



ORGANISATIONAL FUNCTIONALITY ASSESSMENT TOOL



Branch: Government Service Access and Improvement
Department of Public Service Administration
REPUBLIC OF SOUTH AFRICA

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Organisational Functionality Assessment (OFA) Tool

Purpose of OFA: The purpose of the Organisational Functionality Assessment (OFA) is to:

Serve as an input to organisational development planning and review processes

Address historical organisational development related challenges

Look deeper into the total service delivery system of the Organisation

Assessing organizational functionality or service delivery readiness of government institutions

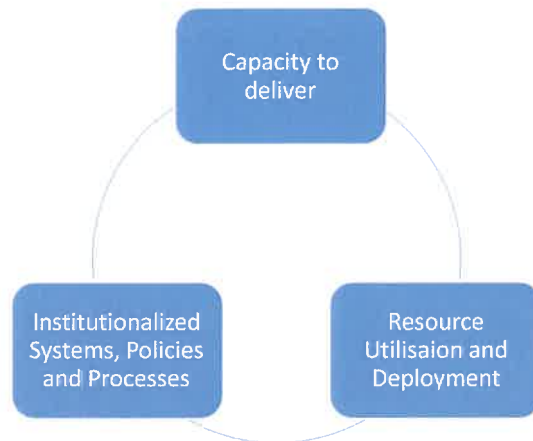
Identifying the systemic good practices and challenges

Assess and diagnose whether all the necessary service delivery enablers are in place

Support delivery processes in an optimum and accountable manner

Correct organisational focus on real challenges

The OFA is a *Systemic Analysis of Organisational Functionality* measured against :



Regulatory Requirement for the Organisational Functionality Assessment: In terms of the **Public Service Regulations, 2016 section 35** “An executive authority shall conduct an organisational functionality assessment, as directed by the Minister, to assess the effectiveness of a department’s internal systems and processes and submit the report to the Minister on such date and format as directed by the Minister.”

Application: All departments will use the OFA Data Collection Toolset as part of an organisational functionality assessment to facilitate the improvement of functionality, performance, efficiency and effectiveness. The OFA is a **self- assessment process** to diagnose, based on evidence, whether all the necessary **service delivery enablers** are in place to support delivery processes in an optimum and accountable manner. Departments will submit a report to DPSA in the prescribed format on their findings and recommendations; and the information obtained through these assessments will be used to support a range of processes relating to improvement activities, research and policy analysis.

Assessment Notes

- The Guideline/Benchmark provides guidance against which functionality can be measured and will be replaced with Public Service Norms/standards when finalised
- Functionality Statement/Indicators: Provides guideline to consider what data/information should be collected
- The functionality of the element under review is assessed after all of the indicators below have been analysed.
- The OFA requires an in depth understanding and through analysis of information to determine functionality.
- It is important to note that mere compliance does not necessarily equate to functionality.
- The assessment team must make a considered analysis of the information at hand and if it is found that, the current situation does not optimally support the Organisation in achieving its objectives a recommendation must be made to improve the current situation.
- If there is evidence that the organisation is leading good practice in certain functionality areas, this should also be identified for sharing with other organisations in the sector.
- The OFA Tool Provides for both primary and secondary Indicators. **Primary Indicators** are those that are essential for a minimum level of assessment. **Secondary Indicators** are those that will contribute to a more comprehensive assessment, supporting and elucidating a basic assessment.

