



KWAZULU-NATAL PROVINCE

EDUCATION
REPUBLIC OF SOUTH AFRICA

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Organisational Development
Enquiries: Sunil Mahabeer@kzndoe.gov.za
Reference: W S/2/2/6

To: Adv. MB Masuku
DDG: Corporate Management Services

From: Mr S Mahabeer
Director: Organisational Development

SUBJECT: APPROVAL OF STANDARD OPERATING PROCEDURE (SOP) AND IMPLEMENTATION CHECKLIST (IC) FOR CHANGE MANAGEMENT INTERVENTION (CMI) IN THE DEPARTMENT.

Purpose

1. This submission seeks to obtain approval for the standard operating procedure and implementation checklist in respect of change management intervention (CMI) in the Department.

Background

2. In terms of the Public Service Act, 1994 (as amended), the Minister for Public Service and Administration (MPSA) is, inter alia, responsible for establishing norms and standards relating to transformation, reform, innovation, and any other matter; to improve the effectiveness and efficiency of the public service and its service delivery to the public.
3. The Minister shall give effect to mandates by making regulations, determinations, and directives, and by performing any other acts provided for in this Act. Based on this mandate, the Department has developed and approved a change management policy framework on the 8th of August 2023 to be implemented in instances of organizational change.

Discussion

4. The standard operating procedure and the implementation checklist has been developed to outline the processes to be followed regarding managing and implementing organisational change in the department. The procedure highlights mandatory elements, critical process controls and areas of accountability for employees to recognize and observe. The standard operating procedure and implementation checklist will provide guidance to employees on the interpretation/comprehension of the approved change management policy framework, which aims to provide the department with the necessary tools and skills to be able to minimize the internal and external risks while maximizing value in the change management process.

APPROVAL OF STANDARD OPERATING PROCEDURE (SOP) AND IMPLEMENTATION CHECKLIST (IC) FOR CHANGE MANAGEMENT INTERVENTION (CMI) IN THE DEPARTMENT



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5. The procedure and checklist will assist in ensuring that the organisational change processes are sustainable and auditable to maximise value and promote effectiveness in the implementation. It will ensure accountability and accomplishment of projects within specified timelines while promoting efficacy.
6. Business units or directorates are required to follow the CMI procedure in order to have successful change projects. All requests are to be sent to the Directorate Organisational Development and be cognisance of all requirements. No change management intervention project will be considered without meeting the defined requirements. Full commitment and accountability into the project is mandatory. Compliance to the SOP and checklist standards will be monitored on quarterly basis and reported accordingly.
7. The standard operating procedure is attached as **Annexure A** and Implementation Checklist as **Annexure B**. Moreover, a summative implementation guide of the CM Policy framework which informs two control documents provided for ease of reference as **Annexure C**

Recommendation

8. It is recommended that the standard operating procedure and the implementation checklist in respect of the change management intervention attached as **Annexure A** and **B** be approved.

Submitted by:

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Ms. Dudu Mkhize
Deputy Director: Change Management

27/02/24
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Date

Supported by:

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Mr. Sunil Mahabeer
Director: Organisational Development

28/02/2024
.....
Date



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Ms. NV Hlongwane
Chief Director: Human Resource Management

16/3/2024
Date

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Recommended/ Not Recommended

Adv. MB Masuku
DDG: Corporate Management Services

22/3/2024
Date

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.....
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Approved/Not Approved



**DIRECTORATE: ORGANISATIONAL DEVELOPMENT
HEAD OFFICE**

Title: Standard Operating Procedure (SOP) for Change Management Intervention (CMI)

