Department of Home Affairs

Strategic Plan

2002/03 to 2004/05

Incorporating detailed planning information for the 2002/03 financial year

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Abbreviations and acronyms

AFIS	Automated Fingerprint Identification System
CD: CS	Chief Director: Civic Services
CD: FM	Chief Director: Financial Management
CD: HR	Chief Director: Human Resource
CD: IT	Chief Director: information Technology
CD: LS	Chief Director: Legal Services
CD: M	Chief Director: Migration
CD: SPD	Chief Director: Strategic Planning and Service Delivery
D: C	Director: Communication
D: ESS	Director: Ethical Conduct and Security Services
DHA	Department of Home Affairs
DMS	Document Management System
D: PA	Director: Provisioning Administration
DPSA	Department of Public Service and Administration
HANIS	Home Affairs National Identification System
MCS	Movement Control System
MPCC	Multi Purpose Community Centres
MTEF	Medium-term Expenditure Framework
NIA	National Intelligence Agency
OPSC	Office of the Public Service Commission
PFMA	Public Finance Management Act, 1999
SAMDI	South African Management Development Institute
SITA	State Information Technology Agency

3

Terms and Definitions

Accomplishments: For the purpose of strategic planning, accomplishments are successful outcomes achieved in pursuit of an objective for the previous fiscal year.

Change Plan: The change plan in the Strategic Plan addresses the objectives with short, medium and long term transformational related goals.

Goals: Goals are broad performance targets that specify individual elements of the unit mission statement. A diverse audience should easily understand goals. Goals tend to be long-term, although objectives correlated with each goal may change yearly.

Mission: A mission statement is a broad statement of the purpose of an organisation. If a unit is part of a progressive hierarchy, it is important that its mission statement is compatible with the mission statement of the units of which it is a part. The mission statement should be concise.

Objectives: Objectives are specific measurable outcomes to be undertaken in support of a goal. Each goal may have several objectives correlated with it. Objectives should be measurable, attainable, pertinent, and specific.

Strategies: Strategies state the action needed to accomplish an objective. Each objective may have several strategies correlated with it. In the past, the terms "actions," "activities," and "strategies" have been used interchangeably in our plans.

Transformation:

Transformation is the total renewal of an organisation or business; an unconstrained reshaping of strategy, process, technology and management systems, as well as organisational structures and values, to achieve quantum leaps in performance.

Values: Values are defined as the fundamental beliefs that influence individual and organisational decision making and behaviour. The value system indicates the difference between right and wrong in the operating environment in accordance with what is personally and sociably acceptable. A value system rarely changes.

Vision:

A vision has to clarify purpose and direction, inspire enthusiasm and act as a bridge between the present and the desired future state.

For the purposes of this Strategic Plan, goals are broadly conceived targets or ends toward which an organisation works to achieve its mission. Collectively, *goals* provide direction for focusing the Department's activities. *Objectives* are specific tangible and measurable efforts to achieve goals. If all of the objectives for a given goal are accomplished, the goal should be achieved. These goals and objectives operate over a 5 to 10-year period.

Contents

PART 1: SETTING THE SCENE

1   Introduction

This Strategic Plan constitutes the first comprehensive planning instrument of the Department of Home Affairs. Therefore, it epitomises a decisive beacon in the transformation of the Department towards complying with the principles and practices of good governance, comprising the fundamental tenet of public management and administration of the Government of South Africa. The Plan is the product of rigorous deliberations during a Top Management workshop held during 21-26 January 2001, which was in turn preceded by incisive analyses and research conducted throughout the Department since March 2000, identifying crucial priorities for realigning its organisational culture and updating its business processes, thus enabling conformity with the good governance prerequisite.

The Plan ensures departmental alignment with the strategic planning rudiments of the Public Finance Management Act, 1999, (Act 1 of 1999) as amended and the guidelines on plan formulation provided by the National Treasury (*Developing and integrating strategic plans into the budget process, April 2001*) have been followed. It also conforms to the requirements of the Integrated Implementation Programme (IIP) as sanctioned by Cabinet. Furthermore, it links-up with other key governmental policies and programmes, thereby directing the intergovernmental role of the Department. These notably include the *White Paper on the Transformation of the Public Service (1995)* and the *White Paper on Transforming Public Service Delivery (Batho Pelé) (1997)* as well as the *Integrated Rural Development Strategy* and the *Urban Renewal Programme* of the Government.

However, it also definitively signifies the inculcation of the strategic management approach in Home Affairs. The Plan is therefore the concrete manifestation of a clear break with past management practices often plagued by a "silo mentality", red tape, administrative bungling and managerial ineptitude. It heralds a new beginning reflective of notions such as dynamism, creativity, commitment and compassion as well as sound business process management. This Plan is not a holy cow – it is intended to be a living instrument, providing focus and direction but to be constantly remoulded and improved in order to address expectations and confront new challenges. It typifies a new frame of mind implanted in all doings of managers and staff alike. Consequently, strategic planning is viewed, not as a singular event, but as an ongoing process underlying management practice and service delivery.

It is in this context that departmental staff, stakeholders, customers and other interested readers should utilise and evaluate this current planning outcome. Fresh ideas,

constructive criticism and innovative proposals on its improvement are not only welcomed, but are essential in fostering the momentum and vitality inherent to the success of this unremitting planning effort.

2   Background on the departmental planning process

Due to a variety of reasons integrated strategic planning has been lacking in the DHA – a state of affairs that demanded urgent correction. Past efforts did include the compilation of a departmental *Transformation Policy Framework*, sanctioned by Cabinet in 1998. This policy formulation process took place in tandem with the dictates of overall governmental policy thrusts and was intended to formalise the Department's commitment to the transformation imperative, definitively rid itself of its tarnished historical image and create an operating environment conducive to the value systems embodied in the new socio-political dispensation. Thus, although it was a historical beacon, it did not constitute a meticulously planned course of action in terms of the accepted requirements of sound strategic planning and management. Furthermore, Home Affairs being a pilot department in terms of the *Batho Pelé Strategy*, was the first governmental agency to produce a *Service Delivery Improvement Plan*, thus enabling the Minister to publicly announce departmental service standards in March 1998. Again, although precise delivery targets were set, they were not underpinned by plans for systems and processes re-alignment and development, essential for goal achievement.

The current effort is consequently aimed at translating the accepted transformation policy context and service delivery goals into a thoroughly planned programme of action directed towards producing timeous and tangible outcomes through the most effective, efficient and economical means. It will also constitute the paramount yardstick for measuring performance of managers and staff as well as the organisation as a whole. It is destined to fundamentally amend critical operational modalities throughout the entire Department and promote service excellence.

From the outset on it was decided that the planning process should be transparent, participative and inclusive. At the monthly meeting between Top Management and Regional Directors on 26 September 2000 three working groups were constituted namely for Migration, Civic Services and Support Services. Subsequently each of these groups embarked on a wide-ranging consultative process in which maximum participation was solicited. Staff at all levels, both at Head Office as well as the ten regions, were involved and contributed substantively in the compilation of working documents. Inputs received countrywide were brainstormed at consecutive meetings of the working groups. Crucial issues and options were extrapolated from these inputs. They were analysed and researched and provided well-structured inputs to the planning workshop. The enthusiastic orientation experienced from participants in this preparatory process was indicative of a deeply felt need among all staff cadres for sound planning that would culminate in an authentic, comprehensive and workable departmental

strategic plan, serving as the primary operative framework for decision-making and action throughout the Department.

Moreover, a dedicated capacity was established to undertake a thorough and scientific diagnosis into existing departmental systems and processes. Where necessary, the services of professional consultancies were acquired and governmental partners, notably the Department of Public Service and Administration (DPSA), the Office of the Public Service Commission (OPSC), the South African Management Development Institute (SAMDI) and the State Information Technology Agency (SITA), made valued contributions. Apart from complimenting in-house departmental know-how and experience and ensuring analytical objectivity, this interaction also transpired in a unique manifestation of co-operative governance, as envisaged in Chapter 3 of the South African Constitution, 1996 (Act No 108 of 1996).

Both the experience-based inputs of the working groups and the scientific diagnosis as mentioned, provided an invaluable basis for the deliberations and plan formulation process at the eventual departmental strategic planning workshop held at Hazyview in January 2001. The five-day workshop itself was well structured and professionally facilitated in order to ensure full and open participation by all attendees, comprehensive coverage of all planning dimensions and synergetic decision-making. This document is the foremost tangible outcome of the workshop.

3   The Home Affairs operational milieu

The significance of Home Affairs in managing state- and nationhood is evident. This pertains to both functional spheres constituting our core business. With regard to civic services, entailing the *identification* of persons and *affording status* to them, the Department performs an enabling function, thus making it possible for individuals to realize their rights and access benefits and opportunities in both the public and private domains. Without us government and business alike, cannot operate in a smooth and ordered way. Similarly, migration management is of primary concern in the protection of our national integrity and in advancing the national interest.

The magnitude of the responsibilities and challenges encompassed in both departmental core functions are daunting. Apart from the consequences of continued high population growth for civic services management, the effects of the previously fragmented dispensation and the shortcomings inherited from the identification systems of the TBVC and national states are still felt. This reflects in particular on the urgency of rewriting the **Population Register**, which has become inadequate to reliably deal with the records of the total and still growing population. For this purpose the acquisition of entirely new and advanced hardware and software platforms are imperative. The rewriting of the Population Register is closely aligned, as well,

with the implementation of the *Home Affairs National Identification System (HANIS)*, approved by Cabinet in January 1996. Coupled with associated advanced technology such as an *Automated Fingerprint Identification System (AFIS)* and *Smart Card* technology, HANIS will undoubtedly place South Africa in a world-class league with regard to civic services management. The successful implementation of HANIS, one of the largest state-sponsored projects underway, is certainly the greatest challenge faced by the Department. Meanwhile, critical and regularly sensitive choices have to be made regarding the maintenance and even expansion of existing, largely manual and often obsolete systems in order to, at least, ensure acceptable levels of service delivery. As this affects the total spectrum of civic services, entailing apart from identification, *birth, marriage* and *death registrations,* the *safekeeping of records* as well as *passports*, it is destined to remain a burdensome situation until HANIS becomes operational.

With the advent of the new millennium the world population has surpassed the hallmark figure of six billion and the trans-national movement of people as tourists, traders, refugees, legal as well as illegal migrants, and so forth, has world-wide reached unprecedented proportions. The burgeoning world population, coupled with its immense mobility, caused the management and administration of citizenship matters and migratory patterns to becoming a "global industry". South Africa has become a foremost migratory destination, which is resultantly completely overstretching existing departmental capacities. With in an excess of eight million annual foreign visitors and possibly an equal number of illegal migrants residing in the country, migration services, encompassing *port control, visas, temporary* and *permanent residence permits* as well as *the control over illegal immigration* and the *management of refugee affairs*, has become a major operation.   Consequently, befitting systems for the adequate management thereof have to be introduced, of which the installation of the envisaged new fully electronic *movement control system (MCS)* is a prime example.

