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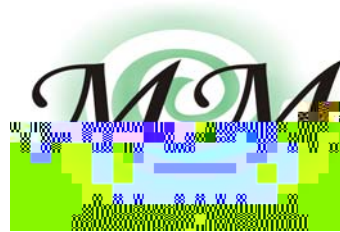
**FINAL**

**REPORT ON IUCN-SA OFFICE**

**PREPARED BY: MANTO MANAGEMENT**

**JUNE 2002**

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## **ACKNOWLEDGEMENTS**

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## **SECTION ONE: BACKGROUND AND METHODOLOGY**

### **1.1 BACKGROUND**

The IUCN-SA office was established in 1998 as a branch of the regional office based in Harare. The IUCN-SA programme is guided by the agenda set at the World Congress and adapted by ROSA for the Southern Africa region. The SA programme is developed within the ROSA programme for Southern Africa.

The IUCN-SA office has developed activities and programmes to enhance the work of its members and partners. The membership in SA is diverse and consists of approximately 20 organisations, from both the NGO and government sectors.

The mission of the IUCN in Southern Africa “is to facilitate and strengthen an integrated approach for the sustainable and equitable use of natural resources and the conservation of biological diversity. Since the establishment of the IUCN-SA office, the following broad objectives were identified to guide its work. These included:

- § The facilitation of information exchange between members;
- § The establishment of links between the SA members, the regional office and the various IUCN commissions;
- § The facilitation of capacity building;
- § The facilitation of fora to allow members an opportunity to provide input into the regional and national databases;
- § Facilitation of capacity building amongst partner NGOs and institutions - in particular previously disadvantaged sectors of the country.

It was further established that the IUCN-SA office would be involved with a number of programmes and projects within the area of conservation and development.

The IUCN-SA office has been in existence for approximately four years and has grown from a staff of three to a staff compliment of approximately 20 staff. The organisation is at a point where it needs to review its performance against its mission, strategic objectives, its growth strategy and the contribution towards the regional and global IUCN programme. In view of this an organisational assessment was requested.

Manto Management was invited to submit a proposal to undertake an organisational review of the IUCN-SA office. Details of the approach and methodology utilised for the organisational assessment are outlined below.

## **1.2 OUR APPROACH TO AN ORGANISATIONAL ASSESSMENT**

### **1.2.1 INTRODUCTION**

Leading researchers, academics and development theorists agree that the creation of effectively performing institutions is central to a country's development. The phrase "*institutional capacity development*" is used to capture the intent of a wide assortment of strategies used to help strengthen institutions.<sup>1</sup> It is widely believed that through building institutional capacity, both partner institutions and the international donor community can obtain good value from investment.

While institutional capacity development is strongly assumed to be beneficial, there has been relatively little systematic analysis of institutional capacity and its growth. Organisational capacity is a complex phenomenon involving multiple variables. Both the literature on institutional capacity development and the history of evaluation practices are replete with attempts to conceptualise and measure capacity.

Institutional performance is of central importance to capacity. Generally, it is the need or desire to change performance that drives people to engage in institutional assessments. Performance can be conceived as the tip of the iceberg, the fruits of organisational capacity made visible to the outside world. In the case of IUCN-SA, these fruits are expressed as a more effective and efficient organisation as well as through the organisation's ability to change in order to remain relevant. The organisation's underlying capacity either supports or impedes its performance. Thus an examination of the performance of institutions can be used as an alert to weaknesses as well as strengths in capacity.

Any diagnostic approach must be sensitive enough to identify areas that are progressing well, and reveal capacity gaps – those institutional deficits that are restricting outputs or compromising the quality of service delivery. Such deficits might include the lack of capacity to design programmes, the lack of capacity to leverage resources, poor administrative capabilities etc.

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<sup>1</sup> See Senge, Drucker and Kotler

The aim of the model is to guide the IUCN-SA office in identifying issues and collecting information that will be helpful in devising strategies to enhance institutional capacity and performance. The process of institutional assessment advocated is one of empowerment<sup>2</sup>. The data emerging from this process will be used to make decisions regarding:

- § input required;
- § capacity building requirements;
- § necessary changes need to promote more effective and efficient functioning;
- §

The specificity of an institutions does not of itself defeat or invalidate generalisation. It does, however, necessitate the carrying out of analytical groundwork so that a proper understanding of the mission, culture and context become a lens through which performance is viewed. The approach used in this institutional assessment flowed from, and reflects the institution's own ideas and approaches to these ideas – the institutions' own way of knowing about itself.

## **DESIGN**

Because of the complexity of the concepts and issues being assessed, the underlying principle used in the design was a participatory development approach. Both qualitative and quantitative designs were used in the assessment of institutions. The most useful qualitative and quantitative designs are descriptive and analytic, incorporating elements of historical time-series analysis, case study methodology and frequently comparative analysis. These elements foster an in-depth understanding based on a solid foundation of description data.

## **DATA COLLECTION**

For the purposes of this assessment the processes used were as follows:

- § A workshop with the SA Country Programme Coordinator, the Project Manager of IUCN-SA and the Programme Director of IUCN-ROSA on the critical elements for the institutional assessment was held.
- § Data was collected from the following target groups:

Interviews with the Country Programme Coordinator and Senior Managers within IUCN-SA;

Focus group discussions with IUCN-SA Staff;

Interviews with Regional Director and Managers from IUCN-ROSA;

Interviews with NGO-Members;

Interviews with Government-Members;

Interviews with Government Partners;

Interviews with Donors.



## *Process*

- § Workshop – the rationale for facilitating a workshop with the IUCN-SA and ROSA staff was to develop an enhanced understanding of the current situation

The team interpreted the assessment data collected within the framework of the tools utilised. In addition, all data was interpreted within the social, political and historical context and was screened through the institutional lens.

### **1.4.3 INSTITUTIONAL CAPACITY**

Institutional performance is underpinned by its capacity. Capacity is understood as:

§

Problem-solving and decision making (defining problems, gathering data, creating alternatives, deciding on solutions, monitoring decision);

Communications (exchanging information, achieving shared understanding among organisational members;)

Monitoring and evaluation (generating data, tracking progress, making judgements about performance, utilising information, changing and improving organisation programme).

§ Assessing the strengths and weaknesses of institutional linkages:

Networks (type, number, utility, recruitment of appropriate members, co-ordination, participatory governance, management structure, technology, donor support, participation in regional programmes, cost-benefit sustainability);

Partnerships (type, nature, number, utilisation, cost-benefit, needs met sustainability);

External communications (type, nature, number, utilisation, cost-benefit, needs met).

#### **1.4.4 INSTITUTIONAL PERFORMANCE**

Every institution should attempt to meet its goals with an acceptable outlay of resources while ensuring sustainability over the long term. Good performance means the work is done effectively, efficiently and remains relevant to stakeholders. The following issues were raised:

§ How effective was the institution in moving toward fulfilment of its mission?

§ Has the institution maintained its relevance over time?

## **SECTION TWO: FINDINGS – GOVERNANCE AND STRATEGY**

### **2.1 INTRODUCTION**

All organisations are defined by their purpose. The purpose is usually the expression and development of value. Governance represents the means by which direction and control are applied to stewardship of an organisation's assets – tangible and intangible, financial and non-financial – in the pursuit and delivery of the primary objective of sustainable value creation. It is essentially a function of leadership and direction within the organisation; appropriate risk management and control over its activities; and the manner in which meaningful disclosure relating to its activities is made to stakeholders.

The importance of good governance is widely recognised internationally, a factor driven by the requirements of the global economy. Globalisation brings with it the requirement for alignment of organisational standards, in terms of transparency, accountability and an integrated, stakeholder-inclusive approach to economic, social and environmental stewardship.

The drive for improved standards of good governance essentially comes from two sources: the markets and society in general. The most appropriate for the IUCN context is civil society. There is a growing weight of expectation on organisations to operate as good governance entities. This is because of the influence they exercise on the lives of so many individuals. Each organisation is the sum of its stakeholders, such as members, employees, stakeholders and communities within which it operates. It depends on them individually and collectively for the goodwill required to sustain its operations. Maintaining the appropriate balance between the sometimes-conflicting interests of different stakeholders in the overall interest of the organisation is a fundamental challenge.

The King Report 2002 on Corporate Governance for South Africa attempts to keep standards of governance applicable in South Africa current with changing circumstances, both internationally and at national level. The King Report emphasises the importance of striking a balance between performance, i.e. decisions and actions designed to ensure creation, protection and conformance. This is the demonstrable adherence to due process in coming to such decisions and taking actions. In an organisation this means that the exercise of managements skills, expertise and flair in running organisational operations and creating value

should be encouraged, but must be subject to appropriate checks and balances to ensure that management is, at all times, acting in the interests of the organisation and its stakeholders.

The assessment of governance within IUCN-SA is undertaken within this context as well as with reference to the statutes and regulations.

## **2.2 GOVERNANCE: PROGRAMME AND STRATEGY**

This section evaluates the governance over the SA office operations and

The Programme Development Committee (PDC) at ROSA also provides a form of governance with regard to the development, initiation and securing of projects with the SA office. The PDC's responsibilities involve reviewing proposed projects and initiatives that ROSA and the IUCN-SA intends undertaking. Their responsibilities involve ensuring that (See Programme Development Guidelines):

- § There is a central understanding of all major project initiatives;
- § Concepts and proposals are targeted as effectively as possible towards attaining the objectives and addressing the priorities set out in the Strategic Plan,

## 2.2.2 STRENGTHS

The governance strengths identified in respect of the IUCN-SA Programme are:

- § Since the appointment of the Financial Manager, internal financial governance has been improved and now operates, for the most part within the key guidelines prescribed by ROSA and HQ.
- § There is an informal level of authority regarding the management and execution of projects. Project Managers have an informal authority over their project budgets (i.e. in line with agreed budgeted line items defined for the project) and execution of the project.
- § The SMG appointed has as its main function the support of the SA Country Co-ordinator in the management of the SA office. This provides a mechanism for staff to participate in decisions, as well as a forum to understand the long term strategic and operational objectives and goals.

## 2.2.3 WEAKNESSES AND IMPLICATIONS

Weaknesses	Implications
§ There is a lack of any formal delegation of Authority from the Director of ROSA to the SA Country Programme Co-ordinator. (The review team is not aware of any such delegation of authority or documentation that supports the delegation of authority. This despite much effort to establish such delegation).	
§ There is a lack of clarity regarding the level of authority that resides with the Country Programme Co-ordinator.	
§ As there has been no formal programme or strategy that the SA office was guided by in making decisions, there is a lack of clarity on whether the current strategy and programme implemented by the SA office has the formal approval and support of the ROSA Director. (There is, however, an indication that the Director of ROSA would like to see specific changes in the way the SA office operates – in particular programming and member engagement).	
§ There is a lack of cla	



<b>Weaknesses</b>	<b>Implications</b>
§ Currently, there is no formal delegation of authority within the IUCN-SA office.	
§ The SA Coun	

## 2.3 IUCN-SA PROGRAMME AND OPERATIONAL STRATEGY – PROGRAMME DEVELOPMENT

IUCN-ROSA undertakes an extensive process to develop the regional quadrennial plan and programme with: a vision, a mission, themes, objectives and key result areas (KRAs). This process contextualises the HQ defined objectives, key result, specific issues and priorities areas for the region. The last quadrennial planning process included participation by country and regional members and commissions, including the IUCN-SA Country Programme Co-ordinator and SA members. The latest Quadrennial Plan covers the period 2001 to 2004.

The quadrennial objectives and KRAs are operationalised through annual plans that detail specific and achievable results. It is understood that the country offices, which report to the regional office of the IUCN, adapt the regional quadrennial programme and plan to focus their activities around themes, objectives and KRAs relevant to their country's national priorities.

This section of the report assesses the IUCN-SA Programme and Operational Strategy. The emphasis is on:

- § How the SA office develops its programme that aligns it to the regional quadrennial plan and programme, whilst considering the SA context including: government priorities; donors' focus; and other stakeholders (in particular members);
- § The current programme being used within the IUCN-SA Office;
- § The operations strategy used to implement the SA programme and the sustainability of SA office, in line with its overall strategy;
- § The SA office's strategy towards members;
- § An alignment of the SA office organisation structure to the strategy and programme.

## CURRENT SITUATION



Weaknesses	Implications
	<p>There is no mechanism in place to share information about the external environment (government's plans, donors focus, etc.) with internal stakeholders such as staff and ROSA.</p> <p>Furthermore, there is no strategy to customise the regional programme and plan to the South African context. This poses a risk to continuity, as many internal stakeholders are not aware of the local context, and market.</p> <p>There is no opportunity for internal stakeholders such as staff and ROSA to understand the rationale for a strategy or programme that the Country Programme Co-ordinator adopts.</p> <p><b>There is also no process in place to obtain buy-in from local members, into activities and plans that IUCN-SA would like to implement</b></p>

- § Apart from the Annual Plan that has been retrofitted there has been no formal documentation of the IUCN-SA programme.
- § IUCN-SA lacks clarity regarding the objectives and components of the ROSA Quadrennial Plan that it wants to focus on within the South African context and priorities. The latter also holds true with regards to donors working within the conservation and development sector within SA.