STEP	ACTIVITY	CONTROL MECHANISM	WHO	TIME	INPUT	OUTPUT
<i>Logical Sequence</i>	<i>Name the activity</i>	<i>Describe the control that govern the execution of the task</i>	<i>Who is responsible for executing task</i>	<i>On average how long task takes</i>	<i>What information is used</i>	<i>What forms of documentation</i>
The need for a Change Management intervention is identified.						
1.	Receive and acknowledge a request/directive together with a business case.	CM framework and Public service Regulation	Director: OD	1305 mins	Received Request and business case.	Acknowledged CM request and supporting documents
2.	Analyse the request and business case to determine the CM strategy	CM framework and Public service Regulation	DD: OD	2175 mins	Supporting documents	Analysed documents
3.	Draft submission to establish workstream committees together with project plan.	CM framework and Public service Regulation	Project Manager (Business units)	870 mins	Analysed request and supporting documents	Draft submission and project plan.
4.	Obtain approval for project plan and workstream committees.	CM framework	Project Manager (Business units)	2175 mins	Draft submission	Approved project plan and workstream committees.
5.	Develop communication and awareness plan of the CM project	CM framework	Project Manager (Business unit) Director: Communication	870 mins	Approved project plan and workstream committees.	Approved communication and awareness plan
6.	Constitute structures and inform workstream members.	CM framework and Public service Regulation	Project Manager (Business units)	435 mins	Approved project plan and workstream committees	Appointment letters
NB: Workstreams required to have regular meetings dependent on the complexity of the project						
7.	Receive progress reports from workstreams and consolidate	CM framework and Public service Regulation	Project Manager (Business unit) Workstream Leaders	2175 mins	Individual reports from workstreams	consolidated report

STANDARD OPERATING PROCEDURE (SOP) FOR CHANGE MANAGEMENT INTERVENTION (CMI)



STEP	ACTIVITY	CONTROL MECHANISM	WHO	TIME	INPUT	OUTPUT
<i>Logical Sequence</i>	<i>Name the activity</i>	<i>Describe the control that govern the execution of the task</i>	<i>Who is responsible for executing task</i>	<i>On average how long task takes</i>	<i>What information is used</i>	<i>What forms of documentation</i>
8.	Presentation to Steering Committee (Top Management)	CM framework and Public service Regulation	Project Manager (Business unit) Workstream leaders	435 mins	consolidated report	Steering Committee inputs.
9.	Prepare progress report with recommendations to the HOD for approval.	CM framework and Public service Regulation	Project Manager (Business unit)	870 mins	Steering Committee inputs and consolidated report	The approved progress report with recommendations
NB: The number of progress reports will depend on the life cycle of the project.						
10.	Prepare close out report and submit to the HOD	CM framework and Public service Regulation	Project Manager (Business unit)	2175 mins	Progress report with approved recommendations	Finalised closed out report
NB: Change management intervention implemented.						
TOTAL						

Average minutes spend in a day: 435mins



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Annexure B

CHANGE MANAGEMENT INTERVENTION (CMI) IMPLEMENTATION CHECKLIST.

This document provides guidance and promotes compliance in line with the requirements contained in the approved change management policy framework. The below mentioned elements are mandatory when undertaking the organizational CMI process. This checklist also serves as an accountability document for monitoring purposes. Appointed chairpersons must ensure that all activities are signed off.

NO	REQUIREMENTS	YES	NO	DATE OF SIGN OFF	COMMENTS
1.	Formal request/directive and Business case (state of readiness, project objective and scope, SWORT analysis and detailed rationale).				
2.	Financial Commitment Indication and commitment from CFO or Accounting Officer and or as delegations.				
3.	Approved project plan As per delegated Chairpersonship, should outline monitoring of project milestones, reporting & budget				
4.	Governing structures (Appointment of members) Appointment and delegation of roles HOD or DDG.				
5.	Risk management plan Risk log and mitigating actions				
6.	Stakeholder management plan Internal & external stakeholder mapping, frequency of engagement and impact analysis.				
7.	Communication/ Awareness plan Internal and external communication be outlined with timelines- One message must be communicate				
8.	Training and development Skills audit and training plan				
9.	Performance management plan Targeting plan, rewarding approach				
10.	Resistance plan Assessment report, mitigation				
11.	Consolidated workstream reports (Based on reporting intervals as per project plan)				