In the light of the sketched operational milieu of the DHA, comprehensive and integrated planning is a prerequisite for the effective and efficient management of both departmental core functions.

4   Policy imperatives

Planning cannot be undertaken in a policy vacuum. Being a governmental agency the overarching policy context of departmental planning is naturally embedded in the political direction provided by the government of the day. Apart from specific mandates embodied in legislation and other formal policy instruments (listed comprehensively in **Part 2** of this document), the meaning of Presidential and Ministerial statements and instructions as they apply to the Department, are of obligatory importance.

It is in this context that the presidential dictum of *a better life for all* provided the philosophical foundation for the departmental plan formulation process. Realising a better life, transpires in both the tangible life-sustaining realm, encompassing dimensions such as shelter, safety, health and knowledge, as well as the promotion of humane qualities including esteem, dignity, freedom and respect. The execution of DHA functions impacts significantly on both. Apart from statutory requirements, a moral obligation rests on every departmental staff member to concretise these profound societal values in all of his/her official doing.

The Minister of Home Affairs provided insightful policy direction during his opening address at the workshop. He significantly widened the scope of the deliberations from the usual confines of planning within a given institutional and organisational framework to: "finding ways and means of doing things differently and designing adequate structures to that end". Hence, structural realignment and process redesign are key modalities in the shaping of a new Department of Home Affairs. Also, the Minister emphasised the "delivery interface" between the Department and its customers by highlighting the fact that the total South African population, in addition to its gatekeeper's role relating to all foreign visitors, are lifelong clients of Home Affairs. Consequently, the overall success of government with regard to the *Batho Pelé* initiative is largely dependent on the degree of Home Affairs compliance thereto. Apart from mapping critical paths for immediate and obvious functional priorities, the transformation of the Department into a modern, professional, efficient and people-centred institution, geared for service excellence and equipped to fulfil legitimate performance expectations, is at stake. This Strategic Plan is the first concrete milestone towards achieving this end.

In addition, the current dynamic nature of the DHA operational sphere, as discussed, necessitates continuous policy development and the consideration of alternative and more effective ways of producing desired outcomes. The Minister of Home Affairs has been providing incisive new direction, both with regard to civic services and migration management. Developments emanating from these Ministerial initiatives and as, in particular, encompassed in the *Migration Bill* and the possible devolution of service provision to local and traditional authorities, will profoundly affect all operations and shape the future of the Department. This planning effort should, therefore, not only take serious note of these policy developments, but should definitively ensure that the Department is well prepared to implement new structural and organisational arrangements emanating from them once they become operative.

5   Planning approach and methodology followed

Planning to plan is naturally the initial step in the commencement of a strategic management approach. Substantial effort was spent on this dimension. The preparatory work relating to research, analysis, consultation and option-creation has already been alluded to. Also, that it has throughout been a transparent participatory process, encouraging an open-ended and divergent mindset in which imagination could flourish, yet un-thought of scenarios be built and

distant horizons be plotted. Current shortcomings and operational dilemmas had to be faced head-on as well and workable solutions thrashed out.

The Director-General provided incisive foresighted leadership when setting the scene for the deliberations in his keynote address at the workshop. He urged participants to haul themselves definitively out of the quagmire of *status quo* thinking and ways of doing things, in order to confront the future successfully. Making a significant impact on the quality of life of individuals, communities and the general citizenry cannot be undertaken within the limitations of given form, practice and mindsets. The Director-General consequently urged management to move outside the borders of the given, radiate creativity and innovative thinking to all cadres of the Department, and hence redefine what is possible. This fundamental *volte-face* then presupposes key modalities such as: a fundamental rethink on the structures, systems and processes of government thus incorporating cutting edge organisational and electronic technology; their inclusive redesign on the basis thereof; prioritisation of primary focus areas and objectives in the context of multiple societal demands and needs competing for limited resources; the institutionalisation of a multi-faceted and multi-functional management approach radiating a fresh dynamism and visionary idealism, programmed in a business-like and production-focused fashion; centralising results and outcomes as achievement indicators; and the inculcation of a performance directed and service orientated ethos among staff.

The sense of urgency with which the introduction of the strategic management approach is viewed by the Director-General is reflected in his statement that although planning is essentially about the future, the future is not something remote lurking on distant horizons – it is invading us here and now. Accordingly we have to deal with the future today. The establishment of a new Department of Home Affairs is not merely a long-term dream; the compilation of this Plan is its concrete beginning.

The past lack of comprehensive and systemised planning in the Department has already been referred to. Where planning was undertaken, goals were typically not quantified, nor systematically prioritised and programmed for action. Neither were resource requirements determined nor costed and budgeted for. Such planning consequently amounted to expressions of good intentions, but lacking implementational modalities. Moreover, specific planning actions, when they did take place, were often reactive of situations that had reached crisis proportions and were thus indicative of a crisis management mode that had become commonplace throughout the Department. Apart from being *ad hoc*, such planning was also out of necessity mostly undertaken in isolation. It attempted to, in the best possible ways, address a particular set of problems that surfaced at a given moment in time. It was not synchronised with the bigger picture of Department-wide and planning cycle-aligned priorities. As a matter of fact, no such clear bigger picture even existed. These prevailing conditions also made it extremely difficult to measure performance, both of business units and staff, in an objective and generalised manner. Similarly, the early detection of emerging shortcomings was difficult, making the launching of timeous corrective measures a rarity. Furthermore,

these planning inadequacies impacted negatively on management styles and practices in the Department. Management typically did not function in a coherent way and the DHA was plagued with the pursuit of personal agendas, managers thus often losing sight of an organisation-wide higher good, not to speak of societal well-being. A silo-mentality prevailed, isolating business units and their managers from the bigger picture and the pressing demands for future-directed action.

The importance of the current planning endeavour is evident from the above. It heralds a new era for the Department and encompasses a complete overhaul of management philosophy and practice. It is crudely honest about past inadequacies – not in a vindictive way, but only to enable a full-on facing of challenges. Some might even consider this openness as unnecessarily rendering the Department vulnerable in its dealings with outsiders such as other government agencies. Yet, prevailing conditions there might not be that different and our own transparency could thus assist them in confronting similar problems. In essence this Plan is about the future – controlling it within the reality of many uncertainties, accomplishing things in particular ways, making rational choices and deciding upon critical paths. In order to achieve this, the following are essential elements of the new Home Affairs planning approach:

- *Following policy prescripts:*

The necessity that all departmental planning should be conducted within the context of governmental policy essentials has been alluded to under **4** above. Of special importance is also the inclusion of envisaged new policy developments in our planning paradigm.

- *Sharing values:*

Policy, as governmentally determined, naturally needs to be reflected in the operational value system of the Department. However, values engulf the total mindset of our organisation as well. Planning should, therefore, provide for their implantation into the hearts and minds of all staff members as well as their concretisation over the full spectrum of decision-making and action. It is in this context that the new vision and mission of the Department, defined during the workshop (see **Part 2: 8 & 9** of this Plan) should be seen. Moreover, the process of value determination is incomplete if the elements comprising its totality are not delineated and then formulated in a well-understood way. The seven elements of the corporate value system (envisaged to be further popularised by way of the **EATPAP** acronym) as discussed in **Part 2: 11**, are intended to ensure that our values don't remain mere good sounding abstractions, but will penetrate all operational modalities.

- ***Ensuring participation and transparency:***

As indicated, the planning process has been conducted in a completely open and transparent manner. Especially the preparatory sub-committees ensured maximum participation and consultation within the limited available timeframe. Although the process was initiated by, and is driven by the Top Management of the Department, it proceeded in a non-hierarchical fashion and encouraging inputs from all levels. It is envisaged that the ongoing evaluation of its success and the taking of corrective measures will encompass simultaneously top-down and down-top interactive methods and working procedures. Department-wide ownership of the Plan, the processes that underpinned it as well as its outcomes, are essential qualities of its character.

- ***Following an integrated approach:***

In the past, DHA functions and processes have often been managed from a narrow and parochial perspective. A silo-mentality characterised management styles and typically obscured organisation-wide objectives and challenges. A primary intention of this Strategic Plan is to establish the DHA as an integrated system capable of delivering pinpoint targeting information to stakeholders. The new DHA management paradigm is to take a holistic perspective, to see the big picture and focus effort where it delivers the most benefit towards service delivery. The Department of Home Affairs must remake itself into an integrated organisation. The future integrated DHA must be an interconnected network linked along all the dimensions of competency, capability, and resources. To forge the links that will make this vision for the future become a reality, managers and staff members need to have a shared, common understanding of all the activities and data in the enterprise - the DHA Strategic Plan provides this unified functional perspective.

The DHA Strategic Plan lets each of us position ourselves as part of the whole so we can work together, share resources, and add value to the departmental mission. Within its framework every organisational unit can identify its relationships with the rest of the Department. In an organisation as large, complex and interdependent as the DHA, changes in one process or function may have major ripple effects across the organisation and affect other stakeholders. The DHA Strategic Plan endeavours to be a critical tool and common framework for managers to use in identifying cross-functional impact and opportunities. This will provide structured and greatly enhanced opportunities to discover the contripetal and contrifugal forces operative in the Department and unravel the opportunities created by them.

Being only a management tool, the Strategic Plan by itself will not result in cross-functional integration and DHA-wide improvements. It relies on the actions of managers across the Department and at all levels who believe that the processes and organisations that they manage are parts of a larger mission and consequently need to contribute to the success of the vision, goals and objectives of the entire Department. It begins with visible gaps and obvious

needs for enterprise improvements and drives down systematically to programmed and implemented solutions.

The Plan constitutes the principal document in the tiered planning methodology followed and has a Department–wide focus. Cascading down from it, business plans have been drafted for all departmental business units (chief directorates and regions) and thereafter operational plans for sub-units (directorates and sub-regions). However, a dynamic interaction between these three planning levels is fostered. Consequently, although this Plan has informed the planning actions at the business and operational levels, it has been decided that the latter should likewise significantly impact upward on the formulation of the final departmental Strategic Plan. Moreover, the Plan should also be synchronised with departmental budget planning and be aligned with the adopted system of performance management. A comprehensive, crosscutting and mutually interactive planning process has therefore been designed that will transpire in ongoing integrated departmental strategic planning.

- *Quantification of goals and objectives:*

Organisational performance can rationally only be determined against the quantified measurement of goal and objective achievement. This provides an accurate yardstick to determine discrepancies between actual and desired performance. It facilitates the monitoring and evaluation of planning progress and directs plan review, corrective action and problem solving.

