



the dpsa

Department:
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

HR Planning Guideline

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DPSA

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Introduction

The need for Human Resource (HR) planning at a Government level was identified in the White Paper on Human Resource Management in the Public Service in 1997, “Human resource planning is essential in order to ensure that an organisation’s human resources are capable of meeting its operational objectives”. Strategic HR planning is recognised as a key priority and core management practice for optimising human resources’ capability of meeting current and future challenges for service delivery.

In 2008 the Department of Public Service and Administration (DPSA) issued the *Human Resource Planning Strategic Framework-Vision 2015 for the Public Service*, this replaced the previous guidelines developed in 2002. As part of the process of maturing, the Human Resource HR planning processes in the Public Service, the guideline was reviewed through a participatory process of engaging with HR planners to identify areas of improvement. It must be noted that the HR Planning methodology introduced in 2008 is firmly rooted and provides a holistic approach to guide Departments.

A summary of the key improvement areas raised during the review of the Human Resource Planning Strategic Framework-Vision 2015 for the Public Service are listed below:

- Shift from a compliance exercise of completing forms and templates to a quality value adding process for the Department.
- Break the unhealthy cycle of the planning for the sake of planning to plan that is integrated within other strategic planning processes of the Department.
- Transfer strategic HR planning from being the sole responsibility of the HR planner to a Department owned process; with active and meaningful involvement of line managers.
- Change the approach from HR planners owning the process and seeking information from other HR practitioners to a strategic planning process owned by all HR practitioners.
- The need for the executive management to take accountability for the HR plan.
- Move from disconnected HR strategies and plans to using the HR plan to set the strategic agenda for all HR components.
- More emphasis to be placed on process, providing more guidance on “how to” do things.

The guideline has been developed to address the improvement areas listed above.

GLOSSARY OF TERMS

The glossary below provides a list of terms used in the guideline and their descriptions as used in the guideline. However, during the HR planning process it is important to create a shared and common understanding of the terminology used amongst all the stakeholders. It is therefore recommended that the participants involved in the HR planning process discuss the terms and agree on the definitions to be used. It is also recommended that definitions be made available to the managers and discussed with them during the consultation processes, as this will enable them to participate more meaningfully.

A shared understanding amongst all key stakeholders of the language used will facilitate dialogue on the key issues, trends being analysed, and forecasting as well as identifying customised interventions to address gaps.

Term	Description
DPSA	Department of Public Service and Administration
Line manager	Manager of a Department, Branch, Function or unit in terms of the functions of the Department.
HR practitioners	Refers to employees assigned to support the Executive Authority to execute the HR Management related functions provided for in the Public Service Regulations, in the Department.
Human Resource Planning	HR planning is an inclusive and dynamic process that involves the identification of both current and future human resource needs, as well as potential challenges in order for the Department to consistently achieve its organisational objectives. HR Planning is the two way operational link between high-level strategy and action-orientated implementation that can be regularly monitored and evaluated. Therefore HR planning aims to ensure that a department has the right people at the right place at the right time, all the time.
CORE	Code of Remuneration (A System of Remuneration provided for in the Public Service Regulations, 2016.)
NQF	National Qualifications Framework
MTEF	Medium-Term Expenditure Framework
Critical occupations	Occupations core to carrying out the Department's functions
Competence	A blend of knowledge, skills and behaviour that a person can apply in the work environment.
Qualitative data	It is a categorical measurement expressed not in terms of numbers, but rather by means of a natural language description.
Quantitative data	A measure in terms of quantity or amount.

Term	Description
Stakeholders	All the people in the Department that have a role to play in the HR planning process.
Vacancy rate	Number of funded vacant posts as at a specified date divided by the number of filled posts and number of funded vacant posts as at a specified date in relation to the approved organisational structure X $\frac{100}{1}$
Occupations	It is a set of jobs whose main tasks and duties are characterised by a high degree of similarity (skill specialisation).
PS OSD	Public Service Occupation Specific Dispensation
PS OCS	Public Service Occupational Classification System
Demographics	Statistical data or characteristics relating to a particular group.
Supply	Involves an understanding of internal and external potential human resource supplies-by analysing retirement patterns, recruitment and replacement patterns, skills/competency analysis and turnover.
Demand	Identifies the future workforce requirements (quantity and quality) needed to sustain the Departmental objectives.
PESTEL Analysis	PESTEL is an acronym for Political, Economic, Social, Technological, Environmental and Legislative. It is a strategic planning technique that provides a useful framework for analysing the environmental pressures on a team or an organisation.

SECTION 1. ABOUT THE GUIDELINE

1.1. Purpose of the guideline

The guideline aims to provide a source of information and support on the common elements of HR planning for departments. The overall aim of this guideline is to support departments in obtaining the information they need to develop a practical action-oriented MTEF Strategic HR plan that supports the requirements of the Public Service Regulations, 2016. Departments are therefore required to develop an MTEF HR Plan that is aligned to the Departmental Strategic Plan and annually review the HR Plan and report on implementation.

It consolidates the methodology and key principles in the HR planning process; and illustrates how these can be applied by following suggested processes and tools to develop the HR Plan according to the prescribed template.

Departments have to develop HR plans addressing their key workforce challenges for the three to five-year period spanning the MTEF cycle. Implementation will be on an annual basis covering the beginning of a financial year to the end of the financial year. Departments will have to review implementation prior to the next budget cycle. The outcomes should be continuously monitored and evaluated to determine progress in addressing the identified gaps.

1.2. Structure of the guideline

Section	Content
The five key principles	<ul style="list-style-type: none"> ▪ The key principles that underpin the methodology are explained ▪ A reflection of how these principles are applied across each phase of the HR planning process
HR planning Methodology	<p>A description of the overall HR planning process and each of its <u>phases</u>:</p> <ul style="list-style-type: none"> ▪ HR planning preparation ▪ Understanding the strategic direction and conduct an environment scan ▪ Conduct an organisation and workforce analysis (supply) ▪ Identify gaps in supply and demand and prioritise HR issues ▪ Develop action plans to address gaps ▪ Monitor, evaluate and review
Each phase of the HR planning Methodology	<p>The following aspects are covered for each phase of the HR planning process:</p> <ul style="list-style-type: none"> ▪ The purpose of the phase ▪ What must be achieved during the phase
Tools and Templates	Recommended processes, tools and templates

SECTION 2. FIVE UNDERPINNING PRINCIPLES

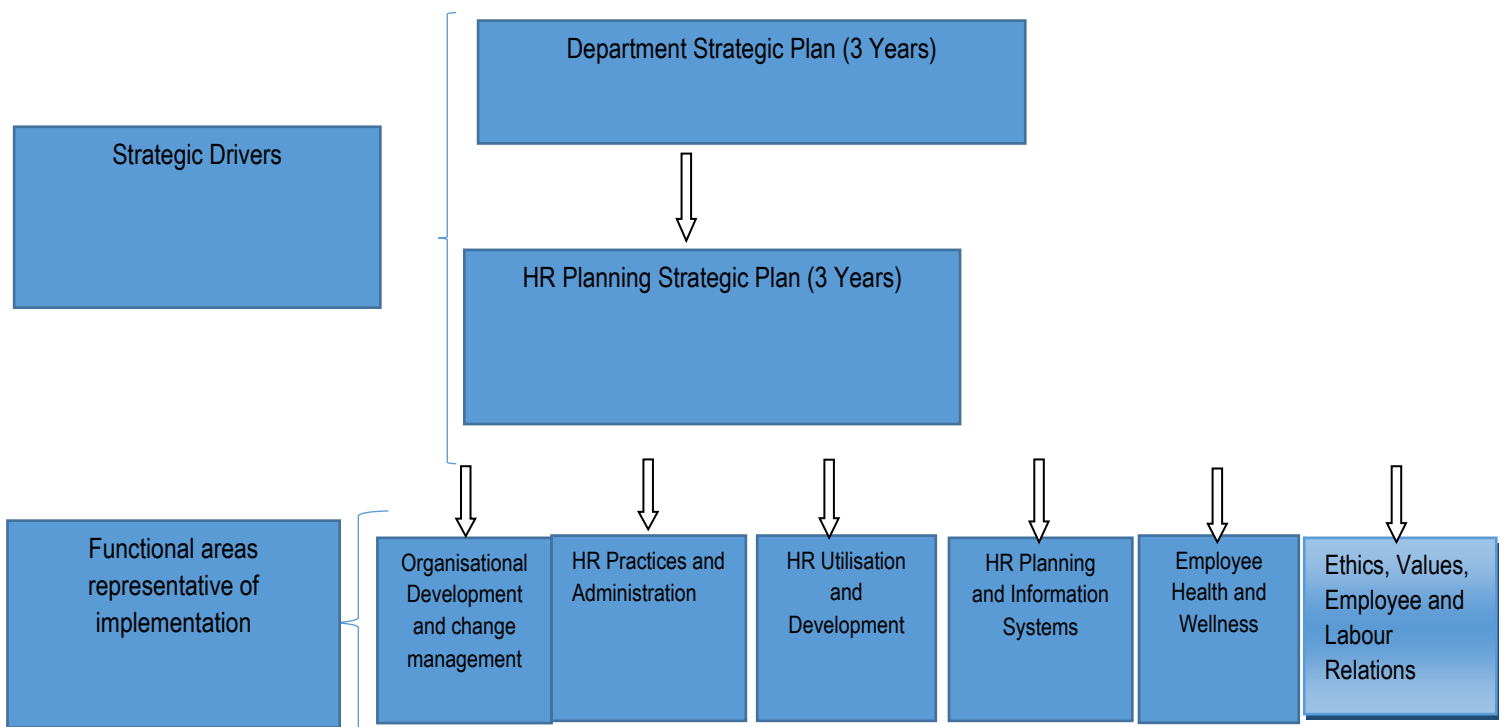
The guiding principles are the building blocks that form the foundation for the development of the HR plan. Attention ought to be paid in ensuring that these blocks are established and evident during the HR planning process.

Principle 1: A strategic approach to HR planning

Departments are increasingly realising that they must transform themselves to meet the long-term, local and global challenges. HR planning is one of the responses to address HR gaps through the development of HR strategies and measures aimed at shaping the current workforce to strengthen the capacity of the Department to address its challenges and goals.

Strategic planning in the Public Service paves the direction a Department will be taking over the next three to five years, aligned to the Medium-Term Strategic Framework (MTSF), as well as how it will progress to get there and how it will know if it has achieved the targets. Based on the Strategic Plan, a Department is required to engage in HR planning with a view of meeting the resulting human resource needs. This will aid in attaining the Department's strategic objectives. Strategic HR planning is the foundation for assessing and understanding the current and future needs of departments. Strategic HR planning should be used to identify priorities and strategies that will shape the activities and operational plans of all HR components - Organisational Development and change management, Human Resource Practices and Administration, HR Utilisation and Development, HR Planning and Information Systems, Employee Health and Wellness, and Employee Relations and Labour Relations. For HR planning to provide the relevant and required input needed by the Department, the alignment between the Department's strategic plan and HR plan is critical. Alignment can be achieved through the participation of HR/Corporate Services in the Department's Strategic Planning process, where implications of workforce and related HR aspects can be discussed and included in the overall Department plan. In addition, alignment can also be achieved through the HR function engaging with managers and with the Department's Strategic Plan to better understand the context and needs of the Department. The alignment of the planning process is reflected in the diagram below.

ALIGNMENT OF PLANS FROM STRATEGY TO OPERATIONS



As reflected in the diagram above, effective HR planning forms the basis upon which all other key HR decisions are made. When HR planning responds directly to the needs and priorities of the Department, the HR interventions that flow from the planning are likely to be highly relevant and appropriate. Please note that the operational areas reflected above do not necessarily represent different units, but the functional areas that constitutes the HRM&D function.

Examples of HR decisions that should be made on the basis of the HR planning process include:

- Specific recruitment and selection strategies to address competency gaps identified during the organisation and workforce analysis.
- The need for the development of targeted development interventions such as an accelerated learning programme to address recruitment and selection challenges due to the lack of available skills in the market.
- An internship programme to address risks as a result of projected scarce skills required.
- Organisational redesign of a particular programme to address the need for optimisation given budget restrictions.

The guideline promotes alignment and synergy between the Department's strategic planning process and the HR planning process, because only through this principle can HR planning and subsequent HR interventions address the real needs of a Department.

Principle 2: An integrated approach across HR components

Through the HR planning process the HR function in a Department is able to define what and how it needs to contribute to the Department in order to enable successful performance. However, in order for the HR function to successfully define this contribution, it needs to ensure that there is a shared agenda across all the HR components and that these work together in the best interest of the Department. The HR components that make up the HR function have a collective mandate to provide support and services that enable the Department to achieve its objectives. The HR function cannot achieve this mandate if individual HR components work in isolation of each other; it necessitates active collaboration with each other to establish a unified voice while offering complimentary areas of support. Please note that the HR Planning Self-Assessment tool issued by the Minister for Public Service and Administration can be useful to identify progress towards becoming a strategic and unified HR function.

The guidelines promote a particular process for the HR function to establish a unified voice, while recognising the concurrent reporting requirements of the HR components as per the generic functional model. The process is a dynamic one, with the HR function working collectively to establish a shared strategy and agenda within the context of the Department, while working within required frameworks as to determine the operational plans and activities.

The summary and diagram below reflect the dynamic process that the HR function should follow during the HR planning process.

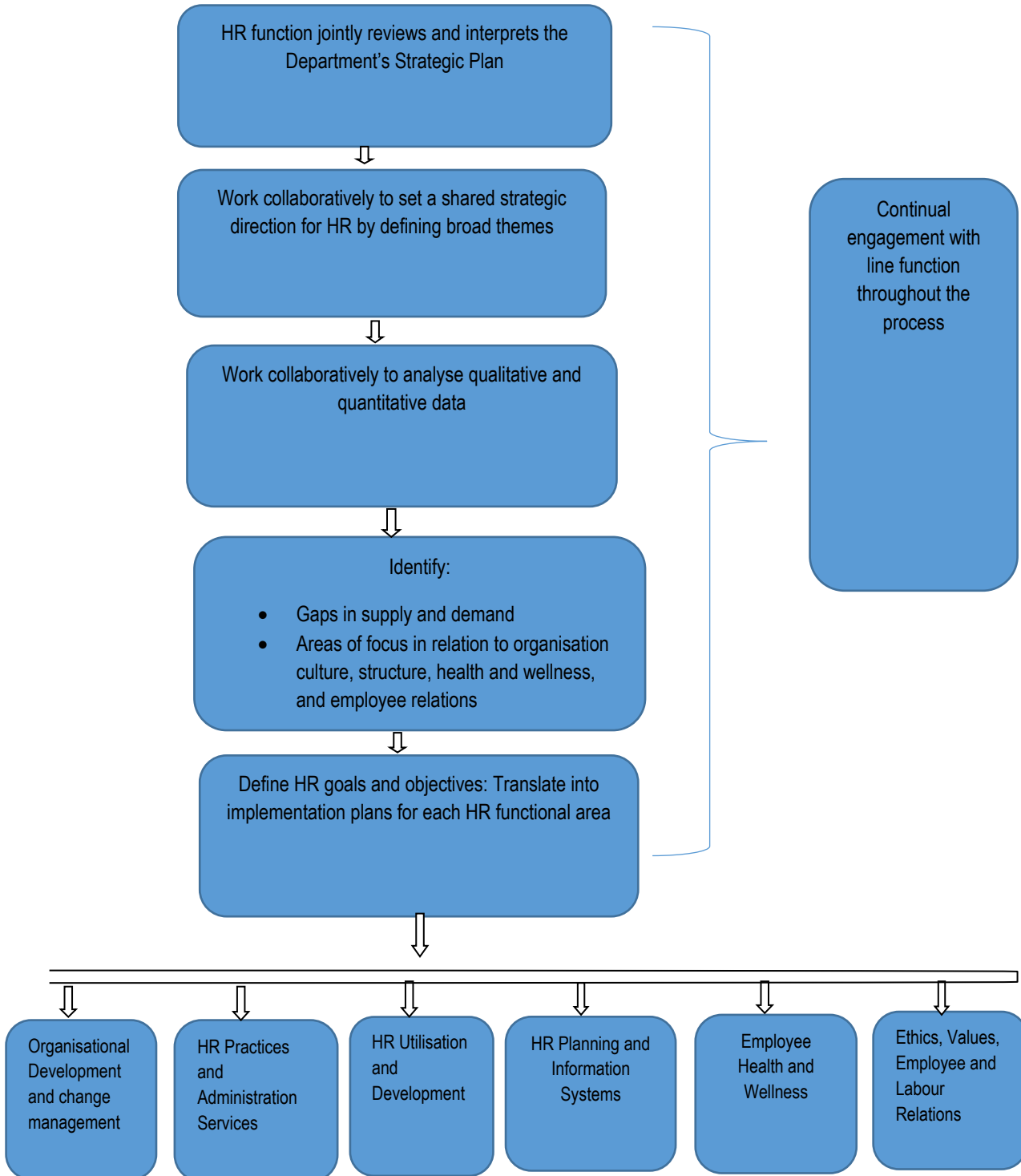
- At the outset of the planning process HR practitioners under the guidance of the Head of HR should come together to review and understand the Department's strategic plan and collectively engage in discussing what

it means for the HR function. The discussion should answer the question –***what are the HR implications of this strategic plan?***

- Once the HR components have considered the Strategic Plan from their specific vantage points, as well as from the perspective of the HR function as a whole, they should be in a position to define broad HR related themes that need to be addressed.
- A key aspect of the HR planning process is to gather and analyse qualitative and quantitative data and information in order to determine gaps between supply and demand. The gap is determined in terms of the profile of personnel, skills and competencies and the organisational arrangements to support these. The data gathering and analysis process will again require a collective effort to establish a common data set with a shared interpretation of the current supply available.
- Understanding the gaps will enable HR practitioners to think about what could be done to address the shortfalls, and hence inform the plans of the various components of HR. Individual streams within the HR function then develop their own operational plans within the framework of this shared agenda.

COLLABORATION ACROSS HR COMPONENTS IN THE HR PLANNING PROCESS

The diagram below reflects the aspects that the HR Components need to consider when working in collaboration.



Principle 3: Consultation and engagement

The first two principles have affirmed the view that HR planning is part of an integrated planning process within a Department; it is therefore not done by HR planners in isolation of the “business” or of other HR components. This principle explores factors that further enable the HR unit’s responsiveness to the Department’s needs.

Management sets the overall direction and goals of HR planning

Strategic human resource planning is a component of a strategic business planning process. For it to be properly integrated; it needs top-level support to build credibility and importance. Departments’ senior management and human resource leaders therefore need to set the overall direction, tone, pace and goals of the HR planning process and actively need to create conditions to involve employees and other stakeholders. These managers should provide leadership in the strategic human resource planning process by being personally involved and providing the organisational vision. To enable meaningful involvement of stakeholders, the senior management and HR leaders should establish a communication strategy that creates shared expectations for the outcome of the process.

Value of stakeholder involvement

While the HR unit is a central role player in the development, implementation and monitoring of HR plans, active involvement and engagement with other key stakeholders are critical to ensure that the HR plan is relevant and accepted by the broader Department. A key challenge for many HR units is the lack of understanding and appreciation by management of the value added by the HR plan to the Department’s performance and success. However, HR practitioners and managers often develop HR plans on their own and then bring it back to management for endorsement and sign-off. Creating a situation where managers respond to the HR plans as documents that must be signed-off, rather than as an output of a process that supports management decision-making. Deliberate consultation and engagement with managers throughout the HR planning process will be an important change lever to break this negative situation.

Line manager input

Line managers bring valuable and vital information to the discussions. Although quantitative data i.e. numbers, graphs and pie charts are useful, they need to be understood and interpreted within the context of management challenges and experiences. It is therefore recommended that HR practitioners actively engage managers through facilitated workshops, interviews and focus groups.