Comments: _____

Chairperson / Project Lead Name:
Designation:
Date:



CHANGE MANAGEMENT INTERVENTION IMPLEMENTATION GUIDE

Introduction

1. In terms of the Public Service Act, 1994 (as amended), the Minister for Public Service and Administration (MPSA) is, inter alia, responsible for establishing norms and standards relating to transformation, reform, innovation and any other matter; to improve the effectiveness and efficiency of the public service and its service delivery to the public. The Minister shall give effect to such a mandate by making regulations, determinations, and directives, and by performing any other acts provided for in this Act. Based on this mandate, the Department has approved change management policy framework on 8 August 2023 to be implemented in instances of organizational change.

Purpose

2. The purpose of this change management implementation guide is to: -
 - 2.1 Provide guidance to employees on the interpretation/comprehension of the approved change management policy.
 - 2.2 Outline the processes to be followed with regards to implementing change and;
 - 2.3 Highlight mandatory elements when implementing organisational change.

3. IMPLEMENTATION FOR CHANGE STRATEGY OR INTERVENTIONS.

- 3.1 This guide should be read in conjunction with the approved change management policy framework. The framework provides a brief reference of the drivers of change in the department for noting. Drivers of change are defined as internal and external mandates that dictate when change within the organization should be managed. These drivers provide the scope of the change process and the complexity thereof. It is important that each driver is understood and interpreted correctly following the approved theory of change model (KOTTER). The success and sustainability of managing change in the department is dependent on the full compliance with the policy framework process and procedures.

3.2 The change drivers are listed below:

- Change in Leadership (Executive Authority, Accounting officer etc.) and departments strategy.
- Regulation/ Policy (national or provincial) driven by legislative or regulatory framework.
- Organizational Structure of the department
- Change in the mandate and authority of the organization resulting in function shift.
- Resource deployment, a decision made to reprioritize funds or resources as result of the budget cuts.
- Human capital / resource affected by requirement of new skill or new work behaviors.
- Working culture necessitating changes to implement the strategy or implement new objectives.
- Onboarding of new systems and procedures to enhance service delivery and promote efficiency.

4. STANDARD OPERATING PROCEDURE (SOP)FOR CHANGE MANAGEMENT INTERVENTION(CMI)

- 4.1 The Standard Operating Procedures (SOP) are documents containing a set of instructions with the power of a directive, to perform an activity of a process efficiently and effectively. They provide detailed written instructions to achieve uniformity of the performance of a specific function. The SOPs are regulated in terms of Public Service Regulation (2016), Chapter 3, Part 3 and serve as part of the requirements in the operations management framework.
- 4.2. The Change Management SOP is developed to facilitate a consistent compliance to technical and quality requirements of the framework. To ensure the auditability of the process and further enable continuous improvement (approved SOP attached).
- 4.3. Each unit or component is required to have undertaken SWORT analysis of its business to determine the gaps or identify the relevance of the needed change process for onboarding. This is translated into a business case which consist of and not limited to: - Project vision, goal or objective, cause for change / problem, confirmation of availability of budget and sign-off / approval by Accounting Officer or as per the delegation, project duration or timelines etc.
- 4.4 Once this document is developed, A formal request is sent to the Directorate Organisational Development (OD) to facilitate, and the following ensues: -
1. OD receive and acknowledge a request/directive together with a business case.
 2. OD analyzes the request and business case to determine the change management strategy.
 3. The business unit will draft submission to establish workstream committees together with project plan;
 4. Obtain approval from the Head of Department for project plan and workstream committee representatives.