- § The implications of not having a well documented and communicated programme or strategy that all internal and external stakeholders (ROSA, members and staff) are aware of, are as follows:
  - There is no opportunity to demonstrate alignment with the regional programme and plan. This has led to the perception that there is minimal alignment to the ROSA Quadrennial Plan

	<p>IUCN-SA activities are seen as being opportunistic and not contributing towards achieving the regional mandate.</p> <p>§ IUCN-SA is very dependent on the current Country Programme Co-ordinator, who has a detailed understanding of the SA and donor priorities as well as the contacts and relationships that sustains and continually informs priorities and opportunities. This poses a risk to the long-term sustainability of IUCN-SA.</p>
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The current programme / plan is largely focused on existing/planned project activities, having been recently retrofitted, and covers the period 2002.

The following table is a summary of the SA projects reflected against the ROSA Quadrennial Plan's key result areas (KRAs):



## **STRENGTHS**

The strengths identified include:

- § The current project portfolio is, to an appreciable extent, consistent with the identified global and regional result areas.

NOTE that, as there was no opportunity to interview DEAT or other relevant government departments or agencies, it was not possible to obtain a view on the alignment of IUCN-SA's activities and programme with regard to government priorities. However, it must be noted that the Department of Environmen



Weaknesses	Implications
<p>§ The Annual Plan is incomplete and inadequate as a strategy / programme document for the IUCN-SA office. The plan is more of a work-plan than a framework or strategy. E.g. under the KRA: "Funding for the SA country office secured", the activity for 2002 is "that a fund raising strategy is developed". No information is provided about the fund raising strategy for 2002. It is evident that these strategies, approaches and the related detailed actions for 2002 still need to be developed.</p> <p>§ There is relatively little analysis of the South African context in terms of:</p> <ul style="list-style-type: none"> <li>Government priorities;</li> <li>Donor's priorities for the country;</li> <li>Priority themes;</li> <li>The National Committee or local members focus, skills, and priorities;</li> <li>Other projects and work within the sector.</li> </ul> <p>§ Hence, there is little argument as to why the specific annual results are chosen and why the specific activities will best lead to the required result.</p> <p>§ There is also no discussion on alternative approaches / activities that could be used to achieve the required results. There are no arguments for why the specific activities were chosen or why others were rejected.</p>	<p>§ The SA Office Strategy (such as marketing, fund-raising, project staffing) is not articulated and there is, therefore, no guidance as to how the office will sustain itself while contributing to regional and country objectives.</p> <p>§ The strategies will only be implemented during 2002.</p> <p>§ Without an analysis of these areas, IUCN-SA is unable to describe how it intends to be successful within SA and in contributing to the objectives of ROSA and HQ.</p> <p>§ The programme / plan should provide a framework for management to make decisions, especially when decisions need to be balanced against available resources.</p>
<p>§ There is no discussion/quantification of the impact of the programme / plan on IUCN's income/costs/bottom line.</p> <p>§ With no linkage to financial resourcing, there is also no prioritisation of activities and results.</p> <p>§ The plan provides no guidance beyond 2002.</p>	<p>§ IUCN-SA would not be able to adequately resource the projects as there is no effective planning process in place. This could result in existing resources being over committed or because of a crisis situation inappropriate personnel are recruited</p>

<b>Weaknesses</b>	<b>Implications</b>
<p>§ Whilst there is an emphasis on institutional and policy issues, there is not enough effort in analysing cutting edge technical and practically applied E &amp; NRM issues. There is a programming imbalance between practice and policy.</p>	<p>§ Although current projects implemented within IUCN-SA are responding to a need within the South African context there is a need to support policy and institutional pronouncements and promulgation with demonstrated benefits on</p>
<p>§ The majority of projects have little to do with the practical application of natural resource management on the ground. Most activities are presented as workshops, drafting of policy or elements, formulation of concepts for development options etc. rather than practical demonstrations and application of E &amp; NRM management tools, methodologies and principles.</p>	

Weaknesses	Implications
<p>§ While there has been a lack of a formal programme and plan, there is a lack of communication around the SA office themes, programme areas and KRAs to stakeholders in SA. Many of the interviewees (members, partners, and staff) were not aware of IUCN-SA's programme areas, themes, or result areas.</p>	<p>§ Stakeholders, including staff are unaware of any long-term programme within the office or contributions these programmes might have to the regional agenda.</p>
<p>§ Acronyms such as "... implementation of WC/WDM by CMA's and WSIs in IWRM" in the SA Annual Plan are used without a glossary of terms.</p>	<p>§ Without a glossary of terms, technical acronyms do not make the document readable beyond technical staff and stakeholders.</p>

## 2.4 OPERATIONS STRATEGY AND SUSTAINABILITY

### CURRENT SITUATION

There is no formal documented operational strategy that guides the SA office in delivering against the ROSA vision and mission, objectives and KRAs. However, the Country Programme Co-ordinator to date has been able to guide the SA office, achieving success with clients and donors whilst simultaneously funding the SA office. In doing so the Country Programme Co-ordinator has adopted a scope of services to balance the tension between bottom-line sustainability and meeting the

- § There was a need for some consulting service within the conservation sector, with consulting enabling financial sustainability in the early stages of setting up the office;
- § There was a need to establish a diversified source of funds, through catering for some of the different needs in the sector, within areas consistent with IUCN's foci;
- § The initial phase of setting up an office in SA required developing a track record and profile within the sector, through emphasizing it's capability of providing a quality service.

## **STRENGTHS**

The strengths identified in respect of the operations strategy and sustainability is a

## WEAKNESSES

Weaknesses	Recommendations
<p>§ The operations strategy adopted by IUCN-SA is informal and, therefore, lacks clarity with respect to how the SA is to be guided in its implementation programme.</p>	<p>The operations strategy for the implementation, taking into account the SA context, should be attempted that may result in there may be a lack of resources to execute and deliver projects, which may impact the overall success.</p>
<p>§ There is no formal funding strategy plan. The current annual plan is a budget plan.</p>	<p></p>
<p>§ There is no marketing and communication plan (incorporating some engagement plans) that focuses the office around programme areas, required KRAs, key projects, funding requirements, and other stakeholders.</p>	<p></p>
<p>§ There is no resourcing strategy that considers the required resources to achieve the annual and longer-term plans.</p>	<p></p>
<p>§ In some instances the implementation activities are inadequate as a programme implementation strategy / approach. For example, it does not discuss what partnering will be used, what collaboration will be required, how short-term consultants may be used to address particular gaps.</p>	<p></p>
<p>§ This, however, follows from the fact that formal programming occurred in the past with a lack of a documented and comprehensive situational analysis.</p>	<p></p>
<p>§ The Country Programme Co-ordinator is the centre / driver of IUCN-SA with minimal input from the SMG.</p>	<p></p>
<p>§ Many of the interviewees (donors, partners, members and staff) have recognized the Country Programme Co-ordinator as the key to IUCN-SA's success – "his" choice of project managers, "his" technical expertise, and "his" network.</p>	<p></p>
<p>§ There is a lack of succession planning. In addition, there is no mechanism in place that would facilitate leveragi</p>	<p></p>

Weaknesses	Implications
<p>§ IUCN-SA's consulting-oriented assignments takes it away from its core focus</p> <p>§ ROSA, members and staff indicated that they viewed half of the SA activities as being consulting-oriented, and did not fit in with what IUCN-SA should be doing. They did not provide any strategic direction to the role that IUCN should be playing in the future.</p> <p>§ Fifty percent of the staff felt that the consulting assignments placed time demands on staff and the Country Programme Co-ordinator that could not always be met (possibly if they were met, it would have taken time away from other core projects).</p> <p>§ Sixty five percent of ROSA interviewees were of the opinion that the nature of the short consulting assignments provides risk to the long-term sustainability of the SA office. ROSA staff believed that the projects developed along the programme provided opportunities for much longer-term projects</p>	<p>§ The consulting-oriented work is not regarded as the core focus of IUCN, and takes IUCN-SA staff away from the programme activities, which form part of the objectives and results that IUCN needs to deliver against.</p> <p>§ Furthermore, it also perpetuates the notion that IUCN-SA is competing with the local members, who may be aligned to, and capable of, delivering the related consulting assignments.</p>

While some partners indicated that they obtained a strategic leverage through IUCN-SA with regard to consulting assignments jointly proposed, there was difficulty with the Country Programme Co-ordinator making himself available for related tasks when it was awarded

If the presence of the Country Programme Coordinator is not felt, the client and thee rammrammce

In respect to the engagement and participation of members and the National Committee, the following statutes and regulations provide some guidance:

§ The Statutes of 5 October 1948, revised on 22 October 1996, Part VII, 71(c) indicates that the National and Regional Committees:

“Shall work in partnership with the Secretariat and the Commissions to formulate, coordinate and implement the programme of IUCN within their State or Region.”

§ The Regulations revised on 22 October 1996, Part VI, 68 indicates:

“The Director General shall nominate a Secretariat official responsible for liaison with each Committee and shall:

- (a) Keep the Committee informed of IUCN activities;
- (b) Consult the Committee on applications for IUCN membership, on mechanisms for participation in the IUCN programme and the implementation of the decisions of the World Congress relevant to that State or Region;
- (c) Involve the Committee in preparations for sessions of the World Congress, regional meetings and other important events;
- (d) Consult with the Committee about developments of IUCN initiatives in its State or Region;
- (e) Inform the Committee when IUCN has been consulted on issues of importance to the State or Region; and
- (f) Inform committees as appropriate of forthcoming official visits by officers and senior staff of IUCN.”

§ The Regulations revised on 22 October 1996, Part VI, 67 (h) indicates that the Committees recognized by the Council may:

“Participate in the formulation of the IUCN programme for their respective State or Region;”

§ The Statutes of 5 October 1948, revised on 22 October 1996, Part VII, 66 indicates:

“ Members of IUCN within a State, a Region or part of a Region may organize committees restricted to members of IUCN or their representatives to facilitate cooperation among members, coordination of the components of IUCN, and participation of members in the programme and governance of IUCN. ...”

## STRENGTHS

Efforts made by IUCN-SA to inform members through presentations at the semi-annual meetings of the National Committee is an attempt by IUCN-SA's to engage members in the SA Programme.

## WEAKNESSES

Weaknesses	Implications
§ There is a lack of clarity on the role and relationship of the National Committee or members with respect to IUCN-SA.	
§ Members are unclear as to the role of IUCN-SA's office and how the National Committ	



<b>Weaknesses</b>	<b>Implications</b>
§ All members interviewed felt that there needs to be a greater level of engagement between IUCN-SA and members. All members	

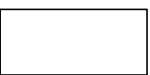
## ORGANISATION STRUCTURE

The following diagram describes  
office:

Current Organisation Structure



Ardee



## STRENGTHS

The main strength of the current organogram is that the structure is not very hierarchical in that there are only 2 levels of reporting. This is appropriate for a small organisation.

## WEAKNESSES

Weaknesses	Implications
<p>§ With the growth of the office, increased number of projects, and the fact that most marketing, fund-raising and communications is performed by the Country Programme Co-ordinator himself, there is insufficient time to effectively manage all the direct projects.</p>	<p>§ Ineffective management of staff within the SA office.</p>
<p>§ There is no indication that the structure is based on an understanding of the overall programme and priorities of the SA office.</p>	<p>§ The structure, roles and skills may not be aligned to the required programme and long-term operational strategy of the SA office.</p>
<p>§ Key long-term sustainability roles (such as fund raising, marketing, external stakeholder communication, and government relationship management) are being performed mainly by the Country Programme Co-ordinator.</p>	<p>§ This poses a risk to the long-term sustainability of the SA office.</p>
<p>§ While an organisation structure exists, there is a lack formal delegation of authority to the Country Programme Co-ordinator's direct reports</p>	
<p>§ The Country Programme Co-ordinator has taken some decisions, with inadequate consultation/ discussion with staff members that have been informally delegated a responsibility.</p>	
<p>§ Without a formal level of delegated authority and an appropriate performance management system, members of the SMG are not empowered to execute against some of the 46i execute</p>	

## **SECTION THREE: FINDINGS – HUMAN RESOURCE MANAGEMENT**

### **3.1 INTRODUCTION**

Strategic Human Resource activities address a broad range of issues relevant to the successful formulation and implementation of organisational programmes and plans. The focus of Human Resource Management (HRM) is on increasing organisational effectiveness and the satisfaction of individual employee needs. Human Resource policies and procedures should strive to achieve both within any organisation. A number of critical issues face organisations and their managers. These include:

- § Improving worker productivity through HR programmes, policies and techniques;
- § Increasing the quality of work life through programmes such the redesign of jobs.