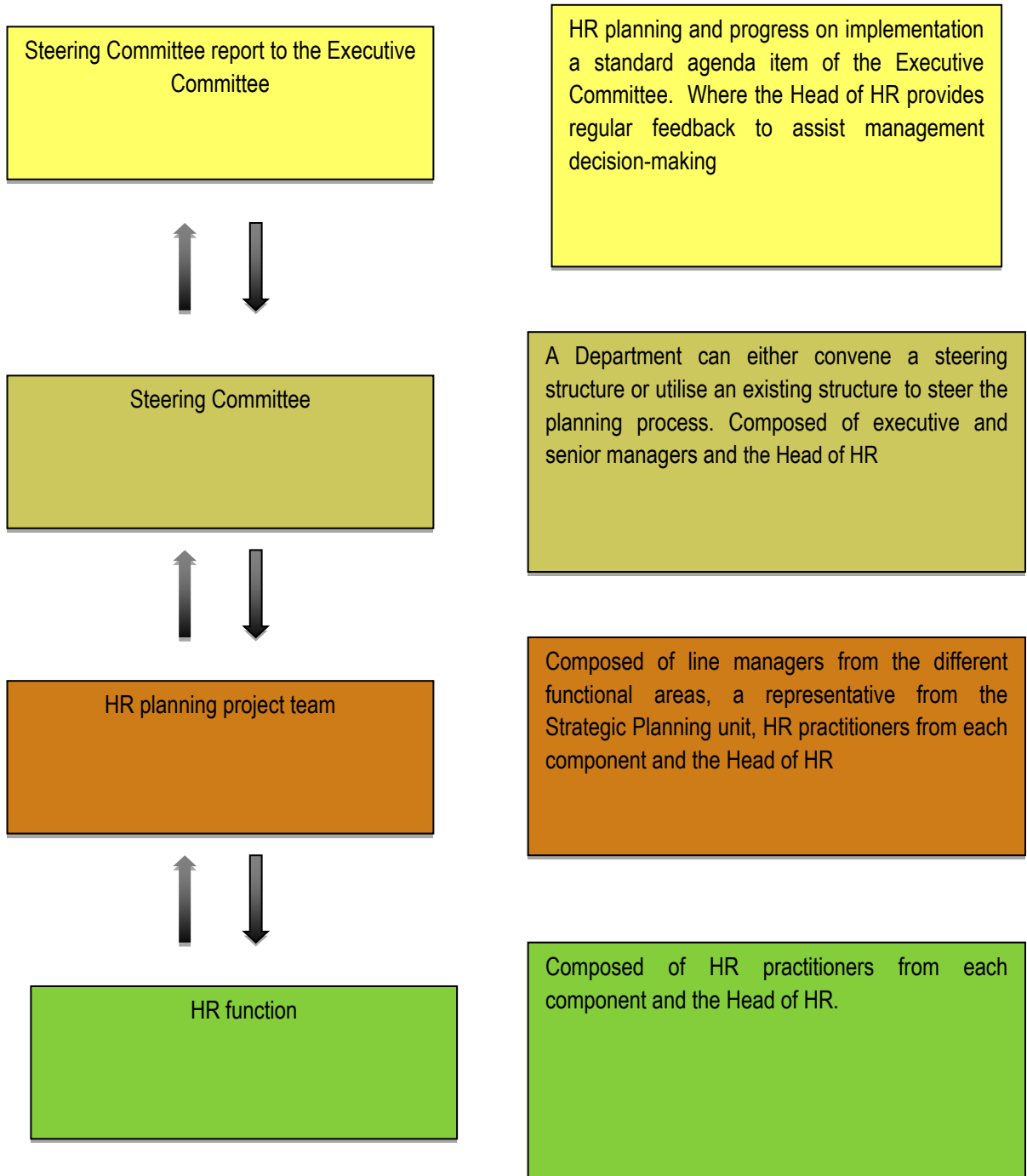
Furthermore, positive commitment and understanding from management is an essential ingredient for successful workforce planning, to ensure that they allocate sufficient resources and time to the project.

HR practitioners need to assist different stakeholders to participate in the planning process, by communicating and discussing responsibilities and expectations. The table below is provided to support HR practitioners with these discussions.

Roles and Responsibilities	
Who	What is expected
Executive Authority and Accounting Officer	<p>Responsible for recognising the need for human resource planning, demonstrating commitment and providing strategic direction and the resources to make it happens.</p> <p>Executive management oversees the creation and completion of the HR plan.</p> <p>Approves the HR plan and budget.</p>
Line managers	<p>Serve in HR planning teams.</p> <p>Work with HR to analyse data, determine priorities and offer creative strategies for action plans.</p> <p>Implement action plans in their operational area.</p> <p>Receive regular reports on HR planning issues and track initiatives against targets and performance.</p> <p>Assess budget implications.</p>
HR practitioners	<p>Serve in HR planning teams and provide data, participate in data analysis, actively engage in discussion of HR strategies and priorities.</p> <p>Work closely with line managers throughout the HR planning process.</p> <p>Assist line managers in developing action plans for respective components aligned to HR strategies and priorities.</p> <p>Administers and facilitates questionnaires, focus groups and interviews.</p> <p>Gathers and analyses data.</p>
Head of HR	<p>Leads the HR planning process.</p> <p>Facilitate the development of shared HR strategies across HR components.</p> <p>Oversee the development of implementation plans.</p> <p>Provide feedback to management on plans, implementation and progress.</p> <p>Establishes a collective internal monitoring and evaluation process.</p>
HR Project Team	<p>Develops and shares a communication plan.</p> <p>Ensures that the HR plan is aligned to the Department's strategic plan.</p> <p>Provides input at every phase of the planning process.</p> <p>Monitors and evaluates effectiveness of the HR plan and its implementation.</p> <p>Advocates support for and understanding of the HR plan.</p>

HR PLANNING STAKEHOLDER FORUMS

There is a stronger emphasis on the need for an integrated HR Planning processes in the Public Service. A key aspect of the HR planning process is to gather and analyse qualitative and quantitative data and information in order to determine gaps between supply and demand. Establishment of a HR Team will enable HR Planning to facilitate a collective effort to establish a common data set and priorities with a shared interpretation of the current supply available. The following is recommended for the establishment and discussion for HR Planning forum:



Principle 4: The value of data in HR planning

Historically the HR planning process has relied heavily on gathering quantitative data in order to complete the required templates, with limited attention given to gathering additional qualitative data sometimes leading to superficial interpretation and analysis of the data gathered.

This guideline promotes the use of both quantitative and qualitative data since the two types of data complement each other. Qualitative data often provides deeper meaning and descriptions of quantitative measures. By combining both, the HR planning team is able to acquire a fuller picture and a better basis on which to make decisions. While quantitative data provides information on numbers, ratios and percentages; qualitative data assists in identifying the factors or reasons affecting behaviour or outcomes – the how and why, providing an understanding.

Data sources

- PERSAL/Vulindlela is a key source of quantitative data
- Historical data acquired over time within a Department
- Environmental scans done by national or provincial departments as well as other institutions such as universities and other NGOs
- Inputs and perceptions from line managers and employees

A MIX OF QUANTITATIVE AND QUALITATIVE DATA

Quantitative data defines data in terms of measures

Quantitative data are measures in terms of:

- Number
- Percentage
- Rate (example: recruitment target indicating a recruitment of 5 persons a month in relation of the target set of recruiting 100 persons a year)
- Ratio (example: gender ratio—number of males per number of females in management positions)

Qualitative data describes data in terms of characteristics or attributes

Qualitative data is a categorical measurement expressed not in terms of numbers, but rather by means of a natural language description. For example: reasons why employees leave the organization. This type of data is observed and described rather than measured.

Qualitative data is gathered through:

- Observations e.g. how managers conduct an interview or performance appraisal
- Interviews, focus groups and other similar techniques, where ideas are probed to develop a deeper understanding of HR issues impacting on the Department

The Value of data in HR Planning

Data analysis is a critical aspect of HR planning. Through this process stakeholders are able to look at facts and figures in order to interpret them. The analysis of the data enables HR practitioners and line managers to examine historical trends and to use this information to understand the current needs of the Department as well as to anticipate future needs. It is important to note that while analysing relevant data, HR practitioners are able to bring HR issues to the attention of line management that they might otherwise not have been aware of.

The data is neutral, the questions you ask and how you contextualise factors (such as changes in the Department, budget restrictions, management experiences and challenges, potential new projects etc.) that are taken into account provide the analyses that brings value. Understanding and responding to the “story” behind the data is the value that the HR practitioner brings to the conversation with managers.

Data management

It is important to continuously identify steps to improve the quality of the data. Good quality data that is credible will enable the HR planning teams to draw valid conclusions confidently. Time and effort should be invested in building reliable HR data to improve the quality of HR planning. This may require a planned and deliberate process to assess the gaps and /or to “clean-up” and update existing data.

How to use the guide in relation to data analysis

In addition to these guidelines you will be provided with tools to support data analysis and templates to be utilised for development and reporting on the HR Plan. The tools will particularly be useful for the workforce analysis phase, enabling you to prepare data, to access different views by analysing different combinations of data and to draw conclusions on the basis of the analysis. The guidelines will assist you with questions and areas of analysis to further support data analysis. However, it must, be noted that the value of the tools will be supported by the quality of departmental data on the PERSAL system and the efficient withdrawal of this information from PERSAL in the form of standardised reports.

The following table represents examples of data elements per Functional Area

HRM FUNCTIONAL AREA	HR PLANNING REQUIREMENTS
Organisational Development and Change Management	<p>Organisational Structure Implementation Relevance, Efficiency and Effectiveness</p> <ul style="list-style-type: none"> • Organisational structure approval • Organisational structure funding • Job Evaluation • Organisational Functions and Responsibilities • Occupational classification • Financial implications • Headcount • Appointments additional to establishment <p>Change Management</p> <ul style="list-style-type: none"> • Change in organisational behaviour • Implementation of Batho-Pele principles within the Department • Transformation
HR Practices and Administration Services	<ul style="list-style-type: none"> • Vacancy Rate • Turnover • Exits • Recruitment and Appointments • Appointments additional to establishment • Stability rate
HR Utilization and Development	<p>HR Development</p> <ul style="list-style-type: none"> • Internship and Learnership • Graduate programmes • Qualifications -NQF levels • Training on Critical and Scarce skills

HRM FUNCTIONAL AREA	HR PLANNING REQUIREMENTS
	Performance Management <ul style="list-style-type: none"> • Managing poor performance • Reasons for poor performance
HR Planning and Information Systems	Workforce Profile (Equity) <ul style="list-style-type: none"> • Age • Gender • Race • Disability • HR Data Information System • HR Planning, Development, Implementation and Reporting • Organisational continuity and institutional knowledge/memory
Employee Health and Wellness	<ul style="list-style-type: none"> • HIV&AIDS, STIs and TB Management Policy • Health and Productivity Management Policy • Wellness Management Policy • Safety Health Environment Risk and Quality (SHERQ) Management Policy
Ethics, Values, Employee and Labour Relations	<ul style="list-style-type: none"> • Labour Relations • Disciplinary Management • Grievances and Disputes • Ethics and Values

Principle 5: Monitor, evaluate and review

Monitoring and evaluation

It is important to recognise that HR planning is a dynamic process that requires ongoing monitoring in order to adapt proactively and adjust plans (*content and process*) as required. The process is dynamic because internal and external factors that impact on the HR strategies and plans can shift or change, and the Department should be in a position to respond to new circumstances. Ongoing monitoring to review progress provides feedback, offers the opportunity to learn from experiences and enable improvements.

Evaluation of the HR process and outputs is vital to assess achievement, report and provide feedback to managers. Monitoring and evaluation should measure the quality of the HR planning process as well as outputs and outcomes achieved through the implementation of the HR plan. This guideline promotes the view that the quality of the HR planning process will have an impact on the quality of the HR plan and the subsequent implementation of the plans. Quality of the HR planning process is achieved by applying the principles described in the section above.

Stakeholders involved in monitoring and evaluation

There are 3 key stakeholders involved in monitoring and evaluating HR planning in the Public Service, these are: Departments, Offices of the Premiers and the DPSA. The design of the M&E framework needs to respond to the needs of the 3 categories of stakeholders in line with their respective mandates in the HR planning system.

- At national level, the DPSA is the national policy body responsible for the development of HR policies across the Public Service aimed at setting norms and standards. On HR planning issues, the DPSA provides the strategic and technical framework to enable departments to effectively and efficiently plan their HR processes to support the implementation of their strategic plans.
- At provincial level, Offices of the Premiers coordinates HR planning exercises, by looking for ways to address common challenges within departments and providing support to HR units.
- In Departments, HR units coordinate the formulation and implementation of HR plans, aimed at addressing workforce challenges to facilitate the achievement of Departments' goals and objectives.

Therefore:

At national level, to fulfil its mandate, the DPSA needs to monitor, across the Public Service:

- Implementation of HR plans linked to interventions to address challenges related to human resources in the public service.
- Quality of HR plans' formulation and revision processes to make sure that the top management of each Department owns the HR plan.
- Implementation of HR planning prescripts.

At provincial level, Offices of the Premiers need to monitor:

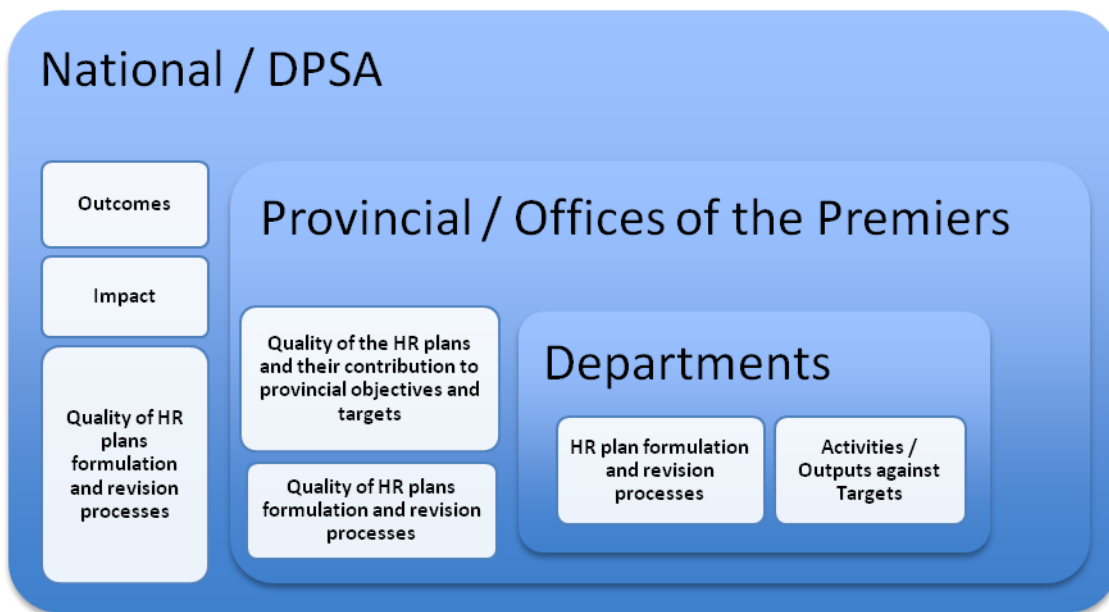
- Overall quality of HR plans and their contribution to provincial objectives and targets.
- Quality of HR plans formulation and revision processes to make sure that the top management of each Department "owns" the HR plan.

- Outcomes resulting from the implementation of HR plans linked to interventions to address challenges related to human resources in the Provincial Administrations.

Departments need to monitor:

- The formulation and revision processes of HR plans.
- The implementation of HR plans in terms of activities / outputs against targets.

The diagram below provides a high-level overview of the focus of each stakeholder with regard to M&E of HR planning in the Public Service.



The table below illustrates the role of the stakeholders across the entire HR planning process from formulation to implementation.

HRP process	M&E Dimensions	Key stakeholders		
		Key M&E indicators - DPSA	Key M&E indicators - OTP	Key M&E indicators - Departments
Formulation	Quality of HR plans formulation and revision processes	<ul style="list-style-type: none"> Management commitment shown in setting strategic direction and resource allocation Integrated planning- Department strategic planning and HR planning anchored Steps taken to improve data quality 	<ul style="list-style-type: none"> Line management involvement and participation Processes ensuring ongoing alignment with Departments' mandates and objectives Clear processes and procedures in place and utilised to measure progress and to address gaps and improvement areas 	<ul style="list-style-type: none"> Line management involvement and participation Processes ensuring ongoing alignment with Department's mandates and objectives Clear processes and procedures in place and utilised to measure progress and to address gaps and improvement areas
	Relevance of the proposed HR strategies / solutions / activities	<ul style="list-style-type: none"> HR interventions address national priorities Alignment of HR frameworks achieved 	<ul style="list-style-type: none"> Relevance of HR strategies and plans to address provincial HR challenges and priorities, as well as national priorities 	<ul style="list-style-type: none"> Clear articulation of Department's strategy and plans and the nature of the HR response Coherence across HR strategies, plans and activities Responsibilities to implement the HR plan clearly assigned to internal stakeholders Evidence of integrated interventions across HR components Innovation reflected in the nature of HR solutions
Implementation	HR processes / outputs (<i>Recruitments, HRD initiatives, etc</i>)	<ul style="list-style-type: none"> Compliance rate- number of submitted HR plans 	<ul style="list-style-type: none"> Implementation progress and gaps on HR plan Compliance with regulations and legislation in implementation (such as supply chain, Labour Law, Skills Development Act) 	<ul style="list-style-type: none"> Implementation progress and gaps on HR plan Compliance with regulations and legislation in implementation (such as supply chain, Labour Law, Skills Development Act)
	Achieved Outcomes	<ul style="list-style-type: none"> Achievement of outcomes through HR interventions identified by departments 	<ul style="list-style-type: none"> Best/good practices in achieving outcomes identified and shared with Departments. 	<ul style="list-style-type: none"> Achieved outcomes through HR interventions
	Achieved impact	<ul style="list-style-type: none"> Advancement of initiatives towards the building of a capable state 	<ul style="list-style-type: none"> Advancement of initiatives towards achieving provincial priorities 	<ul style="list-style-type: none"> Contribution of HR activities to increase performance, improved quality of service delivery and user satisfaction.

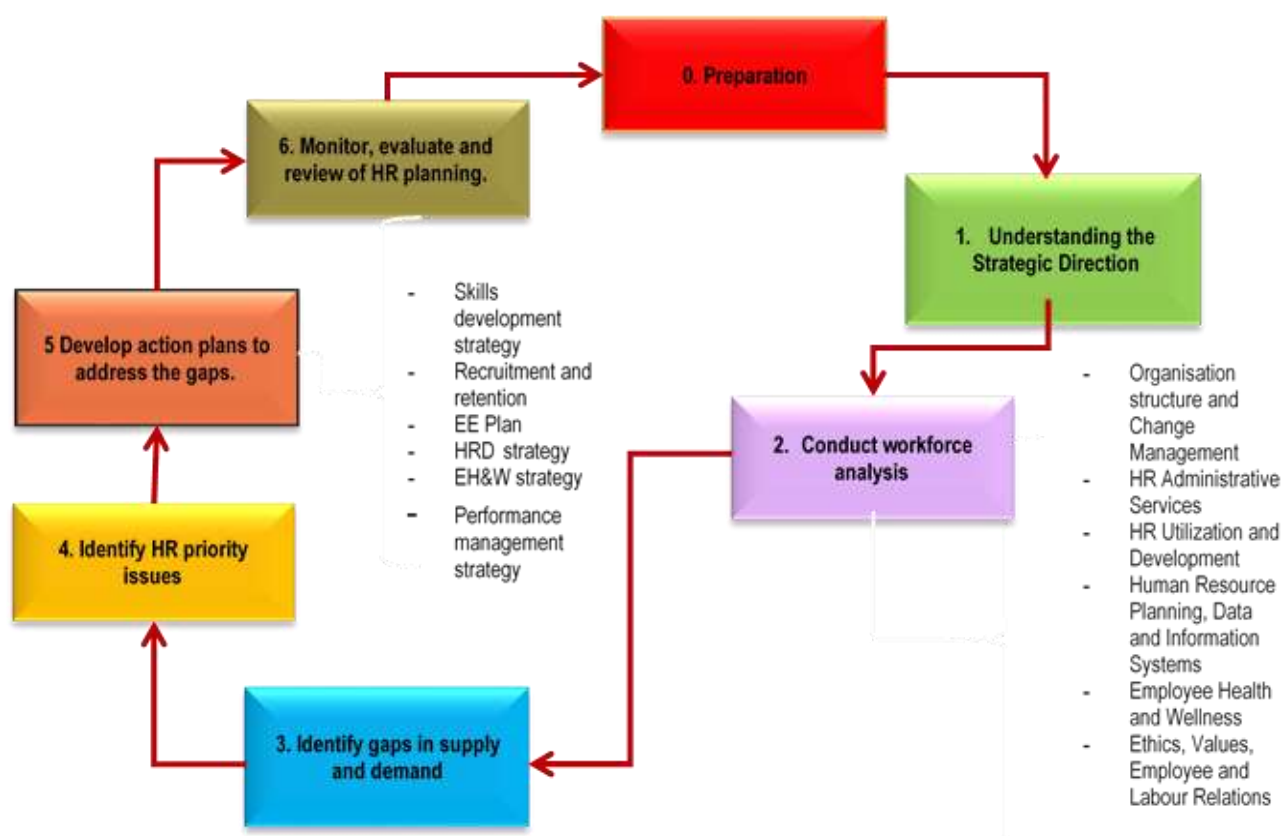
2.1. The five principles as reflected in the HR planning methodology

The table below outlines the five guiding principles and how they are dealt with in the HR planning process.

Principle	Reflected in the HR planning methodology
1. A strategic approach to HR planning	<ul style="list-style-type: none"> ▪ The first phase of the HR planning process requires HR practitioners to review the Department's strategic plan in order to interpret the HR implications. ▪ In this process the broad themes that will guide HR planning is set in the context of the Department's strategy – answering the question how can HR support the Department to achieve its strategic objectives?
2. An integrated approach across HR disciplines	<ul style="list-style-type: none"> ▪ HR practitioners are expected to work together with management to understand and interpret the Department's strategic plan. ▪ The guidelines are premised on the assumption that HR practitioners from across the different HR components and management, will work together throughout the HR planning process.
3. Consultation and engagement	<ul style="list-style-type: none"> ▪ Specific steps are suggested to be followed during every phase of the planning process to consult and engage with key internal / external stakeholders. ▪ An HR project planning committee consisting of representatives from management and all HR components is recommended, with a clear role and tasks assigned. ▪ The guidelines provide suggested roles and responsibilities of all key stakeholders. ▪ These initiatives are attempts to ensure that through the involvement of a broader stakeholder group in the planning process the Department will be committed to the HR plan.
4. Data management	<ul style="list-style-type: none"> ▪ The guideline places emphasises on the importance of a balance between quantitative and qualitative data and the interpretation thereof. ▪ While tools are provided to assist in gathering and analysing quantitative data, questions are also provided to assist with gathering and interpreting qualitative data.
5. Monitor, evaluate and review	<ul style="list-style-type: none"> ▪ The principle of monitoring and evaluation is applied at multiple-levels and is woven across the planning process. ▪ At a provincial and national level there is monitoring and evaluation of the quality of HR plans, as well as the identification of emerging trends. ▪ Within the Department there is the monitoring and evaluation of the achievement of the targets and objectives for the HR plan. There is also a review of the overall planning process in order to improve it.