Essential to the success of the Home Affairs planning process is therefore that the identified strategic departmental objectives should be quantified and progress objectively measured. Managers should throughout obtain prompt, clear and unbiased feedback on all facets of plan implementation and mechanisms should be in place to continuously adjust action according to feedback.

- *Introducing performance management:*

Performance manifests itself in both that of the organisation as well as of individual staff members. Although these two facets are distinguishable from each other, they are also closely interrelated and in combination transpire in the degree of goal achievement of the Department as an institution. Strategic planning is about setting goals and strategies to accomplish them. Consequently, the measurement of performance is an essential element of the planning process. Mechanisms for determining Department-wide goal realisation have to be built into the monitoring and evaluation mechanics of strategic management whilst individual performance management is provided for in the performance management system envisaged in *Chapter 1, Part VIII of the new Public Service Regulations, 2001.*

As explained above, this Strategic Plan endeavours for the first time to functionally achieve integration of the Department as a coherent and interdependent system. From this, performance measures can be established based on process and outcome goals and linked to a unified DHA-wide functional institutional framework. Such performance measures will then serve as mechanisms for evaluating functional goals and change objectives.

Regarding individual personnel performance management, the primary instrument thereof is the introduction of performance agreements with staff members. In terms of the Public Service Regulations the concluding of performance agreements is currently obligatory only in the case of senior managers (*Chapter 4, Part III*). However, there is an expressed intention to extend this to other staff levels as well. Until this becomes operative, the ensuring of compliance to job descriptions is an appropriate instrument for performance appraisal at these lower levels. The Regulations (*Chapter 1, Part VIII B*) also determine that all government departments should develop their own performance management and development systems for staff other than senior managers to take effect on 1 April 2001. Viewed from an integrated strategic planning perspective, the introduction of such a system in the Department is a priority matter.

As the content of performance agreements are out of necessity unique to every post and are to be revised annually, the planning process only included the drafting of templates for the compilation of customised agreements for the different categories of managers. These templates have been structured in order to align performance with the objectives of the departmental Strategic Plan as well as those of the business and operational plans of individual organisational units.

Apart from a genuine commitment of staff to the corporate value system of the Department as agreed upon at the workshop and discussed in **Part 2: 11** of this Plan, a working environment conducive to compliance and performance excellence is required as well. Rewarding exemplary performance is a key element hereof. Consequently, the personnel evaluation system of the Department should be revisited and aligned to meet the terms of the planning process. The restrictive thrust of the previous Public Service dispensation of characteristically saying "no" just to ensure compliance should be replaced by a predisposition that whilst maintaining discipline, passionately says "yes" to innovative dynamism directed towards goal achievement. Enablement rather than constriction should be the *raison d'être* of the human resources management system.

- *Focus on implementation:*

Planning, despite its crucial importance, is not a self-validating endeavour but only a means to goal achievement. The ultimate test of successful planning is to be found in tangible, measurable and sustainable outcomes of planning efforts. Plans don't implement themselves and effective and efficient systems, processes and procedures underlie the production of

desired outcomes. Therefore, results are what planning is about. State agencies have since 1994 obtained virtuosity in producing plans, and display cabinets overflow with impressive planning documents. Unfortunately, the concretisation of such well-expressed intentions has been less pronounced. The spread of benefits to citizens, such as service delivery improvement, has consequently not reached envisaged levels. A fundamental point of departure of the current Home Affairs planning effort is to move beyond glossy paperwork and make a profound societal impact, especially in areas where it matters most – remote rural and marginalized urban communities.

- ***The primacy of service excellence:***

Few, if any, public or private organisations operate within the context of such a vast client base as Home Affairs. All South Africans as well as foreigners who visit or sojourn in the country are customers of the Department. Moreover, our services enable, promote and validate many other state, business and personal activities ranging from welfare grants to banking transactions and contracts between individuals. The quality of our services therefore impact widely, underscoring the primacy of the Department's striving towards service excellence.

- ***Evaluating planning outputs and outcomes:***

Systematic and integrated strategic planning includes ongoing monitoring and evaluation of plan outputs and outcomes. Planning success or failure is determined as a result of this crucial activity. Moreover, plan maintenance, review and redesign are only possible on the grounds of the continuous assessment of plan implementation progress and the determination of whether desired planning results were in fact achieved. Evaluation determines the value and effectiveness of plan implementation activities, establishes the impact and consequences of implementation, verifies whether intended results have been achieved and provides pointers for plan review. It also entertains the impact of external factors (i.e. risks) that could not be accounted for in the planning process.

Accordingly, evaluation management is a specialised activity that requires specific skills and capacities. Due to the novelty of integrated strategic planning in the DHA, the creation and structuring of such a competency in the Department is of the utmost importance. Its provision is imperative to the success of the planning process. This includes authoritative information management. Reliable and relevant data is essential for accurate, valid and legitimate reporting on plan successes and failures. Sound evaluation methodology needs to be followed throughout and includes cost-benefit ratios, cost-effectiveness of performance and resource utilisation norms as well as productivity indicators. It should also entail customer satisfaction and stakeholder concurrence indexes. Key evaluation instruments on time frames, spending and resource utilisation quotients and on the determination of the quantity and quality of outputs as well as impact assessment must be developed. Also, the sustainability of results should be determined throughout. No comprehensive information management system existed

until now in the Department.

It is therefore clear that evaluation management is a complex process. Its systematic introduction into the Home Affairs planning equation is a prerequisite for the success of the strategic management approach in the Department.

- *Compliance with governmental planning prescripts:*

As indicated in the introduction above, care has been taken that all dimensions of the departmental planning process meet essential governmental strategic planning directives. In particular this also pertains to timeframe alignment with regard to the state budgetary cycle.

- *Resources alignment:*

The historically evolved chronic under-resourcing of Home Affairs is the primary impediment underlying the prevailing service delivery shortfalls in the Department. This predicament does not only reflect in difficulties to maintain current service levels but is also the root cause for the looming collapse of some of its most crucial operations. Under these circumstances, utilising only the given MTEF baseline amounts would render any form of imaginative development planning a futile exercise. Moreover, the serious financial deficiencies experienced have effectively mothballed critical priorities with regard to systems and process modernisation and automation and of capacity building thereby threatening to incapacitate even funded operations. Thus, merely planning for and funding the inadequate, outdated and obsolete without the prospect of renewal and development, hardly makes any financial sense. An astute departmental resourcing approach should encompass the establishment of an integrated business architecture to, on the one hand, avert the imminent breakdown of services and, on the other hand, equip the Department sufficiently to deal with the challenges of a new century.

Following from the above, this Plan goes beyond aligning the Department's strategic priorities with insufficient allocated MTEF baseline amounts. It pertinently ventures into the realm of critical unfunded strategic priorities, without which planning would in fact have no purpose.

6   Transitional arrangements

Section 5.1 of the Treasury Regulations, 2001 (Government Gazette nr. 22219, 9 April 2001) issued in terms of the PFMA are precise regarding implementation time frames for the linkage between strategic planning and departmental budgets. It is stated that the first date for the submission of strategic plans is 30 June 2001 and applies to the MTEF period commencing 1

April 2002.

Due to the critical importance of introducing the strategic management approach in Home Affairs, the departmental Top Management decided that the implementation of this Plan, particularly pertaining to the identified strategic priorities therein, should commence without delay. This entailed that, already, the current budget had to be aligned as far as practically feasible with the requirements of the Plan.

Consequently, a serious and in-depth financial re-prioritisation exercise was embarked upon at the commencement of the current financial year. It boiled down to a zero-budgeting effort in which all departmental business units had to re-motivate every item of their envisaged expenditure, both within the leanest possible framework as well its alignment with the Strategic Plan. Every penny was literally turned around many times. The most critical priorities were extracted from the already crucial priorities and from these the most vital of the already critical priorities were identified, followed by the scraping of the barrel for their most reticent funding. As a result, the Department is functioning in a financial milieu of no fat, sugar or cholesterol at all. No "nice-to-haves" survived this exercise. Working smarter and without waste underpins the imposed financial restraint. Moreover, the strategic direction encompassed in this Plan was firmly embedded in the budget.

In the final instance, serious deficiencies with regard to the existing MTEF baseline amounts were solidly pinpointed. Redressing the accumulated financial imbalances of Home Affairs cannot be delayed any longer; else it will not only retard progress in the field of service delivery but also render the successful implementation of this Plan extremely problematical.   The re-prioritisation exercise transpired in the first ever clinical and scientific exposition, providing unambiguous proof thereof, of the persistent chronic under-resourcing of the Department. This establishes an authoritative basis on the grounds of which the National Treasury can be confronted with the essential need to harmonise the departmental MTEF baseline allocations with governmental and societal expectations on Home Affairs service delivery.

PART 2: BUSINESS DEFINITION OF THE DEPARTMENT OF HOME AFFAIRS

7 Mandates

The **mandates** of the Department are embedded in legislation as well as other policy documents. In order to fulfil its mission the Department executes or participates in the execution of the following mandates:

7.1 Civic Services

7.1.1 Births, marriages and deaths

- The Births & Deaths Registration Act, 1992 (Act No 51 of 1992) as amended

- The Regulations promulgated in terms of the Births and Deaths Registration Act, 1992 as amended

- Delegations by the Minister in terms of the Births and Deaths Registration Act, 1992

- Procedure manuals for Births, Marriages and Deaths.

- The Marriage Act, 1961 (Act No 25 of 1961)

- The Regulations promulgated in terms of the Marriage Act, 1961

- The Immorality and Prohibition of Mixed Marriages Amendment Act, 1985 (Act No 72 of 1985)

- Recognition of Customary Marriages Act, 1998 (Act No 120 of 1998), which only came into effect on 15 November 2000

- The Regulations in terms of the Recognition of Customary Marriages Act, 1998 (Government Gazette No 21700, 1 November 2000) which came into effect on 15 November 2000

7.1.2 Identity documents and identification

- Identification Act, 1997 (Act No 68 of 1997)

- The Regulations in terms of the Identification Act, 1997

- Procedure Manual: Identity Documents and Identification

7.1.3 Citizenship

- The South African Citizenship Act, 1995 (Act No 88 of 1995) as amended

- The Regulations in terms of the South African Citizenship Act, 1995 as amended

- The Manual on Citizenship – Revised Edition August 1999

- Delegations in terms of Section 22 of the South African Citizenship Act, 1995

7.1.4 Travel documents and passports

- South African Passports and Travel Documents Act, 1994 (Act No 4 of 1994) as amended

- South African Passports and Travel Documents Regulations, 1996 as amended

- Machine Readable Passport System Manual

- Passport Manual

- Passport Stop list

7.2 Migration

- The Refugees Act, 1998 (Act No 130 of 1998)

- The Regulations promulgated in terms of the Refugees Act, 1998

- The Aliens Control Act, 1991 (Act No 96 of 1991)

- The Regulations promulgated in terms of the Aliens Control Act, 1991

- The Criminal Procedure Act, 1977 (Act 51 of 1977)

- Delegations of power (Passport Control Instruction No 29 of 1997), 5 August 1997

- The Universal Declaration of Human Rights as adopted by the General Assembly of the United Nations on 15 December 1948

- Basic Agreement between the SA Government and the United Nations High Commissioner for Refugees (UNHCR), 6 September 1993.

