



KWAZULU-NATAL PROVINCE

PUBLIC WORKS & INFRASTRUCTURE
REPUBLIC OF SOUTH AFRICA

GUIDELINES

FOR

DEVELOPMENT OF POLICIES

Contents

1. INTRODUCTION.....	3
2. PURPOSE	3
3. SCOPE OF APPLICABILITY	3
4. THE APPLICABLE LEGISLATION AND PROCEDURES.....	3
5. DEFINITIONS.....	3
6. PROCEDURES AND PROCESSES.....	3
6.1 INITIATION PHASE	3
6.2 CONSULTATION PHASE	4
6.3 RISK MANAGEMENT	4
6.4 ENDORSEMENT AND APPROVAL PHASE.....	4
7. ROLES AND RESPONSIBILITIES.....	5
7.1 POLICY CUSTODIAN.....	5
7.2 DIRECTORATE: STRATEGIC MANAGEMENT.....	5
7.3 DEPARTMENTAL MANCO.....	6
7.4 HEAD OF DEPARTMENT.....	6
8. MONITORING, EVALUATION AND REVIEW	6
9. EFFECTIVE DATE.....	6
10. ATTACHMENTS.....	6
11. ANNEXURE A: POLICY TEMPLATE	7

1. INTRODUCTION

The guideline for the development of policy outlines the processes for the development and approval of policies within the Department.

2. PURPOSE

This guideline seeks to outline the processes for development and submission of Departmental Policies (micro or macro) for approval, to promote efficiency, quality output and uniformity in policy development and strengthen the implementation and review thereof.

3. SCOPE OF APPLICABILITY

This guideline is applicable to all employees of the Department.

4. THE APPLICABLE LEGISLATION AND PROCEDURES

- Constitution of South Africa, No 108 of 1996.
- Public Finance Management Act, No. 1 of 1999; as amended.
- Treasury Regulations as amended.
- Public Service Act, No. 103 of 1994
- Public Service Regulations, 2016

5. DEFINITIONS

- **Policy** is a “statement of intent that serves as a guide outlining parameters/boundaries within the specific area of operation. It focuses on what is actually done as opposed to what is proposed or intended”.
- **Policy Custodian** is “the main policy developer of the particular policy within the programme or division”.

6. PROCEDURES AND PROCESSES

6.1 INITIATION PHASE

- 6.1.1 The Policy Custodian initiates the formulation of a Policy by defining the problem /issue that the policy seeks to address and the desired outcome once the policy is in place. This entails data analysis to identify gaps in performance that the policy would address or mitigate.
- 6.1.2 The Policy Custodian conducts research and gathers all necessary information for the compilation of the Policy Document.
- 6.1.3 The Policy Custodian reviews existing legislative and regulatory requirements. This is applicable to new and revisions of the existing policies.

- 6.1.4 The above processes should be summarized in a discussion paper, which should identify the nature of problem/issue to be addressed by the policy, outcome of the research undertaken and policy options considered.
- 6.1.5 The Policy Custodian assesses the resource implications of the policy.
- 6.1.6 The Policy Custodian starts preparing draft document, which must be structured in the manner indicated in **Annexure A**.

6.2 CONSULTATION PHASE

- 6.2.1 The Policy Custodian consults all relevant stakeholders for their input on the formulation of the Policy.
- 6.2.2 The Policy Custodian analyses and incorporates input collected.
- 6.2.3 The Policy Custodian distributes a draft document with input to all relevant stakeholders for verification and thereafter tables same to its Branch MANCO.

6.3 RISK MANAGEMENT

- 6.3.1 The process of managing institutional risks must be in a continuous and integrated manner. Risk management is more than risk mitigation; it's as much about ability to recognize and effectively manage risks, therefore Departmental policies must display risk considerations during policy development.

6.4 ENDORSEMENT AND APPROVAL PHASE

- 6.4.1 Once recommended by its Branch MANCO, the Policy Custodian submits the policy to departmental MANCO Secretariat for inclusion in the agenda for further endorsement, with a copy of the minutes of the Branch MANCO where the policy was endorsed.
- 6.4.2 The departmental MANCO endorses the policy, and the Secretariat ensures that the Accounting Officer and/or the Executive Authority approves the policy.

