



home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA

Strategic Plan 2009/10 - 2011/12

Incorporating a 5 year strategic outlook and 3 year medium term planning

June 2009

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PREFACE BY DR NC DLAMINI-ZUMA, MP, MINISTER OF HOME AFFAIRS



NC DLAMINI-ZUMA MINISTER OF HOME AFFAIRS

When announcing the appointment of his Cabinet, the President emphasised our commitment to “an efficient, caring and effective administration, which will be accessible and responsive to the needs of the people”. This statement speaks directly to the services delivered by the Department of Home Affairs, which touches on the lives of all citizens. The initial phases of the turnaround of the Department have resulted in the improvement of a range of services, such as faster turnaround times for IDs, passports and some permits. However, the national importance of the Department of Home Affairs must be understood in broader terms than its role in determining the status of persons and the issuing of enabling documents.

In the first instance, the Department is the custodian and protector of the identity of citizens. The National Population Register and related records of births, marriage and deaths constitute a national resource that is part of our common cultural heritage. It plays a crucial part in defining who we are as a nation and in building a democratic and inclusive society by

enabling citizens to access their constitutional rights, including their right to vote. Some corrupt officials are thus defrauding the nation by selling our identity and by falsifying information about citizens. This compromises not only our rights but our national security and the capacity of the state to plan and to deliver services. Our first priority is to put an end to such corruption and to ensure that all citizens value and protect their identity and related documents. Accordingly, the new vision for the Department of Home Affairs is “To contribute effectively to the development of a safe, secure South Africa where all its people are proud of, and value, their identity and citizenship”.

We will strengthen the capacity of the Department to fight corruption, including securing its processes, documents and records and by developing a sense of purpose and commitment in its officials. However, we cannot succeed without the active support of other Departments and civil society as a whole. A crucial element in the campaign will be to ensure that every child who is a citizen has a birth certificate; and that identity documents are issued to citizens 16 years of age and older who have not yet received one. An important measure of success in driving home the importance of these documents will be a reduction in the unacceptably high rate of lost or stolen documents. As with the migration challenges which I will discuss shortly, the social, economic and cultural challenges are complex and must be addressed within the context of the government’s broad-based programme of action.

The responsibility of the Department of Home Affairs for regulating migration is of vital national importance. Our first priority in this regard is to ensure the integrity of the state while contributing to the socio-economic and cultural development of society. In a globalised world we cannot grow the economy without securing scarce skills available internationally. We intend to have a deliberate and structured approach and we will be seeking to streamline some of our regulations in this regard. We must be receptive to and welcome those who have the ability to enrich our knowledge base and our cultural diversity. Simultaneously, we must take

robust measures to combat the growing epidemic of trans-national crime, such as human and drug trafficking. Improvements being made to our Movement Control Systems will make a significant contribution to our preparations for the 2010 World Cup. As we prepare to facilitate this event of global significance, we will take additional steps to secure our ports of entry. At the regional and indeed global levels, South Africa will continue to seek multilateral responses to the very serious economic, political and ecological and terrorism challenges facing all states. Mass migration is a global phenomenon that affects an increasing number of states including South Africa. In this regard, Home Affairs would be willing to take the lead in promoting discussion and coordinating programmes. It should be noted though that the broader engagement of migration challenges, and its concomitant opportunities, requires the active participation of all levels of government and civil society formations.

The Department of Home Affairs also determines the status of asylum seekers and processes refugee applications in accordance with international agreements to which we are signatories. These are essentially the relevant statutes of the Geneva Convention and African Union Protocols. As mentioned above, we deliver this service in the context of a number of serious global and regional pressures. The situation in Zimbabwe, for example, has resulted in a large influx of people, the great majority of whom are economic migrants and cannot therefore be accorded refugee status. It has also contributed to the substantial numbers of undocumented migrants in the country, which in itself presents difficulties. The challenge is how we separate the asylum seekers from economic migrants and how do we ensure that all people who arrive in the country are documented. In the medium to long term, the SADC Protocol indicates how part of the solution lies with the freer flow of people and trade aimed at promoting regional development, once the required systems are put in place.

The second challenge is how, as a government and as a nation, we engage with those given refugee status, especially at the level of provincial and local

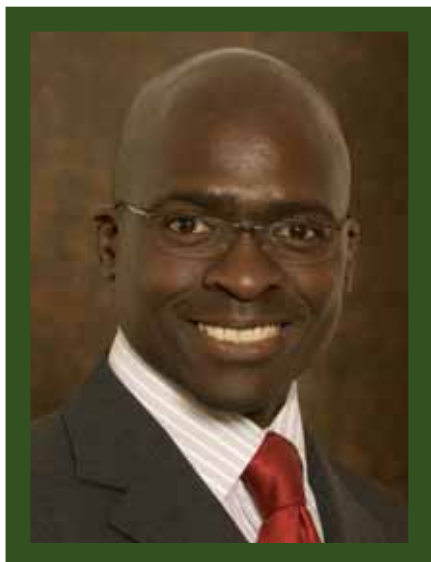
government and communities. There is an urgent need for discussing and resolving how government and civil society organisations can define their responsibilities towards refugees, coordinate their efforts and promote tolerance and understanding. Dealing with the criminal elements who promote xenophobia is but one part of the bigger picture, which includes all the migrant communities that live among us.

In transforming the Department and implementing our programmes I am confident of the support of dedicated officials as well as my colleagues across government, civil society organisations and the great majority of citizens.



NC DLAMINI-ZUMA
MINISTER OF HOME AFFAIRS

PREFACE BY MR M K N GIGABA, MP, DEPUTY MINISTER OF HOME AFFAIRS



**MALUSI GIGABA, MP
DEPUTY MINISTER**

We will intensify focus on our frontline services

A new term is upon us. The President has, in his State of the Nation Address, announced a 10-point plan underpinned by the imperative to fight poverty, create decent jobs and sustainable livelihoods. At the heart of this clarion call by the President is that government must become responsive to the needs of the people, be caring and put the people first in the provision of services.

In this endeavour, the Department of Home Affairs has a special role to play. During the past 18 months, demonstrable evidence exists to lend validity to the correctness of the decision taken mid-2007 to embark on a turnaround programme of the Department so to enhance its ability to discharge its responsibilities to the citizens as is required of the democratic development state and by the Constitution.

As a result of this demonstrable progress, the Department is now bracing itself to intensify focus on its frontline services in both the civic and immigration management services. This requires that we pay attention to the leadership cadre we have in our frontline services, the training and skills they have, the technology used to enhance convenience, efficiency and security and the types of and manner we render services in the frontline, both for South African and foreign nationals.

Part of achieving this involves completing the turnaround and transformation of the Government Printing Works (GPW) so that it has the best leadership, most skilled artisans and technicians and most modern technology to support the DHA and government as a whole. As a result of the great progress achieved in this regard, the GPW is already making headways in providing quality services even right into the African Continent. However, the challenge is still to ensure that we achieve the objective to produce all our security documents in an extremely secure and IT-enhanced environment, in a seamless process and under one roof. In this regard, there can be no compromise. The GPW will this year complete its conversion into a Government Component.

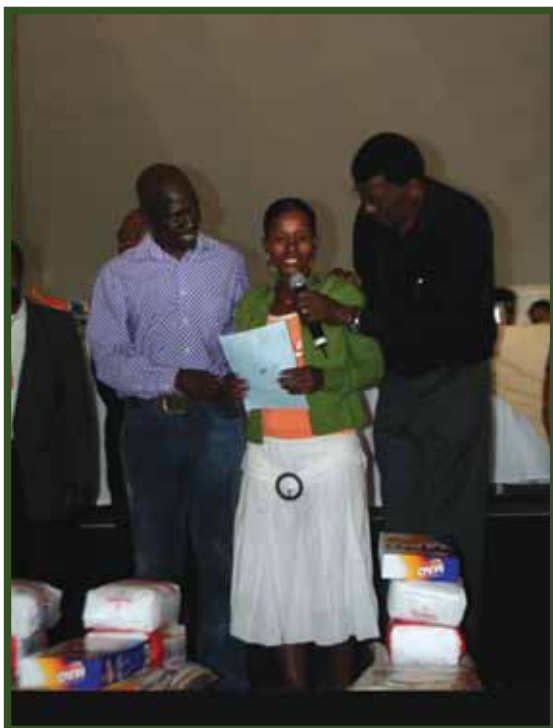
We will also continue to focus on the Film and Publication Board and the Electoral Commission, to support them in the strides they have made in the discharge of their legislative mandate, taking advantage of their already achieved strengths and continuing to enhance their capacity.

We are confident of success in these challenging endeavours.

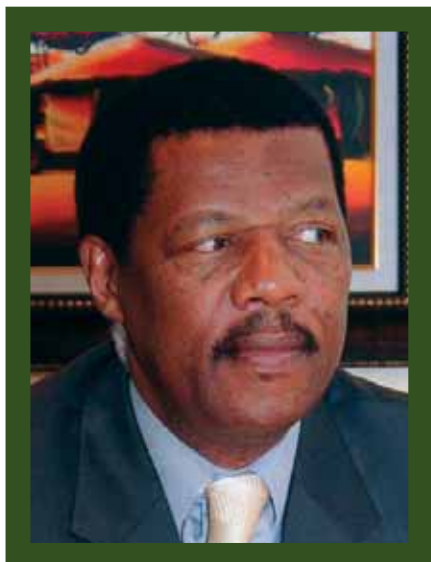
Thank you.

A handwritten signature in black ink, appearing to read 'M Gigaba', written over a circular scribble.

**MALUSI GIGABA, MP
DEPUTY MINISTER**



PREFACE BY MR MAVUSO MSIMANG, DIRECTOR-GENERAL OF HOME AFFAIRS



MAVUSO MSIMANG
DIRECTOR-GENERAL
Department OF HOME AFFAIRS

This Strategic Plan for the Department of Home Affairs covers the three-years from 2009 to 2012 and is aligned with the Medium Term Expenditure Framework (MTEF) cycle of government. The document provides two kinds of information. Firstly, we outline the legal mandate and functions of the Department and how its responsibilities are discharged through its budget programmes and its branches. Secondly, we provide an overview of the vision, mission and values to which the Department is committed and the strategic goals and priorities it will achieve through a wide range of projects and activities.

The plan coincides with the start of a five-year electoral cycle and in their respective prefaces the Minister and Deputy Minister provide strategic direction and policy guidance in the context of the mandate of government and the challenges facing the nation. The strategic planning process began in November 2008, informed by an analysis of the Department's contribution to the government Programme of Action and its expression in the

programmes of the five clusters of government Departments. It was also important to factor in the large-scale transformation effort within the Department, the main vehicle of which is the turnaround programme. The basic question asked in this regard was: "What is our vision for the Department and how will we get there?" The Strategic Plan represents a three-year road map of the steps we will take on that journey and the milestones we have to achieve.

The Departmental turnaround entails transforming its processes, ensuring their security and creating the organizational capacity to consistently deliver against acceptable and verifiable standards. We intend to maintain the efficiency gains realized over the last two years and will be paying particular attention to creating security around administrative and systems controls. To this end, we will institute and implement tried and tested management techniques. The human factor is always central to winning strategies. This calls for the creation of a cadre of highly motivated, productive, disciplined and honest staff. It is but a truism that the effectiveness of any strategy is ultimately dependent on the integrity of those entrusted with its implementation. We will continue the process of building good leadership and putting in place good governance and management practices. Over the next three years the following broad priorities will be addressed:

- Ensuring that the Department implements all the elements required for organisational transformation with respect to values, leadership, governance, structures, management and operational controls. This process is of critical importance and although it has begun, it still needs to be speeded up and entrenched.
- Also of critical importance is a major thrust towards fighting corruption through more stringent vetting, close supervision, tightening up of systems management, etc. The aim is to secure and ensure credibility in the management of the identity of our citizens and regulation of migration, including asylum seekers. The success of

this objective will require the participation and cooperation of a range of government Departments; organized labour and business; and civil society in general.

- Consolidating and further improving operational and service delivery quality and efficiencies at all levels, from frontline offices to the back office where processing takes place. The aim is to achieve, within a tight framework of security, greater consistency and realize even more improvements in the already enhanced turnaround times.
- Improving the physical environment in which staff work and interface with clients. This must be done taking into account the scarcity of resources and dependency, in many instances, on external agencies such as the Department of Public Works and Eskom, to cite but two.

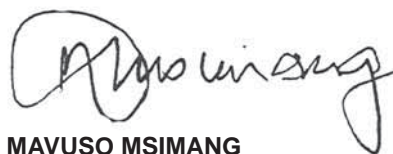
The initiatives presented in the Strategic Plan have been organised around projects and programmes. One set of projects that must succeed pertains to improvements we are seeking to bring about in the Movement Control System, visa issuance and permitting capacity. The projects will in the immediate term enable Home Affairs to deliver on its 2010 FIFA World Cup commitments. The longer-term benefit will be a greatly enhanced national capacity to manage migration faster and more securely in future. This is the first iteration of the larger Who Am I Online (WAIO) programme that will secure, automate and integrate our systems thus drastically reducing service dependence on the cumbersome and not-so-secure paper-based system currently in use. A good example of the technology under consideration is the verification of fingerprints online in almost all our offices. Other key projects include the introduction of a much more secure new ID card to replace the current booklet, cleaning up the National Population Register (NPR); and securing the end-to-end-process of producing the new passport.

We also intend mounting a comprehensive citizen registration campaign. It will entail registration at birth of every South African child and issuing them a birth certificate as appropriate. Secondly, efforts will be made to ensure that every adult possesses an ID. We will enlist the support of citizens at large in this campaign and, specifically, the Departments

of Health, Basic Education, Higher Education and Training, Cooperative Governance and Traditional Affairs as well as Women, Youth, Children and People with Disabilities. The media and civil society also have a crucial role in educating the public about the value of these documents. The Department will also be looking for solutions to challenges associated with persons seeking employment but claiming asylum. In addition, we will be seeking to amend the legal and regulatory requirements to facilitate the international recruitment of persons who possess scarce skills.

There are two notable lessons I have learnt since joining the Department on 15 May 2007. The first is that our transformation challenges are immense. Overcoming them will require the adoption of a holistic approach to the resolution of challenges that, from a funding perspective, might appear to be best treated as discreet and separate issues. Introducing a smart ID card must, for instance, be recognized as only a part of the solution needed to secure and safeguard citizen and national identity. Other parts are the digitization of citizen records, managing the movement of citizens and non-citizens across international borders, guaranteeing the security of personalized data as we process it into our passports, and others. The neglect of one part compromises the effectiveness of the others.

A second and very pleasant lesson that I have learnt pertains to the quality of some of the people who serve in the Department - at all levels. We are challenged to give these individuals space and resources 'to do their thing' and also to give them due recognition. By the same token we must also use all available means to make certain that those who should not be with us actually leave our ranks.



MAVUSO MSIMANG
DIRECTOR-GENERAL
Department OF HOME AFFAIRS

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Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA



PART 1:

OVERVIEW, MANDATES AND DEPARTMENTAL PROGRAMMES

1.1 OVERVIEW

The intention of this overview is to provide a brief analysis of the transformation of the Department of Home Affairs, the key challenges it faces and how it plans to move strategically towards fulfilling its vision and mission over the next three years of the Medium Term Expenditure Framework (MTEF):

- To contribute effectively to the development of a safe, secure South Africa where all its people are proud of, and value, their identity and citizenship (Vision of the Department of Home Affairs).
- The efficient determination and safeguarding of the identity and status of citizens and the regulation of migration to ensure security, promote development and fulfil our international obligations (Mission of the Department of Home Affairs).

The importance of this agenda is made clear in the respective prefaces of the Minister, Deputy Minister and Director-General. A transformed Home Affairs is a vital instrument for enabling nation building and for the state to deliver on the programme of action of government.

The turnaround programme consists of over 30 projects and it has been the main strategic vehicle for implementing the transformation of the Department of Home Affairs over the past 21 months.

A number of gains have been made and from the viewpoint of the public there have been significant advances in service delivery in the turnaround time of a number of enabling documents, most impressively IDs. This has involved streamlining processes, by greatly tightening third party contracts, by transforming the key sections of operations through operations management (e.g. use of targets and metrics) by training and motivating supervisors and their staff. Productivity has increased 300% in targeted units and higher levels of morale are evident as officials understand and are proud of the value they add to processes they control. In the case of IDs, these measures resulted in a reduction of the average turnaround time of over 60%. Similar gains in efficiency can be seen in other areas, such as the determination of the status of asylum seekers at reception centres. These improvements are important and the Strategic Plan includes taking them to scale across the Department, for example, through the wider introduction of operations management.

It must be recognised, however, that transformation involves larger and more complex challenges than the radical improvement of outdated business processes. By far the most urgent and serious problem confronting the Department is that of corruption involving syndicates in collusion with officials, leading to the theft or illegal acquisition of identity. This devalues enabling documents and poses a serious threat to individual citizens and to national security. The problem is complex with deep historical roots and requires a range of responses. The Strategic Plan includes an array of projects that build on steps already taken and if coordinated will significantly reduce the levels of corruption while promoting a culture of human rights:

- An ongoing project is change management, an important component of which will be mobilising the honest majority of staff around the values that are presented in this Strategic Plan, including that of being people-centred and caring.
- Resources will be allocated to strengthening of the capacity of the dedicated units in the Department tasked with detecting, analysing and fighting corruption.
- On the level of systems, the medium term strategy is to link the roll-out of the new "smart ID card" to a systematic clean-up of the data in the National Population Register.
- In the shorter term new campaigns will be launched to promote the value of all identity documents and ensure that every verified citizen who has not been issued with a birth certificate or an ID does acquire one.
- The improvement of processes will play an increasingly large part in the fight against corruption as the Who Am I Online project is rolled out, as this involves the live capture of biometric data and much higher levels of systems security.
- Steps will be taken in the short term to protect systems such as improving the security of existing enabling documents and taking measures to discourage their loss by citizens.
- Every manager's performance agreement will have an anti-corruption target.

Underpinning all the efforts to fight corruption and improve service delivery is the achievement of several other critical milestones over the next three years. By far the most important of these dependencies is the transformation of the Department as an organisation. Targets in the Strategic Plan that address these challenges include:

- Implementing the new organisational structure, establishing sound governance structures and practices.
- Professional development of managers.
- Strengthening key functions such as planning, monitoring and evaluation and project and risk management.

These initiatives will assist in putting in place a greatly strengthened management team that will provide strong leadership and governance; drive values through the organisation; and take full control of operations at all levels. Other targets in the Strategic Plan build on initial work that has been done in terms of performance management.

Another important set of projects is aimed at implementing a viable document management system, both electronic and in paper, that will allow the secure and effective storage and retrieval of documents. Securing the records of the identity of citizens and residents is a strategic priority of national importance. This will support both civic and immigration services in the fight against corruption and to improve the delivery of services, especially those related to births, marriages and deaths. A study will be conducted and a business case developed while immediate steps will be taken to improve the current situation. However, whatever solution is proposed, additional funding will be required in the medium and longer term.

The full implementation of the establishment of an Enterprise Programme Management Office will ensure that there is coordination across projects. This will ensure that every project charter has common elements, including counter corruption and change management.

Another large systems-building challenge that is addressed in the Strategic Plan is the cleaning and restructuring of the National Population Register and related systems, including the Home Affairs National Identification System (HANIS). This will be supported by the Who am I Online (WAIO) project and the roll-out of the "smart card" in terms of developing a common information systems platform that will enable integration and automation as well as enhance security. The scope of what is required for the development of systems that can handle tens of millions of records is large and will require adequate baseline funding. However, the business case will point out that a secure and trusted identification system can generate substantial revenue through a fee that is levied for verification services provided to the private sector. One of the projects that will go forward will be to pilot a third-party online verification

service. In addition, the duplication of identification systems across government could be avoided; e-government enabled, and the defrauding of government greatly reduced.

The projects aimed at improving the regulation of migration are also of national strategic importance. The first phase of the WAIO project will put in place a modern movement control system that will enable the secure movement of persons during the 2010 World Cup and beyond. Another project will support national development goals by streamlining existing processes to allow persons with scarce skills to be recruited to work and in some cases to settle in South Africa. We must not forget that we are part of a global market where such skills are competed for. Faster turnaround times for various kinds of permits are also planned, to facilitate tourism for example. These are instances of the positive benefits of well-structured and well-managed migration.

Globalisation also brings security threats, such as human trafficking and other forms of international crime. The Strategic Plan includes a response in terms of additional measures, such as putting Airline Liaison Officers in place at key locations abroad, strengthening security at ports of entry and enhancing the capacity of the Inspectorate to enforce the Immigration Act. As the Minister indicates in her preface, there are global and regional pressures on South Africa that have to be managed effectively by Home Affairs, supported by government and the public at large. One such pressure is the increasing flow of migrants seeking employment, many of whom are unskilled or semi-skilled. The majority of those claiming asylum, including Zimbabweans, are in fact economic migrants. In finding ways to meet this challenge, the Department will engage with broader government and with civil society.

In conclusion, Home Affairs has made major strides towards improving operational efficiencies in the past 12 months. A concerted effort will be made to build on these improvements in the coming period. A major challenge is to implement fully the new organizational model starting with the filling of critical management and supervisory posts. Another challenge is the provision of adequate funding over the next few years for large-scale systems development work that must be done. This will be critical for the Department and will enable the DHA to contribute effectively to the programme of action of government, including the delivery of caring and responsive services.

1.2 GLOSSARY OF TERMS

ABBREVIATIONS	
ALO	Airline Liaison Officer
ASGISA	Accelerated and Shared Growth Initiative for South Africa
AU	African Union
BCOCC	Border Control Operational Coordinating Committee
BMD	Birth, Marriage and Death
BSc	Balanced Scorecard
CAE	Chief Audit Executive
CFO	Chief Financial Officer
CIO	Chief Information Officer
DDG: CS	Deputy Director-General: Civic Services
DDG: HR	Deputy Director-General: Human Resources
DDG:IS	Deputy Director-General: Information Services
DDG: NIB	Deputy Director-General: National Immigration Branch
DFA	Department of Foreign Affairs
DG	Director-General
DHA	Department of Home Affairs
DRC	Democratic Republic of the Congo
DTI	Department of Trade and Industry
EDMS	Electronic Document Management System
EPMO	Enterprise Programme Management Office
ETC	Emergency Travel Certificate
FIFA	Federation of International Football Association
FOSAD	Forum of South African Directors-General
G&A	Governance and Administration
GPW	Government Printing Works
GRAP	Generally Recognised Accounting Practice
HANIS	Home Affairs National Identification System
HANIS DRS	Home Affairs National Identification System Disaster Recovery Site
HR	Human Resources
HRD	Human Resource Development
ID	Identity Document
IMU	Integrity Management Unit
IRPS	International Relations Peace and Security
IT	Information Technology
ITIL	Information Technology Infrastructure Library

ABBREVIATIONS

JCPS	Justice Crime Prevention and Security
JIPSA	Joint Initiative for Priority Skills Acquisition
LRB	Late Registration of Birth
MCS	Movement Control System
M & E	Monitoring and Evaluation
MISS	Minimum Information Security Standard
MO No	Measurable Output Number
MOU	Memorandum of Understanding
MPCC	Multi-purpose Community Centre / Thusong Centre
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NIB	National Immigration Branch
NIIS	National Identification Information System
NPR	National Population Register
PFMA	Public Finance Management Act
PoA	Programme of Action
PoE	Port of Entry
PR	Permanent Residence
RSA	Republic of South Africa
SA	South Africa
SADC	Southern African Development Community
SDIP	Service Delivery Improvement Plan
SONA	State of the Nation Address
Target No	Target Number
TRP	Temporary Residence Permit
UK	United Kingdom
UNHCR	United Nations High Commission for Refugees
VPN	Virtual Private Network
WAIO	Who Am I Online

1.3 MANDATES

The mandates of the Department of Home Affairs 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:

Civic Services:

Births, Marriages and Deaths

- Births and Deaths Registration Act, 1992 (Act No 51 of 1992) as amended;
- Regulations made in terms of the Births and Deaths Registration Act;
- Marriage Act, 1961 (Act No 25 of 1961) as amended;
- Regulations made in terms of the Marriage Act, 1961;
- Recognition of Customary Marriages Act, 1998 (Act No 120 of 1998);
- Civil Union Act, 2006 (Act No 17 of 2006); and
- Regulations made in terms of the Civil Union Act, 2006

Identity Documents and Identification

- Identification Act, 1997 (Act No 68 of 1997) as amended;
- Regulations made in terms of the Identification Act, 1997; and
- Alteration of Sex Description and Sex Status Act, 2003 (Act No 49 of 2003)

Citizenship

- South African Citizenship Act, 1995 (Act No 88 of 1995) as amended; and
- Regulations made in terms of the South African Citizenship Act, 1995

Travel Documents and Passports

- South African Passports and Travel Documents Act, 1994 (Act No 4 of 1994) as amended; and
- Regulations made in terms of the South African Passports and Travel Documents Act, 1994

Immigration:

- Immigration Act, 2002 (Act No 13 of 2002) as amended;
- Regulations made in terms of the Immigration Act, 2002;
- Refugees Act, 1998 (Act No 130 of 1998);
- Regulations made in terms of the Refugees Act, 1998;
- Criminal Procedures Act, 1977 (Act No 51 of 1977);
- The Universal Declaration of Human Rights as adopted by the General Assembly of the United Nations on 15 December 1948;
- The basic agreement between the Government of the Republic of South Africa and United Nations High Commissioners for Refugees (UNHCR), 6 September 1993;
- The 1991 United Nations Convention Relating to the Status of Refugees;
- The 1967 Protocol on Specific Aspects of Refugees Protection;
- The Organisation for African Unity Convention Governing Specific Aspects of Refugee Problems in Africa, 1996; and
- The UNHCR Handbook on criteria and procedures for the determination of Refugee Status, 1997.