- The 1951 United Nations (UN) Convention relating to the status of refugees.

- The 1967 Protocol on Specific Aspects of Refugees Protection.

- The Organization for African Unity (OAU) Convention governing the specific aspects of

refugee problems in Africa, 1969

- Departmental Policy Documents on Visas, Port Control and other Migration functions

- Various relevant SADC Protocols adopted on various dates

- Bilateral Visa Agreements between South Africa and other countries

- Movement Control System

- Stop lists (Visa and Entry, Passports)

- Migration Codes

- Court Rulings (National and International)

- Circulars concerning Migration

- The UNHCR Handbook on criteria and procedures for the determination of refugee status, 1979

- Amnesty International and other Human Rights Reports

- Precedent asylum claims

7.3 Other mandates

- The Constitution of the Republic of South Africa, 1996 (Act No 108 of 1996)

- Public Service Act, 1994 (Act No 103 of 1994) as amended

- The Regulations promulgated in terms of the Public Service Act of 1994, as amended, 2001

- Delegations in accordance with the Public Service Act, 1994

- Labour Relations Act, 1996 (Act 66 of 1996)

- Public Finance Management Act, 1999 (Act No 1 of 1999) as amended

- Employment Equity Act, 1998 (Act No 55 of 1998)

- Basic Conditions of Employment Act,1997 (Act No 75 of 1997)

- Skills Development Act, 1998 (Act No 97 of 1998)

- Skills Development Levies Act, 1999 (Act No 9 of 1999)

- South African Qualifications Authorities Act, 1995 (Act No 58 of 1995)

- Promotion of Access to Information Act, 2000 (Act No 2 of 2000)

- Exchequer Act, 1975 (Act No 66 of 1975)

- Public Holidays Act, 1994 (Act No 36 of 1994)

- Imprint Act, 1993 (Act No 43 of 1993) as amended

- Film and Publication Act, 1996 (Act No 65 of 1996)

- Treasury Regulations, 2001 (Government Gazette No 22219 dated 9 April 2001)

- White Paper on the Transformation of the Public Service, Government Gazette No 1227, 24 November 1995

- White Paper on Transformation of Public Service Delivery Batho Pele (Government Gazette No 18340, October 1997)

- White Paper on Reconstruction and Development (Government Gazette No 16085, November 1994)

- White Paper on Public Service Training and Education, July 1997

- White Paper on Affirmative Action in the Public Service (Government Gazette No 18800, April 1998)

- White Paper on the Human Resource Management (Government Gazette No 18594, December 1997)

- White Paper on an Integrated National Disability Strategy, 1997

- Growth, Employment and Redistribution (GEAR) strategy, 1996

8   Vision

The purpose of the vision as defined by Top Management of the Department of Home Affairs is to clarify purpose and direction, to inspire enthusiasm and to act as a bridge between the present and the desired future state. A number of change objectives have been developed for achieving this vision. In order to implement the vision, every vehicle possible should be utilised to communicate the vision. Furthermore, the leaders of the DHA should institutionalise new behaviours by leading through example and empowering staff members to act on the vision, getting rid of obstacles to change and encouraging risk taking and non-traditional ideas, activities and actions.

The **vision** of the Department of Home Affairs is

rendering a world-class service.

The DHA strives to become the leading state department in South Africa in terms of service delivery. Through successful stakeholder relationships, collective and collaborative solution finding, empowerment, flexibility and creativity, the Department will transform itself from a reactive to a proactive organisation recognised for successful service delivery and effective and committed staff members.

The DHA will promote the economic well-being of workers and their families, and help them share in the dream of putting people first through the expansion of development opportunities and the fostering of safe and healthful workplaces that are free from discrimination and prejudice.

9   Mission

The **mission** of the Department is

to commit itself as required by stipulated mandates to determine and confirm status of persons by providing enabling documents in the interest of promoting and protecting the national integrity.

Fulfilling this mission depends on effectively balancing the immediate need for information to guide the management of resources with the need for long-range, strategic information to understand and predict emerging patterns and trends in the external and internal environments.

In a rapidly changing world, rendering world-class service is needed to fulfil the needs of our customers. There is a growing public awareness of the threats to the national integrity by way of fraud and corruption through the issuing of illegal enabling documents. To minimise these threats the optimisation of effective, efficient and economic service delivery is crucial. By understanding the status of and trends that impact on service delivery, limited resources can be optimally deployed in order to improve the quality of life for our citizens.

10   Mission Success Factors

In the quest for realising the mission of the Department the following factors have been identified as critical to ensure compliance with stakeholder, customer and staff members' expectations:

- Client focus orientation

- Reliable documentation

- Quality service

- Accessibility

- Professional staff orientation

- Compliance with mandates

- Corruption free system

11 Corporate Value System

The **value system** of the Department indicates the difference between right and wrong in the operating environment in accordance with what is personally and sociably acceptable. The value system provides fundamental beliefs that influence individual and organisational decision-making and behaviour. The managers and staff members of the Department of Home Affairs consider these values to encompass common and paramount strengths, responsibilities, and opportunities.

- **Ethical**: We live and work in unity with our core values and are responsive in our conduct to our stakeholders and customers who have placed their trust in us to address the many issues that confront us. We value our diverse workforce and create a work environment that is free from prejudice and discrimination. We respect differences among people and ideas. We treat each other and those whom we serve with fairness, dignity, and compassion.

- **Adaptable**: Adaptability reflects the commitment to creativity and innovation, thus enabling adaptation to ever changing environments and customer requirements. We must be prepared to reallocate our resources and build on our strengths - current and emerging - as we develop a set of goals and strategies that will help us to realise our vision.

- **Transparent**: Transparency is the creation, publication and dissemination of knowledge in an environment where all employees, stakeholders and customers are viewed as interrelated parts of a holistic organisation.

- **Professional**: We exemplify the highest standard of dedication, trust, co-operation, pride and courtesy in the work environment. We, not only value professionalism as an integral part of service delivery, but also as the spark that engages our staff members and informs and enhances our stakeholders and customers, locally and world-wide.

- **Accountable**: We excel as responsible stewards of taxpayer's resources. We strive to improve our performance and have an obligation to respond to the expectations placed upon us by stakeholders and customers. These expectations include inclusiveness of access and the quality of service delivery.

- **Productive**: We will increase our value to all stakeholders and customers to the extent that we set priorities and make the difficult choices that will lead to the enhancement of service delivery. It implies active and enthusiastic involvement of both management and staff members in the rendering of world-class service.

These values are not abstractions; rather, they operate at several discernible levels, including the theoretical and the applied. They must serve as a framework on which to build the future and strengthen current actions.

12   Core functions

In accordance with its mandates the Department of Home Affairs executes the following core functions:

12.1 Civic Services

- Maintaining the Population Register

- Safekeeping of records

- Citizenship

- Travel documents and passports

- Identity documents

- Identification

12.2 Migration

- Visas

- Permanent residence

- Temporary residence

- Refugee affairs

- Movement control

- Managing illegal migration

- International affairs

13   Key stakeholders

There are many **stakeholders** who have a legitimate interest in the outcomes of the DHA. These individuals or groupings of persons have interest in the DHA for various, but specific reasons. The main stakeholders of the DHA can be grouped and classified as depicted in **Table 1**.

Table 1: Key stakeholders

Stakeholder	Relationship	Expectation
The South African people	they are investors because they fund the DHA through their taxes, and therefore expect accountability for it	Return on investment through the provisioning of reliable enabling documentation, accessible services and a customary focused orientation
Parliament	allocates resources invested by the tax payers. Also for legislation, policy, accounts to Parliament	Maximum benefit for the allocation of those resources
The Minister and Deputy Minister of DHA	provide policy direction and strategic leadership and the legislative environment in which the DHA should operate	Effective, efficient and economic service delivery in accordance with mandates
Cabinet ministers and other state departments	Interact, co-operate and form partnership entailing joint decision-making, consultation, co-ordination, implementation and advice	Effective and efficient execution of functions
Director-General	responsible for managing the environment which creates the products and services for the customers. Accounting officer	Performance commitments met
Suppliers	provide inputs and raw resources to the DHA	Effective and efficient execution of functions
Alliances	form partnerships to improve service delivery	Effective and efficient execution of functions

DHA staff members	responsible for creating products and services to meet customer requirements	Sufficient allocated resources and a decent working environment

14   DHA business model

The business model as depicted in **Figure 1,** shows   the DHA as an interrelated and interdependent system of processes. The DHA's value chain identifies the primary activities that create value for external customers and the related management and support activities. We can distinguish three major types of processes in the DHA business model:

- **Management** processes that provide strategic direction to the Department.   These processes provide focus and align action with the vision and mission of the Department.

- **Core** processes (line functions) that are vital to the Department. They are mission-critical processes that provide the products and services to external customers. Core processes must be "world-class" whether they are performed by the Department of Home Affairs personnel or industry partners.

