CHAPTER ONE: PUBLIC SERVICE OPERATIONS MANAGEMENT

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CHIEF DIRECTORATE: OPERATIONS MANAGEMENT
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CHAPTER ONE: PUBLIC SERVICE OPERATIONS MANAGEMENT

1. Introduction

The Batho Pele White Paper on Service Delivery, 1997 outlines a clearly defined implementation strategy for organisational transformation in line with Batho Pele Principles. The White Paper also maps out the process that should be followed and mechanisms to be used towards continuous service delivery improvement in the public service. The fundamental ethos of placing people first is not only captured in the White Paper on Service Delivery but has been an integral part of the legislative processes followed by different departments within the public service. The major challenges, however, remain Government’s machinery and mechanisms to deliver quality services to all citizens in a fast, efficient, simplified and seamless manner. The machinery and mechanisms specifically designed to be utilized for operations management and implementation are presented in this framework.

2. Problem Statement

Although access to government services has improved for many people in South Africa since 1994, reports and studies undertaken highlight that government services are still not equally accessible to all South Africans nor at the desired level of delivery especially in rural areas. Although visible progress has been made with the transformation process and improved service delivery, this has not always been matched by sufficient capacity to deliver and sustain quality services. This is compounded by the perception and, in some areas the reality, of ineffective and inefficient mechanisms for dealing with incapacity in terms of service delivery.

Despite the creation of an enabling environment through regulatory frameworks and support mechanisms both internally and externally, departments still struggle with the continuous improvement and delivery of quality services to all, for example:

- The lack of operational strategy;
- The inability in most cases to map services provided to ensure effective and efficient delivery;
- The non-existence of service delivery models putting forward on how departments will address their mandates;
- The lack of standard operating procedures in departments;
- Inconsistent and in some instances outdated Service Charters, which is a consultative document that is supposed to clearly set out standard of services the citizens can expect from government;
- Quality and service standards have not always improved, despite massive increases in successive budgets. In some areas service quality and standards have deteriorated;
Institutionalisation of Service Delivery Improvement Plans to ensure sustainable continuous service delivery improvement;

Limited attention to operations planning and control;

Analysis of services rendered; and

Focus on continuous service delivery improvement, etc.

3. Why the Operations Management Framework (OMF)

Public Service managers are, amongst others, responsible for:

- Design and delivery of services to service beneficiaries;
- Managing operational resources; and
- Continuous improvement and success of the department

In lieu of the above, the OMF provides structure and guidance to all public service managers in executing their responsibilities.

By giving structure to public service managers through the OMF, it will be ensured that service beneficiaries will be more satisfied with the services provided and furthermore ensure provision of right services, experiences and outcomes for the service beneficiary.

In turn, this will lead to a better experience for staff in terms of dealing with service delivery and a better understanding of operational processes. Better public service operational management will also lead to improved business processes which should be cheaper, more efficient and reducing operational costs.

Operations Management is important due to the following:

- Reducing costs of products and services and being more efficient and effective;
- Providing the basis for future innovation by building capacity of operation skills and knowledge within the public service;
- A more relevant, representative and transparent public service environment requires new thinking from public service operations managers; and
- Improving operations can be an effective way to improve the overall performance of a department.

Based on this, the OMF is underpinned by the following key principles:

- Promoting the agenda of a developmental state by institutionalising quality service delivery through effective and efficient mechanisms within the public service;
- Responding to needs of vulnerable groups and the marginalised through enhanced citizen participation;
- Promoting cohesiveness; joined-up interventions through aligned structures, integrated systems and processes;
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- Flexibility, adaptability, and responding to the contextual and sectoral differences; and
- Institutionalising a culture of performance focus, learning and knowledge management within the public service.

4. Legislative Framework

The Regulatory Framework is supported by an integrated system of management functions, including strategic planning, human resources planning, service delivery improvement planning, financial planning, performance management and compensation management. This support system is known as the Public Service Management Framework (PSMF).

Constitution

Chapter 10 section 195 (1) of the Constitution outlines that the Public Administration must be governed by the following basic democratic values and principles:

- A high standard of professional ethics must be promoted and maintained;
- Efficient, economic and effective use of resources must be promoted;
- Public administration must be development-oriented;
- Services must be provided impartially, fairly, equitably and without bias;
- People’s needs must be responded to, and the public must be encouraged to participate in policy-making;
- Public administration must be accountable; and
- Transparency must be fostered by providing the public with timely, accessible and accurate information.


The transformed South African public service will be judged on its effectiveness in delivering quality service delivery which meets the basic needs of all. The WPTPS sets out eight (8) transformation priorities among which, “Transforming of Service Delivery is central”. The White Paper provides a framework to enable national and provincial departments to develop and implement departmental service delivery strategies. It signals government’s strong intention to adopt a citizen-orientated approach to service informed by eight principles.


Part III: C of the Public Regulations (PSR) advances the implementation of Batho Pele by making provisions for the regulations of the development of Service Delivery Improvement Programmes by all departments within the public service. The PSR in this regard argues that:
• An executing authority shall establish and sustain a services delivery improvement programme for his/her departments, (Part III. C. 1).
• An executing authority shall publish an annual statement of public service commitment, which will set out the department’s standards that citizens can expect and which will serve to explain how the department will meet each of the set standard, (Part III. C. 2).

The executing authority in this regard, is expected to provide quality services with the best value for money, setting of measurable objectives for his/her departmental set service standards, with optimal usage of government’s human and other related resources through fair labour practices.

**Promotion of Access to Information (PAIA), Act 2 of 2000**

The PAIA gives effect to right of access to information held by the State and/or by a person required for the exercise or protection of any rights; and to provide for matters connected therewith.

**Promotion of Administrative Justice (PAJA), Act 3 of 2000**

The Bill of Rights guarantees the right to “just administrative action” which includes the right:
• To fair and reasonable administrative action that is allowed by the law; and
• To be given reasons for administrative action affecting them in a negative way.

**Public Finance Management Act (PFMA)**

The PFMA argues against the development of strategic plans in isolation and that, these plans must be integrally linked to a departmental service delivery improvement programme.

**Promotion of Equality and Prevention of Unfair Discrimination**

The Promotion of Equality and Prevention of Unfair Discrimination seeks to:
• Prohibits unfair discrimination by both the state and private actors;
• Provides remedies for the victims of unfair discrimination; and
• Promotes the achievement of substantive equality.

**Inter – Governmental Relations Framework Act (IGR): 2005**

The IGR Act promotes and facilitates inter-governmental relations between the three spheres of government. It serves to facilitate co-ordination in the implementation of policy and legislation, which include: coherent government, effective provision of services, monitoring implementation of policy and legislation and the realization of government priorities.

Chapter 4 of the Municipal System Act stipulates that at every municipality, there must be structures and mechanisms created to encourage a system of “participatory governance”.

Public Administration Management Act (2015)

Chapter 2 of the Public Administration Management Act stipulates that the head of a national or provincial institution must establish and maintain the prescribed service charter setting out measures to—:

- Improve the efficiency and quality of, and accountability for, services to best meet the needs of the recipients of such services; and
- Foster a culture of service delivery, professionalism and ethical conduct among employees

5. Operations Management

Operations Management is the activities, decisions and responsibilities of managing the production and delivery of products and services. The operations function is the arrangement of resources that are devoted to production and delivery of products and services. Operations Managers are the staff of the organisation that has particular responsibility for managing some or all of the resources which comprises the operations functions.

It is one of the core functions of any business, although it may not be called operations management in some industries. Operations Management is concerned with managing processes and therefore has relevance for all managers.

All operations can be modelled as input-transformation-output processes. They all have transforming resources which are usually divided into facilities and staff, and transformed resources, which are some mixtures of material, information and customers. Few operations produce only products or only services. Most produce some mixture of tangible goods or products and less tangible services (for example policy making and setting of minimum norms and standards for the rest of the public service).

In any organisation, both core functions (creating and delivering products and services to service beneficiaries/citizens in line with their requests/needs/demands); and support functions (finance & accounting; HR) manage processes. All managers are “Operations” Managers – they all should strive to give quality services to their internal and external stakeholders/citizens and they should do this efficiently and effectively.

The OMF puts in place the capacity for planning, developing, implementation and institutionalisation of service delivery tools, systems, processes, mechanisms and intervention programmes that are meant to improve and
institutionalise quality service delivery to all. Central to this, is the development of the Operations Management and Implementation value chain that includes individual guidelines and toolkits stipulating the minimum required norms and standards for operations strategy, operations design, operations planning and control as well as operations analysis and improvement. The above include compliance and measures resulting in continuous service delivery quality improvement whilst promoting and sustaining learning and knowledge management within the public service. The focus areas within strive towards the development, implementation, monitoring and reporting on service delivery improvement mechanisms and the implementation thereof to ensure sustainable quality service delivery to all. The Operations Management and Implementation value chain looks as follows:
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National Development Plan  MTSF  Strategic Plan  Annual Performance Plans

**Resources:**
- Materials,
- Information
- Customers

- Facilities
- Staff

**Input:**

**Transformation:**

**Output:** Goods and Services

**Operations Analysis & Improvement**
- Organisational Functional Assessment
- Productivity
- SDIP
- Learning & Knowledge Management

**Operations Strategy**
- Service Delivery Model

**Operations Planning & Control**
- Forecasting
- Planning of operations
- Control of operations
- Adjustment of operations

**Operations Design**
- Business Process Management
- Standard Operating Procedures
- Service Standards and Charter
- Organisational Development

**Operations Analysis & Improvement**

**Operations Strategy**

**Operations Planning & Control**

**Operations Design**

**Goods and Services**
All operations produce products and services by changing inputs into outputs. They do this by using the input-transformation-output process. The transformation model describes operations in terms of input resources, transforming processes and output of goods and services.

**ACTIVITIES OF OPERATIONS MANAGEMENT**

| Understanding the operations strategic objectives | The operations management team needs to understand what it is trying to achieve.  
|                                                   | This means developing a clear vision to help the department to achieve its long term goals.  
|                                                   | Translation of the organisational goals into implications for operations performance objectives, quality, speed, dependability, flexibility and cost.  
|                                                   | The strategic objectives of the department must be aligned to the NDP and MTSF. |
| Developing an operations strategy for the organisation | It is vital that operations managers have a set of general principles which can guide decision making towards the organisations longer term goals.  
|                                                     | The operations strategy is reflected through amongst others the SDM. |
| Designing the operations products, services and processes | Design is the activity of designing the form, shape and composition of products, services and processes.  
|                                                        | Design is crucial to the operation's activities.  
|                                                        | Typical design tools are amongst others, mapped and managed business processes, implemented standard operating procedures and developed service standards reflected in a service charter. |
| Planning and Controlling the operation | Planning and control is the activity of deciding what the operations resources should be doing, and making sure that they are really doing it through monitoring thereof. |
| Improving the performance of the operation | The continuing responsibility for all operations managers is to improve performance of their operation. |
5.1 Operations Strategic Objectives

The National Development Plan

The National Development Plan (NDP) offers a long-term perspective. It defines a desired destination and identifies the role different sectors of society need to play in reaching that goal.

As a long-term strategic plan, it serves four broad objectives:

- Providing overarching goals for what we want to achieve by 2030;
- Building consensus on the key obstacles to us achieving these goals and what needs to be done to overcome those obstacles;
- Providing a shared long-term strategic framework within which more detailed planning can take place in order to advance the long-term goals set out in the NDP; and
- Creating a basis for making choices about how best to use limited resources.

The Medium Term Strategic Plan

The MTSF is government’s five year plan that identifies indicators and targets to be achieved in the 2014-2019 period, similar to the existing delivery agreements for the 14 outcomes. The MTSF will contain the following for each of the outcomes:

- Key targets from the NDP and from other plans, such as the New Growth Path, National Infrastructure Plan, and Industrial Policy Action Plan;
- Current baseline for each target and the MTSF (2014-2019) target based on consideration of a trajectory to 2030; and
- Key outputs and actions to achieve the target and department(s) responsible.

Strategic Plan

The strategic plan sets out the department’s priorities, project plans and policies for a three/five year period within the scope of available resources.

The Strategic Plan of a department is developed to ensure alignment to the MTSF priorities which are informed by the critical priorities as identified in the National Development Plan. The strategic plan reflects on the specific indicators, targets and actions to be implemented by the department over the 2015/20 financial years. Strategic Plans identify strategically important outcomes orientated goals and objectives against which public departments’ medium-term results can be measured and evaluated by Parliament, provincial legislatures and the public.
Annual Operations Plan

An Annual Operations Plan sets out what the institutions intends doing in the upcoming financial year and during the MTEF to implement its Strategic Plan.

Annual Performance Plans identify the performance indicators and targets that the department will seek to achieve in the upcoming budget year. It is important that these performance indicators and targets are aligned across an institution’s annual plans, budgets, and in-year and annual reports.

In essence the above plans outline government’s priorities in terms of what needs to be done. The operations management framework and methodology gives rise to how government’s strategic objectives will be implemented.

5.2 Operations Strategy

5.2.1 Service Delivery Model

The development, implementation and institutionalization of Service Delivery Models (SDM) which seek to unpack how the department is going to deliver on the determined strategy, as such, it analyse the possible modes of delivery and describe the “how” service will be delivered. A service delivery model should be done annually to assist and support management in determining the most suitable operating model to meet mandated and overall service delivery expectations.

5.3 Operations Design

5.3.1 Business Process Management

"Business Process Management (BPM) according Guide to The BPM CBOK®, is a disciplined approach to identify, design, execute, document, measure, monitor, and control both automated and non-automated business processes to achieve consistent, targeted results aligned with a department’s strategic goals."

BPM thus involves the deliberate, collaborative and increasingly technology-aided definition, improvement, innovation, and management of business processes that enable a department to meet its business objectives with more agility. It enables a department to align its business processes to its strategic plan and SDM.

In the context of the South African government, BPM can be described as the broad collection of activities within a department concerned with the identifying, classifying, documenting, measuring, analysing, improving,
integrating and maintaining processes with the ultimate goal of serving the service recipient better thus, through achieving the various departmental strategic goals. In short, business processes are the heartbeat of any department as processes assist in performance or productivity improvement.

Business processes can assist any department in taking accurate decisions on structure design once processes have been defined and mapped. It ensures standardisation of the delivery of services and products in government departments leading to better productivity within government. The greatest advantage of BPM is that it helps an organisation to understand how things are really done in the department, revealing problems, bottlenecks and inefficiencies that could remain hidden in any typical department that on the face of it may seem functioning normally.

BPM also contributes to a better understanding of the ultimate goal and output of the department and the individual's role in it. Most importantly is the notion that processes and their output are the real interface with a department's service recipients - not just individual functions of a department.

5.3.2 Standard Operating Procedures

The Standards Operating Procedures (SOPs) require the specification in writing of “what should be done”, “when”, “where”, by “whom” and “how”. SOPs in this regard strive to ensure value for money in the working environment especially if investment is made on the time and energy towards its development and implementation. The SOP document details the regularly recurring work processes that are to be conducted or followed within a department. This include the way activities are to be performed to facilitate consistent conformance to technical and quality requirements and to support quality of work. The benefits include the maintenance of their quality control and quality assurance processes whilst ensuring compliance with governmental regulations.

5.3.3 Service Standards and Service Charters

Service Standards help to measure the extent to which set objectives are met and they should therefore be made public to allow others to judge departmental performance within the public service. Setting of service delivery standards is an evolutionary process that goes hand-in-glove with transparency and consultation to make it meaningful. As part of a continuous improvement strategy, service standards, should be continuously reviewed and revised, as service becomes more efficient. The public officials have both a legal and a moral responsibility to deliver the best possible services to the public, within a realistic and feasible framework as underpinned in the Regulatory Framework and the 8 Batho Pele Principles.

Within the context of Batho Pele, providing quality services means putting in place a service delivery system that meets the needs of the people it serves. It is the very essence of respecting the dignity of the people
departments serve and acknowledging their rights to those services. The quality of service delivery depends on the extent departments are able to internalise the spirit of Batho Pele. In order to receive the quality and quantity of services, service recipients must also be made aware of their responsibilities e.g. they must provide information accurately, explain their situations honestly and undertake to behave courteously and respectfully towards the service provider.

A Service Charter is a public document that sets out the standards of service that service beneficiaries can expect from a government department, as well as its complaints mechanisms. The key objectives of developing a Service Delivery Charter are to express a commitment to service delivery in which:

- Published standards of service delivery are maintained;
- The treatment of all end-users as customers is encouraged;
- Clients’ rights are protected;
- Relationships with clients are enhanced; and,
- The transformation of the public service from a rules bound bureaucracy to a results driven organisation is accelerated.

5.3.4 Organisation Structure and Design

Effective organisational structures in the public sector matter to the nation, government, public sector organisations and individuals employed in these organisations.

A government department or institution needs effective organisational structures to deliver on its mandate and on the priorities set by government. In practical terms this means that:

- An effective organisational structure is necessary to implement the strategic plan. If the structure is not aligned with the strategic plan of the department, the department is not likely to achieve its objectives.
- An effective organisational structure is necessary for the effective service delivery. Structures are the vehicles through which services are delivered.
- An effective organisational structure can assist with efficiency and optimal utilisation of resources. The structure of the organisation can influence how the financial and human resources are allocated and used.
- An effective organisational structure is necessary for staff morale. The way in which the organisation is structured will influence the morale, energy and enthusiasm of the employees.
- An effective organisational structure can assist in fostering the appropriate organisational culture for delivering on the mandate and strategic priorities.
5.4 Operations Planning and Control

5.4.1 Planning of operations

In organisations, planning is a management process, concerned with defining goals for department’s future direction and determining on the missions and resources to achieve those targets. To meet the goals, managers may develop plans such as a production plan, business plan or a marketing plan. Planning always has a purpose. The purpose may be achievement of certain goals or targets.

Planning increases the efficiency of an organization. It reduces the risks involved in modern business activities. It facilitates pairing the available time and resources.

Planning and control is concerned with the reconciliation between what the service beneficiaries requires and what operations resources can deliver. Planning and control activities provide systems, procedures and decisions which brings together different aspects of supply and demand.

Planning is concerned with what should happen in the future. It is the formalisation of what is intended to happen at some time in the future.

The concept of planning is to identify what the organization wants to do by using the four questions which are "where are we today in terms of our strategy planning? Where are we going? Where do we want to go? How are we going to get there?"

5.4.2 Control of operations

Control or Controlling is one of the managerial functions like planning, organising, staffing and directing. It is an important function because it helps to check the errors and to take the corrective action so that deviation from standards are minimised and stated goals of the organisation are achieved in a desired manner.

Control is checking current performance against pre-determined standards contained in the plans, with a view to ensure adequate progress and satisfactory performance. Control in operations management means measuring actual performance and taking corrective action.
5.4.3 Resource Management

Resource management is the efficient and effective deployment and allocation of an organisation's resources when and where they are needed. Such resources may include financial resources, inventory, human skills, production resources, or information technology. Resource management includes planning, allocating and scheduling of resources to tasks, which typically include manpower, machines, money and materials. Resource management has an impact on schedules and budgets as well as resource leveling and smoothing.

5.5 Operations Analysis and Improvement

5.5.1 Organisational Functional Assessment

Organisational Functionality Assessment is a process to assess and diagnose, based on evidence, whether all the necessary service delivery enablers are in place to support delivery processes in an optimum and accountable manner.

It is the Systemic Analysis of Organisational Capacity and Functionality measured against:

- Capacity to Deliver
- Resource Utilization and Deployment

5.5.2 Productivity Management

“Productivity” is regarded as a key success factor for organisations in both the public and private sector. Traditionally defined as the ratio between output and input, productivity has (in the context of the public service) become an important measure of how effectively and efficiently inputs (labour, finances, and infrastructure) are being translated into high quality outputs (goods and services). Achieving a high degree of productivity is an important objective of public service organisations across the world given that it is under increasing economic and political pressure to produce a selected/mandated set of goods and services within the limits of ever-increasing resource constraints. The South African public service is no exception to this global phenomenon. Hence, the development of a Productivity Management Guide for the South African Public Service has become increasingly important. This guide aims to presents a suitable approach for measuring and managing public service productivity.

1 Effectiveness is the extent to which citizen requirements are met, while efficiency is the measure of how the organisation’s resources have been used in providing citizen satisfaction (Neely, 1998).
5.5.3 Service Delivery Improvement Plans

The goal of Service Delivery Improvement Plans (SDIPs) is to provide a mechanism for continuous, incremental improvement in service delivery; as such SDIPs must be credible, effective and realistic. An SDIP seeks to support the achievement of various management objectives, such as:

- Improving communication with employees to encourage them to focus on continuous, improved service delivery;
- Motivating employees to improve their performance levels;
- Providing information to facilitate monitoring by the various government departments involved in transformation; and
- Providing a basis for publishing a document which sets out the organisation’s service standards and a Service Delivery Charter.

For each of the above mentioned building blocks of operations management a separate guideline and methodology has been developed. These guidelines can be utilized to obtain more information on each of the building blocks. In support of each guideline and methodology, toolkits are being developed to further enrich the information on how to go about developing each of the building blocks within a department. At this stage draft toolkits are available for Service Delivery Models, Business Process Mapping, Unit Costing, Standard Operating Procedures and Setting of Service Standards, Service Charters and Service Delivery Improvement Plans.

6. Operations Management Web Enabled System

In order to ensure efficient and effective rollout of the OMF, it was decided to develop an e-platform in order to get every department on board and fully involved. Currently, documentation on the building blocks are sent manually to the DPSA in hard copy or e-mail format. The e-platform will make the sharing of documents much more effective.

The e-platform will be accessible on the DPSA website. The quick link is as follows: http://www.dpsaportal.gov.za/esol/moodle/default.php

The e-platform currently has four functionalities:

- The first category is where all the information regarding operations management is stored such as the Operations Management Framework and Methodology as well as the respective toolkits of all building blocks. This will be an information site open to the public.
- Secondly a database is provided for the uploading of departmental specific information on the building blocks.
• Thirdly provision is made that the system generates statistical reports on departmental submission rates. This will be a reporting site for registered users only and thus only nominated officials from departments will be able to download information.

• Lastly a forum functionality is provided to promote discussion on the various topics.

The information side of the system will be open to everybody, including the public. The user side, however, will be limited to departmental access only. Training assistance will be provided by the DPSA.

7. Conclusion

The White Paper on Transforming Public Service Delivery puts emphasis on how the public service should deal with the realities of transforming the delivery of public services. Implementation emphasized the notion that systems, procedures, attitudes and behaviour within the Public Service and reorients them to deliver quality services to all in the context of Batho Pele. The Operations Management value chain building blocks should be seen as interdependent and reliant on each other to support and improve service delivery over time. In this framework each of the building blocks will be dealt with separately but the interrelatedness of the blocks should never be lost out of sight.
CHAPTER TWO: OPERATIONS STRATEGY:

SERVICE DELIVERY MODEL GUIDELINE AND METHODOLOGY

1. Definition of a Service Delivery Model

A service delivery model (SDM) is a document that describes how a department will deliver on the services and products that were identified during the strategic planning process. A service delivery model should be done annually to assist and support management in determining the most suitable operating model to meet mandated and overall service delivery expectations.

2. Why a SDM?

The strategic plan of a department unpacks and describes “what” a department will be embarking upon during a number of years, usually three or five years. Once it has been determined what a department will be doing, it is time to consider “how” the services will be rendered. This is where the development of a specific SDM for a department becomes necessary as it will analyse the possible modes of delivery and describe the “how” service will be delivered.

3. When to develop a SDM and the time period for the SDM

A SDM unpack how the department is going to deliver on the determined strategy. In accordance to the guidelines issued by the national treasury, strategic plans are valid for a five year period but should be updated and revised every year. To align the processes it thus makes sense to relook the SDM every year during the strategic planning session or directly thereafter.