Other Mandates

- Promotion of Access to Information Act, 2000 (Act No 2 of 2000) as amended;
- Regulations made in terms of the Promotion of Access to Information Act, 2000;
- Public Holidays Act, 1994 (Act No 36 of 1994) as amended;
- Imprint Act, 1993 (Act No 43 of 1993) as amended;
- Films and Publications Act, 1996 (Act No 65 of 1996) as amended;
- Regulations made in terms of the Films and Publications Act, 1996;
- Constitution of the Republic of South Africa, 1996 (Act No 108 of 1996);
- Public Service Act, 1994 (Proclamation No 108 of 1994);
- Labour Relations Act, 1995 (Act No 6 of 1995);

- Public Finance Management Act, 1999 (Act No 1 of 1999);
- Treasury Regulations made under the PFMA;
- Intergovernmental Relations Framework Act, 2005 (Act No 15 of 2005);
- Promotion of Equality and Prevention of Unfair Discrimination Act, 2000;
- Preferential Procurement Policy Framework Act, 2000 (Act No 5 of 2000); and
- Regulations made under the Preferential Procurement Policy Framework Act, 2000.

1.4 CORE AND SUPPORT FUNCTIONS

In accordance with its mandates the Department of Home Affairs executes the core functions of Civic Services and Immigration. To achieve excellence in serving our customers these core functions will be delivered in accordance with the Department's Statement of Standards. The set service standards of the Department will be reviewed following the business process re-engineering initiatives forming part of the fundamental transformation of the Department.

The core functions include the following key services:

CIVIC SERVICES

- Maintaining the National Population Register (NPR)
- Management of records
- Citizenship
- Travel documents and passports
- Identity documents (ID)
- Identification

IMMIGRATION

- Admissions
- Inspectorate
- Refugee affairs
- Information co-ordination
- Policy directives
- Counter-xenophobia

SUPPORT FUNCTIONS

Strategic Support

Purpose:

To co-ordinate, integrate and align the implementation of policy and strategic delivery of services within a shared competency

Functions:

- The development of policy, planning, translation of organisational strategy and plans to organisational structure initiatives
- The rendering of integrated project management
- The management of international and governance relations
- The management of the organisational performance management system
- The provision of full and comprehensive legal services on behalf of the Department
- The management of investigations where there is a security breach and the implementation of preventative measures
- The rendering of an integrated communication and liaison service

Information Services

Purpose:

To manage information resources to enable the Department to achieve its objectives in line with its mandate

Functions:

- The development and implementation of an information services (IS) strategy, architecture, plans and governance required to support desired business capabilities
- The development and implementation of an Information and Communication Technology (ICT) strategy to support operational needs of the business
- The co-ordination and management of IS projects in an integrated manner to realise the strategic objectives of the Department

- The development, implementation and management of knowledge and information management (KIM) strategy and policies of the Department
- The representation of the Department at relevant structures and forums

Finance and Supply Chain Management

Purpose:

To ensure effective and efficient integrated financial services and supply chain management systems

Functions:

- The management of a centralized budgeting and planning programme
- The management of financial administration
- Ensuring a sound supply chain management system

Audit Services

Purpose:

To provide an independent objective audit assurance and consulting service to the Department

Functions:

- The conducting of audits into economy, efficiency and effectiveness of resources
- The performing of financial and operations audits at Provincial Offices
- The performing of Information and Communication Technology (ICT) related processes and technology audits
- The conducting of forensic audits into the financial systems of the Department

Human Resources

Purpose:

To provide a strategic and transformed human resource service within the Department

Functions:

- The ensuring of effective development of human resources strategies and the alignment of the organisational structure to the

- Departmental strategic plan and objectives
- The ensuring of a responsive human resource administration service appropriate to the Departmental defined best practice and providing a platform for holistic employee development and wellness
- The providing of a platform for sound employee relations, ensuring that Departmental practices are legislatively correct and employee sensitive
- The providing of governance oversight for the monitoring and evaluation of key human resource strategies in line with applicable legislation, procedural requirements and standards applicable to functional areas
- The management of the implementation of optimised learning programmes and initiatives

Communication Services

Purpose:

To render an integrated communication and liaison service

Functions:

- The ensuring of effective corporate communication services
- The ensuring of effective external liaison and communication services
- The enhancement of public awareness and public education

1.5 DEPARTMENTAL PROGRAMMES

1.5.1 The Department of Home Affairs is an important and integral part of central government. The aim of the Department of Home Affairs is to protect and regulate the interests of the inhabitants of the Republic of South Africa regarding their individual status, identity and specific rights and powers, and to manage a supporting service for this.

The Departmental budget is structured into four programmes. The Department's standing objectives, encompassed with this Plan, will be resourced and accomplished through these programmes.

1.5.1.1 Programme 1: Administration

Administration provides for the overall management of the Department and centralised support services.

1.5.1.2 Programme 2: Services to Citizens

Purpose: Carry out the Department's core functions: grant rights and citizenship to eligible persons.

- Management.
- Civic Services Support
- Status Services regulates all matters relating to the national population register. These include: maintaining an accurate register of all citizens and immigrants who have acquired the right to permanent residence; registering births, deaths and marriages; providing travel and citizenship documents; providing financial assistance to citizens abroad by paying for their visas and air travel costs if they wish to return to South Africa and have no means of doing so; and determining and granting citizenship. Funding is mainly used to cover the costs of issuing identity documents for first time applicants. Second time applicants pay for these services.
- Identification oversees issues relating to identity, such as fingerprints, photographs and identity documents. Once personal details are recorded in the national population register, identity documents are issued. The subprogramme is responsible for storing fingerprints in the central database of the automated fingerprint identification system and its overall administration. Funding is mainly used for salaries and other personnel related costs. The subprogramme also includes projects designed to develop,

establish and maintain national identity systems and is responsible for the overall maintenance of the existing systems and ensuring that they are rehabilitated when the technology becomes obsolete. Funding is mainly used for monthly maintenance costs.

- Customer Service Channels is a multi-channel service through which external and internal customer enquiries are resolved. Funding is used to employ 102 agents and 22 agents in the back office. The number of agents will be increased in line with the high demand for the services provided by the customer service centre.
- Provincial Civic Services provides for civic services in the provinces and the necessary support functions. Customers submit their applications for identity documents and other enabling documents at provincial offices, which are then routed to head office for final processing. Funding is mainly used for salaries and other personnel related costs.

Objectives and measures

- Improve the provision of specified services and products to eligible citizens and residents by reducing the time taken to issue valid documents as indicated below:
 - unabridged birth, marriage and death certificates: from 180 to 240 days in 2007/08 to 16 days in 2011/12
 - passports and travel documents: from 10 days in 2008/09 to 5 days in 2011/12
 - first issue of an identity document: from 60 days in 2008/09 to 40 days in 2011/12
 - second issue of an identity document: from 56 days in 2008/09 to 30 days in 2011/12
 - temporary identity documents: from 7 days in 2008/09 to 1 day by the end of 2008/09.
- Expand the capacity of the customer service centre to deal with the number of calls received with over 90 per cent of calls answered in 20 seconds.
- Increase the number of service points as resources become available.

1.5.1.3 Programme 3: Immigration Services

Purpose: Regulate immigration in line with South Africa's skills and investment needs. Manage refugees and asylum seekers in South Africa.

- Management.
- NIB support.
- Admissions controls visas, the admission of travellers at ports of entry, the processing of applications for permanent and temporary residence permits, as well as work, study and other temporary permits. Funding is mainly used for salaries and other personnel related costs.
- Immigration Control deals with immigration matters in foreign countries, detects, detains and departs illegal immigrants in terms of the Immigration Act (2002), and provides policy directives on immigration matters. The subprogramme is responsible for: developing the strategy for deporting illegal immigrants; the operational management of services at the Lindela holding facility, which includes accommodation, catering, security and medical services for offenders; and liaising with embassies about the deportation of illegal immigrants. Funding is mainly used for salaries, operational costs for the holding facility, and transportation costs for deportees.
- Provincial Immigration Control provides for the delivery of immigration services in the provinces and the necessary support functions. Funding is distributed based on the number of employees in each province.
- Foreign Offices Regional Coordination delivers core immigration functions in foreign countries. The subprogramme acts as a portal for communication and information, communicates policies and procedures determined by civic services, and manages enquiries from foreign offices. Funding is mainly used for salaries in foreign missions and office and other equipment.
- Refugee Affairs considers and processes refugee asylum cases in line with the Refugees Act (1998). The subprogramme is responsible for processing and issuing section 22 asylum permits, referring appeals to the standing committee on refugee affairs for adjudication, and handing over unsuccessful applicants to immigration control for deportation. There are six refugee reception offices: Pretoria (Marabastad), Johannesburg (Crown Mines), Durban, Cape Town, Musina and Port Elizabeth. Funding is mainly used for salaries and office equipment.

Objectives and measures

- Control and facilitate the immigration of various categories of foreigners into and out of the country, and specifically reduce the time taken on the following:
 - issuing of visas: from 10 days in 2007/08 to 3 days by the end of 2010/11
 - issuing of section 22 asylum permits: from 5 days in 2007/08 to same day issue by the end of 2010/11
 - issuing of refugee status determinations: from 12 months in 2007/08 to 3 months by the end of 2010/11
 - issuing of temporary residence permits: from 24 weeks in 2007/08 to 4 weeks by the end of 2010/11 (selected permits)
 - issuing of permanent residence permits: from 18 months in 2007/08 to 6 months in 2010/11
 - issuing of refugee identity documents: from 6 months in 2007/08 to 3 months by the end of 2008/09.
- Control and facilitate the immigration of various categories of foreigners into and out of the country by reducing the number of days taken to:
 - finalise 100% of cases by the Refugee Appeals Authority within 30 days by 2011/12
 - issue a refugee identity document: from 6 months in 2007/08 to 3 months by the end of 2009/10.
- Increasing the percentage of detainees at the Lindela detention centre deported to their countries within 30 days of arrest and 90 days from the issue of a court warrant from 90 per cent to 95 per cent by 2009/10, through more effective management of Lindela and increasing deportations directly from provinces
- Maintaining clearance times of 1.5 to 2 minutes per traveller for the movement of South African and foreign travellers through land and air border posts by increasing the number of immigration officers at ports of entry.

1.5.1.4 Programme 4: Transfers to Agencies

Purpose: Provide financial support to the Film and Publication Board, the Government Printing Works and the Electoral Commission.

1.5.2 Expenditure trends

Expenditure decreased from R3.2 billion in 2005/06 to R2.6 billion in 2006/07 at an average annual rate of 19.7 per cent. Service

delivery improvement initiatives resulted in the increase from 2006/07 to 2007/08. Increases in 2007/08 and 2008/09 were mainly due to transfers to the Electoral Commission to prepare for the 2009 elections. The strong growth in 2008/09 has also been influenced by an increase in allocations to public entities: the Electoral Commission to prepare for the 2009 elections; the Film and Publication Board to expand its monitoring role and its research and compliance capabilities; and the Government Printing Works for a new production facility.

The Department received additional allocations net of savings of R155 million for 2009/10, R310 million for 2010/11, and R624 million for 2011/12. Included in these additional allocations are allocations to Agencies of R25 million for 2009/10, R65.5 million for 2010/11 and R71.7 million for 2011/12 (page 29). Departmental allocations were limited to the following ones: organisation implementation; foot print optimisation; refurbishment; the repair and maintenance programme; Who Am I Online; design and planning for the 2010 FIFA World Cup and port control transformation. However these allocations only begin in 2010/11. With regard to additional transfers to

agencies, these amounts are for the Film and Publication Board (intended to cover costs relating to the ministers' task team, the action plan on pornography, council meetings and public awareness campaigns); the Government Printing Works for the passport system; and the Electoral Commission for transparent ballot boxes, civic and democracy (voter) education, and the upgrade of portable barcode scanners.

Funding to agencies is not influenced by the Department. The individual agencies make independent presentation requests for funding to National Treasury.

1.5.3 Departmental receipts

Revenue is mainly generated from fees charged for issuing passports and identity, travel and other official documents. The increases in 2006/07 and 2007/08 were mainly due to the late capturing of revenue received for services provided in foreign missions. An increase in revenue from fees is expected in 2009/10 due to the projected increase in the demand for identity documents because of the 2009 elections, and for travel documents for the 2010 FIFA World Cup.

R thousand	2009/10	2010/11	2011/12
Sales of goods and services produced by Department	415 126	440 033	466 436
Fines, penalties and forfeits	14 164	15 014	15 915
Interest, dividends and rent on land	199	211	224
Total	429 489	455 258	482 575

1.5.4 Acquisitions of fixed or movable capitals assets

R thousand	2009/10	2010/11	2011/12
Office furniture			
Office equipment			
Computer equipment	40 000	5 000	
Motor vehicles	21 963	23 281	24 678
Others	32 069	55 855	28 998
Total	94 032	84 136	53 676

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TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
Vote 4: Home Affairs				
R thousand	2008/09	2009/10	2010/11	2011/12
Programmes				
ADMINISTRATION	1,266,936	1,087,087	1,202,961	1,454,038
SERVICES TO CITIZENS	1,225,758	1,336,936	1,403,304	1,398,491
IMMIGRATION SERVICES	1,113,577	1,327,415	1,557,745	1,260,673
TRANSFERS TO AGENCIES	1,210,337	1,299,149	1,416,813	893,776
Total	4,816,608	5,050,587	5,580,823	5,006,979
Economic Classification				
Current payments	3,442,925	3,548,376	4,074,990	4,054,350
Compensation of employees	1,439,456	1,608,618	1,853,341	2,085,383
Salaries and wages	1,233,666	1,365,888	1,574,973	1,770,654
Social contributions	205,790	242,730	278,368	314,729
Goods and Services	2,003,469	1,939,758	2,221,649	1,968,967
Interest and rent on land	–	–	–	–
Financial transactions in assets and liabilities	–	–	–	–
Transfers and subsidies	1,214,502	1,303,756	1,421,697	898,953
Provinces and municipalities	–	–	–	–
Departmental agencies and accounts	1,210,337	1,299,149	1,416,813	893,776
Universities and technikons	–	–	–	–
Public corporations and private enterprises	–	–	–	–
Foreign governments and international organisations	–	–	–	–
Non-profit institutions	–	–	–	–
Households	4,165	4,607	4,884	5,177
Payment for Capital Assets	159,181	198,455	84,136	53,676
Buildings and other Fixed structures	–	–	–	–
Machinery and Equipment	44,934	94,032	84,136	53,676
Cultivated assets	–	–	–	–
Software and other intangible assets	114,247	104,423	–	–
Land and sub-soil assets	–	–	–	–
Heritage assets	–	–	–	–
Specialised military assets	–	–	–	–
Total Cost Estimates HOME AFFAIRS	4,816,608	5,050,587	5,580,823	5,006,979

TRANSLATION INTO BUDGET STRUCTURE		Medium Term Estimates			
Rand thousand		2008/09	2009/10	2010/11	2011/12
ADMINISTRATION					
Sub Programmes					
MINISTER		1,037	1,709	1,811	1,913
DEPUTY MINISTER		824	1,407	1,492	1,575
MANAGEMENT		42,329	42,108	45,492	48,577
STRATEGIC SUPPORT		417,263	252,327	195,166	195,481
CORPORATE SERVICES		805,483	789,536	959,000	1,206,492
Information Services		314,177	296,076	373,450	583,785
Audit Services		16,566	19,068	20,528	21,949
Finance		141,207	158,890	213,199	166,685
Human Resources		122,414	101,984	108,281	109,325
PROPERTY MANAGEMENT		211,119	213,518	243,542	324,748
Total cost estimates: ADMINISTRATION		1,266,936	1,087,087	1,202,961	1,454,038

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TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
	2008/09	2009/10	2010/11	2011/12
Rand thousand				
ADMINISTRATION				
Economic Classification				
Current payments	1,220,868	1,033,794	1,148,985	1,398,944
Compensation of employees	215,609	220,850	279,578	297,864
Salaries and wages	194,192	204,377	258,665	275,583
Social contributions	21,417	16,473	20,913	22,281
Goods and services	1,005,259	812,994	869,407	1,101,080
Communication	13,231	4,783	5,012	5,360
Computer Services	193,360	105,187	120,571	173,117
Consultants, contractors and special services	325,917	243,067	177,602	215,984
Equipment <R5000	59,171	91,877	111,872	199,369
Inventory	13,410	5,203	5,645	6,907
Owned & Leasehold property exp	248,409	310,632	393,627	430,654
Travel and subsistence	56,318	21,965	23,580	28,229
Training and staff development	18,994	11,499	13,598	21,468
Other	76,449	18,731	17,900	19,992
Interest and rent on land				
Financial transactions in assets and liabilities				
Transfers and subsidies	1,134	1,261	1,338	1,419
Provinces and municipalities				
Departmental agencies and accounts				
Universities and technikons				
Public corporations and private enterprises				
Foreign governments and international organisations				
Non-profit institutions				
Households	1,134	1,261	1,338	1,419
Payments for capital assets	44,934	52,032	52,638	53,676
Buildings and other fixed structures	-	-	-	-
Machinery and equipment	44,934	52,032	52,638	53,676
Cultivated assets				
Software and other intangible assets				
Land and sub-soil assets				
Heritage assets				
Specialised military assets				
Total cost estimates: ADMINISTRATION	1,266,963	1,087,087	1,202,961	1,454,038

TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
Rand thousand	2008/09	2009/10	2010/11	2011/12
SERVICES TO CITIZENS				
Sub Programmes				
MANAGEMENT	55,814	25,121	71,138	21,382
CIVIC SERVICES SUPPORT	3,399	6,131	7,052	7,652
IDENTIFICATION	366,405	343,532	255,968	272,889
STATUS SERVICES	119,500	188,120	206,662	112,168
CUSTOMER SERVICE CHANNELS	70,006	106,711	110,271	176,872
PROVINCIAL CIVIC SERVICES	610,634	667,321	752,213	807,528
KwaZulu Natal	78,856	88,584	104,565	111,472
Mpumalanga	51,049	34,821	53,815	62,505
Free State	40,109	50,547	55,620	59,314
Northern Cape	26,877	31,363	38,308	40,857
North West	61,449	71,278	77,188	82,375
Western Cape	58,083	69,567	76,273	81,311
Eastern Cape	83,553	91,714	99,122	105,779
Gauteng	138,755	146,046	157,548	168,113
Limpopo	71,903	83,401	89,774	95,802
Total cost estimates: SERVICES TO CITIZENS	1,225,758	1,336,936	1,403,304	1,398,491

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TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
Rand thousand	2008/09	2009/10	2010/11	2011/12
Economic classification				
Current payments	1,113,336	1,325,151	1,557,465	1,260,376
Compensation of employees	646,485	723,082	829,937	943,454
Salaries and wages	537,821	600,731	689,097	783,343
Social contributions	108,664	122,351	140,840	160,111
Goods and services	462,236	466,349	538,603	451,576
Communication	39,881	23,328	23,257	25,370
Computer Services	50,990	58,328	59,963	64,686
Consultants, contractors and special services	23,709	86,354	101,728	84,995
Equipment <R5000	89,133	94,064	96,453	104,162
Inventory	85,743	93,700	143,094	53,486
Owned & Leasehold property exp	5,856	6,386	6,375	6,689
Travel and subsistence	49,992	35,319	38,071	37,937
Training and staff development	1,096	635	1,633	692
Other	115,836	68,235	68,029	73,559
Interest and rent on land				
Financial transactions in assets and liabilities				
Transfers and subsidies	2,790	3,082	3,266	3,461
Provinces and municipalities				
Departmental agencies and accounts				
Universities and technikons				
Public corporations and private enterprises				
Foreign governments and international organisations				
Non-profit institutions				
Households	2,790	3,082	3,266	3,461
Payments for capital assets	114,247	144,423	31,498	-
Buildings and other fixed structures				
Machinery and equipment	-	40,000	31,498	
Cultivated assets				
Software and other intangible assets	114,247	104,423	-	-
Land and sub-soil assets				
Heritage assets				
Specialised military assets				
Total cost estimates: SERVICES TO CITIZENS	1,225,758	1,336,936	1,403,304	1,398,491

TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
Rand thousand	2008/09	2009/10	2010/11	2011/12
IMMIGRATION SERVICES				
Sub Programmes				
MANAGEMENT	59,338	34,988	36,688	39,544
NIB SUPPORT	40,805	27,839	50,059	46,274
ADMISSIONS	183,986	335,382	481,275	80,214
IMMIGRATION CONTROL	218,220	222,716	232,322	247,580
PROVINCIAL IMMIGRATION SERVICES	418,549	458,714	508,295	581,722
KwaZulu Natal	41,135	45,804	53,110	61,498
Mpumalanga	49,809	46,217	56,207	76,212
Free State	38,981	43,859	47,378	59,018
Northern Cape	22,544	22,609	26,242	30,630
North West	48,780	51,647	55,655	59,693
Western Cape	33,182	45,546	50,229	54,855
Eastern Cape	37,803	40,416	43,647	47,351
Gauteng	96,719	110,314	119,802	129,873
Limpopo	49,596	52,302	56,025	62,592
FOREIGN OFFICES REGIONAL COORDINATION	123,642	149,465	161,605	171,805
REFUGEE AFFAIRS	69,037	98,311	87,501	93,534
Total cost estimates: NIB	1,113,577	1,327,415	1,557,745	1,260,673

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TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
	2008/09	2009/10	2010/11	2011/12
Rand thousand				
IMMIGRATION SERVICES				
Economic classification				
Current payments	1,123,086	1,335,340	1,568,673	1,272,257
Compensation of employees	577,362	664,686	743,826	844,065
Salaries and wages	501,653	560,780	627,211	711,728
Social contributions	75,709	103,906	116,615	132,337
Goods and services	535,974	660,465	813,639	416,311
Communication	15,364	8,348	7,806	8,679
Computer Services	21,583	51,358	120,289	24,448
Consultants, contractors and special services	28,976	204,143	176,370	35,880
Equipment <R5000	142,289	181,966	300,614	125,583
Inventory	16,760	9,712	9,610	10,442
Owned & Leasehold property exp	-	2,789	2,035	2,328
Travel and subsistence	82,726	52,594	50,630	51,534
Training and staff development	2,654	4,367	7,872	2,699
Other	225,622	145,188	138,413	154,718
Interest and rent on land				
Financial transactions in assets and liabilities				
Transfers and subsidies	241	264	280	297
Provinces and municipalities				
Departmental agencies and accounts				
Universities and technikons				
Public corporations and private enterprises				
Foreign governments and international organisations				
Non-profit institutions				
Households	241	264	280	297
Payments for capital assets	-	2,000	-	-
Buildings and other fixed structures				
Machinery and equipment	-	2,000	-	-
Cultivated assets				
Software and other intangible assets				
Land and sub-soil assets				
Heritage assets				
Specialised military assets				
Total cost estimates: NIB	1,113,577	1,327,415	1,557,745	1,260,673

TRANSLATION INTO BUDGET STRUCTURE	Medium Term Estimates			
Rand thousand	2008/09	2009/10	2010/11	2011/12
TRANSFERS TO AGENCIES				
Sub Programmes				
FILM AND PUBLICATION BOARD	33,519	39,027	54,244	60,717
GOVERNMENT PRINTING WORKS	137,425	331,155	92,970	123,297
ELECTORAL COMMISSION	1,039,393	928,967	1,269,599	709,762
Total cost estimates: TRANSFERS TO AGENCIES	1,210,337	1,299,149	1,416,813	893,776
Economic classification				
Current payments	-	-	-	-
Compensation of employees				
Goods and services				
Other				
Interest and rent on land				
Financial transactions in assets and liabilities				
Transfers and subsidies	1,210,337	1,299,149	1,416,813	893,776
Provinces and municipalities				
Departmental agencies and accounts	1,210,337	1,299,149	1,416,813	893,776
Universities and technikons				
Public corporations and private enterprises				
Foreign governments and international organisations				
Non-profit institutions				
Households				
Payments for capital assets	-	-	-	-
Buildings and other fixed structures				
Machinery and equipment				
Cultivated assets				
Software and other intangible assets				
Land and sub-soil assets				
Heritage assets				
Specialised military assets				
Total cost estimates: TRANSFERS TO AGENCIES	1,210,337	1,299,149	1,416,813	893,776



Immigration Officers sign a Pledge of Commitment to Service Delivery during one of the Director-General's Provincial visits

We, the employees of the Department of Home Affairs, hereby pledge to the success of the Department of Home Affairs, to the best of our ability, to ensure the highest standards of service delivery, to the satisfaction of our clients, to the benefit of the Republic of South Africa.

Acknowledging that the Department of Home Affairs is a public service, we commit to the highest standards of service delivery, to the benefit of the Republic of South Africa.

We commit to the highest standards of service delivery, to the benefit of the Republic of South Africa.



home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA



PART 2:

REGULATORY FRAMEWORK AND FIVE YEAR STRATEGIC OUTLOOK

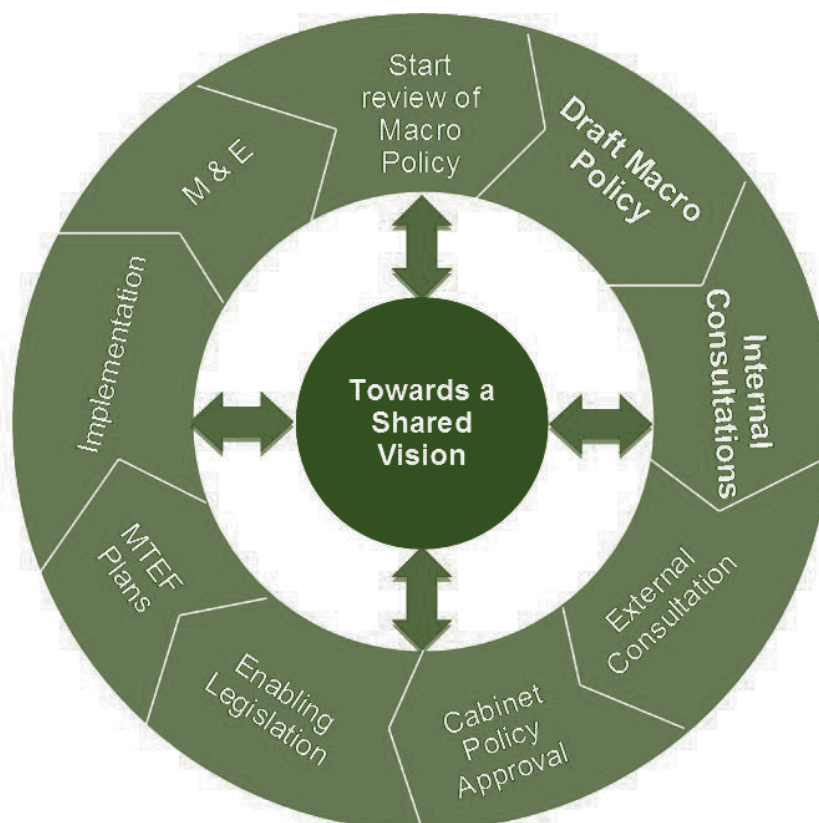
2.1 POLICY DEVELOPMENTS AND LEGISLATIVE CHANGES

In October 2007, during the first phase of the turnaround programme, the Department initiated a project to develop a macro policy framework that would clearly define the mandate of the Department of Home Affairs; its role with regard to the state and to civil society; and its strategic support for national priorities and programmes.