7. ROLES AND RESPONSIBILITIES

7.1 POLICY CUSTODIAN

- 7.1.1 Submit the discussion paper referred to above to the Head of the Branch in order to justify the development / review of the policy and consultation / research undertaken.
- 7.1.2 Undertake all research, data gathering and analysis needed.

- 7.1.3 Undertake consultations with stakeholders.
- 7.1.4 Compile a draft of the policy and applicable annexures.
- 7.1.5 Make any necessary amendments as proposed by the stakeholders.
- 7.1.6 Submit and present the draft policy and communication plan to MANCO for endorsement.
- 7.1.7 Make any necessary amendments as proposed by MANCO.
- 7.1.8 Submit the draft policy and amended annexures, where applicable,
to the Head: Public Works and/or Executive Authority for approval once endorsed by MANCO.
- 7.1.9 Distribute the approved policy and annexures to all stakeholders.
- 7.1.10 Submit a copy of the approved policy to Main Registry for filing and
communications for uploading on the website.
- 7.1.11 Implement the communication plan of the policy as endorsed by MANCO to create understanding thereof.

7.2 DIRECTORATE: STRATEGIC MANAGEMENT

- 7.2.1 Provides secretariat and analytical support to the Policy Custodian.
- 7.2.2 Provides support to the custodian in the development process.
- 7.2.3 Verify draft policies against the Departmental Strategy.
- 7.2.4 Identify the need for review of existing policies.
- 7.2.5 Maintains the record of all policies within the Department and monitor compliance to the review period as stipulated in the policy.

7.3 DEPARTMENTAL MANCO

- 7.3.1 Identify the need for new policies or review of existing policies in line with strategic direction.
- 7.3.2 Peruse and provide comments on draft policies.
- 7.3.3 Make recommendations to the Head of Department for approval.

7.4 HEAD OF DEPARTMENT

- 7.4.1 Identify the need for new policies or review of existing policies in line with strategic direction.

7.4.2 Approves policies and annexures where applicable

7.5 EXECUTIVE AUTHORITY

7.5.1 Approves policies and annexures where applicable

8. MONITORING, EVALUATION AND REVIEW

8.1 The Monitoring and Evaluation Directorate is responsible for managing the implementation and reporting of this guideline.

8.2 This guideline will be monitored, evaluated and reviewed as and when a need arises.

9. EFFECTIVE DATE

This guideline will be effective on the date of approval.

10. ATTACHMENTS

Annexure A: Policy Template

Approval of guideline of the development of policies

APPROVED/ NOT ~~APPROVED~~ /VARIED

.....
DR. V. GOVENDER
ACTING: HEAD OF DEPARTMENT

31-03-2025
.....
DATE

ANNEXURE A: POLICY TEMPLATE

1. TABLE OF CONTENTS

This section defines provisions that will be contained in the Policy Document.

2. INTRODUCTION

This section provides brief of aspects covered by a policy, and rationale which necessitated its formulation.

3. PURPOSE

Purpose in a policy serves to provide a direct aim or objectives of what a policy intends to achieve.

4. SCOPE OF APPLICABILITY

This section clearly defines stakeholders who will be affected by the implementation of a policy.

5. LEGISLATIVE FRAMEWORK

In this section of a policy, all legal mandates that relate to a policy are clearly stated.

6. DEFINITIONS, ABBREVIATIONS AND ACCRONYMS

This section outlines the definitions of all unfamiliar terminology that might cause a misunderstanding of the provision of the policy to a policy reader.

7. POLICY PROVISIONS

This section outlines the key aspects of the policy.

8. ROLES AND RESPONSIBILITIES

Stakeholders who will be responsible and have a role to play in the implementation, monitoring and evaluation of a policy are clearly defined in this section.

9. RISK MANAGEMENT

The section identifies risks and mitigation strategies for the successful implementation of this policy.

10. MONITORING, EVALUATION AND REVIEW

This guides a reader as to how the implementation of the policy will be monitored, evaluated and the frequency of review.

11. NON-COMPLIANCE

This outlines actions to be taken against non-compliance to the provision of a policy.

12. EFFECTIVE DATE

Date of effect / implementation of a Policy after it has been approved.

13. TITLE OF THE POLICY

This section is meant to provide a title of a policy.

14. POLICY APPROVAL

This section provides/indicates the relevant authority that approves a policy.