The main thrust of HRM within an organisation is as follows:

- § Job design and analysis;
- § Recruitment and selection of staff;
- § Induction and internal staffing;
- § Appraisal, training and development;
- § Compensation and labour relations.

The above is achieved through creating policies, developing guidelines for managers and controlling activities to ensure that employment legislation and HR policies are being followed.

Assessment of the Human Resource domain has been undertaken within this context.

### 3.2 STAFF MANAGEMENT (CONDITIONS OF SERVICE)

#### 3.2.1 COMPARATIVE ANALYSIS ACROSS THE POLICIES, PROCEDURES AND LEGISLATION

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Contract administration	Staff members	<p>Contracts must comply with local laws and IUCN Staff Rules.</p> <p>Any promotion or reassignment to a new post and/or duty station shall be confirmed in writing either as a new contract or a contract amendment.</p>	No guidelines presented	No guidelines presented
	Temporary personnel	<p>All obligations and entitlements must be specified</p> <p>Refer to appropriate staff rules and local conditions of service</p> <p>Refer to Conditions of Employment, (Obligations of Staff Members)</p>	No guidelines presented	For the purpono22 0.2423 645.8586P625

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Contract administration	Consultants	<p>The services of consultants are governed exclusively by the terms and conditions set out in the agreement and all obligations and entitlements shall be specified in the contract.</p> <p>Consultancy contracts must include:</p> <ul style="list-style-type: none"> <li>○ Reference to IUCN Staff Rules – Obligations of Staff members;</li> <li>○ Parties involved;</li> <li>○ Duration of the contract;</li> <li>○ Duties of the consultant;</li> <li>○ Remuneration;</li> <li>○ Issues around health status and insurance;</li> <li>○ Payment of travel expenses;</li> <li>○ Modification to the contract;</li> <li>○ Payment currency;</li> <li>○ Deliverables;</li> <li>○ Termination clause;</li> <li>○ Signatures.</li> </ul>	No guidelines presented	No guidelines presented
Contract administration	Interns	<p>In cases where interns are not nationals of the duty station or holders of valid permits HRMG will assist the interns in obtaining the necessary permit for entry to and stay at the duty station. Interns will require a valid work permit or equivalent, as specified in local legislation, before entry into the country. HRMG will process all necessary paperwork and inform the intern once the permit has been approved.</p> <p>Appropriate notice time is required.</p> <p>Every effort will be made by HRMG to assist the intern in finding suitable housing for the internship period.</p>	No guidelines presented	No guidelines presented



DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Contract Administration	Volunteers	<p>Volunteers shall always work under the supervision of a staff member and should never have responsibility or access to any kind of sensitive information.</p> <p>Volunteers will be asked to provide essential information such as address, citizenship, work permit, insurance, health considerations, and names of persons to be contacted in case of emergency.</p> <p>The spouse or children of a staff member may be accepted as a volunteer provided that he or she is fully qualified for the assignment and is in no way under the line of authority of the staff member.</p> <p>IUCN does not accept any liability for acts of third parties, accident, sickness or losses of any kind, however caused, arising in the course of or from the performance of the volunteer's work. Volunteers shall be obliged to be insured in a medical and accident scheme to cover such risks and contingencies. This shall be specified in the written agreement with the volunteer.</p> <p>Volunteers carry out their assignments according to the schedule of working hours agreed with the line manager. Due to the nature of the appointment, a volunteer is not entitled to annual leave. However, any time-off should be agreed between the volunteer and the manager concerned.</p> <p>Volunteers should inform his/her supervisor in case of illness or other circumstances that might prevent them from maintaining their agreed schedule of working hours.</p> <p>Training of volunteers will generally be in the form of on-the-job training. In addition, volunteers will be invited to join orientation courses or selective information sessions concerning the programme work of IUCN and may attend staff meetings as observers.</p>	No guidelines presented	No guidelines presented



DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Contract Administration	Staff seconded from other organisations	<p>There is no contractual relationship between IUCN and the seconded staff.            Seconded staff must remain on the releasing organization's payroll.            Seconded staff must adhere to their own organization's staff rules.            Financial disbursements should only be made from IUCN to the releasing organisation or vice versa, within the terms of the agreement.            Salary payments must be done by the releasing organisation.            Benefits are managed by the releasing organisation.            IUCN will administer leave, travel on duty (including reimbursements), visas, work permits as well as installation and repatriation procedures. The responsibilities to cover these costs must be clearly specified in the letter of agreement.</p>	No guidelines presented	No guidelines presented
	Junior Professional	<p>There is a contractual relationship between IUCN and the JPO under a fixed term contract.            JPO's adhere to IUCN's staff rules and regulations.            Financial disbursements should only be made from the sponsoring government to IUCN, within the terms of the agreement.            Some benefits may be managed according to what is specified in the letter of agreement.            JPO's must be under medical, life and accident insurance. HRMG will make sure the coverage is adequate for the duty station. If there is a need to take additional coverage, the arrangements and responsibilities to cover such costs have to be included in the letter of agreement.            HRMG will make sure that all arrangements for visa and work permits, if necessary, are completed before starting the assignment.            JPO's may be suspended from duty in ju</p>		

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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Conditions of Employment	Office Hours	Normal office hours shall be specified in the applicable Conditions of Service. Opportunities for job-sharing or part-time work shall be encouraged and whenever possible provided if the exigencies, duties and responsibilities of a post can be fully met through the implementation of such arrangements	Normal and official working hours are 40 hours per week. This includes all weekdays other than weekends and any public holidays. A normal working day shall be eight hours long starting from 08:00h to 16.30h with one hour lunch break between 13:00h and 14:00h	An employer may not require or permit an employee to work more than: 45 hours in any week; 9 hours in a day if the employee works for 5 days or

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
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Conditions of Relocation  
Employment

The Director General shall give not less than three months' notice of any relocation of staff from Headquarters or any other duty station within a country or between countries, and sh0

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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Professional Conduct	Outside activities	<p>Staff members shall require no approval for outside activities that meet the following minimum conditions:</p> <ul style="list-style-type: none"> <li>They are compatible with behaviour appropriate to his/her employment with IUCN;</li> <li>They do not interfere with the work of the staff member, nor with his/her ability to accept any new assignment which management require the staff member to assume;</li> <li>They are neither continuous nor recurring, or they take place outside working hours or while the staff member is on leave;</li> </ul> <p>Approval is required for activities that don't meet the above minimal conditions. For approval, the staff member should submit a written request to his/her manager containing a full description of: the nature of the activity, location and duration of the activity, compensation to be received, and any other pertinent information;</p> <p>Management shall inform the staff member of the decision, normally within one week of receiving the request. If the request is rejected, the staff member is informed of the reasons;</p> <p>No outside activity is to take place within working hours. If the request for outside activities is approved, this approval can be considered as a basis for granting special leave with or without pay, as appropriate, if such leave is necessary for the conduct of the outside activity;</p> <p>For approved requests to perform outside activities that involve participation in forums, staff members are still expecte</p>		

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
General employment procedures	Emergency and evacuation	No guidelines presented.	No guidelines presented.	No guidelines presented.
	Employment of family members	No guidelines presented.	No guidelines presented.	No guidelines presented.
	Secondment or loan of Staff members	No guidelines presented.	No guidelines presented.	No guidelines presented.
	Personal loans	No guidelines presented.	No guidelines presented.	No guidelines presented.
	Staff relocation and transfer	No guidelines presented.	No guidelines presented.	No guidelines presented.
	Miscellaneous Notice Period	No guidelines presented. The notice period is specified in the applicable Conditions of Service and/or letter of appointment. In the case of resignation by a staff member, the head of the duty station shall have the authority to require the staff member concerned to work the full notice period. A staff member may request, in the case of termination by IUCN, a reduction of the notice period without pay.	No guidelines presented. 1 Month's notice or the forfeiture of a month's salary in lieu of resignation.	No guidelines presented.
End of service				

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
End of Service	Obligations of staff members at end of service	<p>At the end of service, a staff member shall return to IUCN any material, equipment, documentation, official papers, reference works, whether in printed or electronic form, and computer programmes belonging to IUCN in his/her custody, and all keys provided by IUCN.</p> <p>IUCN is inherently the copyright owner of any unpublished data and documentation which any staff member or consultant may have gathered, reviewed and/or analysed on behalf of IUCN and in IUCN-contracted time. The staff member shall undertake not to use such data or documentation in publications or lectures or in the service of another employer without giving due credit to their origin and to IUCN and shall inform the Director General when so doing.</p>	No guidelines presented.	No guidelines presented.
	Expiry of Contract	No guidelines presented.	<p>Unless a contract is either renewed or extended, a contracted staff member's contract shall cease on the last day of the contract.</p> <p>Renewal will be based on satisfactory performance.</p> <p>Senior staff members may be</p>	No guidelines presented.
	Voluntary Resignation	No guidelines presented.		



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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
End of Service	Obligations of the employer at end of service	No guidelines presented.	No guidelines presented.	<p>On termination of employment an employee is entitled to a certificate of service stating-</p> <ul style="list-style-type: none"> <li>The employee's full name</li> <li>The name and address of the employer;</li> <li>A description of any council or sectoral employment standard by which the employer's business is covered</li> <li>The date of commencement and date of termination of employment</li> <li>The title of the job or a brief description of the work for which the employee was employed at date of termination</li> <li>The remuneration at date of termination</li> </ul>

### 3.2.2 CURRENT SITUATION

The assessment outlined below is based on an analysis of the policies, legislation and guidelines from Head Quarters, ROSA and SA Legislation.

A Human Resources Procedure manual was produced by IUCN Head Quarters and adapted by ROSA for staff management. The Human Resources Manual is intended to outline specific human resources procedures within the framework of Staff Rules developed and the local (country specific) Conditions of Service (COS). These procedures are general rules but provide room for the inclusion of specific conditions or considerations depending on the rules and legislation prevailing at specific duty stations. Each section in the manual provides policy references, an introduction, responsibility, procedures and guidelines for the relevant HR practitioner and specific conditions and considerations. The Sections that are covered in the HQ Human Resource Manual are:

- § Selection and recruitment
- § Contract Administration
- § Salary Management
- § Benefit administration
- § Performance management
- § Professional development and training
- § Leave administration
- § Professional conduct
- § General employment procedures
- § End of service

The IUCN-ROSA conditions of service were adapted from the HR procedures



- § Loans
- § The use of IUCN vehicles
- § Separation from service
- § Consultancies
- § Training
- § Management of assets

The policies and procedures that are currently being utilised by the IUCN-SA office are a cross between the global HR procedures, the IUCN ROSA conditions of service and general HR practices that are accepted within the SA context

### **3.2.3 STRENGTHS**

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Weaknesses	Implications
<p>The mechanisms in place to facilitate the staff management function and support in terms of staff issues are not effectively implemented. Meetings at best are <i>ad hoc</i> and the roles and functions of the Senior Management Group are not clearly defined. In addition, there is no documentation regarding the devolution of powers and responsibility to the SMG.</p>	<p>The lack of appropriate management and support mechanisms for staff can result in tensions amongst staff surfacing. In addition, staff can abuse the situation, as there is not accountability framework for their actions. This can eventually lead to an ungovernable organisation.</p> <p>Without documentation that supports devolution of powers and responsibility to the SMG – in the absence of the Country Programme Coordinator, processes and decisions can become paralysed.</p>
<p>There is confusion as to who staff should engage with in matters relating to HR e.g. where they should submit their leave forms</p>	<p>The lack of clarity regarding whom should staff engage with on Human Resource issues can lead to inaccurate documentation of and management of staff. E.g. staff could take leave and not lodge the correct forms or because the system is not effectively managed may take leave without completing the necessary documentation.</p>
<p>There are no policies that outline benefits and incentives including issues related to payment of the per diems</p>	<p>Not providing staff benefits and incentives compromises loyalty of staff to the organisation. The main implication is that staff would constantly look out for other job possibilities as opposed to investing themselves within the organisation.</p>
<p>There is a lack of a formally developed performance management system. In addition, the current system that is utilised is conducted in an unsystematic <i>ad hoc</i> basis. Performance management is usually carried out on a project by project basis</p>	<p>Without a performance management system in place, the performance of staff cannot be fairly and accurately assessed. In addition, IUCN-SA have not clearly articulated performance measures in the letters of appointment, this prevents the organisation from appraising any staff. If appraisals were done it would be in contravention to the conditions governing performance management outlined in the BCEA.</p>

Although the current COS makes some reference to Grievance Procedures, these procedures are minimally utilised and ar





DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Employment Equity	Policy	IUCN is committed to ensuring employment equity in their recruitmen		

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
	Medical and accident coverage	The head of the duty station shall verify that all staff has adequate medical and accident		

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Benefit Administration	Educational allowance	The principal criterion of eligibility for an education allowance shall be that the dependant children of the		