4. General content of a service delivery model

A SDM contains the following information as a minimum:

- Confirmation of mandated responsibilities,
- An informed list of services to be provided and an indication of who would provide the services to which clients
- The pros and cons of current approaches to service delivery
CHAPTER TWO: OPERATIONS STRATEGY

- A description of how best service provision should be operationally organized internally and through working arrangements with other Departments or third party entities
- A detailed analysis of how support services can be best organised to support front-line service delivery
- Discussion of alternate service delivery mechanisms or operational improvement for each area of service
- Information Technology requirements of each service
- Human Resource and general capacity requirements of each service
- Risks and constraints of delivery, with mitigation plans

5. International and local leading practices

Research shows that most SDM’s are kept simple so that it is accessible to all officials and service recipients across the full spectrum of the department and society. The recipients of the services and products, through inputs direct how the service should be rendered and what the standards should be. This however is counter balanced by what a department can afford and which resources are available to the department to render services. In general the SDM attempts to force officials to consider existing limitations and risks with regard to the method of delivery of services and to take these into account when designing a more effective and efficient SDM. SDM’s also attempts to identify and reduce duplication of services between different government agencies and within itself. SDM’s are also used as a tool to identify areas for collaboration between departments and between spheres of government.

In general the leading practices indicated that the SDM either includes a Performance management system or has a compulsory link to a Performance Management system. It should be noted that E-Government is not seen as an innovation by itself, but merely one of the essential drivers for innovation and service delivery in government.

Most models researched contain some element of Total Quality Management / Continuous Improvement and as such then the elements of the Business Process Management Methodology developed by the department of Public Service and Administration.

It was also noted that SDM’s generally attempt to be concise, but many of the principles/aspects (e.g. alternate service delivery methods) are described and regulated by pre-existing procedures/models.
6. The Service Delivery Model methodology

A methodology for the institutionalisation of a SDM has been developed and consists of five phases. These are:

1. Departmental Setup phase
   1.1 Departmental policy development
   1.2 Obtain buy in
   1.3 Appoint champion to drive the SDM development
2. Development of the SDM phase
   2.1 Preparation phase
   2.2 Confirm mandates
   2.3 Define services
   2.4 Determination of delivery phase
   2.5 Decision on appropriate SDM
   2.6 Risks and assumptions
3. Implementation phase
   3.1 Develop and execute implementation plan
4. Review phase

Each one of the phases are elaborate upon further in the following paragraphs. Two toolkits have been developed to assist with the completion of phase two (development of the SDM). The first one is a comprehensive tool and is utilized in the explanation of the development of the SDM phase in this guideline. The second toolkit is an abbreviated tool that utilizes the same principles as the first but is not as time consuming as the first toolkit. It is recommended that departments make use of the full toolkit where time allows doing so as it deals with a detailed analysis of the departmental SDM.

6.1 Departmental Setup Phase

As a very first phase it is important to prepare the department for developing a SDM. The following steps is seen as a bare minimum that need to be completed by departments

6.1.1 Develop departmental SDM policy

A department needs to develop a policy document in line with the guideline and methodology issued by the DPSA. The guidance document needs to be department specific.
6.1.2 Obtain Departmental Buy in

Senior management and leadership of a department are obliged to provide inspirational leadership. They must lead and promote the need to have a SDM guideline and methodology in place and stress the importance and the value of rolling it out to its fullest. It is thus important to obtain and secure top management buy-in and commitment as well as those that should implement the SDM.

6.1.3 Appoint a champion to drive the SDM

Usually the head of the department should drive the SDM and the implementation thereof. Where this is not possible a dedicated person should be appointed to fulfil this role. A project team to develop the SDM will also be needed in support of the champion.

6.2 Development of the SDM

6.2.1 Preparation phase

6.2.1.1 Purpose of the phase

The purpose of the phase is to gather information upfront that is relevant to the SDM development and to gather adequate information and knowledge to guide the whole process of the SDM design and development. Furthermore, the information will also serve to inform the process of the SDM design and informs those involved of the issues at hand and stimulate thought on the matter.

6.2.1.2 Background information for documentation

Every year, relevant the existing information should be reviewed for updates and changes that took place. Cognisance should also be taken of any new developments that took place regarding the mandates of the department. The review should result in a fresh understanding of the relevant issues and critical issues or changes that could affect the SDM. The issues should be then formally documented to form part of the SDM. Examples of typical documents could include (not exhaustive):

- The National Spatial Development Plan
- The Provincial Spatial Development Plan and/or Integrated Development Plan (IDP)
- Provincial priorities
- National/Provincial programme of action
6.2.1.3 Record current arrangements

To assist with a structured approach to documenting the SDM it is necessary to record the current delivery arrangements (models) that are in place. This will then be updated in the final SDM as agreed and formulated arrangements. During the review of the SDM this should then be readily available as a starting point. Examples of current arrangements could be:

- Intergovernmental arrangements in terms of the IGR (Intergovernmental Relations) Act
- Intergovernmental arrangements not in terms of the IGR (Intergovernmental Relations) Act
- Public entities attached to the entity
- Significant joint programmes or projects with other government entities
- PPP's (Public Private Partnership's) in existence
- Outsourced, co sourced functions
- Ownership of transversal systems or services and service level agreements attached thereto
- Utilisation of transversal systems and service level agreements attached thereto

6.2.1.4 Internal assessment

A key finding from the international best trends on developing SDM’s was that innovation and solution answers often lie with middle management and functionaries at lower levels. An internal assessment of how the SDM should be formulated may give all employees an opportunity to provide input towards refining the SDM.

The internal assessment should aim to identify the “symptoms” of poor service delivery, non servicing of mandates and/or duplication of efforts etc.

The aim should be to record these symptoms at the start of the process and then as the SDM development progresses, to assess whether the root causes are being addressed. The symptoms relate closely to the risk and assumptions and should therefore be recorded in the risk matrix.

The internal assessment can take the following format:

- Workshops with the staff and management
6.2.1.5 External assessment

A key finding from the international best trends on developing SDM’s was that clients decided on what services they want from government. This should however also be informed by what government is able to deliver taking into consideration its resources and capabilities. In a way this relates to the principles of Batho Pele where it is necessary to establish a client’s expectations and to communicate the standard of delivery to them as well as how they will be able to access the services provided. Once this expectation has been established the department can then plan, execute and report according to this expectation.

Batho Pele further requires that the entity should provide explanations on matters that could not meet the clients’ expectations. The external assessment therefore refers to the process of establishing what the client expectations were and how this was met.

It should be noted that core service departments are the external clients of the service departments (such as finance and human resources).

The format of the external assessment depends on the entity’s particular circumstances but can include the following:

- Surveys
- Workshops aimed to formulate service level agreements
- Known needs of the public and core departments
- Interviews

6.2.2 Confirm mandates

6.2.2.1 Purpose of the phase

The purpose of this phase is to ensure that there is a comprehensive understanding of political and legislative objectives and mandates to be reflected in the final SDM.

6.2.2.2 Results for this phase
• List of mandated services, both legislative and political
• Note any possible alterations or inclusions to the current mandate.
• Highlight potential future service requirements or issues
• List service delivery expectations/requirements stemming from strategic objectives – both Departmental and Intergovernmental
• Risks associated with the mandates
• Possible opportunities for inter-governmental co-operation

6.2.2.3 Determine similar types of services provided

Begin by researching what types of services are typically being provided by similar organizations/Departments internationally and locally.

This will enable a comparison to be made with the department’s own service offering in phase 3 of the SDM.

Typical Input documents may include:

• Legislation, such as the Constitution, Systems Act, Structures Act etc.
• Regulations
• Outcome approach delivery agreements
• Departmental and provincial strategic planning documents
• Departmental operational planning documentation
• Departmental budgets
• Departmental performance management system and documentation
• Annual reports
• Auditor- General reports

6.2.2.4 Generic steps for determine mandates

It is normally perceived that the mandates of government entities are well known and well covered, however it still happens that departments do not cover some of their mandates.
Mandates are also open to interpretation by the officials within departments and thus a comprehensive study and analyses to determine true mandates of a department need to be done before the SDM development can be taken forward.

A government entity may be of the opinion that the mandates are covered whilst this view may not be shared by service recipients and/or other entities.

For this reason the following basic steps are recommended to confirm the mandates:

- Record the mandates from source
- Document the high level services that would give effect to the mandates
- Document the high level client expectation
- Evaluate the existing mandates against the results of the previous steps.

The above process will ensure that a common understanding regarding the mandates exist which is a critical element to develop the SDM.

To further understand and confirm the mandates it is recommended that the following activities be performed:

- Formulate the risks associated with the mandates (if any)
- Formulate assumptions associated with the mandates

6.2.2.5 Confirm legislative mandates

Mandates that have been allocated to the entity through legislation should be recorded, documented and confirmed

It is recommended that the department should record what they actually need to do (high level services) and not just a list of Acts that contains these mandates. In other words the mandate should be described in a narrative format in order to get real clarity on what the mandate entails and expects from the department.

6.2.2.6 Confirm political mandates

Political mandates and priorities refer to the mandates formulated through political processes.

These mandates support the legislative mandates but put a priority aspect to it. Political mandates can be communicated in various forms such as speeches or through the programme of action.

It is recommended that a good understanding of guiding and strategic documents is obtained before the political mandates are confirmed.
Examples of relevant documents are:

- National programme of actions
- National spatial development framework
- Provincial spatial framework and growth and development strategies
- Outcome approach deliverables

The confirmed political mandates need to be incorporated into the legislative mandates narrative description to ensure the list of high level services is complete.

6.2.2.7 Confirm departmental strategy

It is important to confirm and understand the departmental strategic plan when documenting the SDM as this gives overall direction to the SDM.

It should be ensured that the strategic objectives targets and measures should be aligned with the political and legislative mandates as the non-alignment could lead to work being included in and influencing the SDM that is being developed.

The priorities of the department must also be documented and understood as this will place the emphasis on areas the SDM must focus upon.

The strategic plan will review how the entity currently views the mandates.

Note should be taken that the legislative and political mandates as well as the departmental strategy must be linked to each service or function identified above.

6.2.3 Define services

6.2.3.1 Purpose of the section

The purpose of this section is to evaluate the current services that are offered against the high level services formulated in the previous section.

The aim is to refine the service offerings to the extent that it is aligned to the mandates and that it is possible to progress towards the next step where the methods of delivery will be evaluated.

It may be difficult to decide to what level of detail the services should be described. This decision rests with the user, but the following guidance is provided:
The identification of the service recipient may indicate the required level of the description.

It should be possible to consider the methods of delivery in a meaningful manner.

It should not result in a long list of services that essentially serve the same recipient and where the methods of delivery would be similar. In this case the description should move one level higher.

### 6.2.3.2 Define existing services

It is essential that the description of the services is defined as accurately as possible and in a manner that facilitates the development of an SDM.

The following key features have been identified as guidance for the description:

- The service description should describe what service will be delivered and what the recipient receives.
- It should be possible to link the service to a mandate.
- It should be possible to consider different methods of delivery for the services.
- It should be possible to identify the primary recipient of the services.
- It should be possible to measure the service.

Accommodating the above factors in the description of the service would render it being adequate for the SDM. Process maps of the identified services could assist with this activity.

### 6.2.3.3 Evaluation of existing services against services derived from mandates

During the confirmation of the mandates, high level service descriptions and client expectations were formulated. The formulation had the purpose of ensuring that the mandates are understood by all and that an expectation could be developed of what it is that the department must deliver.

The current services that have been documented can be compared to the high level service expectations that were formulated in the previous section to ensure that every mandate is covered adequately. The current services should then be aligned with the high level service expectations.

### 6.2.3.4 Identification of the recipient of the service and measurability of service

For each service it is necessary to document who the recipients are and how the service can be measured.

This forms the basis of formulating the appropriate methods of delivery.
6.2.4 Determination of method of delivery

6.2.4.1 Purpose of the section

The purpose of this step is to understand how internal and external services could be better delivered from a short, medium and long term perspective.

This should include an examination of the aspects of human resources, business processes and systems and technology.

The current situation should be analysed to determine whether or not it is effective, efficient and delivering on promises to the recipient. If not, departments should consider changing it. In this phase, having an open mind is very important in order to be able to get the best results.

For this purpose, officials should always try to remain abreast of current trends and more effective and efficient ways of operating.

It is also helpful to benchmark the department against other organisations and methods of delivering services in order to obtain new and fresh ideas for a SDM.

Human resources, business processes and systems and technology should not be evaluated separately as they cannot occur in sequence, but must occur in parallel. The selected mode of delivery will impact on the technology solution, which will impact on the HR requirements, and vice versa.

6.2.4.2 Document the current method of delivery

Care must be taken in this step to be precise and specific when documenting the current method of delivery. Make sure all methods are covered in order to obtain a comprehensive SDM at the end of the exercise.

6.2.4.3 Evaluate the current methods against assumptions, risks and constraints

Throughout the development of the SDM risks, assumptions, constraints, symptoms etc. must be formulated. All these factors influence the ability of the entity to deliver services in some way or another. Thus during this step all these factors should be brought into account and the current method of delivery critically examined against these factors.

For example, if the current method of delivery requires that there is a 100 skilled workers in a region needed to deliver a service and there is an assumption that there is a skill shortage and that only 10 workers would be available then the mode of delivery may have to change. If the constraint regarding the shortage of skilled workers is ignored then the organization would be set up to fail.
6.2.4.4 Evaluate human resources, business processes and systems

This step relates very closely to the previous step with a specific focus on human resources, business processes and systems and technology.

Detail guidance on how this will affect the method of delivery is difficult as every situation would be different. However, in considering this the following could be taken into account:

- Should services be outsourced, co sourced or delivered in house.
- Should the services be delivered transversally across government (either by this entity on behalf of other entities or by other entities where this entity becomes a client.)
- The phased approach that would be needed for the implementation of technology

6.2.4.5 Formulate the refined methods of delivery

During this step the refined methods of delivery is documented taking into consideration all the matters raised and documented in the above phases. This step is a crucial step in the SDM formulation and enough time should be allocated to really think through and debate the refined methods of delivery. Various options can be generated and argued.

It may be necessary to consider arrangements such as service level agreements, intergovernmental arrangements of PPP (Public Private Partnership's) agreements.

6.2.4.6 Identification of issues for the next level of governance

If any aspect has been identified that could best be serviced by other entities or alternatively if the entity feels that it is best placed to provide the service on behalf of other entities, it should be raised and documented.

This information should then be considered by the next level of governance to facilitate proper coordination and integration.

In a situation where all the government entities follow a process to develop the SDM and all entities consider and route these issues to the next level, theoretically duplication of services should largely be eliminated.

It would also be possible for entities to deliver more specialized and high quality services if it is tasked to service several other entities.
An example could be for instance that the Department of Public Service and Administration provides the GIS (Geographic Information System) services for all other departments, local authorities and even private sector. It can then afford to establish a highly effective and competitive service in this regard.

6.2.5 Decision on appropriate SDM

In this phase, a decision is needed on what the appropriate SDM for the department should be. A list the various possible models should be available with its various advantages and disadvantages stipulated of which an analysis must be done.

A Decision on a specific SDM or the best consisting of a combination of parts of some of the alternative models must be made and documented.

6.2.6 Risks and assumptions

6.2.6.1 Purpose of this section

The purpose of this step is to take an objective view of the chosen SDM option, and understand what could possibly stand in the way of implementation. All risks and constraints should be identified so that plans can be made to mitigate them.

6.3 Implementation

A good model to ensure implementation is made by first creating and enabling environment, then empower the department and its employees, encourage the department and employees and finally enforcing the matter being implemented.

6.3.1 Implementation plan

Once the SDM is signed and approved by both the Executing Authority and the Head of Department, it must be implemented through a developing an implementation plan which reflect on steps to be taken, tasks and responsibilities assigned to specific individuals to in order to action the SDM.

6.4 Review phase

Once the SDM has been developed and implemented it must be reviewed on an annual basis to check if the SDM is still relevant and the most effective and efficient way of delivering the services to the service recipients. It
is recommended that review be done at the same time that the departmental strategic plan is developed as many of the issues addressed in the SDM overlap with issues in the Strategic Planning process.
CHAPTER 3: OPERATIONS DESIGN

BUSINESS PROCESS MANAGEMENT

The demand for increased effective and efficient service delivery require continuous attention from Government. The Public Service Act of 1994, as amended, state that the Executive Authority is responsible for the effective and efficient functioning of their department. Therefore, it is not surprising that many departments find themselves in the midst of change interventions which range from incremental continuous process improvement to full scale change programmes. The golden thread running through all these interventions is the quest for improved process performance and in turn service delivery is improved.

Many departments try to achieve this through restructuring or by optimising, reinventing, or reengineering of business processes. Processes are designed to deliver outputs (products and services) that are of value to service recipients. Service recipients are no longer satisfied with the provision of poor service that emanates from poor process performance. Processes act as the lever by which departments can change the quality, quantity, timeliness and cost of their outputs. The overall performance of a process is dependent on each individual activity. If the performance of any one of these activities falls short, the performance of the entire process is degraded.

Undocumented processes means that staff turnover can compromise service delivery, and that consistent quality standards are difficult to maintain. In practice it thus happens that staff leave the institution for other employment without any processes that was formally mapped and documented. A new person taking up the work thus has to figure out him/herself how to perform the work and thus service delivery suffers.

A further complicating factor is that business process management does not take place within a nationally set norm and standard and also outside of any set framework regarding the value chain dealing with service delivery quality and continuous improvement. This vacuum has the effect that business processes are not shared and compared between departments and spheres to optimize service delivery.

1. Background

It is important to note the importance of the government strategic objectives and agreements such as the National Development Plan, the Medium Term Strategic Framework etc. These documents are the key in the delivery and implementation of government priorities. Furthermore, the documents encourage the identification of indicators that will be used in measuring the efficiency and effectiveness of business processes in various departments.
It is necessary to measure these indicators, as they assist departments in evaluating the effectiveness and efficiency of services delivered to the public, and consequently enable departments to develop business processes improvement plans that will aide and improve service delivery.

Through the studies and research undertaken in various government departments, it was found that departments do not understand the value chain regarding the setting and improvement of service standards. Departments embark on service delivery improvement initiatives without the knowledge of the business processes that informs the delivery of services. It was also found that there are no standard operating procedures (SOP) in place informing the delivery of services.

A further complicating factor is that where mapping of processes is being conducted, it does not take place within a nationally set of norms and also outside of any set framework regarding the value chain dealing with service delivery quality and continuous improvement. The development of a guideline and methodology stipulating the minimum requirements for business process mapping, review and management as well as the rest of the value chain made up of SOP, setting of service standards and the development of service delivery improvement plans was thus found to be of importance.

To succeed in Business Process Management (BPM), a Department needs a roadmap to guide it through the right steps in the right order. BPM need clear definitions of what is to be done, how, when, why, where and by whom. This clear definition starts with recognising the need for change and setting realistic goals. Then a plan supported by adequate resources and schedules can be developed. A realistic and practical BPM methodology is based on a framework that does not only take into account all stakeholders’ requirements, but also the following elements:

- organisation strategy;
- business processes;
- Resources;
- Systems and technology and
- Citizen needs.
The BPM implementers should follow a systematic methodology to achieve breakthrough operational goals. The appropriate resources, both financial and human, must be committed to the effort. And there must be an aggressive timetable, a schedule that will bring about change quickly.

A formal BPM guideline and methodology serves as a roadmap to guide the BPM projects to ensure that all bases are covered in the process.

To ensure success, it is vitally important that government develops a structured and repeatable BPM guideline and methodology that, if followed, will dramatically improve the chances of a successful outcome. An iterative approach is key to long term success – start small, think big, iterate.

2. Purpose

The purpose of this guideline and methodology is to assist government departments in identifying, mapping, designing, reviewing, redesigning and managing business processes, standard operating procedures, service standards and service delivery improvement plans.

This framework was informed by various challenges that were identified through various analysis and studies done in various government departments on the effectiveness of business processes.

The development of this guideline and methodology will ensure that the process of improving service standards takes place in a regulated environment, consequently identify indicators for efficient and effective business processes at all frontline service levels.
3. Objectives

The following are the objectives of this guideline and methodology:

- Appropriate and efficient application and implementation of business processes at all government departments' with a specific focus on frontline services;

- Promotion of better service delivery;

- Shared business processes;

- Understanding of skills and competencies related to business process development, mapping and management; and

- Enable departments to develop, set and manage standard operating procedures, service standards, service charters and service delivery improvement plans.

4. Definition of Business Process Management

According to Guide to The BPM CBOK®, "Business Process Management (BPM) is a disciplined approach to identify, design, execute, document, measure, monitor, and control both automated and non-automated business processes to achieve consistent, targeted results aligned with the department's strategic goals.

A business process is a set of linked, repetitive business activities that together and only together transform inputs into outputs that are of value to a customer.

BPM involves the deliberate, collaborative and increasingly technology-aided definition, improvement, innovation, and management of beginning-to-end business processes that drive business results, create value, and enable a department to meet its business objectives with more agility. BPM enables an enterprise to align its business processes to its business strategy, leading to effective overall department performance through improvements of specific work activities either within a specific department, across the enterprise, or between departments."

Various viewpoints also exist regarding BPM. Firstly BPM is seen as a holistic management approach encompassing a set of business practices and management disciplines that ensure that business processes are constantly monitored and changed over time to ensure that they are both optimal and aligned with the strategy.

The second popular use has been adopted by the workflow community to describe the next generation of their software. With this they promote a strategy where organisations implement BPM systems together with Services Oriented Architecture (SOA) to build flexible automated processes, and then via integrated reporting and simulation tools, monitor and adjust these processes in real time to ensure that they are both optimal and aligned with the strategy.
A third use is where process mapping and documentation tools are also referred to as BPM tools or systems. This is based on the approach that in order to manage a department’s processes overtime they first need to be accurately documented in their current form. With this as a starting point processes can then be properly analysed and improved over time. Process information is always current and visible, therefore ongoing analysis and improvement is easy to sustain.

In broad terms BPM is thus a management philosophy for creating agile departments capable of transforming their business processes in pursuit of extraordinary results. It embeds business process thinking in departments such that they can continually change and adapt, efficiently and effectively, to suit ever-evolving services, economic, political and social conditions.

In the context of the South African government, BPM can be described as the broad collection of activities within a department concerned with the identifying, classifying, documenting, measuring, analysing, improving, integrating and maintaining processes with the ultimate goal of serving the service recipient better, through achieving the various departmental strategic goals.

Managing processes is harder than it may seem at first - mostly because processes are not clearly visible, don’t stand alone, but are interdependent. Effective business processes are critical in maximizing the added value you are providing to your service recipients. Managing the key processes efficiently is critical to the success of the department.

5. **Types of BPM**

Business processes are classified into three types, namely, Core, Support and Management Processes and is briefly discusses hereunder;

Core Processes, are end to end cross functional processes which directly deliver value to the client. It is often referred to as “primary” processes as they present the essential activities that the department performs to achieve its goals and objectives. These processes make up what is called the value chain, which is the set of high-level, interconnected core processes each of which adds value to the product or service. Core processes are essential operational processes that produce or provide work that deliver directly to the Department’s outputs and is unique that Department. These can come in the form of products, services, support or information.

Support Processes, are those processes that support the core processes by providing the resources and infrastructure required by the “primary” processes. These processes add value to the internal clients of the Department. These processes are also known as the “enabling” processes. The difference between the core and support processes is that the support processes do not directly deliver value to the external clients, which core processes do. Support processes can be critical and strategic to the Department as they directly affect the ability of a department to effectively execute primary processes.
Management Processes, are used to plan, measure, monitor, and control business activities. It ensures that core and support process meet operationally, financially, regulatory and legally. Management processes do not directly and value to the clients but are necessary to ensure the Department operates effective and efficiently.