A coherent policy framework will guide research and development in specific policy areas and related legislation. This work helped inform the redesign of the Department and other elements of the turnaround programme. The details of the Macro Policy are in the process of being discussed with relevant government Departments and fora, with the intention of its further development and eventual engagement with external stakeholders if Cabinet approval is given as indicated in Figure 1 below. The 2009- 2011 Strategic Plan draws on the policy work that is in progress, as reflected in its revised vision, mission and strategic goals, although there is continuity with respect to previous plans.

The overall policy intention and strategic thrust is towards Home Affairs being the trusted, secure and efficient custodian of the identity of citizens and an effective regulator of migration, in the interests of both security and of development. The urgent challenges that need to be confronted in realising this vision are highlighted in the preface of the Minister of Home Affairs in this document, as well as in the prefaces of the Deputy Minister and Director-General.

Figure 1: Implementation Framework



Policy developments and legislative changes that influence programme spending and targets of the institution's programmes

The Department introduced the Films and Publications Amendment Bill into Parliament during 2006 and it has been passed by Parliament during 2008, although it has not yet been assented to and signed by the President. The Films and Publications Amendment Bill amends the Films and Publications Act, 1996, in order to regulate the creation, production, possession and distribution of films, games and certain publications to provide consumer advice and to protect children from exposure to disturbing or harmful material. Some other amendments include the appointment and functions of compliance officers, as well as the composition, functions and management of the Film and Publication Board.

The Refugees Amendment Bill was introduced into Parliament during 2008. The Refugees Amendment Bill has been passed by Parliament and subsequently assented to by the President during November 2008 and is called the Refugee Amendment Act, 2008 (Act No 33 of 2008). It provides for the delegation of powers, matters relating to the Refugee Reception Offices, the dissolution of the Standing Committee for Refugee Affairs and the Refugee Appeal Board. The refugee status determination procedures are also revised and clarified.

Other legislative changes planned over the next 2 to 3 years include the:

- Marriage Amendment Bill, 2009,
- Immigration Amendment Bill, 2009,
- Recognition of Customary Marriages Amendment Bill, 2009,
- South African Citizenship Amendment Bill, 2009, and
- Births and Deaths Registration Amendment Bill, 2009.

2.2 VISION

To contribute effectively to the development of a safe, secure South Africa where all its people are proud of, and value, their identity and citizenship

2.3 MISSION

The efficient determination and safeguarding of the identity and status of citizens and the regulation of migration to ensure security, promote development and fulfil our international obligations.

2.4 VALUE STATEMENT

The values of any organisation influence individual and organisational decision-making and behaviour. An essential part of the transformation of the Department is for all its officials to adopt and live a clear and common set of values that align with the principles of Batho Pele and the wider transformation of the public service and society. The values serve as a framework on which to build the future and strengthen current actions. Change management within the Department is an important element in the turnaround of the Department. The managers and staff members of the Department of Home Affairs consider the following values to encompass common and paramount strengths, responsibilities and opportunities.

The staff of the Department of Home Affairs is committed to being:

- People-centred and caring
- Patriotic and fighting corruption
- Professional and having integrity
- Accountable and transparent
- Efficient and innovative

2.5 STRATEGIC GOALS

1. To provide secure, efficient and accessible services and documents to citizens and lawful residents in accordance with national priorities, legislation and international standards.
2. To establish and maintain secure, effective, efficient, accurate and integrated data systems.
3. To facilitate and regulate the secure movement of people into and out of the Republic of South Africa through Ports of Entry in the interest of national security and in support of development goals.
4. To determine the status of asylum seekers and to regulate refugee affairs in accordance with the Constitution of the Republic of South Africa, national legislation and international protocols.
5. To advance cooperation with other government Departments and relevant civil society organisations on matters with a focus on improving service delivery and countering corruption.

6. To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service.

2.6 STRATEGIC OPERATING MODEL

The aim of the Strategic Plan is to lay a foundation on which the Department can execute its mandate and achieve its objectives. In order to build this foundation the key disciplines below have to be incorporated into the Department's strategic operating model.

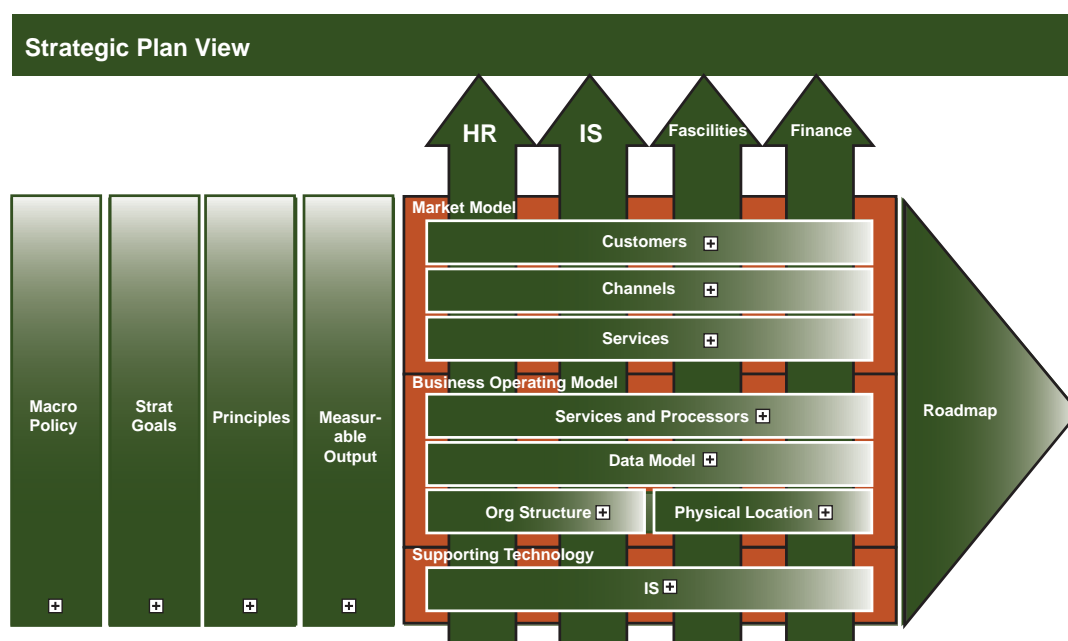
Defining the operating model – This means developing and agreeing to the integration of the Department's business processes for delivering services to its various customers. The first iteration of the DHA's operating model, built as part of the turnaround programme, has been expanded and now incorporates greater detail of, amongst other aspects, its processes, customers and channels for service delivery.

Defining the enterprise architecture – This is the organising logic for all the components making up the DHA, such as business processes, organisation

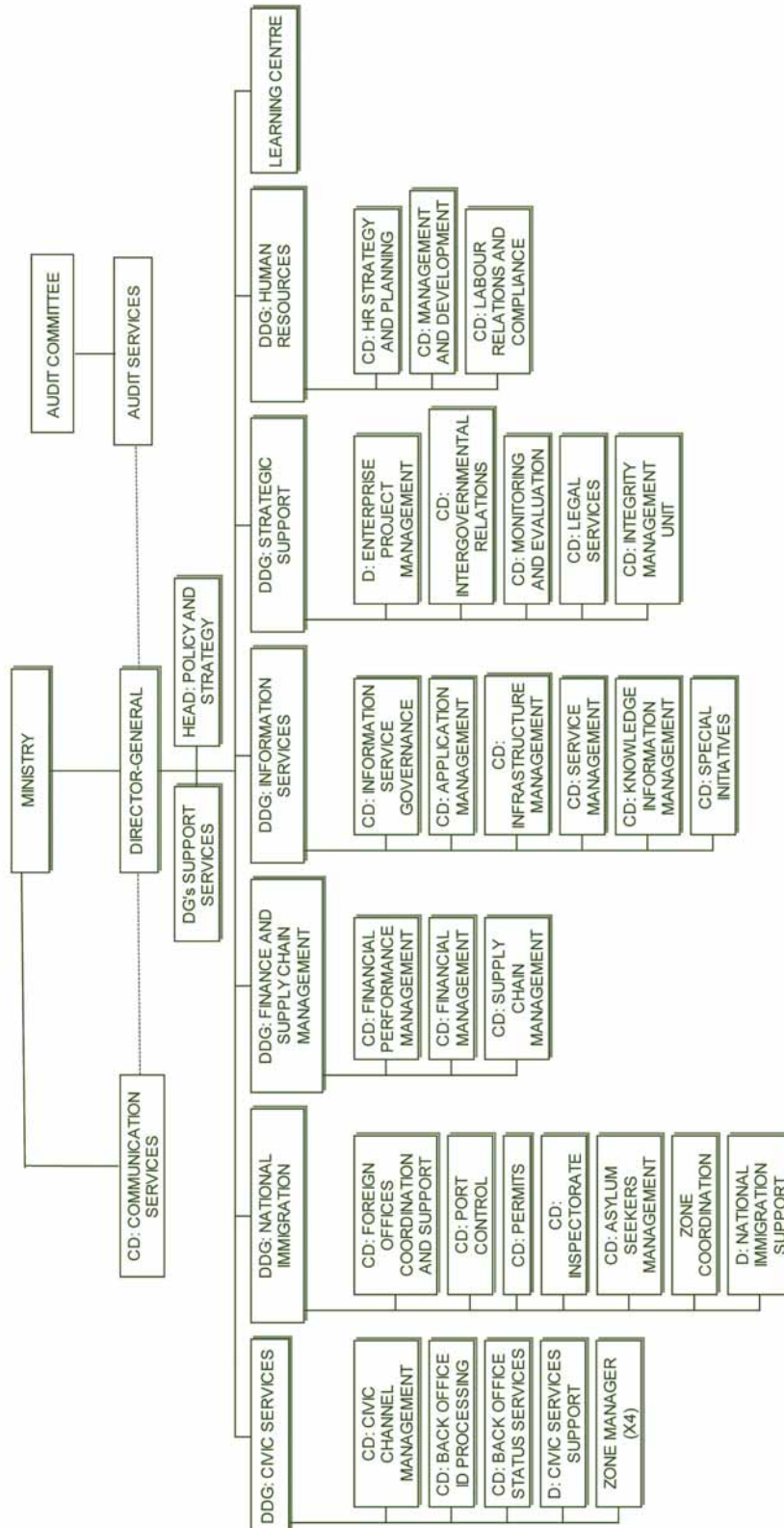
structure, IT infrastructure and facilities amongst others. The enterprise architecture provides a longer-term view of the Department's component parts so that all initiatives, projects and actions can focus on building the required components to the desired levels of capacity and efficiency. The enterprise architecture, therefore, provides a clear understanding where the Department wants to be within the five year planning time frame.

Both the above elements have been developed as part of the 2009-2014 strategic planning cycle. Inputs were solicited from all branches and the planning targets incorporated into the model that represents the DHA's desired end state. The Department now has an integrated view of most of its components. This enterprise model will be expanded with greater levels of detail and will be used during subsequent planning cycles to ensure that Departmental planning takes place in a more integrated basis by making a single view of Departmental data visible to DHA decision makers. Having critical data available in an integrated model will also allow for analysis of the cause and effect relationships resulting from planning decisions and target setting. A high-level summary extract of the enterprise architecture model is provided in Figure 2 below.

Figure 2: DHA Enterprise Architecture model extract



2.7 ORGANISATION STRUCTURE



The broad organizational structure for the transformed Department of Home Affairs was extensively discussed between the Department of Public Service and Administration and the Department of Home Affairs. The two teams were led by the Directors-General of the two Departments. The Department of Home Affairs complied with the structural principles stipulated in the directive regarding organizational structures issued by the Minister of Department of Public Service and Administration on the 27 June 2007 (Reference No 17/4/1/3/6).

In view of the above, the organizational structure for the Department of Home Affairs was submitted to the Minister of the Department of Public Service and Administration for comment and approval on 27 February 2008. The Minister of the Department of Public Service and Administration supported and approved the organizational structure on 11 April 2008, subject to job evaluation of all newly created and redesigned positions.

The Department of Home Affairs is currently in the process of conducting job evaluations according to the job evaluation system (EQUATE) to determine a defensible and equitable basis of the size, weight and salary scale of jobs.

Table 1 below illustrates the job evaluation status quo for various occupational classes/categories

Occupational Category	Number of Jobs per Occupational Category	Job Evaluated
Director-General	1	DPSA
Deputy Director-General	6	100 %
Chief Director	34	100 %
Director	108	100 %
Deputy Director	248	85 %
Assistant Director	655	85 %
LOWER LEVEL	9435	95 %

The organizational structure for the Department of Home Affairs makes provision for the number of employees that will be able to deliver on the mandate and to improve the efficiency and service delivery in the Department.

Table 2 below illustrates the number of post establishment for the Medium Term Expenditure Framework: (MTEF)

Branch	Baseline / Filled Posts	Proposed Capacity Model					
		Year 1	Vacant	Year 3	Vacant	Year 5	Vacant
Civic	4186	5710	1524	6342	2156	6414	2228
NIB	1979	3313	1334	3806	1827	4214	2235
Support	1234	1448	214	1442	208	1401	167
DG	11	16	5	16	5	16	5
Total	7410	10487	3077	11606	4196	12045	4635

This table illustrates the posts created in line with revised service delivery model for the period up to 2014

Table 3 below illustrates the nature of appointments in the DHA

Staff Establishment	
Nature Of Appointment	Total
Permanent	7410
Contract	1109
Internship	186
NYS (National Youth Service)	11
Statutory appointment	1
Political appointment	2
TOTAL	8719

In terms of human resource planning, the following competencies are required:

SENIOR MANAGEMENT SERVICE (SMS) COMPETENCIES:

Strategic capabilities and leadership; Programme and project management; Financial management; Change management; Knowledge management; Service delivery innovation; Problem solving analysis; People management and empowerment; Client orientation and customer focus and Communication.

MIDDLE MANAGEMENT SERVICE (MMS) COMPETENCIES:

Concern for others, Creative thinking, People-centred orientation, Decision making, Diversity citizenship, Organizational communication effectiveness, Problem analysis, Self management, Team membership and Technical proficiency.

LIST OF TRAINING PRIORITIES

- Management Development Programmes (Emerging Development Management Programme, Advanced Management Development Programme and Executive Development Programme)
- Public Finance Management Act (PFMA)
- Supply Chain Management
- Project Management
- Mentorship Training
- Customer Care
- Civic Services Training (Births, Marriages, Deaths, Citizenship etc)
- Immigration Training (Port Control, Refugee Law, Law Enforcement, etc)
- International Migration Policy and Management Training
- Adult Basic Education and Training (ABET)



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home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA



PART 3:

STRATEGIC IMPLEMENTATION PLAN

3.1 INTRODUCTION

The process for compiling the Departmental Strategic Plan for 2009 – 2011 commenced in November 2008. The Department moved to a five year planning window rather than the previous three year framework. It provides a more realistic planning framework and enables better alignment with the five year electoral cycle and governmental priorities. As outlined in Section 2.1, the strategic plan was guided by the Department's work on developing a draft macro policy framework. Apart from defining the vision and mission of the Department, the work done on the policy framework enabled the strategic goals of the Department to be reviewed and refined, as set out in section 3.2 below.

With regard to organisational transformation, planning involved defining the future end-state that the Department must develop towards over the next five years. This was defined as having the following characteristics:

- People-centric culture within a sound policy and regulatory framework
- Effective governance and leadership by managers that are committed to the public good and to the Department as a whole; and which is measured and monitored
- Staff members that are professional, skilled, responsive, flexible, motivated and performance measured
- Staff at all levels who focus on implementation and strive for operational efficiency and who are in control of their operating environment and processes
- End to end processes that can deliver products and services reliably to standards that are measured, maintained and improved
- Secure, efficient, cost-effective and enabled systems; and an environment for clients and for staff that meets acceptable and measured standards
- Sharing of knowledge and best practice by growing a dynamic and shared knowledge base and through management practices that cut across silos

- Core values that are embedded, visible and demonstrated: people-centred and caring, patriotic and fighting corruption, professional and having integrity, accountable and transparent and efficient and innovative

The planning process also involved assessing the progress made by the turnaround programme, which began in June 2007 with the design and implementation of a new DHA service delivery model, focussing on:

- citizens and other clients, in terms of needs and services provided to them and channels used to provide these services
- the processes and the means (in terms of IT, facilities and people) necessary to deliver secure and efficient services.

The conclusion was that the turnaround programme had achieved much in terms of organisational design and improved processes and service delivery.

With regard to the supporting strategies it will be noticed that they contain four cross-cutting underlying strategic priorities or focus areas that are critical in order to turn around the Department. They are:

- Leadership and management aiming at effective governance and operational control,
- Competent staff, with new values, resulting in people-centred and improved efficiency,
- End-to-end process improvement aiming at data integrity and security as well as improving services, and
- Minimum standards attainment focussing on infrastructure (channels and footprint) and aiming at better access and an improved environment.

These focus areas are embedded in the strategic goals, objectives and outputs of the Department and the stated outcomes that are part of the desired end state for Home Affairs.

In support of the above, the strategies of the branches (Section 4) unpack and highlight their key contributions to the Departmental strategic thrust, goals and outputs aimed at achieving the envisaged end state.

3.2 STRATEGIC GOALS

The Department's strategic goals were confirmed during the recently completed macro policy development process. These strategic goals are listed below and will be the primary drivers that will guide service delivery for the next five years.

1. To provide secure, efficient and accessible services and documents to citizens and lawful residents in accordance with national priorities, legislation and international standards
2. To establish and maintain secure, effective, efficient, accurate and integrated data systems
3. To facilitate and regulate the secure movement of people into and out of the Republic of South Africa through ports of entry in the interest of national security and in support of development goals
4. To determine the status of asylum seekers and to regulate refugee affairs in accordance with the Constitution of the Republic of South Africa, national legislation and international protocols
5. To advance cooperation with other government Departments and relevant civil society organisations on matters with a focus on improving service delivery and countering corruption
6. To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service

The tables that follow represent the Department's plans for implementing initiatives to achieve its strategic goals. Specific measurable objectives, measurable outputs, performance indicators and targets have been defined and linked to the above strategic goals, so as to measure progress and achievement of the goals over the five year planning period. In the context of the tables comprising the strategic implementation plan the following definitions apply:

- Measurable objectives – Specific objectives defined to measure strategic goal achievement. The purpose of these objectives are to clearly communicate expected performance outcomes.
- Measurable outputs – These are the products, goods and services that result from planned interventions and initiatives indicating the achievement of measurable objectives.
- Performance indicators – The specific quantitative and/or qualitative variables that define the units of measurement that will be tracked to record and report achievement of performance and output targets.
- Targets - Quantifiable levels of the performance indicator.

STRATEGIC IMPLEMENTATION PLAN

Strategic Plan • 2009 - 2012

3.3 MEASURABLE OBJECTIVES AND TARGETS

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
Strategic Goal 1 : To provide secure, efficient and accessible services and documents to citizens and lawful residents in accordance with national priorities, legislation and international standards							
Measurable Objective 1.1: To ensure effective, efficient and accessible service delivery to clients through the provision of enabling documentation							
1.1.1	Accessibility enhanced through establishment of targeted service delivery points	Number of additional permanent service delivery points established / increase in services offered	1.1.1.1	* 13 additional permanent service delivery points established / services offered increased	6 additional permanent service delivery points established / services offered increased	3 additional permanent service delivery points established / services offered increased	DDG:CS
		Percentage of mobile units operational Status of operating model approval and implementation	1.1.1.2	80% of mobile units operational New operating model for mobile units approved	95% of mobile units operational New operating model for mobile units implemented	95% of mobile units operational	DDG:CS
1.1.2	Products and services rendered within specified time frames	Degree of compliance with specified timeframes in respect of number of days to issue unabridged birth, marriage and death (BMD) certificates for new registrations	1.1.2.1	90% of all applications for unabridged BMD certificates for new registrations correctly processed and issued within 20 days at offices of origin	95% of all applications for unabridged BMD certificates for new registrations correctly processed and issued within 18 days at offices of origin	95% of all applications for unabridged BMD certificates for new registrations correctly processed and issued within 16 days at offices of origin	DDG:CS
		Degree of compliance with specified timeframes in respect of number of days to issue IDs (first issue)	1.1.2.2	Applications for ID (first issue) correctly processed and issued within 45 days	Applications for ID (first issue) correctly processed and issued within 40 days	Applications for ID (first issue) correctly processed and issued within 40 days	DDG:CS
		Degree of compliance with specified timeframes in respect of number of days to issue IDs (re-issue)	1.1.2.3	Applications for ID (re-issue) correctly processed and issued within 30 days	Applications for ID (re-issue) correctly processed and issued within 30 days	Applications for ID (re-issue) correctly processed and issued within 30 days	DDG:CS

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
1.1.2	Products and services rendered within specified time frames	Degree of compliance with specified timeframes in respect of number of days to issue ID cards (re-issue)	1.1.2.3 (a)	Not Applicable (NA)	Applications for ID card (re-issue) correctly processed and issued within 20 days	Applications for ID card (re-issue) correctly processed and issued within 20 days	DDG:CS
		Degree of compliance with specified timeframes in respect of number of days to issue IDs (temporary IDs)	1.1.2.4	Applications for ID (temporary ID) correctly processed and issued within 1 day at 90% of DHA service points	Applications for ID (temporary ID) correctly processed and issued within 1 day at 95% of DHA service points	Applications for ID (temporary ID) correctly processed and issued within 1 day at 98% of DHA service points	DDG:CS
		Degree of compliance with specified timeframes in respect of number of days to issue passports	1.1.2.5	Applications for machine readable passport correctly processed and issued within 10 days	Applications for machine readable passport correctly processed and issued within 5 days	Applications for e-passport correctly processed and issued within 5 days	DDG:CS
		Degree of compliance with specified timeframes in respect of number of months to issue citizenship certificates	1.1.2.6	Citizenship certificate correctly processed and issued within 6 months	Citizenship certificate correctly processed and issued within 4 months	Citizenship certificate correctly processed and issued within 4 months	DDG:CS
		Degree of compliance with specified timeframes in respect of number of days to issue temporary passports and emergency travel certificates (ETC)	1.1.2.7	Temporary passport correctly processed and issued within 3 days and ETC within 1 day	Temporary passport correctly processed and issued within 3 days	Temporary passport correctly processed and issued within 3 days	DDG: CS
		Degree of compliance with specified timeframes in respect of number of days to issue abridged birth, marriage and death certificates	1.1.2.8	Abridged birth, marriage and death certificate correctly processed and issued within 1 day at 90% of DHA service points	Abridged birth, marriage and death certificate correctly processed and issued within 1 day at 95% of DHA service points	Abridged birth, marriage and death certificate correctly processed and issued within 1 day at 98% of DHA service points	DDG: CS

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

STRATEGIC IMPLEMENTATION PLAN

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Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
1.1.2	Products and services rendered within specified time frames	Degree of compliance with specified timeframes in respect of number of months to issue late registration of birth (LRB) certificates	1.1.2.9	LRB application correctly processed and finalized within 4 months	LRB application correctly processed and finalized within 4 months	LRB application correctly processed and finalized within 3 months	DDG:CS
1.1.3	Secure civics and immigration related processes, systems, records and enabling documents to combat fraud and corruption	Status of ID card pilot	1.1.3.1	ID card specifications drafted, rollout plan finalized and ID card pilot initiated	NA	NA	DDG:CS
		Percentage (%) of new ID cards rolled out	1.1.3.2	NA	4% of estimated 30 million people issued with ID cards	20% of estimated 30 million people issued with ID cards (6 million maximum)	DDG: CS
		Percentage (%) of data clean up (multiple persons sharing same ID)	1.1.3.3	Additional 25% of affected records cleaned up	Additional 30% of affected records cleaned up	Additional 25% of affected records cleaned up (100% cumulative from 08/09)	DDG:CS
		Percentage (%) of data clean up (one person with multiple IDs)	1.1.3.4	Additional 20% of affected records cleaned up	Additional 30% of affected records cleaned up	Additional 40% of affected records cleaned up (100% cumulative from 08/09)	DDG:CS
		Status of photo digitization implementation	1.1.3.5	Photo digitization implemented (scanning of photographs into IDs)	NA	NA	DDG: CS
		Number of offices with live capture	1.1.3.6	Live capture technology implemented at 30 offices	Live capture technology implemented at a further 30 identified regional and district offices	NA	DDG: CS

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
1.1.3	Secure civics and immigration related processes, systems, records and enabling documents to combat fraud and corruption	Status of pilot conducted	1.1.3.7	Research initiated into strengthening of the capturing of identity of minors	Taking of fingerprints in respect of children nationally implemented	NA	DDG: CS
		Status of review of birth registration	1.1.3.8	Birth registration process reviewed, including late registration of birth, and recommendations implemented	NA	NA	DDG: CS
		Status of pilot conducted	1.1.3.9	3rd party online fingerprint verification piloted (commercial verification)	3rd party online fingerprint verification rolled out to identified 3rd parties	3rd party online fingerprint verification rolled out to identified 3rd parties	DDG: CS
		Number of identified 3rd parties equipped with online fingerprint verification					
		Number of offices, mobile units and ports of entry with online fingerprint verification	1.1.3.10	Online verification rolled out to 23 offices, 117 mobile units and OR Tambo International Airport and Durban International Airport	NA	NA	DDG: CS
		Status of biometrics for visa regime introduced	1.1.3.11	Biometrics systems development as part of WAIO	Pilot for biometric visa introduced	Full implementation of biometrics for visa regime	DDG:NIB
			1.1.3.12	Measures introduced to improve security at key ports of entry	NA	NA	DDG:NIB