- **Support** processes (staff functions) that are essential to performing the core processes. In most cases these processes are required by legislation e.g. the Public Service Act, 1994, Employment Equity Act, 1998, the Public Finance Management Act, 1999 and the White Paper on the Transformation of the Public Service, 1995.
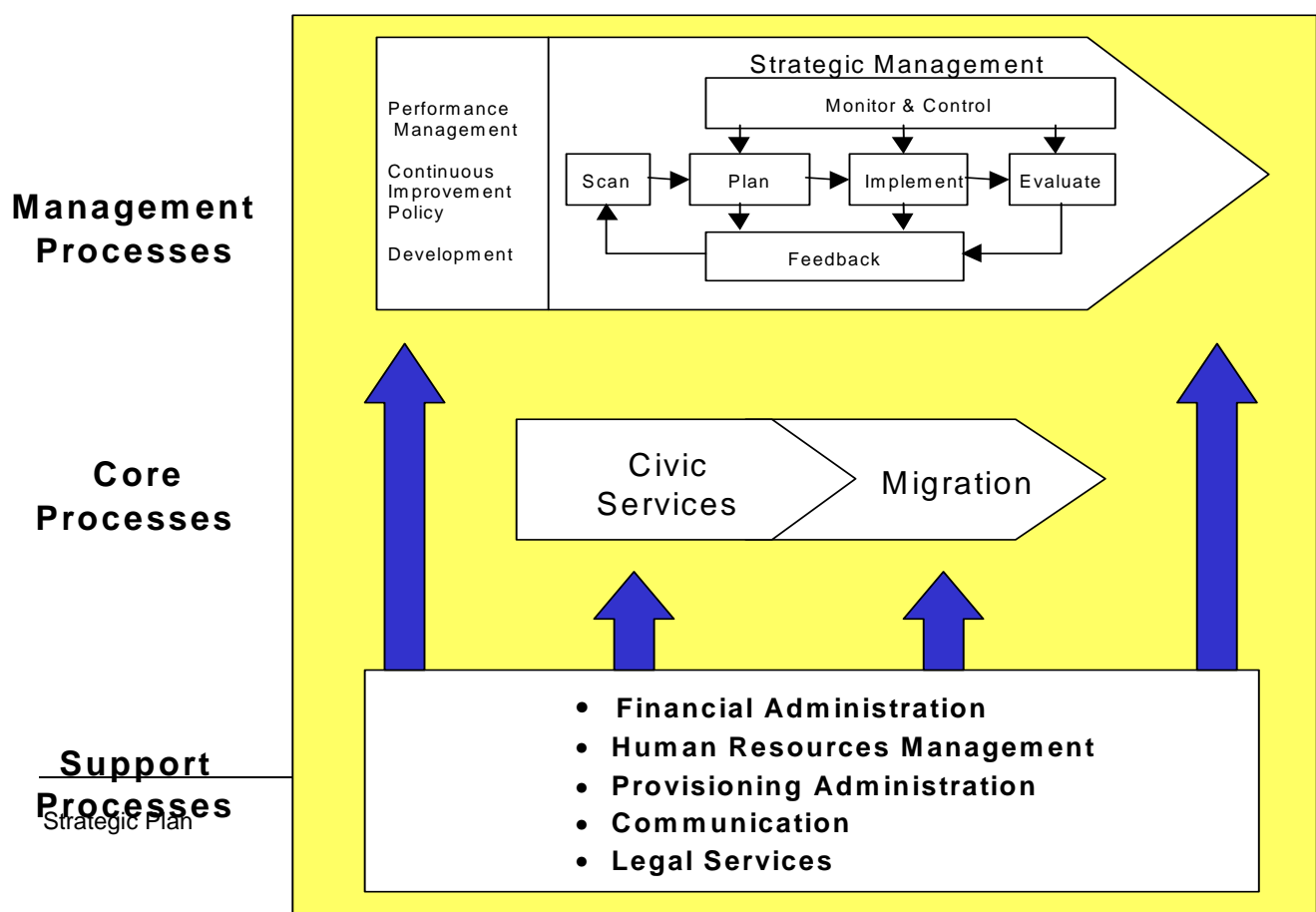
Figure 1: DHA Business Model

15   Organisational structure of the Department of Home Affairs

As an organisation with diverse mandates and functions, the Department's mission is carried out by a number of organisational units, regional offices and foreign missions. Service delivery is brought to customers through a network of regional/district offices and service points, mobile units as well as offices abroad. The Department's Strategic Plan demonstrates how these diverse, crosscutting functions are integrated and linked to support the goals of the Department. The key organisational structure is depicted in **Figure 2**.
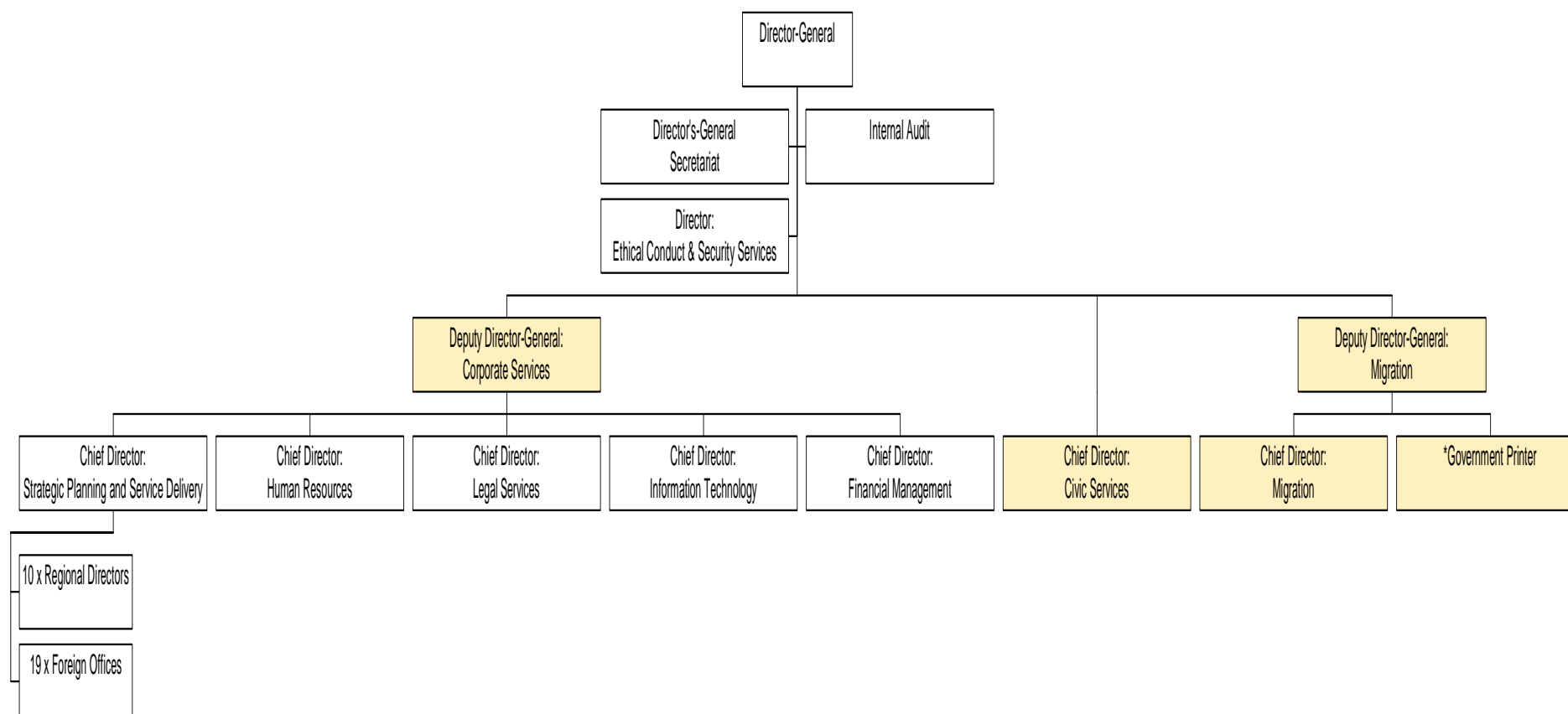
Figure 2: DHA organisational structure

*The Government Printing Works will be converted into a public enterprise in due course.

16   Strategic direction

The Department of Home Affairs is an important part of the central government machinery that works to realise and protect citizenship rights and benefits through its policies, programmes and activities. These activities strengthen the institutional framework and daily operations of the country's democracy.

In terms of the requirements of the National Treasury, the departmental budget is structured in four programmes. These programmes are:

- *Administration* provides for the overall management of the Department

- *Services to citizens* grants specific rights and powers to members of the population, addressing travel and passport matters, citizenship and population registration

- *Migration* controls immigration according to South Africa's skills and investment needs as well as the national interest and controls visitors who enter the country on a temporary basis

- *Auxiliary and associated services* support the Film and Publication Board, the Government Printing Works, government motor transport and the Electoral Commission.

The Department's planning objectives, encompassed in this Plan, will be resourced and accomplished through these programmes.

16.1   Key departmental objectives

16.1.1 Programme 1: Administration

The aim of the *Administration* programme is to conduct the overall management and administration of the Department. The programme provides for policy formulation by the Minister, Deputy Minister, Director-General and other members of the Department's management. Other functions include organising the Department, rendering centralised administrative, legal and office support services, managing departmental personnel and financial administration, determining working methods and procedures, and exercising control through head office and regional offices.

16.1.2 Programme 2: Services to citizens

The *Services to citizens* programme aims to identify members of the population and grant them specified rights and powers, and is organised into three subprogrammes:

- Travel and passport matters provide for the issuing of passports and other travel documents to enable international journeys in terms of the South African Passport and Travel Documents Act of 1994, as well as the repatriation of and financial assistance to citizens abroad with financial problems.

- Citizenship concerns activities related to determining, granting and forfeiture of citizenship in terms of the South African Citizenship Act of 1995.

- Population registration provides for the maintenance of a population register of South African citizens and of foreigners who acquired the right to permanent residence in the Republic. It also funds activities related to registration of births, marriages and deaths, and the issuing of identity documents.

16.1.3 Programme 3: Migration

The aims of the *Migration* programme are to:

- Select immigrants according to South Africa's person-power and investment needs with due regard to the country's economic, social and cultural interests.

- Control the entry and departure of all international travellers, as well as the sojourn of undocumented foreigners who enter the Republic of South Africa on a temporary basis.

The *Migration* programme handles migration matters in foreign countries; controls visas and admission of travellers at ports of entry; deports undocumented foreigners; and considers and processes refugee cases in terms of the Aliens Control Act, 1991 and the Refugee Act, 1998. The programme has the following six subprogrammes:

- Permanent and temporary residence provides for the processing of applications for permanent residence, performance of administrative work attached to the Immigrants Selection Board in respect of the selection of immigrants, and arrangements for their repatriation and incidental assistance in certain cases. It also includes the processing of applications for work, study and temporary permits.

- Immigrants Selection Board and committees provides for the remuneration and allowances to members of the Immigrants Selection Board and regional committees. It also funds a grant-in-aid to the Consultative Committee for Performing Arts.

- Control of travellers provides for the admission control of travellers at ports of entry and control of visas.

- Aliens control provides for the deportation of convicted foreigners and removal of undocumented foreigners.

- Refugee affairs funds the processing of applications and granting of asylum in accordance with the Refugee Act, 1998.

- Refugee Affairs Appeal Board hears and adjudicates appeal cases rejected by the Refugee Affairs Standing Committee.

16.1.4 Programme 4: Auxiliary and associated services

The aim of the programme is to render auxiliary services and services associated with the Department's aims. The programme is organised into the following subprogrammes:

- Film and Publication Board funds the classification of certain films and publications by means of a Film and Publication Board and a Film and Publications Review Board in terms of the Film and Publication Act of 1996.

- Government printing works provides for the augmentation of the Government Printing Works Trading Account for the supply of printing and stationery to government departments and to make government publications available for sale to the public.

- Government motor transport funds the purchase of vehicles for departmental use, as well as for allocations under the subsidised motor transport scheme.

- Electoral Commission provides for the establishment and composition of an Electoral Commission to manage elections for national, provincial and local legislative bodies and referenda; and makes provision for the establishment, composition and powers, duties and functions of an Electoral Court as well as matters in connection therewith in terms of the Electoral Commission Act of 1996.