SECTION 3. HR PLANNING METHODOLOGY

The diagram below reflects the phases of the HR planning methodology; this is the methodological framework for HR planning within the Public Service. The HR planning process is essentially cyclical and involves the constant integration of business and HR planning-specific activities, as well as feedback on the implementation of the HR plan overall. The HR plan must be aligned with the strategic priorities of government, as well as the departmental strategic plan. This section will focus on examining each of the phases. (It should be noted that the delineation of the different stages referred to may not be so exact in practice and overlaps may occur.)



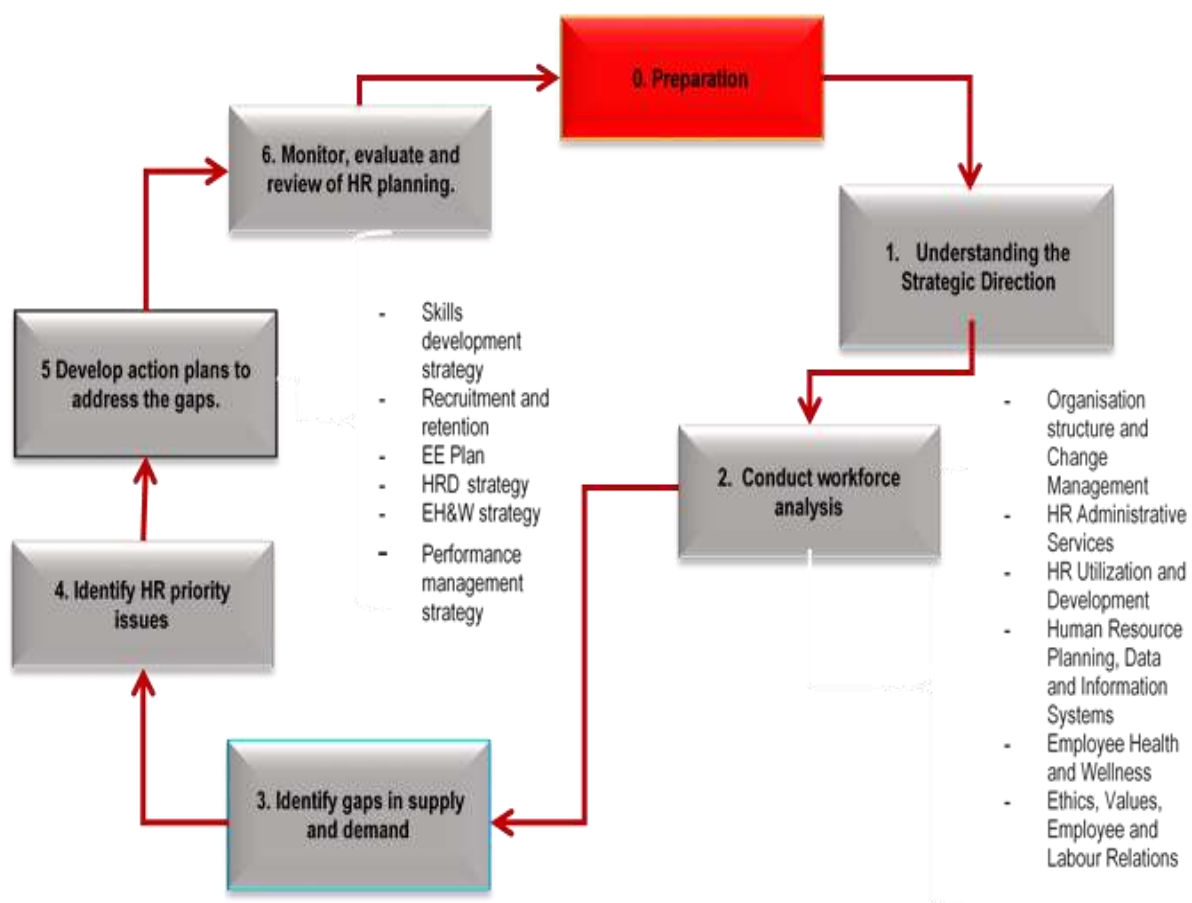
The table below reflects suggested process linked to each HR planning methodology.

	Phase	Purpose	Suggested processes
Prepare	HR planning preparation Understanding the strategic direction and Conducting an environmental scan	Create conditions that enable successful HR planning, these include: <ul style="list-style-type: none"> Establishing a project team Developing an agreed to work plan/project plan Confirming roles and responsibilities of all stakeholders Align the HR Planning process with HR Self-assessment findings 	<ul style="list-style-type: none"> Readiness guide Approval of the project team by the Head of Department Formulation of formal Departmental structures Terms of reference developed Draft communication plan Consider the HR Self – Assessment Findings; if not available conduct the HR self-assessment as a priority.
		Align the HR planning imperatives/focus areas to the Department’s strategic plan to ensure that HR interventions are appropriate and relevant in terms of the Department’s priorities.	
Scan		Take external environmental factors into account when developing the HR plan to ensure that the contextual realities (provincial, national and global) that can potentially impact on the HR plan are considered.	<ul style="list-style-type: none"> Have one discussion on the internal and external environment Examine and analyse the Department’s strategic plan Discuss operational priorities with line managers Agree on areas of concern for the HR function Identify strengths and opportunities
Analyse	Conduct an organisation and workforce analysis	Gather appropriate (quantitative and qualitative) data on current workforce and organisational issues Analyse and interpret data in the context of the Department’s plans for the next 3 years	<ul style="list-style-type: none"> Gather quantitative and qualitative data Analyse data Engage with line management to gather further qualitative data Merge the discussion on the gap identification and priority setting Identify gaps in supply and demand Establish priorities in terms of risk and budget availability, using agreed criteria
Gap identification	Identify gaps in supply and demand	Identify organisation and workforce gaps that should be addressed to support the Department to achieve its goals and mandate.	

	Phase	Purpose	Suggested processes
Prioritise	Identify priority HR issues	Establish priorities that will guide the operational/action plans of each HR component and that collectively respond to the gaps	

3.0. HR Planning Preparation

Overview of the HR planning process and where this phase is located within it



Purpose

Phase 0: The purpose of this phase is to create the necessary conditions in the Department that will enable quality-oriented strategic HR planning.

- **Establish a HR planning project team**

The principle of communication and involvement of key stakeholders has already been established in this document. It is recommended that an HR planning project team be established at the outset of the planning process. This team can play a vital role in supporting the overall planning process. HR planning teams could also include:

- Individuals with strong institutional knowledge,
- Individuals who know the history of the Department, and
- Individuals who understand the mission, vision and
- Strategic objectives of the Department.

- **The role of the HR planning project team**

At the beginning	<p>The team will plan the overall process, establish time frames and support required by the HR practitioners.</p> <p>Develop and share a communication plan with the Department.</p> <p>Assist the HR practitioners as a team with inputs to shape the process.</p> <p>Will engage with the management committee to explain the process and the expectations of management during the process.</p>
During the process	<p>They will meet on a regular basis to monitor progress against the overall plan.</p> <p>Identify challenges and find ways to address these.</p> <p>Will participate in relevant engagements.</p> <p>Will advocate for management support and participation.</p>
On-going	<p>Monitor progress towards the implementation of the HR plan.</p> <p>Discuss and find solutions to challenges.</p> <p>Support HR practitioners in their engagement with management.</p>

- **Composition of the HR planning project team**

The planning team should be a combination of HR practitioners, personnel from multiple functional areas as well as managers and personnel from core functions. The combination is important to ensure that there is on-going discussion between HR and the “business” of the Department, to change the perception that HR planning is HR’s work and build a different perception that HR planning is a key departmental activity.

- **The suggested participants for the project team are:**

HR should be adequately represented in terms of all the functional areas depicted in principle 2.

A representative from the strategic planning unit-for ongoing input from the HOD’s office

A representative from each of the line/core programmes is also required-

Who	What is expected
Executive Managers	Executive managers are responsible for recognising the need for HR planning and providing guidance.
Senior and middle managers	Should serve on HR planning teams. Managers are also responsible for using HR planning as a process

Who	What is expected
	for aligning people actions, such as recruitment and training, with strategic goals and objectives. Managers and supervisors who oversee areas with critical hiring needs and/or vulnerability will be involved. They will work with the human resources unit to gather data, determine priorities in key areas and offer creative strategies for action plans. Managers will be responsible for implementing the action plans for their operational area.
HR (human resource) professionals	Should serve in HR planning teams and provide support and human resource data, expert advice on techniques and strategies for addressing human resource challenges and other specialised support within their area of expertise. They should also work closely with line managers in developing, implementing and monitoring human resource plans.
IT (information technology) professionals	Should serve on HR planning teams, especially if the process is being automated.
Strategic planners	Should serve on HR planning teams to ensure linkage between the strategic plan and the HRP.
Financial officers	Should serve on HR planning teams to ensure linkage between the budget and HR planning.

- **Recommended Processes and Tools**

The processes and tools listed below aim to support the HR planning team to achieve the purpose and accomplish key tasks during this phase. They are, however, not exhaustive. HR planning teams are therefore encouraged to change and adapt these as required and use additional tools and processes as needed.

Recommended Processes for Preparation Phase	Supporting Tools
HR Planning Preparation	Tool no 1- Readiness Assessment
Workshop- HR Planning Team to identify potential HR demand and areas of concern for the HR function	Tool no 2- HR Planning Project Team Workshop outline and key discussion points
Ensure the assessment findings in terms of identified "shortfall" areas. are considered during the development of HR Plans	Assessment Tool: Ability of Departmental Human Resource Components to Strategically assist in the Achievement of Service Delivery goals (Annexure

Recommended Processes for Preparation Phase	Supporting Tools
	A to template)

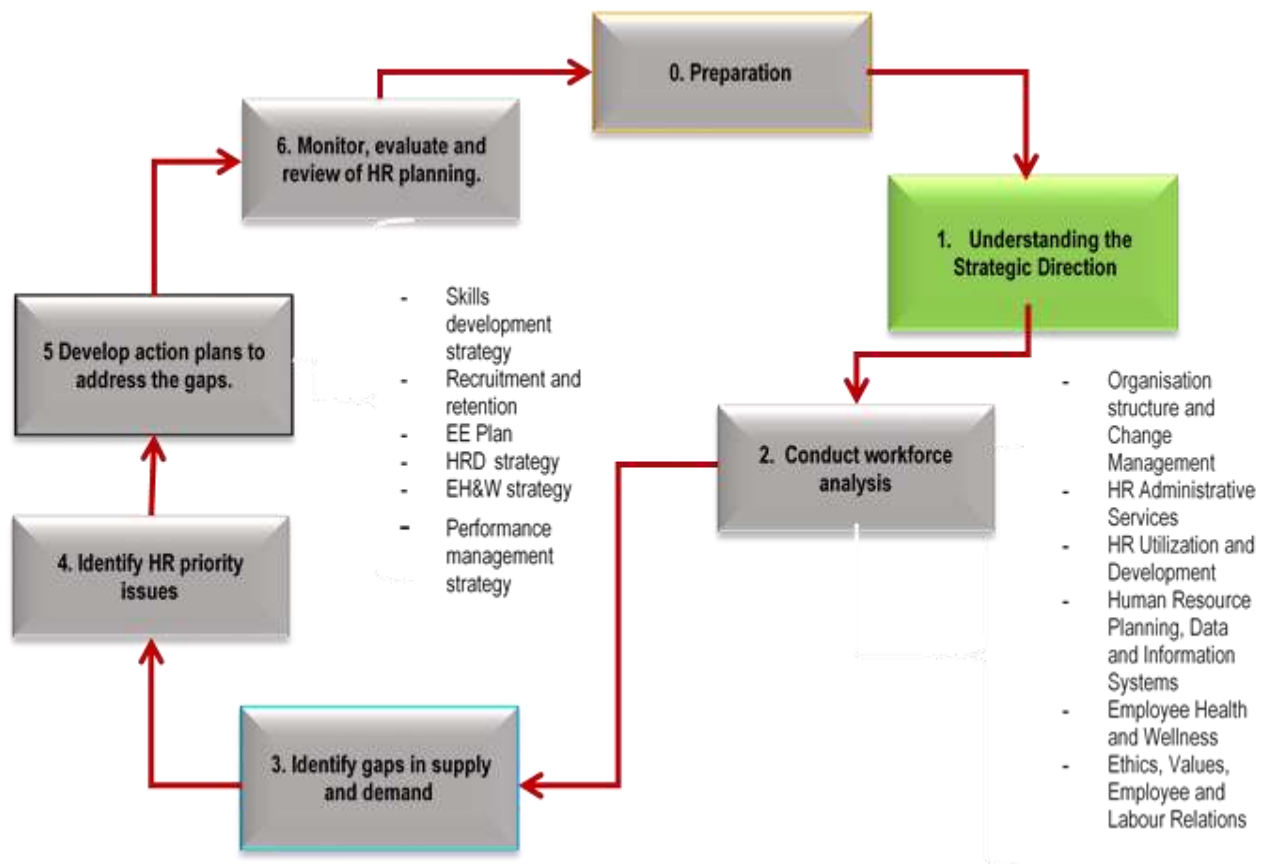
3.1. Understanding the Strategic Direction and Conduct an Environment Scan

During the previous phase, the HR planning team focused on creating conditions favourable to strategic HR planning, with an emphasis on establishing an HR planning team, framing the important role of the executive authority, defining the tasks and timeframes and communicating it to key stakeholders. The achievements of this phase establish the internal and external environment, which will have an influence on all the subsequent phases of the HR planning process.

Please note this process should therefore, be documented in Part B Section Two (2) Strategic Direction of the HR Plan Template.

Phase 1: *understanding the Strategic Direction and conduct an environment scan* is characterised by thinking about the “bigger picture”- the broader context and environment for HR planning. Essentially it is about Managers and HR practitioners in a Department coming together to think about the context that will inform their plans.

Overview of the HR planning process and where this phase is located within it



Purpose

Align and Scan

The purpose of this phase is to:

- Understand what the HR and organisational capacity needs are in relation to the Department's mandate.
- Establish the Departmental context for HR planning, to ensure that the HR plans formulated are responsive to the needs and circumstances of the Department.
- Use an HR "lens" to analyse the current internal and external environment impacting on the Department in order to think about potential future HR demand.
- Ensure that the HR plans are strategically aligned to the Department's current and future needs.

What must be achieved in this phase?

Completing the tasks below will support the successful achievement of the purpose of this phase

Assess the Department's Strategic Plan, from an HR perspective
Analyse <i>relevant</i> external environment trends likely to influence and impact aspects related to the HR plan
Identify and formulate the potential HR demand in terms of jobs and skills and key areas of concern on the basis of the Department's strategic plan

In order to achieve this purpose, the aspects highlighted below should be taken into account.

Phase 1

It is suggested that phase 1: *Set the strategic direction* and 2: *Conduct an environmental scan* be combined since these steps complement each other and integrating them will enhance the quality of the planning process. The aim of this phase is to understand the strategic direction for HR planning, by identifying the broad priority areas that will frame the agenda for HR in the Department, within the context of an understanding of applicable external environmental trends and identifying internal factors. In essence, this phase is about assessing the **future demand** requirements by considering future changes that will impact on the organisation and workforce. The HR interventions and activities defined in the HR planning process will therefore be informed and respond to the needs of the Department.

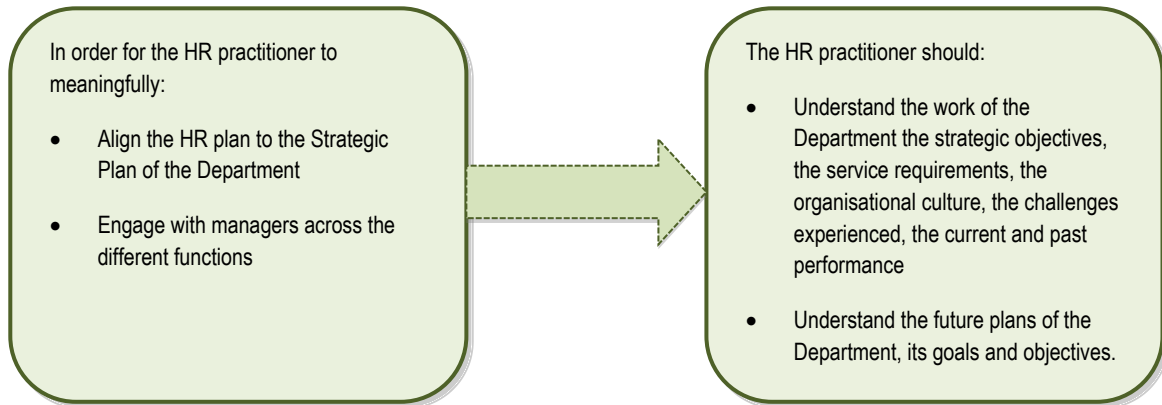
In addition to the Department's future plans, the direction of the HR plan should also be grounded in an understanding of key environmental factors that can impact on HR priorities and strategic interventions. The importance of understanding and considering the environment ensures that factors brought about by changes that are internal and external to the Department's direct control and can influence the HR plan are carefully considered. It must be noted that not only external environment factors need to be considered, attention should be paid to factors that will influence the direction and goals of the HR plan. HR practitioners are also not expected to redo the environment scan completed during the Department's strategic plan. What is expected is that the planning team apply its mind to the environment and consider the factors internal and external the Department that can impact on the plans that are being developed.

Examples of factors in the external environment that could be applicable include:

- A growing shortage of labour market skills in competency areas relevant to the Department.
- Legislative requirements or frameworks pertinent to the Department that might have changed resulting in increasing the demand for skills in particular areas.
- Rapid changes in technology can result in changes related to skills required.

- Increased expectations for better service delivery from citizens which requires the Public Service to improve planning for HR.

Self-reflection point



HR practitioners should assess whether they:

- *Understand the work of the Department, organisational culture, the challenges being experienced, and the current and past performance.*
- *Understand the future plans of the Department, its goals and objectives.*
- *Understand the external perceptives/ environment.*

The example below illustrates the type of questions and issues that the HR planning team would consider when analysing an objective from a Department's Strategic Plan.

Example taken from the Department of Home Affairs

Strategic objective - An integrated and digitised National Identity System (NIS) that is secure and contains biometric details of every person recorded on the system.

Objective statement - To design and implement a new national identity system, which will include details of South Africans and foreign nationals. The system will include business process re-engineering, provision of access to systems and the implementation of various initiatives including the use of inherent biometric features, technological advancements (e.g. online verification, live capture and smart ID card) to enable the Department to ensure the integrity and security of the identity of all who live in South Africa; and all who enter or leave the country.

The new national identity system will also ensure the secure issuance of enabling documents to eligible applicants. Key enabling documents will be secured through the inclusion of security features.

The aim is to have the NIS fully operational by 2017/18 and to have biometric functionality implemented at all ports of entry equipped with the EMCS by 2018/19.

HR practitioners may ask the questions below, which may provide prompts for further exploration. Given the new modernisation programme for the Department:

Type of work

- What are the implications regarding the type of work that will be needed? How would the work be done? Will the work processes need to be changed?
- Is it likely that any other work requirements will emerge?
- Ascertain the change requirements –what stays the same and what needs to be done differently?
- Will job profiles or descriptions need to change or new ones developed?
- How will the changes be accommodated through the performance management system/work plans?

Key roles and competencies

- What work/job roles/positions will be critical for successful implementation?
- Is there a need to develop new or different skills? What possible learning and development interventions could address capacity building needs?
- What are the key differences in the current and future workforce competencies?

Organisation design

- How will the modernisation programme affect the Department’s structure? What are the changes to be made in the current structure?
- Are there possible changes that will require changes to or new work processes?
- Will changes be needed in the design of programmes, work units, and jobs affected by this strategic objective?
- Can changes in the reporting relationships be anticipated?
- Will the current organisation culture support the changes?

• **Recommended processes and tools**

The processes and tools listed below aim to support the HR planning team to achieve the purpose and accomplish key tasks during this phase. They are, however, not exhaustive. HR planning teams are therefore encouraged to change and adapt these as required and use additional tools and processes as needed.