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

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Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
1.1.4	Electronic Document Management System (EDMS) implemented	Degree of functionality	1.1.4.1	EDMS upgraded to cater for retrieval of BMD records	Record scanning on demand implemented	Back scanning of records completed	DDG:CS
		Percentage of backscanning completed			Back scanning of records initiated (10% of 18 million cases)		
		Percentage of microfilm records converted to data format for viewing	1.1.4.2	10% of 18 million cases converted	35% of 18 million cases converted	30% of 18 million cases converted	DDG:CS
1.1.5	Birth, marriage and death (BMD) records sorted and indexed	Number of BMD records sorted and indexed	1.1.5.1	15 million BMD records sorted and indexed	15 million BMD records sorted and indexed	15 million BMD records sorted and indexed	DDG:CS
1.1.6	Improved customer interaction by focusing on customers and their needs and rendering services in a professional manner	Number of centres of excellence established	1.1.6.1	4 centres of excellence established	9 centres of excellence established	9 centres of excellence established	DDG:CS
1.1.7	Fully functional offices appropriate for staff and customers created	Number of offices refurbished to adhere to minimum standards in respect of corporate identity	1.1.7.1	30 offices refurbished according to minimum standards	45 offices refurbished according to minimum standards	45 offices refurbished according to minimum standards	DDG:CS
1.1.8	Awareness raised to emphasise the importance of registration of births, marriages, deaths and safeguarding of enabling documents	Number of national campaigns launched / sustained	1.1.8.1	National campaign launched to ensure that the births of all persons below 16 years of age are registered	National campaign for birth registration sustained	National campaign for birth registration sustained	DDG:CS
		Number of public education campaigns initiated / sustained	1.1.8.2	National campaign launched for first issue of ID's for 16 years and above	National campaign for first issue of ID's for 16 years and above sustained	National campaign for first issue of ID's for 16 years and above sustained	DDG:CS
				Public education campaign in respect of safekeeping of documents initiated	Public education campaign in respect of safekeeping of documents sustained	Public education campaign in respect of safekeeping of documents sustained	DDG:CS

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works



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Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
1.1.9	Efficient and effective services provided through the Contact Centre	Percentage (%) of call resolution by contact centre	1.1.9.1	95% of calls answered within 20 seconds at the contact centre	95% of calls answered within 20 seconds at the contact centre	95% of calls answered within 20 seconds at the contact centre	DDG:CS
Strategic Goal 2: To establish and maintain secure, effective, efficient, accurate and integrated data systems							
Measurable Objective 2.1.: Ensure a secure and effective data management capability							
2.1.1	DHA key applications / systems stabilised	Percentage (%) of NPR system established	2.1.1.1	30% NPR data integrity and accuracy implemented (duplicate records removed)	40% NPR data integrity and accuracy implemented (additional to 09/10 target)	30% NPR data integrity and accuracy implemented (additional to previous targets)	DDG: IS
			2.1.1.2	EDMS upgrade completed (capturing and retrieving of information up to 40% of system capability)	100% Workable EDMS solution implemented	New EDMS processes optimised	DDG: IS
			2.1.1.3	Percentage (%) reduction in audit issues	30% of issues in the audit resolved (main systems)	60% of issues in the audit resolved (main systems)	100% of issues in the audit resolved (main systems)
2.1.2	DHA key applications/ systems integrated	Percentage (%) of systems integration (NPR, HANIS, EDMS, NIIS, MCS and Passport system) completed as per set implementation plan	2.1.2.1	Systems integrated and 20% of data migrated	Systems integrated and 30% of data migrated	25% Relational linkages between NPR, HANIS, NIIS, MCS, EDMS and Passport systems integrated	DDG: IS
2.1.3	DHA key applications/ systems rationalised / enhanced	Status of NPR, HANIS, EDMS, NIIS, MCS and Passport system enhancements	2.1.3.1	NPR, HANIS, EDMS, NIIS, MCS and Passport system enhancements rolled out - according to business requirements	NPR, HANIS, EDMS, NIIS and Passport system enhancements rolled out - according to business requirements	NPR, HANIS, EDMS, NIIS and Passport system enhancements rolled out - according to business requirements	DDG: IS

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
2.1.4	2010 and Who Am I Online (WAIO) projects implemented (IT component)	Status of 2010 and WAIO projects implemented (IT component)	2.1.4.1	100% of 2010 IT projects piloted	100% of 2010 IT projects implemented	Ongoing maintenance and support	DDG: IS
		Status of WAIO Technology Refresh	2.1.4.2	WAIO Technology Refresh - Iteration 1 (MCS and Visa systems) implemented	WAIO Technology Refresh Iteration 2 implemented - Roll out to all FIFA 2010 sites finalised	WAIO Technology Refresh completed	DDG: IS
Strategic Goal 3: To facilitate and regulate the secure movement of people into and out of the Republic of South Africa through ports of entry in the interest of national security and in support of development goals							
Measurable Objective 3.1: To regulate migration effectively by enabling the movement of skilled workers into the country and efficiently and securely facilitating the entry, stay and exit of visitors							
3.1.1	Expand service delivery to large corporate accounts and grow the number of accounts serviced	Number of targeted accounts serviced	3.1.1.1	70 large accounts serviced	85 large accounts serviced	100 large accounts serviced	DDG:NIB
		Customer satisfaction index	3.1.1.2	10% satisfaction improvement on baseline findings	30% satisfaction improvement on baseline findings	50% satisfaction improvement on baseline findings	DDG:NIB
3.1.2	Products and services rendered within specified timeframes to facilitate movement of skilled persons	Degree of compliance with specified timeframes for various categories of temporary residence permit applications (TRP)	3.1.2.1	TRPs issued within the following timeframes:			
		Degree of compliance with specified timeframes for work permits to be issued	3.1.2.1 (a)	4 weeks for work permit	4 weeks for work permit	4 weeks for work permit	DDG:NIB
		Degree of compliance with specified timeframes for business permits to be issued to investors	3.1.2.1 (b)	4 weeks for business permit	4 weeks for business permit	3 weeks for business permit	DDG:NIB

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

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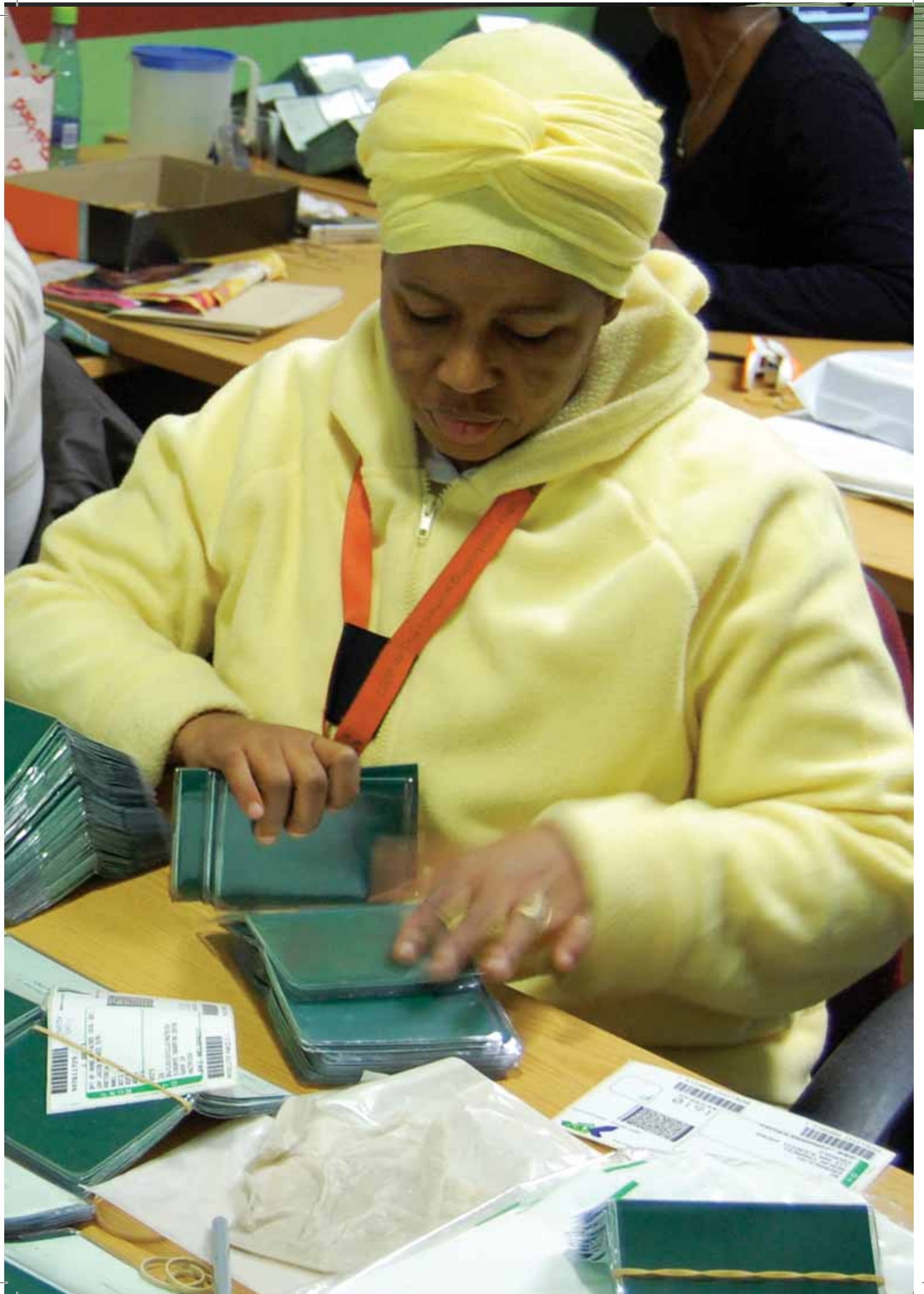
Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation	
3.1.2	Products and services rendered within specified timeframes to facilitate movement of skilled persons	Degree of compliance with specified timeframes for corporate permits to be issued	3.1.2.1 (c)	4 weeks for corporate permit	4 weeks for corporate permit	4 weeks for corporate permit	DDG:NIB	
		Degree of compliance with specified timeframes for study permits to be issued	3.1.2.1 (d)	1 week for study permit	1 week for study permit	1 week for study permit	DDG:NIB	
		Degree of compliance with specified timeframes for treaty permits to be issued	3.1.2.1 (e)	1 week for treaty permit	1 week for treaty permit	1 week for treaty permit	DDG:NIB	
		Degree of compliance with specified timeframes for exchange permits to be issued	3.1.2.1 (f)	1 week for exchange permit	1 week for exchange permit	1 week for exchange permit	DDG:NIB	
		Degree of compliance with specified timeframes for retired persons to be issued with permits	3.1.2.1 (g)	1 week for retired persons permit	1 week for retired persons permit	1 week for retired persons permit	DDG:NIB	
		Degree of compliance with specified timeframes for visitors permits to be issued	3.1.2.1 (h)	1 day for visitors permit	1 day for visitors permit	1 day for visitors permit	DDG:NIB	
		Degree of compliance with specified timeframes for medical permits to be issued	3.1.2.1 (i)	1 day for medical permit	1 day for medical permit	1 day for medical permit	DDG:NIB	
		Degree of compliance with specified timeframes for asylum transit permits to be issued	3.1.2.1 (j)	1 day for asylum transit permit	1 day for asylum transit permit	1 day for asylum transit permit	DDG:NIB	
		Degree of compliance with specified timeframes for corporate, general and intra company transfer permits to be issued to selected corporate clients	3.1.2.1 (k)	10 working days for corporate, general and intra company transfer permit to selected corporate clients	10 working days for corporate, general and intra company transfer permit to selected corporate clients	10 working days for corporate, general and intra company transfer permit to selected corporate clients	5 working days for corporate, general and intra company transfer permit to selected corporate clients	DDG:NIB
		Degree of compliance with specified timeframes for permanent residence permits (PR) to be issued	3.1.2.2	6 months for issuance of a PR permit	6 months for issuance of a PR permit	6 months for issuance of a PR permit	DDG:NIB	

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
3.1.2	Products and services rendered within specified timeframes to facilitate movement of skilled persons	Degree of compliance with specified timeframes for visas to be issued	3.1.2.3	5 days for issuance of a visa	3 days for issuance of a visa	3 days for issuance of a visa	DDG:NIB
		Degree of compliance to international standard clearance time	3.1.2.4	Traveller cleared within 1.5 – 2 minutes	Traveller cleared within 1.5 – 2 minutes	Traveller cleared within 1.5 – 2 minutes	DDG:NIB
3.1.3	Capacity of Airline Liaison function at airports abroad strengthened	Number of Airline Liaison Officers (ALOs) deployed	3.1.3.1	8 ALOs deployed	4 additional ALOs deployed	NA	DDG:NIB
3.1.4	Sound regime for processing of asylum seekers established	Status of approval of strategy Status of strategy implementation	3.1.4.1	Approval of strategy for more effective processing of asylum seekers	Strategy implemented	Strategy implemented	DDG:NIB
3.1.5	Policy in place to manage unskilled and semi-skilled economic migration who fall outside current legislation	Status of policy development and approval Status of preferred policy option implemented	3.1.5.1	Policy response to challenge of economic migrants developed	Preferred policy option approved	Preferred policy option implemented	DDG:NIB
3.1.6	Streamlined processes for recruitment of scarce skills developed and implemented	Status of review of Immigration Act Degree of implementation of streamlined regulations for applicants with scarce skills	3.1.6.1	Immigration Act reviewed Implementation of streamlined regulations to fast track the importing of scarce skills	Monitoring and review of implementation	Monitoring and review of implementation	DDG:NIB
Strategic Goal 4: To determine the status of asylum seekers and to regulate refugee affairs in accordance with the Constitution of the Republic of South Africa, national legislation and international protocols							
Measurable Objective 4.1: To ensure effective and efficient service delivery to asylum seekers through the provision of enabling documentation							
4.1.1	Products and services rendered within specified timeframes	Degree of compliance with specified timeframes for section 22 asylum permits to be issued	4.1.1.1	Section 22 permit issued in 1 day according to the maximum processing capacity of the centres	Section 22 permit issued in 1 day according to the maximum processing capacity of the centres	Section 22 permit issued in 1 day according to the maximum processing capacity of the centres	DDG:NIB

Figures in the tables apply in normal circumstances and average turnaround time will be measured
* Implementation dependent on Department of Public works



Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
4.1.1	Products and services rendered within specified timeframes	Degree of compliance with specified timeframes in respect of number of days to determine and issue refugee status and adjudicate asylum	4.1.1.2	Refugee status issued and asylum adjudicated within 6 months (First instance)	Refugee status issued and asylum adjudicated within 3 months (First instance)	Refugee status issued and asylum adjudicated within 1 month (First instance)	DDG:NIB
		Percentage (%) of refugee IDs issued within targeted period	4.1.1.3	Refugee ID document issued within 3 months	Refugee ID document issued within 20 days	Refugee ID document issued within 20 days	DDG:NIB
		Percentage (%) of refugee travel documents issued within targeted period	4.1.1.4	Refugee travel document issued within 10 days	Refugee travel document issued within 5 days	Refugee travel document issued within 5 days	DDG:NIB
Measurable Objective 4.2: The implementation of the Refugee Appeals Authority and regulations as stipulated by the Amended Refugees Act							
4.2.1	Fully functional Refugee Appeals Authority	Status of regulations approval and implementation Degree of operability of Refugee Appeals Authority Percentage of cases finalised within specified timeframe	4.2.1.1	Regulations approved and implemented	Refugee Appeals Authority operational	100% of cases finalised within 30 days	DDG:NIB
Strategic Goal 5: To advance cooperation with other government Departments and relevant civil society organisations on matters with a focus on improving service delivery and countering corruption							
Measurable Objective 5.1: To improve the image of the DHA through proactive measures and interventions							
5.1.1	Positive perception and reputation of DHA with all stakeholders established through effective communication including change management	Percentage (%) improvement in perceptions of DHA by internal and external audiences as measured through research surveys	5.1.1.1	8% improvement achieved per project against 2008/2009 baseline by internal and external audiences	15% improvement achieved per project against 2008/2009 baseline	30% improvement achieved per project against 2008/2009 baseline	CD: Communication Services
		Percentage (%) increase in staff and public awareness of DHA services	5.1.1.2	8% increase in staff and public awareness of DHA services	15% increase in staff and public awareness of DHA services	30% increase in staff and public awareness of DHA services	CD: Communication Services

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

STRATEGIC IMPLEMENTATION PLAN

Strategic Plan • 2009 - 2012

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
Measurable Objective 5.2: To foster domestic, regional and international cooperation towards improved economic growth and development, including events with strategic importance to the country							
5.2.1	Framework for revising or initiating MoUs and other formal agreements with Departments and stakeholders developed and process facilitated	Status of framework and standards of MoUs and agreements	5.2.1.1	Framework in place and confirmation of MoUs to set standards ensured	NA	NA	DDG: STRATEGIC SUPPORT
5.2.2	All DHA international agreements developed according to approved standards and procedures	Status of process and standards approval and implementation	5.2.2.1	Process and standards approved and implemented	NA	NA	DDG: STRATEGIC SUPPORT
5.2.3	Engagement with FOSAD clusters and other fora to support the Programme of Action and advance DHA priorities	Level of quality assurance of inputs to clusters and analytical reports	5.2.3.1	Co-ordinated and strategic engagement with government Departments and other fora according to framework and standards	NA	NA	DDG: STRATEGIC SUPPORT
5.2.4	DHA effectively equipped to manage special events such as 2010 Soccer World Cup, Confederation Cup, etc	Status of implementation of projects in preparation for Confederation Cup and 2010 Soccer World Cup	5.2.4.1	Implementation of 16 projects applicable to the Confederation Cup and in preparation for the Soccer World Cup	Implementation of all projects applicable for Soccer World Cup 2010	Sustainable special event measures handed over and established as standard operating practice	DDG:NIB
Strategic Goal 6: To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service							
Measurable Objective 6.1: Effective financial governance and accountability through compliant practices and effective systems of risk management and internal control							
6.1.1	DHA framework of risk management, internal control and governance processes established (including business continuity)	Level of compliance with policies, guidelines, performance and governance standards	6.1.1.1	Implementation of risk management, governance and internal control mechanisms within specific business units	Adequacy of risk management, governance and internal control mechanisms within specific business units reviewed	Organisational systems of internal control and governance fully compliant to policies, guidelines and performance standards	CHIEF AUDIT EXECUTIVE (CAE)

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
6.1.2	Compliance to prescribed laws, regulations and supply chain rules (including management standards, accounting and budgeting prescripts)	Status of compliance with GRAP, PFMA and National Treasury Regulations	6.1.2.1	100% compliance to relevant acts	100% compliance to relevant acts	100% compliance to relevant acts	CHIEF FINANCIAL OFFICER (CFO)
Measurable Objective 6.2: Effective strategic sourcing of service providers to ensure value for money and accountability for delivery							
6.2.1	Effective supplier and contract management established	Status of strategic vendor relationship model and performance scorecards	6.2.1.1	Strategic vendor relationship model and performance scorecards for contracts developed and implemented	Medium to long term supplier plans and contract performance scorecards managed	Contract performance scorecards maintained	CFO
Measurable Objective 6.3: Effective costing of product and service lines							
6.3.1	Major product/ service lines costed and tariff structures aligned	Status of product / service lines and tariff structure	6.3.1.1	All existing Departmental product/ service lines costed and tariffs reviewed	Full tariff model and tariff structures implemented with clear view of cost absorption percentage	Product and tariff structures annually reviewed	CFO
			6.3.1.2	Existing tariff model and structure reviewed to identify weaknesses/ potential areas for revision/ principles	Determination made of how to incorporate new vision principles into tariff structure proposal and implementation thereof conducted	NA	CFO
Measurable Objective 6.4: Effective revenue and cash management for the maximisation of revenue potential							
6.4.1	Comprehensive revenue maximisation strategy developed and implemented	Status of revenue collection implementation and actual collections	6.4.1.1	Adequate revenue collection and reconciliation procedures and tools for offices in line with the rollout of the receipting solution developed and implemented	Revenue target on application volumes and actual collection monitored and targets established	Revenue target on application volumes and actual collection against targets monitored	CFO

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

STRATEGIC IMPLEMENTATION PLAN

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Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
Measurable Objective 6.5: To provide efficient support to DHA core service units							
6.5.1	Leadership and governance capability enhanced and strengthened to ensure organisational operational efficiency	Status of governance model approval and implementation	6.5.1.1	Governance model for DHA designed, approved and implemented	100% compliance attained	100% compliance attained	DDG: STRATEGIC SUPPORT
		Status of establishment of Enterprise Programme Management Office (EPMO) to co-ordinate and govern strategic projects in the DHA	6.5.1.2	EPMO established and operational	EPMO fully established and operational	NA	DDG: STRATEGIC SUPPORT
		Status of structure and processes required to establish strategic monitoring and evaluation in DHA	6.5.1.3	Structure and processes required to establish strategic monitoring and evaluation in DHA defined	M&E capability established	NA	DDG: STRATEGIC SUPPORT
6.5.2	Comprehensive framework for DHA policy and legislation in place	Status of policy and legislation framework development	6.5.2.1	Policy framework approved	Ongoing review and management of the policy cycle conducted	Ongoing review and management of the policy cycle conducted	DDG: STRATEGIC SUPPORT
		Status of legislative review and development	6.5.2.2	Review and development of legislation according to priorities within an overall programme	Review and development of legislation according to priorities within an overall programme	Review and development of legislation according to priorities within an overall programme	DDG: STRATEGIC SUPPORT
6.5.3	Visa legislation aligned with SADC Protocol on the Facilitation of Movement of People	Status of visa review and alignment	6.5.3.1	Visa legislation reviewed to ensure alignment	Implementation of reviewed visa legislation	Monitoring and review	DDG: STRATEGIC SUPPORT

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
6.5.4	Corruption minimised through competent analysis, identification, prevention, investigation and prosecuting processes	Status of Integrity Management model established	6.5.4.1	Establishment and capacitation of model for Integrity Management Unit (IMU) commenced	Establishment and capacitation of IMU model completed	NA	DDG: STRATEGIC SUPPORT
		Status of the establishment and effectiveness of processes to prevent corruption	6.5.4.2	Effective processes to prevent corruption in place and corruption related trends identified, remedial actions taken and monitored	Effective processes to prevent corruption in place and corruption related trends identified, remedial actions taken and monitored	Effective processes to prevent corruption in place and corruption related trends identified, remedial actions taken and monitored	DDG: STRATEGIC SUPPORT
		Status of Counter Corruption Plan revision, implementation and monitoring	6.5.4.3	Counter Corruption Plan revised, implemented and monitored to ensure a comprehensive consolidated and multi-sectoral approach	Monitoring and review	Monitoring and review	DDG: STRATEGIC SUPPORT
6.5.5	Full compliance with Minimum Information Security Standards (MISS) established and sustained	Percentage (%) of high priority security threats and risks addressed	6.5.5.1	100% of high priority security threats and risks addressed	100% of high priority security threats and risks addressed	100% of high priority security threats and risks addressed	DDG: STRATEGIC SUPPORT
		Number of additional offices with electronic security systems installed	6.5.5.2	Electronic security systems installed at a further 27 offices	NA	NA	DDG: STRATEGIC SUPPORT

Measurable Objective 6.6: Achieve organisational effectiveness by building capability and capacity that will transform DHA into a high performing organisation

Figures in the tables apply in normal circumstances and average turnaround time will be measured
 * Implementation dependent on Department of Public works

STRATEGIC IMPLEMENTATION PLAN

Strategic Plan • 2009 - 2012

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
6.6.1	Integrated HR strategy fully implemented	Status of below SMS migration completion	6.6.1.1	Migration of below SMS employees finalised	100% of targeted priority posts filled	100% of targeted priority posts filled	DDG: HR
		Number of permanent and contract posts filled		690 permanent posts filled and 780 contract workers appointed			
		Percentage (%) of priority posts filled					
		Percentage (%) of targeted employees trained and developed	6.6.1.2	100% of targeted employees trained and developed	100% of targeted employees trained and developed	100% of targeted employees trained and developed	DDG: HR
		Percentage (%) implementation of Labour Relations Improvement Pla	6.6.1.3	35% implementation of Labour Relations Improvement plan to fast track the finalisation of cases	70% implementation of Labour Relations Improvement Plan	100% implementation of Labour Relations Improvement Plan	DDG: HR
		Status of implementation and review of Performance Management and Development Framework	6.6.1.4	Performance Management and Development Framework fully implemented	Performance Management and Development Framework reviewed	Performance Management and Development Framework reviewed	DDG: HR
		Status of review and implementation of Service Excellence Awards framework	6.6.1.5	Framework for Service Excellence Awards reviewed and implemented	Service Excellence Awards implemented	Service Excellence Awards implemented	DDG: HR
		Percentage (%) implementation of Performance Enhancement Programmes	6.6.1.6	100% implementation of targeted Performance Enhancement Programmes	100% implementation of targeted Performance Enhancement Programmes	100% implementation of targeted Performance Enhancement Programmes	DDG: HR
6.6.2	Establishment of a Learning Centre	Status of development initiatives	6.6.2.1	Business case, implementation plan and governance structures developed	Learning Centre operational	Learning Centre fully functional	HEAD OF LEARNING CENTRE
		Operational status of Learning Centre					