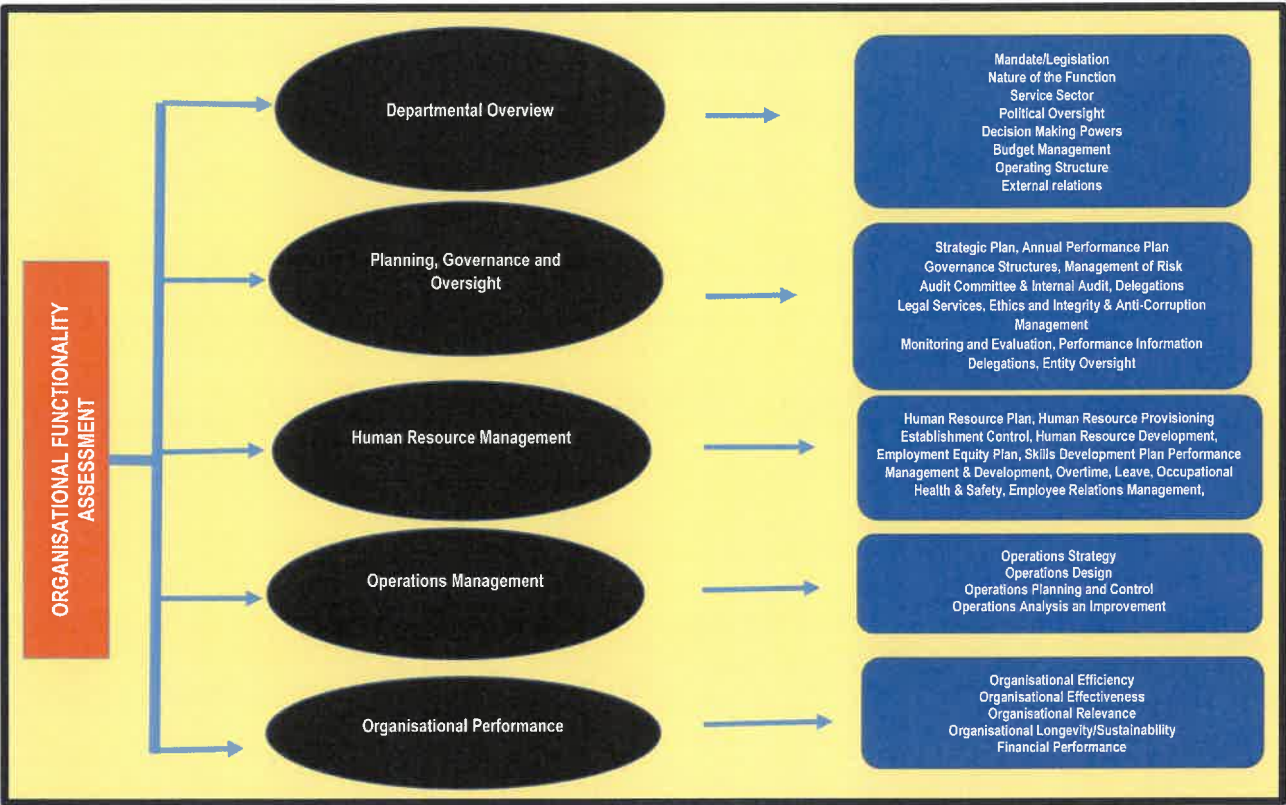
Critical Success Factors when implementing the OFA

The successful application of the OFA Toolset requires a multi-disciplinary project management approach as all skill sets are normally not found in one location within a Department. The nature of the OFA therefore requires the establishment of a project governance structure to ensure that project is implemented and rolled-out within its pre-determined timeframe, cost and quality commensurate with the agreed project plan. The following distinct phases can be identified and is vital to successful implementation:

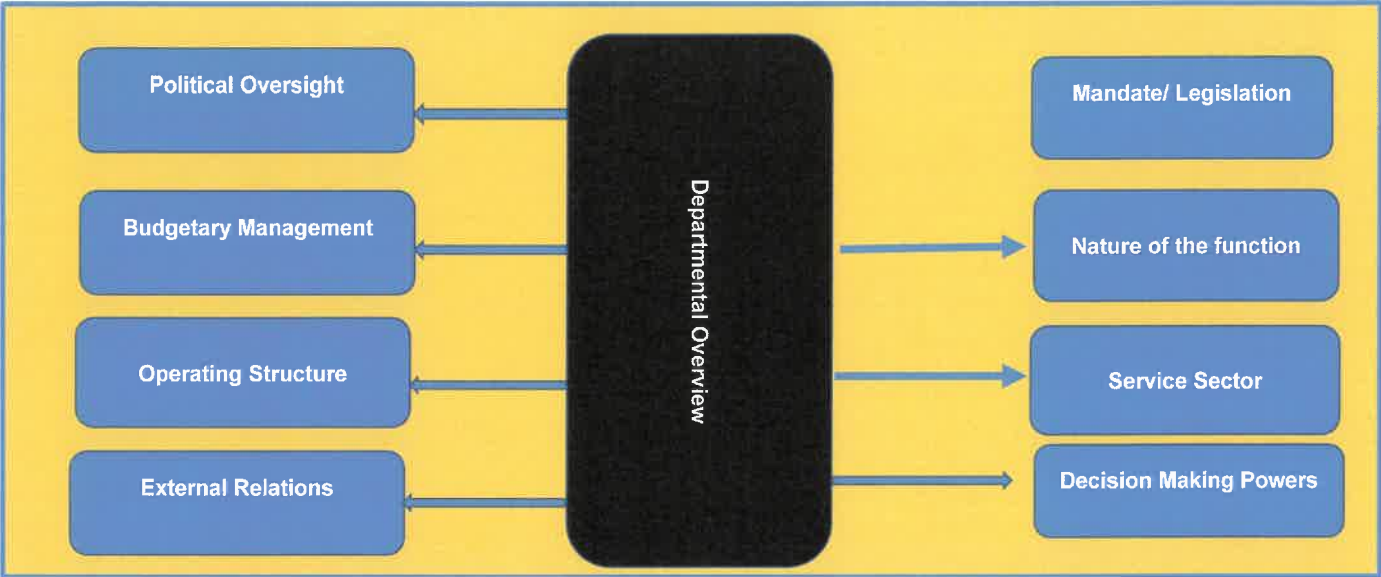


- **Project Plan:** The nature of the OFA therefore requires the development of a project plan to ensure that project is implemented and rolled-out within its pre-determined timeframe, cost and quality commensurate with the agreed project plan.
- **Project Governance:** The successful application of the OFA Toolset requires a multi-disciplinary project management approach as all skill sets are normally not found in one location within a Department.
- **Work Streams:** The project can be managed through the creation of multiple work streams to ensure that the work is evenly distributed to ensure timeous completion as required by the project plan.
- **Gathering Information:** The data/information required, on which the Organisational Functionality Assessment depends broadly revolves around the indicators contained in the OFA Toolset. It is important that project team members conduct a thorough analysis of departmental documents before initiating the OFA. A document study will enable project members to gain a clear understanding of the context and scope of departmental operations as well as challenges experienced. It will also enable project members to interpret the data used in a meaningful way and to make recommendations in the final report. This is an important building block for validating information by way of interviews with stakeholders as well as site visits.
- **Data Analysis:** Analysis techniques used should include averages, statistical frequencies and graphs that will reflect the relationships between Organizational Functionality and the factors influencing Organizational Functionality.
- **Reporting:** Departments will report on an approved DPSA reporting template as provided. Departments will have to submit annual reports to the Minister for Public Service and Administration and ensure that implementation of the improvement plan is monitored by the Executive Management of the Department. (Evidenced by regular agenda points at management meetings for purposes of reporting/monitoring). These reports must contain findings and recommendations to improve departmental functionality. Departments should together with their assessment reports, submit an organizational functionality improvement plan, detailing the steps that would be taken to improve organisational functionality.
- **Monitoring and Evaluation:** It is important to continually monitor Organisational functionality to ensure that OFA findings are implemented and to:
 - Ensure that the OFA goals, results and implementation strategy remain appropriate;
 - Assess progress towards improved Organizational Functionality;
 - Review OFA implementation per annum and analyse reasons for any deviations from the improvement plan;
 - Review the operational and management effectiveness and efficiency of implementation;
 - Identify lessons and actions to improve the following year's implementation and performance

The OFA construct with its 5 factors and elements is graphically set out below:



Element 1: Departmental Overview



Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Mandate/Legislation: An Act of the Legislature that provides the reason for the establishment of a government department or entity and provides for the powers and sanctions to implement its mandate</p> <p>Public Service Act, No 103, 1994, Chapter 2 (1) (b) The Minister is responsible for establishing norms and standards relating to the establishment of departments and other organisational and governance arrangements in the public service</p>			
<p>100% Effective Institutional Arrangements in the Public Service.</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> • Number of main functions executed in terms of own dedicated legislation. • Number of back office functions executed (HR, Finance Internal Audit, Legal, Information Technology, Communication, etc.) <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of main functions executed in terms of legislation shared with other department/institution. • Number of back office functions shared with other departments (HR, Finance Internal Audit, Legal, Information Technology, Communication, etc.) • Concurrent constitutional mandate exercised. • Exclusive constitutional mandate exercised. 	<ul style="list-style-type: none"> • Head of Department • Programme Managers • Manager: Strategic Planning 	<ul style="list-style-type: none"> • Annual Report • Strategic Plan • Budget Vote
<p>Nature of the Function: Defines/explains the what and how a government department or entity implements its mandated functions</p>			
	<p>Secondary Indicators</p> <ul style="list-style-type: none"> • Function is strategic for integrity of country, e.g. defence or law and order 	<ul style="list-style-type: none"> • Head of Department • Programme Managers • Manager: Strategic Planning 	<ul style="list-style-type: none"> • Constitution • Annual Report • Strategic Plan

Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • Function is aimed at international coordination and managing international obligations, • Function is to manage the political administration interface, financing and coordinating public administration at the centre of government. • Function is policy development and advice, • Function is conducting research, • Function is direct service delivery • Function is to conduct oversight • Function is regulatory • Function is adjudicatory (judicial or quasi-judicial). • Function is to support constitutional democracy. 		<ul style="list-style-type: none"> • Budget Vote
Service Sector: Defines in which service sector the government department or entity performs its mandated functions			
	<p>Secondary Indicators</p> <ul style="list-style-type: none"> • Delivering services relating to economic development, employment and infrastructure development • Delivering services relating to the provision of justice, combating of crime and maintain the security of the country. • Delivering services relating to managing international obligations, trade and industry. • Delivering services relating to providing a social safety net to the poor and human development 	<ul style="list-style-type: none"> • Head of Department • Programme Managers • Manager: Strategic Planning 	<ul style="list-style-type: none"> • Annual Report • Strategic Plan • Budget Vote

Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> Delivering services relating to governance and administration. 		
<p>Decision Making: Is defined as a course of action purposely chosen by a leader or manager from a set of alternatives to achieve organisational or managerial objectives. It is based on a framework for original or delegated decision rights to facilitate decision making at the appropriate managerial levels, in support of optimum service delivery. The DPSA mandate is derived from Public Service Act, 1994 (No.103 of 1994) and Public Service Regulations Chapter 1. No 8 (1) and the Directive on Public Administration Management Delegations. 2014</p>			
	<p>Primary Indicators</p> <ul style="list-style-type: none"> Accounting Officer's/ decision maker direct span of control. (Degree of decentralised/centralised decision making) <p>Secondary Indicators</p> <ul style="list-style-type: none"> Head of institution/ decision maker is empowered by original decision-making powers. Head of institution/ decision maker is empowered by delegated decision-making powers. 	<ul style="list-style-type: none"> Head of Department Programme Managers 	<ul style="list-style-type: none"> Empowering Legislation Annual Report Strategic Plan Budget Vote Approved Organisational Structure
<p>Political Oversight: It refers to the level of oversight contained in all those governance activities of parliament, EA's and governance structures appointed in terms of legislation to oversee policy implementation and resources on behalf of the public to achieve economic and social progress. The mandate of the DPSA is derived from section 239 of the Constitution, Section 3 of the Public Service Act, No 103 of 1994 and the Public Service Regulations, Chapter 9 Parliamentary oversight committees are appointed and constituted in terms of parliamentary rules.</p>			
	<ul style="list-style-type: none"> Oversight over institution conducted directly by Executive Authority Oversight over institution conducted directly by Parliament. (Portfolio Committees) 	<ul style="list-style-type: none"> Head of Department Programme Managers 	<ul style="list-style-type: none"> Portfolio Committee reports Audit Reports Annual Report Strategic Plan Budget Vote