Recommended processes	Supporting Tools
Workshop of HR practitioners and/or pen and paper exercise to analyse the Department’s Strategic Plan	Tool no 3- Guide to analyse the Department’s Strategic Plan and Environmental Scan

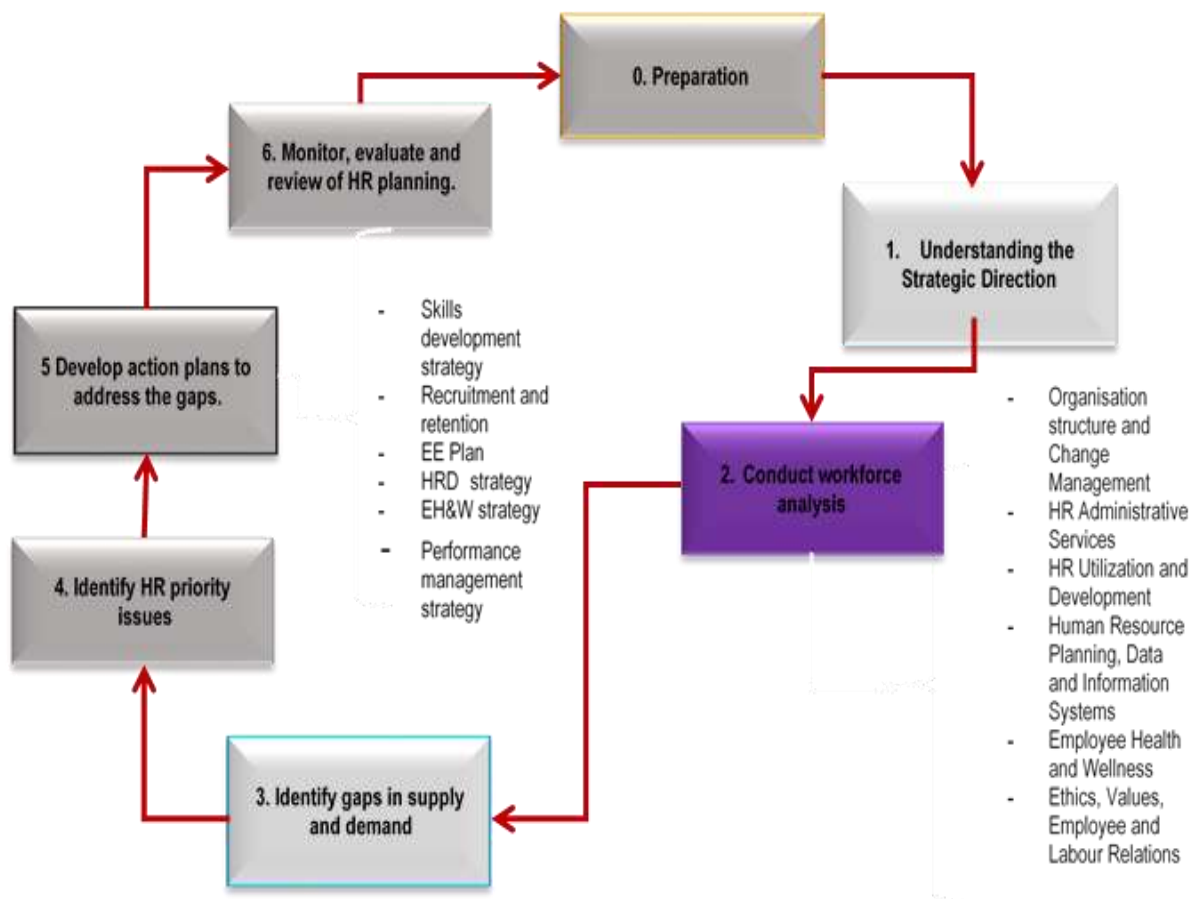
3.2. Conduct an organisation and workforce analysis

During the previous phase, the HR planning team focused on analysing the Department’s current internal and external environment in order to forecast potential demand and identify areas of concern for the HR function. The emphasis was on creating the conditions to ensure that the Department’s strategic needs would be aligned to the potential areas to be addressed by the HR plan. This analysis establishes an important context for the analysis of organisational and workforce analysis.

Please note this process should therefore, be documented in Part B Section Three (3) Workforce Analysis of the HR Plan Template

Phase 2: *Conduct an organisation and workforce analysis* is characterised by gathering, analysing and interpreting organisation and workforce data in the context of potential demand and challenges emanating from section 3.1 above. During this phase the HR planning team analyses the supply of skills, the workforce profile, organisational climate and health and wellness aspects on the basis of the Department’s strategic needs.

Overview of the HR planning process and where this phase is located



Purpose

The purpose of this phase is to:

Understand the human resources and organisational capacity that is available to achieve the mandate.

- Analyse and interrogate data and trends related to the organisation and workforce in order to plan for both shortages and surpluses in specific occupations, employee profiles and skills sets, and in terms of organisational design and structure elements.
- Create opportunities for management and HR to have critical conversations about current HR supply related information in the context of changing Department needs.
- Contribute to determining the relevant supply and demand information required to identify and prioritise HR and organisational gaps.

What must be achieved in this phase?

Completing the tasks below will support the successful achievement of the purpose of this phase

Gather and analyse quantitative and qualitative organisation and workforce data
Engage with line managers to interpret data analysis and reach conclusions
Identify critical skills and impacted occupations

In order to achieve the purpose of this phase, the aspects highlighted below should be taken into consideration.

The data that the HR planning team will gather and analyse can be divided into two broad categories; organisation and employee data. The combined information provided through these data sets assists HR planners answer the question- “do we have the right number and the right people, at the right place, at the right time”.

Organisation data provides insights into the organisational structure and design and how it can negatively or positively impact on the management of human resource management and on the Department’s efficiency and effectiveness.

Employee data provides insights into the profile, skills and competencies of the workforce. Analysis of the trends and employee data also provides insights into potential behavioural issues/challenges.

Organisation Data
<ul style="list-style-type: none">▪ Programme▪ Job level▪ Occupational classification▪ Posts vacant▪ Posts proposed, approved and funded▪ Post demand▪ Organisation climate

Employee Data
<ul style="list-style-type: none">▪ Programme▪ Job level▪ Demographics - gender, race and disability▪ Age▪ Length of Service▪ Qualification type/NQF Level▪ Employment type▪ Sick leave▪ Termination type and date

Key summary points

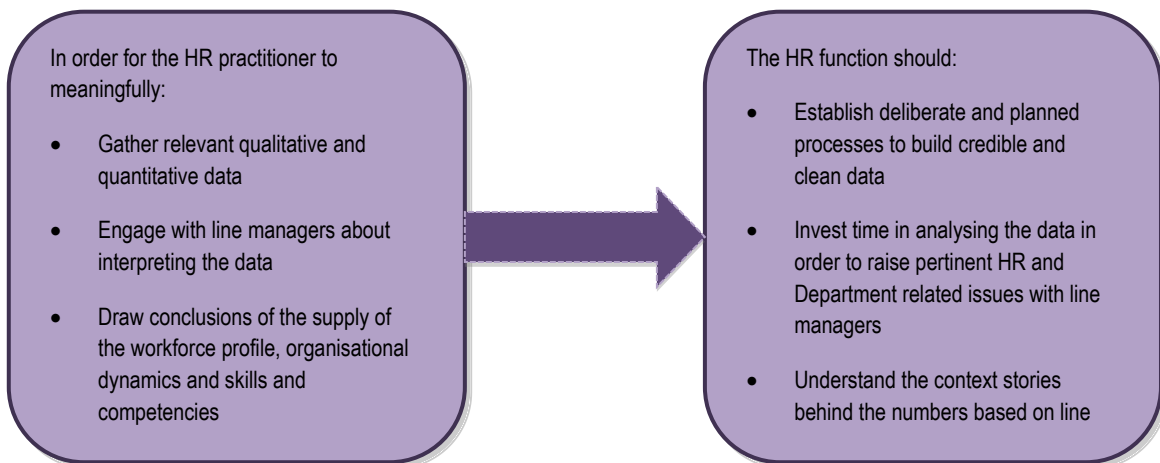
Organisation data

- What conclusions can be drawn about the stability of the Department?
- How stable is the Department in terms of the management of turnover, of vacancies and of employment additional to the establishment?
- Is the organisational structure optimal and functional? What can be improved and how?

Employee data

- What is the current workforce profile?
- What are the potential risks identified, e.g. ageing workforce in general or in particular occupations or critical roles?
- What are the current skills and competencies?
- What are the current workforce issues and problem areas?
- What are the current workforce issues and problem areas relative to the broad themes/priority areas identified in the previous phase?

Self-reflection point



HR practitioners should assess whether they:

- *Are constantly improving the quality and quantity of HR related data.*
- *Are asking appropriate questions to understand the numbers and ratios.*
- *Are having meaningful conversations with line managers.*

Recommended processes and tools

The processes and tools listed below aim to support the HR planning team to achieve the purpose and accomplish key tasks during this phase. They are, however, not exhaustive. HR planning teams are therefore encouraged to change and adapt these as required and use additional tools and processes as needed.

Recommended processes	Supporting tools
Gather quantitative data	Persal and other data sources
Gather further qualitative data	Tool no 4: Questions to guide Organisation and Workforce Analysis through data analysis
Identify organisational development and change management issues	Tool no 5: organisational development and change management (workforce capacity): Process to identify key roles and functions
Identify critical and scarce skills	Tool no 6: Process to identify critical and scarce skills

3.3. Identify Gaps in Supply and Demand and Prioritise HR Issues

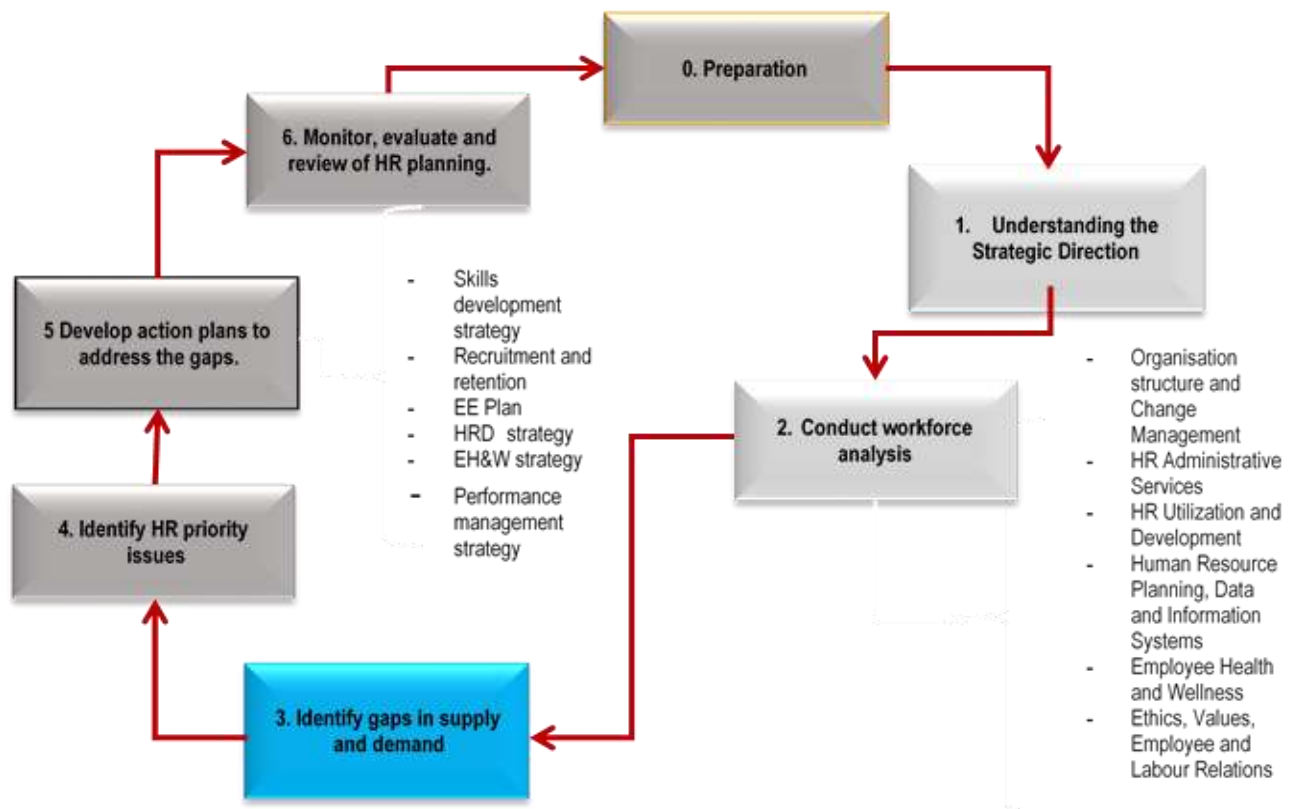
During the previous two phases the HR planning team focused on-

- analysing and interpreting the Department’s strategic plan to forecast HR demand and identify potential areas of concern/challenge for the HR function; and
- gathering and analysing organisation and workforce qualitative and quantitative data to understand the supply.

Please note this process should therefore, be documented in the GAP Section (Part B: Section 4) and Intervention Prioritization Section. (Part B: Section 5) of the HR Plan Template

Phase 3. *Identify gaps in supply and demand and prioritise HR issues* is characterised by making judgements and decisions about gaps and priorities. During this phase the HR planning team will need to ascertain the gaps between demand and supply and challenges in relation to organisational structure and climate. Furthermore, the team will need to make decisions to prioritise the issues to be undertaken over the next three years according to budget, capacity to implement and focus for the HR function.

Overview of the HR planning process and where this phase is located



Purpose

The purpose of this phase is to analyse the gap between the future workforce and organisation demand and the current workforce supply within the context of your Department's needs and external environment in which it operates.

What must be achieved in this phase?

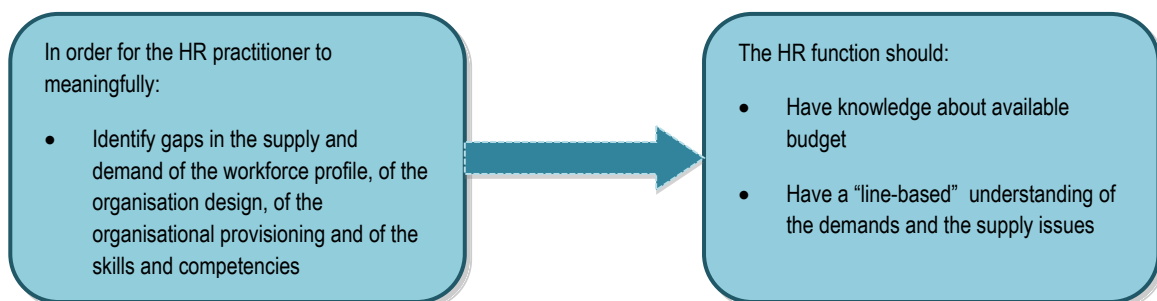
Completing the tasks below will support the successful achievement of the purpose of this phase:

Identify gaps between the workforce demand and supply and the required organisation structure and design
Determine priorities on the basis of the strategic focus of the HR function, the available budget and capacity to implement

To achieve the purpose of this phase, the aspects highlighted below should be taken into account.

Remember that gaps can be defined as a **shortage**, where the supply of skills, competencies and employees (in number or profile) are less than the forecasted demand; or can be a **surplus** where there is more supply than is needed. Quantitative measures include - gap in current skills sets needed to meet demand, or a gap in terms of the profile of the workforce to meet required profile demand; qualitative measures can include - the type of competencies required and strategic alignment. In addition gaps in organisation design, policies, performance management and leadership should also be considered.

Self-reflection point



HR practitioners should assess whether they have -

- *had conversations with line managers and understood their challenges and needs; and*
- *interpreted the demand issues in the context of the Department's strategy and line managers' experience and the supply issues.*

Recommended processes and tools

The processes and tools listed below aim to support the HR planning team to achieve the purpose and accomplish key tasks during this phase. They are, however, not exhaustive. HR planning teams are therefore encouraged to change and adapt these as required and use additional tools and processes as needed.

Processes and tools

Recommended processes	Tools
Identify the gap between current supply and future demand	Tool no 7: Process to identify gaps
Prioritise gaps identified	Tool no 8: Process to prioritise

3.4. Develop action plan to address gaps

During the previous phase the HR planning team focused on identifying gaps by comparing what the Department required in terms of skills and competencies, workforce profile, organisational structure and organisation climate. The team also needed to be decisive about prioritising aspects to be addressed in the next three-year cycle.

Phase 5: *Develop action plan to address gaps* characterised by forward thinking about activities to be undertaken, linkages across the HR components, time-frames and resources required. During this phase the HR planning team think about the way in which the different HR components can address the priorities in a way that enables integration and efficiency.

Please note this process should therefore, be documented in Part A: Section Three (3) Implementation / Action plan of the HR Plan Template

Overview of the HR planning process and where this phase is located

HR practitioners may ask the questions below, which may provide prompts for further exploration. Given the new modernisation programme for the Department:

Type of work

- What are the implications regarding the type of work that will be needed? How would the work be done? Will the work processes need to be changed?
- Is it likely that any other work requirements will emerge?
- Ascertain the change requirements –what stays the same and what needs to be done differently?
- Will job profiles or descriptions need to change or new ones developed?
- How will the changes be accommodated through the performance management system/work plans?

Key roles and competencies

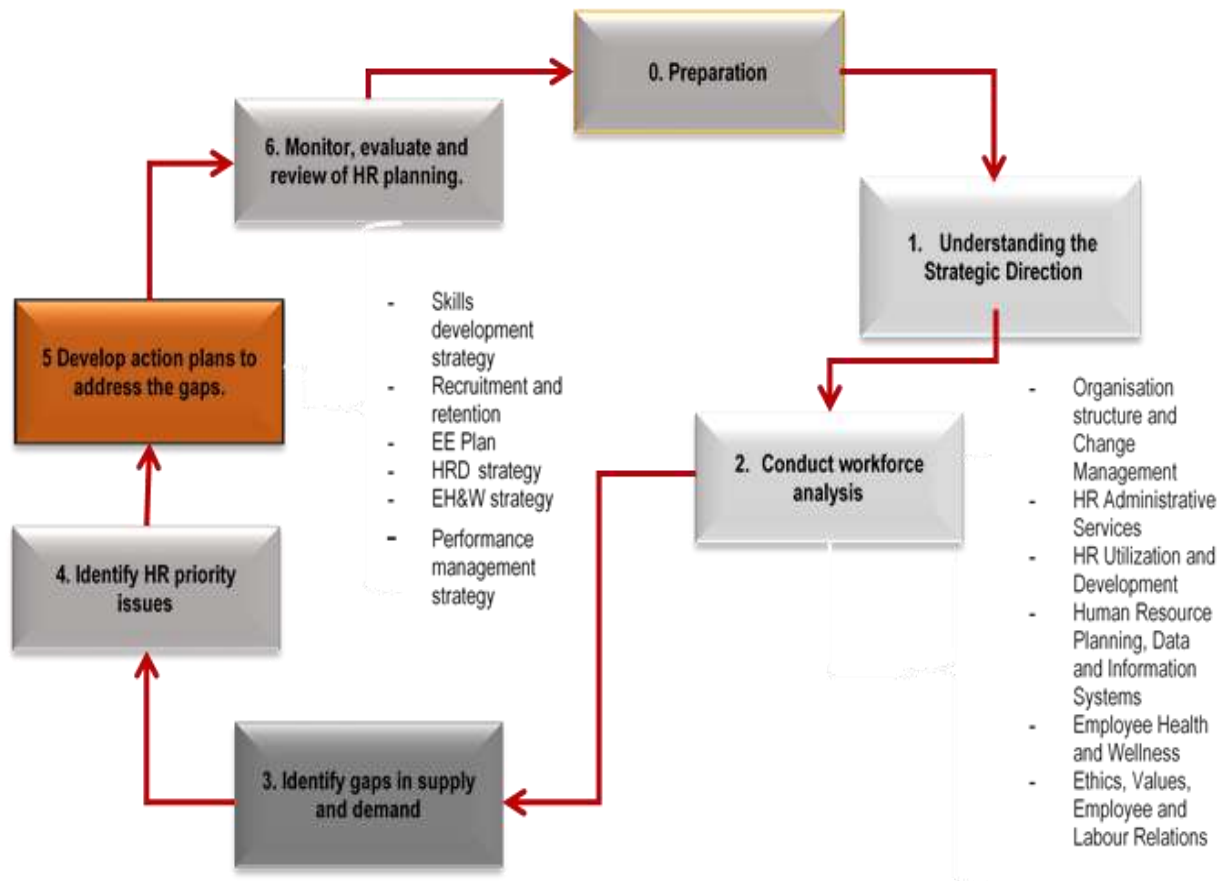
- What work/job roles/positions will be critical for successful implementation?
- Is there a need to develop new or different skills? What possible learning and development interventions could address capacity building needs?
- What are the key differences in the current and future workforce competencies?

Organisation design

- How will the modernisation programme affect the Department's structure? What are the changes to be made in the current structure?

- Are there possible changes that will require changes to or new work processes?
- Will changes be needed in the design of programmes, work units, and jobs affected by this strategic objective?
- Can changes in the reporting relationships be anticipated?
- Will the current organisation culture support the changes?

Overview of the HR planning process and where this phase is located



Purpose

The purpose of this phase is to:

- Develop implementation plans for each HR component to address the priorities identified.
- Detail the activities, indicators, outputs, budgets and time-frames required.

What must be achieved in this phase?

Completing the tasks below will support the successful achievement of the purpose of this phase

Define strategies to address gaps and to guide action planning.