The Department of Home Affairs will pursue the achievement of the following objectives:

Key departmental objective	Strategy	Output	Service delivery indicator	Service delivery target
Programme 1: Conduct the Department's overall management and administration	Develop and provide policy Render administrative, legal, support services, managing personnel, financial administration and control head office and regional offices	Policy documents Projects on institutional design and business improvement of processes	Less litigation Redesigned business processes enhancing service delivery	
Programme 2: Identify citizens and grant specific rights and powers to South African citizens	Issuing of passports and travel documents	Passport/travel documents; emergency passports;	Number of documents issued and the percentage of requested documents processed correctly within the targeted delivery period of six weeks and one week for an emergency document	Six weeks
	Determining, granting and forfeiture of citizenship	Citizenship granted	Number of applications processed and the percentage of applications processed correctly within the targeted delivery period of eight weeks	Eight weeks
	Recording of fingerprints for the issuing of identity documents and passports	Fingerprints recorded; identity documents	The number of fingerprints correctly recorded; the number of identity documents issued and the percentage of identity documents requested correctly issued within the targeted delivery period of two months for a permanent document and instant delivery for a temporary document	Two months
	Registration of births, marriages and deaths on the population register	New recordings on population register and certificates issued for births, marriages and deaths	The number of registrations of births, marriages and deaths recorded and certificates issued and the percentage of the requests that were dealt with correctly within the targeted delivery period of one day for recording an entry and issuing a certificate	One day
Programme 3: Select immigrants and control entry, sojourn and departure of foreigners	Permanent and temporary residence	Certificates of permanent and temporary residence	The number and percentage of applications processed and certificates issued correctly within the targeted delivery period	Eight weeks (local) and 18 months for foreign applications
	Control of travellers	Visas	The number and percentage of visas processed correctly within the targeted delivery period	Ten days
	Alien control	Illegal foreigners repatriated	The number and percentage of illegal foreigners successfully repatriated within the targeted period	One month per foreigner
	Refugee affairs	Asylum to refugees	The number and percentage of applications processed and certificates issued correctly within the targeted period	Three months (local) and 18 months foreign applications
	Refugee Appeal Board	Appeals processed	The number of cases handled	
Programme 4: Render auxiliary services and services associated with DHA aims	Film and publication; elections and printing works	Regulated films and publications; free and fair elections; printing and stationery to government and local authorities	The number of films classified and prohibition of exploitative use of children in pornography on the internet; elections declared being free and fairly administered; the number of publications printed as well as the related services to departments, the printing industry and other African countries, such as manufacturing of fingerprint ink and specialised postage stamps to other countries	

16.2 Resource requirements

The resource requirements for the medium term, in accordance with the MTEF allocations are as follows:

Key departmental objective	2002/03 R 000	2003/04 R 000	2004/05 R 000
Programme 1	173 813	186 136	197 304
Programme 2	529 369	558 269	591 765
Programme 3	200 420	216 539	229 531
Programme 4	118 760	412 155	436 884
Total	1 022 362	1 373 099	1 455 484

PART 3: STRATEGIC CHANGE PLAN

16   Environmental analysis

It may be argued that the basis for investigating the future is an understanding of the present. The first requirement, therefore, is having the best possible picture of the overall environment as its currently exists, together with changes which have affected it in recent time, as well as longer term trends. With this aim in focus the Department of Home Affairs embarked on a comprehensive and thorough diagnosis of the current situation.   The purpose of this environmental analysis served three basic goals:

- To provide an understanding of current and potential changes taking place in the environment;

- To provide important intelligence for the DHA strategic decision-makers; and

- To facilitate and foster strategic thinking in the DHA.

The environmental analysis of the DHA comprises the following components:

- An **External Environment Analysis**, which comprises a Macro-Environment Analysis, a Customer Survey and a Stakeholder Analysis as well as a Mandate Analysis.

- An **Internal Analysis**, comprising a Departmental Overview, a Business Processes Analysis, an Information Technology Systems Audit, a Budgetary Audit and a Human Resources Culture and Change Readiness Audit.

The results of the environmental analysis were combined into an Integrated Diagnostic Report (DHA report 2/42-01-0020) dated 18 December 2000. This document together with past analytical and strategic planning information was used as primary substantive inputs into the DHA's strategic planning process as illustrated in **Figure 3**.
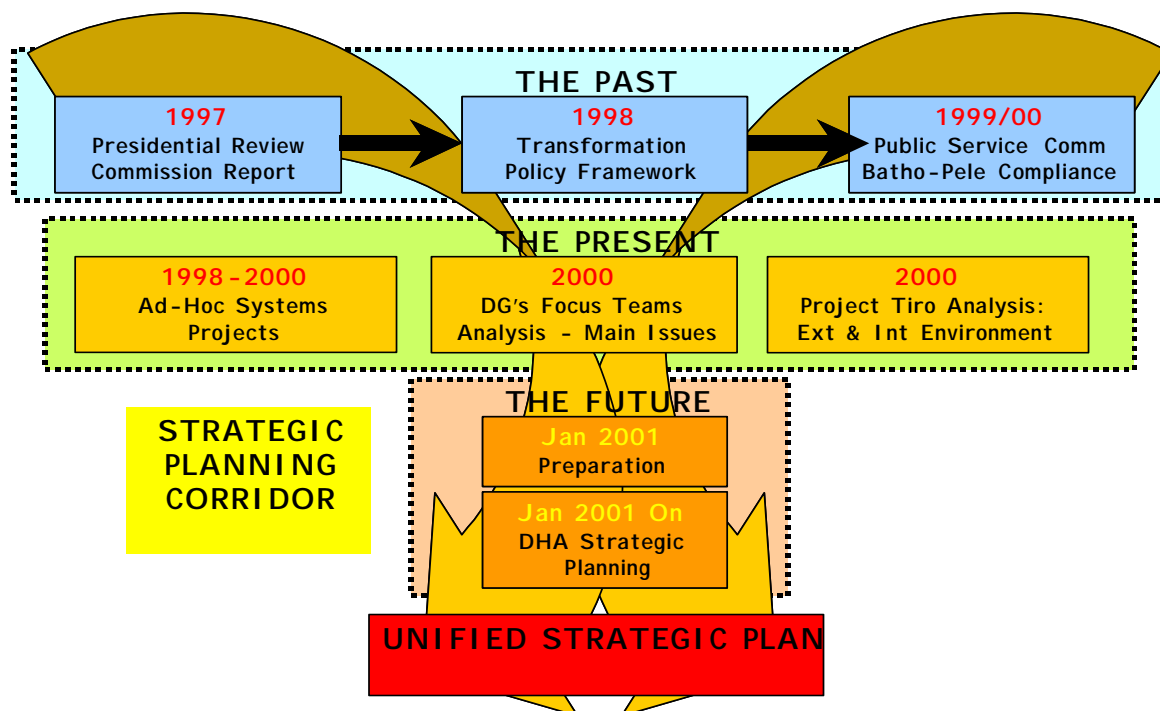
Figure 3: DHA - Past, Present and Future Change Processes

17   External Analysis

Adapting to environmental changes is the essence of strategic management within DHA. The external environment consists of variables (opportunities and threats) that are outside the DHA and not typically within short-run control of the DHA's Top Management.   Opportunities represent potential for positive action, and threats are events that represent danger and risk to the DHA's future.   Threats are therefore events or conditions that can potentially harm the DHA's interests. The following primary opportunities and threats were identified:

- *Political:* Pressure for structural transformation of the DHA

- *Economic:* Budgetary reductions resulting in stakeholder focus on core functions, and move towards more efficient operating practices.

- *Social:* Increasing influx of undocumented foreigners, low levels of population registration and increases in legal movements of tourists and business travellers to SA.

- *Technological:* Improvements in software, hardware and telecommunications systems offering significant opportunities for the DHA to improve systems efficiency and integrity and

reduce operating costs.

- *Legislative:* Potential impact of the Migration Control Bill on the structure and operation of the migration function as well as the harmonising of legislation with the Constitution.

- *Environmental:* Natural disasters and catastrophes such as floods, droughts and famine create an artificial influx of political and economic refugees, placing an ever increasing burden on the resources of the DHA.

18 Internal Analysis

The internal environment consists of variables (strengths and weaknesses) that are present within the DHA and form the context in which work is done. These variables were analysed with the aid of the 7-S framework. One of the primary goals of the DHA's strategic planning process is to combine these internal corporate variables to give the DHA a balanced, but distinctive competence, enabling it to attain a suitable competitive advantage. The internal analysis revealed the following major strengths and weaknesses:

- Improve customer service by eliminating problems and complaints

- Improve product/service quality by eliminating errors and rejects

- Strengthen the value-chain by minimising non-value-added activities

- Adjust the control-chain by eliminating inappropriate controls

- Reduce process cycle time

- Lower process costs

- Add alternative ways of service delivery

- Emulate best practices based on benchmarking activities

- Develop knowledge-based systems for front-line workers

- Improve workflow within processes by realigning facilities and equipment

- Make processes more flexible and adaptable to changing conditions

- Exploit new technologies

- Improve workplace security, morale and job satisfaction

- Balance accessibility and security requirements

- Lower risks of process failure and increase process stability

- Realign organisational structures to support process management principles

- Improve training methods in support of competency-based principles

- Reduce paperwork, flows and storage requirements

- Develop in-process performance measures for continuous process improvement

- Maximise resource and asset utilisation

- Standardise around open systems

- Eliminate and replace obsolete or expensive legacy systems

19   Stakeholder, customer and mandate analysis

No complete analysis of the environment can be done without consulting with stakeholders and for this reason the roles and involvement of primary stakeholders were probed.   Issues, proposals and requirements were identified to improve service delivery to the benefit of all. Furthermore, major mandates were identified, listed and analysed with the purpose of establishing current loopholes, constraints and unfunded mandates. All gathered data was verified, consolidated, classified and analysed through the application of various techniques to establish common trends, problems and issues. The analysed information served as the basis for providing a snapshot of the DHA's current state during the strategic planning workshop and the preparations therefore.

20   Change Objectives

The purpose of the change objectives is to transform the Department of Home Affairs from its current state to its vision of rendering a world-class service. This entails an incisive rethink and complete redesign of our business in order to achieve service excellence.   Whereas the operational objectives address the sustenance of the ongoing business of the Department, the change objectives provide a framework and focus for the comprehensive and fundamental transformation of the Department in order to ensure compliance with key governmental policy objectives, the attributes of the South African Excellence Model and foremost customers' service expectations. The Strategic Plan has been organised according to six corporate goals.

Goal 1: Promote and develop leadership to provide direction and focus to the process of rendering world-class service

Objectives:

- Implement a collective management style.

- Develop and implement a performance management system.