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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Leave administration	Process	<p>A staff member wishing to take leave must get signed authorisation from his/her manager. Requests for leave should be requested at least two weeks in advance. Authorisations must be submitted to HRMG for review, filing and follow-up purposes.</p>	<p>A staff member is required to fill in a leave form. Authorisation must be granted before the leave is taken. Leave must not be applied in retrospect unless under extenuating circumstances. Only leave that has accrued may be taken.</p>	<p>No guidelines presented.</p>
	Annual leave	<p>A staff member shall be entitled to annual leave as specified in the applicable Conditions of Service and the official holidays specified in the applicable Conditions of Service. The total entitlement shall not normally exceed 35 "working" days per annum. Where local practice is to award more than the 35 it must be so advised. If a staff member is employed for less than a full calendar year, the annual leave entitlement is pro rata to the number of calendar months worked. Where an official holiday falls outside the normal working week, it shall be compensated by one extra day's leave, unless otherwise specified in the applicable Conditions of Service. When a staff member on duty travel is required to work on a day that is an official holiday specified in the applicable Conditions of Service, due to that day not being a holiday in the country visited, he or she shall be entitled to a compensatory day of leave.</p>	<p>All regular staff members shall earn a maximum of 24 working days leave, which accrues at the rate of 2 working days per month. Internationally recruited staff accrue 25 days. A maximum of 10 days may be carried over. Any leave days in excess will not be carried over and will be forfeited.</p>	<p>An employer must grant an employee at least 21 consecutive days' annual leave on full remuneration in respect of each annual leave cycle. An employee i</p>



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DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Leave Administration	Accrued Leave	<p>Maximum ten days' accrued annual leave may be carried forward from one calendar year to the next.</p> <p>Accrued annual leave is not cumulative. Accrued annual leave may only be compensated in cash at the end of service. The maximum amount that may be compensated in cash shall be specified in the applicable Conditions of Service.</p> <p>In case of redundancy or dismissal, the cash equivalent of the leave taken by the staff member in excess of the <i>pro rata temporis</i> entitlement may be deducted from the last salary payment.</p>	<p>Accrued annual leave may only be compensated in cash at the end of service. Such accrued leave that may be compensated may not exceed 35 days.</p>	<p>An employee is entitled to take leave accumulated in an annual leave cycle.</p>
	Other	<p>No guidelines presented.</p>	<p>All staff members are entitled to an afternoon off during each month to deal with personal business. This cannot be taken on Friday. Any afternoon not taken off cannot be accrued.</p> <p>For staff members own marriage- they make take 2 days.</p> <p>When a staff member experiences the death of spouse, own child, parent, sister, brother they are entitled to 2 days leave.</p>	<p>An employer must grant an employee, during each annual leave cycle, at the request of the employee, three days' paid leave, which the employee is entitled to take when the employee's child is born when the employee's child is sick or in the event of the death of the employee's spouse or life partner or the employee's parent, adoptive parent, grandparent, child, adopted child, grandchild or sibling.</p>

### 3.3.2 Current Status

The assessment outlined below is based on the analysis of the comparative table on policies, procedures and legislation.

Currently staff members are appointed on a fixed term contract. IUCN-SA utilises a skills match process in conjunction with a good working relationship in recruiting staff and consultants. The recruitment is based on referrals and previous working relationship with the individuals. On appointment, staff members are issued with a letter of appointment and attached to this letter of appointment are the following details:

- § The title of the post;
- § The duty station to which the staff member is appointed to;
- § The date on which the staff member will be required to take up his/her duties;
- § The period of the appointment;
- § The hours of duty per week;
- § Details of any statutory deductions;
- § Terms of reference;
- § Conditions of Service shall be attached; and
- § A detail.

§ The issues around working hours are clearly stated. The COS also makes provision for a lunch hou



Weaknesses	Implications
<p>Areas that are required to be covered are not in line with the requirements as stated in Section 29 of the Basic Conditions of Employment Act. The gaps identified include:</p> <ul style="list-style-type: none"> <li>§ The letter does not say to whom the appointed employee reports to</li> <li>§ The letter reflects that contract renewal is based on performance but does not explicitly detail the performance review process;</li> <li>§ There is no explicit clause that details contributions to a retirement fund and a medical aid;</li> <li>§ Leave benefits and procedures are inconsistently applied across staff. There is no detailing of the type of leave staff can apply for or whether leave accrued on the previous contract can be carried over. Hence staff are unsure about how to apply for leave or secure leave of any kind.</li> <li>§ The sick leave benefits are not in line with Section 22 of the BCEA.</li> <li>§ The section “Ground for Dismissal” constitutes an unfair labour practice; this needs to be reviewed in terms of the BCEA and the LRA.</li> <li>§ The notice period does not indicate whether it is a calendar month or 30 days notice.</li> <li>§ The issue of the probation period is not included in the letter of appointment.</li> </ul>	<p>The non-compliance to the South African legislation places the SA office at enormous risk and can lead to charges of unfair labour practices, and the office may be liable to pay some fines.</p>
<p>There is no alignment between the working hours in the Letter of Appointment and the ROSA COS. The working hours in the Letter of Appointment does not address the issue of the required lunch break.</p> <p>The overtime-maximum limits are not stated in the COS. In addition to this, there is no alignment between the ROSA COS and the Staff Rules. The Staff Rules state that time off will be awarded for overtime worked. The ROSA COS states that some overtime will be monetarily compensated.</p>	<p>This non-alignment of leave benefits has resulted in the following:</p> <ul style="list-style-type: none"> <li>§ Leave is issued in an inconsistent and inequitable manner, i.e. some staff are entitled to certain categories of leave whilst others are not.</li> <li>§ The number of leave days are also inconsistently applied across staff i.e. the number of days allocated to staff differ.</li> </ul> <p>Staff can perceive these inequities and inconsistencies staff as “favouritism”.</p>
<p>IUCN-SA office lacks formal processes that support existing and newly appointed staff.</p>	<p>The implications of the lack of formal processes are:</p> <ul style="list-style-type: none"> <li>§ Low levels of job satisfaction;</li> <li>§ A poor level of commitment to the values and goals of the organisation;</li> <li>§ Poor relationships between senior staff and junior staff;</li> <li>§ Lack of an understanding of company policies, goals and procedures.</li> </ul>

### 3.4 FRAMEWORKS, TOOLS AND METHODOLOGIES USED TO SUPPORT STAFF MANAGEMENT

#### 3.4.1 REVIEW OF POLICY ACROSS THE DIFFERENT ENTITIES

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
	Process	Approval of appointment; Contract issuance; Induction; Probationary period.	No guidance is provided in the COS on the appointment and induction of staff	No person may employ a child-who is under 15 years of age or who is under the minimum school-leaving age in terms of any law, if this is 15 or older

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Appointment and induction	Letter of Appointment	The letter of appointment shall serve as the contract once countersigned and any promotion or reassignment shall be confirmed in writing either as a new contract or as an amendment.	The letter of appointment shall serve as the contract once countersigned.	How frequently remuneration will be paid; Any deductions to be made from the employee

DOMAIN	SUB-DOMAIN	GLOBAL HR PROCEDURES MANUAL	IUCN ROSA – CONDITIONS OF SERVICE	SAN LEGISLATION
Appointment and induction	The Induction process	<p>Payroll processing and benefit enrolment;            Introduce the employee to fellow staff;            Review the job description with the new employee and discuss performance factors;            Explain reporting and supervisory responsibilities;            Explain the organisational structure;            Give the new employee a tour of the office and any instructions pertaining to the job that may be necessary for him/her to get started.</p>	No guidelines presented.	No guidelines presented.
Appointment and induction	Obligations of the employer on induction	<p>To convey:            Employee benefits;            Taxes and deductions;            Vacations and holidays;            Human Resources Policies and Procedures;            Hours of work;            Pay procedures;            Procedures and staff responsible for providing services and facilities, i.e. office, desk, office equipment, office supplies, etc;            Transportation, parking facilities;            Safety procedures;            Procedures for reporting absences, when necessary;            Length and rules for probationary period.</p>	No guidelines presented.	No guidelines presented.

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### **3.4.2 CURRENT STATUS**

Based on the comparative information outlined in Section 3.4.1, an analysis of the current situation, the strengths and weaknesses of the current state is presented below:

The current status in respect of frameworks, tools and methodologies in place to support staff can be described as follows:

- § There is lack of documentation that clearly articulates the post classification of staff, the salary structures of staff and the process used to review staff salaries;
- § Staff are not formally given recognition and awarded for outst

### 3.4.4 WEAKNESSES AND IMPLICATIONS

Weaknesses	Implications
<p>The overall leave policy as stated in the COS is not aligned with the prevailing legislation governing legislation in SA. The gaps in this policy are:</p> <ul style="list-style-type: none"> <li>§ There is no alignment between the leave days allocated as part of the COS and the leave days allocated in the Letters of Appointment.</li> <li>§ The COS do not make allowance for the family responsibility leave as stated in Section 27 of the BCEA.</li> <li>§ The maternity leave provisions are in contravention of the BCEA. This Act makes provision for 4 months maternity leave. The COS does not make any provision for maternity leave.</li> <li>§ The sick leave benefits outlined are not phased as per the BCEA. The leave cycle runs for a 36-month period.</li> </ul>	<ul style="list-style-type: none"> <li>§ Non-compliance to the South African legislation by the IUCN-SA office places it at enormous risk and can lead to charges of unfair labour practices, and the office could be liable to pay a fine.</li> </ul>
<p>The issues around the termination of services for purposes of redundancy need to be aligned with Section 189 of the Labour Relations Act. This section of the Act defines the process that must be undertaken should an employee be dismissed for operational requirements.</p> <p>In addition to the redundancy issues, the IUCN-SA office does not make reference to the clause on “termination by the organisation” as referred to in the Code of Good Practice in Schedule 8 of the Labour Relations Act.</p>	<ul style="list-style-type: none"> <li>§ The non-alignment to South African legislation places the SA office at enormous risk and can lead to charges of unfair labour practices, and the office may be liable to pay some fines.</li> </ul>



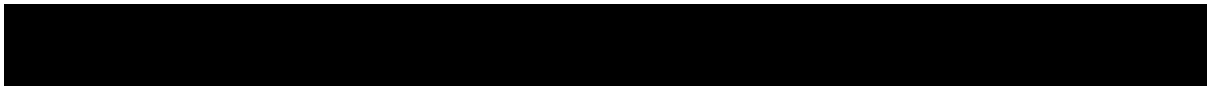


With regard to benefits, many organisations in South Africa believe that they should provide a minimum level of core benefits in order to remain competitive and to attract and retain quality skills in a skills pool that continues to diminish. Flexibility in choice of benefits is a trend. Individuals are given an opp

enables the implementation of different types of individual choice decisions, whereby employees may for instance opt to join cheaper medical aid schemes or pension funds;

- § In order to address the disparity existing between individual, IUCN-SA can adopt a process of containing higher packages and fast tracking lower packages;
- § IUCN-SA needs to develop and apply a Performance Management System in the immediate future.

Job Category	General Job Category	Current Salaries per month	50 <sup>th</sup> Percentile salaries	
			Parastatal	Private Sector
Assistant Accountant	Accountant	R14,000	* <del>R9,498</del> ** R13,479	*R10,498 **R15,176



### 3.6.4 WEAKNESSES AND IMPLICATIONS

<b>Weaknesses</b>	<b>Implications</b>
<p>The key weakness in this section is that there is no link between the COS, the Staff Rules and the Letters of Appointment. The IUCN-SA staff receive a contribution to a pension and medical aid scheme but these schemes are not part of the IUCN-SA payroll structure. There is no process to ensure that each staff members does in fact contribute to a medical aid and a retirement annuity even though an express provision for these benefits are paid as part of the package.</p> <p>The area that covers Income Tax is not relevant to the South African environment to facilitate understanding.</p> <p>The other legislated deductions are not stated in the COS and the</p>	<p>The salary packages are structured to maximize tax efficiency, i.e. the payments for medical aid and retirement are included in the salary as a tax benefit. If these deductions are not made by the IUCN-SA or by the employee, the employee will pay back against these tax benefits.</p>

## **SECTION FOUR: FINDINGS – PROJECTS**

### **4.1 SECURING PROJECTS**

#### **4.1.1 CURRENT SITUATION**

Projects are secured through open tendering processes, requests for proposals by the donors and government departments or submissions for grants to international aid organisations. The Country Programme Coordinator of the SA office is fully of fey with the developments within the respective government departments, has a good understanding of the national priorities within the conservation and development arena and is in frequent discussions with local, regional and international donor agencies where information is gathered on the main areas of focus and investment. The business intelligence gathered, together with the mechanisms outlined above, has been used to secure projects during the past four years. From an external perspective this approach appears to be mostly reactive in nature and does not necessarily support the sustainability of projects. However, the approach has been successful in generating a steady revenue stream that has allowed the organisation to increase its human resource capacity and technical skills pool.