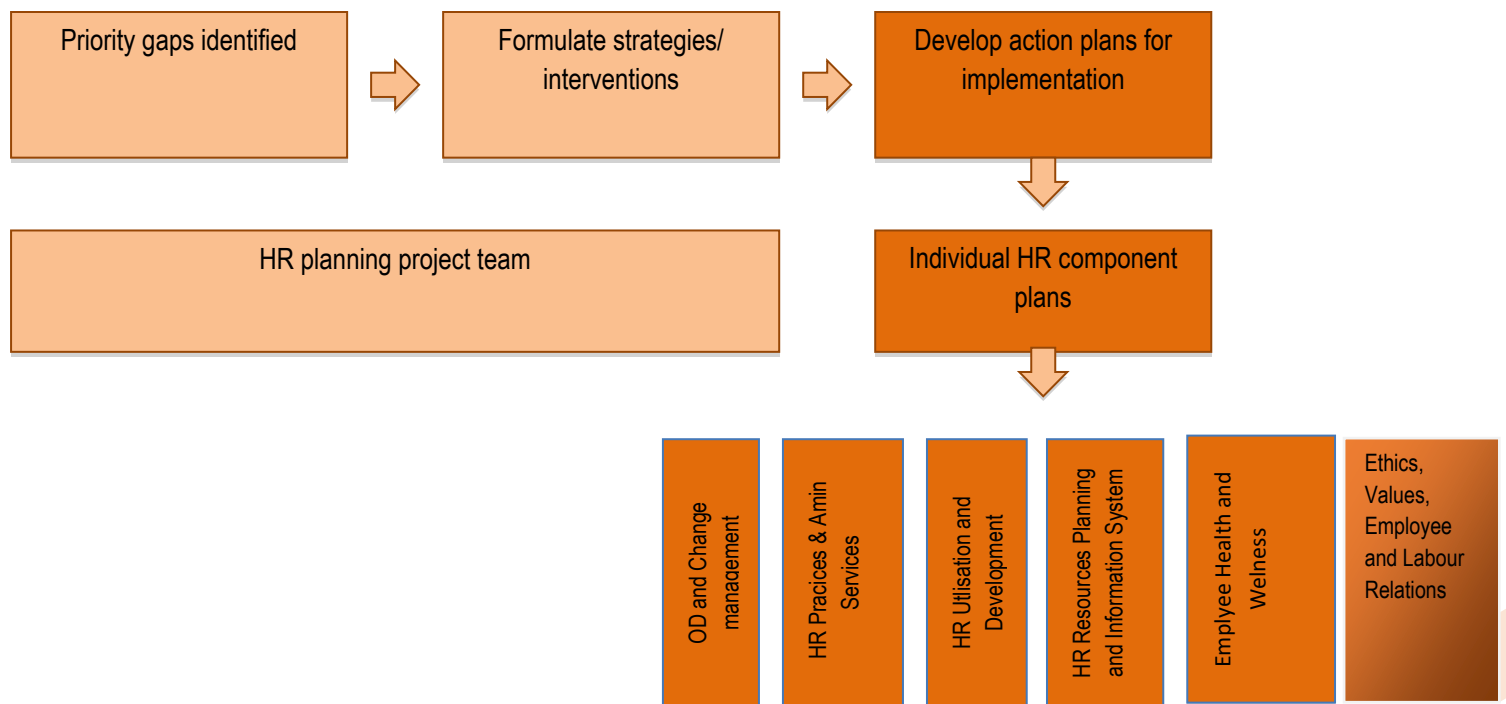
Determine the HR planning objectives, outcomes, outputs, targets and timeframes, based on the strategic focus of the HR function, the available budget and capacity to implement.

In order to achieve the purpose of this phase the aspects highlighted below should be taken into account.

HR planning, combined with effective monitoring and evaluation, will enhance the effectiveness of implementation. The planning through the articulation of intended results sets the agenda for monitoring and evaluation.

Gaps and priorities were identified in the previous phase, it is now important for the HR planning project team to define and develop strategies to address them. The strategies are formulated with line managers and with collaboration across the HR components. Once collective strategies have been defined, each HR component develops a detailed implementation plan. The plan must indicate activities linked to strategies, target dates, milestones & indicators and responsibility. The availability of budget was considered when the team identified priority gaps. During this phase budget and capacity once again are becoming criteria during the development of strategies and plans.

From HR strategies to implementation plans



Recommended processes and tools

The processes and tools listed below aim to support the HR planning team to achieve the purpose and accomplish key tasks during this phase. They are, however, not exhaustive. HR planning teams are therefore encouraged to change and adapt these as required and use additional tools and processes as needed.

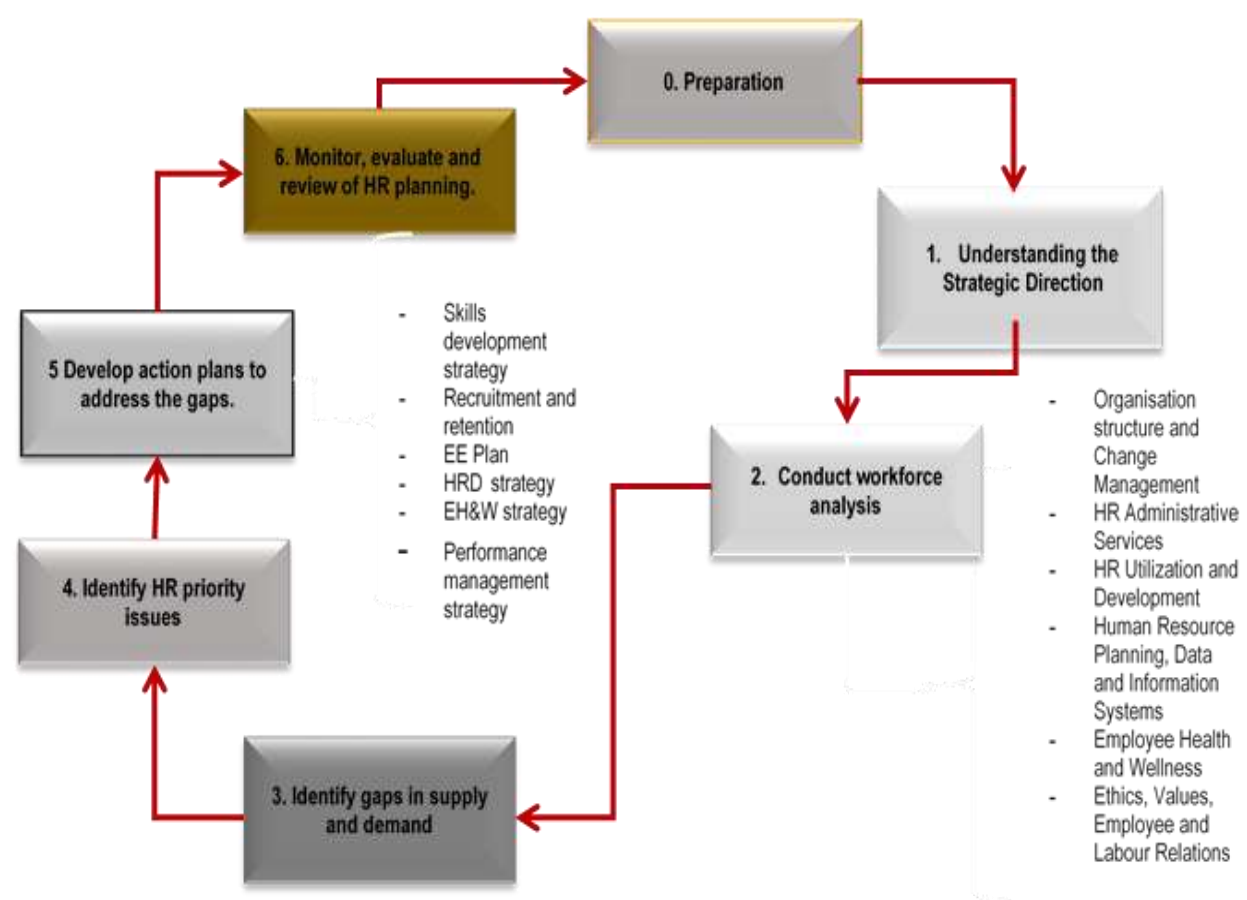
Recommended processes	Tools
Define strategies to address gaps	Tool no 9: Developing interventions/ strategies to address gaps

3.5. Monitor, evaluate and review HR planning

During the previous phase HR priorities were interpreted by the different HR components into implementation plans. The plans not only addressed the HR priority issues but were also aligned to the frameworks and strategies of these different components.

Please note this process should therefore, be documented in the HR Planning Implementation Template

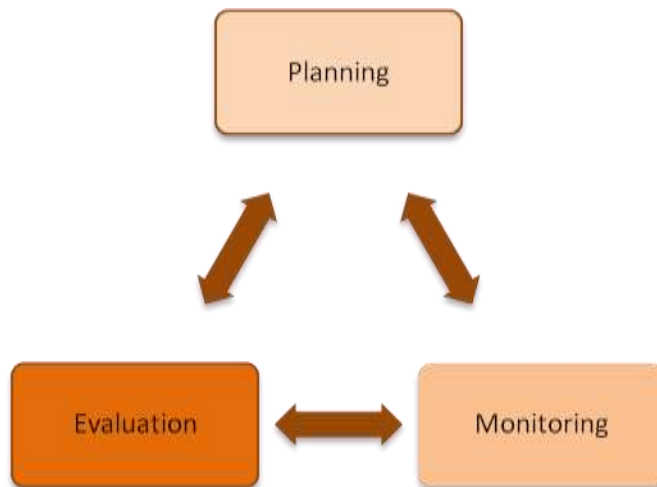
Phase 6 *Monitor, evaluate and review HR planning* is characterised by developing rigorous processes required to M&E the effectiveness and efficiency of the plans developed in section 3.4 above.



Purpose

Monitoring and evaluation forms an integral part of the HR planning process, and should be built into the process from the start. In fact, as illustrated in the previous phase, while the planning process defines goals to be achieved, the monitoring and evaluation process provides information on progress, challenges, successes and lesson learnt.

The diagram below reflects the link between planning, monitoring and evaluation



What do you want to achieve in this phase

Completing the task below will support the successful achievement of the purpose of this phase

- Determine a monitoring and evaluation framework for the Department.

Monitoring and Evaluation framework

The establishment of an M&E framework will guide the process in your Department.

Framework aspects	What it means?
Time frames	Decide on regular intervals for the monitoring Decide on the timeframe for the evaluation
Stakeholders – roles and responsibilities	Stakeholders involved in the HR planning process should be part of the monitoring and evaluation process
Information to be gathered	Decide on what information will be gathered to monitor implementation of the various action plans, as well as to determine whether the HR Plan has addressed the objectives set.

Methods for obtaining feedback can include:

- Meetings with management
- Employee surveys
- Focus groups
- Analysis of workforce data
- Reviews of progress reports
- Documenting lessons learnt

Monitoring and Evaluation process and Tool

Recommended processes	Tool
Monitor and Evaluate Implementation	Tool no 10: Monitoring and Evaluation

SECTION 4. HR PLANNING TOOLS AND TEMPLATES

General note on the tools

This section consists of a number of tools that are recommended for use during the HR planning process. The tools are linked to the different phases of the HR planning methodology described in the HR planning guideline and are aligned to the prescribed HR Planning Template.

Each tool describes the purpose of the tool in relation to the HR planning template and some guidance on how to use it. ***PLEASE NOTE that the tools are not meant to confine or constrain HR practitioners***, therefore feel free to add, change and adapt the tools as appropriate.

It is important to note that since planning is a dynamic process, the outputs from different tools build on one another and that a combination of outputs from different tools will enable the completion of the HR planning template.

How to use the HR Planning Tools

An established Committee responsible for HR Planning will gather and analyse employee and organisational data. The committee has to obtain needs assessment data (e.g. review strategic plans, review job descriptions, comprehensive organizational reviews, occupational classification, workforce composition and skills utilization assessments, Qualifications/NQF, post analysis, and future human resources needs specific to each occupational group or individual positions.

The Committee is required to:

- Structure discussions and engagements among the HR Planning project team.
- Identify key stakeholders and involve experts in identified occupations in order to understand the needs.
- Solicit support and higher level engagement with line managers.
- Analyse data in order to facilitate the discussions.
- Conduct a gap analysis on the workforce. Analyse gaps in relation to the Departmental mandate.
- Do a risk assessment.

The Committee through the Head of HR will have to:

- Obtain or verify information provide routine information and facilitate discussions.
- Communicate with supervisors and managers to notify them of recommendations, or further actions needed.

- Give short oral presentations at departmental level briefings and meetings to convey information and to describe the impact of gaps identified.
- Lead briefings on highly technical or complex issues to be shared with high-level managers.

Prerequisites for the use of the tools

The tool requires departments to do an assessment on the availability of human resources needed to fulfil departmental goals, improve productivity, and provide quality services. An understanding of where gaps exist will assist departments to plan, develop and respond to their skills requirements, resource allocation, prioritisation, human resource development initiatives and recruitment strategies. The following are examples of what is required in order to utilise the tool:

Organisational Development and Change Management

- Organisational design, Job evaluation, process improvement
- Change management
- Service delivery improvement requirements

HR Practices and Administration Services

- Administration records
- Recruitment and selection reports
- Human resources management and administration policies

HR utilisation and Development

- Scarce skills list reports
- HRD implementation Plans and Reports
- PMDS reports

HR Planning and Information Systems

- Employment Equity Plan
- HR Plan and Report
- Self-Assessment Feedback Report
- HR Data and Information System Infrastructure

Employee Health and Wellness

- EHW Strategic Framework
- EHW policies
- Guidelines
 - SOLVE

- Child Care facilities
- Gender Sensitive and Right based HIV & AIDS
- Monitoring Tools
 - System Monitoring tool (SMT) (Annual)
 - Operational plans(Annual)
 - EHW Integrated reporting tool (Quarterly)

Ethics, Values, Employee and Labour Relations

- Labour relations policies
- Disciplinary Management reports
- Grievance reports

SUPPORTING TOOLS

Summary of Tools

Phase	Tools
HR Planning Preparation	<p>Tool no 1: Readiness Assessment</p> <p>Tool no 2: HR Planning Project Team Workshop Outline and Key Discussion Points.</p> <p>Assessment Tool :Ability of Departmental Human Resource Components to Strategically assist in the Achievement of Service Delivery goals</p>
Understanding the Strategic Direction and Conduct an Environment Scan	<p>Tool no 3: Guide to Analyse the Department's Strategic Plan and Environmental Scan through PESTEL analysis</p>
Conduct an Organisation and Workforce analysis (supply)	<p>Tool no 4: Questions to guide Organisation and Workforce Analysis through Data Analysis</p> <p>Tool no 5: Organisational Development and Change Management</p> <p>Tool no 6: Process to Determine Critical and Scarce skills</p>
Identify Gaps in Supply and Demand	<p>Tool no 7: Process to identify the gap between future workforce required and current workforce</p>
Prioritise HR Gaps	<p>Tool no 8: Process to prioritise gaps identified</p>
Develop Implementation Plans to address Gaps	<p>Tool no 9: Developing strategies to address gaps</p>
Monitor and Evaluate Implementation	<p>Tool no 10: Monitoring and Evaluation</p>

PHASE: HR PLANNING PREPARATION

Tools for this phase

Tool no 1: Readiness Assessment

Tool no 2: HR Planning Project Team Workshop outline and key discussion points

Assessment Tool: Ability of Departmental Human Resource Components to strategically assist in the Achievement of Service Delivery goals (to be completed as part of the HRP template)

HR PLANNING TOOL NO 1: READINESS ASSESSMENT

Purpose of this tool

- This tool will assist the HR Planning team to establish the necessary success factors for HR planning in the Department

How to use this tool

- This tool can be used to assess the progress towards the required factors and to facilitate a discussion on improvement areas.

Indicator	Progress	Remedial action required
The Department has established an HR Planning Team		
The HR Planning Team is composed of representatives from management, HR and line function		
The HR Planning Team have an agreed plan of activities and timeframes required to develop the HR Plan		
The executive management were optimally engaged in the previous HR Planning cycle		
Senior and middle managers participated in the previous HR Planning cycle		
Mechanisms are in place to generate and analyse the required qualitative and quantitative data		

HR PLANNING TOOL 2: HR PLANNING PROJECT TEAM WORKSHOP OUTLINE AND KEY

DISCUSSION POINTS FACTORS

Purpose of this tool

- This tool outlines key discussion points to guide the identification of broad, high-level HR priority areas or themes. It is too early in the process to identify specific priorities, these are broad HR areas that arise from the assessment of the Department's strategy and will assist later when HR priorities and 'strategic interventions are defined and refined.
- The outputs from this discussion build on the outputs from Tool 1, and will become an important frame when deciding on HR priorities and strategic interventions during phases 3 (Identify gaps in supply and demand) & 4 (Identify priority HR issues).
- The tool highlights the importance of the collaboration between line managers and the HR function to assess and identify the broad HR themes; it will therefore be most useful to use this tool for a workshop with the HR planning project team.
- Provide assistance to complete Part B: Section Two –Analysis of the Departmental Strategic Plan and Environment Scan of the HR Planning Template

How to use this tool

Use the tool to structure the discussion and engagement of the HR planning team.

Examples of HR themes include:

- Develop processes for managing the development of internal skills budget
- Prepare X programme for new technology
- Reduce turnover in 'critical' occupations
- Improve recruitment strategies to enhance efficiency and duration of the process
- Prepare for retirement of managers, senior leadership, and key technical experts
- Redeploy and retrain staff to support the development of a programme

Important to note

At this stage of the planning process the team will be identifying broad HR themes; such are high-level statements that emanate from assessing and thinking about the Department's strategic priorities. They describe the desired outcomes that take into account key or critical Departmental issues, but do not include specific strategies, interventions or performance indicators. These themes serve as a link to the Department's strategic plan and will form the context later to guide further discussion of the gaps and required strategic interventions.

It is important to note that this discussion summarises the HR themes or priority areas. These will be revisited and further deliberated on later in the process when the gap between supply and demand is identified and again when defining HR goals.

Summary of Department priorities and key HR implications –noting issues such as:

- What are the future services/ programmes of the Department?
- What has changed?
- What are the workforce implications/issues?
- What competencies and skills will be required?
- What new roles and/or work practices will be needed?

Questions to guide the discussion to determine key themes

Type of work

- What type of work will be done in the future? What will be different?
- How will this new work be performed? Will there be a need for changes to or new work processes?
- Are there likely to be any other work requirements?

Key roles and competencies

- What work/job roles/positions will be critical to the organisation?
- Is there a need to develop new or different skills? What possible learning and development interventions could address capacity building needs?
- What are the critical core organisational competencies that will be required to support the organization's strategy?
- What new knowledge, skills and attributes do specific positions/job groups/work areas need to perform in the future?
- What are the key differences in the current and future workforce competencies?

Organisation design

- How will the organisation need to be structured to support future work requirements?
- What are the changes to be made in the current structure?
- Are there possible changes that will require changes to or new work processes?
- Will changes be needed in the design of programmes, work units, and jobs?
- Can there be anticipated changes in the reporting relationships?
- Will the current organisation culture support the changes?

PHASE 2: UNDERSTANDING THE STRATEGIC DIRECTION AND CONDUCT AN ENVIRONMENT SCAN

Tools for this phase

Tool no 3: Guide to analyse the Department's strategic plan and environment scan through PESTEL factors

HR PLANNING TOOL NO 3: GUIDE TO ANALYSE THE DEPARTMENT'S STRATEGIC PLAN AND ENVIRONMENT SCAN THROUGH PESTEL FACTORS
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Purpose of this tool

- This tool will provide guidance on questions to ask when-
 - analysing the Department's strategic plan;
 - considering the HR implications of the Department's focus areas and priorities; and
 - examining the factors in the environment that could impact on the HR Plan of the Department.
- The output of this tool will assist the HR planning team to understand the Department's strategic focus areas and priorities, and hence to use this information as a context when deciding on HR priorities and interventions during phase 3 (Identify gaps in supply and demand) & phase 4 (Identify priority HR issues).
- Provide assistance to complete Part B: Section Two –Strategic Direction of the HR Planning Template

How to use this tool

This tool can be used in two possible ways:

- HR practitioners can use it individually to prepare for the HR planning project team workshop. It is then a pen and paper exercise where each HR practitioner works on their own to analyse the Strategic Plan and answer the questions. Each practitioner's reflection will then form the basis of discussion in the HR strategy workshop. OR
- It can be used as the first part of the HR strategy workshop, where HR practitioners use the tool to guide their collective discussion to review the Department's strategic plan and consider the HR implications.

Structure of the tool

Table 1- highlights key issues or questions that should be considered when analysing the Department's Strategic Plan.

Table 2 - Summary of relevant and applicable internal and external factors significant for the HR planning process. **Relevant and applicable** in this context refer to factors that have a bearing on the HR plan.