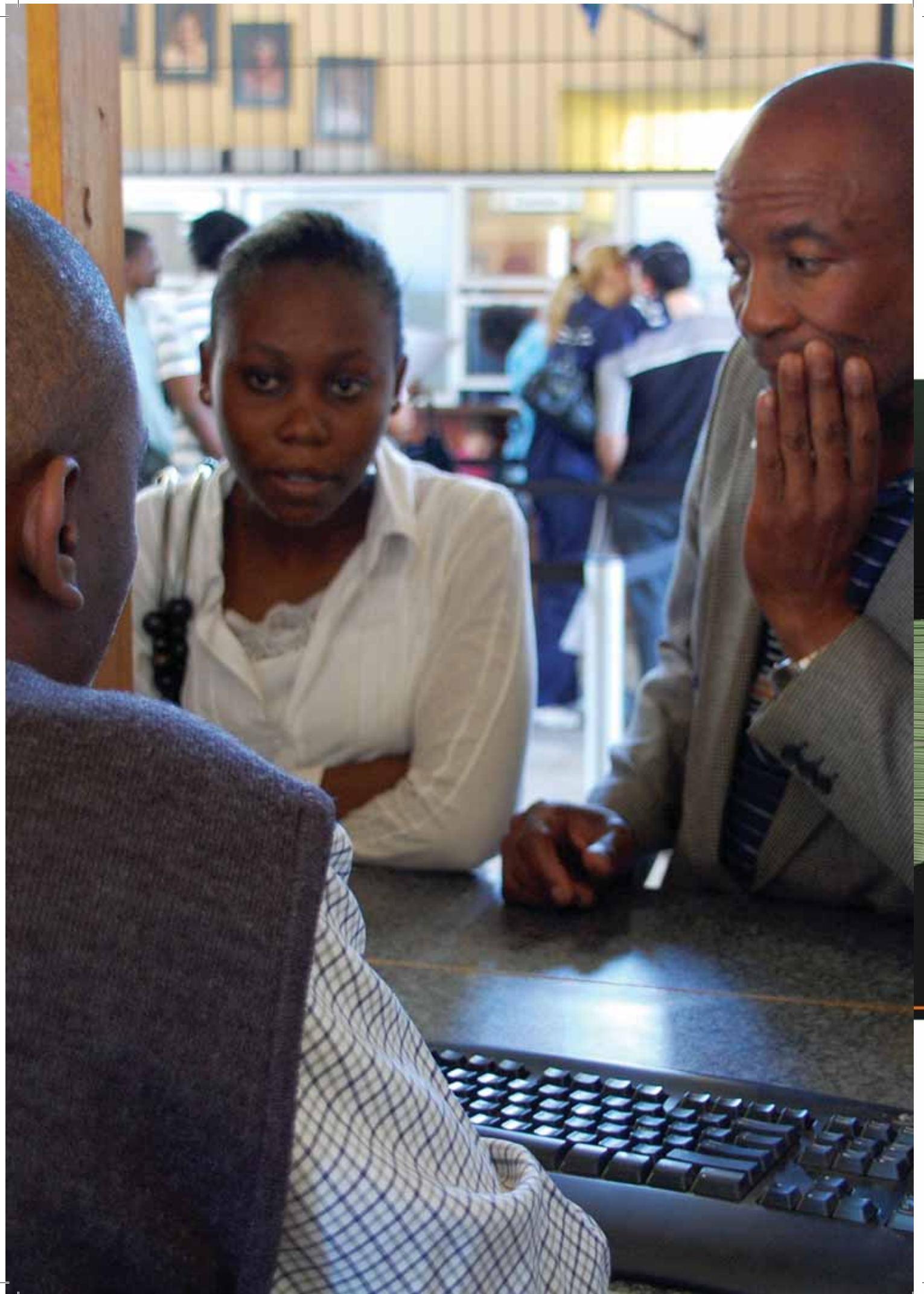
Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works

Measurable Output No	Measurable Output	Performance Indicator	Target No	Target 2009/10	Target 2010/11	Target 2011/12	Delegation
Measurable Objective 6.7: To develop and implement an efficient and effective HR Branch that will support DHA strategic objectives							
6.7.1	HR functional effectiveness as a strategic business partner achieved	Percentage of prioritised HR positions filled	6.7.1.1	100% of prioritised HR positions filled	100% of prioritised HR positions filled	100% of prioritised HR positions filled	DDG: HR
		Percentage implementation of planned deliverables achieved (people, systems, processes and policies)	6.7.1.2	100% implementation of targeted planned deliverables on people, systems, processes and policies	100% implementation of targeted planned deliverables on people, systems, processes and policies	100% implementation of targeted planned deliverables on people, systems, processes and policies	DDG: HR
		Status of establishment of inter-branch relationship forum	6.7.1.3	Inter-branch relationship forum (e.g. Integrated HR Forum) established and implemented	Inter-branch relationship forum (e.g. Integrated HR Forum) implemented	Inter-branch relationship forum (e.g. Integrated HR Forum) implemented	DDG: HR
Measurable Objective 6.8: Support the business year on year with the required technology infrastructure based on agreed service level agreements							
6.8.1	Operational efficiency of IS enhanced to deliver critical support to business	Status of IT security	6.8.1.1	Alignment to IT MISS and IS security governance framework achieved	Full disaster recovery business continuity and archival solution implemented	Security tools and operating centre implemented	DDG:IS
		Level of service management and IS governance improvement	6.8.1.2	Overall IT strategic architecture redefined and aligned (Master Systems Plan - MSP)	Overall IT strategic architecture reviewed and aligned (MSP)	Overall IT strategic architecture reviewed and aligned (MSP)	DDG: IS
			6.8.1.3	ITIL standards for IS services adopted and implemented as per plan (best practice for IT / IS)	ITIL standards for IS services adopted and implemented	ITIL standards for IS services adopted and implemented	DDG: IS
		Status of upgrading of overall IS infrastructure	6.8.1.4	Core network capability implemented (VPN)	Roll out finalised and upgraded as per business bandwidth requirement	Technology refresh completed	DDG: IS
			6.8.1.5	Revised technology requirements rolled out to DHA offices in accordance with plan: upgraded end user computing, email decentralisation, data centre availability	File server caching services implemented in 20% of offices	File server caching services implemented in additional 50% of offices	DDG: IS

Figures in the tables apply in normal circumstances and average turnaround time will be measured

* Implementation dependent on Department of Public works





home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA



PART 4:

KEY SUPPORT SERVICE STRATEGIES

4.1 FINANCE AND CAPEX STRATEGY

4.1.1 Regulatory Framework

Mandate

The mandates of the Department of Home Affairs are embedded in specific acts; the key legislation that defines the broad mandates of support services for all government Departments include mainly:

- The Public Service Act, 1994 (Proclamation No. 108 of 1994)
- The Public Finance Management Act (PFMA), 1999 (Act No. 1 of 1999)
- The Treasury Regulations
- The Supply Chain Management Framework

The financial environment in particular is governed by the PFMA and its related regulations, planning and budgeting frameworks and guidelines; accounting practice notes and guidelines; audit practice notes and guidelines; expressed through financial systems with oversight managed through Treasury and Parliamentary processes.

Policy Developments and Legislative Changes

The key policy developments that have and will continue to impact the financial environment include:

Budgeting Reforms

Greater emphasis on budgeting for performance at all levels: From 2007, the National Treasury began stepping up efforts to link the allocation of resources to expected performance outcomes from Departments.

In terms of programme budgeting, the National Treasury released a Framework for Managing Performance Information which guides the measurement and specification of programme performance as a follow-on to the Presidency's Government Wide Monitoring and Evaluation that specifies

development indicators for the whole of government. These initiatives have resulted in a rethinking of budget and programme structures and better formulated programme performance information to reflect the cost to government of meeting a specific service delivery or performance objective.

This aims to promote accountability and transparency of public finances through the publication of financial information and associated indicators of service delivery. This will allow for the development of norms for certain costs for standard comparison across Departments. In terms of projects and public private partnerships, this has led to the introduction of the concept of 'value for money' which essentially measures whether the provision of an institutional function or service by a private party results in a net benefit to the institution, where net benefit is defined in terms of cost, price, quality, risk transfer or a combination thereof. This has fundamentally changed the basis upon which government makes procurement decisions.

Best practice infrastructure budgeting: Key to budgeting reforms has been the introduction of better models for infrastructure delivery over the MTEF. This has introduced greater clarity in the manner and approach to planning and budgeting for large scale infrastructure initiatives; and for all Departments, the key principles have been incorporated into budgeting guidelines. These principles aim to better structure planning, taking into account all phases from design to implementation, project governance as well as project lifecycle costing and budgeting.

Accounting and financial reporting reforms

The migration to the accrual basis of accounting will be enabled by the phased introduction of Generally Recognised Accounting Practice (GRAP) standards, revisions to the relevant financial reporting frameworks (annual financial statements), revisions to risk management and internal audit frameworks (to guide better quality

internal audit and develop adequate risk management capacity) towards a full rollout. Government Departments have to adapt to the way in which for example, certain classes of assets, are to be accounted for and reflect the revised accounting in financial statements.

Integrated and transparent financial management systems

Government will extend the application of strategic sourcing principles from just transversal contracts to supply chain management (SCM) throughout government to ensure value for money outcomes and will also revise the current SCM framework to align preferential procurement with the aims of the Broad Based Black Economic Empowerment Act, 2003.

Government has proceeded with the initiative to standardise financial systems throughout government by standardising the provision of financial management system solutions through SITA. An integrated financial management solution for government may finally integrate human resource, supply chain and spending data for better management. The continued toning and improvements to the standard chart of accounts reflected in the basic accounting system will refine how transactions are accounted for and should allow for better accountability and tracking of spending, particularly for projects.

Auditing reforms

Part of the finance portfolio oversight responsibilities include reports by National Treasury to Parliament's Standing Committee on Public Accounts (SCOPA) on: Progress on how Departments are implementing the PFMA; progress with SCM compliance and in 2008, Cabinet further resolved that institutions should submit corrective plans to the National Treasury with details on how they could rectify concerns raised in their audit outcomes. As such, it will be incumbent

on Departments to ensure compliance with financial legislation, log and address areas where corrective action is necessary.

Auditing performance information is a recent development in the auditing environment. The audit will initially focus on ensuring that the systems that collect, verify and distribute performance information which is used to assess or determine a Department's progress complies with set standards but will evolve to auditing actual performance in time. This requires that Departments ensure that adequate systems exist to manage performance information in terms of the requirements.

Changes to the way in which DHA will deliver services in the future will also determine how the finance function should transform over time to facilitate DHA service delivery. The finance strategic outlook aims to create that enabling environment through strategic governance and efficient financial services.

4.1.2 Finance Strategic Outlook and Implementation Plan

Finance's Role in achieving Departmental Strategic Goals

The following strategic goal of Home Affairs and the purpose of the Administration programme guide the measurable objectives of the finance function in creating a centre of excellence with effective and efficient support services:

"To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service"

The purpose of Administration programme is:

'To provide support to the overall management of the Department and related support services in line with its strategic goals and objectives.'

KEY SUPPORT SERVICE STRATEGIES

Strategic Plan • 2009 - 2012

To ensure that the finance strategy facilitates the development of service excellence in Home Affairs, there are specific challenges that have been identified under the responsibility of finance that need to be addressed; these are characterised by area and measurable objective below as follows:

Area	Finance Measurable Objective	Key Challenges	Importance	Level of urgency	Complexity	Risk/ Impact
Risk management and internal control Policies, procedures and delegations related to budgeting, SCM, risk and audit Compliance monitoring and reporting	Effective financial governance and accountability through compliant practices and effective systems of risk management and internal control	Have a handle on areas of non-compliance (to prevent audit issues)	Medium	High	Medium	High
			High	High	Medium	High
			Medium	High	Medium	High
Procurement transformation Supplier management: strategy & model Contractor management: strategy & model	Effective strategic sourcing of service providers to ensure value for money and accountability for delivery	Facilitate compliance Cost efficiencies in procuring products and services Cost efficiencies in procuring services and performance on deliverables	Medium	Low	Medium	Medium
			Medium	Low	Low	Low
			Medium	Low	Medium	Medium
Capacitating finance	Professional and competent finance team who effectively advise, control and monitor business financing in terms of their legislative mandate	Need for appropriately staffed finance team to advise the Department and manage resources; lack of DHA skills/capacity to implement redesigned processes and controls Efficient & appropriately skilled finance personnel	High	Medium	Low	High
High			Medium	Low	High	
Developing finance personnel						
Finance monitoring/ reporting	Report on the management and use of resources in line with the Departmental mandate	Need for a easily understood management reporting tool to provide a finance pulse for decision-making on strategic choices and funding available	Medium	Medium	Low	Low
Revenue collection	Effective revenue and cash management for the maximisation of revenue potential and the prevention of corruption	Serious shortcomings with current revenue collection systems, processes, banking of cash and related back office processes resulting in little information on revenue losses, corruption, etc	High	High	Medium	High
Cash management			High	High	Low	High
Product/ service costing and tariff modelling			Medium	High	High	Low
Revenue maximisation		Need for detailed understanding of product costs, economic and non-economic tariffs and strategy. Need to have a model suitable to build in changes as well as new product potential	Medium	Medium	Medium	Low
Footprint optimisation	Effective facilities and related asset management to ensure the effective functioning of offices	Expanding accessibility of DHA offices to citizens to enable access to rights Deteriorating offices affecting OHS standards, employee morale, DHA image and customer experience; need for a uniform office configuration (customer experience) Providing regular remote access to services in far flung areas	High	Medium	Medium	Low
Facilities management			High	High	Low	Low
Asset management			Low	Medium	Medium	Low

As alluded to above, some of the key risks in the finance environment in the Department of Home Affairs include:

- The need for proper alignment between the budget and programme structure and the operations of the Department, as well as the strategic planning outputs, the absence of which leads to weaknesses in managing finances against service delivery progress/ objectives for line managers
- The need for comprehensive and appropriately detailed financial information for management decision making
- Mechanisms in place to adequately and timeously identify non-compliance
- The need for sufficient competent finance capacity (in provinces specifically) to address risk or problem areas and facilitate decentralisation of certain functions
- The need for appropriate and constantly relevant (updated) finance training on budget and accounting reforms and their implications.

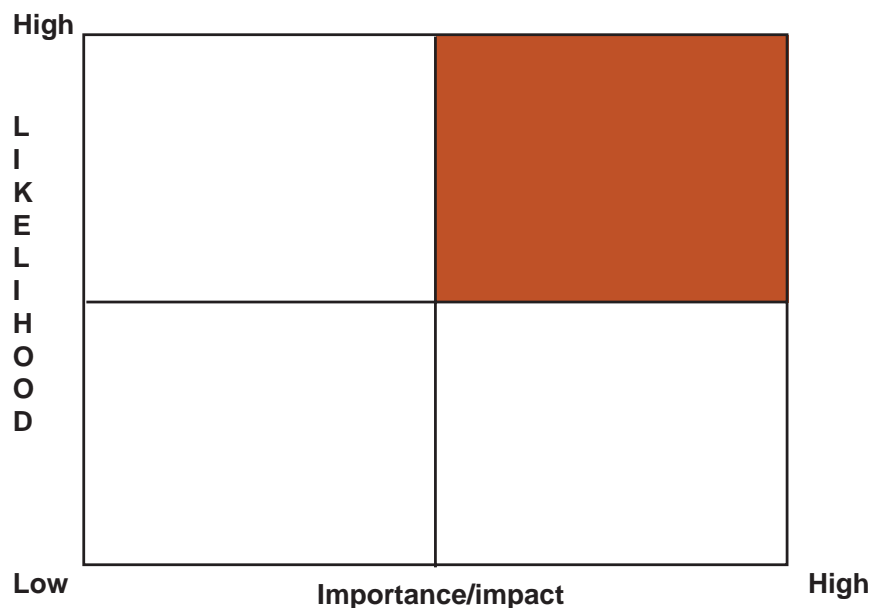
The Finance Strategy outlined below will articulate the key principles in each key area that will guide the manner in which financial management will be designed and over time to address key challenges, mitigate risks and transform the finance function to meet its measurable objectives.

4.1.3 Risk Management, Internal Control and Governance

Why is risk important?

Risk in this context is defined as real or potential threats that reduce the likelihood of achieving the Department's strategic goals and impact on performance, if realised. It is vital that those responsible for the stewardship and management of the Department are able to identify, analyse, control and master risks. For DHA, it is vital that risks in the internal environment (in processes, systems, facilities or structures) and external environment (political, macro policy and judicial) are clearly identified and assessed with action plans in place to mitigate such risks that contribute to irregularities, unlawful conduct, breaches or corruption. In the context of transformation, it is the high impact, most likely risks that will be focussed on first in the roadmap.

Figure 3: Risk Management



How should internal control be designed?

Successful risk management follows from risk assessment, and is the process that achieves the most efficient combination of controls necessary to provide reasonable assurance to achieving business' objectives. It is strategically important that there are clearly defined policies, procedures and delegations that will allow for proper internal control and contribute to effective risk management.

Many organisations set up a responsibility centre for risk management which:

- Defines consistent approaches to managing risk
- Creates awareness and regularly reviews the fraud prevention plan
- Creates awareness on the applicable rules, policies and procedures
- Reviews compliance with internal controls and recommends improvements as required
- Promotes good governance and assists in compliance with prescripts, rules and regulations and norms and standards.

The Approach

Before embarking on any transformation, it is important that existing practices are captured and codified so as not to 'throw the baby out with the bath water'.

The following steps are to be undertaken in implementing an embedded risk management and control system:

1. **Establishing 'the case for change'** – Why should the Department do anything?
2. **Establishing 'the as-is'** – Where is the Department now? There should be a clear understanding, assessment and documentation of the current process and environment.
3. **Establishing 'the to-be'** – Where does the Department want to be in the future?
4. **Design/ develop** – this will involve the design of new or the adaptation of existing processes.
5. **Mobilise** – How does the Department get there? There should be an identification of the barriers and enablers to implementing the changed process.
6. **Implement** – What needs to get done, where and when?
7. **Embed** the changes (integrate the approach) and review regularly.

Steps 1-3 have been walked through for all areas of risk and internal control; the

Department has moved into the 'develop and implement' steps for most problem areas. Step 7 will evolve over time.

Future viewpoint

Broadly, future governance in this area is envisaged as such, that a view of each programme or functional area will be developed, for which there should be associated business risks defined with its related control practices in various categories (example, the controls that contribute to the efficiency and effectiveness of operations, those ensuring the reliability of financial reporting, and those enhancing compliance with applicable laws and regulations). Where these controls are inadequate, they will be revised. Compliance monitoring will allow for a pro-active early warning of possible audit issues through proper data.

The key is continuous learning about the type of control practices that would produce the best results. The above will be important for DHA to meet legislative requirements and achieve an end to end coverage of compliance requirements.

4.1.4 Procurement and Supply Chain Management (SCM)

In terms of the Public Finance Management Act (1999) and the General Procurement Guidelines issued by the Office of the Accountant General (National Treasury) in terms of this act, there are Five Core Principles/ Pillars of Procurement (which we have expanded to six) with specific minimum standards:

Pillar 1: Value for money

This is an essential test to justify any procurement outcome. Obtaining best value for money means attaining the best available outcome when all relevant costs and benefits (price alone is not a reliable indicator) over the procurement cycle are considered.

Pillar 2: Open and effective competition

This principle requires openness and effective competition in the procurement process. To meet this requirement, the following should be tested: Do potential suppliers have reasonable access to procurement opportunities? Where market circumstances limit competition, Departments must consider how their procurement methods can take this into account and still ensure an appropriate cost-benefit balance.

Is adequate and timely information provided to suppliers to enable them to bid? Has bias been eliminated? What is the cost of bidding and is this cost a deterrent?

Pillar 3: Ethics and fair dealing

Departments must conduct their business in a fair and reasonable manner, with integrity and in accordance with ethical standards.

Pillar 4: Accountability and reporting

Individuals responsible for managing procurement and Departments must be held accountable for their actions and the outcomes thereof. Transparency and openness to scrutiny is important.

Pillar 5: Equity

This principle allows for the advancement of government’s aims in terms of promoting participation of historically disadvantaged individuals and the development of small, medium and micro enterprises. The Preferential Procurement Policy Framework Act stipulates these priorities.

Pillar 6: Policy and quality process

This requires a defined framework of procurement laws, policies, practices and procedures that is transparent, objective, and compliant and institutionalises accountability and prevents corruption. The procurement process itself must also provide value for money with activities carried out in a cost effective manner. This implies that there must be minimal process delays and unnecessary costs and continuous improvement in the efficiency of internal processes and systems.

The key challenge for Home Affairs has been in supply chain management – ensuring that the right goods and services are delivered to the right place, in the right quantity, with the right quality, at the right cost and at the right time; and managing large contracted deliverables in terms of value for money. Supply chain management is the integration of the key business processes of demand, acquisition, logistics and disposal for the provision of goods and services in an effective, efficient and economic manner.

The areas that will receive the most focus are:

DEMAND MANAGEMENT	Planning/ preparation: To date, the focus has been on ensuring that a procurement strategy exists and that there is sufficient market research information (establishing a database of suppliers and service providers).
	Due to the issues raised about value for money, there has been some reviews of major contracts for quick wins; but a more fundamental approach is required in the planning phase for strategic sourcing – ensuring that there is adequate procurement justification (proper business cases with sound assumptions), better scheduling (applying critical path thinking) and adequate resourcing.
ACQUISITION MANAGEMENT	Procurement process: While systems and processes exist and are tested, there needs to be tighter specifications and terms of reference, as well as tools available to create efficiencies in the process.
PERFORMANCE MANAGEMENT	Contract management: Ensuring delivery requires proper contract management in terms of master agreements and systems in place for performance management (balance scorecards and benefits tracking).
GOVERNANCE	Governance is a new focus introduced in the turnaround – this will require refinement to structures and decision making processes as the turnaround ideas are implemented and improved.

4.1.5 Capacity and Skills Development for Finance

Financial Management Capability Maturity Model

The purpose of a financial management capability model is to provide a tool that a government Department can use to:

- Determine its financial management requirements based on the nature, complexity and associated risks of its operations: As the size or complexity of an organisation or the risk associated with its activities increases, so does the need for more sophisticated financial management capabilities. As a first step, senior management would systematically analyze the cost and effectiveness of each key activity. The purpose of this analysis would be for management to determine what financial risks it faces and which ones must be controlled; what financial information is needed to meet both internal and external accountability requirements; and what financial information it needs to support its operational and policy responsibilities.
- Assess its financial management capabilities against established requirements: The second step would be for management to determine, based on the results of its assessment, the level of financial management capability it needs to meet its responsibilities. Organisations with operations involving largely expenditures and complex policy formation might require enhanced financial control capability.
- Identify any gaps between what the organisation requires and what it is capable of, in terms of financial management. If the assessment process reveals a discrepancy between the necessary level of capability and the actual level, management would be expected to review its earlier analysis to determine whether the discrepancy is the result of either a deficiency needing to be remedied or an overstatement of the required capability. Having identified these gaps, an organisation can then address any significant imbalance between its requirements and its capabilities and, subsequently, work toward developing the appropriate level of financial management capability.

This type of model provides a structured approach to developing an evolutionary development path towards more sophisticated financial management practices directly related to the needs of the business, as is necessary.

The table below sketches the 5 stages of maturity through which an organisation's financial management capabilities may wish to evolve:

Stage	Key Characteristic
Stage 1: Initial	Start up: adhoc isolated controls, no policies & procedures
Stage 2: Repeatable	Financial control: compliance with minimum requirements
Stage 3: Defined	Enhanced Financial control: control processes tailored to needs with cost efficiency in mind
Stage 4: Managed	Financial Management: Maintains effective financial controls; quantitative info for decision-making; implement effective financial management (costing, benchmarking, performance measurement)
Stage 5: Optimising	Enhanced Financial Management: Fully integrated with management

This model will be instrumental in identifying for Home Affairs what should be in place to develop into a more effective financial function that can facilitate service delivery. The aim is to develop into 'stage 4: a managed state' and adopt full financial control and financial management by the end of the five year period.

4.1.6 Budgeting and Planning

The emphasis of DHA's budget process

A good budget process is characterised by several essential features. For DHA's purposes, the budget process implemented will:

- Take a long term perspective
- Establish linkages to broad organisational strategic goals
- Focus budget decisions on results and outcomes, taking into account value for money in business decisions
- Allow ownership on deliverables and financing of those initiatives and operations to vest with branch managers, and in doing so, allow for strategic manoeuvring
- Involve strategic (top-down) and tactical (bottom-up) participation and effective communication with external stakeholders on priorities.

Interpreting the above characteristics, the following Four Principles of the Budget Process can be derived which will be applied:

Principle 1: Identify broad strategic goals

This principle provides for the development of a set of broad goals that establish the general direction of the Department and is the basis for the development of policies and programmes, including the service types and levels that will be provided. These goals are developed based on: the legislated mandate of the Department; an assessment of the needs of the customers it services; as well as a definition of the preferred future state of such services and such customers.

Principle 2: Develop approaches to achieve strategic goals

This principle provides for the development of specific policies, programme plans and operational strategies to define how the Department will go about achieving its long-term goals. Programme objectives should relate to broad strategic goals and measures should be developed to measure progress/ success/ failure. It is important that programme plans are aligned and any dependencies, economies and interrelationships between programme initiatives should be clearly identified and mapped out for maximum service impact and delivery, but also to ensure that these are adequately planned and resourced. Financial policies (tariffs, revenue, project costing, contract pricing, spending, procurement, etc) must be designed with the services and implications thereof in mind.

Principle 3: Develop a budget consistent with plans to achieve strategic goals

This principle provides for the preparation of a financial plan, a capital improvement plan, and budget options/ choices. The development of a financial roadmap is essential to ensure that the services to be provided through planned systems and channels are affordable and sustainable in the future. Through financial planning, decision makers are better able to understand the long-term financial implications of current and proposed policies, programmes, initiatives and assumptions and decide on a course of action to achieve its goals. A budget that moves toward the achievement of these goals, within the constraints of available resources, should be prepared and adopted. This requires a defined budget process with mechanisms to identify and prioritise initiatives, understand their implications, make service choices and cost them.

Principle 4: Evaluate performance and make adjustments

This principle provides for the establishment of processes to monitor and evaluate progress in meeting programme service delivery and financial performance goals. Based on this review, the Department may need to make adjustments to the budget and to plans if goals are to be achieved.

One of the key shifts resulting from the implementation of the above principles will be a change to the budget and programme structure of the Department in an attempt, firstly, to ensure that there is clearer accountability for financial inputs that are linked to some form of service delivery output; and secondly, to provide a more effective mapping of the organisational structure to the budget structure for clearer ownership and a more appropriate grouping of projects and activities contributing to a specific objective. These shifts will ensure that even if the method of service delivery changes and

results in a different manner of recording spending information, this spending will still be attributed to the most appropriate programme objective and accountability lines maintained.

