levels of pride in and enjoyment of work]. | Some employee engagement is evident in pockets of the organisation. When morale is good in these pockets [some units during some times of the year] there is higher level of commitment and greater discretionary effort. For most employees this is not the case as they ‘work to rule’ and put in minimal effort. | Consistent positive morale amongst most staff across the organisation with more than 60% satisfied with work. This results in above average levels of commitment and discretionary effort. | High levels of pride, enjoyment & commitment with more than 80% stating satisfaction at work. High levels of discretionary effort as a result of at least 1 in 10 employees being ‘true believers’ and who put in extra effort regularly to achieve goals. |

| **EMPLOYEE RELATIONS** | Very little appreciation of Labour as a key stakeholder in the business outside of required interactions. | Relationship between management and Labour is inconsistent and issue driven. | Mature relationship between management and Labour enabling well managed ER. | Strategic common interest with labour with good levels of co-operation and effectively managed relationship. |
| Conflict between management and labour often spills over into unplanned industrial action. | Issue driven conflict that may result in industrial action. | Occasional conflict in the relationship. | Conflict is rare. |
| Little or no consultation with Labour on planned changes resulting in little buy-in by Labour. | Labour is informed of planned changes and potential people impacts prior to implementation resulting in poor buy-in. | Labour is consulted early in the process with regard to potential people impacts. Level of buy-in by Labour is regarded as a risk to be managed. | Collaboration with Labour on planned changes resulting in high levels of buy-in. |

| **CHANGE CAPABILITY** | **CONSENSUS** | There is little understanding of the needs and interests of internal stakeholder segments (Leadership, Management, employees) and external stakeholders segments. This is as a result of a low capability to create consensus on the change. | Pockets of consensus about the change exist within the organisation. This is as a result of a few managers who have the willingness and capability to drive change that have identified and analysed the needs and interests of internal and external stakeholders. Within these pockets there is a good level of consensus amongst management levels regarding the change. However, little consensus exists with external stakeholders as little understanding of external stakeholders exists. | There is a sufficient level of understanding of the needs and interests of internal stakeholder segments (Leadership, Management, employees) and external stakeholders segments for the organisation to experience consensus on the change that will be introduced. This is as a result of buy-in by most management and a good capability to create consensus regarding the change. | There is a high level of understanding of the needs and interests of internal stakeholder segments (Leadership, Management, employees) and external stakeholders segments. This is as a result of a high level of capability to create buy-in and build internal and external consensus on the changes. |
| The organisation is characterised by conflict and disagreement and poor alignment amongst Leadership/between Leadership and management. | In general, the organisation is characterised by a mediocre level of buy-in to the change as a result of management’s poor capability to create consensus amongst all the levels in the organisation. | Buy-in to the change is sufficient, and, in general there is consensus across the organisation about the introduction of change. | The organisation is characterised by high levels of commitment to and consensus about the change. |

| Poor understanding, acceptance and effective management of people impact of the change. | Some understanding, acceptance and effective management of people impact of the change. | Sufficient understanding, acceptance and effective management of people impact of the change. | High level of understanding, acceptance and effective management of people impact of the change. |

| TRUST | High levels of mistrust present in the internal environment. This is significantly influenced by the low levels of trust between leaders and employees. | Within the internal environment, moderate levels of trust may be evident within some units as a result of the Leader/manager of the unit. However, the general internal environment is characterised by mistrust, particularly, between employees and management. | Within the internal environment levels of trust tend to be consistent. This is influenced by the perceived trustworthiness of leadership. During crises this level of trust can fluctuate. | The internal organisation is characterised by high levels of trust which is embedded in the culture of the organisation and independent of organisational crises or leadership turnover. |

| Low levels of trust with stakeholders in the organisation’s external environment (other government departments, external stakeholders) as a result of poor collaboration and relationships with these stakeholders. | The level of trust between the organisation and its external stakeholders varies, but can generally be described as mediocre. The level of trust correlates with the trustworthiness of the individuals involved. | Trust relationships with external stakeholders are sound. | High levels of trust between the organisation and its stakeholders. Organisation is perceived as trustworthy. |

| Customers have a complete lack of trust in the organisation. | Customers have trust in some units within the organisation, but in general, the level of trust is low. | Customers have a moderate to good level of trust in the organisation. | Customers have a high level of trust in the organisation. |

| COMMUNICATION | Communication channels are limited and exist to distribute formal top down information. | Some units within the organisation may have additional channels to facilitate two-way communication within the unit. Communication is top down. | Good internal systems and channels for disciplined communication that reaches everyone. | Communication channels are utilised to support the free flow of communication and high levels of engagement between leaders and employees. Face to face engagement is frequent. |

| Communication is often late or irrelevant with very little meaning created. Meaning is created through gossip and rumor. | Organisation wide communication channels are slow and inconsistent with poor reach. | The messages get out at the right time driven by compliance rather than meaning. | Frequent meaningful & interactive communication with valued rituals that build trust and commitment. |

| Little communication with external stakeholders and customers other than through annual reports and adhoc press releases in response to crises. | Communication with external stakeholders and customers is infrequent and inconsistent. | Communication with external stakeholders and customers is disciplined and meaningful. | Frequent, meaningful communication and engagement with external stakeholders and customers. |
CONSULTATION PROCESS ON THE FRAMEWORK

Initial consultations at a conceptual level took place during 2010 when a conceptual document was developed that informed the development of the Change Management Strategy Framework. Such a concept document was presented at the KwaZulu/Natal (KZN) Arts and Culture Learning Network on 30 July 2010; followed by a presentation at the Batho Pele Forum on 20 October 2010.

Once the 1st draft of the Change Management Strategy Framework had been developed, consultation presentations were made to the SDOT Branch on 14 December 2010; followed by a presentation to the Public Service Senior Managers at the KHAEDU Colloquium held on 26 January 2011. The National Treasury’s Technical Assistance Unit (TAU) was consulted on 15 February 2011, in view of the Project Management Methodology that they have developed which consists of some aspects of change management.

A paper titled “Service Delivery Excellence: Change Management as a key success factor for achieving excellence in the Public Service” was delivered at the South African Association of Public Administration and Management (SAAPAM) on 17 February 2011, and the draft Strategy Framework was contextualized within the theme of the paper and inputs were thus solicited.

A paper titled “Excellence and Innovation in the Public Service Labour Relations System: Managing Change as a Key Success Factor” was also delivered at the Public Service Collective Bargaining Council (PSCBC) 2nd Biennial Labour Relations Conference on 16 March 2011. Again the role of the draft Strategy Framework was contextualized within the theme of the paper and inputs were thus solicited.

On 28 March 2011 the draft Strategy Framework was presented to the DPSA Management Committee (MANCO), and to the G&A Working Session on 19 April 2011. Subsequent to the G&A Working Session presentation, further consultations took place on the Strategy Framework at provincial workshops and the SDOT Steering Committee (Sub-Committee on Change Management and Batho Pele) during July 2011 to October 2011.

The strategy framework was presented at the Governance and Administration (G&A) Cluster on 3 May 2012 where further input was given and a recommendation made that it be submitted to the Minister for Public Service and Administration for approval and for noting by Cabinet.