Table 1- Key issues or questions for analysing the Department's Strategic Plan

Areas to review and questions to guide review
<p>Legislative and policy mandates</p> <ul style="list-style-type: none"> • Examine whether there are any changes to these mandates • Look for planned policy initiatives • Identify links to provincial growth and development plans • Identify links to national initiatives
<p>Situational analysis</p> <p><i>Will provide an overview of the organisational environment</i></p> <ul style="list-style-type: none"> • Any growth and expansion issues • Any known areas of underperformance
<p>Strategic goals and strategies</p> <ul style="list-style-type: none"> • Are there specific challenges and/or commitments? • Examine the goal statements – are there focus areas that are different from the past or current goals? Think about any potential changes over the planning period. • What are the major initiatives envisaged for the Department in the next 3 years? • What are the Department's priorities for the next three years? • What are the anticipated changes in the objectives, priorities, programmes and/or services? • What are the factors driving these changes? • What are the new goals or goals that shift areas of focus? • What are changes to the service delivery model? • Is there introduction of any new area of operation? • Is there reorganisation of any unit or within the Department as a whole? • Is there a planned growth or downsizing? • What are the plans to centralise or decentralise any aspect of the Department's work?
<p>Budget</p> <ul style="list-style-type: none"> • Examine the spending trend and available budget with regard to the medium term focus areas
<p>Risks</p> <ul style="list-style-type: none"> • Reflect on the risks identified per programme • What will enable the mitigation measures to be achieved?

Table 2- Summary of relevant and applicable external factors significant for the HR planning process.

There are different tools available to explore drivers of change in the external environment. The PESTEL tool is suggested in the guidelines, but HR practitioners should feel free to enhance this with whichever tool they are comfortable with. It is vital that when exploring the external environment, the HR planning team focus the discussion only on what is applicable and material to the Department. In other words, focus effort and energy on understanding factors that are directly relevant for the Department.

All factors below are considered in terms of:

- Helping the planning team understand the external environment in which they are operating. It is about creating a context for the HR plan beyond the Department’s strategies.
- The potential impact they may have on the workforce or on HR management practices.
- **NOTE -** Not all factors are necessarily relevant!

Political	Changes in government priorities or policies may result in a Department needing to align to these changes. Be aware of any policies or legislation that affects the Department that are likely to change.
Economic	It is important to track information related to the economy, since this will finally have a bearing on issues such as – whether there is enough money available to plan for training and recruitment. The general state of the local and global economy could be important to consider and may determine the types of interventions designed to address organisational and workforce gaps. If there are general budget restrictions, the emphasis could be on developing skills internally through mentorships and job rotations as opposed to recruitment.
Social	Demographic or cultural changes likely to influence the workforce. These could also be changes in the way people live, work and think.
Technological	Changes in technology almost always indicate the need for new skills and competencies, and therefore suggests the need for awareness of either having to develop the required skills and competencies or find them in the market. Be aware of any e-developments in relation to the public sector that could impact on the Department.
Environmental	Any factors related to the environment that could impact on the Department.
Legislative	Legislative changes likely to directly impact on the Department and the HR plan more specifically. Changes to labour law, skills development legislation should also be monitored.

PHASE I: CONDUCT AN ORGANISATION AND WORKFORCE ANALYSIS

Tools available for this phase

Tool no 4: Questions to Guide Organisation and Workforce Analysis through Data Analysis

Tool no 5: Process to identify key roles and functions (Organisational Development and Change Management)

Tool no 6: Process to determine critical and scarce skills

HR PLANNING TOOL NO 4: QUESTIONS TO GUIDE ORGANISATION AND WORKFORCE ANALYSIS THROUGH DATA ANALYSIS
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Purpose of this tool

- This tool provides a set of questions that can be used to analyse workforce and organisational data.
- This tool aims to highlight the need to gather and analyse qualitative and quantitative data.
- The outputs of this tool will assist the HR planning project team to assess the HR supply in the Department, this information will be considered against the strategic context defined through the use of Tools 1 & 2 and the critical skills defined through the use of Tool 3.

How to use this tool

This tool can be used to facilitate workshop type discussions with line managers and HR practitioners; it can also be adapted and used for interviewing line managers.

Important to note

While there may be gaps in the data and hence some questions might not be answered, it will be important to take stock of the gaps and find a process to address these.

▪ **Organisation Data**

Data dimension	Analysis	Questions for analysis	Additional qualitative data
Occupational classification (Breakdown of occupation groups that make-up each of the programmes)	<ul style="list-style-type: none"> • Analysis of Organizational Structural Issues. • Analysis of Job evaluations conducted. • Post provisioning. 	<ul style="list-style-type: none"> • Breakdown of employees by occupation group to better understand the composition of the workforce, to monitor occupational groups that are critical to the Department and to identify under and over resourcing. • Compare proposed, approved and funded posts across different programmes. What are the observations? • Look at the potential imbalance between proposed and approved and funded posts. • Reflect on the balance between management and employees on lower levels. • Reflect on the balance between administration and line function 	<ul style="list-style-type: none"> • Identify critical skills • Determine what would be regarded as a healthy ratio between administration and line function-as defined in the Directive on changes to the organisational structures by departments • Any potential barriers to effective performance in the Department based on the constraints linked to the approved organisational structure. This can be discussed with managers to gather further data on what the effect on performance is and listing potential barriers. It could also be helpful to rank these from most to least significant using agreed criteria for the ranking.

Data dimension	Analysis	Questions for analysis	Additional qualitative data
Vacancies	<ul style="list-style-type: none"> Analysis of Vacancy rate for the past three years. 	<ul style="list-style-type: none"> Assess employment additional to the establishment, by comparing the vacancy rate against the approved establishment and the vacancy rate of the establishment expressed in terms of the total headcount. Compare vacancies across the programmes - are there any programmes with significant higher vacancies? Compare vacancies across the job levels - are there any job levels that have significant higher vacancies? What is the impact of the vacancies in different programmes? Are there any risks that managers foresee? Cross-reference vacancies- with critical roles- identify all critical roles that might be at risk. Is it possible to examine trends in vacancies, in particular occupations- in the province and nationally? Why are certain occupations or posts difficult to fill? Can these skills be 	<ul style="list-style-type: none"> Does employment additional to establishment impact on the headcount? Is this for exceptions or is there an emerging trend? What is considered a high vacancy? How long have these vacancies existed? Categorise them in terms of 0-6 months, 6-12 months, and 12-18 months and longer than 18 months. Which of these are regarded as risks, what is the link to recruitment initiatives and outcomes? Examine potential risk with managers in relation to management of workloads across programmes, skills loss, and recruitment challenges. What is considered a high vacancy rate for critical roles? Has there been a difficulty in recruiting for any particular occupation(s)? Which occupations have vacancies that have gone unfilled for extended periods of time? Which posts had to be re-advertised?

Data dimension	Analysis	Questions for analysis	Additional qualitative data
		<p>developed in other ways?</p> <ul style="list-style-type: none"> • What is the impact of vacancies on the EE profile? • What opportunities does it offer for acquiring new skills and addressing EE targets? • Is there a link to turnover? 	
Turnover	<ul style="list-style-type: none"> • Analysis of turnover rate for the past three years • Analysis of Staff turnover rate per occupation • Analysis of Turnover analysis by critical occupations • Analysis of Turnover analysis: Transfers and promotions • Analysis of Staff turnover in terms of race and gender classification • Analysis of Staff turnover in terms of disability classification 	<ul style="list-style-type: none"> • Compare turnover across different programmes-are there any programmes with significant higher rates? • Compare turnover across salary levels-are there any salary levels with significant higher turnover rates? • What is the turnover rate? • What are the possible reasons for high levels of turnover? • Any red flags in terms of turnover per occupation, programme, gender and race? • What impact will this have on vacancies if it remains at similar levels? • What impact will this have on the EE profile? • What opportunities does it offer for acquiring new skills and addressing EE 	<ul style="list-style-type: none"> • What is considered as an acceptable turnover rate?

Data dimension	Analysis	Questions for analysis	Additional qualitative data
		targets? <ul style="list-style-type: none"> • What needs to be done to reduce turnover? 	
Gender Race People with disabilities	<ul style="list-style-type: none"> • Analysis of Workforce equity profile • Employee Equity targets • People with disabilities 	<ul style="list-style-type: none"> • Review gender, ratios across programmes • Review gender, race and people with disability ratios across job levels • Trends compared to previous financial year, other departments in the province and nationally where available • Trends compared to previous financial year, other departments in the province and nationally 	<ul style="list-style-type: none"> • What are the mismatches between the emerging priorities and make-up of the workforce? • What is the progress towards EE targets? • Are there any red flags in relation to the achievement of EE targets? • Cross-reference with vacancies, and pending retirements for opportunities to address targets • Have there been previous interventions to address challenges? • How successful have these been?
Age	<ul style="list-style-type: none"> • Analysis of Human resources age profile per programme • Analysis of Human resources profile by age and salary levels • Analysis of Number of anticipated retirements 	<ul style="list-style-type: none"> • What is the age profile of employees? • Categorise age groups and average age across the Department • Who will retire over what timeframe? • Current and projected retirements in relation to key occupations (mission critical occupations). • Discussion with programme managers on the risks or potential 	<ul style="list-style-type: none"> • Examine the culture of the Department considering the age categories

Data dimension	Analysis	Questions for analysis	Additional qualitative data
Qualification and skills	<ul style="list-style-type: none"> • Analysis of Competency review • Critical skills • Scarce skills • NQF level of qualifications • Number of employees without qualifications • Field of study • Training and development analysis 	<p style="text-align: center;">risks per programme</p> <ul style="list-style-type: none"> • Debate the need to develop or “buy” skills required. • Is there a shortage in the market? • Is there a need for specialised skills? 	<ul style="list-style-type: none"> • There is a difference between competency and Competence • Competency relates to the combination of knowledge, skills, behaviour and aptitude that a person can apply in the work environment, which indicates a person’s ability to meet the requirements of a specific post; • The required qualification profile of employees to deliver the strategy • New skills required in any programme, occupation group, post level
Employment type	<ul style="list-style-type: none"> • Analysis of Employment types • Analysis of Problems/Issues pertaining to employment types • Analysis of Human resources age profile per programme • Analysis of number of persons newly employed for the past three years • Analysis of number of interns per functional area • Analysis of number of interns recruited • Analysis of number of learners per 	<ul style="list-style-type: none"> • Compare employment types across programmes 	<ul style="list-style-type: none"> • Employment type

Data dimension	Analysis	Questions for analysis	Additional qualitative data
	<p>learnership programme</p> <ul style="list-style-type: none"> • Analysis of number of learners (external) recruited • Analysis of number of anticipated retirements • Analysis of Non-retiring employees with contract end date in next three years • Analysis of number of terminations per action type per salary level • Analysis of number of terminations per action type for the past three years • Analysis of Occupation with the highest number of terminations • Analysis of Reasons for terminations 		

HR PLANNING TOOL NO 5: PROCESS TO IDENTIFY KEY ROLES AND FUNCTIONS (ORGANISATIONAL DEVELOPMENT AND CHANGE MANAGEMENT)

The purpose of this tool is to assist or guide departments on the management of organizational change for the purposes of HR Planning. Departments will be guided on how to reflect on the organisational structure and to provide for a comprehensive analysis of the approved funded organisational structure of the Department and its impact (both positive and negative) on overall service delivery. The alignment of strategy and structure determines how well a department executes its strategy which impacts on service delivery. Any changes to the human resources needs within the Department, should be led by the strategic plan and the goals for the Department – not the other way around.

The structure must support the strategy and ensure sustainable improvement, efficiency and quality services within the MTEF budget allocations. Given the Public Service environment, an incremental approach might be more suitable for the refinement of the organisational structure. This process requires departments to make quantitative and qualitative analysis to determine which positions are needed to ensure service delivery is achieved. It requires certain choices and decisions on how a department plans to make some changes within the available funding as well as looking at critical positions. There is no perfect choice. It is informed by many factors (Please note ideally it's better to make sure that your demand is not far from the MTEF allocation as one needs to consider the possibilities of not receiving additional funding.)

In order to have a proper understanding of the Department, there are certain sets of minimum information required to support the analysis of the structure;

- A SWOT analysis (identification of strengths, weaknesses, opportunities and threats) which requires defining opportunities based on a possible future scenario.
- Identification of demand and supply gaps
- Identification of critical posts.
- Departments to determine where the changes should be made to minimize impact on service delivery.
- Developing scenarios of the future in terms of which posts can be filled against the demand (Prioritisation must be done based on available funding and critical positions).
- Long-term assessment of the impact of the proposed changes and how the changes are likely to have an impact on service delivery.

In order to conduct organisational assessment the following is required:

- Assessment of the approved structure
- Assessment of the alignment of the structure to strategy
- Assessment of availability of funding against the approved structure
- Identification of core functions and occupations linked to the core functions
- The CORE and other Systems of Remuneration should be fully understood during the analysis of the structure
- The Public Service Occupational Classification System should be fully understood and appropriately used in the analysis of the structure
- Analysis of vacancy trends

- Analysis of recruitment trends – filling of positions
- Analysis of job descriptions and occupational profiles
- Job Evaluation must be conducted against identified posts

POST DEMAND AND POST SUPPLY

This requires forecasting the current and future staffing needs in relation to Departmental strategic objectives and documenting it with Organizational Structure Management Plan as per Annexure B. It requires the identification of future workforce requirements (quantity and quality) needed to maintain the departmental objectives and assessment of availability of resources for the current and future.

Departments are therefore required to determine the post demand. Post Demand refers to the posts that will be required in terms of the different years in the MTEF cycle (new demand plus existing funded posts). This phase is about assessing the future demand requirements by considering future changes that will impact on the Department and workforce.

Departments are also required to determine the post supply. Post Supply refers to the actual number of approved funded posts available or to be filled during the MTEF cycle. This requires an understanding of internal and external potential human resource supplies by analysing retirement patterns, recruitment and replacement patterns skills/competency analysis and turnover.

POST GAPS (SUPPLY AND DEMAND)

Assessment of the approved structure should also focus on identifying potential supply-demand mismatches. Departments are therefore required to determine the post supply and demand gaps. A surplus caused by a number of different factors might suggest that there is a potential for cuts being required. The outcome of the analysis should identify and also be able to illustrate what and where to cut. Supply-demand mismatches can be addressed through temporary or permanent reductions. For example, can we address the potential supply-demand mismatches through temporary reductions or permanent reductions- (abolishment of posts or temporarily freezing posts). The greater the gap between what the Department needs and the current position the greater the change that is necessary.

IMPLEMENTATION OF THE STRUCTURE (Prioritisation)

The human resources (HR) required to meet the Departmental objectives and targets has to be identified through a Staffing Management Plan as per Annexure C. (It must reflect the plan for staffing posts against the organisational structure and how the posts will be filled). The Human Resource Plan must set out Human Resources priorities over the next three years based on the strategic objectives. It must include options and sufficient lead-time to staff positions. The plan must ensure that the Department will have the necessary capacity to achieve strategic objectives, assesses the organizational strengths and weaknesses by establishing different scenarios and changing them based on agreement on what is more critical. Changes to the structure can be influenced by the following:

- funding is available
- no additional funding

Based on available funds Departments will need to make certain choices therefore requiring different scenarios to be developed. The Department will need to decide on how it plans to make some changes within the available funding as well as considering critical positions. There is no perfect choice. It is informed by many factors,

however, an assessment of the impact of those scenarios must be done (Please note ideally it's better to make sure that your demand is not far from the MTEF allocation as one needs to consider the possibilities of not receiving additional funding.)

To enable the Department to reprioritise the post structure within the available funding the Department may then opt to abolish posts (to be reflected under “to be abolished”) to indicate where new posts will be created within the available funding (to be captured under “future additional posts required” as per Annexure B) to then eventually lead to a revised structure for the Department reflecting the changes in posts on the different levels to be captured under “future envisaged structure”.

The future envisaged structure then becomes year 2 supply (or new baseline for year 2) which is influenced by decisions made to abolish posts and to allocate the savings to other priority areas to create new posts within the available funding. To enable the Department to reprioritise the post structure within the available funding, the Department may then opt to utilise savings generated as a result of e.g. attrition to fund some of the new priorities by abolishing some of the newly created vacancies which will then impact on the post supply for the remaining years.

THE PROCESS TO FOLLOW

Step 1: Confirmation of the alignment of the Strategy to the structure based OD directives and guides
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This stage requires doing the following :

- Gather and analyse data and trends
- Conduct discussions with line managers
- Inform all relevant stakeholders on the process to be followed
- Create an environment that promotes quality and accountability
- Assess Departmental Strategy to determine organisational structure requirements
- Identify key workforce implications of changes within the Department

Please refer to Annexure A: Confirmation of the alignment of the Strategy to the structure for assistance with the above process.

Step 2: Determine Future Post demands and Post Supply
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At this stage it's assumed that the strategic direction and external environment scan has been concluded and the assessment of whether the structure supports the Departmental strategy in terms of organisational design principles has been concluded. This stage requires doing the following :

- Forecasting the current and future staffing needs (demand)
- Determining Post Availability (supply)

Please refer to Annexure B: Organizational Structure Management Plan for assistance with the above process.

Step 3 Post Gaps and Prioritising of Posts

At this stage departments will need to identify the gaps between future demand and supply in terms of capacity. This stage requires:

- Identification of gaps in terms of demand and supply
- Development of different scenarios for staffing to be presented based on available funding and considering if no additional funding is available.
- Staffing Management Plan- Decision on which scenario to be implemented through priorities taking into consideration changes that may occur. This should cover:
 - ✓ Short-term priorities
 - ✓ Long term priorities

Please refer to Annexure C: Staffing Management Plan (Prioritisation) for assistance with the above process.

Annexure A: Confirmation of the alignment of the Strategy to the structure

The following guiding questions can assist to confirm alignment of the Strategy and structure

Part 1: Assessment of the Strategy guiding questions

Guiding Questions	Analysis
<ul style="list-style-type: none">• What is the direction and vision of the Department?	
<ul style="list-style-type: none">• Will the Department be providing new services or not providing current services in the future?	
<ul style="list-style-type: none">• What technological advancements may affect service delivery?	
<ul style="list-style-type: none">• What is the intended structure growth in the next 3-5 years?	
<ul style="list-style-type: none">• Is the Department only refining the mission that already exists or has a new mission been developed?	
<ul style="list-style-type: none">• Which external environmental threats and opportunities exist?	
<ul style="list-style-type: none">• Is there a need for Change Management and how will the change be implemented?	

Part 2: Assessment of the Structure Guiding Steps

Guiding Steps	Analysis
<ul style="list-style-type: none"> Assessment of the current organisational structure on whether it reflects current service delivery models and is aligned with the current strategy for the Department. Is the current organisational structure aligned to the strategic objectives and the service delivery model in terms of how the Department will deliver the function? 	
<ul style="list-style-type: none"> Assessment on how business processes are supported or hindered by the current structures. Did the Department conduct the business process mapping to <u>improve</u> understanding of how the process <u>operates</u>, and to determine potential <u>targets</u> for <u>process improvement</u> through removing <u>waste</u> and increasing <u>efficiency</u>. 	
<ul style="list-style-type: none"> Assessment on how the current structure is experienced. Is the current structure still adequate for the Department to achieve its mandate? 	
<ul style="list-style-type: none"> Assessment on whether all posts on the current organisational structure are funded. Is the structure fully funded through the MTEF Projections? 	
<ul style="list-style-type: none"> Assessment on whether work for each functional unit is clearly defined Does the organisational structure reflect clear reporting lines and proper functional location? 	
<ul style="list-style-type: none"> Assessment on whether all job categories are broken down per discipline/department or division Did the Department conduct job analysis to determine roles and proficiency. 	
<ul style="list-style-type: none"> Assessment on whether the number of positions per job category/occupational family are clearly identified 	
<ul style="list-style-type: none"> Assessment on whether the lines of authority and accountability are clearly defined to avoid overlap and duplication 	
<ul style="list-style-type: none"> Assessment of whether the span of control is within required norms. Determine the number of resources required and consider Span of Control. 	
<ul style="list-style-type: none"> Assessment of which positions have been assigned new responsibilities 	
<ul style="list-style-type: none"> Assessment of the overall strengths and weaknesses of the structure 	
<ul style="list-style-type: none"> Assessment of how changes would eliminate or improve on 	

Guiding Steps	Analysis
weaknesses of the current structure	

Annexure B: Organizational Structure Management Plan

SALARY LEVELS	POST DEMAND			POST SUPPLY			POST GAP (-/+)			ABOLISHED			CREATION OF NEW POSTS			SAVINGS FROM ABOLISHED POSTS			COST FOR CREATION OF NEW POSTS			TOTAL EXPENDITURE OVER MTEF FOR CREATED POSTS		
	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	(R0)	(R0)	
Non OSD salary levels																								
Salary level 1																								
Salary level 2																								
Salary level 3																								
Salary level 4																								
Salary level 5																								
Salary level 6																								
Salary level																								
Salary level 8																								
Salary level 9																								

SALARY LEVELS	POST DEMAND			POST SUPPLY			POST GAP (-/+)			ABOLISHED			CREATION OF NEW POSTS			SAVINGS FROM ABOLISHED POSTS			COST FOR CREATION OF NEW POSTS			TOTAL EXPENDITURE OVER MTEF FOR CREATED POSTS				
	(What you need in terms of number of posts to be funded over MTEF)									(What you have in terms of approved funded posts)									(R0)						(R0)	
	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3	Y 1	Y 2	Y 3					
OSD occupations (list levels applicable in Department) - i.e. Nursing OSD, Legal OSD etc.																										
e.g. Professional Nurse Grade1,2 and 3																										

Analysis

ELEMENTS TO CONSIDER	IMPLICATIONS
Post demand	
Post supply	
Post gaps identified	
Creation of posts	
Abolished posts	
Savings from abolished posts	
Cost of creation of new posts	

Annexure C: Staffing Management Plan (Prioritisation)

Part 1: Guiding steps which will support development of the Staffing Management Plan

Guiding steps	Analysis
<ul style="list-style-type: none"> Identify critical posts 	
<ul style="list-style-type: none"> Assess funding against the critical posts 	
<ul style="list-style-type: none"> Develop Scenarios against demand and supply 	
<ul style="list-style-type: none"> Assess the impact of those scenarios on service delivery 	
<ul style="list-style-type: none"> Assess whether available funding is supporting the scenarios 	
<ul style="list-style-type: none"> Decide on the best scenarios based on the demand and supply and develop a Staffing Management Plan reflecting priorities 	

Part 2: Staffing Management Plan

Programme 1	Salary Level (OSD and Non OSD)	Total Number of Posts on the approved establishment	Number of Posts Filled(currenly)	Number of Posts Vacant	Number of Posts to be filled per MTEF		
					Y1	Y2	Y3
Total							
Programme 2	Salary Level (OSD and Non OSD)	Total Number of posts on approved establishment	Post Filled	Post Vacant	Number of Post to be filled		
					Y1	Y2	Y3
Total							
Programme 3	Salary Level (OSD and Non OSD)	Total Number of posts on approved establishment	Post Filled	Post Vacant	Number Post to be filled		
					Y1	Y2	Y3

HR PLANNING TOOL NO 6: PROCESS TO DETERMINE SCARCE AND CRITICAL SKILLS

Purpose of this tool

- The purpose of the tool is to assist departments in terms of the process to follow in the identification of scarce and critical skills which are needed and are important in the achievement of departmental goals. The tool must be viewed as an instrument which aims to assist departments to improve HR Planning by identifying gaps in relation to scarce and critical skills.
- This tool provides guidance on a process and key discussion points that the HR planning project team can use to determine critical and scarce skills in the context of the Department and its priorities. The tool looks into the utilisation and development of the workforce which focus on the knowledge, skills and competencies required in order to achieve departmental objectives. It requires an understanding of the size and changing nature of the competency gaps within the department per occupational categories in relation to scarce skills and critical occupations, as well as the management of performance.
- The tool focuses on occupational analysis and aims to assist departments to assess the gaps for affected occupational groups. Occupational analysis should identify how and which occupational discrepancies or gaps exist. It also examines gaps in terms of critical skills sets within occupations. Critical skills analysis requires assessing gaps in terms of the competencies, knowledge, and abilities required within an occupation identified as priority for the MTEF cycle and beyond. This is critical in building effective and focused interventions and the tool will help direct resources to areas of demand by assessment of the available supply. Therefore:
 - The tool provides guidance on a process and key discussion points that the HR Planning project team can use to determine scarce and critical skills in the context of the Department and its priorities.
 - The output of this tool may influence how employee and organisational data is analysed, as there may be a need to focus on the scarce and critical skills within priority occupations in relation to the gap between supply and demand.
 - The output of this tool will form part of the discussion when identifying HR priorities and interventions within the HR Planning methodology.