5. The structures are constituted, and members informed of their appointment into the workstream, roles and responsibilities are clearly outlined.
6. Develop communication and awareness plan of the change management project, this also include stakeholder analysis and risk analysis.
7. Workstream perform their activities as outlined in the approved project plan, timelines to be adhered to;
8. OD together with workstream leader monitor the project progress reports from each workstreams and consolidate;
9. Reports are presented to Steering Committee (TMM) for recommendations or other;
10. Prepare progress report with recommendations to the HOD for approval.
11. The implementation of change management intervention is a progressive process, all activities/ milestones are to be achieved as planned and regular reporting are compulsory.
12. Workstream leaders prepare close out report and submit to the HOD.
13. OD and Business unit to monitor the implementation of the change management intervention and evaluate the value adds or challenges.

The SOP attached has been approved by the Chief Director Human Resource Management for implementation (See attached as Annexure A)

5. CHANGE MANAGEMENT INTERVENTION IMPLEMENTATION CHECKLIST

5.1 This document seeks to provide guidance and promotes compliance in line with the requirements contained in the approved change management policy framework. All elements are mandatory, to be done prior and during the organizational change intervention process. Appointed Chairpersons of projects are to ensure that listed actions are done and signed off. Checklist must be completed by the appointed Chairperson together with members of workstreams for consensus.

5.2 The checklist (Attached as Annexure B) outlines the following.

1. **Formal request:** Formal Request from business unit detailing the need for change.
2. **Business Case-** This contains the SWOT analysis, state of readiness for the organisation change, project scope and the rational behind the initiated change. It is important that business units thoroughly go through this process to develop sound project plans that are implementable and manageable, easy to track and with clear direction and milestones.
3. **Governance Structures-** Delegates who are responsible to champion the project should be fully informed of their role to ensure that they support the project until its full realization. Members need to be appointed based on their expertise, knowledge, and experience in the field. This is important to avoid wastage of resources, time management and accountability.
4. **Risk Management plan-** Before a project is assumed, all potential risks should be identified, and affected units are empowered on ways to mitigate or manage them. This requires the development of risk register/ risk log and mitigating strategy to be in place. This is linked to every business unit planning process and complements the work done by Internal Control and Risk Management.
5. **Stakeholder Management plan-** changes in the organization will affect stakeholders (internal or external). When this is not mapped earlier, it provides misalignment in terms of the proposed solutions and accountability of the process. Batho Pele emphasize the importance of putting our people first in our plans and implementation respectively and therefore, stakeholders need to be onboard in all changes that will affect them. The impact needs to be identified and managed for business continuity. Relationships are important as they can trigger frustration.

6. **Communication / Awareness plan-** The department has an obligation to communicate, credible and accurate information to its clients (internal or external). For every change, those affected must be informed of the vision, project timelines and the milestones achieved. This allows everyone affected to understand the expectation and their role in the process. It further reduces uncertainty and promote trust between the organization, clients and its processes. Credible communication also eliminates and declutter information shared with affected parties which might pose a risk and cause resistance to change.
7. **Training and Development plan-** When change is introduced, new skills will be required. It important that the level of development needed for the proposed change is understood and planned for to ensure the seamless transition. People affected requires to the trained on new skills.
8. **Performance management-** People performance should be managed accordingly in line with departmental performance policy. Change also requires that employees who have adapted be recognized to stimulate others to get onboard. This should be done using non-monetary schemes. Business units should be intentional to observe the level of buy in and appreciate committed employees. This will provide good culture shift for the office.
9. **Resistance Plan-** For every change, the department should be prepared for chances of resistance and this is linked to risks management. A plan of how to manage the resistance is importance to eliminate delays in projects. Involvement through consultation of Labour bodies (Bargaining Council) is critical to the issues of managing organisational change and is in-cooperated.
10. **Financial Commitment-** The approval from the Project Sponsor (HOD) or Head of Branch concerned in terms of the budget available to do this proposed nosipho change.

The Checklist will serve as an accountability document for monitoring and evaluation purposes. It will also be used to track progress and reporting to TMM.

The approved change management policy framework is available from the Directorate Organisational Development. The necessary capacitation is done by the concern directorate to ensure everyone fully understand the policy framework.