The receptiveness to the idea of a BPM methodology varies due to many factors. One of the main issues of resistance has to do with the maturity level and understanding of BPM. The figure below indicates the levels of maturity.

Organisations don't have their processes defined. Work in such organisations is accomplished by individuals who get things done by means of outstanding efforts. It is thus “Fire-fighting management” - There are no specific objectives. Successes in these departments depend on the competence of the people in the organisation and not on the use of proven processes.

**Level 1:**
No organised Processes

**Level 2:**
Some organised Processes

**Level 3:**
Most Processes organised

**Level 4:**
Processes are managed

**Level 5:**
Processes are continuously improved

**Level 2:** Organisations have begun to define some formal processes. Usually, this effort begins at the work group and focuses on defining processes that are especially important to the group. The initial effort focuses
on creating a documented process that can consistently generate results within a predictable timeframe. "Work unit management" – The objective is to create a management foundation within each work unit or project.

**Level 3:** Organisations expand their formalisation efforts and begin to organise individual processes into a larger system of processes. These departments have redesigned their major processes, defined their value chains and are focused on eliminating disconnects among the major processes that make up their value chains. "Process management" - The objective is to establish and use a common organisational process infrastructure and associated process assets to achieve consistency in how work is performed to provide the organisation's products and services.

**Level 4:** Organisations have their core processes defined and aligned. They are focused on managing their processes on a day-to-day basis. To do this, they establish systematic process measures and use the data to make management decisions. "Capability management" - The objective is to manage and exploit the capability of the organisational process infrastructure and associated process assets to achieve predictable results with controlled variation.

**Level 5:** Organisations maintain their already excellent processes and have teams that focus on continuous process improvement, using data derived from the processes and from service beneficiary to assure that their processes remain as efficient and effective as possible. "Change management" - The objective is to continuously improve the organisation's processes and the resulting products and services through defect and problem prevention, continuous capability, and planned innovative improvement.

7. **Why is a Business Process Management Guideline and Methodology important?**

In short, business processes are the heartbeat of any department as processes assist departments in performance or productivity improvement. Business processes can assist any department in taking accurate decisions on structure design once every process has been defined and mapped.

Furthermore, it ensures standardisation of the delivery of services and products in government departments leading to better productivity within government.

The greatest advantage of BPM is that it helps an organisation to understand how things are really done in the department, revealing problems, bottlenecks and inefficiencies that could remain hidden in any typical department that on the face of it may seem functioning normally.

BPM also helps departments to:

- **Increase service recipient and employee satisfaction:** The structured way of delivering services will provide a better product to the service recipients and as such also contribute to employee satisfaction.
• **Reduce lead times:** Processes will be optimised through the ongoing management thereof and thus will lead to shorthand delivery time

• **Decrease costs:** Through standardised processes, cost savings are made in the long term.

• **Improve internal effectiveness and quality:** By on an ongoing basis improving business processes effectiveness of the delivery of the product or service is improved continuously over time.

• **Revenue generation and Cost avoidance:** Having an optimal processes designed will lead to better revenue collection.

BPM also contributes to a better understanding of the ultimate goal and output of the department and the individual's role in it. Most importantly is the notion that processes and their output are the real interface with a department’s service recipients - not just individual functions of a department.

Modelling and analysing business processes enables departments to develop the department and improve its effectiveness and quality of work.

**Further benefits of BPM include:**

• It anticipates the need for and implement efficient and effective business change

• Responds quickly to changing trends and external pressures

• Satisfies the needs of service recipients

• Achieves breakthroughs in performance

• Model processes to clarify process intent

• Aligns process intent with strategic direction of the department

• Uses advanced methods for process management to achieve optimal results in service delivery

• Leverage technology and other enablers to improve workflow

8. **Towards a Public Service Business Process Quality Methodology**

Due to the above mentioned issues a standard methodology has been designed for the public service. This methodology is a foundation in ensuring that BPM takes place in government as well as to ensure that capacity to undertake the work in departments is developed. The methodology starts with two phases that firstly prepare the departments to embark on BPM and then secondly takes stock of what is currently in place. Moving forward from this point, business processes are then mapped, and improved upon and implemented. As a last phase, the
business processes are monitored and maintained. The methodology is presented as a minimum requirement and departments can evolve the methodology further. Schematically it looks as follows:
Public service business process quality management methodology:

**Preparation and activation phase**
- Obtain and secure buy in
- Change management
- Lay BPM Foundation
- Stakeholder analysis
- Project Management

**Current As Is**
- Analyse Business Strategy
- Define Business Architecture
- Identify and appoint process owners
- Document/map the process
- Establish process performance measures
- Measure process performance
- Analyse process performance
- Determine process vision

**Determine Improvement Approach**
- Radical
- Business Process Redesign
- Business Process Re-engineering
  - Incremental
  - TQM
  - Kaizen
  - 6 Sigma
  - Lean
  - Suggestion System
  - Work measurement and productivity

**Proposed to be**
- Redesign the process
- Build the to be process

**Implement**
- Transform the process
- Manage the process

**Maintain and measure**
- Monitor process performance
- Identify improvement opportunities
- Maintain business architecture
**Methodology:**

**Preparation and activation phase**

**Activities:** Obtain and secure buy-in; manage change; lay BPM foundation (policy, governance structure, tools and techniques, standards, repository), engage on stakeholder analysis, manage BPM projects and formulate future shaping forces.

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**Current as is status quo phase**


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**Determine approach**

**Activities:** determine improvement approach (Radical e.g. BPR, and Kakura or incremental e.g. TQM, Lean, 6 Sigma)

---

**Proposed to be phase**

**Activities:** Improve process by developing high level process alternatives by redesigning the process and building the to be process.

---

**Implementation phase**

**Activities:** Transform the process and manage the process.

---

**Maintenance phase**

**Activities:** Monitor process performance, ID improvement opportunities, Maintain data repository.
8.1 Preparation /Activation phase

During the preparation/activation phase of the BPM methodology, care must be taken to ensure that all the preparatory activities are undertaken and completed to oversee the roll out of the BPM methodology within departments. The various activities that must be undertaken as a minimum are listed below.

8.1.1 Obtain and secure buy-in

Senior management and leadership of a department are obliged to provide inspirational leadership. They must lead and promote the need to have a BPM guideline and methodology in place and hammer on the importance and the value of rolling it out to its fullest. The first activity is thus to obtain and secure top management buy-in and commitment. This commitment should be illustrated by management through them leading from the front and acting as change agents, thus ‘walk the talk’. Communication should be directly from them and they must be instrumental in removing possible stumbling blocks. Through the commitment of resources (human, financial and otherwise) it must be clear that there is full support for the BPM initiatives and that it receives priority. Leadership must then also provide the mandate for implementation of the BPM methodology in the department. The leadership commitment is of critical importance and therefore it could be considered to appoint a Champion in top management to be accountable for implementing the guideline and methodology in the department.

8.1.2 Change management process

A comprehensive change management plan must be developed to ensure the complete roll out of the BPM methodology in the department. To this extent it must be ensured that all the stakeholders’ vision is vested in the changes that are being proposed. Care should be taken to involve stakeholders in the process on an ongoing basis. Awareness of the potential benefits of implementing the BPM methodology should be raised and entrenched with all stakeholders and negatives of resistance should be countered with the positive benefits of the implementation of the BPM methodology. Through the change management process, commitment to the reality of the roll out of the BPM methodology must be achieved. The whole change management process must be firmly owned by the people themselves - especially implementation and maintenance. Change management in terms of people, systems and processes should be considered.

8.1.3 Lay BPM foundation
During this sub-phase, the department must decide upon and put in place the foundation upon which the department will conduct its BPM projects and engagements. In the main, four aspects need to be addressed e.g. policy aspect, governance structures, tools and structure, setting of minimum standards and the identification of the data repository.

- **Policy**

A formal departmental policy on BPM needs to be developed through a consultative process. This policy needs to give direction and boundaries to any future BPM engagement of the department.

- **Governance Structure**

A formal governance structure to oversee all BPM engagements should be in place and be well communicated to all internal and external stakeholders. Clear roles and responsibilities need to be assigned to all members in the structure. As many processes are replicated within the various sectors it is advisable that a mechanism be created within sectors to ensure alignment of efforts within the sector e.g. a forum where all health departments can communicate on BPM and agree on an implementation plan.

- **Tools and techniques**

The department should decide on which tools and techniques are suitable for the work that the department is performing and then identify the appropriate tools and techniques as a common set that the department will utilize. Most departments decide on one or two approaches to use (e.g. Six Sigma and/or Lean methodology) because applying many methodologies require investing in learning, which are no easy or cheap. As there would be many advantages (financial, sharing of information, training opportunities etc.) for government as a whole to have a common set of tools, it is proposed that a small task team be formed to investigate this possibility and to make the necessary recommendations.

- **Standards**

Minimum standards for the BPM process in the department need to be set

- **Identify a repository**

A department needs to decide on a common repository for the information that will be captured during the BPM process. A common procedure and practice also need to be developed on how the department will capture the processes on the repository and how this will be maintained.
8.1.4 Conduct stakeholder analysis and categorisation

**Stakeholders:**

- have different interests in the BPM methodology,
- define BPM performance success differently, and
- benefit from BPM performance in different ways

Due to the above, it is critical to perform a comprehensive stakeholder analysis for all the stakeholders that will be affected by the implementation of the BPM methodology. The requirements of all the stakeholders need to be registered and addressed. Stakeholder characteristics vary substantially and for the success of the BPM methodology these characteristics must be identified, known and looked at.

**Understanding the stakeholder requirements**

Understanding the voice of the process owner is paramount to the development of quality processes. To succeed in the improvement of quality services the effective capturing of genuine and major customer requirements, analysing and transforming it into appropriate process is important. The following are key questions that need to be asked:

- What are the customer’s real needs, now and in the future?
  - Identify the process customer
  - Build awareness of customer needs
  - Transform process to satisfy customer needs
  - Identify process activities critical to customers
- What customers’ want versus needs – if the two is different?
- What problems customers experience?
- What do customers do with the process outputs?

As depicted in the above-mentioned the following is understood as:

- **Expecters** - Basic requirements that a client wants
- **Spoken Want** - Client indicated what they want from the services (through complaints suggestion boxes, evaluation forms, etc.)
- **Unspoken Want** - What the organisation thinks the client may need, but they have not indicated
- **Exciter** - “nice to have”, complimentary but not necessary a requirement

8.1.5 Management of projects
The management of projects is a crosscutting activity. The roll out of the BPM methodology should firstly be undertaken on a project management basis but secondly, all the physical process design and improvement initiatives that take place within the BPM methodology should be rolled out on a project basis.

BPM professionals must work within a clearly defined project-based approach:

- timescale requirements
- effective use of resources
- meeting specified objectives
- stakeholder profile
- constraints and limitations
- available skill sets

For this purpose, the project methodology developed by the Technical Assistance Unit (TAU) at the National Treasury could be utilised.

8.2 Current "As is “status quo Phase

During this phase various issues need to be addressed to determine the “as is” situation regarding BPM. Once this phase has been completed it will not have to be done again as the “to be” situation becomes the “as is” in future BPM initiatives.

8.2.1 Analyse Business Strategy

The first step in the Business Process Management Life-Cycle is to analyse the current business strategy. Good business strategy is the result of careful, intelligent analysis and this is achieved by conducting a strategic assessment. Business Strategy sets the goals and guides the department to achieve these goals and improve performance excellence. Through business strategy analysis departments are able to uncover the elements of strategy that have a direct impact on the business processes and to ensure that the processes are aligned to its business strategy. By analysing the business strategy it ensures that the business improvement initiatives provide support at organisational level. The business strategy amongst other identifies the client, mandates and services. The Key Strategic questions to answer are:

- Who are the Customers / Clients?
- What services or products are offered?
- Who is our Partners to deliver on our mandate?
8.2.2 Define Business Process Architecture

It starts with the identification of processes, i.e. generating a list of all of the processes that are used in a component to execute its business. This phase consists of the development of a component’s process inventory list, also known as a business process architecture which is briefly discussed hereunder:

A Business Process Architecture (BPA) is a document that amongst others:

- Define the scope of the department,
- Identify the major processes
- Define the major process boundaries and,
- Classify the major processes into core, management and support.

8.2.3 Identify and appoint process owners

The appointment of process owners is one of the key success factors in overseeing successful BPM as they provide high level overviews of the business processes in the department. They should be held accountable for the effective functioning of their mapped processes and for the overall improvement of processes. The appointments should be done formally, in writing and bound to specific time periods.

The appointed process owners should:

- be given the authority, responsibility and resources to deliver,
- make a public commitment to the process for which they are accountable and
- Should be prepared to back process change with all the power, influence and authority at their command.
In practice, care should be taken of the following issues if and when they surface:

- Process owners are required for effective management of process based departments but in most cases deficiencies impair their effectiveness,
- roles and responsibilities often are not defined clearly,
- uncommon for process owners to be effectively role-trained, and
- Support by staff that are properly skilled in the methods of process management.

### 8.2.4 Document/map processes

For a department to achieve its strategic objectives or imperatives there is a need for every process to be mapped and documented. This ensures synergy of processes and eliminates duplication, overlapping and delays that hinder productivity.

During the activation phase, tools and structures were determined for BPM. These should now be used to document and map all the identified processes. This process is very time consuming and resource intensive. Proper allocation of time should be ensured. It is also of vital importance that a common set of tools are used and that the repository of all the documented processes is kept and maintained at a central space.

### 8.2.5 Establish process performance measures

In order to establish if processes are performing optimally, performance measure to measure the processes must be developed and documented. In main, the performance measures must have the following qualities:

- Relate to process goal (mission),
- Only a few should be selected,
- The performance measures should be comprehensive and accurate,
- Readily available and easy to measure, and
- Set at the appropriate functional level.
- Set achievable but demanding targets
It is also important to acknowledge that the set performance targets will affect behaviour. This aspect should thus then be kept in mind when setting performance measures.

Two main groupings of performance measures can be set, namely effectiveness measures and efficiency measures. Examples of categories of effectiveness measures are conformance to standards and fitness for purpose or meeting service recipients’ requirements. Examples of efficiency measures are process time and costs and can be conformance to standards or benchmarks (benchmark throughput level or target).

8.2.6 Measure process performance

Once the performance measures for the various processes have been set, they must be measured. The findings and results of the performance measurements must then formally be approved and documented. This information can be used later on to serve as baseline information.

It would be of no use if optimal processes are designed but not executed properly or consistently by employees. The proper and consistent execution of business processes in conformance with the intended design contributes to the optimisation of service delivery and continuous improvement.

For this purpose compliance with the process design and work instructions, interventions on how process performance are measured and reviewed to achieve enhanced quality service delivery, needs to be ensured by the organisation.

Process performance measurement has a variety of uses which includes inter alia the following:

- To monitor and control;
- To drive improvement;
- To maximize the effectiveness of the improvement effort;
- To achieve alignment with organisational goals and objectives; and
- To reward and to discipline.

A measurement plan needs to be place to address the following:

- What is to be measured?
- How and when measurements are to be made; and
- Performance levels or standards to ensure that the results of measurements provide information to guide, monitor, control or improve the process.
The plan should include decisions about what key information to collect from service beneficiary and/or employees from service encounters, transactions, etc.

<table>
<thead>
<tr>
<th>No</th>
<th>Element</th>
<th>Element Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Throughput</td>
<td>Volume of work handle by process</td>
</tr>
<tr>
<td>2</td>
<td>Time</td>
<td>How long it takes to do work</td>
</tr>
<tr>
<td>3</td>
<td>Quality</td>
<td>How well the work is done</td>
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<tr>
<td>4</td>
<td>Costs</td>
<td>Total cost of producing work</td>
</tr>
<tr>
<td>5</td>
<td>Customer Satisfaction</td>
<td>How well the process serves the process customer</td>
</tr>
<tr>
<td>6</td>
<td>Process Performer Morale</td>
<td>How satisfied the process performers are with the process</td>
</tr>
</tbody>
</table>

8.2.7 Analyse process performance

The findings and results of the performance measurement now need to be analysed to establish if the processes are performing optimally and achieving the envisaged results. Analysis can be done through conducting benchmarking with comparative processes to establish the level of performance of the specific process. The performance should also be compared to the stakeholder requirements that were determined in the activation phase to establish if the process is responding to the various requirements. During the analysis of the process performance gaps should be identified and noted for future attention and improvement.

Cognisance must be taken of who wants what and what measure is applied for whom. It is also important to decide on what the priorities are where and possible conflict may arise with all the various sets of requirements, which takes this aspect back to the initial phase of Preparation.

8.2.8 Determine process vision/design principles

During this step, a high level vision and/or design principles need to be determined based on the results of the analysis of the process performance that was done. Typically, this vision would include aspects such as time span, improvements required for the process (e.g. an ID need to be issued in 2 weeks), whether the process improvement will be done through internal or external capacity and the cost of the result of the process (e.g. an ID should not cost more than R40 each). These steps thus define the high level renewal goals that have been identified in the analysis of the process performance.
Creating a shared vision process, is a long range plan of how to, from the desired state through the definition of the current state eliminate the gaps / short comings and identified negatives and positives between the two. A Process Vision can be created by using the below-mentioned key factors:

1. **A Description of the ideal future that must**
   - Emphasise breakthrough results
   - Create sense of energy and commitment
   - Be realistic and achievable
   - Provide link between strategic vision and the Business Process Change Intervention

2. **5 Elements of a Process Vision**
   - Purpose
   - Scope
   - Customers
   - Quantitative Process Objectives
   - Qualitative Process Attributes

8.3 **Determine improvement approach phase**

**The Business Process Change Continuum**
Depending on the nature of the shortfall and gaps identified and the vision and design principles, a specific approach needs to be selected to address the real issues.

Business Process Improvement is the changing of a business process to make it more effective, efficient or adaptable.

Continuous process improvement is done on an incremental or iterative basis. This is sometimes called the change driven approach.

For example, if the process as a whole needs to be altered and a totally new direction needs to be taken, a radical approach will be needed, whereas small improvement to processes can be done on an incremental basis.

The following are types of approaches that could be considered:

- **Radical improvement**

  **Business Process Redesign**

  Business process redesign is the innovative redesign of key business processes to achieve breakthrough improvements in business performance.

  **Business process reengineering (BPR)**

  BPR is the fundamental rethinking and radical redesign of major business processes. These are sometimes called plan-driven approaches.
Business Process Innovation

Innovation takes place when an existing practice is reviewed and replaced by something better.

- Incremental improvement

Total Quality Management (TQM)

TQM is a comprehensive and structured approach to organisational management that seeks to improve the quality of products and services through ongoing refinements in response to continuous feedback.

Kaizen

Kaizen refers to activities that continually improve all functions, and involves all employees from the highest to the lowest levels in the department. It also applies to processes, such as purchasing and logistics that cross organisational boundaries into the supply chain. By improving standardized activities and processes, kaizen aims to eliminate waste.

6 Sigma

Six Sigma seeks to improve the quality of process outputs by identifying and removing the causes of defects (errors) and minimizing variability in business processes. It uses a set of quality management methods, including statistical methods, and creates a special infrastructure of people within the organisation ("Black Belts", "Green Belts", etc.) who are experts in these methods.

Lean

"Lean," is a production practice that considers the expenditure of resources for any goal other than the creation of value for the end service recipient to be wasteful, and thus a target for elimination. Basically, Lean is centred on preserving value with less work.

Suggestion systems

Suggestion systems is a method by which the ideas and suggestions of the employees are communicated upward through the management hierarchy.

Work measurement and productivity

Application of time and motion study and activity sampling techniques to determine the time for a qualified worker to complete a specific job at a defined level of performance. Work measurement is used in budgeting, manpower planning, scheduling, standard costing, and in designing worker incentive schemes.
Once the existing process has been analysed, the process customers’ requirements understood and the process vision created, it is time to apply the process improvement techniques.

The process improvement wheel has six techniques to improve the selected process rapidly. The business process is in the centre of the wheel, the six techniques used to improve the process are wrapped around the process.

To use the wheel start at the top with Eliminate Bureaucracy and work clockwise around the wheel ending with Automate the Process. The reason why automation is placed last is that we want to focus on automating an efficient process rather than an inefficient one. Apply the other five techniques first ensures that the inefficiencies are removed before automating the process.

8.4.2 Re-design the Process

During the redesigning of the process it’s critical to identify the purpose and the key factors for determining the success of the redesigned process. Part of the redesign of the process is to know specifically what is to be accomplished through the redesign, name and how to achieve that accomplishment which is list below:
8.4.2.1 Improve activities (improve it)

- Reduce Bureaucracy

In business processes, bureaucracy represents following a complex, convoluted series of activities that hinder an effective and efficient process. When processes are bogged down for no apparent reason, by inflexible, obstructive official routine, the process does not perform well and results in dissatisfied process customers.

The normal cause of bureaucracy is the need for excess control, or the fear of making mistakes, or the desire to cover everyone’s backs when something goes wrong.

Bureaucracy is usually the result of excess application of policy, procedures and rules. In order to reduce or eliminate bureaucracy, it is important to identify and clarify the business rules relating to each activity and question whether the activity applies the business rules in the most efficient way. Look at the best way to satisfy the valid business rules and eliminate activities that apply redundant rules.

To uncover specific elements of bureaucracy ask the following questions:

a. How many approvals do we have in place?
b. Why do we need them?
c. Can we reduce the number required?
d. Do we make decisions at the right place?
e. Do we generate unnecessary paperwork?
f. How many copies of each document do we make?
g. Why do we keep hard copies?
h. Do people receive information that they do not need?
i. Do we understand what people do with information or reports that are sent to them?
j. How do we use the information requested on a form in making decisions?
k. Can we eliminate any forms? Do we absolutely need them?
l. Does one person check the work of another?
m. Why is this done?
n. What will happen if an employee makes a mistake? Does the added scrutiny seem worth the expense?
Add-Value

The primary goal of a business process is to add value to the process customers. The understanding of the process customers’ requirements covered in the course enables the team to focus on the process outputs, the way they are delivered and on the needs of its customers.

Each activity in the process should carry out value adding work. They can be classified into three types:

1. Real value adding (RVA) activities which add value to the customers of the process.
2. Business value adding (BVA) activities which add value to the business but not the customers.
3. Non value adding (NVA) activities which add no value to the customers nor to the business.

The work of the process should slow seamlessly through a liked set of value adding activities in the shortest period. In order to maximise the value added by the process, go through your as is model and classify each activity according to whether it is a RVA, BVA or NVA activity the take the following action:

1. NVA activities should be eliminated
2. RVA activities should be linked into a value stream which is a seamless flow of value adding work not interrupted by BVA activities.
3. BVA activities should be challenged and modified or eliminated, if necessary.

Eliminate Duplications

Simplify the Activities

Duplication occurs when multiple functional units are involved in a business process and there is no integration between the units.

Often, each functional unit does the work the way they want it to be done regardless of the work done by other functional units. This might be due to one unit not understanding what the other one does, or one unit may not believe the other unit is understanding what the other one does, or one unit may believe that the other unit is capable of doing the work correctly, or worse, the units are competing with one another.
Each time works moves forward from one functional unit to another a handoff occurs. These handoffs easily lead to duplication of effort and information redundancy. Go through the as-is model and identify duplicated activities. Then ensure the work is done once in the process by the not competent activity.

By carrying out the first three steps in the process improvement wheel, the process should be simpler than it was before. However, further simplification of activities and links between activities should be sought.

Go through each activity in the model and ask the questions:

a. Can we streamline the activities?
b. Can we streamline or simplify any of the forms?
c. Where do process performers go to obtain information to complete any activity in the process? Can we simplify this?
d. Can we standardise the activity to make it easier to perform?
e. Can we reduce the number of errors made by the activity?
f. Can we combine any activities in the process?
g. Must process workers depend on other people to complete any activity in the process?
h. Can we add an upfront activity to simplify the downstream flow?