#### **4.1.2 STRENGTHS**

The approach utilised in securing projects by IUCN-SA has a number of strengths. The identified strengths are as follows:

- § The apparent reactive approach to securing projects has required staff to be dynamic and innovative in their management and execution of the respective

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- § The approach adopted by the SA office in securing projects has created opportunities for recruiting project staff that are multi-skilled and have a wide range of experience.
- § This approach has also facilitated the utilisation of different consultants for specific areas of the project for short periods of time while keeping the core project staff for the duration of the project. The mix of skills and combination of short-term and long term project staff has ensured the success of programmes to a large extent.

#### 4.1.3 WEAKNESSES AND IMPLICATIONS

Weakness	Implication
	The Programme Development Committee (PDC) has not reviewed at least 50% of projects secured. The implications are projects do not get approval by the PDC, and Head Quarters does not allocate project numbers. The latter has a negative impact on the finab5f

## 4.2 PROJECT PLANNING FRAMEWORK

### 4.2.1 CURRENT SITUATION

Projects are planned in accordance with the terms of reference developed as part of the project documentation provided by the client to the IUCN-SA office. The SA Programme Coordinator developed a guide, which assists staff in planning, executing and managing projects. All current project staff received an induction to the guide by Country Programme Coordinator. The project manager who is responsible for the project develops the project plan. The project plan includes the time-lines, the deliverables, the cost of the deliverables and the person responsible for the deliverable. The project is monitored through the project plan.

### 4.2.2 STRENGTHS

All staff have been introduced to the project-planning guide. However, the guide provided is inconsistently utilized. This has necessitated staff to be creative and innovative, both of which are characteristics that management would surely like to nurture. The project plans generated although developed on a project-by-project basis, provides the project manager with a tool against which the progress of the project and the project deliverables can be measured. If the project plan is effectively utilised the project manager can report project outcomes in an efficient manner to the client.

### WEAKNESSES AND IMPLICATIONS

<b>Weakness</b>	<b>Implication</b>
Even though there is a guide for project planning, management and execution, the inconsistent, and in some instances non-utilisation of the guide, has resulted in project planni	The project-by-project planning although allows the project manager to measure project progress, promotes minimal planning at the programme level.

<b>Weakness</b>	<b>Implication</b>
<p>Although the Project Implementation Guide meets the minimal requirements, the guide however is not comprehensive in terms of tools and processes. For example, there are no tools in the guide to undertake quality management, risk management, monitoring and evaluation and project management.</p>	<p>If a comprehensive project implementation guide is not in place, there would be over-reliance on the skills of the project manager. This could be detrimental to the project in particular where the project managers' skills are mediocre to poor.</p>
	<p>In cases where project hand over was necessary, the project-by-project approach does not easily facilitate the continuity or a smooth project hand over.</p>
	<p>Individual project planning facilitates a silo operational approach. Projects are not viewed as part of a whole in terms of the contribution they make to the programme and the aims and vision of the organisation neither does it assist with sharing of information between projects. What it successfully does is keep staff focussed in a way that impedes collaboration, fosters unhealthy competition and creates an environment that does not support organisational learning but supports individual learning.</p>
	<p>The project-by-project planning approach creates a culture of reactive programming as opposed to proactive programming. In addition, the former approach supports retro-alignment of projects and bias towards a particular Key Result Area and Programme Objective. The ability to apply a proactive developmental strategy is also limited.</p>
<p>Even though projects are planned in terms of the time frames and deliverables, there is a lack of planning with regards to resource allocation.</p>	<p>The best skills match may not always be attained and this could impact on the delivery of the project.</p>
	<p>Resource management and monitoring is made difficult.</p>
	<p>Capacity issues arise around the support staff and the role they play in project implementation.</p>

## **4.3 PROJECT IMPLEMENTATION**

### **4.3.1 CURRENT SITUATION**

All the current projects have project managers appointed to them. These project managers are held accountable for the running and implementation of the project and make the majority of the decisions related to the project. While each project has its own individual filing system electronic documents are named according to a stipulated procedure. Staff are generally allowed to run with the project and ensure that requirements are met. Use of existing pr





delivery. The nature of some projects does not allow for monitoring and evaluation or quality assurance, as the measures are not always articulated clearly in the project plan. The staff recruited for the project implementation generally has a good mix of generic project management skills and technical skills. The skill mix ensures that the projects are implemented effectively and efficiently and the product delivered is of good quality.

#### 4.4.2 STRENGTHS

Despite the lack of a well articulated programme operational strategy and appropriate project management processes, monitoring and evaluation and quality assurance the majority of the projects are delivered in an efficient and cost effective manner to the satisfaction of the clients.

#### 4.4.3 WEAKNESSES AND IMPLICATIONS

Weaknesses	Implications
The implementation of projects is largely dependent on the skills and expertise of the project manager. There could be a danger in this particularly if the project manager or team members do not necessarily have the full skills composite.	Over dependence on the project manager to deliver projects in an effective and efficient manner with minimal supervision can put a project at risk in two ways: <ul style="list-style-type: none"> <li>§ In the event of project managers or project staff resigning, the transition can be difficult;</li> <li>§ In the event of poor project management projects can fail and negatively impact on the organisation.</li> </ul>
Although projects have an external reference team and in some instances specialists assess projects, there is no overall monitoring and evaluation framework that guides the implementation of projects.	Projects can be subjected to unfair evaluation; this can bias the project both negatively or positively.
There is a lack of optimal utilisation of project management system.	The lack of a project planning system, project designing system and proper QA/QC could mean that them being within budget and on time is just as a result of the direct intervention of the Country Programme Coordinator.
	The absence of a formal project management system also compromises the organisation in utilising a programme approach and encourages more reactive programming than proa

## 4.5. LESSONS LEARNT

### CURRENT SITUATION

Not all information and knowledge generated from the past projects has been shared. While information does exist (the framework of the final report would dictate whether or not knowledge sharing was a deliverable), it is currently very difficult to access. As a result lessons learnt cannot always be incorporated into future projects.

### WEAKNESSES AND IMPLICATIONS

<b>Weaknesses</b>	<b>Implications</b>
Lack of formal institutional framework to capture lessons.	As there is no formal framework for staff to share lessons learnt from projects, projects would continue to operate in a silo manner.
	Accessing information on projects to systematically report against the Key Result Areas and Programme Objectives is very difficult. The main implication is inadequate and inappropriate reporting at the Regional Meetings, which itself could contribute to the disjuncture between the Regional Programme and SA programme.

## SECTION FIVE: FINDINGS – COMMUNICATIONS

### 5.1 COMMUNICATION WITHIN THE SA OFFICE

#### 5.1.1 CURRENT SITUATION

A number of mechanisms to facilitate internal communication is utilised within the IUCN-SA country office. These are staff meetings, SMG meetings, electronic mail or memos from the Country Programme Coordinator. With certain projects newsletters are produced. However this is not the norm.

#### 5.1.2 STRENGTHS

Communication within the IUCN-SA office exists and has improved considerably with the institution of the staff meetings and the SMG meetings. The drafting of project-specific newsletters has facilitated the sharing of project information. Memos and the use of electronic mail have also improved internal communication.

#### 5.1.3 WEAKNESSES AND IMPLICATIONS

Weaknesses	Implications
<p>Although staff meetings are held, these are held on an <i>ad hoc</i> basis.</p>	<p>Currently there are no established forums within the IUCN-SA office to mediate and resolve grievances or issues of conflict. The staff meeting is utilised as a mechanism for sharing information and for resolving issues. If meetings are irregular and <i>ad hoc</i> there are delays in resolving issues as well as delays in disseminating information. Firstly, this results in a build-up of tension around unresolved issues as well as the perception by staff that these issues are not important and hence can be “put off”. Secondly, information intended for dissemination during the staff meeting does not get disseminated or when it does get disseminated it does so in a form that staff cannot always engage with.</p> <p>The <i>ad hoc</i> nature of staff meetings could create the perception that staff meetings aren’t that important, hence planning for these meetings and ensuring that all staff are present is not an imperative. Staff could also view these meetings as not being important and hence their participation in such meetings could be minimal or non-existent.</p>

**Weaknesses**

**Implication**

that the communication between them has improved significantly during the past six to eight months.

### **Weaknesses**

through direct communication with individual members. IUCN-SA makes two presentations annually at the National Committee meetings. The main t

<b>Weaknesses</b>	<b>Implications</b>
There is a lack of understanding of the IUCN vision, mission and programme objectives by members. This is further compounded by the absence of a dedicated strategy to work and communicate with local members.	If there is no dedicated marketing and communication strategy with

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The following high-level programme and operations strategy development framework is recommended:



### **6.1.3 PROGRAMME DEVELOPMENT**

The situational analysis should provide a foundation and argument for the SA programme, its focus, objectives, particular priority themes, and specific key result areas.

The SA office needs to then formally generate a customised SA programme that assists in addressing SA issues and priorities while balanced against the HQ and ROSA programme objectives and required results, and consider the conservation and sustainable use sector within SA. The aim is to narrow down on the result areas and being more focused in establishing synergistic linkages between themes.

The programme should be developed by the SA office with at least some level of consultation and input from key stakeholders, in particular members. The SA office should undertake a visioning exercise with its members and major partners to develop a vision and approaches to the envisaged programme, based on the situational analysis. This would:

- § Be a good starting point for consolidating the partnerships and gaining acceptance/consensus on the programme ideas and approaches to avoid conflicts of interest;
- § Also support leverage and encourage synergies with other stakeholders.

Note that the SA office should still use the quadrennial programme framework used by HQ and ROSA, in describing and articulating its programme.

### **6.1.4 OPERATIONS STRATEGY**

The SA programme and its required results and activities against which deliverables can be assessed, provides an imperative. The SA office, in consideration of the SA situational analysis, needs to determine how it will organise itself to deliver against the programme:

- § How will it raise funds for the activities and envisaged programme results?
- § How will it market itself and partners?
- § How will it communicate with key stakeholders to be

§ What staffing / resourcing strategy will be adopted (internal staff, sub-contracting, partnering, member collaboration, etc.)?

In developing its programme and operating strategy, it is recommended that IUCN-SA phase down its short term consulting oriented type of requests and release time for the development of long-term projects

### **6.1.5 Implementation Plans**

The programme and operations strategy then provides a basis for the development of action plans to deliver against the programme and to put in place structures and processes that are aligned to the operations strategy adopted. The programme and operations strategy together will form a “Business Design” for the SA office:

Once a detailed programme is developed with effective consultation of all necessary and agreed stakeholders, the SA office can then be measured against its programme and plan. The programme and plan then provides a platform for measuring the success of the SA office. This focuses the office on the programme. Hence, the office can adopt the appropriate level of consultancy to sustain itself during programme initiatives, but within a delivery and performance framework.

Furthermore, this provides a basis for the PDC to evaluate proposals submitted by the SA office within the project development cycle. The SA office, therefore, needs to continue following the Programme Development Guidelines when initiating and securing projects.

## **6.2 PROGRAMMES AND OPERATIONS STRATEGY**

Based on the move to a more focused programmatic mode of operation within the SA office, the following general programme / operational strategy recommendations are made:

- § The office undertakes a visioning exercise with its members and major partners to develop a vision and approaches to the envisaged programme:
  - ✓ This would be a good starting point for consolidating the

good record of experience on the ground could be the starting point. Building on the existing on the ground presence as in areas where the agro biodiversity project is operating.

- § The SA office should phase down the short consulting-oriented requests and release time for the development of long-term projects.

### **6.3 KNOWLEDGE MANAGEMENT**

There is a need for mechanisms and systems to manage knowledge across IUCN offices and its components (Secretariat and Commissions). This will capture:

- § Knowledge generated across the world that can be re-used and enhanced through further work of the IUCN and its components;
- § Lessons from programme implementations so that there is opportunity for continuous improvement across offices and components of IUCN.

### **6.4 GOVERNANCE**

To ensure that there is regulatory compliance and good organisational citizenship a corporate governance model may be required for country offices. Governance of a country office could entail, with the correct balance between conformance with governance constraints and performance (see KING II Report on Corporate Governance for detailed guidelines that could be applied):

- § Guiding and confirming operational strategy and programme of the country office;
- § Monitoring management in the implementation of operational strategy and programme;
- § Tracking of the Country's achievements against its own programme and plan;
- § Defining levels of authority, reserving specific power to itself and delegating other matters to management;
- § Conducting of assessments of the impact of the country's strategy and programme with regard to the perspective of internal and external stakeholders;
- § Ensuring regulatory compliance;
- § Identifying best practice across IUCN, and introducing measures to ensure that the Country office emulates these best practices;

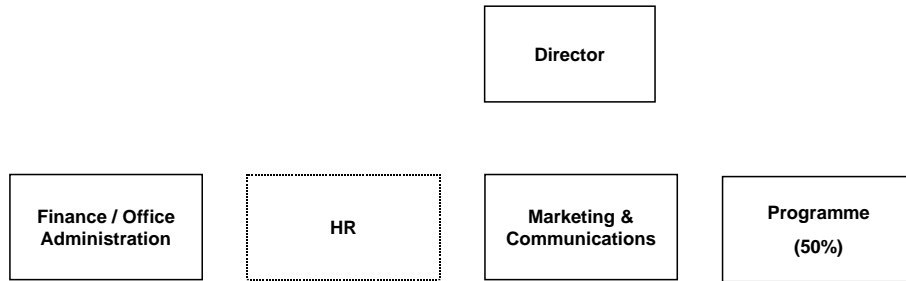
§ Ensuring that appropriate metrics, other than financial, are developed to track progress and to identify gaps;

§

## 6.5 ORGANISATIONAL STRUCTURE

The following organisation is structure is recommended to address the identified gaps with the current SA office:

Proposed Organisation Structure



- Manages Finances
- Day to day Office Administration
- Manage day – to –



It is also recommended that the Country Programme Co-ordinator undertake a development or mentoring programme to enhance his management capacity and skills.