There are various approaches to budgeting that have emerged since the introduction of New Public Management, most of which aim to ensure a more rational, performance oriented approach to public sector budgeting.

The planning programming budgeting system is the most sophisticated of all and is based on defined goals and objectives in each functional area of government. A function (or Department) consists of different programmes, each of which is broken into various activities that meet the same programme objectives. Performance indicators and measures are established, measured and reported for each programme objective. There is also an emphasis on exploring various delivery options to achieve programme objectives efficiently. This approach has been criticised for its separation of the administrative structure from the functional structure of an organisation. While to a large extent, DHA has attempted to implement the above approach up to determining programme objectives, the shortcoming is that the basis of a credible programme budget is establishing the budget required for each activity of a programme; however, DHA uses a combination of incremental budgeting for normal programme operations and zero-based estimates for projects (service improvement initiatives and major system developments).

The challenge for the immediate term is to ensure that thorough (accurate) input based budgets are developed for each programme's operations and central support while service improvement initiatives have attached cost estimates. The medium term should see all input based operational budgets confirmed (through historical spending and performance analysis) and a baseline set with service improvement initiatives costed from zero and central support benchmarked using formulae based cost estimates. Efficiency benchmarks should be established for central costs such as accommodation charges, personnel equipment, etc; and product and service costs should be matched to revenue. The long term aims for a more credible budget based on the application of the above towards value for money service options.

4.1.7 Monitoring and Reporting

The basic principles underlying a sound budgetary control system is as follows:

Clear divisions of responsibility

Levels of responsibility must be identified and set out in appropriate regulations and delegations.

Consistency

It is essential that a consistent and/or clearly agreed basis of comparison is applied in determining levels of spending, costing norms, efficiency standards, performance measurement, and so forth.

Timely, relevant and accurate information

The information system should be designed to meet the needs of business and not just finance. Government's accounting system was designed to produce financial accounts, with management information a by-product, thus making the linkage between service delivery, financial information and norms more complex. Part of the improvements finance needs to embark on, is the institutionalisation of financial dashboards that provide all of the back linkages to performance information and volumetrics important for this Department on key products and service lines. This would greatly enhance the visibility of decision making impacts in financial terms, create a better understanding of the role of managers versus finance, allow for a more collective approach to managing finances, and accountability for delivery as well as the associated financial outcomes. This needs to provide the type of information that will allow the users of that information to make informed decisions about business, service delivery, spending and revenue management (or losses). These principles will guide the revision or development of more appropriate, relevant and informative reporting to management on budget implementation progress and the links with performance to assist in decision making.

It should be borne in mind that the Integrated Financial Management System (IFMS) to be introduced by the National Treasury within the

next 5 year period will have a significant impact on the manner in which finances, asset and human resource data is captured, managed, monitored and used. The rollout to national Departments, testing and implementation/use will require some re-training.

4.1.8 Revenue Collection and Management

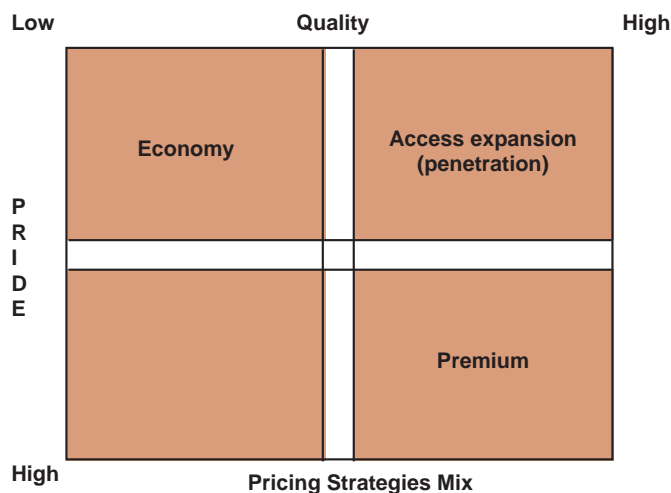
The Department of Home Affairs essentially provides specific legislated products and services to a varied customer base: the Department serves South African citizens from the cradle to the grave, providing them with identification and the ability to access and exercise their rights; other government Departments, providing them with certainty of identity as a basis of their own service provision; visitors, potential skilled workers and entrepreneurs.

To develop an appropriate revenue strategy, the starting point is to clearly understanding its customers, the products or services they require and the manner in which they prefer to access them (channels). Because of the variety of customers requiring and accessing numerous different services in their lifetime, the revenue strategy will begin by looking at product and service lines.

The operating model sufficiently allows for a focus on pricing every product and service to a customer through a specified channel. There are many ways to price a product/service; the Department currently uses a product costing approach but are exploring the use and appropriateness of activity based costing. Reflecting an accurate cost for each product simply allows for the development of an appropriate tariff policy and structure and treatment of cost.

Tariff setting in the Department will be guided by three important policy objectives, namely:

Figure 4: Tariff Setting



- *Economic policy objective:* This requires efficient resource allocation thereby ensuring consumers pay for the costs incurred by the supplier in delivering the services
- *Financial policy objective:* This requires that short and long term financial viability be safeguarded
- *Social policy objective:* This requires cost re-allocation to safeguard specific vulnerable consumer groups. The combination of tariffs and subsidies where applicable must be sufficient to cover the full cost of the subsector.

Essentially, tariff setting starts with economic policy objectives in order to ensure efficient resource allocation within the economy and cost absorption. The economic tariff is then adjusted to yield a financial tariff which over time ensures the financial viability of subsector providers (such as Government Printing Works); and final adjustments are made to satisfy social policy objectives, mainly where the welfare of vulnerable groups need to be safeguarded through the provision of subsidies (or even cross-subsidies).

It is envisaged that a complete map of product and services will be developed reflecting their total costs to produce and deliver and their volumes, the attached subsidies for government approval and the final tariff; all of which can be adjusted and amended with due consideration of circumstances. For DHA, this comprehensive approach is long overdue.

The issue of combating corruption begins at the point of cash collection of the tariff charged for a product/ service delivered by the Department. Cash management is a significantly large problem in the Department and the lack of proper procedures, systems, documentation and losses has been part of the basis for a disclaimer of opinion in the Auditor-General's audit report in the past two years. It is thus critical that revenue collection procedures (how the Department collects and manages cash to the bank) is addressed as proper tariffs and policies will have minimal impact on actual revenue if this is being eroded by corruption, negligence, theft, etc. To this extent front office staff dealing with monies will now have a direct reporting line to the office of the CFO and a dotted reporting line to the business unit concerned.

The following issues become important in dealing with revenue management:

- Establishing adequate revenue information: Determining the revenue potential based on product and service volumes, tariffs and subsidies; determining the revenue baseline in terms of actual annual revenue collection and ensuring a regular revenue thermometer that measures performance in terms of collection against potential and aims to eliminate the 'losses gap'.
- Establishing clear procedures and practices in terms of revenue collection and monitoring compliance
- The lack of automation meant a manual collection process – it is essential to reduce this risk by removing the availability of large sums of cash to persons; DHA has opted to implement an integrated receipting solution that will at least ensure that every application has a corresponding receipt and a unique number that will allow bank reconciliations and an audit trail. Automatic cash handling devices in offices that turnover large sums of cash will transfer the risk to banks and cash-in-transit vendors.
- Dealing decisively with loss, theft and corruption – this requires mechanisms to easily identify the magnitude, frequency and involved parties
- The need to regular reporting on all of the above for decisive management decision making.

These stepping stones are important to be reached to ensure that the Department is collecting revenue commensurate with the services provided and these are provided to government for further investment. Once this level of maturity is reached, the Department plans to consider the introduction of new commercial revenue sources (mainly for identity verification to facilitate other services) and exploring a revenue retention strategy (maximising revenue to fund service delivery improvement initiatives).

The strategic initiatives described in the table below inextricably explain how the desired best practice financial management will be applied and adopted in Home Affairs to address some of the key finance challenges and develop the finance function's capability to a stage of effective and efficient financial management.

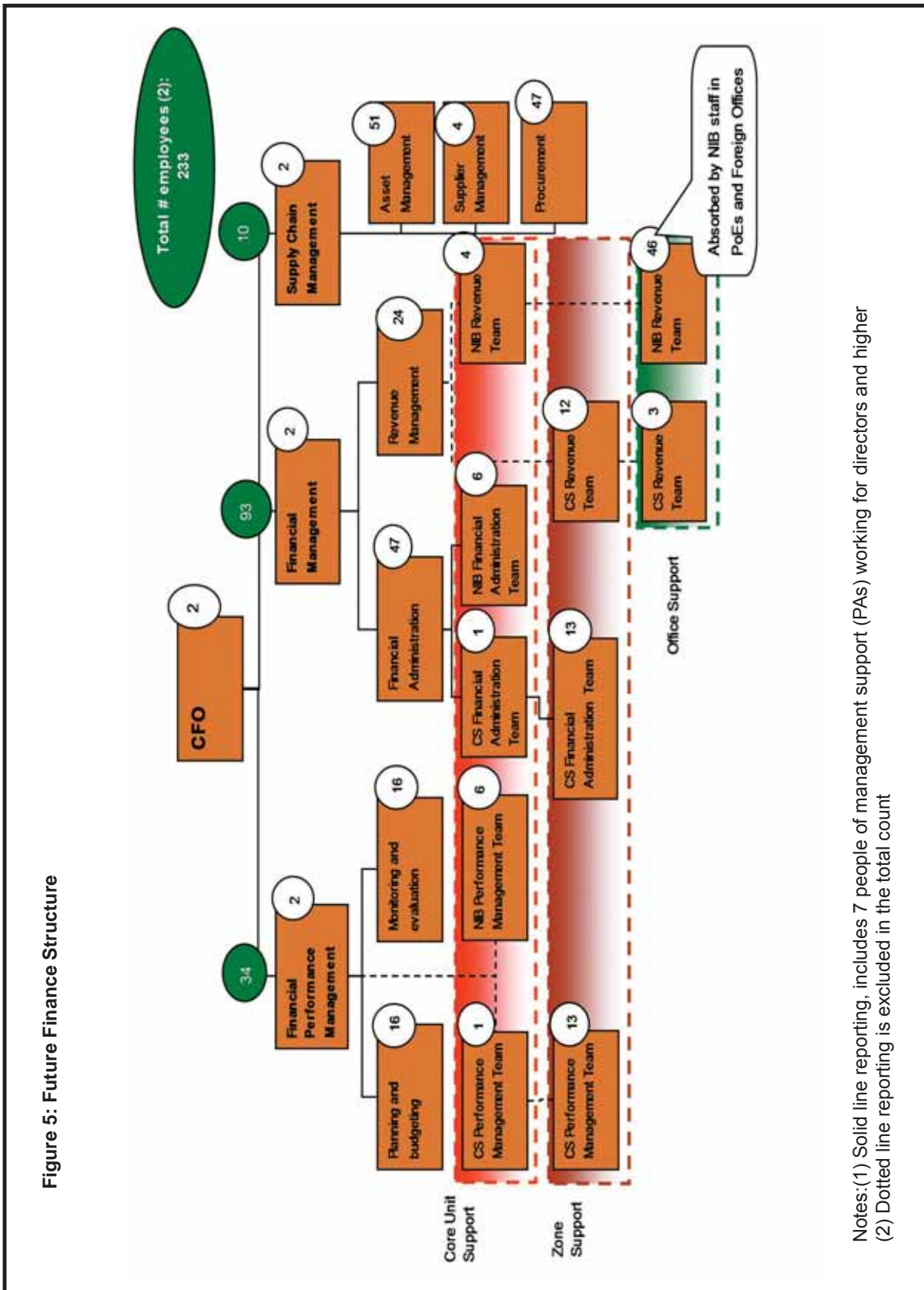
KEY:	
■	New Initiative not yet started
☀	Design/ Develop phase
?	Investigation/ Pilot
☺	Implementing phase
😊	Maintenance

KEY SUPPORT SERVICE STRATEGIES

Strategic Plan • 2009 - 2012

Area	Description of Strategic Initiative	2009/10	2010/11	2011/12	2012/13	2013/14
Measurable Objective: : Effective strategic sourcing of service providers to ensure value for money and accountability for delivery						
Procurement transformation	Functioning procurement process	☺	☺	☺	☺	☺
	Design a central process and a tool for decentralised procurement	☀ ☺	☺			
	Develop and implement a strategic vendor relationship model and performance scorecard for contracts	☀ ☺	☺	☺	☺	☺
	Review existing information and maintain an updated supplier database	☺	☺	☺	☺	☺
	Establish and maintain a comprehensive contract information base	☺	☺	☺	☺	☺
	Develop a procurement document repository	☀ ☺	☺ ☺	☺	☺	☺
Measurable Objective: Effective costing of product and service lines						
Developing product/ service cost baselines	Major product/ service lines costed and tariff structures aligned with implementation timelines	☀	☀	☺	☺	☺
Measurable Objective: Effective revenue and cash management for the maximisation of revenue potential						
Revenue information base	Develop a revenue thermometer by determining the revenue target based on product volumes	? ☺	☺	☺	☺	☺
Revenue maximisation strategy	Implement memorandum of understanding with Foreign Affairs with defined revenue collection procedures for local offices and alien accounts	☺	☺	☺	☺	☺
	Develop a revenue maximisation model	☀	☺	☺	☺	☺
	Explore and develop proposals for exploiting new revenue sources from products/ services	?	?	☀	☀	☺
	Implement secure receipting, payment, collection and reconciliation procedures/ systems	? ☺	? ☺	☺	☺	☺

Area (Outputs/ Targets)	Description of strategic initiative	2009/10	2010/11	2011/12	2012/13	2013/14
Effective strategic sourcing of service providers to ensure value for money and accountability for delivery						
Procurement transformation	Functioning procurement process	☺	☺	☺	☺	☺
	Design a central process and a tool for decentralized procurement	☀ ☺	☺			
	Develop and implement a strategic vendor relationship model and performance scorecard for contracts	☀ ☺	☺	☺	☺	☺
	Review existing information and maintain an updated supplier database	☺	☺	☺	☺	☺
	Establish and maintain a comprehensive contract information base	☺	☺	☺	☺	☺
	Develop a procurement document repository	☀ ☺	☺	☺	☺	☺
Effective costing of product and service lines						
Developing product/ service cost baselines	Major product/ service lines costed and tariff structures aligned with implementation timelines	☀	☀	☺	☺	☺
Effective revenue and cash management for the maximisation of revenue potential						
Revenue information base	Develop a revenue thermometer by determining the revenue target based on product volumes	? ☺	☺	☺	☺	☺
Revenue maximisation strategy	Implement memorandum of understanding with Foreign Affairs with defined revenue collection procedures for local offices and alien accounts	☺	☺	☺	☺	☺
	Develop a revenue maximisation model	☀	☺	☺	☺	☺
	Explore and develop proposals for exploiting new revenue sources from products/ services	?	?	☀	☀	☺
	Implement secure receipting, payment, collection and reconciliation procedures/ systems	? ☺	? ☺	☺	☺	☺



Notes: (1) Solid line reporting, includes 7 people of management support (PAs) working for directors and higher
 (2) Dotted line reporting is excluded in the total count

4.2 HUMAN RESOURCES STRATEGY

4.2.1 Introduction

The honourable Minister and the Director-General of Home Affairs are unwavering in pursuing transformation of the Department to the new envisioned end-state model. In pursuing to transform the Department, a turnaround programme was introduced to improve processes, turnaround times and quality of service delivery. In order to attain the desired end state, the Department has to transform to an end state operating model, focussing on embedding and institutionalising the turnaround transformation outcomes in order to create a sustainable business model and platform for the future.

A large component of realising the “new” DHA is implementing the People or Human Resource Strategy. It has to be emphasised that the People Strategy or Human Resource Strategy does not refer to a strategy that should exclusively be delivered by the Human Resource function/branch of the DHA and neither is the focus on the Human Resource (HR) function and its people exclusively. The Human Resource Strategy from a strategic perspective is an over-arching strategy for the DHA with regard to all people related dimensions in order for the Department to deliver on all its mandates and on the newly approved macro policy.

Change management is an important element of the turnaround process and therefore the implementation of the HR strategy is critical to

realising the new DHA. HR Strategy 2014 seeks to ensure sustainability by transforming and integrating three strategic dimensions of the HR Strategic Model namely :

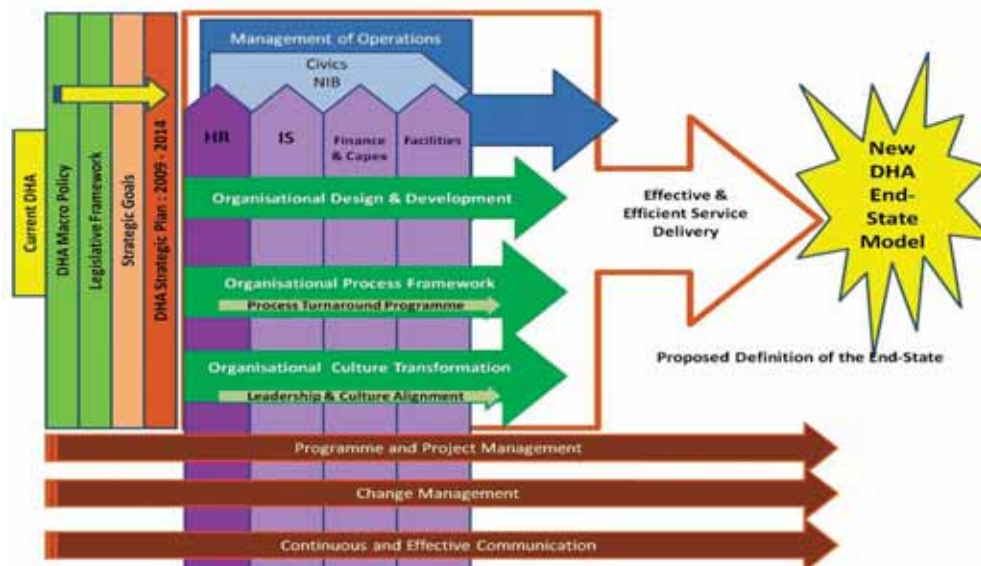
- 1) Organisational Design and Development
- 2) Organisational Process Framework
- 3) Organisational Culture Transformation (where leadership, management, people and skills development have been identified as top priorities).

HR Philosophy

The HR Strategy 2014 aligns with the strategic direction of the DHA for the next five years. In order to transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service, a three-pronged approach is followed. Organisational sustainability is created through transformation and integration of the three different strategic dimensions. These are designing, developing and executing an organisational culture transformation, developing and implementing a strategically aligned process framework and aligning the organisational design and development framework to the strategic vision of the DHA. This alignment will be cascaded down to the HR Annual Performance Plan (APP).

For ease of reference and for clarity, a DHA Strategic Model developed by HR is presented below. The DHA Strategic Model provides the context in which the HR Strategy 2014 is developed.

Figure 6: Strategy 2014: DHA Organisation Transformation



The three strategic dimensions are depicted by the three dark green arrows. Management of the operations, the support functions and the strategic dimensions are aligned to establish and sustain effective and efficient service delivery. The three brown arrows at the bottom depicts programme and project management, change management and continuous and effective communication that are integral to the DHA 5 year strategic outlook and the strategic implementation plan, for successful realisation of the new DHA end-state model.

The DHA has made progress in the structure (Organisational Design and Development) and process dimensions. It is now imperative for the DHA to additionally, but critically, integrate and implement a well designed and structured People or Human Resource Strategy. The executive of the DHA has already identified Leadership and Management, including governance as one of the highest priorities for the next phase of transformation. The second priority identified by the executive is people and skills development to ensure a competent workforce.

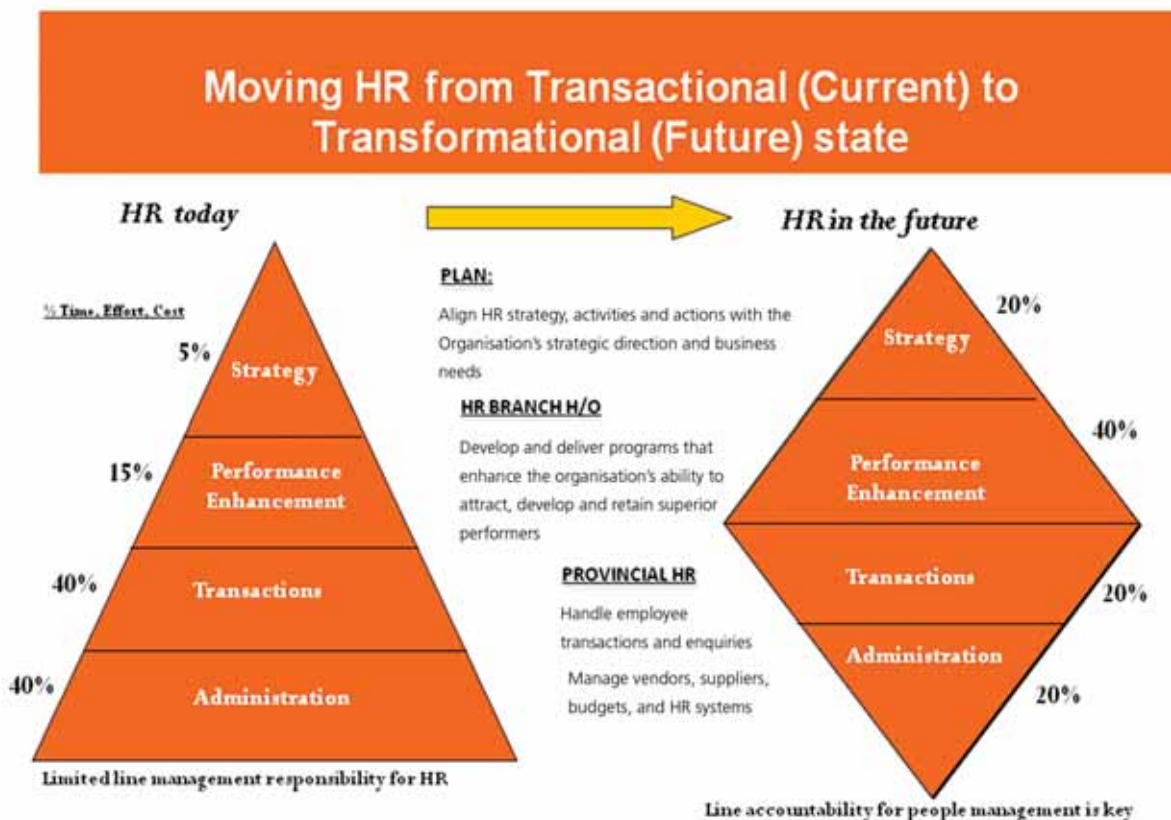
4.2.2. Human Resources Purpose

The purpose of the Human Resource Branch is to support the strategic goal of DHA, "To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service." In order to render effective support to the DHA in attaining in particular goal 6, HR itself needs to change from a transactional (current state), where the majority of time is focused on administration and transactions, to a transformational (future state), where the majority of time can be spend on enhancing the performance of DHA.

To support this strategic goal, HR will:

- Achieve organisational effectiveness by building capability and capacity that will transform DHA into a high performing organisation
- Develop and implement an efficient and effective HR Branch that will support DHA strategic objectives

Figure 7: Moving HR from Transactional to Transformational state



KEY SUPPORT SERVICE STRATEGIES

Strategic Plan • 2009 - 2012

The change to a transformational state will result in an increased focus on performance enhancing initiatives to ensure continuous improvement within the Department. The step change in thinking will require a solid change management process to ensure that implementation of transformation is sustainable as well as building and enhancing the skills requirements for DHA to execute the strategic objectives.

4.2.3 Principles

Values

Values drive organisational cultures which, in turn, are physically demonstrated by the behaviour of individuals. To transform the current organisational culture, a zero tolerance approach will be applied to non compliance with regard to 'the living of the values' by DHA employees, including those at the highest level in the Department.

Driver values for the DHA are:

A commitment to being:

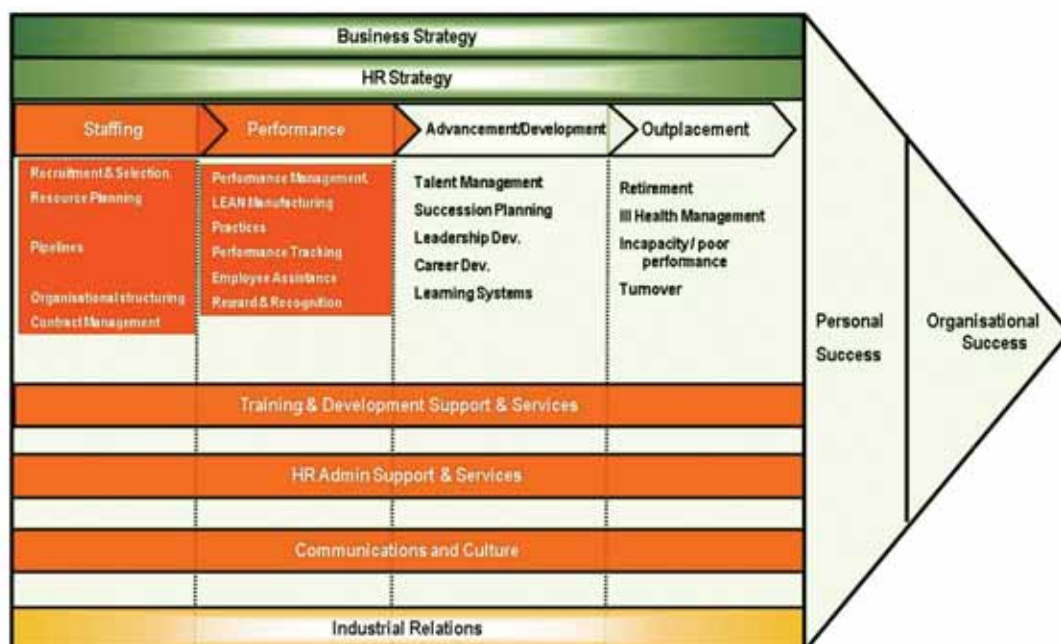
- **People-centred and caring**
- **Patriotic and fighting corruption**
- **Professional and having integrity**
- **Accountable and transparent**
- **Effective and innovative**

In order to support the strategic goals of the Department, Human Resources will adhere and live these values.