- Reduce Cycle Time

By the time this step is reached in the process improvement wheel, you should have reduced the process cycle time but further action can still be taken.

The two main causes of high cycle time:

1. Process fragmentation

   Does the work stop flowing at many points during the execution of the process? Some queuing of work is inevitable in a process but if queuing is frequent and persistent, it is a symptom of a broken process. This is called process fragmentation.
2. Bottleneck

Where the bottlenecks in the process and what are causing the bottlenecks? A bottleneck is a process constraint that creates a backlog of work to be done and increases the cycle time of the process. Go through the as-is model and identify points of fragmentation and bottlenecks.

- Automate the Activity

Now that the efficiency and effectiveness of the process have been increased by applying the steps in the process improvement wheel, it is time to harness technology to further improve the process.

Information Technology (IT) can play an important role in process improvement. It is essentially a process enabler but can also be a constraint if not applied correctly.

There are nine ways in which IT can have an impact on innovative process redesign. These are:

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
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<tbody>
<tr>
<td>Automational</td>
<td>The elimination of human labour from a process and the building of a more structured and reliable process</td>
</tr>
<tr>
<td>Informational</td>
<td>Providing information to enable people to expand their understanding of their work and be free to use that knowledge for decision-making.</td>
</tr>
<tr>
<td>Sequential</td>
<td>Enabling changes in the sequence of the process or changing the process sequence from sequential to parallel, or reducing cycle time.</td>
</tr>
<tr>
<td>Tracking</td>
<td>Using IT to monitor the status of processes closely.</td>
</tr>
<tr>
<td>Analytical</td>
<td>Improving analytical resources to permit more data to be incorporated in and analysed during the decision-making process.</td>
</tr>
<tr>
<td>Geographical</td>
<td>Co-ordinating activities seamlessly and consistently across distances</td>
</tr>
<tr>
<td>Integrative</td>
<td>Integrating decoupled and disjointed activities and processes</td>
</tr>
<tr>
<td>Intellectual</td>
<td>Capturing and distributing information and knowledge broadly and consistently</td>
</tr>
<tr>
<td>Disintermediating</td>
<td>Eliminating intermediaries that do not add value to the product or service</td>
</tr>
</tbody>
</table>
8.4.2.2 Configure process flows (streamline it)

- Look at the whole process from the outside in.
- Eliminate waste – non-value-adding (NVA) activities
- Design the normal flow first – Real-Value-Adding (RVA) activities.
- Do not allow management activities or business-value adding (BVA) activities to gate keep RVA activities.
- Consolidate duplicated and similar activities
- Minimise handoffs
- Pull work through the process one item at a time rather than batching and queuing.
- Balance work to the bottleneck.
- Substitute parallel for sequential flows
- Modify upstream activities to relieve downstream bottlenecks
- Push customisation to occur closest to the customer
- Minimise multiple paths due to specialised activities for exception handling
- Only design exception flows once the main flow has been designed
8.4.2.3  Design information flows around the process (Informate it)

- Capture information once at source
- Make the process as paperless as possible as early as you can – digitise
- Make information easily accessible upstream and downstream for those that need it
- Shrink the distance between the information and the decision
- Build in feedback loops to detect process performance and dysfunction
- Provide a direct, single point of contact for process customers and suppliers

8.4.2.4  Grow knowledge around the process (mind it)

8.4.2.5  Structure roles around the process (resource it)

8.4.3  Build the To-Be Process

During this phase the results from the analysis are used to address the problems that were identified during the process analysis. The new processes are developed to meet the performance gaps through a process of creativity and innovation. The process improvement phase is used to design alternative prototype processes which can then be tested to see whether and how they improve the original processes. This is an iterative phase. Appropriate process design, (BPMN) techniques to develop To-Be processes are considered, how activities might be consolidated, streamlined and automated in order to improve the current processes.

To-Be processes might have an impact on other processes such as structure, job evaluation, etc. which will then require realignment to improved processes.

The following steps need to be applied when developing To-Be processes:
- Develop high level process alternatives; and
- Conduct detailed process design:
  - Determine if legislative or policy changes and alteration of delegations are needed to enable the roll out of newly designed processes,
  - Technology should be established if any new technology will be needed and how the To-Be process will impact on the current technology.
New To-Be process measures are developed and ensured that those measures are effective and accepted by management. It must also develop as many ideas as possible for the improvement of business processes. Furthermore, the following ideas are considered as the improvement interventions:

- Quick wins that require little or no organisational or technical changes;
- Improvements that require organisational change but have a little or no impact on existing information system/s;
- Improvement that require technical improvements, but have little or no impact on existing organisational structures;
- Improvement that require significant organisational and technical enablers and have major impact on the existing information and technical infrastructure; and
- Improvement that requires not only fundamental changes in the organisational and technical enablers, but also in the control governing the processes.

Once the To-Be processes have been developed, the Organisation needs to have in place a well-documented business architecture which includes the situations, structures and To-Be processes. It will enable and assist in the identification of new areas for improvement and baseline of the information system/s that support the business.

8.5 Implementation phase
8.5.1 Transform the Process

The newly designed process will be implemented and the following factors are relevant to achieve the successful implementation:

- **Obtain implementation mandate**: Before any implementation commences, approval are obtained from the relevant decision making authority in the department.

- **Develop implementation plan**: A high level implementation plan which indicates who need to do what, by when, to install the newly designed business process with approximate milestones need to be developed and approved.
• **Implement quick wins**: Process implementation is the responsibility of the various business process- and sub-process owners. The following aspects are considered by process-, sub-process owners and process cooperatives during the implementation of approved processes:
  - Improved processes to be compatible with existing or new systems;
  - Be complimentary to, not in contradiction of, a strategic process review approach;
  - The time to implement should be relatively short (60 – 120 days);
  - Costs of implementation often relatively inexpensive; and
  - Helps “make change the culture”.

• **Update repository**: The process design and improvement team to ensure that all information is up-to-date;

• **Celebrate success**: This step is often neglected in Government but should actually receive widespread and high-level attention as it builds and improves employee morale; and

• **Training of employees**: Employees must be trained and ensure a productive work-environment, in order to provide better services to beneficiaries, by meeting and exceeding their expectations.

8.5.2 Manage the Process

Managing of the Process is the responsibility of process- and sub process owners, as well as process operatives of the processes and includes monitoring and evaluation to monitor the impact of the newly implemented processes. The metrics for monitoring and evaluation is typically already defined during the process improvement phase.

Once the newly defined processes have been implemented, these processes will then be tested to ensure continuous improvement thereof. It is important to monitor the process performance of the newly designed processes, as well as all existing processes that were implemented at the previous phase. There should be a constant observation of where processes can be improved further and on a continuous basis. Here lies the opportunity to also identify and prioritise processes that could be technologically enabled to be performed and monitored electronically. The implementation of the processes, offers the Department an opportunity to update the Departmental business architecture. This phase can also be regarded as the first phase in the quest for improvement. In this phase the Organisation compares to what extent the implementation process and support structures perform in relation to the targets established and should also need to take into consideration the following:

• **Measure process performance**: To identify whether there was a significant deviation in performance standard and put corrective measures to address that deviation;
Obtain feedback from process stakeholders: Processes have to be assessed with respect to how it is serving current stakeholders requirements because if the stakeholders have changed, it may be necessary to make adjustments in the way the process works; and

Monitor process performance: To keep processes from deteriorating or degrading by finding the root cause of exceptional conditions so that the problem can be rectified at the first source.

8.6 Maintenance phase

In this phase, it is important to monitor the process performance of the newly designed processes as well as all existing processes. There should be a constant lookout of where processes can be improved further and on a continuous basis. Here lies the opportunity to also identify and prioritise processes that could be technologically enabled to be performed and monitored electronically. The implementation of the processes, offers the department an opportunity to update the departmental business architecture.

8.6.1 Monitor process performance

The monitoring of process performance is of vital importance to ensure optimal process performance. Non performing processes should be identified, redesigned and improved. Typical indications of process under performance could be:

- Staff cost increase,
- Increases in error rates,
- Increase in service recipient complaints,
- Upsurge of complaints in traditional problem areas,
- Sudden appearance of complaints in areas of activity not previously noted for them,
- Staff complaints,
- Increase in throughput time,
- Increase in overtime levels, and
- Increasing Staff Relations problems, staff absenteeism and turnover

These indications need to be linked back to the activities of “Measure process performance” and “Analyse process performance” so as to ensure consistency and to retain the usefulness and reuse of the baselines of measures used in earlier phases. This is thus also indicative of the importance in determining the correct measures from day one.
8.6.2 Identify improvement opportunities

Constant attention must be given to identify improvement opportunities. This will ensure continuous service delivery improvement. This could be done by holding a close tab on international trends and benchmarking on departments that conduct more or less same processes as the department. A constant eye should also be kept on technology and innovation institutions such as the Centre for Public Service Innovation (CPSI). Lean (reduction of waste) methodology is one of the examples of building up efficiency.

8.6.3 Maintain business architecture

A Business Architecture may be loosely defined as a set of elements and their relationships that form a whole and that is defined by its functionality. Well-documented business architecture includes the situations, structures and behaviour represented and represents a valuable business strategic asset. It will enable and assist in the identification of new business opportunities/areas of improvement and baseline of the information systems that support the business and therefore a good architecture must represent the business as accurately as possible, hence the requirement for continuous updating when processes have been amended.

The separation between process and business architecture should be resolved in the tool selection phase by obtaining a tool that is not only a modelling tool, but provides a manageable Business Architecture repository. If not, entropy will creep in and reduce benefit from previous work.

9. Possible Key challenges to be experienced during roll out

To introduce a formalised common BPM methodology into departments is no mean fete. Huge resistance is envisaged due to the fear of change, fear of the unknown and a range of other factors. The main obstacles seem to be the following:

- Introduction of a comprehensive business process performance assessment matched against best-in-class practices might cause fear in the process owners
- Introducing a common policy, strategy, approach and standard on process management and to sustain the implementation thereof might be seen as extra work
- Minimise ad-hoc initiatives might impact on the employees' hiding behind non-scheduled work; and
CHAPTER THREE: OPERATIONS DESIGN: BUSINESS PROCESS MANAGEMENT

• To introduce and establish clearly defined business process ownership might be seen as now being held accountable for failures.

• One of the challenges in government is rigidity (perceived or real) in their structures. Normally processes (end-to-end) traverse units/divisions/section and it is sometimes not easy to drive a redesign process improvement project across these units. We need a culture of adaptability, flexibility and work teams.

• Historically most departments have been focusing on input/ process indicators (leading indicators) and less on output/outcome (lagging indicators), but the new government outcome-based approach is going to force departments to review their business models.

The result of not addressing the above-mentioned challenges is the following:

• Fragmented results obtained from processes
• Unresolved problems
• Waste of resources
• Low productivity
• Employee dissatisfaction
• Service recipient dissatisfaction

10. Critical success factors for continuous process improvement through BPM methodology

Throughout the methodology, many important steps are mentioned and are crucial in the implementation of the methodology. In order to ensure that BPM methodology is receiving its due attention in departments and is implemented to its fullest extent, it is important that certain basic criteria are in place.

10.1 Leadership commitment

Leadership commitment and buy-in are of the utmost importance and is shown through the following factors that are in place:

• The department has an approved policy for BPM.
• A BPM system exists in the department.
• There exists an organisational structure responsible for the development, deployment and maintenance of the BPM system.
• A BPM training plan exists in the organisation.
• Management conducts periodic assessment of the departments BPM system, including their own BPM skills.
• Management ensures that BPM targets are set for reviews and that action plans are developed to improve the BPM status of the department.
• Management keeps records of BPM review results and the BPM status of the department.
• All Process Management activities are effectively communicated down the line.
• Management builds a culture of continuous quality improvement in their business activities or work.

10.2 Process ownership

Healthy process ownership is an indication of how ownership of core, support and sub-processes is managed in the department. The following should be in place as a minimum:

• For each core and support processes, ‘end to end’ process ownership is established and declared.
• For each sub-process, ownership is established, where necessary, by the relevant process owner.
• Standardised documentation regarding roles and responsibilities of process owners is available.
• Process owner roles and responsibilities are adhered to by the process owners in the organisation.

“Subject” Ownership

There will be various element types / libraries used in the compilation of the business architecture. It is suggested that owners for these are also identified and allocated so as to ensure the ongoing maintenance and optimization of these. This will greatly reduce duplication and aid integration while adding an important dimension to the endeavour.

10.3 Design and mapping of processes

The question could be asked, how does the department design and map its business processes? A minimum response should include the following:

• Core business and support processes are identified, designed and mapped utilising a standard methodology and mapping techniques to ensure alignment and integration.
• Well established process mapping standards and tools are deployed effectively in the department.
• A standard process for business process design, documentation and authorisation exists in the organisation (i.e. from concept to complete design).
• Various quality control points are well defined throughout the process.
CHAPTER THREE: OPERATIONS DESIGN: BUSINESS PROCESS MANAGEMENT

- Defined criteria requirements for acceptance at each quality control point are available. Examples of quality control points are: quality gates, operational check lists, error detection etc.
- The quality of design caters for the capacity and capability of the process to deliver the required quality outputs.
- The quality of design caters for changing service recipient requirements, technology and services, effectively.
- Product and service design requirements are translated into efficient and effective production/delivery processes.
- All requirements associated with products, services and production/delivery processes are addressed early in design by all key stakeholders to ensure integration, co-ordination and capability.
- Process outcomes must primarily address government policy imperatives and the needs of service recipients or beneficiaries

10.4 Documentation of work instructions

The necessary documentation and rules of engagement in the performance of processes should be clear. In order to achieve this, the following must be put in place:

- Work instructions and business rules are documented for all core business processes and support processes as well as sub-processes.
- Work instructions and business rules are well defined, current and available at the point of application.
- Work instructions also take the following into consideration: health, safety, long-term performance, environmental impact, measurement capability & maintainability.
- A process is in place to keep work instructions and business rules in step with process design and product documentation changes.
- Work instructions, throughout the process, are aligned, end to end, to ensure that duplication of work, redundant work and contradiction of methods are minimised
- Business rules, throughout the process, are aligned, end to end, to ensure that contradictory rules which impact negatively on the performance of the process, are eliminated
- Assigned responsibility and procedures exist for maintaining the revision control of all processes and support documents.
CHAPTER THREE: OPERATIONS DESIGN: BUSINESS PROCESS MANAGEMENT

- The organisation has access to a master document management system for the effective management of documents.

- There is an internal audit program (quality control) to verify conformance to the organisation's documentation standards.

Process documentation is an important part of business process management. Documenting all the processes in the department improve communication throughout the department. One of the greatest challenges in the department is to standardise the way processes are documented and to keep the documentation up-to-date and accessible to those involved.

10.5 Training on designed processes

Once the designed processes are in place, it should be ensured that sufficient capacity building takes place in order that the employees involved in the execution of the process are able to do so effectively and efficiently. The following should therefore be in place:

- Training materials, standard operating procedures and programs are available for employees.
- Employees are properly trained in operational procedures and quality acceptance criteria.
- At appropriate intervals, the performance of employees is assessed and refresher courses are provided when necessary.

10.6 Monitoring of compliance

Conformance to the designed processes and work instructions needs to be ensured by the department. It will for instance be of no use if optimal processes are designed but not executed properly or consistently by employees. The following will assist with the monitoring and compliance with designed processes:

- Process maps are available and displayed at operational sites
- All relevant documents (work instructions, business rules) are accessible from all operational sites by all employees
- Supervisors monitor the conformance to processes and work instructions at operational sites on a continuous basis
Final acceptance procedures are documented, controlled and followed and regular audits are conducted to ensure conformance to these procedures.

Documentation and tracking of the results are maintained with reports issued to the proper people within the department.

Continuity at handovers between different business and operational units is ensured which are monitored and reported on.

The impact of non-conformance to the process is monitored and managed.

Action plans are developed and implemented to address areas of non-conformance.

Procedures are in place for managing non-standard outputs.

Process integrity is maintained to ensure that the products and services meet operational and service recipient’s requirements.

10.7 Measuring process performance

As described in the methodology, measures need to be in place on how processes are evaluated/assessed to enable continuous improvement in order to achieve better quality service delivery. The minimum should be:

- A measurement plan is in place addressing the following:-
  - what is to be measured;
  - how and when measurements are to be made; and
  - Performance levels or standards to ensure that the results of measurements provide information to guide, monitor, control or improve the process.

The plan may include decisions about what key information to collect from service recipient and/or employees from service encounters, transactions, etc.

- Measures and/or observations are used to maintain process performance.
The department regularly reviews performance of critical process metrics (quality, cycle time, on-time delivery etc.).

Well-established process performance management tools, such as benchmarking tools, performance metrics etc. are deployed effectively in the organisation.

Statistical tools used for each process provide the most appropriate method for giving timely and accurate feedback of performance against the process parameters.

Statistical studies are performed to monitor the performance against critical process parameters.

Internal Auditing is performed to assure consistent use and proper interpretation of statistical tools with published results.

Where required, control charts have the proper sample size, frequency and control limits updated as needed. Charts are monitored frequently and are readily accessible to operators.

Documentation and tracking of the results are maintained with reports issued to the proper people within the department.

10.8 Continuous process improvement (review and evaluation)

How are processes improved to achieve better service performance and quality?

- Process performance improvements are planned and implemented effectively.
- Established process assessment for improvement purposes is carried out periodically.
- Process goals are set for continuous improvement.
- Process quality improvements are included in the process improvement plan.
- Information from employees, service recipients, suppliers and other stakeholders, and data from benchmarking are used in setting standards of operation, priorities and targets for improvement.
- A method for process change and implementation exists to ensure desired results are achieved.
- Process improvement results are in line with corporate improvement goals and service recipient requirements.
- There are procedures to efficiently and accurately update service recipients requirements that are used for process improvement.
- Performance and Quality metrics and management review records are maintained.
• Well-established process improvement tools such as problem solving and root cause analysis are deployed effectively in the organisation

10.9 Process review when needed

The department need to ensure that business process reviews is done effectively and efficiently. For this purpose the following should be in place:

• There exists an organisational structure responsible for promotion, integration and co-ordination of business process reengineering (BPR) activities within the organisation

• A process detailing the criteria and procedures for BPR is in place.

• Common tools and techniques, such as BPR Guidelines, Project Management, Problem Solving, Benchmarking, Benefit Tracking and Statistical Tools etc. are fully documented and communicated to all employees concerned.

• A comprehensive training programme on BPR, which provides employees with relevant knowledge and skills to perform BPR effectively, is in place.

• Process management and documentation management systems are employed to ensure effective control of process data and information and documentation.

11. Process levelling standards

One of the basic issues that need to be in place for the whole of government is a common understanding of the process hierarchy. Process levelling standards will be determined for a department in the activation phase but there is also a need that one common standard be followed throughout government. For this purpose the following is proposed:

Level 1 Departmental Value Chain

Level 2 High Level Processes. Processes within the value chain. (Example: Human Resources, Finances, Project Management, etc.)

Level 3 Sub - Processes within the processes

Level 4 Process Steps. Activity within the Sub Processes
12. Impact of non-standardised processes

The importance of standardized processes can be emphasized by looking at the impact that non standardized processes have on the organisation. This impact is as follows:

- Promote Silo way of doing work which give an negative operational view of the department
- Duplication of:
  - Functional application
  - System Development
  - System Maintenance
  - Process modelling
  - Data, etc.
- Training very complex by the requirement to train resources on their environment specific processes
- Higher costs due to more systems, duplication and maintenance
- Management reporting and Business Intelligence a nightmare due to duplication and non-standardised processes

13. Results of business process mapping methodology

Having a BPM in place and followed religiously has many advantages to the department. Some of these are:

- Process mapping create forums where people are able to communicate and share their knowledge
- Transversal integrated processes which are being used to:
  - Standardised Processes
  - Easily sign-off Business User Requirements
• Big cost savings by eliminating duplicate systems as well as duplication of work between and within departments

- Standardised Integrated Processes also leads to:
  - Visible accessible processes
  - Visibility also help identifying the processes that require process improvement

- Auditable processes and also system audit trails
  - Integrated standardised training
  - Continuous business improvement
  - Support the structuring of the department
  - Determining the functional structure (Process supported)
    - Process and areas of duplication
    - Process inefficiencies
  - Alignment of strategy, processes, products, service delivery model, Structures, Capabilities

14. Conclusion

In conclusion it could be said that a common BPM methodology is of vital importance to the public service in order to ensure quality service delivery. Within the methodology there is however many factors that can be further elaborated upon and a case also exists for determining minimum norms and standards for departments to adhere to. Some of such factors are:

- Minimum capacity in departments to deal with BPM,
- BPM tools and standards to be used,
- Governance structures for BPM,
- Standardised process inventory for the public service,
- Improvement approaches to be utilized, and
• BPM monitoring requirements and systems.

More intensive debate is needed on these topics. It is expected that the approval and implementation of this framework will in a way result in improved service delivery. It is also envisaged that this framework will assist government departments in ensuring the streamlining and pictorial of the value chain to maximise benefits of service delivery.

For the government to achieve the above; there is a need to determine a framework that can serve as a guideline to be utilised by the government departments in order to achieve the set objectives appropriately.
STANDARD OPERATING PROCEDURES

1. Introduction and Background

The Strategic Framework for Service Delivery and Organisational Transformation indicates in its first pillar dealing with operations management and implementation that a department should embark on developing Standard Operating Procedures (SOPs). The development of a SOP is prescribed to supply more detail and clarity to performing a specific job after the business process for the specific job has been designed and captured. As many other institutions, departments need committed employees who is able to complete work procedures consistently and accurately for extended periods of time. To this effect, well written SOPs provide direction to employees, improve communication between employees and clients, reduce formal training time and improve work consistency. All these factors are critically important to ensure that a department delivers to its clients the standard of service that was promised to them in the published service delivery charter.

The SOP development process is an excellent way for managers, workers, and technical advisers to cooperate for everyone’s benefit. A very positive sense of teamwork arises when these parties work together toward common goals.

SOPs used in combination with planned training and regular performance feedback lead to an effective and motivated workforce. Departments and clients benefit from consistent work performance and predictable results whilst workers benefit from increased confidence and a clear sense of achievement.

SOPs detail and describe regularly recurring work that is to be conducted within a department. The SOP development flows from developing efficient and effective business processes for a specific task and ensure that work is done in a uniform way by various and different employees tasked to perform the same task.

Initiatives such as Total Quality Management, International Standards Organization 9001, and Six Sigma are management programs that are designed to help institutions maintain process and quality control, and remain effective and efficient in an ever changing environment. At the heart of each of these programmes, SOPs drive the results. While research and departmental performance continually demonstrate the power and effectiveness of these structured management control programs, departments can benefit from the potential of SOPs without the added detail and development that these complete programs require.

2. Definition of SOP
Simply stated, a SOP specifies in writing what should be done, when, where, by whom and how.

3. Why develop a SOP?

In today’s working environment, SOPs must make value for money sense, especially if you invest the time and energy to develop and implement effective SOPs. Below are some of the ways they can have a direct or indirect positive impact on departmental performance:

- Employees perform much better when things are done correctly, on time, the same way every time.
- Doing jobs the same way every time rather than wondering about it, improves productivity. This is about consistency in routines.
- SOPs will reduce system variation, which is the enemy of production efficiency and quality control.
- Well-written SOPs facilitate training. Having complete step-by-step instructions helps trainers ensure that nothing is missed and provides a reference resource for trainees.
- Well-written SOPs facilitate cross training. A SOP can be an excellent reference document on how a task is done for employees filling in on jobs they do not perform on a regular basis.
- Employees tend to be supportive of the things they help create. Involving employees in developing SOPs can help assure the final product is more complete, useful and accepted.
- SOPs can help in conducting performance evaluations. They provide a common understanding for what needs to be done and shared expectations for how tasks are completed.
- Employees can coach and support each other if there is documentation available on exactly how various tasks must be done and everyone knows what their co-workers are supposed to be doing. This can also help generate a more cooperative team approach to getting all the daily tasks done correctly, everyday.
- Having well defined SOPs, using them in training and insisting that they be followed can help keep employees safe at work and may provide some legal protection if an injury occurs.
- Having SOPs can encourage regular evaluation of work activity and continuous improvement in how things are done.
4. Purpose of a SOP

The purpose of SOPs is to detail the regularly recurring work processes that are to be conducted or followed within a department.