- Promote ethical conduct by implementing a corporate value system, culture and identity

Involvement of all staff members is important in the creation of a new corporate culture and identity. By involving staff members in the process, there is an enhanced feeling of community and larger adoption of the new culture and identity. All staff members were invited to participate on an equal basis in the formulating of a corporate slogan.

Goal 2: Develop, implement and sustain sound policy and strategies to serve as a framework and to provide guidance to all stakeholders

Objectives:

- Develop and implement a sound communication strategy.

An internal communications programme will serve to communicate throughout the Department, offer news and information, provide a common platform for announcements and become the foundation of an information funnel for media and public relations. Media relations are of critical importance to the Department's Strategic Plan. A successful news service can enhance the image and visibility of the organisation by publishing the success and achievements of the people who make up the Department.

- Implement and sustain a strategic management approach.

- Align policy with needs of clients.

- Align policy with legislation.

- Harmonise legislation with the Constitution.

- Implement the PFMA.

Goal 3: Enhance service delivery to customers through continuous business process improvement

Objectives:

- Transform Migration Services.

- Transform Civic Services.

- Develop and introduce a service delivery improvement strategy.

- Develop a scientific establishment and organisational structure in line with service delivery requirements.

- Manage stakeholder relationships.

- Leverage information technology as an enabler to optimise service delivery

- Develop an effective information management system.

- Provide efficient legal services.

- Implement effective provisioning administration processes.

Goal 4: Manage staff members in such a way that the DHA is regarded as the state employer of choice

Objectives:

- Develop a sound human resources development programme.

- Develop a strategy for the effective and efficient recruitment, management and utilisation of human resources.

- Ensure job creation and employment equity

Goal 5: Manage all resources in an effective, efficient and economical way

Objectives:

- Implement an equitable distribution of all resources.

- Implement sound security measures.

- Enter into public private partnerships

- Investigate and implement alternative resourcing mechanisms and infrastructure

Goal 6: Investigate and implement special projects with regard to core, management and support functions incorporating cutting-edge business architecture including strategy, culture and image, processes, structures, technotronics and facilities

Objectives:

- Successfully implement current special projects such as HANIS, AFIS, rewriting of the Population Register, MCS and DMS.

- Introduce new special projects including determining optimal office distribution and utilising alternative office accommodation such as the conversion of freight containers and co-operating with local and traditional authorities.

- Institutionalise strategic management linked with benchmarked organisational performance management and the South African Excellence Model performance measurement system in our quest for rendering world-class service.

21 Key risk factors

- Time constraints

- Budget constraints

- Buy-in into the Strategic Plan by senior and junior personnel

- No tangible outcomes after a certain period

- Support from political office bearers

22 STRATEGIC GOALS AND OBJECTIVES: ACTION PLAN

Strategic Goal	Change Objective	Service Delivery Indicator	Responsibility	Time-Scale/Target
1: Promote and develop leadership to provide direction and focus to the process of rendering world-class service	1. Implement a collective management style	Total co-operation by all managers in participative management with 90% attendance at management meetings	Chief Director: SPD	Within first year (2002/02/28)
	2. Develop and implement a performance management system	Effective and sustained performance management operational	Chief Director: HR and Chief Director: SPD	Within first year (2002/02/28)
	3. Promote ethical conduct by implementing a corporate value system, culture and identity	Improved degree of awareness of the code of conduct by 20% and a 20% reduction in fraud, bribery and corruption	Chief Director: SPD and D: ESS	Within one year (2002/02/28)
2: Develop, implement and sustain sound policy and strategies to serve as a framework to provide guidance to all stakeholders	1. Develop and implement a sound communication strategy	Implemented communication strategy	Chief Director: SPD and D: C	Within first year (2002/02/28)
	2. Implement and sustain a strategic management approach	Buy-in and participation in strategic planning process by all managers and staff	Chief Director: SPD and Chief Director: HR	Within first year (2002/02/28)
	3. Align policy with needs of clients	Satisfied customers	Chief Director: SPD	Within first year (2002/02/28)
	4. Align policy with legislation	100% alignment of all mandates executed by DHA	Chief Director: Legal Services	Within first year (2002/02/28)
	5. Harmonise legislation with the Constitution	100% alignment of all mandates executed by DHA	Chief Director: Legal Services	Within first year (2002/02/28)

Strategic Goal	Change Objective	Service Delivery Indicator	Responsibility	Time-Scale/Target
	6. Implement the PFMA	Conformance to PFMA by all managers	Chief Director: FM	Within first year (2002/02/28)
	7. Transfer inherited functions not related to the primary responsibilities of Home Affairs to other departments	1. Transfer functions emanating from the Imprint Act, 1993 as amended to the Department of Communications 2. Transfer functions relating to calendar forming and time calculation to the Department of Arts, Culture, Science and Technology	CD: SPD	2001/02
3: Enhance service delivery to customers through continuous business process improvement	1. Transform Migration Services	Meet service standards set by Minister	Chief Director: Migration	2003/04
	2. Transform Civic Services	20% increase in service accessibility, 35% reduction in applications returned as queries and 40% reduction in time spent in queues	Chief Director: Civic Services and Chief Director: SPD	2003/04
	3. Develop and introduce a service delivery improvement strategy	Implementation of new strategy with a 30% improvement in service delivery	Chief Director: SPD	2003/01/01
	4. Develop a scientific establishment and organisational structure in line with service delivery requirements	All vacancies filled with an improvement in service delivery	Chief Director: HR and Chief Director: SPD	2003/01/01

Strategic Goal	Change Objective	Service Delivery Indicator	Responsibility	Time-Scale/Target
	5. Manage stakeholder relationships	At least 3 interactions per month	Chief Director: SPD, Chief Director: CS and Chief Director: Migration	2002/02/28
	6. Leverage information technology as an enabler to optimise service delivery	Successful implementation of HANIS, live capturing fingerprint system; an information management system in place; 30% of service points computerised and improved computer proficiency in staff	Chief Director: IT, CD: CS and CD: SPD	2001/02
	7. Develop and implement an effective information management system	Management of information system implemented and person appointed	Chief Director: SPD and Chief Director: HR	2002/02/28
	8. Provide efficient legal services	Improved turnaround times by 50%	Chief Director: LS	2002/02/28
	9. Implement effective provisioning administration processes	Conformation to service standards and PFMA	Chief Director: FM and D: PA	2002/02/28
	10. Investigate and implement opportunities of service delivery improvement by way of involving local and traditional authorities in the provision of departmental services	The successful involvement of local and traditional authorities in the provision of departmental services	CD:SPD, CD: CS	2002/03

Strategic Goal	Change Objective	Service Delivery Indicator	Responsibility	Time-Scale/Target
4: Manage staff members in such a way that the DHA is regarded as the state employer of choice	1. Develop a sound human resource development programme	5% improvement in service delivery; representative training committee established; MTU training facility and adequate equipment obtained; multi skilling of personnel	Chief Director HR and D: HRD	2002/03
	2. Develop a strategy for the effective and efficient recruitment, management and utilisation of human resources	New scientifically established organisation structure in place	Chief Director: HR and Chief Director: SPD	2003/02/28
	3. Ensure job creation and employment equity	Implementation of new approved plan	Chief Director: SPD and Chief Director: HR	2003/04
5: Manage all resources in an effective, efficient and economical way	1. Implement an equitable distribution of all resources	Resources allocated according to the findings of the internal analysis and survey	Chief Director: SPD, Chief Director: FM and Chief Director: HR	2002/03
	2. Implement sound security measures	35% reduction in fraud, bribery and corruption while 30 % offices of DHA are regionally reallocated	Chief Director: SPD and D: ESS	2002/02/28
	3. Enter into public private partnerships	Established public private partnerships	Chief Director: SPD	2002/02/28

Strategic Goal	Change Objective	Service Delivery Indicator	Responsibility	Time-Scale/Target
	4. Investigate and implement alternative resourcing mechanisms and infra-structure	Implemented alternative resourcing and infra-structure	Chief Director: SPD	2002/02/28
Strategic Goal	**Change Objective**	**Service Delivery Indicator**	**Responsibility**	**Time-Scale/Target**
6. Investigate and implement special projects with regard to core, management and support functions incorporating cutting-edge business architecture including strategy, culture and image, processes, structures, technotronics and facilities	1. Successfully implement current special projects such as HANIS, AFIS, rewriting of the PR, MCS and DMS	First issues of smart cards to pensioners Special projects successfully implemented	CD: SPD, CD: IT and CD: CS CD: SPD, CD: IT, CD: CS and CD: M	31/10/2001 2002/04
	2. Introduce new special projects including determining optimal office distribution and utilising alternative office accommodation such as the conversion of freight containers.	Utilisation of freight containers as offices The scientific determination of appropriate office locations	CD: SPD, CD: CS and CD: FM	2002/03
	3. Institutionalise strategic management linked with benchmarked organisational performance management and the SAEM performance measurement system in our quest for rendering world-class service	The strategic management process successfully utilised by all Chief Directors, Regional Directors and Directors at Head Office.	Top Management	2002/03

PART 4: CAPITAL INVESTMENT STRATEGY

23 Proposed acquisitions of fixed or movable capital assets planned capital investments and rehabilitation and maintenance of physical assets.

23.1 Acquisition of fixed assets

23.1.1 Policy

It is not departmental policy to procure or alienate land for purposes of erection of buildings or other accommodation. However, in the specific circumstances where land has been procured or is in the process of procurement (e.g. Bray Border Post and Khayelitsha Regional Office) that have been initiated by the National Department of Public Works, such acquisitioning are included in the MTEF for 2002/2003 – 2004/2005 financial years, since these functions and responsibilities are currently being decentralised to Government Departments.

23.1.2 Aim or projections

The Department intends to promote service delivery by inter alia making Home Affairs services more accessible to citizens in rural and remote areas. Strategies to achieve this, include:

- Servicing MPCC's (Multi Purpose Community Centres) initiated by GCIS;

- Conversion of containers into offices where accommodation is insufficient or other alternatives unavailable in order to serve the public more efficiently; and

- Alternative service delivery arrangements such as relocation and proper management of existing detainee facilities.

23.2 Acquisition of movable capital assets

- Capital equipment is being acquired for the HANIS Project, which is a long-term project. This includes maintenance of systems and procedures.

- Computerisation of all regional / domestic offices to implement HANIS, document control and movement control is a foremost priority.

- Vehicles – Government-owned vehicles have been provided by Provincial Administrations, to National Departments. This service is being phased out and required the Department to acquire its own Departmental vehicles. "GG" vehicles are being replaced with departmental and/or subsidised vehicles. An equitable distribution of vehicles is of the essence, and proper control systems have been introduced.   The maintenance and

replacement/disposal of unserviceable vehicles will also become the responsibility of the Department. Policy has already been laid down to procure, maintain and control vehicles in the Department. Such policy has been included in the departmental Administration Code.