4.2.4 Human Resources Model

In order to improve customer service and become more people-centric as well as to ensure a process that informs recruitment turnaround times we will implement a new Human Resources Model. The purpose of this model is to ensure that Human Resource issues are resolved as close as possible to the source of the problem. HR will follow a HR value chain as depicted below:

Figure 8: The HR operating model is based on the HR value chain or delivery model:



The HR model shows the alignment between the DHA strategy (business strategy) and the HR strategy. It is formulated according to the employee life cycle where an employee enters the organisation until the employee's employment is terminated. All aspects of each of the phases in this life cycle are described. HR will focus specifically on the staffing and performance aspects of this model (in red) as this will ensure the desired focus on the strategic objectives. The three components at the bottom of the model, Training and Development, HR Admin Support and Services and Labour Relations, indicate the importance of these strong support functions through all aspects of the model.

The HR Model will ensure that the required focus is maintained at specialist levels and together with the transformation and process re-engineering, this will ensure more effective turnaround times that will result in higher customer satisfaction.

4.2.5 Strategic Alignment of the HR Strategy

A DHA Macro Policy has been drafted. Six strategic goals were deducted from this Macro Policy to direct the Department in delivering on its mandate.

One of the Strategic Goals is:

To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service.

The HR Strategy 2014 addresses this strategic goal and the newly signed-off Vision of the DHA:

To contribute effectively to the development of a safe, secure South Africa where all its people are proud of, and value, their identity and citizenship”.

With regard to the 8 statements pertaining to the desired DHA end-state, the following are specifically HR related:

- Staff members that are professional, skilled, responsive, flexible, motivated and performance measured
- Staff at all levels who focus on implementation and strive for operational efficiency and who are in control of their operating environment and processes

Elements of a number of the remaining statements also have a bearing on HR, e.g.

- Core values that are embedded, visible and demonstrated
- People-centric culture within a sound policy and regulatory framework
- Effective governance and leadership by managers that are committed to the public good and to the Department as a whole; and which is measured and monitored

In accepting and committing to this definition of the new DHA end-state model, the HR Strategy 2014 was designed and developed.

Themes of the HR Strategy 2014

Appreciating the strategic alignment and fit of the HR Strategy 2014 to the DHA Strategic vision and the new end-state model, the following diagram depicts the main themes of the HR Strategy 2014.

Figure 9: Critical Success Factors for Change

Strategic Objectives

Change invoked by focusing on aligning business with a new strategy

Change resulting from new leadership or leadership going through fundamental change

Creating a culture that supports change at a personal and organisational level. Implementing new behaviours and culture change

Implementing new systems, products, processes and procedures. Moving of business premises.

Strategic Benefits

Strategic Alignment and Change Management

Leadership Alignment

Culture Alignment and Fit

Operational Excellence

Strategic Alignment and Change Management

In order to achieve the DHA five year strategic outlook it is critical that the HR strategy is aligned to the strategic objectives.

“Making Change Stick” is a critical success factor (CSF) for sustainability in realising the vision for the DHA. Unless the Department invests the required energy and focus on change management (depicted in the DHA Strategy Model as one of the brown arrows at the bottom of the diagram) no sustainable results will be achieved and the new envisioned DHA will not come into “being”.

Leadership Alignment

A Critical Success Factor (CSF) for a sustainable Organisational Cultural Transformation is Leadership Alignment. This is depicted in the light green arrow within the dark green arrow in the DHA organisational transformation model.

A values-driven leadership is the sound and solid foundation on which the new DHA will be built between 2009 and 2014. Organisational Transformation is not possible if leadership is not aligned to the new vision, the strategic intent and the envisioned end-state model. Their values and behaviours must “lead” the way for the rest of the organisation to transform.

Cultural Alignment and Fit

The DHA Organisational Transformation Model depicts the foundation of the DHA strategic implementation plan as Organisational Culture Transformation. Unless the values and belief systems of the people of the DHA transform and align with the new end-state model definition, the new envisioned end-state model will not be realised. This transformation demands acquiring and implementing new behaviours.

The Organisational Culture Transformation is valued as the most critical and fundamental theme for the DHA to achieve its vision which is facilitated and supported by the HR Strategy 2014. Most of the energy and focus for 2009 and 2010 will be to initiate, instill and establish a sound cultural transformation from old attitudes and behaviours to new and aligned attitudes and behaviours.

The HR Strategy 2014 prescribes a values-driven organisational culture to underpin and secure a sustainable DHA for enablement of the new end-state model.

Operational Excellence

The turnaround programme (light green arrow within the dark green arrow depicted in the DHA Organisational Transformation Model) addresses the last theme which is Operational Excellence. Operational Excellence however is dependent on the other three levels that should be effectively addressed. The HR Strategy 2014 dedicates priority energy and focus to the HR Transition project to ensure HR functional effectiveness.

4.2.6 Strategic Goals and Objectives (2009 – 2014)

The HR Strategy, in support of the DHA strategic 5 year outlook and implementation plan, broadly speaks to a number of areas or themes that are concretised in the strategic objectives, outputs and targets, outlined below

- It talks to the issue of organisational culture transformation, especially leadership transformation as well as performance enhancements, values and change management.
- It also looks at organisational capacity and capability in terms of organisational design and structure
- Skills development and retention forms part of the HR framework within the HR strategy
- The transformation of HR itself, including the inculcation of values and principles and the implementation of a new HR operating model to enhance HR effectiveness and improve customer service is comprehensively reflected in the strategy

The mentioned issues are further unpacked on an APP and business plan level and ultimately linked back to the performance agreements of managers.

In order to achieve strategic goal 6, we will implement the following strategic objectives between 2009 and 2014 :

Strategic Objective

- Achieve organisational effectiveness by building capability and capacity that will transform DHA into a high performing organisation.

Output

- o Integrated HR Strategy that is fully implemented. This will be achieved by :
 - Completing the below SMS migration and filling critical positions
 - Development and training of employees
 - Implementation of a Labour Relations Improvement Plan
 - Implementation of a performance management and development framework
 - Implementation of a service excellence awards framework
 - Implementation of performance enhancement programmes
- o Establishment of a learning centre. This will be achieved by:
 - Developing initiatives, business cases and an implementation plan
 - Ensuring that the learning centre is fully operational

Strategic Objective

- To develop and implement an efficient and effective HR Branch that will support DHA strategic objectives.

Output

- o Achieving HR functional effectiveness as a strategic business partner through:
 - Recruitment effectiveness and the number of prioritised positions filled
 - Implementation of planned deliverables in terms of people, systems, processes and policies
 - Establishing an inter-branch relationship forum

Strategically the HR Strategy is aligned to the DHA 5 year outlook, strategic objectives and measurable objectives. This is illustrated as follows:

Figure 10: 5 Year Outlook



4.2.7 Human Resources Framework

It is critical to ensure that an integrated approach is followed to achieve the HR strategic objectives and the alignment to the HR Model. It is for this reason that an integrated HR framework will be used to classify all aspects of HR under the strategic objectives of:

- Building capability and capacity
- Organisational culture transformation
- Development and retention of people

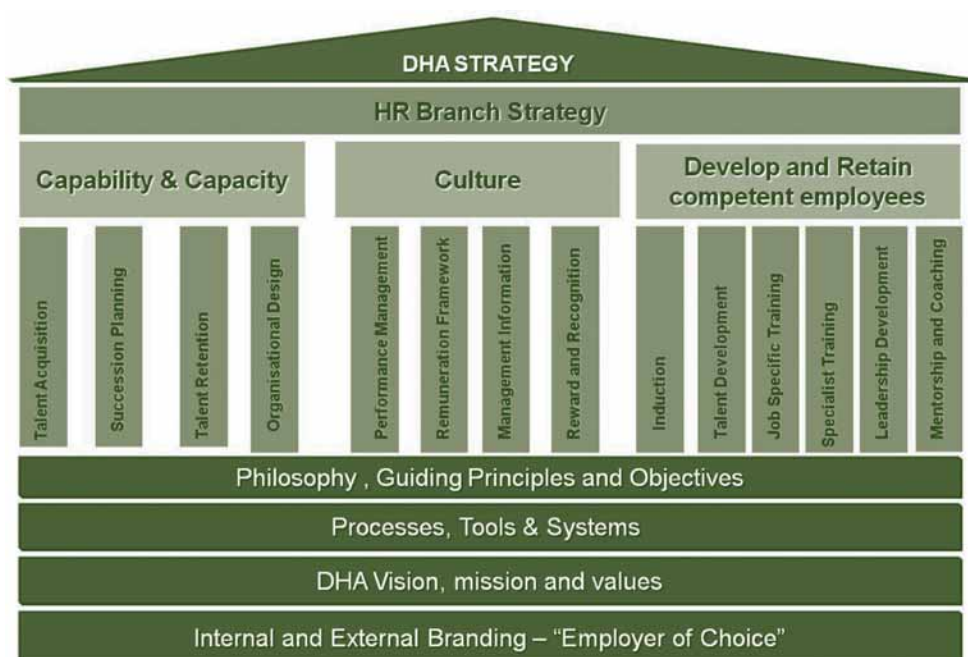
The Human Resource or People Management Framework, illustrate the integration of the HR Branch through the three Strategic Dimensions in the DHA strategy which are :

- Organisational Design and Development
- Organisational Process Framework
- Organisational Culture Transformation

The Human Resource Strategic Framework indicates the details of the HR integration to deliver an efficient and effective Human Resource Service according to the HR Model that is aligned to the DHA Strategic and measurable objectives.

This structuring does not refer to the different Directorates within the HR Branch but to the outputs that need to be achieved thus cutting through all Directorates and ensuring that Directorates and information sharing are integrated. The foundation of this framework is supported by the HR Philosophy, guiding principles and objectives (linked to the strategic objectives), processes and systems, the overall vision and mission of DHA and building an organisation that is considered as the Employer of Choice in the Public Sector.

Figure 11: People Management Framework



4.2.8 Implementation

Instilling the new DHA End-State Model

Values-driven organisations need values-driven leadership. The Minister and the Director-General have specific mandates to take accountability for. The DHA mandates the Deputy Director-General: Strategic Support to internalise and execute strategy effectively to the lowest level. One of the Key Performance Areas (KPAs) and related Key Performance Indicators (KPIs) of the DDG Strategic Support is to ensure zero tolerance at all levels (including upwards) for non-embedding the driver values and the new organisational culture. Every employee's, including all leadership and management, performance review will include KPAs and KPIs related to the driver values and the organisational culture. HR will amend and prioritise the Performance Management policies, processes and scorecards to align with the envisioned end-state model. This will ensure the achievement of the desired end-state which is as follows:

- People-centric culture within a sound policy and regulatory framework
- Effective governance and leadership by managers that are committed to the public good and to the Department as a whole; and which is measured and monitored
- Staff members that are professional, skilled, responsive, flexible, motivated and performance measured
- Staff at all levels who focus on implementation and strive for operational efficiency and who are in control of their operating environment and processes
- End to end processes that can deliver products and services reliably to standards that are measured, maintained and improved
- Secure, efficient, cost-effective and enabled systems; and an environment for clients and for staff that meets acceptable and measured standards
- Sharing of knowledge and best practice by growing a dynamic and shared knowledge base and through management practices that cut across silos
- Core values that are embedded, visible and demonstrated

Risks

The most critical risk for the DHA not to realise its new envisioned end-state model is if the Strategic Value Chain and the Critical Success Factors (CSFs) of the HR Strategy 2014 is violated, disrupted or not effectively implemented.

HR Model

The HR Model prescribes that the required focus and energy from the Top 200 down should be given to create, establish and maintain a value- and process-driven organisational culture. Leadership alignment in terms of a values-driven leadership is a pre-requisite for success.

The organisational structure should be designed and developed in alignment with the HR Strategy 2014 to ensure strategic alignment and enablement. Misalignment of the organisational structure to a process-driven organisational culture will be detrimental to the new envisioned end-state model. Operational excellence should be created through maintaining the momentum already created through the turnaround programme. Without operational excellence service delivery will not be effective or efficient and the organisation will not be able to deliver on its vision.

Last, but not least, Change Management is critical to ensuring the establishment and sustainability of the new envisioned end-state model. Change Management is depicted by one of the bottom brown arrows on the DHA Transformation Model.

Leadership Alignment

If leadership (at least the Top 200) do not radically transform and align to become a values-driven leadership with new and aligned attitudes and behaviours (aligned to the new end-state model), nothing will be achieved and the status quo will rule. The new envisioned DHA is primarily and critically dependent on radical and effective leadership transformation. Leadership transformation will enable the DHA organisational transformation to the new end-state model.

In order to ensure that the implementation and transformation of the HR Branch and DHA as a whole is sustainable, the following roadmap will be followed.

KEY SUPPORT SERVICE STRATEGIES

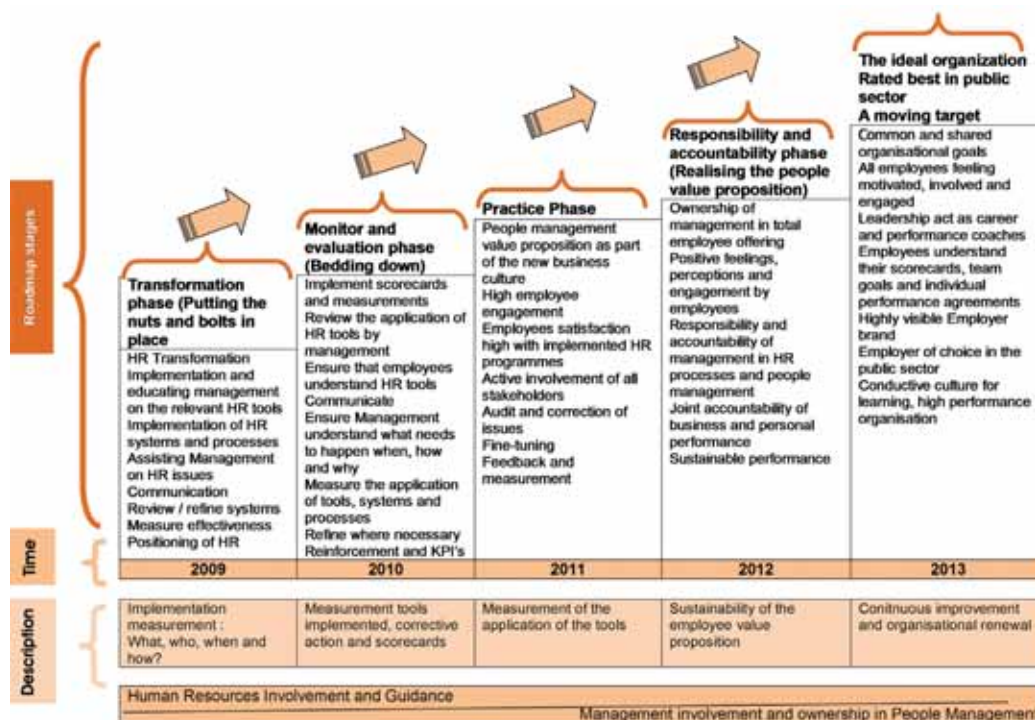
Strategic Plan • 2009 - 2012

This will ensure the realisation of the HR 2014 vision of an ideal organisation that is rated the best in the public sector. This roadmap involves the following phases:

- Transformation phase (putting the nuts and bolts in place)
- Monitor and evaluation phase (bedding the change down)
- Practice phase (will give management and employees the opportunity to get used to the changed methods)
- Responsibility and accountability phase (Realising the people value proposition)
- The ideal organisation that is rated best in the public sector and is a moving target

The first three years is aimed at efficiency (doing the right things) and the last two years at effectiveness (doing thing right and adding value). Thus the 2014 vision is effective and efficient.

Figure 12: The 2014 Human Resource Vision



4.2.9 Evaluation of Effectiveness

To ensure the successful implementation of the HR Strategic Plan 2009 – 2014, the strategic objectives must be measured and evaluated. In order to do this, the HR dashboard as well as the HR Balanced Scorecard will be utilised. Below is the illustration of the HR Balanced Scorecard that will form part of the visual management within the branch to track progress on a monthly basis.

The HR dashboard will be used to report on progress at executive level.

DEPUTY DIRECTOR GENERAL: HUMAN RESOURCES

Client Perspective					Financial Perspective					
KPI	Target	Actual	Status	Trend	KPI	Target	Actual	Status	Trend	
<ul style="list-style-type: none"> Percentage of performance interventions developed and implemented, as per plan Successful implementation of people transformation initiatives Establish and implement an employer of choice programme Achieve HR functional effectiveness as a strategic business partner Effective branding of the HR branch 	100%				<ul style="list-style-type: none"> Reduce the number of significant high risk audit issues, resolved within target time Degree of compliance to the efficiency targets of the improved processes Manage the average recruitment cost per candidate to the planned expenditure 					
	100%									
	100%									
<i>Commentary:</i>										

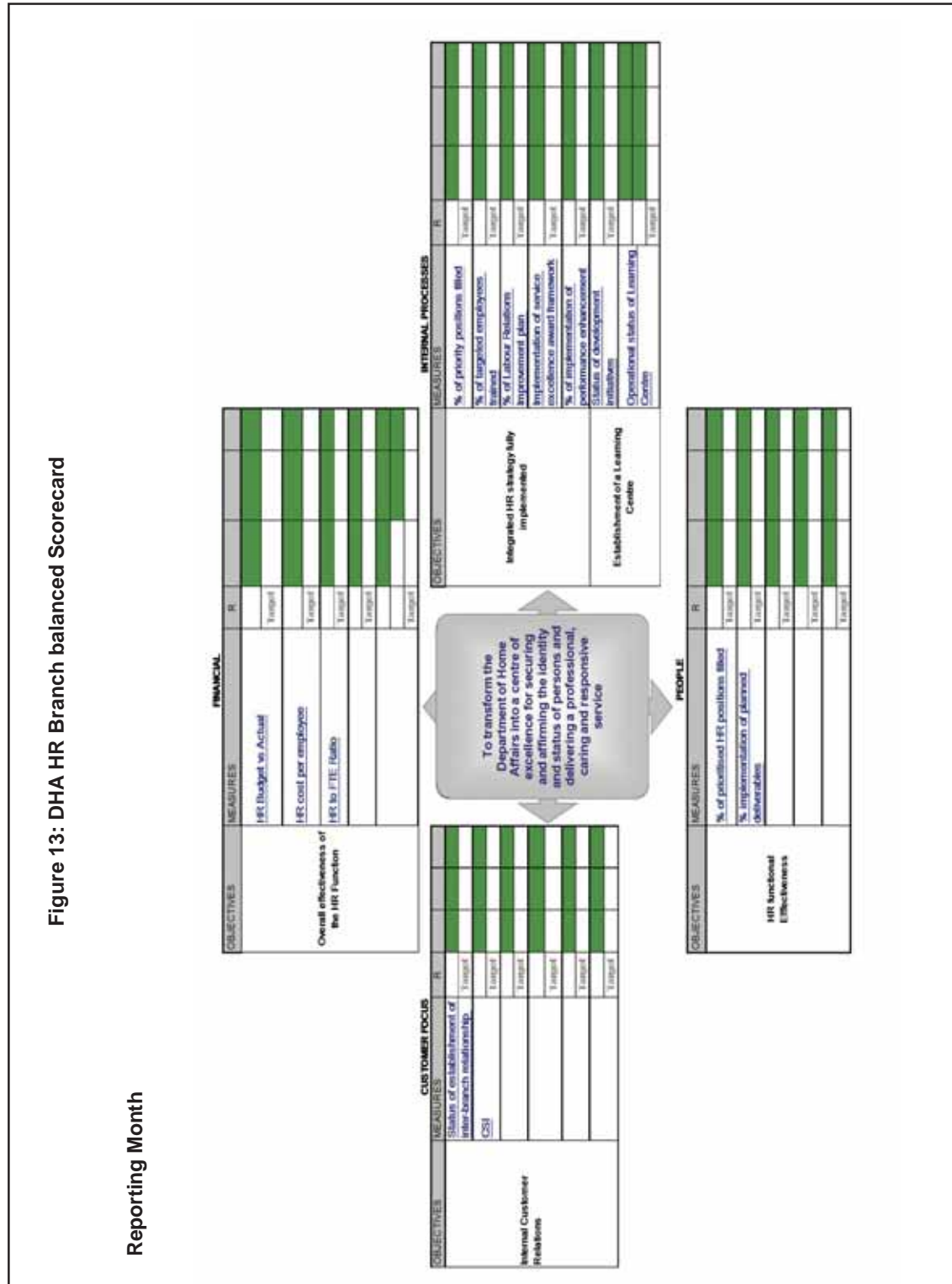
DEPUTY DIRECTOR GENERAL: HUMAN RESOURCES

Client Perspective					Financial Perspective				
KPI	Target	Actual	Status	Trend	KPI	Target	Actual	Status	Trend
<ul style="list-style-type: none"> • Successful implementation of an organisational alignment measure • Successful implementation of an integrated master resource plan <ul style="list-style-type: none"> ◦ Established workforce plan ◦ Adequate resourcing of all DHA functions 	100%				<ul style="list-style-type: none"> • Facilitate the transformation of people on competencies (skills, knowledge, behaviour and attitudes) <ul style="list-style-type: none"> ◦ Full implementation of HRD strategic objectives ◦ Full implementation of the planned learning programmes ◦ Achieved impact of learning programmes • Ensure the execution of training and development initiatives against the prescribed norms and legislative standards <ul style="list-style-type: none"> ◦ Achieve the planned percentage of trained employees 	100%			
<i>Commentary:</i>									

Financial Perspective			
KPI	Target	Actual	Status
<ul style="list-style-type: none"> • Facilitate the transformation of people on competencies (skills, knowledge, behaviour and attitudes) <ul style="list-style-type: none"> ◦ Full implementation of HRD strategic objectives ◦ Full implementation of the planned learning programmes ◦ Achieved impact of learning programmes • Ensure the execution of training and development initiatives against the prescribed norms and legislative standards <ul style="list-style-type: none"> ◦ Achieve the planned percentage of trained employees 	100%		

Trend	
	Positive trend
	Neutral trend
	Negative trend

The Balanced Scorecard approach will be used to monitor effectiveness on a monthly basis. This scorecard will be populated to reflect progress on the HR strategic objectives. The scorecard will look as follows:

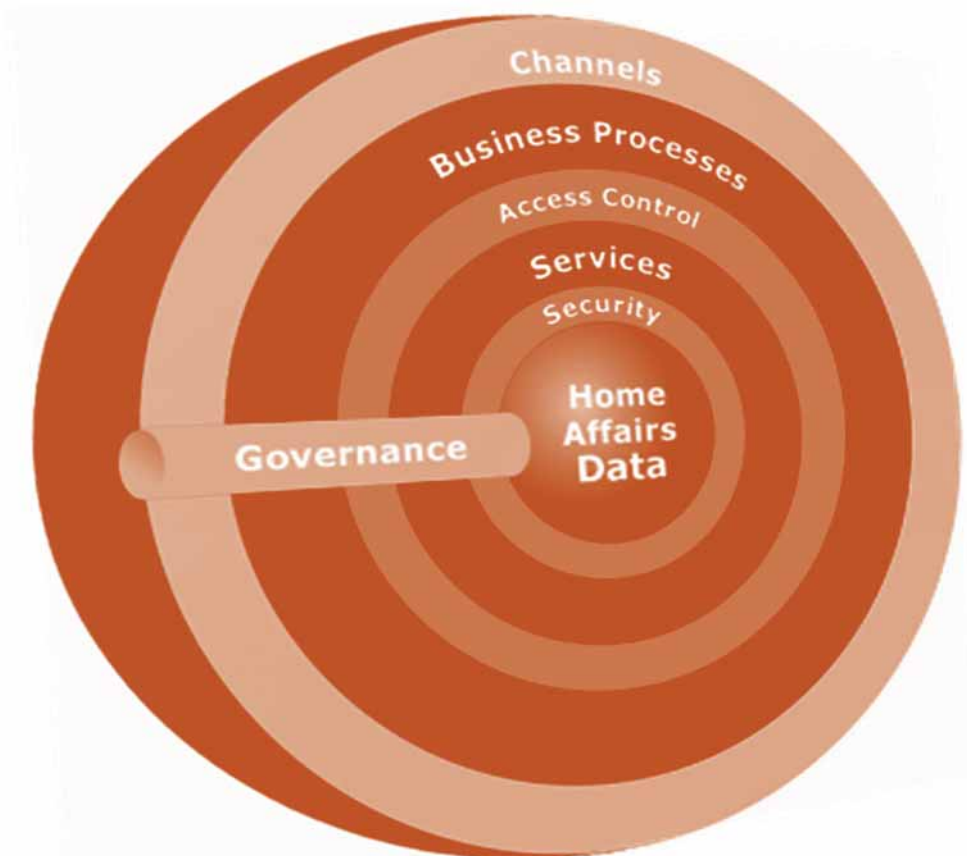


4.3 INFORMATION SYSTEMS STRATEGY

4.3.1 Guiding Principles

The fundamental purpose of the Information Services (IS) branch in the Department of Home Affairs (DHA) is to support the operations of the Department by providing a stable and secure technology-based offering to all its customers and stakeholders. This is guided by the following fundamental operating principle: primarily operational efficiency while providing strategic support to the business.

Figure 14: Information Services Architecture



The above figure is illustrative of the Home Affairs data that is protected in its core by IS Security, all other service policies access this protected data, via an access control viz, biometrics. This data is further controlled by business and its processes of how, who and what data is allowed to be viewed. Further to this is the channelling of this information to different streams. All of these processes above are protected by the overall governance of the Department of Home Affairs.

A DHA Macro Policy has been drafted. Six strategic goals were deduced from this Macro Policy to direct the Department in delivering on its mandate. One of the strategic goals is: To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service.

The mission of the IS branch is based on the overall principle of stabilising and securing the technology foundation on which the Department's services and offerings will be provided. This technology foundation includes the following disciplines: data, services, business processes, applications, security, and the people required to support these areas. Any initiative conducted by the IS branch, needs to be viewed holistically with a well-defined, clear and logical target end-state in mind. This can only be achieved by taking a process-centric view on the business utilising enterprise architecture principles and best practices.