## **6.6 MEMBERS**

The following recommendations are made with respect to members:

- § In order to ensure consistency across regional and country offices, IUCN HQ through a members' needs analysis and in alignment with the overall IUCN strategy and approach, there should be standardisation on the type of relationship, engagement, and interaction that the different decentralised offices will have with members. However, in the short term, we recommend that IUCN-SA start's providing some basic communication support to members.
- § We recommend that IUCN-SA, together with ROSA, evaluate possible administrative support and networking activities that IUCN-SA should be provided. This evaluation should cons

- § Co-ordinate combined Committee and IUCN statements on issues, or combined lobbying (e.g. Lottery funds);
- § Provide mechanisms / opportunities for interaction and debate on topics, policies and issues – a report / newsletter is not adequate in this regard;
- § IUCN-SA to be a hub or conduit for information flows between SA members and IUCN;
- § IUCN-SA to provide regular information on HQ co-ordinated programmes.

## **6.7 PROJECTS**

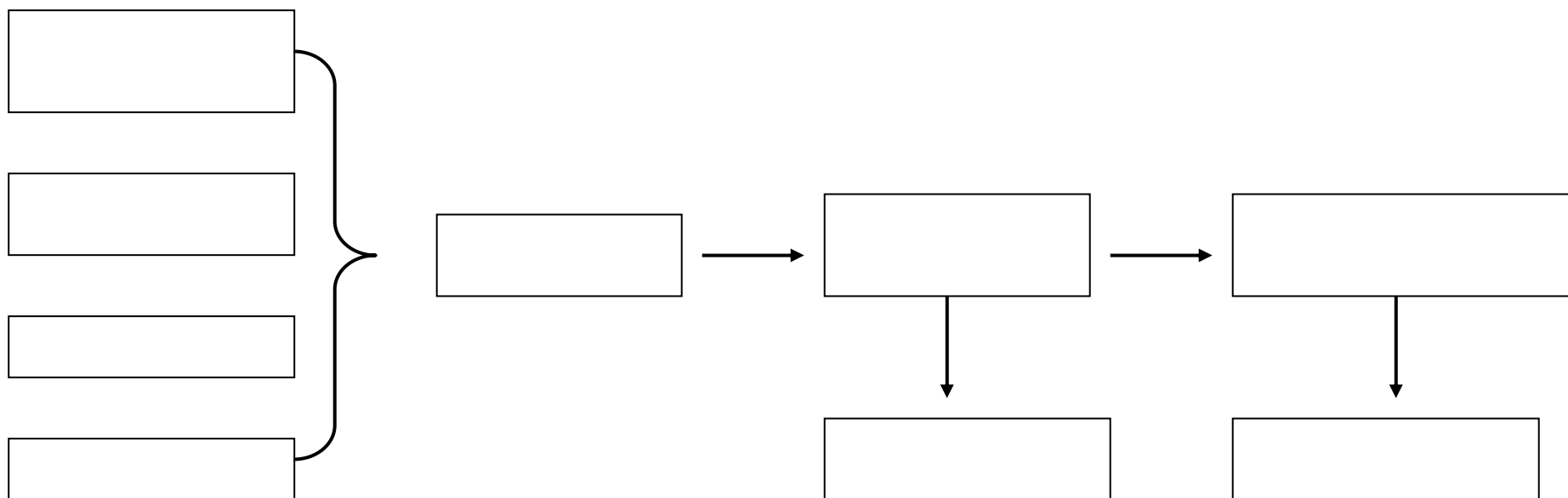
With respect to projects the following recommendations are proposed:

- § Induct all staff on the Programme Guideline and Project Implementation Guide to ensure consistent application.
- § Develop a more comprehensive Project Implementation Guide to ensure that the following tools are in place. This will cover:
  - The quality management tool;
  - Risk management tool;
  - Monitoring and evaluation framework and tool;
  - Project management tool, which includes process from inception to evaluation of projects.
- § Future projects should be secured on the basis that it contribut94 10

## **6.9 HUMAN RESOURCE MANAGEMENT**

In respect of the Human Re

- § The letter of appointment and the COS need to reflect the legislated requirements. Clarity around the IUCN-SA approach to overtime compensation needs to be defined. Staff need to understand the requirements for being



### RECOMMENDATIONS

- § **Once off development of policies and procedures for the IUCN-SA office**
- § **Continued outsourcing of payroll management and benefits administration**
- § **Day-to-day HR administration to be facilitated by the Office**

## APPENDIX A

The following list of instruments were utilised in conducting interviews during the review (Copies of instruments are available from IUCN SA):

Instrument
The IUCN staff instrument
The Financial Manager Instrument
The Director/Senior Management Group instrument
The Donor Instrument
The Short Term Consultant Instrument
Government Member instrument
Non-government Member
Non-government Organisation
ROSA instrument

Interviews were conducted with the following organisations:

Donors	Name	Date
DANCED	Peter Jonsson	30 April 2002
UNDP	Nik Sekhran	03 May 2002

Members	Name	Date
GEM	Quinton Espey	09 May 2002
DACEL	Joanne Yawitch	02 May 2002
Botanical Society	Bruce McKenzie	24 April 2002
National Botanical Institute	Chris Willis	02 May 2002
EWT	John Ledger	29 April 2002

Partners/Other	Name	Date
IOD	Steve Toppan	02 May 2002
Stewart 27/3/02 CID 60 Yemi K... CID 51 BDCBT/TT2 28/4/02 CID 57 BDCBT/TT2 1 60.9		
DWAF	Michael Singh	14 May 2002

ROSA/HQ	Name	Date DWAF DWAF
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02

<b>Documents</b>
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Water Demand Management Programme – Progress report (Sept. 2001 – Feb. 2002)
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IUCN Manual (Last Updated 24 July 1995)
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Internal Office Memos (Country Programme Co-ordinator to Staff)
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Government Gazette Vol. 427 12 January 2001 No 21972
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Newsletter from the WSSD project (25 March 2002)
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OBJECTIVES

KEY RESULT  
AREAS

Blyde River  
Catchment  
project

ABS

FTT

AGRO

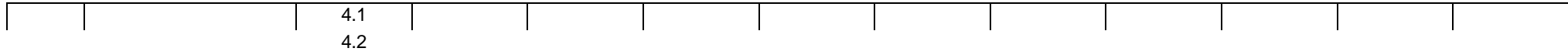
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WDM

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## APPENDIX B







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**IUCN SA: Organisational  
Assessment**

**Overview of Findings and  
Recommendations**

24 October 2002

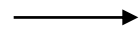
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### **There is an inadequate level of non-financial governance of the SA office, mainly due to the lack of a formal programme, operating strategy and effective reporting.**

- Lack of compliance to programme implementation governance – programme development guidelines
  - Some projects are not submitted for approval to the Programme Development Committee and are submitted after the contract is awarded.
- There is a perception that financial sustainability is the only measure for success of the SA office
  - This is supported by ROSA’s tolerance of the SA office’s non-compliance with procedures and reporting requirements in the past.
- Without a clear and documented programme and strategy and without effective reporting, it is not possible to “monitor and evaluate the implementation of strategies, policies, management performance criteria and business plans” [an element of effective corporate governance – from the King II Report on Corporate Governance].
- Lack of formal Delegation of Authority from Director: ROSA to SA Country Programme Co-ordinator
  - Lack of clarity on level of authority that resides with Country Programme Co-ordinator
- Lack of formal delegation of authority within the SA office – i.e to other staff
- Certain strategic decisions, such as the level of engagement with members, are made only by the Country Programme Co-ordinator - This would however be resolved by a formal documented programme and operational strategy that is agreed with the Director of ROSA.

- Findings



- Governance

- Programme Development

- Current Programme & Operational Strategy

- Member Engagement

- Sustainability

- Organisation Structure

- Findings and Recommendations

- Projects

- Communications

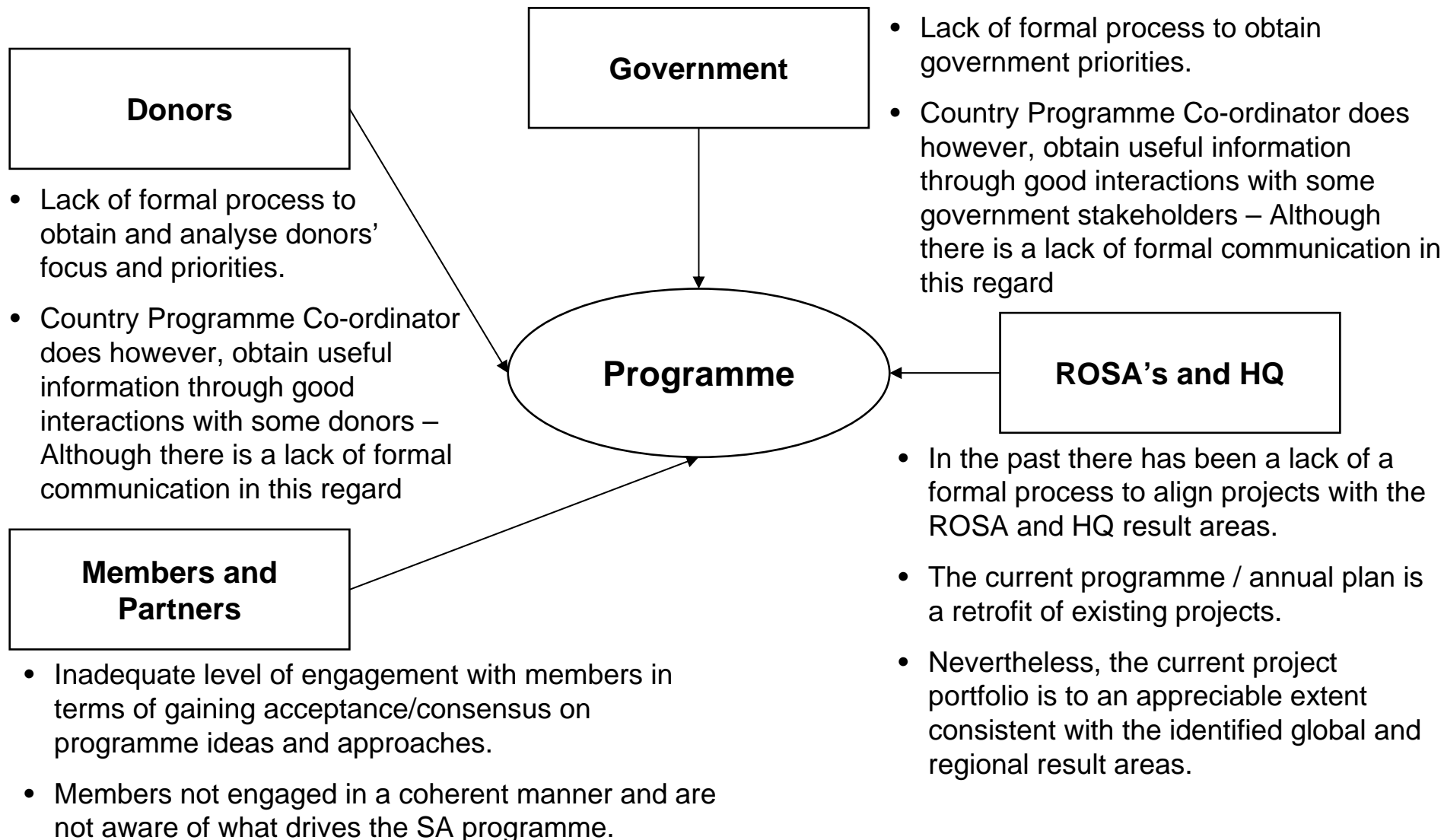
- Human Resources

- Overarching Recommendations





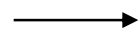
### There is a lack of a formal and comprehensive documented national situational analysis that provides a basis and argument for the SA programme and operational strategy



- Findings

- Governance

- Programme Development



- Current Programme & Operational Strategy

- Member Engagement

- Sustainability

- Organisation Structure

- Findings and Recommendations

- Projects

- Communications

- Human Resources

- Overarching Recommendations







- Findings
  - Governance
  - P



### What do the statutes and regulations say ?

#### Statutes

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- 71(c) indicates that National and Regional Committees:

“shall work in partnership with the Secretariat and the Commissions to formulate, co-ordinate and implement the programme of IUCN within their State or Region.”