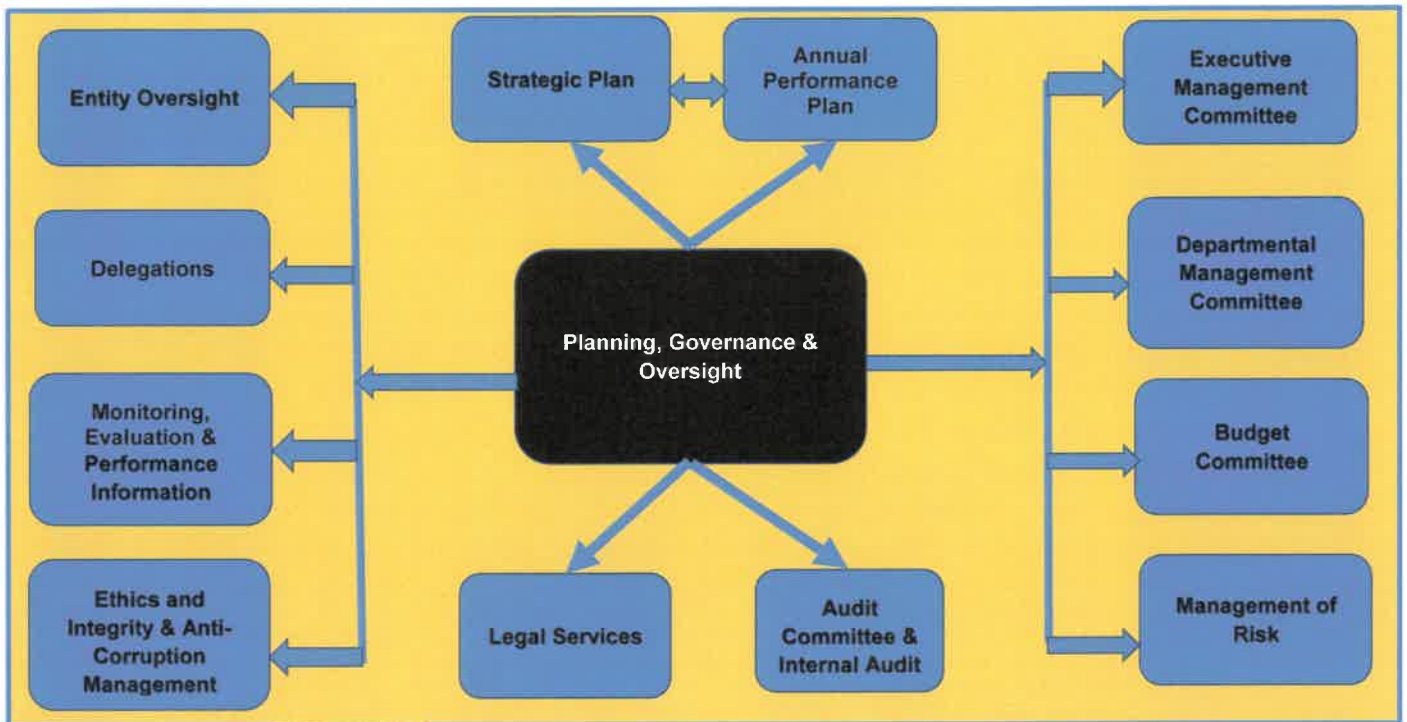
Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • Oversight over institution conducted by/through a parent department. • Accounting Officer has direct reporting line to an Executive Authority. • Accounting Officer has direct reporting line to a governance structure such as a board of directors or advisory board. • The percentage of direct oversight (reporting and accountability) by Political Head over Accounting Officer/ Head of Institution. 		
<p>Budgetary Management: It is the management of the budget by way of specific functions or activities of budget holders in an accountable manner. It involves the analysis, organisation and oversight of income, costs and expenditure for the organisation. (Fiscal management refers to the policy on taxation, spending and borrowing by government and it is a National Treasury competency). (Budgetary and Financial management is governed by the PFMA and Treasury Regulations and is not a direct DPSA mandate).</p>			
	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The proportion of income generated and retained (through a Trading account or another arrangement in terms of the PFMA). • The percentage increase in under/overspending of budget • The percentage increase/decrease in size of budget • The percentage increase/decrease in income generated <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of budget programmes. • Size of budget funded through own budget vote • Size of budget funded through transfer payments. • Size of the operational budget. 	<ul style="list-style-type: none"> • Head of Department • Programme Managers • Chief Financial Officer 	<ul style="list-style-type: none"> • Annual Report • Strategic Plan • Budget Vote

Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • Size of Capital budget • Size of Compensation budget 		
<p>Operating Structure: This refers to the system of working relationships to define and coordinate the roles and responsibilities of stakeholders within the political/administrative construct working towards a common purpose. From a departmental functionality perspective, the operating structure will reflect the departmental service delivery machinery utilised for service delivery in a centralised/decentralised manner directly to service recipients. It includes the decomposition of the operating structure into programs, sub programs and responsibility management areas at head office, decentralised offices and service points.</p>			
	<p>Primary Indicators</p> <ul style="list-style-type: none"> • Proportion of alignment between budget programme structure and organisational structure • Number of Decentralised Offices • Number of service points managed. (i.e, hospitals) <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of service recipients accessing services directly • Proportion of alignment between the budget programme structure and service delivery improvement plan 	<ul style="list-style-type: none"> • Program Managers • Heads of decentralised offices/ service points 	<ul style="list-style-type: none"> • Approved Organisational Structure • Service Delivery Improvement Plan
<p>External Relations: Refers to the Inter-Governmental relations between the different spheres of government as well as International Agreements that departments administer as part of their core business. This mandate is derived from Chapter 3 of the Constitution, 1996.</p>			
	<p>Primary Indicators</p> <ul style="list-style-type: none"> • Number of International agreements administered by the department. 	<ul style="list-style-type: none"> • Program Managers • Head of IGR/ Head of External Relations unit • Heads of decentralised offices/ service points 	<ul style="list-style-type: none"> • International agreements • MOU's/SLA's • Annual Report • Budget Vote

Guideline/Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • Number of other government departments Provincially or Nationally/ institutions linked to department (National, Provincial or Local) • Number of posts (structures/capacity) dedicated to directly manage relationships with linked institutions <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of linked institutions such as agencies' or NGO's that has formal relationships with the department. 		<ul style="list-style-type: none"> • IDP

Element 2: Planning, Governance, and Oversight

Governance: This refers to the processes by which an Executive Authority through his/her department and related management structures exercises leadership and stewardship over the strategic direction and governance of the institutional portfolio, based on the department's legislative mandate.



Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Planning, Governance, and Oversight: These are the processes and structures in terms of which departments align, direct and oversee the attainment of priorities and interests of organisational management, those responsible for organisational results and those of service recipients. A department's political principal, executive management team and independent oversight structures exercise governance. It involves linking policy with bureaucratic action to ensure the attainment of public interest (Mintzberg & Quinn, 1995). The DPSA's mandate in this regard is derived from the Public Service Act, 1994 (No. 103 of 1994) and Public Service Regulations, 2016, Chapter 3 Part 1 (Regulation 25 (2) (a) – (c) and the Directive on Organisational Structuring (the mandates of independent oversight structures are governed by legislation such as the PFMA and dedicated own legislation).</p>			
<p>Strategic Plan: A Strategic Plan sets out an institution's policy priorities, programmes and project plans for a five-year period, as approved by its executive authority, within the scope of available resources (The Framework for Strategic Plans and Annual Performance Plans, National Treasury). An Executing Authority shall prepare a Strategic Plan for his Department Stating the core objectives of the department, and set out the process to achieve such objectives. PSR 2016 , Chapter 3, Section 25</p>			
100% implementation of the departmental strategic plan	<p>Primary Indicator</p> <ul style="list-style-type: none"> • The proportion of the implementation of the departmental strategic plan • The Alignment between the strategic plan and the other plans e.g. APP, Budget, Procurement, Infrastructure, HR Plan, etc. 	<ul style="list-style-type: none"> • Head of Department • Manager Strategic Management 	<ul style="list-style-type: none"> • National Development Plan • The Framework for Strategic Plans and Annual Performance Plans • Strategic Plan • APP • Medium Term Strategic Framework • Research Register • Policy Register • MTEF Budget
<p>Annual Performance Plan: This Plan sets out performance targets for institutions and what they intend doing in the financial year and during the MTEF to implement its strategic plan. The DPSA mandate in this regard derives from the Public Service Act, 1994 (No. 103 of 1994), Public Service Regulations, 2016, Chapter 3, Part 1, Regulation 25 and is supported by the Public Finance Management Act 1999 (No. 1 of 1999) and Treasury Regulations 5 & 30 of 2001 and National Treasury Framework for Strategic Plans and Annual Performance Plans</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
100% implementation of the departmental annual performance plan per annum	<p>Primary Indicators</p> <ul style="list-style-type: none"> Percentage of APP targets achieved The proportion alignment between the APP and SMS performance agreements. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The proportion of APP outputs aimed at policy development per annum. The proportion of APP outputs aimed at providing technical assistance to implement policy. The proportion of APP outputs for core function projects aimed at grass roots (service point level) service delivery. 	<ul style="list-style-type: none"> Head of Department Manager Strategic Management 	<ul style="list-style-type: none"> The Framework for Strategic Plans and Annual Performance Plans Strategic Plan APP Medium Term Strategic Framework Research Register Policy Register MTEF Budget SMS Performance agreements
Governance Structures: Departments have various governance structures that provide direction for and oversight of operations. The nomenclature may differ between departments			
Departmental Executive Management Committee. (EXCO): Responsible for the implementation of departmental governance arrangements in pursuit of management accountability			
100% adherence to the founding statutes of Departmental Governance Structures per annum	<p>Primary Indicators</p> <ul style="list-style-type: none"> The percentage/number of Executive Management Committee Meetings held per annum in accordance with its founding statutes. The percentage of members attending Minister/Executive Management Committee Meetings. The percentage of decisions implemented in accordance with resolutions. 	<ul style="list-style-type: none"> Head of Department Programme Managers Secretariat 	<ul style="list-style-type: none"> Founding Statutes (Terms of Reference) Agenda and minutes of Department Executive Management Committee Meetings