SOPs document the way activities are to be performed to facilitate consistent conformance to technical and quality requirements and to support quality of work. SOPs are intended to be specific to the departments whose activities are described and assist that department to maintain their quality control and quality assurance processes and ensure compliance with governmental regulations.

If not written correctly, SOPs are of limited value. In addition, the best written SOPs will fail if they are not followed. Therefore, the use of SOPs needs to be reviewed and re-enforced on an ongoing basis. Current copies of the SOPs also need to be readily accessible for reference in the work areas of those individuals actually performing the activity, either in hard copy or electronic format, otherwise SOPs serve little purpose.

5. Benefits of a SOP

The development and use of SOPs minimises variation and promotes quality through consistent implementation of a process or procedure within a department, even if there are temporary or permanent personnel changes. SOPs can indicate compliance with departmental and governmental requirements and can be used as a part of a personnel training programme, since they should provide detailed work instructions. It minimises opportunities for miscommunication and can address safety concerns. In addition, SOPs are frequently used as checklists in auditing procedures. Ultimately, the benefits of a valid SOP are reduced work effort, along with improved comparability, credibility, and legal defensibility.

Potential advantages of SOPs include the following:

- Standardise the activities of personnel within a department to specific procedures, while improving the quality and speed of decision making.

- Provide a valuable structure for internal communication with a key role, within the department, in creating a knowledge management base.

- Act as a vehicle for disseminating best practices within the department, while updated as conditions and regulatory aspects may require.
Serve to speed up the integration of an individual into the department during the introductory training phase, by making available a library of departmental wide best practice and departmental operating procedures.

Improve transparency within the department, by enabling all employees to see how specific activities are performed in a standard and clear fashion.

Provide a clear audit trail in cases of dispute or external investigation by showing the procedures followed and records maintained.

Provide a check list which is action and implementation oriented.

Provide highly cost effective maintenance training.

Provide valuable background information to change management policies, by embedding new best practice.

Potential disadvantages of SOPs could include:

- SOPs can become more and more restrictive and more and more detailed, reducing individual liberty and individual approaches to work.
- SOPs can become very time consuming involving the completion of excessive paperwork.
- SOPs can be extended to cover even the most minor aspects of work, creating a complete controlled environment – ideal for bureaucratic management style.
- Unless updated with new regulatory requirements and best practices they will rapidly fall into disrepute.
- Unless they are used by all they will also be seen as part of a system put in place to mollify employees rather than as a key universal management tool.

6. Legislative requirements

Constitution

Public Service Act 105 of 1994

White paper on transforming public service delivery
7. **Scope applicable to developing a SOP**

The writing of SOPs is applicable to all national and provincial departments and is strongly recommended for the local government sphere as well. SOPs may be written for any repetitive activity as well as for any administrative or functional procedure that is being followed in a department.

8. **Objectives of writing a SOP**

The author of an SOP should be very clear on its objectives while writing it. They can broadly be described as follows:

- Define the expected results of implementation, regulatory or departmental.
- Understand why a SOP is needed, who will use it and how it will be used
- Determine SOP needs and assign local responsibility for management and review.
- Distinguish between SOPs, guidelines, policy and work instructions and learn how each may work for area of responsibility in a concerted integrated way.
- Implement appropriate SOP training programs.
- Implement review and control systems.
- Understand the role of the department.

9. **Content of a SOP**

All departments operate differently, and SOPs will need to reflect this. However, there are some general principles that will apply. SOPs should:

- be departmental and task specific;
- be dependent on the competence of the staff working in the department;
- Under normal circumstances, be applicable at all times, i.e. not dependent on the presence of the employee's under whose authority the procedure was prepared.
There is no single template that can be applied to all departments and tasks but efforts will be made to supply a generic table as a minimum requirement.

SOPs should define the process and specify which activities must be carried out by whom.

SOPs should help to ensure that, other than in exceptional circumstances, recommended procedures are followed at all times. Their introduction provides an opportunity for employees to define and assess their own work, to communicate this to others and help to improve team-working within the department.

10. Characteristics of a well-developed SOP

Some of the characteristics of a well written SOP include the following:

- The SOP can be shown to have benefits to the employees in improving and simplifying job performance.
- The SOP is easily and rapidly accessible to employees.
- The SOP’s role and importance can be easily and clearly demonstrated in an accompanying explanation.
- Leads to specific and ideally simple action which can be rapidly documented.

11. Methodology for Developing Standard Operating Procedures

The framework above describes the “what” should be done with regard to developing SOPs for departments. In the following paragraphs attention will be given to the “how” aspects regarding the development of SOPs in departments. The following method was developed and is proposed for use by departments:
11.1 Preparation Phase

The department should have a procedure in place for determining what procedures or processes need to be documented and how to go about it. The identified SOPs should then be written by individuals knowledgeable with the activity and the department’s internal structure. These individuals are essentially subject-matter experts who actually perform the work or use the process. A team approach can be followed, especially for multi-tasked
processes where the experiences of a number of individuals are critical, which also promotes “buy-in” from potential users of the SOP.

11.1.1 Development of guidance document

A department needs to develop a guidance document in line with the guideline and methodology issued by the DPSA. The guidance document needs to be department specific and include at least the following issues.

11.1.1.1 Writing styles

SOPs should be written with sufficient detail so that someone with limited experience with or knowledge of the procedure, but with a basic understanding, can successfully reproduce the procedure when unsupervised.

Consider the SOPs’ scope and complexity, the number of steps involved, the amount of detail necessary within each step, and how many decisions, if any, must be made that will influence subsequent steps.

Consideration must also be given to the employees that will use the SOPs. How do they learn? If they are visual learners, perhaps a series of pictures or a flow chart will work best. If they are auditory learners, then a compact disk of instructions may be more useful. Physical limitations, such as poor eyesight, may necessitate large clear print or big bright pictures. If an employee’s hearing is poor, the person may not be able to hear instructions, especially if there is competing background noise. Does an employee have a learning disability that interferes with his or her ability to comprehend and process information and instructions? Does the person have difficulty remembering instructions or details from one time to the next? Converting SOPs to brief reminder cards or pictures may be helpful.

What are employee levels of English literacy? Can they read and understand it? Can they read and understand another language if the information were translated?

The purpose of a SOP is to give detailed directions so that any individual can do a job correctly, on time, every time. At the same time, any one SOP may have a number of different uses. Depending on the intended use at the time, the SOP may be written or presented differently to be more effective. A SOP that is part of a reference manual may contain large amounts of explanatory detail and even supporting background information so employees understand the logic and importance behind certain SOP steps.

When using the same SOP in basic training, less detail may be desirable. The amount of detail should be tailored to the level of the training. For example, new trainees might be overwhelmed by large amounts of detail, so give them only the details they need to get the job done correctly. For in-depth follow-up training or retraining, you may want the SOP to contain more detail and background information explaining why certain things are done or the logic behind
certain practices. The same SOP used as an on-the-job reminder should be a bare bone overview that is readily accessible at the work site, easy to see, and quick to review and understand.

11.1.1.2 Timing and frequency

A SOP needs to remain current to be useful. Clear guidelines need to be developed and given as to when and how many times a SOP must be written. A review of a SOP must take place when certain events take place. Some examples of such events are:

- Change in legislation governing a task;
- Change in procedure regarding a task; and
- New technology or means that become available to perform task.

Over and above the review of a SOP due to a particular event taking place, SOPs must also be systematically reviewed for instance every 2 years to ensure that the policies and procedures remain current and appropriate.

11.1.1.3 Develop SOP formats

When writing standard operating procedures, managers can choose a number of different ways to organize and format them. The goal is to create a document that is easy for the reader to understand and helpful for the work at hand.

Two factors determine what type of SOP to use. First, how many decisions will the user need to make during the procedure? Second, how many steps and sub steps are in the procedure? Routine procedures that are short and require few decisions can be written using the simple steps format. Long procedures consisting of more than ten steps, with few decisions, should be written in hierarchical steps format or in a graphic format. Procedures that require many decisions should be written in the form of a flowchart.

Different SOP formats include:

- **Simple steps or a checklist.** These are easy to write and follow and work well for short, simple, straightforward tasks.
- **Hierarchical steps.** An extension of the simple steps format, this format works better for tasks that require additional detail or sub-steps within each primary step.
- **Linear flow chart.** Think of this as a graphic version of the two previous formats. It works well for tasks where activities must be done in a specific order and where an easy to follow reminder at the job site is useful.
Annotated pictures. This format works well for people who cannot read or where a language barrier exists. Since pictures can dramatically reduce the need for written explanations, this format helps to shorten complex and detailed SOPs. For some employees, SOP pictures can make excellent work site reminders. For example a photo illustrating how a work site should be set up or arranged, or the proper locations of shields, levers, switches and handles on a piece of equipment.

Flowchart. This format makes complex SOPs, especially those with a number of decisions that affect subsequent steps, easier to follow. Boxes within the flow chart can also be expanded to include checklists or sub steps. The best SOP format is one that, given the situation, does the best job of accurately transmitting the necessary information and facilitating consistent implementation of the SOP. The primary considerations for choosing the best SOP formats are:

11.1.2 Obtain and secure buy in

Senior management and leadership of a department are obliged to provide inspirational leadership. They must lead and promote the need to have a SOP guideline and toolkit in place and hammer on the importance and the value of rolling it out to its fullest. It is thus important to obtain and secure top management buy-in and commitment. This commitment should be illustrated by management through them leading from the front and acting as change agents, thus ‘walk the talk’.

11.1.3 Institutionalise SOP format

Leadership must then also provide the mandate for implementation of the SOP methodology in the department. The leadership commitment is of critical importance and therefore it could be considered to appoint a Champion in top management to be accountable for implementing the guideline and methodology in the department.

11.1.4 Identify processes to be SOP’ed

Every department follows many procedures and completes many tasks and as such will not be able to develop SOPs for all the tasks at one go. For this purpose the SOPs to be developed must be prioritized.

11.1.4.1 Identify Processes

Before prioritisation can take place, a complete list of all services and products with the procedures to deliver on them is needed.
11.1.4.2 Prioritise processes

Developing a complete set of SOPs for a business can be a time consuming process. A little time spent in the beginning to organise the effort can help reduce frustration with the process and make the effort more efficient and effective. Using the following four steps will aid in your organizing efforts.

- Identify the key areas of concern for your operation where SOPs might be useful.
- Using the list from step one, identify the top one or two priority areas for attention. In which areas are more controls desired or required? In which areas will economic returns or impact on the operation be greatest? Which areas are likely to yield some good successes early in the process so you can build momentum and excitement for the effort?
- Focusing on the selected top priority areas from step two, identify all the processes, functions or operations that occur within each of these areas.
- Group together and combine or subdivide further (which ever makes sense for the operation) all the important processes, functions or operations within each area. Then prioritize them for SOP development.

11.1.5 Develop repository

Each department should develop a numbering system to systematically identify and label their SOPs, and the document control should be described. Generally, each page of a SOP should have control documentation notation. A short title and identification number can serve as a reference designation. The revision number and date are very useful in identifying the SOP in use when reviewing historical data and is critical when the need for evidentiary records is involved and when the activity is being reviewed. When the number of pages is indicated, the user can quickly check if the SOP is complete. Generally this type of document control notation is located in the upper right-hand corner of each document page following the title page.

The department should maintain a master list of all SOPs. This file or database should indicate the SOP number, version number, date of issuance, title, author, status, organisational division, branch, section, and any historical information regarding past versions. An individual should be appointed to be responsible for maintaining a file listing all current quality-related SOPs used within the organization. There needs to be an indication of the individual(s) responsible for assuring that only the current version is used and how, outdated versions are to be maintained or archived in a manner to prevent their continued use, as well as to be available for historical data review.
Electronic storage and retrieval mechanisms are usually easier to access than a hard-copy document format. For the user, electronic access can be limited to a read-only format, thereby protecting against unauthorised changes made to the document.

11.1.6 Develop governance arrangements

A formal governance structure to oversee all SOP engagements should be in place and well communicated to all internal and external stakeholders. Clear roles and responsibilities need to be assigned to all members in the structure.

11.2 Develop SOP

After the environment has been created and the department is ready to embark on the developing of SOPs the following steps need to be engaged upon.

11.2.1 Determine the objective of the SOP

Planning should happen with the strategic goals in mind. SOPs work best when they are designed to achieve specific results. Decide what strategic goals will be achieved through better management with SOPs and how those goals will be measured. You then can use this information to adjust procedures and provide feedback to workers about their performance.

11.2.2 Appoint a SOP writer/group

The SOP must convey a clear instruction. Not only must the user understand the instruction, he/she also must be prepared to carry it out. The logical step is to let the user, as far as possible, write a draft of the SOP, in cooperation with the supervisor. The user author practice prevents the working procedure appearing to the reader unfamiliar or awkward. If it is not, is likely that the user would resist using it on the grounds that “he could do his/her job in his sleep”. It is much likely that the user-author practice will result in an improved sense of responsibility for the obligation to use and comply with the SOP.

Identify the best individual to lead the development effort for each SOP and assign a development team of employees, managers and anyone else who can bring relevant expertise to the effort.

11.2.3 Produce the SOP
Once the objective of the SOP has been confirmed and the drafters appointed, it is time to start documenting the SOP

11.2.3.1 Name the SOP

Name the SOP using descriptive action words so that it is easily understood what the SOP describes. Examples: *Issuing an Identity document* and *Payment of an old age grant*.

*Tip:* If you are developing SOPs for several different areas of your operation, give each area an identifying code then number the SOPs within it. This will make it easier to file the SOPs, refer to them in related SOPs, and for an employee to find a specific SOP for reference later. Keep them filed in places and formats accessible to the employees.

11.2.3.2 Write a scope for the SOP

To write the scope the following questions need to be answered: Which specific operations or tasks within an operation will be covered? Which are not covered? Who is the SOP written for? Example: *This Issuing of an identity document* SOP is for all staff working with the issuing an identity document at a service counter. The SOP starts with receiving the application, checking the quality of information, forwarding to the back office for production, the receiving of the physical document from the back office and finally the handing over of the document to the applicant. It does not cover the back office production processes. For procedures covering these areas, see the appropriate SOP. (This is where referencing codes and numbers for other SOPs come in handy.)

11.2.3.3 Chart the procedure

Describe each task in detail. In this section include the following:

- Specific order in which activities are done
- Timing sequences and times allowed
- Materials or tools used and how they are used
- Safety or health considerations
- References to other associated SOPs
11.2.3.4 Write the SOP in format

The format developed by a department in the preparation phase should be consulted in this step.

11.2.3.5 Testing of SOP

For SOP to be effective, they must perform in the workplace. There are two ways to be absolutely certain that a SOP is well written and performs as expected. Have someone internally and externally test the SOP by performing each step exactly as it is described while the procedure writer watches. Have a person not familiar with the work follow the SOP. Any steps that cause confusion or hesitation for the test worker should be revised.

**External review**

Provide an external person with a copy of the SOP draft. Ask them to suggest any changes that will make it clearer and more effective. Managers and employees often see dramatic performance improvements after an external expert help them with SOPs.

**Internal review**

Provide each worker who performs the procedure with a copy of the draft SOP. Ask them to review and suggest changes that are easier to understand, more accurate, or will improve performance. Assure the workers that their input is important and will be used. People are much more likely to accept and use the SOP if they feel a sense of ownership in it. Workers will feel ownership and commitment to a SOP if they believe that management used, or at least fairly considered, their ideas during development. The chance of success is reduced when workers feel that management is imposing SOPs without regard to worker input. Another excellent reason to involve the workers is that they are likely to have good ideas. Highly successful managers actively engage their work teams in a continual quest to become more efficient, increase cost effectiveness, and improve quality.

11.2.3.6 Indicate responsibility

Clear responsibility must be assigned to a specific person to see to it that a SOP is up to date, effective, efficient and applicable. A clear owner of the SOP thus needs to be indicated and formally appointed.
11.2.3.7 Authorise the SOP

The finalised SOPs should be formally approved by the relevant authority in a department to give the SOP formal status.

11.2.4 Distribute and file the SOP

The SOP owner is responsible for distribution and withdrawal of SOPs. The original is to be kept secured by the SOP owner. The historical or expired SOPs, whose new versions have been issued, should be properly filed. All copies of expired SOPs must be destroyed immediately after its new version comes in effect. This is to reduce the confusion amongst the through the existence of two different methods floating simultaneously.

11.3 Implementation considerations

A good model to ensure implementation is made by first creating and enabling environment, then empowering the department and its employees, encouraging the department and employees and finally enforcing the matter being implemented.

11.3.1 Enable

Develop an implementation plan to ensure that the approved SOP is implemented within the regulatory framework and that the SOP is executed in a generic and standardised manner. A project leader should also be appointed for the implementation at this stage.

11.3.2 Empower

Once the enabling environment has been created through legislation, the individual employees need to be empowered to be able to do the work.

11.3.2.1 Induction and training on SOP
CHAPTER THREE: OPERATIONS DESIGN: STANDARD OPERATING PROCEDURES

This step in the SOP implementation process is often the most neglected. Train or retrain everyone as necessary to follow the SOP exactly. Even with very detailed steps, it is necessary to train all workers otherwise; individuals will interpret the meaning of SOP in different ways, leading to inconsistency in work routines and performance. When training workers, share the reasons why procedures must be performed correctly—not just what to do or how to do it. People are much more likely to follow procedures exactly when they understand why they are important. In addition, sharing “why” demonstrates that you care about the worker and his or her success. It also helps develop the worker’s job knowledge and enhances his or her ability to contribute to future procedure improvements. An effective SOP training program first will make the worker aware of what training activities will take place and what the trainer will be able to do when training is complete. The trainer will explain and demonstrate both why and how each step in the SOP is performed and then gives the learner a chance to practice. The trainer will provide positive feedback as the learner masters parts of the procedure and patiently revisits those parts that need improvement.

11.3.2.2 Make SOP Accessible

The finalized SOP must made available to all role players. Care should be taken that all current SOPs are in circulation and that all reviewed SOPs be removed from circulation. All current SOPs can also be published on the departmental intranet for staff to be able to access it easily.

11.3.3 Encourage

Once the employees have been empowered to do the work they must be encouraged to do so on an ongoing basis.

11.3.3.1 Run advocacy programme

Successful SOP development and implementation typically requires that all employees and stakeholders who are affected by a SOP be involved. For this purpose a tailor-made advocacy programme to accentuate the importance of the SOP must be run.

11.3.3.2 Supply feedback on progress

In order to ensure sustainable success, feedback on the implementation progress and success need to be supplied to the employees working with the SOP on a continuous basis.

11.3.4 Enforcement
Set norms and standards need to be enforced once the three above implementation steps have been taken.

**11.3.4.1 Monitor SOP**

The minute you write and implement a SOP it is time to evaluate and update it. Even new SOPs frequently need to be tweaked once or twice before they operate smoothly. Employees should report required changes to their supervisor any time they see an opportunity, problem, or concern. Anytime something changes, each SOP within the areas affected by the change should be reviewed for accuracy and appropriateness.

**11.4 Review of SOP**

**11.4.1 Determine timelines for revision**

SOPs need to remain current to be useful. Therefore, whenever procedures are changed, SOPs should be updated and re-approved.

SOPs should be also systematically reviewed on a periodic basis, e.g. every 2 years, to ensure that the policies and procedures remain current and appropriate, or to determine whether the SOPs are even needed. The review date should be added to each SOP that has been reviewed. If an SOP describes a process that is no longer followed, it should be withdrawn.

The review process should not be overly cumbersome to encourage timely review. The frequency of review should be indicated by management in the department’s guidance document. This document should also indicate the individual(s) responsible for ensuring that SOPs are current.

**11.4.2 Impact Assessment**

Impact assessments on the SOP need to be done on a scheduled basis to determine if the activity is contributing to the overall achievement of the related outcome.

**12. Conclusion**

In conclusion it could be said that a common SOP guideline and methodology is of vital importance to the public service in order to ensure quality service delivery. Within the methodology there is however many factors that can be further elaborated upon.
More intensive debate is needed on these topics. It is expected that the approval and implementation of this framework will contribute to improved service delivery.
SERVICE STANDARDS AND SERVICE CHARTER

SERVICE STANDARDS

1. Introduction

According to the White paper on Transforming Public Service Delivery (Batho Pele), 1997, national and provincial departments must publish standards for the level and quality of services they will provide, including the introduction of new services to those who have previously been denied access to them. In the case of certain services, such as health, education, national departments, in consultation with provincial departments, may set standards which will serve as national baseline standards. Individual provinces may then set their own standards, provided these meet or exceed the national baseline. Provincial departments may also set additional standards for aspect of services not covered by national norms. Similarly, departments may set intra-departmental service standards which will serve as minimum norms for their institutions and components.

In terms of the Public Service Regulations, 2001, Part III.C.I states that: "an executing authority shall establish and sustain a service delivery improvement programme for his or her department in including amongst others standards for the main services to be provided".

Departments are expected to publish their service delivery standards in an annual statement so that citizens will know what they can expect.

2. Main objectives of Service Delivery Standards

The main objectives of service delivery standards are:

- To improve service delivery by promoting high quality, high value public services that is vital to the well-being of citizens.
- To provide value for money to taxpayers by ensuring that services are cost efficient.
- To articulate the commitment of public servants to the transformation process by delivering a high standard of service.
- To meet the growing expectations of the public for more information and active consultative processes.
3. Definition of Service Standards

The Canadian Service Standards Guide, define service standards as more than service delivery targets such as waiting time and hours and hours of operation. Canadians are entitled to know what they should expect from government, how the services will be delivered, what they cost, and what clients can do when services they receive are not acceptable.

In the South African context, service delivery standards are the rules of engagement for providing services to service beneficiaries. Service standards include service delivery targets such as waiting times and hours of operation. Service beneficiaries are entitled to know what they should expect from the government department, how services will be delivered and what they cost, and what service beneficiaries can do when services they receive are not acceptable. Service Standards provide the behavioural attributes that leads to consistent service delivery. Therefore, service standards refer to response times for delivering a service (turn-around-time). According to the Batho Pele Hand Book service standard allows others to judge the public service performance in delivery a service (definitive level excellence).

4. Legislative mandates

The setting of service delivery standards emanate from the White Paper on Transforming Public Service Delivery (Batho Pele), 1997, whereby departments are mandated to develop precise and measurable service delivery standards, which must be approved by relevant Minister/MEC/executing authority before they are adopted and approved. Once service delivery service standards are approved, they must be published and displayed at the point of delivery and communicated as widely as possible to all potential beneficiaries so that they know what level of service delivery they are entitled to expect, and can complain if they do not receive it.

According to the Public Service Regulations, 2001, Part III.C.I, all executing authorities are required to establish and sustain a service delivery improvement programme for his or her department, including amongst others service delivery standards for the main services to be provided.
5. Why develop Service Standards?