The three year strategic plan is based on a continuous improvement cycle, with three primary components: Firstly stabilise the environment, introduce operational efficiency, and finally introduce broad innovation.

In order to stabilise the branch, and provide strategic support to the business, the following objectives need to be met:

- Attract and retain key skills. The critical dependency on the service delivery of the IS branch is on the quality of its people. Identify and rapidly addressing any skills or capacity shortages is a critical ongoing task;
- Ensuring the efficient and effective service delivery capability of the IS branch. This will be based around building the techniques, tools, practices and capabilities within the IS branch to truly become a strategic partner to business. This can only be accomplished by focusing on value-adding core business-owned processes, and deriving a blueprint for the organisation that ensures that all IS assets are optimally utilised. This enterprise architecture and process-centric view on the IS capability, ensures that all IS focus is aimed purely at adding business value. This will lead to IS providing the business with the deep insight into the actual execution of their processes, in the most efficient manner possible. The enterprise architecture blueprint will include the following facets of the business:
 - o Business – including all business processes from the value chain level to detailed activity level;
 - o Data – a detailed model of the data entities within the organisation;
 - o Applications; and
 - o Technology – covering technology infrastructure.

This architecture will provide a detailed roadmap for the IS branch to follow:

- Ensuring a secure and effective data management capability within the IS branch. This will be accomplished by rationalising, stabilising and integrating the various data sources within the DHA;
- Ensuring the efficient and effective operation of the technology infrastructure under the control of the IS branch. This will be accomplished by providing a robust and consistent technology infrastructure to all facets of the DHA nationally.

4.3.2 Objectives

The strategic objectives of the IS branch for the next five years are:

- Attracting and retaining key skills;
- Ensuring the efficient and effective service delivery capability of the IS branch;
- Ensure a secure, effective, efficient, accurate and integrated data systems management capability within IS branch; and
- Ensuring the efficient and effective operation of the technology infrastructure under the control of the IS branch.

4.3.2.1 Attracting and retaining key skills

- Organise and establish capacity within the IS branch, consisting of skilled, capable and experienced role players based on an agreed organisational structure. The IS branch should build its internal capacity and capabilities by acquiring skilled resources and transfer expert knowledge from consulting vendors to internal competency units as part of key projects; and
- Identify and address any key skills shortages within the IS branch. Implement training and skills development programmes to reduce the dependency on external vendors with a dedicated focus on development of existing IS branch team members.

4.3.2.2 Ensuring the efficient and effective service delivery capability of the IS branch

- Full compliance with Minimum Information Security Standards (MISS) established and sustained;
- Streamline the IS service delivery model through effective IS governance-, architecture- and standards-framework, including a change control and release management framework;
- Establish and develop a Service Management Function that is Information Technology Infrastructure Library (ITIL) aligned;
- IS service delivery streamlined through

- building the capacity of the Special Initiatives Unit that effectively manages small and medium transversal IS projects;
- Establish and constitute an IS Governance Framework: This governance framework should include a formal governance authority that will formulate the IS policies and guiding principles, adjudicate business, strategic and operational requirements and guide the governing processes to develop and implement the requirements;
- Develop and publish an IS Blueprint (Master Systems Plan) using a recognised Enterprise Architecture Framework and methodology. The IS branch should follow a globally recognised Enterprise Architecture practice to develop a blueprint (Master Systems Plan) and use the governance structures to maintain this blueprint and sustain its alignment to the IS infrastructure; and
- Build a Business Process Management (BPM) capability that truly partners the Department in its strategic drive to becoming a process-centric organisation. This BPM capability will provide the Department with real-time process metrics that tie back to strategy, and ensure that all IS and Departmental assets are actively engaged in directly adding value to the customers of the Department.

4.3.2.3 Ensuring a secure and effective efficient, accurate and integrated data systems management capability within IS branch,

- DHA Key Applications/Systems Stabilised:
 - o NPR Data Integrity and Accuracy implemented (duplicate records removed)
 - o Workable Electronic Document Management System (EDMS) solution implemented (i.e. a system that will allow for the storage and retrieval of records)
 - o Resolution of issues highlighted in the audit report regarding systems security.
- DHA Key Applications/Systems Integrated
 - o Systems integrated and data migrated in phased manner
- DHA Key Applications/Systems Rationalised/Enhanced
 - o NPR, HANIS, EDMS, NIIS & Passport systems enhancements rolled out - according to business requirements

- 2010 and WAIO Projects implemented (IT component) as an enabler to Civic and Immigration services business
- Implement a robust security barrier around data sources to protect the data from internal and external threats
- Efficient electronic knowledge and information management (KIM) capacity created and implemented

4.3.2.4 Ensuring the efficient and effective operation of technology infrastructure

- Stable, reliable, converged, secure and integrated technology infrastructure in all DHA offices delivered i.e. Core network capability implemented (VPN)
- Revised Technology requirements rolled out to DHA offices in accordance with plan (including upgraded end user computing, email decentralisation and data centre availability).

4.3.3 Strategic Implementation Plan

Current Environment and Challenges

The following highlight a number of key issues/challenges faced by the IS unit in pursuing the different objectives:

- Ensuring a secure, effective, efficient, accurate and integrated data systems management capability within IS branch:
 - o The National Population Register is based on legacy technologies. The integrity of the data is severely compromised by data inconsistency, duplicated / missing data elements;
 - o Relational linkages between different data-stores (NPR, HANIS, EDMS) are not formalised with little or no relational integrity;
 - o Immigration data stores are managed on legacy and expired light-weight PC based technologies;
 - o The immigration and visitor data is segmented and siloed in separate data stores (Refugees and Deportation, Asylum Seekers, Visitors and Visas, Movement Control) with no cohesive and integrated structure;
 - o Lack of security around data stores create opportunities for fraud and corruption adding to the corruption in data integrity;

- o Peer Government Organisations and other stakeholders do not trust the data in the DHA and duplicate citizen and/or visitor data in their own environments to compensate for the lack of trusted data
- Ensuring the efficient and effective operation of technology infrastructure
 - o Customer services are being developed for a variety of channels and service points (e-Passport, ID Smart-Card, Refugee systems, etc), based on an unstable foundation, causing these initiatives to be delayed, constrained, or fail to deliver on its promises
- Ensuring the efficient and effective service delivery capability of the IS branch
 - o Satellite IS services are being developed in reaction to urgent operational requirements without the guidance and governance of a strategic blueprint or framework. This results in small silo or pocket applications that are not integrated or formally linked to a cohesive data structure
 - o No consistent, well managed Service Level Agreements / Operational Level Agreements
 - o Inherited contracts with issues hindering implementation
 - o Delay in procurement processes
- Attracting and retaining key skills
 - o Lack of capacity in leadership and management positions leading to poor capacity planning (Lack of roadmap)
- Insufficient funds for the identified projects and maintenance

4.3.4 Budget

Operations

Area	Licences, hosting and Consultancy Services	Project / System	2009/10	2010/11	2011/12	2012/13	2013/14
Applications	GP Van Niekerk software licences	Mainframe	0	0	0	0	0
	Oracle	EDMS	256	276	299	0	0
		HANIS	257	278	300	0	0
		RAD				0	0
	Tibco	EDMS	4557	4922	5315	0	0
	Tower	EDMS				0	0
	Software AG	Passport System	746	806	870	0	0
	Offsite Storage Services	HANIS	26	28	30	0	0
	Mainframe resources	6,000	6,480	6,998	0	0	
Infrastructure	SITA Services	WAN	59,340	64,087	69,214	0	0
		LAN/Internet	9,660	11,399	12,310	0	0
		VOIP				0	0
	Hosting – mainframe	NPR	30,881	33,351	36,020	0	0
		HANIS DRS	1,143	1,234	1,333	0	0
		Passport System	0	0	0	0	0
	Server Housing		2,556	2,812	3,168	0	0
	Consultancy Services				0	0	
SUB TOTAL			115,422	125,673	135,857	0	0

Note: Amounts are in R'000

KEY SUPPORT SERVICE STRATEGIES

Strategic Plan • 2009 - 2012

4.3.5 IS Project Costs

Project/System	2009/10	2010/11	2011/12	2012/13	2013/14
IS Infrastructure	95,000	76,000	80,980	0	0
EDMS Upgrade	3,325	3,325	3,325	0	0
Who Am I Online		61,750	251,756	0	0
2010 Readiness (WAIOL)	142,500	332,500	47,500	0	0
IT back to basics	11,796	12,976	13,753	0	0
Business Intelligence (BI)	19,000	19,000	7,600	0	0
HANIS	60,126	60,126	64,066	0	0
HANIS Techno Refresh	37,741	45,045	47,997	0	0
HANIS Disaster Recovery System	25,659	25,659	27,341	0	0
Smart ID Card	104,423			0	0
Refugee System	10,189	11,208	11,881	0	0
SUB TOTAL	509,759	647,589	556,199	0	0

Note: Amounts are in R'000

The following projects have been proposed and are still awaiting the completion and approval of their respective business cases:

- Business Continuity Management Plan
- Archival/Documentation
- Information Management Transformation
- Data Quality Management
- Network Connectivity
- IT Security

4.3.6 Budget Summary

Area	2009/10	2010/11	2011/12	2012/13	2013/14
Operations	115,422	125,673	135,857	0	0
Projects	509,759	647,589	556,199	0	0
TOTAL	625,181	773,262	692,056	0	0

Note: Amounts are in R'000

4.3.7 Details of Proposed Information Technology Acquisition or Expansion in Reference to an Information Technology Plan

The Master Systems Plan of the Department of Home Affairs is in place but will be finalised after due process to ensure that the plan meets MISS requirements.

4.3.8 Compliance with Requirements of Chapter 1, Part III B of Public Service Regulations, 2001

Part III, B1(f)(i) Specifying of information systems that enable the executing authority to monitor the progress made towards achieving goals, targets and core objectives:

Civic Services

- National Population Register (NPR), ID Track and Trace, Machine Readable Passport System, Home Affairs National Identification System (HANIS), Certificate via Terminal System (CVT), Electronic Document Management System (EDMS), Online Verification, Nucleus Call Logging System and Manual Systems

National Immigration Branch

- Movement Control System (MCS), Refugee and Deportation System, Incident Reporting System, Visa System and Manual systems

Finance and Supply Chain Management

- BAS, ProQuote, BAUD Asset Management System, LOGIS, Q&A and Property Management System

Human Resources

- PERSAL, Vulindlela and Personnel Files

Part III, B1(f)(ii) Specifying of information systems that support compliance with the reporting requirements in regulation III J and the Minimum Information Requirements, referred to in regulation VII H

- PERSAL, Vulindlela and Personnel Files

4.4 SERVICE DELIVERY IMPROVEMENT PLAN

The Public Service Regulations 2001, part III.C.1 and C2 state that an executing authority shall establish and sustain a service delivery improvement programme for his or her Department; and the executing authority shall publish an annual statement of public service commitments which will set out the Department's service standards that citizens and customers/clients can expect and which will serve to explain how the Department will meet each of the standards.

Service standards are required to be operational for one year and be subject to an annual performance review. These should be progressively raised and ideally may not be reduced, except to accommodate changed priorities based on changing customer needs. Service standards are furthermore to be benchmarked against international standards, taking into account South Africa's current level of development. In setting service standards, it is important that service delivery also be viewed from the customer's viewpoint and judged from criteria that he or

she might use. For most customers, services must conform to the following measurable criteria: quantity, quality, time/timeliness, value for money, access and equity.

Customer needs drive the new Home Affairs service delivery model. The reduction of service delivery times according to set targets is central to the new operating model of the Department. This will be supported by IT improvements, including projects aimed at upgrading the network infrastructure and IT applications. However, consideration needs to be given to security issues in the issuance of enabling documents and may impact on turnaround times.

The table below contains some of the most critical services that the core business (Civic Services and NIB) of the Department of Home Affairs deliver and forms part of the comprehensive Service Delivery Improvement Plan of the Department. The figures for projected performance were determined during phase 1 and 2 of the turnaround programme in which baseline studies were carried out.

CIVIC SERVICES

KEY SERVICE		SERVICE BENEFICIARIES	CURRENT STANDARD / BASE-LINE	2009/10 TARGET	TURN-AROUND / BATHO PELE	IMPACT / BENEFITS
Accessibility of services enhanced	Expansion of service points	All SA Citizens Visitors	422 service points (regional, district offices, permanent / temporary service delivery points and Thusong Centres)	13 additional permanent service delivery points established / services offered increased	Footprint Optimization Project Access	Improved service delivery, strategic location of offices, improved image and shorter traveling distances
Products and services rendered within specified timeframes	Issuance of unabridged birth, marriage and death (BMD) certificates for new registrations	All SA Citizens Permanent residents (Persons to whom permanent residence was granted)	8-12 weeks for unabridged certificates	90% of all applications for unabridged BMD certificates for new registrations correctly processed and issued within 20 day at offices of origin	BMD Redesign Project Service Standards	Improved service delivery and reduction in turnaround times. Linkage of personal particulars of parents to children

KEY SERVICE		SERVICE BENEFICIARIES	CURRENT STANDARD / BASE-LINE	2009/10 TARGET	TURN-AROUND / BATHO PELE	IMPACT / BENEFITS
	Issuance of abridged birth, marriage and death (BMD) certificates	All SA Citizens	1 day	Abridged birth, marriage and death certificate correctly processed and issued within 1 day at 90% of DHA service points	Service standards	Improved service delivery and reduction in turnaround times. Improved access to services
	Issuance of late registration of birth (LRB) applications	All SA Citizens	4 Months	LRB application correctly processed and finalized within 4 months	BMD Redesign Project Track and trace Service Standards	Improved service delivery and reduction in turnaround times
	Efficient and effective services provided through the Client Service Centre / Contact Centre	All persons within RSA	80% of calls answered within 20 seconds	95% of calls answered within 20 seconds at the contact centre	Contact Centre Ramp-up Project Access Service Standards	Improved service delivery, improved image, reduction in number of enquiries at frontline offices
	Re-issue of ID documents	All SA Citizens Permanent residents (Persons to whom permanent residence was granted)	42 days	Applications for IDs (re-issue) correctly processed and issued within 30 days	ID Process Transformation Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of temporary IDs	All SA Citizens Permanent residents (Persons to whom permanent residence was granted)	1 day	Applications for IDs (temporary IDs) correctly processed and issued within 1 day	Online Verification Project Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of machine readable passports	All SA Citizens	17 days	Machine readable passport applications correctly processed and issued within 10 days	Passport Machine Project Service Standards	Improved service delivery, reduction in turnaround times and compliance with international standards for issuance of documents
	Issuance of citizenship certificates	Permanent residents (Persons to whom permanent residence was granted)	6 months	Citizenship certificates correctly processed and issued within 6 months	Service Standards	Improved service delivery and reduction in turnaround times

KEY SUPPORT SERVICE STRATEGIES

Strategic Plan • 2009 - 2012

KEY SERVICE		SERVICE BENEFICIARIES	CURRENT STANDARD / BASE-LINE	2009/10 TARGET	TURN-AROUND / BATHO PELE	IMPACT / BENEFITS
Birth, marriage and death (BMD) records sorted and indexed	BMD records sorted and indexed	All SA Citizens	Not applicable	15 million BMD records sorted and indexed	Service Standards	Improved service delivery and reduction in turnaround times
NATIONAL IMMIGRATION BRANCH						
Improved service delivery to large corporate accounts and growth in number of accounts serviced	Large accounts serviced	Large companies	50 large accounts	70 large accounts serviced	Permits Transformation	Improved service delivery and reduction in turnaround times, economic development
Products and services rendered within specified timeframes to facilitate movement of skilled persons	Issuance of visas issued	Foreigners (foreign investors)	8 months	6 months	Permits Transformation Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of permanent residence permits (PR)	Foreigners	5 days	5 days for issuance of visas	Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of corporate, general and intra company transfer permits to selected corporate clients	Foreigners	15 days	10 days	Permits Transformation Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of section 22 asylum permits	Foreigners	1 days	Section 22 permits issued in 1 day	Refugee Transformation Service Standards	Improved service delivery and reduction in turnaround times
	Issuance of business permits to investors	Foreigners	6 weeks	4 weeks	Permits Transformation Service Standards	Improved service delivery and reduction in turnaround times, economic development

OVERVIEW OF EMPLOYMENT EQUITY PLAN FOR THE DEPARTMENT OF HOME AFFAIRS

4.5 INTRODUCTION:

The Strategic Plan of the Department attempts to improve service delivery and to implement the transformative prescripts to address the imbalances that exist in the Department amongst previously disadvantaged groups, especially blacks, women and people with disability. There is also a drive to put equity and developmental interventions in place.

Strategic Goal number 6 refers to the following: "To transform the Department of Home Affairs into a centre of excellence for securing and affirming the identity and status of persons and delivering a professional, caring and responsive service"

The following objectives for 2009 to 2014 have been set to achieve the strategic goal:

- To optimally capacitate the DHA with respect to its human resources
- Provide organisational interventions, which include the management of change that will equip every employee to instill a high performing organisation culture and practice in the DHA
- Achieve organisational effectiveness by building capability and capacity in line with the service delivery model that will transform DHA into a centre of excellence

By the end of 2014, the Department would have implemented its measurable targets for achieving representativeness (PSR 2001 Part III, HR Planning) by having developed, established, implemented and maintained a service delivery model that will result in an effective and efficient Human Resources Branch in line with all DHA strategic objectives to support employees.

In achieving the objective, the Department will appoint legislators, senior officials and managers, professionals, technicians, and associate professionals and clerks. The appointments will be based on gender, race and disability targets (DHA Employment Equity Plan 2008 – 2011).

EMPLOYMENT EQUITY PLAN

The Employment Equity Plan is informed by the current situation, transformative prescripts and the DHA Transformation Project towards the improvement of service delivery. The strategic objective will work towards equity at all levels and:

- Senior Management Services is done in accordance with the Cabinet decision of 50/50 representation to be achieved by March 2009.
- Middle Management to be used as per the current statistics that indicates a need to improve the recruitment of females and people with disability that includes race.
- Lower levels of the structure to be addressed through training and specialization with clear mechanisms for talent management programmes.
- Employment equity targets for people with disability of 2% as prescribed by the DPSA prescripts.

DHA EMPLOYMENT EQUITY PLAN AND AFFIRMATIVE ACTION

A policy statement that sets out the Department's commitment to the Employment Equity Plan and how to achieve equity is indicated below:

The Department is committed to contributing to processes that will redress the past imbalances and inequities imposed by apartheid legislation and policies. In addition, the Department recognises the right of all people to human dignity, which is enshrined as a non-derogable right in the Constitution, which states:

"Everyone has inherent dignity and the right to have their dignity respected and protected." (RSA Constitution, 1996)

The Employment Equity Policy and Plan will be implemented through Affirmative Action as prescribed by the Employment Equity Act as an instrument for transformation and equity in the Department.

DHA Affirmative Action is based on the following targeted areas/categories:

Females in Senior Management

The Department will have to implement the DPSA initiative on Sustainable Pools for Middle Managers Scheme and facilitate training and development of middle managers towards a sustainable pool

of competent middle managers. The selection of participants to this scheme must strongly consider gender, in particular females, in order to provide medium term solutions.

Females in Middle Management

Females are not well represented in salary levels 9-12 and even less so at senior management level. Interventions will ensure that there is a movement towards competent recruitment from designated groups at lower levels into levels 9 to 12 to address the imbalances. Such interventions will also ensure a sufficient pool of competent middle managers from the designated groups to move into the senior management level. The process will consider advancement of internal employees.

People with disabilities

The Department of Home Affairs must explore other recruitment methods other than those currently used to make employment accessible to people with disabilities.

The Department of Home Affairs should consider the proposed intervention strategies contained in *JOBACCESS 2006-2010* Framework once it is approved. This draft cabinet document contains intervention strategies for the recruitment and retention of people with disabilities.

DHA AFFIRMATIVE ACTION

The following is the approach the Department considered and the relevant recommendations from an audit on affirmative action conducted by the Office of the Public Service Commission:

Compliance

- The target for gender and disabilities.
- Periodical monitoring of targets especially with regard to senior and middle management, and people with disabilities.

Implementation

- Training on the implementation of employment equity must be regarded as compulsory at all levels.
- Implementing the employment equity plan must be allocated across all levels of management.

Empowerment

- Employment equity criteria to be applied to all advertisements for new employees, induction and training of newly appointed employees.

Employment Equity and Human Resource Planning (HRP)

- Establishment of management linkages between employment equity and HRP.

Employment equity and the positioning of HR function

- Definition of roles, responsibilities, powers and functions of HR units, heads and line managers respectively.
- HR units to be re-positioned to make sure that they have a strategic outlook of employment equity issues.

Affirmative Action Measures in terms of the Employment Equity Act

Departmental affirmative action measures will be-

To identify and eliminate the employment barriers, including unfair discrimination, which adversely affect people from designated groups and further diversity in the workplace based on equal dignity and respect of all people by:

- (i) ensuring the equitable representation of suitably qualified people from designated groups in all occupational categories and levels in the workforce;
- (ii) retaining and developing people from designated groups and implement appropriate training measures, including measures in terms of the Skills Development Act, 1998 (Act No 97 of 1998) ; and
- (ii) ensuring that no employee shall lose his/her job or be demoted to achieve affirmative action. Affirmative action shall not be part of a decision where restructuring or retrenchment is inevitable.



home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA



PART 5:

PROGRAMME AND SUB PROGRAMME PLANS

5.1 MONITORING AND EVALUATION (M&E)

To comply with relevant prescripts, the Department of Home Affairs has implemented a formal and integrated reporting framework with emphasis on quarterly progress reporting.

The aim of quarterly reviews is to track progress achieved against strategic objectives in the strategic plan via the annual performance plans, report on major service delivery challenges (pressure points) / solutions, report on the state of expenditure of business units / provinces and to enhance accountability and performance management in the Department. Significant progress was recorded with the quarterly reviews and can be attributed to:

- Improved planning framework implemented by DHA
- Standardisation in respect of reporting
- Alignment between planning, projects and other key activities in the DHA
- Improved performance management in the DHA

The use of metrics for managing the operational environment is a key principle being implemented across the turnaround. Another principle is setting performance standards, as indicated in the Estimates of National Expenditure. These will evolve and be refined as new business processes are implemented.

The DHA will also focus on the establishing of new and improving of current governance structures with regard to monitoring and evaluation. The following can be cited in this regard:

- Activation and capacitation of the new Monitoring and Evaluation (M&E) chief directorate that will be responsible for:
 - o Custodian of the organisational performance management system (OPMS)
 - o Quality assures standards, performance indicators, performance agreements; audits monitoring and evaluation systems/ quality promotion (QP)
 - o High level reports, annual and in-year reporting (including quarterly reviews)
 - o Services executive committees and branches in respect of monitoring and evaluation input
 - o Design and implementation of an effective system for monitoring and evaluation. The tool will also assist to review the organizational performance of the Department and most importantly implement a system to ensure that all our managers take responsibility for poor performance.
- The expansion of the current Operations Committee (Opsco) to include the zones to which frontline operations have been directed. The Opsco was established to monitor performance of core business on a

weekly basis and take corrective action. It is chaired by the Director-General and the relevant DDGs attend. Data from the Track and Trace system and other Civics and NIB related systems are used to compile accurate "dashboards" of keys statistics regarding key enabling documents.

- The implementation of phase 2 of the Key Performance Indicator project dealing with the establishing of a full set of performance indicators for the Department.

The development of performance management is ongoing and is dependent on the improvement of business processes, including information systems.

5.2 CORPORATISATION OF GOVERNMENT PRINTING WORKS (GPW)

The Government Printing Works (GPW) was founded in 1888 for the purpose of rendering security printing and related services to the Government of South Africa but has since experienced various challenges in terms of its operations and sustainability as Government's security printer.

In 2000 Cabinet took a decision in principle that GPW should provide possible solutions and alternatives for restructuring its business model to operate more efficiently. A new form of entity, known as the Government Component, effective 1st April 2008, provided GPW with an alternative model to address Cabinet's directive and its operational challenges.

Supported by the Department of Home Affairs, GPW has since then, approved a new business plan and model that focuses on the conversion of GPW into a Government Component, a more feasible and practical option considering the state of affairs at GPW.

The business case, including the business model, financial plan and senior management structure for GPW was approved by the Joint Evaluation Panel of Department of Public Service and Administration and National Treasury representatives on 3 September 2008.

Recently GPW was informed that the concurrence as required by the Minister of Finance is imminent, effectively paving the way for GPW to commence its conversion process with effect from 1 April 2009, and which is expected to take approximately 36 months to complete.

In essence, the conversion into a Government Component will permit GPW to operate effectively in South Africa's growing printing industry and will encourage the adoption of more efficient, customer-focused and process oriented business practices, with the potential to grow into other markets, but more importantly, GPW will finally be able to render **state of the art and secure printing** to the Department Home Affairs, further enhancing and reinforcing the turnaround and transformation processes within the Department.

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Strategic Plan • 2009 - 2012

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There are many stakeholders who have a legitimate interest in the outcomes of the Department of Home Affairs (DHA). These individuals or groupings of bodies have interest in the DHA for various, but specific reasons. The main stakeholders of the Department of Home Affairs can be grouped and classified as depicted in Table 4.

Table 4: Key stakeholders

Stakeholder	Relationship	Expectation
The South African people	They are investors because they fund the DHA through their taxes	Return on investment through the provisioning of reliable enabling documentation, accessible services and a customary focused orientation
Parliament	Allocates resources invested by the taxpayers and provides the regulatory framework in which the DHA must operate	Maximum benefit for the allocation of those resources and conformance to standards
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 partnerships entailing joint decision-making, consultation, co-ordination, implementation and advice	Effective and efficient execution of functions
Director-General	As accounting officer responsible for managing the environment which creates the products and services for the customers	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
Foreign visitors	Foreigners visiting the country on a temporary basis including tourists, business fraternity, etc.	Effective and efficient admission and departure as well as processing of applications.
International community	Bi-lateral and multi-lateral interaction, consultation and co-operation with regard to common interest and forming of relationships.	Mutually beneficial international relationships.