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Departmental Management Committee (MANCO): Implementation of departmental governance arrangements in pursuit of management accountability			
100% adherence to the founding statutes of Departmental Governance Structures per annum	<p>Primary Indicators</p> <ul style="list-style-type: none"> The percentage/number of Departmental Management Committee Meetings held per annum in accordance with its founding statutes. The percentage of members attending Departmental Management Committee Meetings. The percentage of decisions implemented in accordance with resolutions. 	<ul style="list-style-type: none"> Head of Department Programme Managers . Secretariat 	<ul style="list-style-type: none"> Founding Statutes (Terms of Reference) Agenda and minutes of Departmental Management Committee Meetings
Budget Committee: A budget committee creates and maintains financial responsibility for the department through the review and approval departmental budgets that have been submitted by programme managers.			
100% adherence to the founding statutes of Departmental Governance Structures per annum	<ul style="list-style-type: none"> The percentage/number of Budget Committee Meetings held per annum in accordance with its founding statutes (Terms of Reference). The average turnaround times to respond to and implement budget committee decisions. 	<ul style="list-style-type: none"> Accounting Officer Chief Financial Officer 	<ul style="list-style-type: none"> Founding Statutes (Terms of Reference) Agenda and minutes of Departmental Budget Committee Meeting
Management of Risk: Risk management refers to the processes to identify and mitigate risks or obstacles that may impede the implementation of regulations and its potential impact (Risk Management is governed by the PFMA and Treasury Regulations and is not a direct DPSA mandate). Members of the Risk Management Committee is appointed by the Head of Department to review a Department's system of risk management.			
<ul style="list-style-type: none"> 100% adherence to the founding statutes of Departmental Governance Structures per annum 	<p>Primary Indicators</p> <ul style="list-style-type: none"> The percentage/number of Risk Committee Meetings held per annum in accordance with its founding statutes. 	<ul style="list-style-type: none"> Chief Financial Officer Head of Risk Management 	<ul style="list-style-type: none"> Risk Management Plan and Reports AG Management Letter PERSAL Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<ul style="list-style-type: none"> 100% Implementation of Risk Management Plan per annum 	<ul style="list-style-type: none"> Percentage of identified risks mitigated. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The number of risks/emerging risks identified The average turnaround times to mitigate identified risks/ emerging risks. The proportion of employees subjected to vetting. The proportion of employees who attended risk awareness sessions facilitated. The number of Access control breaches per annum The proportion of annual MISS monitoring report recommendations implemented. 		
<p>Internal Audit: Auditing is a tool to identify weak links or transgressions in financial and non-financial management, as well as noncompliance to rules that may negatively impact on performance and accountability (Internal Auditing is governed by the PFMA and Treasury Regulations and is not a DPSA mandate). The Audit Committee provides oversight over a department's financial reporting process, its system of internal controls and compliance to laws and regulations. This is a National Treasury mandate in terms of section 76 and 77 of the PFMA</p>			
<ul style="list-style-type: none"> 100% adherence to the founding statutes of the Departmental Audit Committee per annum 100% Implementation of Internal Audit reports and recommendations per annum 	<p>Primary Indicators</p> <ul style="list-style-type: none"> The percentage/number of Audit Committee Meetings held per annum in accordance with its founding statutes. The proportion of internal audit annual plan projects achieved. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The average turnaround times to respond to and resolve internal audit queries. 	<ul style="list-style-type: none"> Chairperson of Audit Committee Head of Internal Audit 	<ul style="list-style-type: none"> Audit Plan Post Audit Action Plan AG Management Letter Internal Audit Reports