Prior to 1994, service delivery standards were entirely lacking in the Public Service, this then drove the democratic government to focus its mind-set to transformation of the Public Service. The Public Service is faced with major challenges from social and economic and from major changes in public attitudes and expectations. The SA government wants public services for all that are efficient, effective, equitable and constantly improving. In this regard the government produced the “quality standards” the Batho Pele Principles. These are:

- **Consultation:** How do we consult our service beneficiaries? How the service beneficiaries consulting us (government department)?
- **Access:** How do our service beneficiaries access us? How do we access service beneficiaries?
- **Information:** How do we provide information on services that we provide/render?
- **Openness and Transparency:** Does our service beneficiaries know who the head of department is, how much it costs to run the department, is this information readily available?
- **Courtesy:** How courteous are we when providing a service? Do we conduct a public opinion survey amongst the end users to establish levels of courtesy, with questions such as, are service providers helpful? Do we smile when attending to our service beneficiaries? Do we respect the dignity of all service beneficiaries?
- **Redress:** In case of grievance, how do we address the grievance/complaints? What mechanisms are in place to ensure redress?
- **Value for Money:** Are the services provided economically and efficiently?

6. Set realistic targets

The challenge for departments is to select service standards that measure the key services being delivered by that department. It is important to understand that all standards must be SMART, namely:

- **Specific** – Is the service standard specific? Does it mention what is being measured? For example, does it refer to a specific quantity, quality, timeframe and cost?
- **Measurable** – Is the service standard measurable? If it is vague, rather than specific, it will not be measurable. For example, if we simply state that we should be more courteous to our service beneficiaries; we will not be able to measure the level of courtesy: we need to unpack courtesy in terms of response times, reduced complaints, etc., in order for it to be measurable.
Achievable – Is the standard achievable with the current resources, or are additional resources available and affordable in order to achieve the standard. For example, if we set a standard of processing social grant applications within two days, it certainly is specific and measurable, but is it achievable with the available human and financial resources?

Realistic – Is the standard realistic in terms of current or past performance? If we look at the previous example of processing social grant applications within two days, is this realistic, knowing what procedures and protocols have to be followed?

Time-bound – Does the standard specify a clear time-frame or deadline, such as having to be completed by a specific date, or within a specific period?

Developing service standards: Phases to consider in developing service standards

The following phases are recommended when developing service standards:

- Preparation phase
- Set service standards
- Empower staff
- Manage staff
- Communicate
7.1. Preparation Phase

During the preparation phase, it is prudent that before embarking on any action/activities to do the following:

7.1.1 Obtain buy in

The department needs to obtain a buy-in from all stakeholders involved in the delivery of services. Furthermore, the department needs approval and buy-in from the Executing Authority and senior management before embarking on the development of service standards. The buy-in is to obtain support and funding for developing service delivery standards.
7.1.2 Develop change management programme

The department needs to develop a change management programme, clearly indicating objectives, intended achievement and benefits of developing service delivery standards.

7.1.3 Develop policy

A policy on service delivery standards must be developed that is accepted by all in the department and in line with the national guideline and methodology. The policy should be understandable and easy to implement.

7.1.4 Appoint a champion

Once these above mentioned steps are achieved, the department needs to appoint champion/s to run with the development of service delivery standards within the department. The champion/s should be able to understand issues and challenges of service delivery as well as the process of developing service standards.

7.2 Set standards

The following needs attention during the setting of standards phase:

7.2.1 Know your business

In developing service standards you need to know the department’s business (know what is being done). In order to meet budgetary realities and service beneficiaries’ expectations, you need to assess the standards in light of your current ability to meet them and your past performance. To determine your current level of service delivery, you will need an appropriate performance measurement and monitoring system. Monitoring performance, which includes assessing client satisfaction, is essential if you want to establish and work to service standards.

Government departments are rethinking the way they do business. Re-designing your services often produce significant resource savings and result in improved service delivery. In such cases, service standards should not only reflect current performance (where you are) but desired state of affair (where you want to move to).

Before consulting with your service beneficiaries to find out what aspects of service delivery are most important to them, what needs to be improved and what is working well, it is useful to know both the costs of existing service
levels and the major cost drivers. This knowledge will enable you to provide a rational response during the consultations on possible changes to service delivery.

Service standards may have to be adjusted to meet future budget levels. Understanding current costs and the potential for re-engineering will help you to know what is affordable. Knowing your business amongst others include:

7.2.1.1 Identify service beneficiaries

Service beneficiaries are all those who have dealings with the government. There may be several different service beneficiaries for each service, each of whom has different perspectives and expectations. Public management is therefore, the art of balancing these differing expectations.

Service beneficiaries are individuals, groups and business who deal with government. In this case identify all direct service beneficiaries who receives a service or product from government departments.

At least three types of service beneficiaries can be identified: the direct, who receives the output of the service; the general public, which receives a collective benefit from government services; and the taxpayer, who pays for most government services.

7.2.1.2 Identify own services

Service beneficiaries deal with the government in a wide variety of ways. They may receive a social grant, or apply for identity document, or ask for information and advice. In all these cases, there is a transaction or interaction between the government departments and the service beneficiaries. In all these interactions, the government department is providing a service. A service is provided every time a service beneficiary deals with government. The services that are delivered now need to be documented.

7.2.1.3 Identify partnerships

Government services are sometimes delivered in partnership with other government departments, other levels of government (provincial and local) and the private sector. These arrangements have the objective to increase the efficiency of service delivery and to provide more rationalised service delivery from the point of the service beneficiary. Knowing your partners in service delivery include knowing what other related services are being delivered to your service beneficiaries, so that you can seek out rationalisation and efficiencies.

7.2.1.4 Know current service delivery standards
Developing service delivery standards in order to meet the fiscal realities and service beneficiaries’ expectations, you must assess service standards based on the department’s current ability to meet them and its previous performance. To determine the department’s current level of service delivery it needs an appropriate performance measure and monitoring system. Monitoring performance includes assessing client satisfaction.

### 7.2.1.5 Know what is affordable

Before consulting with service beneficiaries it is important to know both the costs of existing service levels and the major costs drivers. This knowledge will enable you to provide a reasoned response during the consultations with service beneficiaries on possible changes to service delivery.

### 7.2.2 Consult stakeholders

In developing service standards the department needs to consult with its service beneficiaries to find out what is important, how satisfied they are with current service delivery, what’s working well and what needs to be improved. By consulting with service beneficiaries about the services they receive, making them aware of the costs of delivering services, the departments will find it easier to match its clients’ expectations with what your department can afford. Service beneficiaries should be partners in the delivery of services.

Consultation with clients is important for two reasons. If you decide based on own ideas of what service beneficiaries want, you run the risk of being out of touch with what your service beneficiaries actually consider to be the most important aspects of service delivery. As well, client satisfaction depends not only on the quality of the service, but on service beneficiaries’ initial expectations. In addition, such consultations will indicate where you can improve service to provide the greatest pay-off in terms of increased client satisfaction.

You can assess client satisfaction and expectations by providing suggestion boxes, monitoring the volume and nature of complaints, and conducting surveys, focus groups, client panels and site visits.

### 7.2.3 Set service delivery standards

It has been proven that service beneficiaries regard the following factors as critical to good service:

- responsiveness;
- competence;
- easy access;
- courtesy;
• good communication;
• reliability and accuracy;
• security;
• appearance of staff; and
• Attractive physical facilities.

Keep these factors in mind when you develop service standards. Service delivery targets (dealing with responsiveness, reliability, accuracy, etc.) and complaint mechanisms should be openly displayed or made available to service beneficiaries. Government departments may undertake pilot projects to get a better idea of how their standards work in practice. Others may implement service standards, monitor them and then adjust them as necessary. Service standards are meant to be monitored, changed and improved over time. They are not cast in stone once they are set.

Service standards may not be uniform everywhere for a given service. Localized service standards may be preferable to across-the-board national standards in certain cases where local circumstances vary.

7.3 Empower staff

By empowering staff about services they deliver and service delivery standards include the following:

7.3.1 Inform staff on service standards

By training staff on service standards you are making them aware of the manner and costs of delivering services. Service beneficiaries will not notice an improvement in service delivery unless front-line staffs are appropriately trained in techniques for dealing with service beneficiaries. Front-line staff should have approved delegated powers with authority and accountability to make the decisions that matter to service beneficiaries.

7.3.2 Train staff to deliver on standards

Furthermore, they should be properly trained and equipped to make those decisions, and should have access to the tools they need to deliver quality service. Staff cannot be responsive to service beneficiaries if they are restricted by rules and regulations, if the information they need to deliver good service is not readily available, or if they are not encouraged to be innovative and to take measured risks.

7.4 Manage standards
Once service delivery standards are approved, you need to manage your standards to ensure that service delivery standards are adhered to. Managing the standards includes the following:

7.4.1 Implement standards

Service standards should be implemented in a deliberate, planned manner building on previous experience. Service delivery standards should be published as soon as possible and then be improved over time.

7.4.2 Monitor standards

Service standards should be monitored to ensure that service delivered are consistent and of high calibre. Service standards can be monitored in three categories: reliability, quality of delivery and customer service. Monitoring should be done through:

- internal and external public service audits
- Customer satisfaction survey
- Izimbizo

7.4.3 Improve standards

Service standards should be constantly monitored in order to be adept/improve as service beneficiaries’ needs and expectations changes.

7.5 Communicate

Service standards are meant to sensitise your service beneficiaries on what to expect from a government department. Communicating your service standards you are empowering them.

7.5.1 Communicate standards

After developing service standards you need to communicate them with your service beneficiaries to find out what is important, how satisfied they are with service delivery standards and what more needs to be improved. By
Communicating with service beneficiaries about the services they receive and service delivery standards, you are making them aware of the costs of delivering services, as well as managing their expectations against what your department can afford.

7.5.2 Communicate performance against standards

Communicating your current performance against the improved service delivery standards is important because your will be able to indicate/identify a service delivery gap between where you are currently (current state of affairs) and where you intend moving to (desired state of affairs) These will in the long run provide the greatest pay-off in terms of increased client satisfaction.

7.5.3 Develop service charter

Once service standards are accepted you need to develop a service charter which will make clear commitment to the service delivery standards that service beneficiaries can expect from a government department. These must be signed off by the relevant Minister/MEC/executing authority.

8. Conclusion

Setting realistic service standards and delivering the services at the set standards is of critical importance for service delivery. Through this instrument, service delivery can be continuously improved by setting the bar higher each time when the previous set standard has been fully achieved. Communicating the standards will also ensure that the clients know what level of service to expect and thus not have expectations that are not realistic and or achievable.
CHAPTER THREE: OPERATIONS DESIGN: SERVICE CHARTERS

SERVICE DELIVERY CHARTER

1. Introduction

The Service Delivery Charter (Statement of Public Service Commitment) is a component of the performance management system that sets out the government departments’ commitment to providing services at specified levels, in order to effect strategic developmental outcomes, within the constraints of available resources. There is a dire need for a significant public education, communication and participation around Service Delivery Charter.

According to the White Paper on Transforming Public Service Delivery (Batho Pele), 1997, National and provincial departments must publish their statement of Public Service Commitment. Whose main aim is to make clear commitment to the Service Delivery Standards that service beneficiaries can expect, and to explain to service beneficiaries how the government department will fulfil each of the Batho Pele Principles. Furthermore, the Service Delivery Charter should be short, simple and easy to understand.

2. Definition of a Service Delivery Charter

A service charter is a public document that set out the standards of service that service beneficiaries can expect from a government department, as well as complaints mechanisms. Service charter is intended to ensure that departments:

- Focus on service beneficiaries
- Manage the expectations of clients
- Measure and assess performance
- Initiate Service Delivery Improvement

3. Benefits of Service Delivery Charter

The benefits of a government department having a Service Delivery Charter are as follows: is will have an immediate three-fold benefit in that it will:

- Reinforce the department's or the component's commitment to service delivery improvement for all end-users;
- Help the department or component rise to the challenge of treating citizens as customers and meeting their demands equitably and fairly; and
- Immeasurably enhance communications with customers.
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4. Key elements of a Service Delivery Charter

The Service delivery Charter should contain the following elements for it to be considered a good charter:

- Service standards – commitments on the level and quality of service to which beneficiaries are entitled
- Information – clarity about who is eligible, when and where the service is available, any pre-requisites (paper to bring along)
- Redress – How to complaint and what redress to expect in case the service deliverer falls short of the standards it promised

5. The objective of developing a Service delivery Charter

The objectives of developing a Service Delivery Charter are to express a commitment to service delivery in which:

- Published standards of service delivery are maintained;
- The treatment of all end-users as customers is encouraged;
- Customers' rights are protected;
- Relationships with customers are enhanced; and, finally,
- The transformation of the public service from a rules bound bureaucracy to a results driven organisation is accelerated.

6. Links to Batho Pele

The Service Delivery Charter embodies most of the Batho Pele principles, in that it must:

- Specify the services provided, which must be decided in consultation with the customers.
- Provide information on where the services may be accessed.
- State the customer's rights and obligations to facilitate courtesy.
- Provide full information on what services are provided and where they can be accessed.
- State the standards of service customers can expect and give full particulars of whom should be contacted if there are any queries in order to promote openness and transparency.
• Explain how complaints will be handled to ensure that customers have redress.

• Reassure customers that they are getting value for money in the range, quality and availability of the services offered.

7. Links to legislation

Apart from the White Paper on Transforming Public Service Delivery, which has already been mentioned, the most powerful mandates for the development and implementation of a Service Delivery Charter come from:

The Constitution.

The nine principles governing public administration provided in section 195 of the Constitution insist that public services should be publicised and that public servants should commit to provide services of a standard that meet the needs of the customers.

The Promotion of Administrative Justice Act No. 3 of 2000.

This Act confirms the customer's right to consultation and redress if his or her rights are adversely affected by an administrative action and a Service Delivery Charter should stipulate how these rights will be upheld.

The Promotion of Access to Information Act No. 2 of 2000.

The Act gives effect to a citizen's constitutional right of access to information held by the State and any information that is held by another person which may be required for the exercise or protection of any rights, in order to:

• foster a culture of transparency and accountability in public services by giving effect to the right of access to information; and

• Promote a society in which the people of South Africa have effective access to information to enable them to exercise and protect all of their rights.


Part C of the Regulations states that an executing authority shall establish and sustain a service delivery improvement programme for his/her department that must include:

• an identification of the type of actual and potential customers and the main services to be provided to them;

• the existing and future arrangements with the department's actual and potential customers;

• the customer's means of access to the services, the barriers to increased access and the mechanisms or strategies to be utilised progressively to remove the barriers so that access can be increased;
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- the existing and future service standards for the main services to be provided;
- the existing and future arrangements on how information about the department's services are provided; and
- The current and future complaints system or mechanisms.

8. Why the need for a Service Delivery Charter

8.1 Managing Citizens Expectations

The vast majority of service beneficiaries are not aware of the exact functions and competencies of national, provincial and local government. Furthermore, for each function of national, provincial and local government, the expectations that service beneficiaries have differ significantly between and within socio-economic groupings. It is crucial that the expectations of service beneficiaries are managed in this regard by ensuring clarity on the services that each sphere of government will provide, the associated guaranteed service levels.

8.2 Clarifying the Rights and Obligations of Service Beneficiaries

Similarly it is important to be explicit about the role that service beneficiaries need to play, their rights and the mechanisms by which to exercise these in terms of service delivery and governance commitments and their obligations and duties in ensuring that the government is governable, serviceable and sustainable through the recovery of costs.

8.3 Providing a Basis for Communication

A Service Delivery Charter constitutes a clear means of communication to service beneficiaries. In that sets out the role of the government and the role of service beneficiaries, as well as the services provided and service levels that a government will provide in a tangible and measurable manner. Communications with service beneficiaries on the basis of service standards, indicators and targets will reduce the potential for misunderstandings and misinterpretation.

8.4 Deepening Democracy, Involving Citizens and Creating a Basis for Accountably in Local Government

A Service Delivery Charter will deepen democracy by forming a basis for public participation where both performance information is communicated and the appropriate mechanisms are created by which citizens and communities can hold the government accountable in between and at elections. Public participation and involvement in decision-making is rendered impotent when it is unclear to service beneficiaries. The Service
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Delivery Charter is a written and signed document setting out the government department’s commitment/s to service beneficiaries. This will enable service beneficiaries to understand what they can expect from the government, and will form the basis of engagement between the government and citizens, communities or organs of civil society. The Service Delivery Charter makes explicit the social contract between the government and its citizens.

8.5 Empowering Citizens and Communities to Leverage Change

By involving service beneficiaries in deciding what should be included in the Service Delivery Charter, what service levels are guaranteed and accounting to citizens on adherence to the Charter, government would be investing significant power in the hands of service beneficiaries in shaping its future.

9. Developing service delivery charter: Phases to consider in developing service standards

The methodology to develop a service charter consists of five phases:

- Preparation phase
- Design the service charter phase
- Consult internally on the content of the service charter phase
- Publish service charter phase
- Review the service charter phase

9.1 Preparation Phase

During the preparation phase, it is prudent that before embarking on any action/activities to do the following:

9.1.1 Obtain buy in

A department needs to obtain a buy-in from all stakeholders involved in delivery of services. The buy-in is to obtain understanding, support and funding for developing service delivery charter.

9.1.2 Develop departmental guideline
A departmental guideline, clearly indicating the rational and objectives of Service Delivery Charter, intended achievement and benefits of developing service delivery Charter, which service/s to be included in the charter, and why the identified service/s.

9.1.3 Appoint a champion

Once these other sub steps are achieved, you need to appoint champion/s to run with the development of service delivery standards within the government department. The champion/s should be able to understand issues and challenges of service delivery.

9.2 Designing Phase: Design Service Delivery Charter

In the designing phase, department must follow the following steps and where possible answer the questions as listed.

STEP 1

WHO ARE WE?

This is easy. The answer will take the form of: "We are the Department of ...."

STEP 2

WHERE CAN WE BE FOUND?

This is not quite as simple as step one. All the physical locations of the department where services are delivered to end-users must be identified and listed, clearly giving the address details.

In addition, telephone and fax numbers must be provided for each location, as well as e-mail addresses, if applicable. Where call centres have been established, these must be identified with their corresponding address details. It is critically important that the days of the week and times during which the services may be accessed are clearly stated.

It is preferable to provide all this information by geographical area so that end-users can establish the most suitable location for their needs. For remote locations it is advisable to provide full directions of how to get to the service point.

STEP 3

LIST THE DEPARTMENTS SERVICE AND PRODUCTS

It is necessary here to list all the services provided by the department and then to specify which services are available at each location.
In addition, full information must be provided on what the customers need to do or take with them in order to access the services, for example, ID documents, birth certificates, photographs, medical histories, educational qualifications and certificates.

A commitment to the *Batho Pele* principles will enhance the Charter. It is suggested that a statement along the following lines be included here: "The provision of our services will be based on the principles of *Batho Pele* and we undertake to honour these principles by … (indicate here how you will give force to each of the *Batho Pele* principles in delivering the relevant services)".

This is not a simple exercise and requires thought and discussion with staff as well as end-users. Some of the best ways to consult with staff and customers is by way of focus groups. These groups should be representative and often work best with a mixture of staff and customers. The facilitator must be a mature and preferably senior member of staff, well-versed in the services of the department.

It must be accepted that the findings of these focus groups may require the department to review or even revise some of its services and how they are provided.

Once the focus groups have been held it is useful to send out questionnaires to a cross section of end-users, asking the same sort of questions addressed during the focus groups. This may provide additional important information and will serve as a useful control mechanism.

The same focus groups and questionnaires can be used to provide the input to the next two steps.

**STEP 4**

**OUR SERVICE STANDARDS**

Having established realistic and relevant service standards through the focus groups each service should be listed with the standards applicable to this particular service. The standards may be introduced with the following statement: "We have set the following minimum standards for the level and quality of the services we provide:"

Remember that your customers, as a result of previous disadvantage, may not be in a position to articulate appropriate standards and may thus not expect much from you. On the other hand their expectations might be totally unrealistic. The focus groups should help them understand more clearly what they can rightfully expect from your department.

Times change and customers' needs may change with them. In order to monitor standards and customer satisfaction it will be necessary, at regular intervals to review the standards. Again, focus groups can be used to facilitate this process. However, a simple questionnaire at service points is a useful interim device to ensure that service delivery is still on track and meeting the needs and expectations of customers. This questionnaire can also be used to determine changed needs or new expectations

**STEP 5**
HOW WE WILL DEAL WITH QUERIES AND COMPLAINTS

Here customers will be reassured about their rights by committing your department to redress procedures and courteous assistance.

If your department has set up a complaints/help desk, this must be clearly stated, with full particulars and an explanation on how to access this service, with full details, including the names of staff in attendance. You may wish to follow the following guidelines in completing this section of your Charter:

When you write to us we shall:

- Acknowledge your letter or e-mail within ( ) days of receiving it.
- Provide you with the name of the person handling your query.
- Provide you with a reference number, where applicable.
- Tell you when you can expect a full response.
- Provide you with telephonic and e-mail contact details, for example, "You can call or e-mail Mr/Ms … on (telephone number and area code) or at (e-mail address) between ( ) and from Monday to Friday.

If you have a complaint:

- Tell us.
- We shall apologise and try to put things right immediately
- If you are not happy with our response you can contact Mr/Ms … on … .

Please tell us what you think of our services and standards and whether you think we are meeting them. We would appreciate any comments and/or criticism you may have. Please contact: Mr/Ms ( ) at: Telephone ( ) Fax: ( )

e-mail ( ).

Finally, under the heading of standards, it is useful to give an undertaking to publish the results of the department's performance in a publication available to the public. The following statement may be helpful: "We shall publish the results of our performance against our standards for the year 2002 in (name of publication) on (date)."

STEP 6

YOUR RIGHTS

Here you must list the customer's rights. We suggest the following:

You have the right to all the Batho Pele principles, especially the following:

✓ Courteous behaviour at all times.
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- Full information.
- Prompt and efficient service.
- Redress and an apology for lapses in our service.

The above may need to change, depending on the department and the nature of the services provided.

STEP 7

YOUR OBLIGATIONS

While it is critically important that the Service Delivery Charter should spell out the rights of customers, they need to be reminded that service delivery is a two-way street and that they have certain obligations as well. For example, you may wish to remind them that they too need to be courteous and civil and respect the dignity of officials they encounter.

9.3 Consulting Phase: Consult internally on the content of Service Delivery Charter

9.3.1 Get buy in and commitment

It is crucial to involve all staff in the development of a Service Delivery Charter so that you get their understanding and buy-in and commitment to content of Service Delivery Charter with regards to which service/s to be included/listed on the Charter, why the identified service/s improve service delivery. The buy-in will encourage staff to become custodians of the process so that they can take ownership of the Charter.

9.4 Publish Service Delivery Charter Phase

Once the Service Delivery Charter is completed, it should be published and widely distributed to service beneficiaries and displayed within the department service points. Think creatively about imparting and publishing information to all audiences and again consider the cost implications.

9.5 Review Service Delivery Charter Phase

It is crucial to review the Service Delivery Charter to ensure that it is (within current mandate/s) still relevant and still addresses the services that a government department is providing. In case where the mandate/s of government department has changed, such changes must be reflected on the Charter.

Department with regional/district/site offices are to ensure that their Charter reflect the type of service rendered within the specific sites and not the generic Charter that speaks to generic services or services provided at head office and not at site/regional/district offices.
9.6 Format of Service delivery Charter

SERVICE DELIVERY CHARTER

The Department of......................

Who are we?
We are the Department of...............  

Where can we be found?

We can be found at the following centres:...................

The services we provide
We provide the following services:..............

You will be able to make use of these services by:...............

You will need the following documents to access these services:...............

Our service provision is based on the principles of Batho Pele and we shall fulfil these principles by

Our Service standards
We have set the following minimum standards for the level and quality of services we provide

- When you write to us we shall:
- Acknowledge your letter within ( ) days of receiving it.
- Provide you with a contact name for future queries. Advise you when you can expect a reply.
- Provide you with telephone, fax and e-mail details.

Our performance against our standards
We shall publish the results of our performance against our standards each year in our annual report

You have the right to all the Batho Pele principles, especially the following:

-Courteous behaviour -etc.

We expect you to be civil, courteous and respect the dignity of our officials at all times
CHAPTER 4: OPERATIONS PLANNING AND CONTROL

What is operations management?