- 66 indicates members of the IUCN within a State may organise committees:

“...to facilitate cooperation among members, coordination of the components of IUCN, and participation of members in

#### Regulations

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Nevertheless, the level of engagement with the members and the National Committee is poor and inadequate, both in line with the Statutes/Regulations and the expected level of participation by members interviewed.

**Programme Development**

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**Programme Communication**

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**Co-ordination and Support**

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- Some members are unclear as to the role of the SA office and what the members / National Committee's form and level of participation should be.
- While there exists the Statutes and Regulations, IUCN does not



- Findings

- Governance
- Programme Development
- Current Programme & Operational Strategy
- Member Engagement
- – Sustainability
- Organisation Structure

- Findings and Recommendations

- Projects
- Communications
- Human Resources

- Overarching Recommendations

**The SA office has been successful in sustaining itself since inception. However, there are some weaknesses that may pose a risk to long term sustainability of the SA office.**

### Strengths

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- Beyond the seed funding of USD 30 000, the SA office has been able to sustain itself since inception
- The office has developed a good profile among clients, donors and partners
- Although IUCN SA's consulting-oriented assignments takes it away from it's core focus,
  - it has allowed the SA office to develop a good profile and to generate some additional income.
  - It has also met the need for institutional and policy related transformation in SA
  - It provides some additional income that allows for retention of skills.

### Weaknesses

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- The lack of a formal, and comprehensive situational analysis that drives the SA programme, could pose a risk to the sustainability of the SA office.
- The Country Programme Co-ordinator is the centre / driver of IUCN SA. Together with a lack of succession planning, this poses a risk to long term sustainability of the SA office.
- IUCN SA's consulting oriented focus takes it away from it's core focus, and takes IUCN SA staff away from the programme activities which form part of the objectives and results that IUCN needs to deliver against.
- Furthermore, it also perpetuates the notion that IUCN SA is competing with the local members, who may be aligned to and capable of delivering against the related consulting assignments.

- Findings

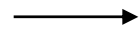
- Governance

- Programme Development

- Current Programme & Operational Strategy

- Member Engagement

- Sustainability

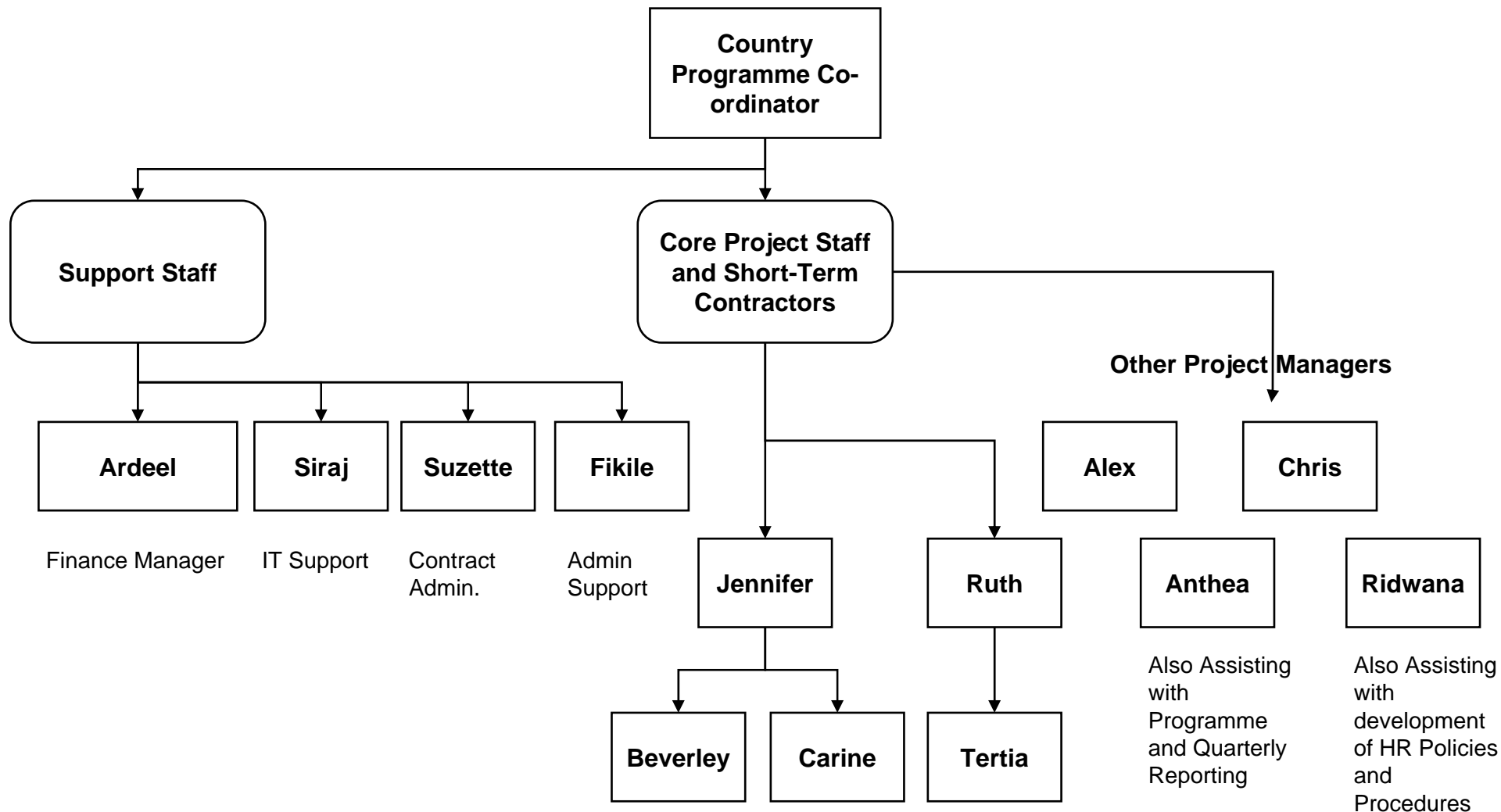


- Organisation Structure

- Findings and Recommendations

-

## Current Organisation Structure



**This organisation Structure has recently been supported by the Senior Management Group as a proposed mechanism to enhance the management of the SA office.**

### **The current organisation structure and responsibilities may be inadequate to support the operational delivery of the future programmes; and long-term sustainability of the SA office.**

- With the growth of the office, the number of projects, and the fact that most marketing, fund-raising and communications is performed by the Country Programme Co-ordinator himself, there is insufficient time to effectively manage all the direct reports.
- There is no indication that the structure is based on an understanding of the overall programme and priorities of the SA office.
- Key long term sustainability roles (such as fund raising, marketing, external stakeholder communication, and government relationship management) are being performed mainly by the Country Programme Co-ordinator.
- While an organisation structure exists, there is a lack of formal delegation of authority to the Country Programme Co-ordinator's direct reports
  - Some decisions taken, with inadequate consultation/discussion with staff members that have been informally delegated a responsibility.
- Without a formal level of delegated authority, members of the SMG (Senior Management Group) are not empowered to execute against some of the terms of reference defined.
- Furthermore, there is a lack of a clear formal guideline as to what types of decisions will and will not be brought to the SMG
  - Some decisions are taken by the Country Programme Co-ordinator without being tabled at the SMG.

- Findings
  - Governance
  - P



### Securing Projects

#### STRENGTHS

- The current approach has led to staff being dynamic and innovative
- The current process has been successful in securing projects which have generated a healthy revenue stream
- The process has improved the overall financial viability of the office

#### WEAKNESSES

- The approach utilised in securing projects in the majority has not adhered to the programme guidelines
- Projects are being aligned with a fair amount of difficulty and not always successfully
- The current environment is competitive rather than collaborative

### Project Planning

#### STRENGTHS

- The current process has created an environment where the staff have had to be innovative and creative
- The project plans generated, although developed on a project-by-project basis, provides the project manager with a tool against which the progress of the project and the project deliverables can be

### Project Implementation

**Project Management**

**STRENGTHS**

- The current process uses a skills mix (both generic project management skills and technical skills) which ensures projects were implemented efficiently and effectively

**WEAKNESSES**

- High level of dependency on the

**Lessons Learnt**



**The programme should drive the selection and securing of projects.**

### **Impact**

- All the projects that the country office is appointed on will fall within the programme
- The subsequent environment that is produced will be collaborative which is in keeping with the objectives of the IUCN as an organisation
- The project identified within a specific programme would guide the recruitment of staff
- Lessons learnt from the project based approach should be incorporated into the programme approach when securing future projects
- The programme approach should clearly indicate the approved procedure for securing and designing projects

**The benefits of having a programme drive the selection and securing of the projects.**

**Induct all project staff on the Programme Guideline and the Project Implementation Guide to ensure consistent application across projects.**

### **Impact**

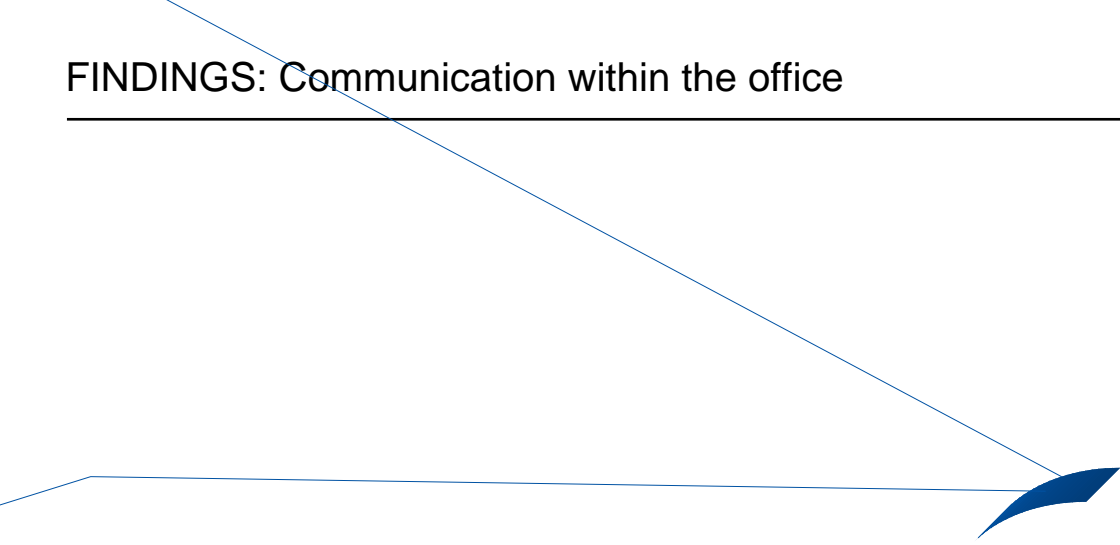
- All the staff currently busy on projects will have a clear understanding of the processes that are necessary to implement a project that meets all the requirements as set out by the organisation.
- Project deliverables will be scheduled according to a plan and will be delivered within budget.
- Resources will be properly allocated to allow for monitoring and management.
- The quality assurance and control aspects of projects will be guaranteed.
- Performance during the project will be monitored using the monitoring and evaluation tool.
- All the project lessons learnt will be captured into the framework and be easily accessible.

- Findings
  - Governance
  - Programme Development
  - Current Programme & Operational Strategy
  - Member Engagement
  - Sustainability
  - Organisation Structure
  
- Findings and Recommendations
  - Projects
  - – Communications
  - Human Resources
  
- Overarching Recommendations



## FINDINGS: Communication within the office

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## FINDINGS: Communication between Projects

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**Develop a communication strategy.**

**Benefits**

- Improve the communication between the IUCN South African Office and its stakeholders.
- The strategy will help define the communication profiles of the stakeholders (i.e. the type of information they require and also the frequency). It will also indicate the responsible individual.
- The dissemination of the information will also be covered in the new strategy.
- The strategy will leverage off the positive aspects of the current process.





### STATUS

#### STRENGTHS

- The Conditions of Service (COS) document is comprehensive in that it covers the core areas that an employee would require information on
- The ROSA COS document applies to permanent staff and fixed period contract staff. The combined approach (HQ and ROSA) is efficient and appropriate in an

#### WEAKNESSES

- The COS document has been written for ROSA, this has not been customised for IUNC SA
- IUCN SA has not clearly articulated a leave and benefits policy.
- The terms of reference is too brief and does not address specificities around activities, tasks and competencies
- Mechanisms to facilitate effective management of staff are not optimally functioning
- A delegated resource in terms of HR issues is non-existent within IUCN SA
- A comprehensive and user friendly performance management system is not in place
- There are no grievance and disciplinary procedures and the process utilised currently are not aligned to the BCEA and LRA
- IUCN SA lacks a job evaluation and job grading system
- The terms of reference attached to the letter of appointments does not adequately describe the roles and functions of the employee.