23.3 Maintenance of physical assets

The maintenance of physical assets is to become the responsibility of the user Department in terms of the new dispensation. The Department of Public Works has initiated a project called RAMP: (Repair and Maintenance Programme). During phase 1 of this programme the focus will be mainly on port control offices. Phase 2 will also include other office accommodation. The main objective of this programme is to ensure preventative and consistent maintenance of buildings rather than ad hoc repairs or renovations. The successful implementation of this programme is dependant on adequate budgetary allocations towards this purpose.

24 Proposed acquisition of financial assets or capital transfers and plans for the management of financial assets and liabilities

24.1 Capital transfers

Capital transfers from the Department to Provincial Administrations pertaining to governmental transport is problematic. The National Treasury will be approached in order to introduce a new dispensation based on the cost effective departmental management of official transport.

25 PLANNING INFORMATION FOR 2002/03 (YEAR 1 INFORMATION)

25.1 Programme and Output Details for the Year ending 31 March 2003

The detail hereof is included in the Department's MTEF budget submission (2002/03-2004/05), to be submitted to the National Treasury on 29 June 2001. The Directorate: financial Administration is currently compiling the document according to inputs received from the Responsibility Managers and directives from the Budget Committee meeting which was held on 11 June 2001

25.2 Services to be Scaled Down or Abolished during 2002/03

No services are to be scaled down or abolished during 2002/03. However, if services of a high priority should not be funded, it could result in other services to be scaled down.

25.3 Interdepartmental Projects and Contributions during 2002/03

If other Departments are persuaded to contribute to the upgrading of systems during 2001/02 it would have a carry-through effect to 2002/03

51

25.4 Departmental Forecast Financial Statements

Planning for the year 2002/03-2004/05 is to be included in the Department's MTEF budget submission, to be submitted to the National Treasury by 29 June 2001

PART 5: ORGANISATIONAL MANAGEMENT

26 Human Resource Strategy

The Human Resource Strategy strives towards ensuring effective and efficient utilisation and development of personnel, whilst also addressing the past inequalities and historic imbalances, and rendering a professional human resources service to the entire Department.

It is envisaged that this objective will be achieved by the implementation of a Human Resources Plan, which is aimed at ensuring that the Department has the right number of people with appropriate competencies, and that the implementation of the Employment Equity Plan and the Affirmative Action Policy, will further ensure that the staff component of the Department at all levels reflects the demographic realities of the country.

27 Affirmative Action Programme

The Department welcomes the responsibility to provide opportunities for those people who have been excluded from occupying positions of responsibility as a direct result of discrimination. To ensure that real opportunities for development are created, the Department of Home Affairs recognises that affirmative action initiatives need to be driven at the individual, organisational and environmental levels.

The Department of Home Affairs acknowledges the equal and inalienable right of every individual to be protected against unfair discrimination on any grounds, and is committed to the development and empowerment of all its employees. It is the Department's conviction that a representative and adequately trained workforce is central to the achievement of the Department's vision.

In accordance with the prescripts of the Employment Equity Act, 1998, an Affirmative Action Policy was drawn up to ensure that past inequalities are addressed and that the Department's commitment to achieving a non-discriminatory organisation is carried through. However, affirmative action shall not be an isolated activity, it shall be integrated with other Human Resources Management and Development policies. This process is already underway, and its requirements are being incorporated in all policy development.

6. PART SIX: STRATEGIC MANAGEMENT PROCESS

28 The Strategic Management Process

Crafting and implementing strategy are important management functions of DHA. However, the process doesn't terminate after the strategic plan has been developed. Strategic management is managed as a value chain realising the equal importance and interrelationships between all its components. The strategic management model adopted by DHA is depicted in **Figure 4**.
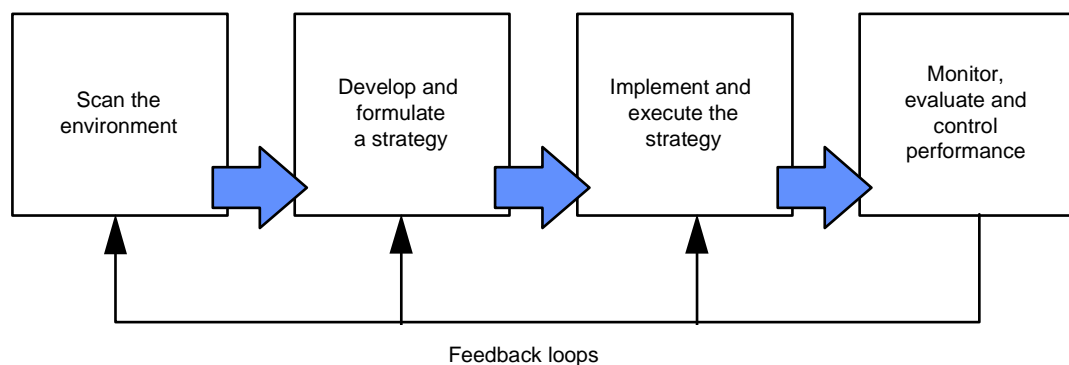
Figure 4: DHA's Strategic Management Process

29 Strategy Implementation

The strategy-implementing function consists of seeing what it will take to make strategy work and to reach the targeted performance on schedule. Strategy implementation is the activity by which the DHA management translates strategies and policies into action through development of programme, budgets and procedures. This process involves changes within the entire Department and includes aspects such as:

• developing processes and procedures to execute the strategy;

• designing an organisation structure capable of carrying out the strategy and strategic management process successfully;

• creating capacity to internalise and sustain the strategic management process;

• developing and allocating budgets;

• establishing strategy-supportive policies;

• motivating and rewarding people in ways that induce them to pursue the target objectives;

• creating a corporate culture;

- instituting best practices and programme for continuous improvement; and

- exerting the internal leadership needed to drive implementation forward.

The strategy-implementation task is easily the most complicated and time-consuming part of the strategic management process. It cuts across virtually all facets of management and must be initiated from many points in the organisation.

30 Evaluation and Control

Evaluation and control is the process by which DHA corporate activities and performance results are monitored and actual performance compared with desired performance. The DHA has adopted the South African Excellence Model as tool to assess performance. Managers at all levels use the resulting information to take corrective action and resolve problems. Although evaluation and control is the final major element of DHA"S strategic management process, it can also pinpoint weaknesses in previously implemented strategic plans and thus stimulate the entire process or components of the process anew. For evaluation and control to be effective, managers must obtain clear, prompt, and unbiased information feedback from all levels in the DHA. Feedback in the form of performance data and activity reports runs through the entire strategic management process as indicated in **Figure 4**. Based on feedback results, management might adjust either strategy formulation or implementation, or both.

31 Strategic Management as an ongoing Process

None of the previously activities are one-time exercises. New circumstances call for corrective adjustments. The DHA's vision, mission, objectives, and strategy to implementation are never final. Evaluating performance, reviewing changes, in the surrounding environment, and making adjustments are normal and necessary parts of the iterative and interdependent parts of the strategic management process.   Strategic management is a value chain consisting of interdependent activities making up the entire process. The value chain is therefore only as strong as the weakest link in the chain suggesting that all the activities are equally important. At the corporate level, the strategic management process includes activities that range from environmental scanning to performance evaluation. Management scans both the external environment for opportunities and threats and the internal environment for strengths and weaknesses.

After identifying these strategic factors, management evaluates their interaction and determines the appropriateness of the corporate mission. The first step in formulating the strategy is a vision and mission statement, which leads to a determination of corporate objectives, strategies and policies. The Department of Home Affairs implements these strategies and

policies through programmes, budgets, and processes. Finally, performance evaluation and feedback ensure adequate control of organisational activities. The strategic management approach is an iterative process with many interrelationships and feedback loops between its components. DHA strives to balance good strategy making with good strategy execution to achieve maximum performance.

31. The Relationship between the Strategic Plan and Performance Management

The objectives contained in the Strategic Plan are linked to the performance management system, including individual performance agreements. The performance management system includes measurable performance indicators that provide the basis for comparing DHA-wide results with established strategic goals that relate to the performance of the DHA in terms of conformance to standards, fitness for purpose, time and costs.

These goals and measures will reflect the individual and organisational units' contribution towards achieving the common goals. Each business plan and performance agreement will accompany and be linked to each year's budget submission and will be tracked at the departmental level to monitor progress towards achievement of goals, and ultimately, results. Thus, appropriate indicators and numeric targets will indicate progress towards our strategic goals. Individual organisational units will develop their own performance goals, linked to the Department's Strategic Plan. These performance goals may change over time. For example, if a goal is met and sustained, or the environment changes, measures might be shifted to address emerging challenges. It is also possible that there are better measures of performance than originally selected. Annual performance indicators and goals will account for the span of time between intervention and results. By the nature of our strategic objectives, many outcomes occur beyond the year of effort.

In short, annual performance indicators and goals will reflect a high-level, cross-cutting view of the Department. In some cases, measures are not yet developed to reflect the desired outcomes. In these cases, intermediate outcome measures supporting the goal will be included as interim measures. Further development of performance indicators supporting each of the strategic goals will yield clearly stated, high-level goals with target performance levels and specific measures that will provide the relative balance and focus to the integrated effort.

32 Summary

The Strategic Plan of the Department of Home Affairs is a compilation and distillation of the insight and expertise that resides in the Department's managers. The process is an annual cycle with reviews and adaptations to the Strategic Plan to fit changes in both the external and

internal environments. The process kicked off with an integrated and intense Top Management planning session attended by director's level and higher. Several rounds of review took place and resulted in a Strategic Plan that conveys the essence of the activities of the DHA.

The Strategic Plan allows all stakeholders to use a common framework for improvement initiatives and to strive towards the establishment of the DHA as an integrated system. The objective is to avoid narrow perspectives and parochialism. Providing this basis and fitting individual initiatives into a DHA organisation-wide context helps promoting dialogue between all managers and staff members, focused on DHA wide solutions. In this sense the Strategic Plan is, most importantly, a way to bridge cultural, organisational and individual viewpoints to reach a shared vision and goals for an ever increasingly effective, efficient and economic DHA.

Although still a new and developing process, the strategic management approach has already brought more focus in budget formulation, on the relationship between strategic and performance goals, related programme results and resources, and has enhanced the Department's ability to articulate and pursue crosscutting efforts. Strategic planning is being incorporated into the fabric of the management process throughout the Department. Managers have specific performance goals and related measures or indicators built into their performance agreements.

The Department recognises that a number of challenges remain before the full impact of an integrated strategic management approach can be realised. We will need improved reporting systems, data validation efforts, and programme monitoring and evaluation to achieve the vision of rendering word-class service. The Department is committed to a continuing process of improving performance by maintaining a consistent focus on our strategic goals, refining the definition and measurement of the outcomes of our work, and improving the communication of the results of our efforts to the public. Most importantly, this document reflects more than words on paper; it is an action plan reflecting our commitment to rendering a world-class service.