Operations is concerned with the activities, decisions and responsibilities of operations managers in departments. It involved the provision of services and value to the service beneficiaries and ensuring that they receive the correct services and the preferred outcomes. It involves understanding the requirements of the service beneficiary, managing the service processes, ensuring the department’s objectives are met, while also paying attention to continuous improvement of services.

Service operations managers:

- Are accountable for providing service to the department’s service beneficiaries
- Have a significant bearing on the success of the organisation.
- Are responsible for a large percentage of the department’s assets.

What are services?

Public services come in different shapes and forms, and is offered by a range of types of departments, including department to service beneficiaries, government to government services, internal services and non-profit and voluntary services.

Public services offer a wide range of services provided by the local, provincial and national governments spheres to their service beneficiaries and communities. These include amongst others human settlements, police, welfare, health and education services.

Internal services are different types of formal and informal services that officials inside a department make available to each other. The formal services include services such as Human resource management, Finance, Security and Information Technology. Almost everyone working in a department offers some kind of service to other people in the organisation, such as convening meetings, providing information, participating in discussions or drafting reports. These are informal internal services.

Government to government services are services provided between various departments and include advisory services, institutional support, monitoring and evaluation, budget support, infrastructure maintenance, communications, finance and legal services.

Who are Service Beneficiaries?

It is imperative to note that different departments often use different terms for their customers. Public service provide services to service beneficiaries who are our citizens. The police has victims and criminals, hospitals have patients and visitors, correctional facilities have inmates and visitors etc.

The word service beneficiary is used to cover all of these individuals and communities to which organisations deliver service.

What is “service”?

While a product is a tangible something, a service is an activity or a process of set steps which involves the treatment of the service beneficiary (including the possible provision of a product such as an identity card) or something belonging to them, where the service beneficiary is also involved, and performs some role in the service process. This is also known as the service delivery process.

Service from the operations perspective
From the operations point of view, the service provided is the service process and its outputs which have been designed, created and enacted by the operation using its input resources, including the service beneficiary, where the service beneficiary also takes some part in the service process. The service provided is therefore where the operations and the service beneficiary meet as represented by the overlap. (Figure 1.1)

![Figure 1.1 – Service provided and received (Johnson)](image)

**Service – the service beneficiary's perspective**

The service received is the service beneficiary experience of the service provided which results in output such as products, benefits, emotions, judgements and intentions.

**The service beneficiary experience**

The service beneficiary experience is the direct and personal understanding of and response to their interface with and participation in the service process, and its outputs, involving their passage through a series of points or steps. An experience is perceived from the point of view of an individual service beneficiary and is fundamentally personal, existing only in the mind of the service beneficiary.

Aspects of the service beneficiary experience include:

- Service beneficiary interaction.
- The flexibility of the frontline staff.
- The responsiveness of the service department.
- The ease of access to the departmental staff or information systems.
- The extent of personal interaction.
- Interface with other service beneficiaries.
- The level to which the service beneficiary feels valued by the organisation.
- The courtesy and competence of the service delivery staff.

**Service Outputs**

Service outputs are used to explain the results for the service beneficiary of the service process and their experience. The key outputs are products, benefits, emotions, judgements and intentions. (See Figure 1.1)

**Products**
A significant functional output of the service offered is the tangible product that is delivered. These would include products such as the new heart for a heart operation patient or an identity card issued to the service beneficiary.

Benefits

The benefits are imperative to a service beneficiary. The benefits of a service is how the service beneficiary feels that they have benefited or gained from the service provided and how well their needs and requirements have been met. The patient who has undergone a heart operation will benefit from a longer and more active life.

Emotions

When a service beneficiary receives a service, it results in them feeling emotions, of which there are an array, including disappointment, anger, sadness, shame, joy, surprise. In a hospital the patient should experience a well-managed stay, where they feel comfortable and assured throughout with least possible discomfort and inconvenience.

Judgements

Judgements are the conscious or unconscious evaluation of the service provided. It is the service beneficiary's experience and perceived benefits gained. These evaluations and emotions are restructured into a feeling of satisfaction and dissatisfaction about the overall service.

Intentions

The judgements, either positive or negative will result in intentions, such as to intention to complain or not, the intention to reuse the service or not, the intention to endorse the service or not.

Departmental outcomes will address meeting targets and objectives. A hospital may have clinical targets such as waiting times, operational targets such as theatre usage financial targets such as adherence to budgets. In order to ensure success, an operation has to meet both the departmental and service beneficiary outcomes.

Relationship between Products, Services and value

Most departments provide a mixture of products (things) and services (activities).

The pertinent point is not the relative amount of product versus the service that a department offers, but where the value is for the service beneficiary.

Value is generated in the experience and results at the points of consumption. The service beneficiary is the ultimate judge of value. Value is observed by the service beneficiary over time. The service beneficiary has a substantial role in value creation. The role the service beneficiary plays in service delivery is referred to as co-production.

Co-production

The service beneficiary's experience could be an inherent part of the operations process. As a result, the service beneficiary sees much of the process, and in many instances play a key role in the process itself, as well as receiving the service – thus service is a two way flow.

The service beneficiary is normally only involved in the front office. The back office performs work that are usually not exposed to the service beneficiaries.

The role played by the service beneficiary in a service process is referred to a co-production. This is an idea relating the way service beneficiaries could get more involved with public sector services. An example of such an arrangement is the South African Revenue Service’s e filing system.
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Why is operations management important?

Efficient and effective operations management should result in enhanced services i.e.

**Better for the service beneficiary**

If the service beneficiary is provided with the accurate service, a worthy experience and the preferred outcomes, they will be content, even delighted. Service beneficiaries may be prepared to wait longer in order to receive a higher service specification.

**Better for the staff**

The delivery of the correct services, experiences and outcomes for the service beneficiary will also result in an enhanced experience for the staff.

- An efficient operation and satisfied service beneficiaries results in staff taking pride in both the job they do and the department they work for.
- Service beneficiaries will be easy to deal with because they are contented. The service and the experience meet their needs.
- Service beneficiaries who are content, tend to be more understanding, so when things go wrong, they are more tolerant which in turn makes things easier for the staff.
- An effective and efficient operations results in fewer problems, which results in fewer grievances for staff to address.

**Better for the department/public service**

The provision of the right service and experience through good operations management bears many benefits for the department or public service at large:

- Service beneficiaries who are content with service delivery are more likely to return and also more likely to recommend the department and its services to others.
- Delivering the correct service and experience should empower the department to attain its goals/objectives and mission, supporting the departments strategic intent.
- Effective operations management should assist in developing the department’s future intent and develop skills and competencies to support the development of the department.
- Improved and efficient services will enhance the brand and reputation of the department.
- Enhanced operations management leads to improved services which is more cost effective and efficient thereby reducing the department’s costs.

**Challenges for operations managers**

The key strategic challenges faced by most operations managers include:

- Managing tactically and strategically
- Making operations a contributor to strategy as well an implementer
- Making the business case for improved service delivery
- Understanding the service concept

**Managing tactically and strategically**

Operations managers need to manage both tactically and strategically. Being tactical is about being focused on the short term day to day activities. Strategy is concerned with long term and with the operation’s wider contribution to the department.
The problem for operations managers is that a substantial part of the managing operation is immediacy. This is the constant challenge of addressing the needs of a stream of service beneficiaries, managing the staff and making operational decisions to delivery of the right service at the right cost at the right time. The danger of this immediacy is that it can result in short term focus. Many operations managers concentrate their time and effort on managing day to day operations for the following reasons:

- The pressure on the operation to deliver its day to day services may leave little time for medium term operational improvement activities or longer term strategic planning.
- Operations managers find themselves in a comfort zone with the unambiguous and rational nature of many short term tactical decisions. The more intuitive processes required for strategic planning are quite different and justifications are found to put them on hold.

This often results in the development and strategic aspects of operations management being neglected and an inconsistent amount of time is spent on managing day to day operations. Good operations managers are those that pay attention to and make the time to manage both strategic and day to day operations in order to establish and maintain a successful department.

Making operations a contributor to strategy as well an implementer

Operations managers are involved in the delivery part of the department. It is the operations and it’s staff that provide the service. As such operations managers are responsible for the implementation of the strategy. It is therefore important for managers to understand the department’s strategy. This will outline what the department has to be good at. It might involve, for example, delivering a service at low cost or providing a wide range of services or a valuable service beneficiary experience. The operations manager has a fundamental contribution into developing strategy by knowing what they can, or could deliver and by driving change and improvement through the department to provide it.

Making a business case for improved service delivery

Making a business case to the Accounting Officer in order to obtain the resources required to provide a more efficient and effective operations and render a value-added service requires clear justification with evidence the relationship between cost and service. This knowledge will assist the operations manager to understand the bearing of any decisions they make on the both the service provided and the department’s success.

Understanding the service concept

The service concept outlines what the department does and what operations have to deliver. In a product-based organisation, this is usually simple – the product is tangible can be seen and touched. But a service is an activity or process and it is easy for diverse people within the department to have different views about what the process is. Similarly there might also be opposing views about what the department is offering and what the service beneficiary is obtaining. It is imperative to have a develop and communicate a coherent service charter in order to explain the department’s products to all its service beneficiaries, within the department as well as external to the department and ensure that it can be and is implemented.
The relationship between Cost, Quality and Time in Operations

Almost all processing operations have difficulty in achieving a balance between Cost, Quality and Time. This is equally true in public sector operations.

Although government departments do not have a profit motive, it certainly has to operate within financial constraints. Financial constraints often have bearing on either quality or time. The perception is that improving quality or time will result in higher costs. And likewise a decline in cost must involve a decline in quality.

The strains between these factors need to be understood and managed by operations managers. There is a need for operations managers to attain the best possible balance between cost, quality of the service/product and time.

BROAD PHASES IN OPERATIONS MANAGEMENT

An operations manager typically ensures smooth operation of various processes that contribute to the production of goods and services of a department. The role of an operations manager is very wide and encompasses many operational areas. The broad responsibilities of an operations manager include:

- Forecasting
- Planning
- Control
- Adjudging
CHAPTER FOUR: OPERATIONS PLANNING AND CONTROL

FORECASTING

Forecasting is the short term projection of demand to which a department can then match supply.

Why forecast?

If a department could respond instantaneously to any circumstance then it would not be necessary to forecast. The main purpose for forecasting is to stay in advance of the lead times and other variables.

Forecasting enables operations managers to set in sequence actions that will deliver outputs timeously for when they are required and at the desired quality level. Operations managers may forecast on a weekly, monthly or annual basis depending on the kind of variables involved. The daily and weekly demand patterns of a department will fluctuate with some degree of predictability. The extent to which an operation will have to cope with very short term demand fluctuations is partly determined by how long its service beneficiaries are prepared to wait for products and services.

Forecasting is a key input to capacity planning and control. As far as capacity planning and control is concerned, there are three requirements from a demand forecast:

- It is expressed in terms which are useful for capacity planning and control
- It is as accurate as possible
- It gives an indication of relative uncertainty.

PLANNING

No service industry can be productive without a sound operations plan. Effective planning is imperative in any department. It is a complex process that covers an array of activities that ensures that material, equipment and human resources are available to complete the work.

Operations planning is similar to a road map which enables you to reach your destination. It helps one to understand the direction you going in and approximately the duration of getting to a destination.

Departments may adopt a four step approach to planning including the following:

<table>
<thead>
<tr>
<th>Where are we now?</th>
<th>Start with an assessment of the current position</th>
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<tbody>
<tr>
<td>Where are we heading?</td>
<td>This should give a general direction of where the department is headed backed up with realistic and quantified objectives</td>
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<tr>
<td>How are we going to get there?</td>
<td>With the start and end point identified, this will help steer a department on the journey. It is important to note that it may not always be a straight road ahead</td>
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<td>What are the main risks?</td>
<td>What are the mitigations or contingency plans should certain elements not go according to plan?</td>
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Advantages of an effective operations plan:

- It reduces labour by eliminating wasted time and improving process flow.
- Optimises usage of equipment and maximises capacity.
- Utilise human resources to their full potential.
- Improves on-time delivery of products and services.

How to plan work
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All activities emanate from the operations plan and each area is dependent on the interaction of activities. Typically a plan includes materials, equipment, human resources, training, capacity and the routings or methods to complete the work in a standard time.

The operations plan needs to address specific key elements well in advance of production in order to ensure an uninterrupted flow of work as it unfolds.

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<thead>
<tr>
<th>Material Ordering</th>
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<tr>
<td>• Materials and services that require a long lead time, also known as blanket orders should be ordered in advance of production requirements.</td>
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<tr>
<td>• Suppliers should send materials periodically to ensure an uninterrupted pipeline.</td>
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<th>Equipment procurement</th>
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<td>• Procuring specialised tools and equipment to initiate production may require a longer lead time.</td>
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<tr>
<td>• Keep in mind that equipment may have to be custom made or simply difficult to set up.</td>
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<tr>
<td>• Also note that this type of training may also require special training.</td>
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<th>Bottle neck</th>
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<tr>
<td>• These are constraints or restrictions in the process flow and should be assessed in advance so that you can plan around them or eliminate them before you begin production.</td>
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<td>• When assessing possible bottlenecks be weary that it may move to another area of the process.</td>
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<th>Human resources acquisition and training</th>
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<tbody>
<tr>
<td>• Key or specialised positions may demand extensive training on specialised equipment, technical processes or regulatory requirements.</td>
</tr>
<tr>
<td>• Ensure that staff are trained and competent in their work before the job begins.</td>
</tr>
<tr>
<td>• This will ensure that your process or service flows smoothly.</td>
</tr>
</tbody>
</table>

Communicate the plan

Once the operations plan has been developed and finalised, there is a need to communicate the plan to employees who will implement it.

CONTROL

It is important to ensure that once the planning stage has been completed, that the plan is kept visibly in mind and in sight. Too often operations manager put the plan in a filing cabinet, overlook the plan and move on with administering the operation from day to day.

There is a need to distinguish between data and information. Data are the facts and statistics that one can gather about the department and its performance. Information is the data that has been structured in such a manner as to assist managers to make tactful decisions in time to influence departmental outcomes.

In order to ensure that operations managers have timeous information that can be useful in monitoring, in-period monitoring needs to be implemented. This means that whatever your reporting period is, an operational manager should monitor data at a shorter interval. This means for monthly reporting, the operations manager should monitor on a weekly basis, for weekly reporting, an operations manager should monitor on a daily basis. Operations Managers who don’t comply with in period monitoring often find themselves having to devote more time and effort sorting out the disorder at the end of the period.
CHAPTER FOUR: OPERATIONS PLANNING AND CONTROL

Why measure things?

Operations Managers need to measure things to know what the current status of the operation is and to allow them to benchmark themselves to others with a view to improve operations. In addition there is a need for operations managers to measure performance in order to control and/or improve operations.

Operations Performance measurement, reporting and management

Operations performance measurements is basically about quantifying things. It is in essence the quantification of an input such as staff hours or the level of activity such as the number of applications for identity documents processed in a day. Operations performance reporting is the way operations manager, staff and systems report this information. It usually involves a visual graphic display or with a breakdown that evaluates the performance against operational targets. Operations performance management is all about action. It deals with the activities undertaken by operations managers to control and enhance their operations.

What needs to be measured?

It is generally recognised that departments need to have a mix or a balance of developmental, operational, external and financial measures. The first two are contributing factors of success, the second two are the outcomes of success, the measure of success. The measure should support operational objectives. Those objectives should be part of a cascade of objectives that support the department’s strategy.

Controlling operations performance

Deciding upon the correct measures for an operation can be a daunting task. Many departments have many incorrect measures, just because it can be measured, doesn’t always translate that it should be measured. When operations managers are measuring, they should have a succinct purpose and governance arrangements in place to support the purpose. The table below provides 10 tests that can be used to review any operational performance measure.

<table>
<thead>
<tr>
<th>Ten test of an operations performance measure</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Purpose test</strong></td>
</tr>
<tr>
<td><strong>System test</strong></td>
</tr>
<tr>
<td><strong>Truth test</strong></td>
</tr>
<tr>
<td><strong>Focus test</strong></td>
</tr>
<tr>
<td><strong>Consistency test</strong></td>
</tr>
<tr>
<td><strong>Access test</strong></td>
</tr>
<tr>
<td><strong>Clarity test</strong></td>
</tr>
</tbody>
</table>


<table>
<thead>
<tr>
<th>Timeliness test</th>
<th>Can and will the data be analysed quickly enough for appropriate action to be taken?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Test</td>
<td>Is it worth the cost of collecting and analysing the data?</td>
</tr>
<tr>
<td>Gaming test</td>
<td>Will the measure encourage any undesirable behaviours?</td>
</tr>
</tbody>
</table>

Reliability and consistency are essential for most operations managers and their service beneficiaries. There are three aspects of control: setting targets assessing the capability of a process and the role of quality systems.

**Target setting**

Targets are often used to assist with the control and enhancement of operations. Operations managers need to determine how targets will be set for their measures to control the process or drive process improvement. There are basically three types of targets:

<table>
<thead>
<tr>
<th>Internal targets</th>
<th>Internal targets may be based upon previous performance of the process under consideration (process based). The targets may also be based upon the performance of other similar internal processes (other process based)</th>
</tr>
</thead>
<tbody>
<tr>
<td>External targets</td>
<td>Similar-based targets are based on the performance of similar departments. Best in field comparisons are based on departments that may or may not be in the same sector/sphere but their performance is considered to be outstanding. Service beneficiary based targets is the level of service that service beneficiaries consider to be appropriate.</td>
</tr>
<tr>
<td>Absolute targets</td>
<td>Some processes need to operate with zero defects or 100% adherence to standard. It is unacceptable for life support machines to fail, these operational targets are absolute.</td>
</tr>
</tbody>
</table>
Capable processes

The quality management concept of building capable processes is important here. As part of the Deming philosophy one must ensure that quality is built into processes. Various techniques can be used to assess the extent to which a process is capable or not. An example of such a technique is the Statistical Process Control (SPC) methodology. SPC is based on the production of process control charts. Processes can be plotted on a control chart to give a visual picture of the state of health of the process.

Quality systems

High volume services lend themselves to the quality systems approach because processes can be documented, Service standards can be developed and concise Standard Operating Procedures (SOP) can be documented. SOPs can easily be audited for compliance and thus contribute to the monitoring of quality. Quality systems should not only provide process definition but should also be the catalyst for quality improvement. The advantages of using quality management systems such as those related to ISO 9000 are as follows:

- It incorporates critical elements of service delivery in a process that has been mapped and measured in such a way as can then be audited develops a discipline that may have been absent previously.
- External auditing and recognition of this success is good for internal morale and external reputation of a department.
- The better quality management systems includes a formal review process, which prompts the department to consider what needs to be done differently in order to improve.
- The process requires departments to map its processes which should be used as an opportunity for process redesign or re-engineering before application.
What factors to include as operations performance measures?

The five generic operations performance objectives of quality, speed, dependability, flexibility and cost can be broken down into detailed measures or aggregated into composite measures. The aggregated operations performance measures have greater strategic relevance in that they help to draw a picture of the complete performance of the business. The more detailed operations performance measures are scrutinised more carefully and more frequently, although they provide a more restricted view of the operation’s performance.

### Typical measures of performance

<table>
<thead>
<tr>
<th>Performance Objective</th>
<th>Some typical measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Quality</strong></td>
<td>Number of defects per unit/service&lt;br&gt;Level of service beneficiary complaints&lt;br&gt;Scrap level&lt;br&gt;Reissue of product or re-render of service&lt;br&gt;Average time between failures&lt;br&gt;Service beneficiary satisfaction score</td>
</tr>
<tr>
<td><strong>Speed</strong></td>
<td>Service beneficiary query time&lt;br&gt;Service lead time&lt;br&gt;Frequency of service&lt;br&gt;Actual versus theoretical throughput time&lt;br&gt;Cycle time</td>
</tr>
<tr>
<td><strong>Dependability</strong></td>
<td>Percentage of services delivered late&lt;br&gt;Average lateness of services&lt;br&gt;Mean deviation from promised delivery time&lt;br&gt;Schedule adherence</td>
</tr>
<tr>
<td><strong>Flexibility</strong></td>
<td>Time needed to develop new products or services&lt;br&gt;Range of products or services&lt;br&gt;Time to increase activity rate&lt;br&gt;Average capacity/maximum capacity&lt;br&gt;Time to change schedules</td>
</tr>
<tr>
<td><strong>Cost</strong></td>
<td>Minimum delivery time/average delivery time&lt;br&gt;Variance against budget&lt;br&gt;Utilisation of resources&lt;br&gt;Labour productivity&lt;br&gt;Added value&lt;br&gt;Efficiency&lt;br&gt;Cost per operation hour</td>
</tr>
</tbody>
</table>

### ADJUSTING

One of the many challenges of operations planning and scheduling is following up with changes to variables. Changes happen continuously. Departments may lack materials, delivery time is moved up or work parameters have to be adapted. You will need to adjust your plan in line these changes. Dealing with change is not always easy and may take as much effort as creating the original production plan. There is a need to follow up with various departments involved in order to rectify any problems.
CHAPTER FIVE: OPERATIONS ANALYSIS AND IMPROVEMENT

PRODUCTIVITY MANAGEMENT AND MEASUREMENT GUIDELINE AND METHODOLOGY

1. Introduction

“Productivity” is regarded as a key success factor for organisations in both the public and private sector. Traditionally defined as the ratio between output and input, productivity has (in the context of the public service) become an important measure of how effectively and efficiently inputs (labour, finances, and infrastructure) are being translated into high quality outputs (goods and services). Achieving a high degree of productivity is an important objective of public service organisations across the world given that it is under increasing economic and political pressure to produce a selected/mandated set of goods and services within the limits of ever-increasing resource constraints. The South African public service is no exception to this global phenomenon. Hence, the development of a Productivity Management Guideline (PMG) for the South African Public Service has become increasingly important. This framework aims to presents a suitable approach for measuring and managing public service productivity.

The development of this discussion document is informed by a literature review on public service productivity measurement and management internationally (Jääskeläinen & Lönnqvist, 2011; Jääskeläinen, 2009) and locally (Productivity SA, 2007); as well as a series of consultative workshops with national and provincial government departments in the health, education and human settlements sectors.

2. Problem Statement

Despite the acknowledged importance of increased public service productivity in contributing to the development of the economy and addressing the basic needs of citizens, much of the recent focus in the South African public service has been on performance and not productivity.

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2 Effectiveness is the extent to which citizen requirements are met, while efficiency is the measure of how the organisation’s resources have been used in providing citizen satisfaction (Neely, 1998).
6 See Address by Deputy President Kgalema Motlanthe at the Government Leadership Summit, 03 April 2013.
Whereas performance is directed at measuring outputs achieved, productivity goes an important step further by measuring the relationship between resources used to achieve outputs. For example, performance management systems in public service departments often result in rewarding officials for their perceived levels of performance. However, the departments in which these officials are located may be subject to criticism for under-spending, erratic service delivery and poor adherence to the *Batho Pele* principles. Productivity in this context is then highly relative and may be contested (Productivity SA, 2007:6).

Furthermore, finding *valid* and *relevant* productivity measures that can reasonably be applied to the South African public service at this stage of its development has proved problematic due to the complexity of public service outputs and specifically the *intangible nature of most public services*. Examples of the intangible factors of public services are (1) service image (as perceived by the service user), (2) contact/frontline staff image (as perceived by the service user), (3) atmosphere in service provision (as experienced by the service user) and (4) the level of user/customer/citizen satisfaction. Despite a hypothetical awareness of these intangible factors, there has been little progress in understanding of how to capture these features in order to design concrete productivity measures.