### STATUS

### STRENGTHS

- The policy around appointments supports growth fr

### WEAKNESSES

- Currently there are no formal processes that deal with the issue of selection and recruitment of staff at the IUCN SA office
- The recruitment process does not consider issues around employment equity in relation to recruitment and appointments
- In terms of the recruitment and the selection of staff, IUCN SA does not comply fully with the BCEA
- There is no alignment between the working hours in the letter of appointment and the ROSA COS
- IUCN SA lacks formal processes that support existing and newly appointed staff, specifically it lacks a formal induction process

## Topline FINDINGS: Human Resource Management

DOMAIN	STATUS	FINDINGS	
		STRENGTHS	WEAKNESSES
<b>Frameworks, Tools and Methodologies for Supporting Staff Management</b>		<ul style="list-style-type: none"> <li>The leave process within the IUCN SA office is managed as part of the payroll. This allows staff to see what leave they have without having to go to an HR officer</li> <li>The COS makes provision for the termination of services by voluntary resignation, retirement, dismissal, expiry of contract and redundancy. All these options are valid and clearly articulated.</li> </ul>	<ul style="list-style-type: none"> <li>The overall leave policy as stated in the COS is not aligned with the prevailing legislation in South Africa</li> <li>The issues around termination of services for purposes of redundancy are not aligned with the requirements of the LRA</li> <li>In addition to the redundancy issues, the IUCN SA office does not make reference to the clause on “termination by the organisation” as referred to in the Code of Good Practice in the Labour Relations Act</li> </ul>

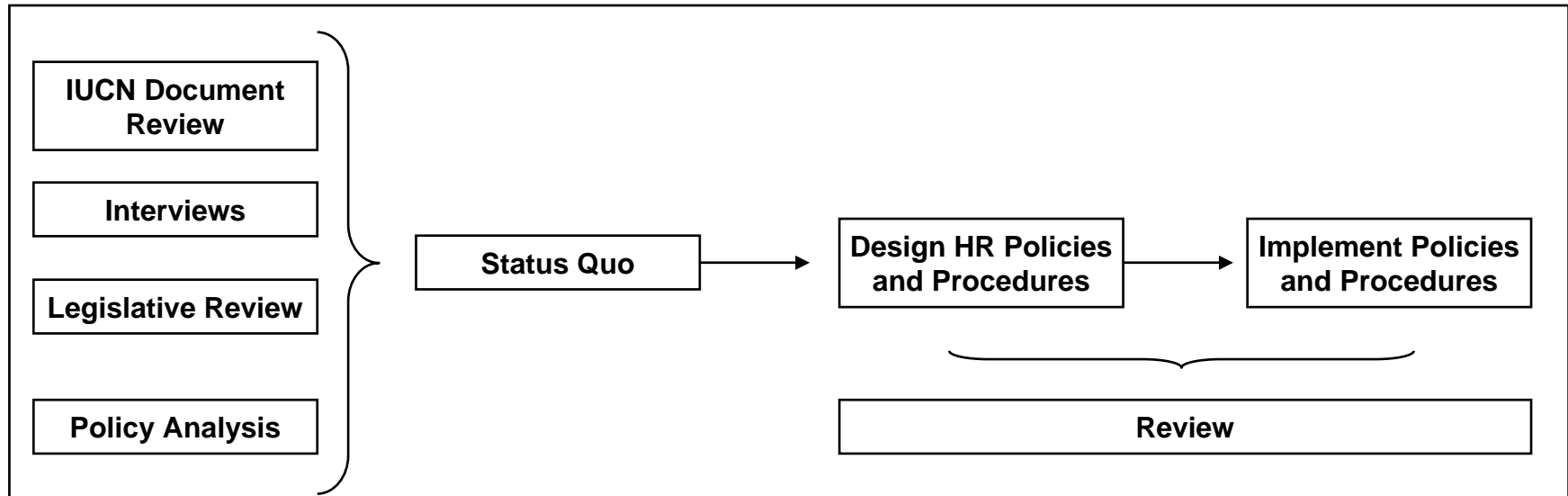


### STRENGTHS

### WEAKNESSES

- There is no link between the COS, Staff Rules and Letters of Appointment
- The area that covers income tax is not relevant to the South African environment to facilitate understanding
- The other legislated deductions are not stated in the COS and the Letter of Appoienvironment to ()a.7588 Td i

## Topline RECOMMENDATION: Human Resource Management



### RECOMMENDATIONS

- **Once off development of policies and procedures for the IUCN SA office.**
- **Outsourcing of payroll management and benefits administration to be continued.**
- **Day to day HR administration – leave etc., managed by office administration / finance.**

- Findings
  - Governance
  - Programme Development
  - Current Programme & Operational Strategy
  - Member Engagement
  - Sustainability
  - Organisation Structure
- Findings and Recommendations
  - Projects
  - Communications
  - Human Resources
- • Overarching Recommendations

### **To ensure that there is regulatory compliance and good organisational citizenship a formal corporate governance model should be developed for Country offices.**

Governance of the country office could entail, with the correct balance between conformance with governance constraints and performance\*:

- Guiding and confirming operational strategy and programme of the Country office.
- ~~Monitoring management in the implementation of operational strategy and programme.~~
- Tracking of the Country's achievements against its own programme and plan.
- Defining levels of Authority.
- Conducting of assessments of the impact of the Country's strategy and programme with regard to the perspective of internal and external stakeholders.
- Ensuring regulatory compliance.
- Identifying best practice across IUCN, and introducing measures to ensure that the Country office emulates these best practices.
- Ensuring that appropriate metrics, other than financial, are

**The governance model should also provides guidelines and mechanisms for implementation of the model**

The governance model should also:

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**In the absence of an overarching governance model for Country offices, we recommend:**

- That as the ROSA Director has a formal delegation of authority from the Director General, there should be a formal review and sign off against the SA Programme and Operational Strategy by the ROSA Director
  - IUCN SA must formally report progress against the programme and plan and provide some report on the effectiveness of its operational strategy in delivering against its programme and plan.
  - E

## RECOMMENDATION:

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**In addition, the following were compiled from the interviews with members, and should be considered when finalising the relationship with members.**

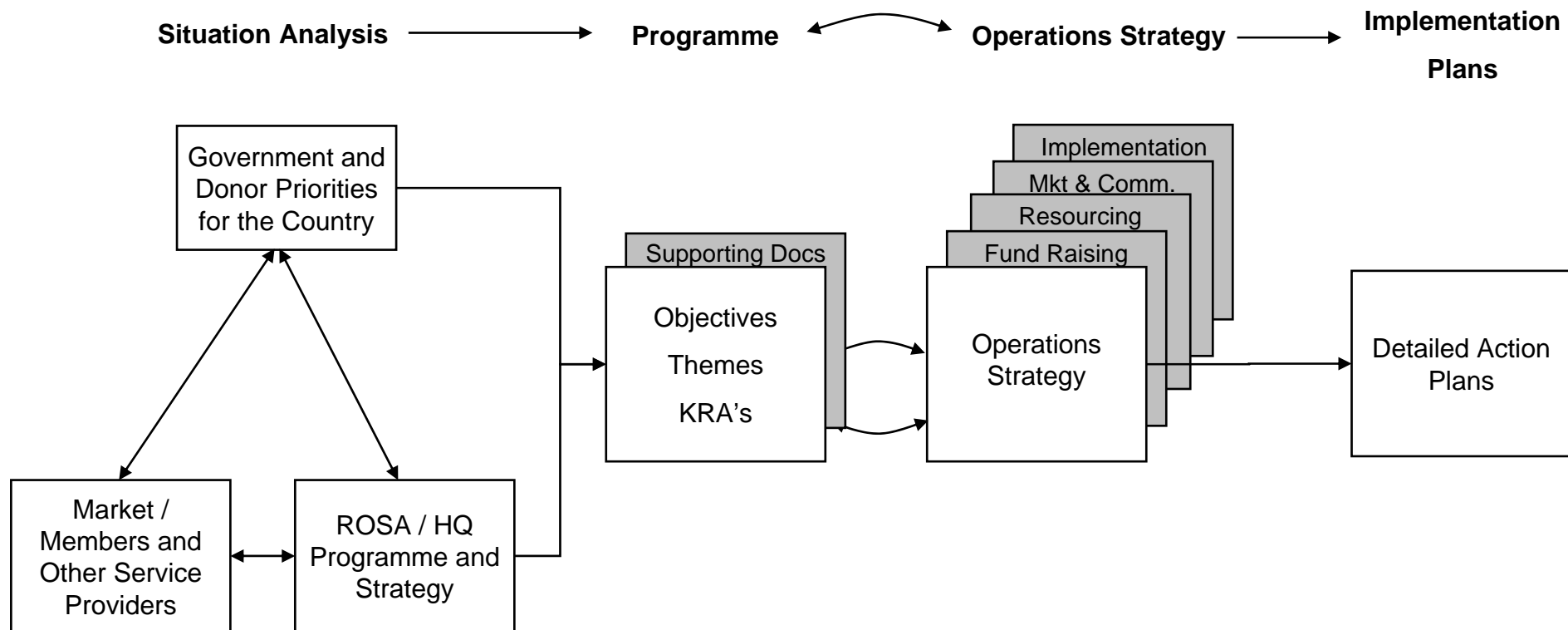
Members suggestions included:

- Maintain an up-to-date membership database – tracking organisations



We recommend that IUCN SA implement a coherent programme development process that incorporates a comprehensive situational analysis and that further helps to guide the most appropriate operational model to implement the programme.

### Proposed Programme and Operations Strategy Development Framework



**Based on the move to a more focused programmatic mode of operation with the SA office, it is recommended that:**

- The office undertakes a visioning exercise with its members and major partners to develop a vision and approaches to the envisaged programme
  - This would be a good starting point for consolidating the partnerships and gaining acceptance/consensus on the programme ideas and approaches to avoid conflicts of interest.
  - This would also support leverage and encourage synergies with other stakeholders.
- The programme should make a deliberate move to finding innovative ways of having an appreciable presence in projects that show tangible results on the ground.
- The SA office should phase down the short consulting oriented type of requests and release time for the development of long-term projects.

### **A successful strategy development process for IUCN SA is:**

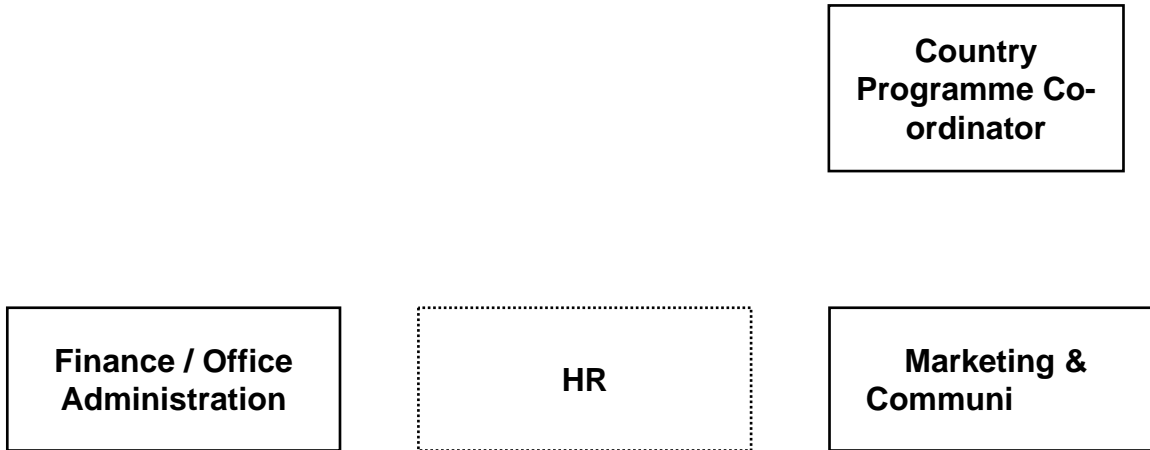
- Aligned to the broad programme framework set by the ROSA Quadrennial Plan
- Externally oriented – starts with the clients/funders/beneficiaries/market
- Considers the key stakeholders (such as members) and the related challenges and impacts
- Based on information/analysis, not management opinions
- Logical - the strategy and programme flows from the situation analysis and priorities of government, donors, and the IUCN itself. The activities and actions from the strategy / programme
- Focused on critical issues
- Option-based, i.e. chooses the best alternative
- Quantifiable in terms of ‘value capture’ (how do you sustain the SA office / what are the critical areas of attention that will provide the maximum value)
- Translates the strategy / programme into other actions/implementation plans and measurable targets
- Realistic in terms of: the market, funds available from donors and clients, resources (internally and within SA), and competencies required
- Championed by the entire senior management team
- Preferably simple and communicable to align and incentivise all staff, show alignment with ROSA and HQ, and engage with members



## RECOMMENDATION: Organisational Structure

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The following organisational structure is recommended to address identified gaps. This structure may need to be reviewed after a complete programme development and operational strategy development process is undertaken.



### **To support the recommended structure, we also recommend:**

- This organisation structure goes hand-in-hand with a performance management system in order to ensure effectiveness and required results.
- That once a complete and comprehensive programme a