Definitions

Term	Description
Scarce Skills	<p>Refer to those occupations in which there is a scarcity of qualified and experienced people, currently or anticipated in the future, either (a) because such skilled people are not available or (b) they are available but do not meet employment criteria. This scarcity can arise from one or a combination of the following, grouped as relative or absolute:</p> <p>a) Absolute scarcity: suitably skilled people are not available, for example:</p> <ul style="list-style-type: none"> • A new or emerging occupation, i.e. there are few, if any, people in the country with the requisite skills (qualification and experience) and education and training providers have yet to develop learning programmes to meet the skills requirements. • Organisations, sectors and even the country are unable to implement planned growth strategies and experiencing productivity, service delivery and quality problems directly attributable to a lack of skilled people. • Replacement demand would reflect an absolute scarcity where there are no people enrolled or engaged in the process of acquiring the skills that need to be replaced. <p>b) Relative scarcity: suitably skilled people available but do not meet other employment criteria, for example:</p> <ul style="list-style-type: none"> • Geographical locations, i.e. people are unwilling to work outside of urban areas. • Equity considerations, i.e. there are few, if any, candidates with the requisite skills (qualifications and experience) from specific groups available to meet the skills requirements of employers. • Replacement demand would reflect a relative scarcity if there are people in education and training (formal and work-place) who are in the process of acquiring the necessary skills (qualification and experience) but where the lead time will mean that they are not available in the short term to meet replacement demand.
Skills	<p>Defined as “the necessary competencies that can be expertly applied in a particular context for a defined purpose” can either be linked to an occupation (skills shortage) or a gap in the skills profile within an occupation, i.e. a “top-up skills” requirement.</p>
Critical Skills	<p>Refers to specific key or generic and “top up” skills within an occupation.</p>
Occupation	<p>Refers to a set of jobs or specialisations whose main tasks are characterised by such a high degree of similarity that they can be grouped together for the purposes of classification.</p>

Requirements for the use of the tool

The tool requires departments to do an assessment of resources needed to fulfil departmental goals, improve productivity, and provide quality services. It requires an understanding of where the skill gaps exist and will assist departments to plan, operate, develop and respond to their skills requirements, resource allocation, prioritisation, human resource development initiatives and recruitment strategies. The following is required in order to utilise the tool:

- The Public Service Occupational Classification System (OCS) must be utilised.
- Positions identified must be mapped/linked to an occupation within the OCS.
- Positions identified must be approved as per the Departmental Organizational Structure.
- Job descriptions must be in place.
- Occupational Job profiles reflecting competencies, skills and knowledge must be available.
- Job analysis and job evaluation must have been done for the affected positions.
- Vacancy analysis must be done against the positions.
- Labour force analysis must be conducted in order to understand National and Provincial skills gaps.

How to use this tool

- Use the tool to structure the discussion and engagement amongst HR practitioners and line managers

Important to note

- It is important to acknowledge that while the Department has critical occupations that are pivotal to its success, some are more vital than others at a given time in relation to the current internal and external context. Resolving your Department's supply concerns begins with determining its key critical/priority occupations. Only then can you have confidence that your HR interventions (whether that means your recruitment, your development programmes or equity plans) will have the intended results.

The Process to follow

In this task you will assess jobs regarded as critical against an agreed set of criteria as a reference point, in order to reach agreement on a set of critical skills and the identification of scarce skills. The roles regarded as critical will influence how some segments of the data is analysed and interpreted, since these roles impact significantly on the Department's mandate or the Programme objectives.

Step 1
Set a context
<ul style="list-style-type: none">• Conduct discussions• Create an environment that promotes quality and accountability• Prepare a list of the strategic priority objectives of the Department• Describe desired outcomes that will contribute to mission objectives• Prepare a list of service requirements• Summarise key anticipated changes• Identify key workforce implications of changes within the Department
Step 2
Facilitate a discussion to determine Critical Skills
<ul style="list-style-type: none">• Confirm an acceptable list of criteria that best reflect what the Department would define as critical skills gaps within priority occupations. The criteria can be based on the following:<ul style="list-style-type: none">• Across the different programmes, identify key roles/functions that may be affected by the changes and/or play a significant role in achieving the strategic goals.• What specific occupational groups and/ positions may be affected?• Identify priority occupations for the MTEF cycle. For example each Branch can come up with a list of five priority occupations.• Identify skill sets or competencies required /needed within the priority occupations.• What changes do you foresee in the skill sets or competencies required to perform effectively within the identified occupations?• Skills assessment must be conducted to establish availability of such skills within identified occupations and critical behaviours needed within an occupation to achieve desired outcomes• Define required drivers essential to sustain the critical skills• Describe how the critical skills will be monitored and assessed after implementation of the improvement/action plan• Determine best training and development approach(es).• Assess cost/benefit of training and development approach(es).

Step3

Agree on a list of Critical Skills based on priority occupations in relation to the MTEF cycle priorities

- Develop assessment criteria and ask managers/ committee members to individually respond to the criteria for each of the identified positions.
- The Committee will need to review data in order to select critical skills gaps. Select the skills gaps based on a rating scale:
 - Higher ratings- indicate the skills is not available and is urgently needed
 - Medium ratings– indicate the skill is not available however, for the MTEF cycle it's not urgently needed
 - Lower ratings– indicate the skills is available
- Evaluate results and provide an aggregation
- Provide feedback on the results and facilitate a discussion to reach agreement on a final list. The final list can be documented as per Annexure B.

Step 4

Facilitate Discussions to identify Scarce Skills

- Confirm an acceptable list of criteria that best reflects what the Department would define as scarce skills. The criteria can be based on HR Planning Tool 6, which covers some of the issues highlighted below:
 - Positions that cannot be filled quickly
 - If positions are left vacant, it would cause serious difficulties
 - If positions are left vacant service delivery will be negatively impacted
- Determine and clarify why certain occupations should be regarded as scarce skills

Step 5

Agree on a final list of Scarce Skills

Ask managers to individually respond to the criteria for each of the identified positions. Collate totals for each job against the agreed criteria. Review data to select skills gaps based on:

- Higher ratings- indicate the skills is not available and is urgently needed
- Medium ratings– indicate the skill is not available however, for the MTEF cycle it's not urgently needed
- Lower ratings– Indicate the skills is not scarce
- Share the results and facilitate a discussion to reach agreement on a final list. The final list can be documented as per **Annexure C**

Annexure A: HR PLANNING TOOL NO 6: PROCESS TO DETERMINE SCARCE AND CRITICAL SKILLS

Examples of criteria to determine whether posts/functions are regarded as critical	Strongly agree	Agree	Disagree	Strongly disagree
If this position was left vacant, it would cause serious difficulties in achieving operational and strategic goals of the Department or the Programme				
If this position was left vacant, it would cause serious difficulties in meeting legislative or regulatory requirements.				
If this position was left vacant, it would be detrimental to the health, safety or security of the public/employees.				
If this position was left vacant service delivery will be negatively impacted				
The skills & competencies required to perform in this position are highly sought after in the labour market.				
This position would be difficult to fill because it requires specialized expertise and experience that is not readily available to the Public Service				
This position would be difficult to fill because of remuneration				
This position would be difficult to fill because of its location				
There is no capacity of existing staff who can fill vacancies as they arise				
If we do not address the issue of a feeder pool in the next 12-24 months there will be a negative impact on the Department or Programme				

ANNEXURE B: HR PLANNING TOOL NO 6: PROCESS TO DETERMINE SCARCE AND CRITICAL SKILLS

Table Competency requirements for critical skills

Critical Occupations Defined at Unit Group	Identified skills sets per critical occupation	Total Number of employees in the occupation	Availability of skills sets		Recommended Interventions
			Current Number of employee (available)	Future number of employees needed)	
E.g. Engineering Professionals- Chemical engineers	E. g Resource management skills.				

Analysis in terms of:

- Challenges
- Implications
- Risks

Recommended interventions/Strategies

ANNEXURE C: HR PLANNING TOOL 6: PROCESS TO DETERMINE SCARCE AND CRITICAL SKILLS

Table Competency Review for Scare skills

Scarce Skills Defined at Unit Group	Specialisation within the Occupation	Total Number of employees in the occupation	Availability of specialised skills area		Recommended Interventions
			Current Number of employee (available)	Future numbers of employee (needed)	
E.g. Teacher	E. g Mathematics Teacher				

Analysis in terms of:

- Challenges
- Implications
- Risks

Recommended interventions/Strategies

PHASE II: IDENTIFY GAPS IN SUPPLY AND DEMAND AND PRIORITISE HR ISSUES

Tools available for this phase

Tool no 7: Process to identify the gap between future workforce required and current workforce

HR PLANNING TOOL NO 7: PROCESS TO IDENTIFY THE GAP BETWEEN FUTURE WORKFORCE REQUIRED AND CURRENT WORKFORCE

Purpose of this tool

- The purpose of this tool is to provide guidance in terms of a process that can be used by departments in identifying and summarising gaps between current and future workforce requirements. Active participation of key stakeholders in this process is a key to successful gap analysis as well as enabling successful implementation. Key stakeholders are managers from different programmes and HR practitioners from all the HR components.
- This requires HR Planning teams to analyse and identify gaps between the future workforce and organisation demand and the current workforce supply within the context of the department's needs and external environment in which it operates. An HR gap analysis allows for the identification of HR issues facing the Department where capacity for delivery is either lacking or under-resourced. The gap analysis is an opportunity to engage stakeholders and experts in specific HR areas within the HR planning process.
- Gaps are defined as a **shortage or deficiency**, occurring when there are imbalances between supply and demand. Supply involves an understanding of internal and external potential human resource supplies by analysing retirement patterns, recruitment and replacement patterns, skills/competency analysis and turnover while demand identifies the future workforce requirements (quantity and quality) needed to sustain the Departmental objectives. Shortages occur whereby the supply of skills, competencies and employees (in number or profile) are less than the forecasted demand.
- **Surplus** occurs where there is an abundance in supply of certain skills, competencies and employees compared to what is needed. Gaps and surpluses should be defined in terms of both quantitative as well as qualitative measures. Quantitative measures include - gaps in current skills sets needed to meet demand, or gaps in terms of the profile of the workforce to meet the required profile demand. Qualitative measures can include the type of competencies required and strategic alignment. In addition gaps in organisation design, policies, performance management and leadership should also be considered.
- This exercise is conducted to obtain information on the departmental capacity and capability to achieve its mandate currently and in future. The tool must be viewed as an instrument which aims to assist departments to improve HR Planning by assisting departments to:
 - Identify and analyse the gaps between current and future workforce requirements.
 - Identify and analyse the skills and capabilities required for the MTEF period.
 - Identify and analyse the gaps qualitatively looking at job profiles, skills, capabilities and knowledge requirements.
 - Analyse and identify trends of each gap identified for the workforce in the long and short term.

- Analyse and identify gaps quantitatively looking at the difference in numbers between current and future capacity.
 - Critically analyse the consequences of the gaps identified.
 - Analyse the gaps between the Department's practices and best practices.
 - Identify risks, focusing on compliance, as well as performance
 - Analyse and identify trends of organizational culture.
 - Analyse the barriers that need to be addressed before successful implementation of best practices.
- Departments should understand that one cannot utilise this tool before completing the other HR planning processes/stages. Information from the previous stages of the HR Planning methodology such as strategic direction, environmental scan and workforce analysis will need to be considered during this process of identifying gaps. The output of this tool will form part of the discussions when identifying HR priorities and interventions in terms the HR Planning methodology.

Definitions

Term	Description
Workforce capacity:	<ul style="list-style-type: none"> • Refers to the capacity of the workforce to deliver at the requisite standard in terms of both the volume of the work and the complexity, for instance the absolute numbers of staff available with the necessary skill sets (including their level of the skills) and other elements such as levels of absenteeism.
Workforce demand	<ul style="list-style-type: none"> • Refers to workforce capability, workforce capacity and the alignment of the workforce to the functional business delivery of the organisation (structure).
Workforce Supply	<ul style="list-style-type: none"> • Refers to skills, capabilities and numbers.
Qualitative:	<ul style="list-style-type: none"> • Refers to involving or relating to distinctions based on quality or qualities. Distinguished by a description in words rather than in numbers.
Quantitative:	<ul style="list-style-type: none"> • Refers to expressible quantity or relating to, or subject to measurement. Distinguished by use of numbers rather than words.

Important to note

A magnitude of data and information has been generated through the first three phases of the HR planning process and this information provides the basis of the gap analysis. Note that gaps and surpluses should be defined in terms of both quantitative as well as qualitative measures. Departments should note that it is important to be specific in relation to identified gaps and not to make general statements. The gaps should be clearly articulated as this will assist in the identification of relevant interventions. This is critical in building effective and focused interventions, as well as directing resources to areas of demand. The tool provides guidance on a process and key discussion points that the HR Planning project team can use to identify gaps in the context of the following:

- **Skills gaps:** Analysis of the demand and supply of skills should identify how and which discrepancies or gaps exist in the workplace.

- **Organisational Gaps:** Analysis should also examine the gaps in terms of the organisational structure looking at the trends which have influenced the achievement or non-achievement of organisational strategic needs.
- **Employee Health and Wellness Gaps:** Comprehensive analysis of the health and wellness programmes and its impact (both positive and negative) overall on the Department's service delivery.
- **HR Administration Services Gaps:** An analysis of staffing requirements looking at staffing levels in the target occupations, current vacancies as well as attrition (turnover). The gap analysis can show a need to fill a particular number of vacancies as a result from attrition e.g. retirements or a need to fill positions based on additional positions that will become available with the new budget allocation. An analysis of to what extent the programmes, policies and practices are meeting the needs of employees or business and as well as comparing the best practices with the processes currently in place in other departments.
- **Labour Relations Gaps:** An analysis to understand the impact of well managed employee relations and people management in achieving the departmental goals.
- **HR Strategy, Planning and Information Gaps:** An analysis of the staffing requirements looking at its staffing levels, recruitment patterns, appointments, retirements focusing on shortages and surpluses.

How to use this tool

- Use the tool to structure the discussion and engagement amongst HR practitioners.
- It is highly recommended that the manager responsible for Strategic Planning be invited to participate in this workshop. He/ She can also be asked to do a presentation.
- You can also invite managers from core functions to be part of the workshop.

Step 1:

Qualitative gap analysis

This step requires departments to gather and analyse data; employee and organisational data in order to identify qualitative workforce gaps. Please identify and analyse the impact of each gap to understand the significance (risk analysis). The following can be considered:

- Trends of employee health and wellness issues that exist in the Department.
- Identify and analyse the competency/skill gaps that exist in the workforce.
- Analyse labour relations variances and trends that exist in the Department.
- Analyse the HR policy related inconsistencies that exist in the Department.
- Analyse the performance management imbalances and trends that exist in the Department.
- Analyse the inconsistencies related to the organisational structure that exist in Department (E.g. non approval of the organisational structure).
- Analyse issues and trends related to leave management that exist in the Department. **Please refer to Annexure A for assistance with the above process. Please identify the impact of each gap to understand the significance. Please refer to Annexure B for assistance with the process.**

Step 2:**Quantitative gap analysis**

This step requires departments to analyse data and to identify quantitative workforce gaps. Quantitative gaps should be quantified e.g. a shortfall of 5% of females at SMS level. Please consider the issues listed below:

- The number of employees needed at present and in the future, as well as where they will be utilised.
- The number of gaps in the external environment in terms of demand/supply and competition
- The number of occupational gaps that exist? The competency gaps of the employees per occupational category as defined in terms of the Occupational Classification System.
- The number of critical and scarce skill occupations gaps identified against what is required.
- The number of demographical gaps and trends that exist.
- Areas of under-representation in the various occupational categories and salary levels in the Department in terms of race, gender and people with disabilities.
- The number of recruitment gaps that exist in the Department? (permanent and contract workers)
- The gaps and trends in relation to turnover and employee retention rate in the Department.
- The number of job family, job function, job role, skill and capability shortages and surpluses currently exist in your organisation.

Please refer to Annexure A for assistance with the above process. Please identify the impact of each gap, to understand the significance (risk analysis). Please refer to Annexure B for assistance with the process.

Step 3:**Summarise all the Gaps**

Summarise and present:

- Key aspects from the future required workforce.
- Key aspects regarding the current situation regarding the workforce.
- Confirm the categories to be used for the gap analysis:

The step requires departments to summarise all quantitative and qualitative gaps identified throughout the HR planning process. The Department needs to make sure that the gaps identified throughout the planning process are summarized under this step. Therefore, you can have a long list of gaps which needs to be prioritised during the prioritisation stage. The following steps are suggested in this regard:

- Confirm and agree on gaps to be addressed.
- Document all the gaps to be addressed.
- Consult line management regarding the gaps to be addressed.

Please utilise Annexure B to summarise the identified issues

ANNEXURE B: HR PLANNING TOOL NO 7: PROCESS TO IDENTIFY THE GAP BETWEEN FUTURE WORKFORCE REQUIRED AND CURRENT WORKFORCE.