The dearth of appropriate productivity measures for the public service in general has, in part, contributed to the neglect of public service productivity management as a focal area within the broader organisational science discipline in the South African Public Service. This can, in part, be attributed to the historical application of traditional workstudy techniques prior to democratisation in South Africa. The Taylorist and Fordist orientation of the pre-1994 bureaucracy had translated the understanding of productivity and work measurement techniques narrowly, from a paradigm which was deeply rooted in a context of mass production within a manufacturing environment more applicable to production line functions within the private sector and little relevance to the public service context.

However, after 1999, the *New Public Management* (NPM) paradigm dominated the public administration reform agenda of OECD countries globally, directly influencing the notion that private sector style ‘managerialism’ within a decentralised decision-making framework was the answer to transforming organisational bureaucracies into more efficient, flexible, flatter organisational structures staffed by self-directed, cross-functional, highly skilled technocrats and knowledge workers supported by the use of information technology.

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9 F. W. Taylor was an American mechanical engineer who sought to improve industrial efficiency. He is regarded as the father of scientific management and was one of the first management consultants.
10 Fordism, named after Henry Ford, is a notion of a modern economic and social system based on an industrialised and standardised form of mass production. The concept is used in various social theories and management studies about production and related socio-economic phenomena.
11 See Jooste, 2008
12 See Hood, 1991
CHAPTER FIVE: OPERATIONS ANALYSIS AND IMPROVEMENT

The ‘managerialism’ of NPM (which redefined the ‘citizen’ as the ‘customer’) failed to translate into any significant systemic efficiency gains or increased productivity, but rather contributed to job dilution and the creation of a larger number of management positions at the expense of the creation of lower level operational posts to drive service delivery and thus productivity. In the case of the South African Public Service, this translated into lower level work now being performed by higher graded and paid Senior Management Service (SMS) positions, which has resulted in institutionalised inefficiencies and reduced productivity.

In summary, productivity in the South African public service is undermined by the absence of an overarching framework with guidelines that builds productivity measures into monitoring and evaluation systems and an operations management framework for the public service.

3. Rationale for and Value of a Productivity Management Guideline

The need for a PMG for the South African Public Service is informed by the following:

- The need for valid, relevant and easy to understand productivity measures in the South African Public Service. This need is driven by three main reasons: (a) the Public Service is a major employer; (b) the Public Service is a major provider of services in the economy, particularly business services (affecting cost of inputs) and social services (affecting labour quality); and (c) the Public Service is a consumer of tax resources. Changes in public service productivity therefore have significant implications for the economy and the well-being of all citizens. The only recorded attempt to conduct a productivity management study in the South African public services was a 2007 study by Productivity SA\(^{13}\), which focused on the public health sector. This study, however, did not exhaustively explore the multi-factors that impact on public service productivity nor does it propose recommendations on possible appropriate models for the measurement and management of public service productivity in the South African context. There is thus a need to develop a valid and relevant generic framework for public service productivity management that takes into account all factors impacting on productivity.

- The need to change prevailing citizen perceptions of the public service as an over-bloated, unproductive bureaucracy. From a citizen’s perspective, a citizen needs only one quality experience from one public servant to know whether that Public Service is productive. If the citizen applies for a house or an Identity Document (ID) and receives such product in the set baseline standard time and quality standards expected and promised, and it was provided in a courteous, accessible; open and transparent process, where all necessary information was provided timely, throughout the value chain and within a reasonable cost, then

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the Public Service is seen to be productive through that citizen experience. The perception of effectiveness, efficiency and quality from just one citizen’s positive experience, is sufficient exponentially for many citizens to believe the Public Service is productive and has systems and processes in place that are working in the interest of service to the public.

Worth noting is that a generic framework for public service productivity management will be valuable insofar as it is: (a) easy to understand; (b) useful at the operational level; (c) takes into account the multiplicity of mutually interacting factors on service productivity; (d) identifies and measures only those factors that can be affected by managerial interventions; and (e) allows for comparisons between organisations/departments providing similar services.

4. Defining Public Service Productivity

“Productivity” is traditionally defined as the ratio between output (e.g. the quantity/amount of products or services produced) and input (resources) (see Box 1). A worker or organisation is considered highly productive where the outputs exceed the inputs.

Box 1: Traditional Productivity Formula

| Productivity | \( \frac{\text{Output (Amount of goods & services)}}{\text{Input (Labour, Capital)}} \) |

In the public service, productivity has become an important measure of how effectively and efficiently inputs (of Capital and Labour) have been translated into goods and services outputs for the benefit of the society, economy and environment. Achieving a high level of productivity (usually through fewer inputs or increased output) is an important objective for the modern-day public service.

When citizens however talk about public service productivity, they do not concern themselves with the relationship between output and input. Citizens in general, are more concerned about the outcomes achieved by public service organisations and the value they receive from public services in return for the utilisation of public funds. Service “quality” is thus an important variable in the definition of public service productivity.

Hence, a more comprehensive and generally accepted definition of public service productivity should be: The creation of citizen satisfaction through the generation and application of knowledge and skills to produce products

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15 E.g. changes in health rather than the number of patients treated; and changes in educational status rather than the number of lessons taught.
and make available services that meet the quality needs and standards of the citizen and are consistent with social, environmental and economic goals of the citizens. Public service productivity is thus the ratio between the quantity and quality of the outputs to the inputs\textsuperscript{16} (see Box 2).

**Box 2: Public Service Productivity Formula**

\[
\text{Public Service Productivity} = \frac{(\text{Quality}) \times (\text{Quantity}) \text{ of Output}}{(\text{Quality}) \times (\text{Quantity}) \text{ of Input}}
\]

To summarise, public service productivity can be defined in the same manner that general productivity is defined provided that both the quality and quantity of outputs (and inputs) are considered.

5. **Measuring and Managing Public Service Productivity: The Matrix Approach**

After testing a range of productivity measurement approaches in a public service context – including monetary measurements (see Gronos & Ojaalo, 2004); output index methods (see Rosen, 1993); scorecards (see Kaplan & Norten, 1992); and the matrix method (see Riggs, 1986) - Jääskeläinen (2009) concluded that the matrix approach to measuring public sector productivity represents the most relevant, appropriate and easy to understand approach to public service productivity management\textsuperscript{17}.

The matrix method regards quantity and quality measurements as critical in measuring public service productivity\textsuperscript{18}. Hence, there must be detailed information on factors affecting productivity in order to identify concrete productivity targets for the organisation and also to see the cause-effect relationship between different factors on productivity (see Box 3).

\textsuperscript{16} See Jääskeläinen & Lönnqvist, 2011; and McAdam, Reid and Saulters, 2002.

\textsuperscript{17} Jääskeläinen (2009); Jääskeläinen & Lönnqvist (2011).

\textsuperscript{18} Until recently, public sector productivity has been assumed to be zero in the national accounts. The output of the public sector has been measured as equal in value to the total value of inputs. This output = input convention has increasingly come under scrutiny in recent years (see Linna, et.al., 2010).
(a) Quantity Measurement

It is important to have sufficient resources (human and financial) to match the demand for a particular public service according to pre-determined citizen segmentation\(^9\). However, apart from resource availability, the quantity of a particular service provided is also affected by the following individual factors: (i) the demand frequency for a particular service (whether daily or occasional); (ii) the capacity of the facility in a defined catchment area; (iii) the competencies of the public servants (capability, attitude, skill) servicing that area, and; (iv) the operations management systems (OMS) in place to deliver the service. As illustrated in the strategy map in Box 3, these individual factors indirectly impacts on public service productivity.

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\(^9\) Citizen segmentation is the profile of all citizens in a demarcated area who may need a particular government service from a specific department which depicts all contextual factors which must be responded to, taking cognizance of the cost-benefit-analysis in where and how services can be easily accessed by such citizens.
(b) Quality Measurement

Service quality, a key component of public service productivity, is impacted on by several individual factors (see Box 3).

Quality measures for public services include both tangible and intangible elements, of which the SERVQUAL model and its dimensions is the most general: reliability, tangibility, responsiveness, empathy and assurance. Other factors related to service quality would, for example, include consultation with citizens, queue management systems; process flow and ergonomics; access norms for where services are located and can be accessed using walk-speed and drive-speed; and the application of the Public Service Operations Management Framework that includes the following building blocks:

- a service delivery model that gives certainty about how services will be provided;
- clearly mapped and managed business processes;
- documented standard operating procedures;
- unit costing done for services;
- acceptable service standards;
- an agreed service charter; and
- continuous planning for service delivery improvement

(c) Matrix Approach

The multiplicity of factors impacting on public service quality and quantity (and thus service productivity), can be clustered into three sub-factors, namely:

- Labour Performance
- Operational Performance
- Citizen Participation Performance

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These sub-factors are described in Box 4 and their measures (indicators) listed.

**Box 4: Sub-factors of the Matrix Approach to Public Service Productivity**

<table>
<thead>
<tr>
<th>Sub-factor</th>
<th>Description of Factor</th>
<th>Dimensions</th>
<th>Indicators</th>
</tr>
</thead>
</table>
| **Labour Performance (60%)**           | This is the cost of labour and whether the outputs that have been set for personnel through the organisational PMDS have been met in the specified time. Also taking into account employee wellness (work environment) and health-risk factors. | Cost of labour                                                             | • Ratio of salary cost to total budget  
• Days absent (sick)  
• Performance aggregate for SMS, MMS, and lower level employees  
• Number of employees that went for counseling and support  
• % score in employee satisfaction survey  
• Ergonomics (calculation of space utilisation: ratio of employee numbers to office space) | 

| Operational Performance (20%)          | Operating process and systems impacts on service delivery optimisation congruent with citizen demand, expectations and satisfaction.                                                                 | Specification of mandated services. Optimisation of service delivery through critical path analysis and knowledge of service costs, standards, access norms and standards, and service delivery improvement plans. | • % score in implementation of service access norms and standards (ANS)  
• % score in implementing Operations Management Framework | 

| Citizen Participation Performance (20%) | Indicating citizens perceptions of service quality | Citizen feedback on service delivery implementation  
Implementation of Batho Pele principles | • % score in citizen feedback on service delivery performance  
• % score in citizen feedback on implementation of Batho Pele principles |
CHAPTER FIVE: OPERATIONS ANALYSIS AND IMPROVEMENT

SERVICE DELIVERY IMPROVEMENT PLANS GUIDELINE AND METHODOLOGY

1. Introduction

Since 1994 the democratic government targeted the acceleration of service delivery to communities. This is necessary to eradicate the inequalities of the past. The major policy instrument in this regard has been the White Paper on the Transformation of the Public Service, 1995. This policy sets out 8 transformation priorities, amongst which Transforming Service Delivery is regarded as key. From this transformation priority the White Paper on the Transformation of Service Delivery, 1997 (Batho Pele) was developed to provide a policy framework and practical implementation strategy for the improvement of service delivery.

The 1996 report of the PSC on the Evaluation of Service Standards in the Public Service found:

- Only 64 out of 131 departments in the Public Service had service standards.
- Of these, only 44 departments had service standards that conformed to the concept of QQT (Quantity, Quality and Time).
- Only 9 departments referred to cost as part of their service standards. Since 1997 the ability and capacity to plan for service delivery improvement and to implement those plans has therefore shown hardly any progress.

This compelled the DPSA to embark on a public service wide project to advise and assist departments regarding the development and implementation of service standards as well as strategies to meaningfully improve service delivery in 2006.

The improved development and implementation of Service Delivery Improvement Plans (SDIPs) and service standards, would ensure that institutions tasked with policy development, compliance monitoring, and monitoring and evaluation, such as the DPSA, PSC, as well as Offices of the Premier and Provincial Treasuries, would have access to a greater variety of accurate information for purposes of service delivery benchmarking analysis and early warning signal detection. It would also create more and better service delivery improvement learning opportunities for departments themselves.

The project has progressed accordingly and has achieved a meaningful level of compliance regarding the submission of SDIPs using the refined template. Out of 33 national departments 27 have submitted their SDIPs (82%) and out of 106 provincial departments 87 have submitted their SDIPs (82%). Globally, of 139 national and provincial departments 114 have submitted their SDIPs (82%) to the dpsa by 31 March 2007.
When assessing the submitted SDIPs, it was found that the introduction of the refined template, with SMART, QQTC standards, has been well accepted by national and provincial departments. It proved very successful in clarifying and mainstreaming Batho Pele principles and integrating them in the very heart of service delivery. The refined template also proved to be a very useful tool in inculcating the spirit of Batho Pele in all service providers and will play an important role in making continuous service delivery improvement a reality throughout the Public Service. Furthermore, during the assessment of these SDIPs, the followings were observed:

- some of the departments still list and confuse a “service” with a “function”;
- some of the SDIPs have more than five key services;
- some of the SDIPs do not reflect desired standard;
- in others, the current and desired standards are the same (i.e. there is no service delivery improvement “gap”).

This indicates that some of the SDIPs submitted needed to be fine-tuned for quality purposes and for effective implementation.

Another concern that is surfacing is that there is a rising non compliance of departments with the submission of SDIPs since 2007 which is indicative that some further research are needed to investigate the cause of this trend.

2. Definition of a service delivery improvement plan

The goal of SDIPs is to provide a mechanism for continuous, incremental improvement in service delivery. For this reason SDIPs must be credible, effective and, above all, realistic. It is pointless setting unrealistic service standards for which one has neither the financial nor human resources, or setting targets for raising levels of citizen satisfaction that cannot be achieved, for example, wanting to raise citizens satisfaction levels by 100% over the next year: it simply cannot be achieved.

It is far better to set SMART standards that will ensure steady and continuous improvement in service delivery, anchored in the service beneficiaries’ priorities for service delivery improvement.

Departments and service delivery practitioners’ needs to guard against the notion that SDIPs are simply another version of operational plans. Having an SDIP does not mean that one can afford to neglect one’s operational plans. SDIPs help one focus on those KEY services within the operational plan which have been identified for special attention and improvement: it’s ‘business as usual’ except one has undertaken to raise the bar in respect of specific services.

SDIPs are not bolt-on activities; they are the engine room and provide the thrust for incremental improvement in service delivery within the broad context of Public Service transformation.
3. Legislative Mandates

The development of SDIP emanate from the White paper on Transforming Public Service Delivery (Batho Pele), 1997, whereby departments are mandated to develop an effective and efficient SDIPs, which must be approved by relevant Minister/MEC/executing authority before they are adopted and approved. Once SDIP is approved, they must be cascaded to regional/district/site offices and communicated as widely as possible to all service beneficiaries so that they know what level of service delivery they are entitled to expect, and can complain if they do not receive it.

According to the Public Service Regulations, 2001, Part III.C.I, all executing authorities are required to establish and sustain a SDIP for his or her department, including amongst others service delivery standards for the main services to be provided”.

4. Content of Service Delivery Improvement Plans

A Service Delivery Improvement Plan, should include the following:

- A Service Delivery Plan with:
  - a service vision;
  - clearly identified service beneficiaries;
  - existing and proposed KEY services with current and desired SMART service standards, which are Specific, Measurable, Achievable, Realistic and Time bound;
- mechanisms for monitoring and reporting service delivery standards – for example, citizen satisfaction surveys, complaints analysis, etc;
- management support systems, such as IT systems, policies and procedures, etc;
- complaint-handling mechanisms and suggestion boxes;
- existing and future arrangements for providing information about the type and frequency of the services to be provided, for example, newsletters, posters, radio broadcasts, community meetings, community outreach programmes, road shows, house calls, etc;
- financial management systems to ensure prioritisation of key services and standards;
- a statement on human resources, for example, the need to appoint citizen relations staff and community liaison officers, the use of a public relations departments, etc, and the need for training and supervision
as well as appraisal initiatives and developmental performance management systems, so that staff can be developed to improve service delivery; and

- a rewards and incentives programme to ensure that good performance is recognised and rewarded.

The SDIP should be seen as part of the departments’ strategic planning process, it is a continuous process that runs in cycles, similar to strategic planning. The SDIP focuses on the strategies to bring Batho Pele principles to life and makes service delivery a reality. The SDIP will help achieve many management objectives, such as:

- improving communications with employees to encourage them to focus on continuous, improved service delivery;

- motivating employees to improve their performance levels;

- providing information to facilitate monitoring by the various government departments involved in transformation; and

- providing a basis for publishing a document which sets out the organisation’s service standards and service delivery goals and commitments, namely a Service Delivery Charter.

5. Why a SDI-Plan

In terms of the Public Service Regulations, all national and provincial government departments have been required to develop and implement Service Delivery Improvement Plans (SDIPs) since 1999.

The Public Service Regulations of 2001 make service delivery improvement compulsory:

- Part III.C.1 states that: “an executing authority shall establish and sustain a service delivery improvement programme for his or her department”; and

- Part III.C.2 states that “the executing authority shall publish an annual statement of public service commitment, which will set out the department’s service standards that citizens and customers/clients can expect and which will serve to explain how the department will meet each of the standards”.

The White Paper on the Transformation of Service Delivery (Batho Pele), 1997 states the following:

- In paragraph 7.1.2 that HOD’s (DGs, HOD & MMs) are responsible for SDIPs and that this responsibility should be clearly assigned to a person or group of people, accountable directly to the HOD.

- Paragraph 7.1.5 describes that the relevant executing authority (Mins, MECs & Mayrs) must approve the department’s SDIP and that a copy of the approved document must be sent to the DPSA to inform its yearly progress report to Parliament.
6. Guidelines for developing a Service Delivery Improvement Plans (SDIPs)

Phases to consider in developing of SDIPs

6.1 Preparation Phase

During the preparation phase, it is prudent that before embarking on any action/activities to do the following:

6.1.1 Obtain buy in

You need to obtain a buy-in from all stakeholders involved in delivery of services. You need approval and buy-in from Executing Authority and senior management before embarking on any activity. The buy-in is to obtain understanding, support and funding for developing service delivery charter.

6.1.2 Appoint a champion

Once these other sub steps are achieved, you need to appoint champion/s to run with the development of service delivery standards within the government department. The champion/s should be able to understand issues and challenges of service delivery.

6.1.3 Develop change management programme

In order to ensure that the roll out of the SDIP initiative takes place successfully in the department, a specific change management programme need to be developed and rolled out.

6.1.4 Develop policy

You need to develop a policy on service delivery standards that is accepted by all in a government department. The policy should be understandable and easy to implement.

6.1.5 Develop the SDIP

In the developing phase, department must follow the following steps:

6.1.6 Determine your Service Beneficiaries
Service beneficiaries are all those who have dealings with the government. There may be several different service beneficiaries for each service, each of whom has different perspectives and expectations. Public management is therefore, the art of balancing these differing expectations.

Service beneficiaries are individuals, groups and business who deal with government. In this case identify all direct service beneficiaries who receives a service from government departments.

At least three types of service beneficiaries can be identified: the direct, who directly/straightly receives the output of the service; the general public, which receives a collective benefit from government services; and the taxpayer, who pays for most government services. However, for SDIP only direct service beneficiaries are important.

6.1.7 Identify your key services and products delivered

In developing SDIP you need to know the department's business (know what is being done and what product delivered). You need to identify a key service/product delivered for improvement. A definition of a key service is that:

- It is something that is done for others
- It uses a verb (doing word), e.g. pay social grants, issue passports, etc
- It is not a task - a service normally comprises many tasks
- It is not a Function or Responsibility
- It is aimed at satisfying Customer needs

In this phase you need to look at the department’s role by checking the role of department, this is done by checking the department’s mandates in the establishing Act, check whether services delivered correspond to the department’s mandates, once that is done, the department must then identify service/s with greatest impact (meaning those that needs to improved), then prioritize those needing improvement, once that is done, then list the one or two key services for improvement, these must then be listed in your SDIP.

6.2 Determine current standards of services and products

In the development of SDIP it is required to indicate/reflect your current performance (where you are) and your desired state of affair (where you want to move to) in relation to:

- **Quantity**: How often or how much?
- **Quality**: Professional standards PLUS BP Principles - How will you behave?
Consultation: How do you consult your service beneficiaries? And how are your service beneficiaries consulting you?

Access: How do our service beneficiaries accessing you? And how do you access your service beneficiaries?

Information: Information about your services that you provide, how do you provide it your service beneficiaries? And how do your service beneficiaries find the information about services that you provide?

Openness and Transparency: How open and transparent are you when providing services?

Courtesy: How courteous are you when providing the services? Courtesy can be measured through Complaints Desk, Customer Satisfaction Surveys, etc.

Redress: In case of a grievance, how are going to resolve it. What mechanisms are in place to ensure redress?

Value for Money: How do you gauge value for money for your service beneficiaries?

- Time: By when or how much per hour, day, month, year?
- Cost: Rand value amount that is budgeted for and it usually found in your operational plan or annual performance plan and it is therefore, within budget.

6.2.1 What is the service ‘gap’?

A service gap is a difference between your current service standards and your desired service standards that is where you are currently and where you want to move to. The identification of this gap is very important in developing your SDIP.

6.2.2 Address the ‘gap’?

The service delivery gap is overcome through development of SDIP as the SDIP focused on service delivery improvement because SDIP address the ‘gap’ between current states of affairs and desired state. SDIP is informed the Strategic Planning Process. SDIP raises the level of service delivery because it provides a mechanism for continuous improvement in service delivery levels. The main objective of SDIP is to ensure continuous service delivery improvement, as it provides the “What” of Service Delivery Improvement. SDIP tell us what is it that you want to improve? Or what service/s do you want to improve. The main objective of Batho Pele is to ensure effective and efficient service delivery by putting “People First” and Batho Pele provides the
“How” of Service Delivery Improvement as it tell us how are going to do it. This is through behavioural attributes that those delivering services portray to service beneficiaries.

6.3 Implement SDIP

Once the SDIP is signed and approved by both the Executing Authority and the Head of Department, it must be implemented through a developing an implementation plan which talks about steps to be taken, tasks and responsibilities assigned to specific individuals to in order to action the SDIP.

6.4 Monitor and Report on SDIP

The reporting on the SDIP is in accordance with the SDIP Directive of 2009, done annually through a prescribed template. However, the SDIP must be developed every three years and be submitted to the MPSA on/or before 31 March of every three years.

All departments and especially departments with regional and district offices must ensure that the SDIP is communicated/cascaded to different service points/coalface and should not be misconstrued as a separate or “bolt-on” management exercise that needs to be attended to on an annual basis. It needs to be embraced as an integral part of all management activities to ensure that every management process and citizen interface is aimed at improved service delivery and citizen satisfaction. Communication/ cascading of a SDIP could be through local community radio stations where government department/s allocated a slot, meetings with local community, izimbizo, focus groups, one-one meetings and through Public Service Week where government address the community on issues pertaining service delivery.

6.5 Review SDIPs

The SDIP should be seen as part of the departments’ strategic planning; it is a continuous process that runs in cycles, similar to strategic planning. The SDIP should be constantly be monitored, inline with the inputs from the service beneficiaries to determine relevancy. In case of the department’s mandate changes due to political changes (when new minister is appointed) or change in the strategic plan, change from service beneficiaries, the SDIP should also be amended to reflect the change of focus or mandate. Amendments(changes to the SDIP should signed and approved by the relevant executing authority.

7. Conclusion

The development of an SDIP for a department ensures that a department is continuously addressing the improvement of service delivery. The SDIP also forms the last step in the Operations management value chain
and as such need to feed into the first step of the value chain again by making inputs into the strategic planning process and the service delivery model design step. Further research need to be undertaken to identify and establish if SDIP is effective in all departments, even if you render non citizen focused services.
Format for the service delivery improvement plan (Provide a transversal template for content)

**SDIP FOR:** (Insert name of department/branch/component)

**A FOR THE PERIOD 1 APRIL 200 TO 31 MARCH 200**

**Vision:** Provide the service vision of the department/branch/division.

**Mission:** Explain “How” the vision will be achieved.

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Signed: ................................................................ (Minister/MEC) Date:

Signed: ................................................................ (DG/HOD) Date:

*Name of SDIP Champion: ............................................................

*Contact details: ......................................................................