Functional Area	GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(INDICATE WHETHER QUALITATIVE AND /OR QUANTITATIVE GAP)</i>	BASELINE GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(PROVIDE SPECIFIC NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS. (PREVIOUS CYCLE IF AVAILABLE))</i>	PLANNED IMPROVEMENTS IDENTIFIED FOR THE MTEF CYCLE <i>(PROVIDE SPECIFIC TARGETS) NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS</i>	COMMENTS
Organisational Development and Change Management <ul style="list-style-type: none"> • Salary levels • Occupations • Job profiles • Job descriptions • Job evaluation • Funded and /unfunded post 	MEASUREMENTS FROM HR SELF ASSESSMENT: <ul style="list-style-type: none"> • % of posts on the establishment that have been evaluated in the past 12 months • % of evaluation results that were deviated from by the competent authority in the past 12 months • Ratio of posts in the human resource component: department's total post establishment • Average turnaround time to complete a job evaluation during the past 12 months ADDITIONAL MEASUREMENTS: <ul style="list-style-type: none"> • Number of posts with updated job descriptions against total number of posts • Average Span of control per unit • number of employees per Manager 	Previous Gaps:	Current Target :	

Functional Area	GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(INDICATE WHETHER QUALITATIVE AND /OR QUANTITATIVE GAP)</i>	BASELINE GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(PROVIDE SPECIFIC NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS. (PREVIOUS CYCLE IF AVAILABLE)</i>	PLANNED IMPROVEMENTS IDENTIFIED FOR THE MTEF CYCLE <i>(PROVIDE SPECIFIC TARGETS) NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS</i>	COMMENTS
HR Administration Services) <ul style="list-style-type: none"> • Vacancy rate • Turnover and Stability • Exits • Recruitment and Appointments • Policies and procedure in place • HR need by Occupations • HR need by salary level • HR need by age distribution • HR need by skill • HR need by qualifications 	MEASUREMENTS FROM HR SELF ASSESSMENT <ul style="list-style-type: none"> • Vacancy rate • Average turnaround time to fill vacancies • Annual turnover rate of staff in the department • Average direct recruitment cost per employee during the past 12 months ADDITIONAL MEASUREMENTS: <ul style="list-style-type: none"> • Ratio of number of posts filled through the appointment of employees from outside the Public Service • Average length of service • Average years of experience in critical occupations/positions • Retention rate in critical occupations /positions • Resignations by length of service • Average Turnover of employees in key occupations / positions 	Previous Gaps:	Current Target :	

Functional Area	GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(INDICATE WHETHER QUALITATIVE AND /OR QUANTITATIVE GAP)</i>	BASELINE GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(PROVIDE SPECIFIC NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS. (PREVIOUS CYCLE IF AVAILABLE))</i>	PLANNED IMPROVEMENTS IDENTIFIED FOR THE MTEF CYCLE <i>(PROVIDE SPECIFIC TARGETS) NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS</i>	COMMENTS
HR Utilization and Development <ul style="list-style-type: none"> • Human Resource Development • Both internal and external sources that can be used in future as potential pool for replacements) • Performance Management and Development 	MEASUREMENTS FROM HR SELF ASSESSMENT <ul style="list-style-type: none"> • Average training cost per employee during the past 12 months • Number of days' training provided during the past 12 months in accordance with the departmental workplace skills plan • Number of days' training provided during the past 12 months that was not in line with the departmental workplace skills plan • % of Employees who signed PAs within the prescribed timeframes • % of performance assessments completed within the timeframes determined by the departmental performance management system • % of the outcomes of performance assessments 	Previous Gaps:	Current Target :	

Functional Area	GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(INDICATE WHETHER QUALITATIVE AND /OR QUANTITATIVE GAP)</i>	BASELINE GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(PROVIDE SPECIFIC NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS. (PREVIOUS CYCLE IF AVAILABLE)</i>	PLANNED IMPROVEMENTS IDENTIFIED FOR THE MTEF CYCLE <i>(PROVIDE SPECIFIC TARGETS) NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS</i>	COMMENTS
	<p>implemented by the specified due date</p> <ul style="list-style-type: none"> • % of performance assessments completed within the timeframes determined by the departmental performance management system • % of employees who formally disagreed with their assessment results for the past cycle <p>ADDITIONAL MEASUREMENTS</p> <ul style="list-style-type: none"> • Percentage of employees receiving training aligned to scarce and critical skills • Average Performance Rating for sms levels • Number of employees at SMS level with poor performance ratings 			
Human Resource	MEASUREMENTS	Previous Gaps:	Current Target :	

Functional Area	GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(INDICATE WHETHER QUALITATIVE AND /OR QUANTITATIVE GAP)</i>	BASELINE GAPS /AREA IDENTIFIED FOR IMPROVEMENT <i>(PROVIDE SPECIFIC NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS. (PREVIOUS CYCLE IF AVAILABLE))</i>	PLANNED IMPROVEMENTS IDENTIFIED FOR THE MTEF CYCLE <i>(PROVIDE SPECIFIC TARGETS) NUMBERS OR PERCENTAGES FOR QUANTITATIVE GAPS</i>	COMMENTS
Planning, Data and Information Systems <ul style="list-style-type: none"> • Profile by race, gender and age • Disability Profile • HR data and information systems • HR Planning and implementation • Diversity management 	FROM HR SELF ASSESSMENT <ul style="list-style-type: none"> • % deviation from the Department’s employment equity target for blacks during the past 12 months • % deviation from the Department’s employment equity target for women on SMS level during the past 12 months • % deviation from the Department’s employment equity target for persons with disabilities during the past 12 months ADDITIONAL MEASUREMENTS <ul style="list-style-type: none"> • Average age of people in SMS positions • Gender staffing breakdown • Ratio of men to women in SMS positions • Number of grievances raised relating to diversity issues 			

Step 3:

Discuss and agree

Confirm and agree gaps to be addressed.

PHASE: PRIORITISE HR GAPS

Tools available for this phase

Tool no 8: Process to Prioritise Gaps Identified

HR PLANNING TOOL NO 8: PROCESS TO PRIORITISE HR GAPS IDENTIFIED
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Purpose of this tool

- This tool outlines a possible process that can be used to identify and determine HR priorities on the basis of the strategic focus of the HR function, the available budget and capacity to implement. Based on the priorities, departments will then be expected to develop implementation plans. The overall aim of this tool is to support departments in obtaining common information they need in order to develop practical action-oriented interventions. The tool will enable departments to identify the specific workforce interventions or gap-closing strategies to facilitate implementation in order to achieve its strategic objectives.
- The HR Planning methodology requires departments to develop, implement and evaluate interventions as part of improvements. The implementation plan has to address key workforce challenges for the three to five-year period spanning the MTEF cycle. Implementation will be on an annual basis covering the different financial years from the beginning of a financial year to the end of the financial year. Implementation of the set interventions will require departments to develop targets which will be spread over three to five years. Therefore, it's critical that departments understand the gaps that need to be prioritized as all gaps cannot be implemented within the first year of implementation.
- Departments will have to review implementation yearly due to issues such as capacity, budget and/ or change in strategies. The outcomes should be continuously monitored and evaluated to determine progress in addressing the identified priorities. Consequently, the efficiency of the interventions will be monitored on an annual basis while the assessment of the effectiveness of interventions will have to be done towards the end of the last year of the HR Plan which will require departments to develop an overall implementation report.

How to use this tool

- Use the tool to structure the discussion and engagement of the HR Planning project team. Based on the project team's understanding of the Department's goals, environmental scan, workforce analysis and information from the gap analysis process, the project team is in a position of prioritizing the gaps. Active participation of key stakeholders in this process is a key to successful understanding of gaps identified, as well as enabling a successful gap prioritization and implementation process. Key stakeholders are managers from different programmes and HR practitioners from all the HR components. Management should be the driving force behind achieving and improving outcomes. The impact on the Department of addressing or not addressing the gaps identified will differ. Therefore all gaps do not necessarily have the same level of significance. Furthermore, constraints like time, budget and capacity means that not all gaps can be addressed. It is therefore helpful to have some discussion with key stakeholders to determine priorities in terms of gaps.

Process steps to be followed

Step 1 Prioritisation of gaps identified

The Department must use data obtained from the gap analysis stage to determine a list of priority interventions.

- Resourcing interventions /Recruitment strategies must address the number of people required to meet organisational needs e.g. reduce the number of vacancies
- Training and development strategies must address the skills and behaviour required to support the achievement of organisational strategies and should be designed to improve aspects of business performance e.g. to create a pool of prospective replacements.
- Organizational Development – Reorganization Strategies must address span of control, efficiency, relevancy of the structure, the number of vacancies that needs to be filled.
- Retention strategies must ensure that key employees stay within the Department and that wasteful and expensive levels of employee turnover are reduced.
- Knowledge management strategies must address the creation, capturing and sharing of knowledge to improve organisational learning and performance.
- Performance, attitude and behaviour standard setting strategies must create a culture in which the best employees are also the ones that are recognised and rewarded.

There is a need for the Committee to facilitate a discussion and make recommendations on which gaps are most urgent to close, and where the Department will realise the biggest impact with the available resources. All interventions must be linked to problems/gaps identified and focus should be on:

- What will work best in closing the gaps? This requires an understanding of the problems/gaps.
- Justifying the need for an intervention by assessing why and how the intervention will be implemented. This means specifying three components: (1) who the intervention is intended to target; (2) the problem/gap; and (3) the cost and resources needed.
- The strategies developed must:
 - Be based on detailed analysis and not just assumptions.
 - Be turned into actionable programmes
 - Be coherent and integrated, being composed of components that fit with and support each other;
 - Take into account the needs of employees and the other stakeholders' needs.
- What are the implications for employees, management and organisation? Identify obstacles to success in the implementation and Recommendations /or steps to overcome obstacles.
- Categorise & Prioritise gaps. Please refer to Annexure A: Part 1

Please refer to Annexure A: part 2 for documentation of priority strategic interventions.

ANNEXURE A: HR PLANNING TOOL NO 8: PROCESS TO PRIORITISE HR GAPS IDENTIFIED

Part 1

- **Select and agree on criteria**

Choose two broad criteria that are currently most relevant to the Department (e.g. 'importance/urgency,' 'cost/impact,' 'need/feasibility,' etc.). The gaps identified will be evaluated against how well this set of criteria is met. The example grid below uses 'Risk if not addressed' and 'Importance to strategic objectives' as the criteria.

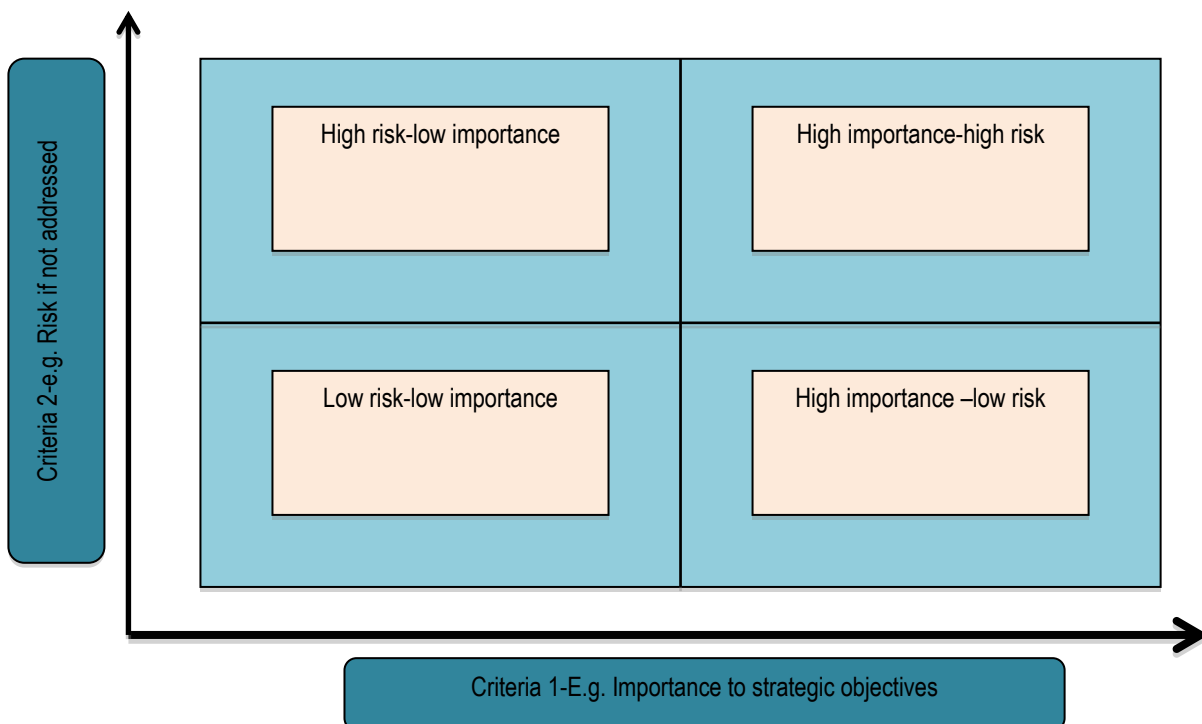
- **Create a grid**

Set up a grid with four quadrants and assign one broad criteria to each axis. Create arrows on the axes to indicate 'high' or 'low'.

Label quadrants – Based on the axes, label each quadrant as either 'High Risk/High Importance,' 'High Importance/Low Risk,' 'Low Importance/High Risk,' 'Low Risk/Low importance.'

- **Categorise & Prioritise**

On the basis of the discussion place identified gaps in the appropriate quadrant based on the quadrant labels and decide on which gaps **to prioritise**.



Part 2: Priority Strategic Interventions

Gap	Priority strategic intervention	Description of intervention	Outcomes	Obstacles	Recommendations /or steps to overcome obstacles

PHASE: DEVELOP ACTION PLANS TO ADDRESS GAPS

Tools available for this phase

Tool no 9: Developing Strategic Interventions to address Gaps

HR PLANNING TOOL NO 9 : DEVELOPING STRATEGIC/INTERVENTIONS TO ADDRESS GAPS

Purpose of this tool

- This tool outlines a possible process that can be used to develop action plans for each HR component to address the priorities identified.
- Develop action plans to address gaps is characterised by forward thinking about activities to be undertaken, linkages across the HR components, time-frames and resources required. During this phase the HR planning team should think about the way in which the different HR components can address the priorities in a way that enables integration and efficiency.
- The tool requires the following:
 - Priority issue: As identified
 - Goal: What is to be achieved
 - Group or cluster interventions to address the priority issue and achieve the goal
 - To consider from a holistic perspective the different interventions needed to achieve the goal.

Definitions

Term	Description
Interventions	<ul style="list-style-type: none"> Refer to any combination of strategies designed to produce desirable outcomes.
Outcomes	<ul style="list-style-type: none"> Refer to the measurable targets action in response to specific organisational change of direction such as systems and policies.
Activities	<ul style="list-style-type: none"> Refer to units of work undertaken to combine/consume input resources in order to realise an output.
Outputs	<ul style="list-style-type: none"> Are measurable changes that occur within a specific time and as a result/ consequences of project/programme implementation
Goal	<ul style="list-style-type: none"> An ambitious commitment to address a single challenge.
Objectives	<ul style="list-style-type: none"> Refers to specific, measurable, and have a defined completion date. They are more specific and outline the “who, what, when, where, and how” of reaching the goals. This is a metric used to measure progress towards a target.
Targets	<ul style="list-style-type: none"> Specific, measurable and time-bound achievements (results) that directly contributes to achievement of a goal.

How to use this tool

Use the tool to structure the discussion and engagement of the HR planning project team.

The table below serves as a guide to developing shared goals to address the priority areas.

Step 1: Implementation Plan Development
<p>Develop action plans to address gaps that are characterised by forward thinking about activities to be undertaken, linkages across the HR components, time-frames and resources required. During this phase the HR planning team thinks about the way in which the different HR components can address the priorities in a way that enables integration and efficiency. In setting or developing the plan on detail activities, outputs, outcomes, budgets and time-frames should be established. The intended outcome of each strategy should be reflected within the plan. The plan must answer the following:</p> <ul style="list-style-type: none"> Who is accountable for completing each action step? <i>E.g. Director OD</i> What specifically needs to be accomplished in each action step to ensure achievement of goals? <i>E.g. Review job analyses and job descriptions for critical positions.</i> By when does the task need to be completed? <i>E.g. 31st of March 2021</i> What goals do we wish to achieve? <i>E.g. Reduce turnover in ‘critical’ positions</i>

- **Objectives: E.g. Design and implement a new health and wellness program by June 2022.**
- What is the total number of goals agreed on? **E.g. 10**
- What will be the assumptions against each goal? **E.g. There is capacity for sustaining Health and Wellness programmes**
- What will be the output **E.g. employees with project management skills**
- What will be the targets? **In 2021, 30% of women will be on SMS level**
- What is the Baseline? **In 2020, 20% of women were on SMS level**
- What are the indicators? **E.g. Number (300) of women at SMS level**
- What will be the outcomes? **Increased access to Health and Wellness services**
- What will be the cost? **E.g. R 20 000**
- What will be the resources needed? **E.g. Training facilitators.**
- What will be time –frames required to achieve implementation? **E.g. Three years.**

Please refer to Annexure **A**: for assistance with the above process.

ANNEXURE A: IMPLEMENTATION PLAN COVERING MTEF PERIOD

Year 1-Implementation Plan must reflect all interventions

HR Planning Objective:

Year 1 : (period)					
HR Planning Objective (state relevant objective)					
Functional Area					
Prioritised Strategic Intervention 1					
Overall Target (Planned Improvements)					
Overall outcome					
Baseline GAPS or area identified for improvement					
Activities	Targets	Target Date	Assumptions	Responsible Manager	Required Budget

Year 2-Action Plan must reflect all interventions

HR Planning Objective:

HR Planning Objective (state relevant objective)					
Functional Area					
Prioritised Strategic Intervention 1					
Overall Target (Planned Improvements)					
Overall outcome					
Baseline GAPS or area identified for improvement					

Activities	Targets	Target Date	Assumptions	Responsible Manager	Required Budget

Year 3-Action Plan must reflect all interventions

HR Planning Objective:

HR Planning Objective (state relevant objective)					
Functional Area					
Prioritised Strategic Intervention 1					
Overall Target (Planned Improvements)					
Overall outcome					
Baseline GAPS or area identified for improvement					
Activities	Targets	Target Date	Assumptions	Responsible Manager	Required Budget

PHASE III: MONITOR, EVALUATE AND REVIEW HR PLANNING

Tools available for this phase

Tool no 10: Monitoring and Evaluation

HR PLANNING TOOL NO 10-: MONITOR, EVALUATE AND REVIEW HR PLANNING

Purpose of this tool

- This tool outlines a process that can be used to monitor and evaluate HR plans for each HR component to address any challenges identified.
- The tool requires departments to regularly monitor implementation of the HR Plan and report on implementation and thereafter evaluate the impact of the Plan. Regular reporting to management is required against HR planning activities and for successful monitoring and evaluation. Implementation rigorous monitoring and evaluation requires use of relevant data, analysis, and measurements instruments.

Definitions

Term	Description
Monitoring	Tracks the strategies (activities and outputs) used to achieve a given outcome. Can be done on an annual basis.
Evaluation	An assessment of either ongoing or completed endeavours to determine the extent to which the stated results have been achieved and can be done after a given period e.g. three to five years.

How to use this tool

Use the tool to structure the discussion and engagement of the HR planning project team.

The table below serves a guide to monitoring and evaluation

Step 1: Monitoring Of the Plan
Regular monitoring will require a report to be developed. The Report developed based on monitoring findings should cover the following: <ul style="list-style-type: none">• What is the total number of goals agreed on? E.g. 10<ul style="list-style-type: none">• Is the plan being implemented as desired?• What is the progress against implemented initiatives/ strategies?• Is a baseline in place so that progress can be measured?• How will we measure the implementation progress towards reaching goals? Will it be in terms of :

- ✓ the number of targets fully achieved
- ✓ the number of targets not achieved
- What are the implementation challenges?
- Is there a need to adjust the targets?
- Is there a need to adjust the plan? In terms of the interventions and/or indicators

Step 2 Evaluation Of the Plan

A Department will need to decide on the timeframe for the evaluation of the Plan. Evaluation should assess the effectiveness of the Plan and the following can be considered:

- Was the plan successful in achieving the desired outcomes?
- What was the impact?
- If assumptions and objectives on which the plan was developed were valid?
- If strategies chosen were appropriate?
- If the strategies were successfully implemented and completed?
- Are there new risks that require a different approach?
- If they achieved the required outcome?

5.1 Format of the HR Plan

This section outlines the core elements of the HR Plan with which all departments must comply. The pro forma HR planning template is attached as Appendix A. To ensure consistency across departments and provinces, the plans must be presented in the following format:

(The format is a minimum mandatory format and cannot be changed without prior approval)

Part A

Section 1: HR Planning Summary

Section 2: HR Plan Data Fact Sheet

Section 3: Implementation Plan

Section 4: Previous Implemented HRP Strategic Interventions

Section 5: Risks

Section 6: Approval

Part B

Section 1: Overview of the Department

Section 2: Strategic Direction

Section 3 Workforce Analysis

Section 4: Human Resource Gap Analysis

Section 5: Priority Departmental HR Planning and HR-Self Assessment Interventions

Section 6: Conclusion

Annexure A: HR-Self Assessment Tool

5.2 Format of the HR PLANNING IMPLEMENTATION REPORT

This section outlines the core elements of the HR Planning Implementation Report with which all departments must comply. The pro forma HR Planning Implementation Report template is attached as Appendix B to ensure consistency across departments and provinces, the report must be presented in the following format:

(The format is a minimum mandatory format and cannot be changed without prior approval)

Section 1: HR Planning Implementation Report Summary

Section 2: Summary HRP Data Fact Sheet

Section 3: Progress on Implementation of Priority Strategic Intervention

Section 4: Overall Analysis of Current Implementation

Section 5: Strategies or Interventions Evaluations

Annexure A: Feedback on the Implementation of the HR Planning Process/Methodology

Section 6: Amended Implementation Plan (where applicable)

5.3 Development, Submission and Reporting

An Executive Authority shall develop and approve an MTEF HR Plan for her or his Department covering at least 3 full financial years and must implement the approved MTEF HR Plan and regularly review it. National departments must submit departmental HR Plans, including their HRP Implementation Reports, to the Department of Public Service and Administration while provincial departments must submit to the relevant Office of the Premier at the beginning of the 1st financial year of implementation. Annual Implementation Reports need to be submitted at the end of the financial year. The HR Plan Template and Implementation Report template are provided (attached as Appendix A of this guide), to be used by departments in submitting annual department-level reports