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Legal Services: This refers to the processes to provide legal advisory services to the department, including litigations support, legal advice, legal opinions, legislative drafting and assessment whether departmental policies are compliant with legislation and regulation. This is not a direct mandate of the DPSA</p>			
<p>100% compliance to legislative, regulatory and other legal prescripts</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The number of legal opinions/ advice provided. • The number of litigation cases per annum instituted/ pending against the department. • The proportion of cases successfully defended. • The proportion increase or decrease in financial exposure (contingent liability) because of claims/litigation. • The proportion of contracts submitted for quality assurance/consultation <p>Secondary Indicators</p> <ul style="list-style-type: none"> • The number of contracts submitted for quality assurance/consultation. • The number of legal instruments drafted (Legislation, regulations, proclamations) 	<ul style="list-style-type: none"> • Head of Corporate services • Head of Legal Services 	<ul style="list-style-type: none"> • Annual Report • Performance reports of legal services unit.
<p>Ethics and Integrity Management: These concepts refer to the implementation of interventions to promote ethics and integrity in the workplace where: -Ethics refers to ethical values applied to decision making, conduct and the relationship between the organisation, its stakeholders and broader society and Integrity refers to individuals possessing the quality of being honest and having strong moral principles. It encompasses consistency between stated moral and ethical standards and actual conduct. It also includes anti-corruption matters including the systems, processes and procedures that are instituted to mitigate the risks of potential corruption practices. This mandate is derived from the Public Service Act, 1994 (No. 103 of 1994) and Public Service Regulations, 2016, Chapter 2 Part 3 (Regulation 22 (a) – e)), National Anti-Corruption Strategy- (MACC- Minimum Anti-Corruption Capacity)</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<ul style="list-style-type: none"> • 100% implementation of departmental policy on ethics and integrity. • 100% implementation of the Anti-corruption strategy (MACC) per annum. 	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The proportion of E-disclosures submitted per annum per reporting level. • The percentage/number of meetings of the ethics committee. • The number of cases of staff performing remunerative work outside his or her department without approval. • The proportion of reported corruption cases finalised. • Number of criminal cases opened at SAPS <p>Secondary Indicators</p> <ul style="list-style-type: none"> • The monetary value of Gifts received reported. • Number of cases of unethical behaviour reported by employees (Whistle Blowing) • The number of corruption cases reported. • The number of systematic weaknesses and recurring risks pertaining to unethical conduct identified per annum. 	<ul style="list-style-type: none"> • Head of Department • Head of Ethics and Integrity Unit/ Anti-Corruption Unit • Head of Legal Services Unit • Head of Labour Relations Unit 	<ul style="list-style-type: none"> • AG Management Report • E-Disclosure report • Gift Register • Internal Audit Report • Disciplinary Case Management System • Criminal cases against public servants opened at SAPS by department

Monitoring & Evaluation & Performance Information: This is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. It encompasses the systematic and objective assessment of an ongoing or completed project, programme or policy including its design, implementation and results. Monitoring and evaluation are distinct, yet complementary concepts. **Monitoring** provides information on where a policy programme or project is at any given time relative to its targets (progress). **Evaluation** provides evidence about why targets and outcomes are, or are not being achieved (Görgens and Kusek).

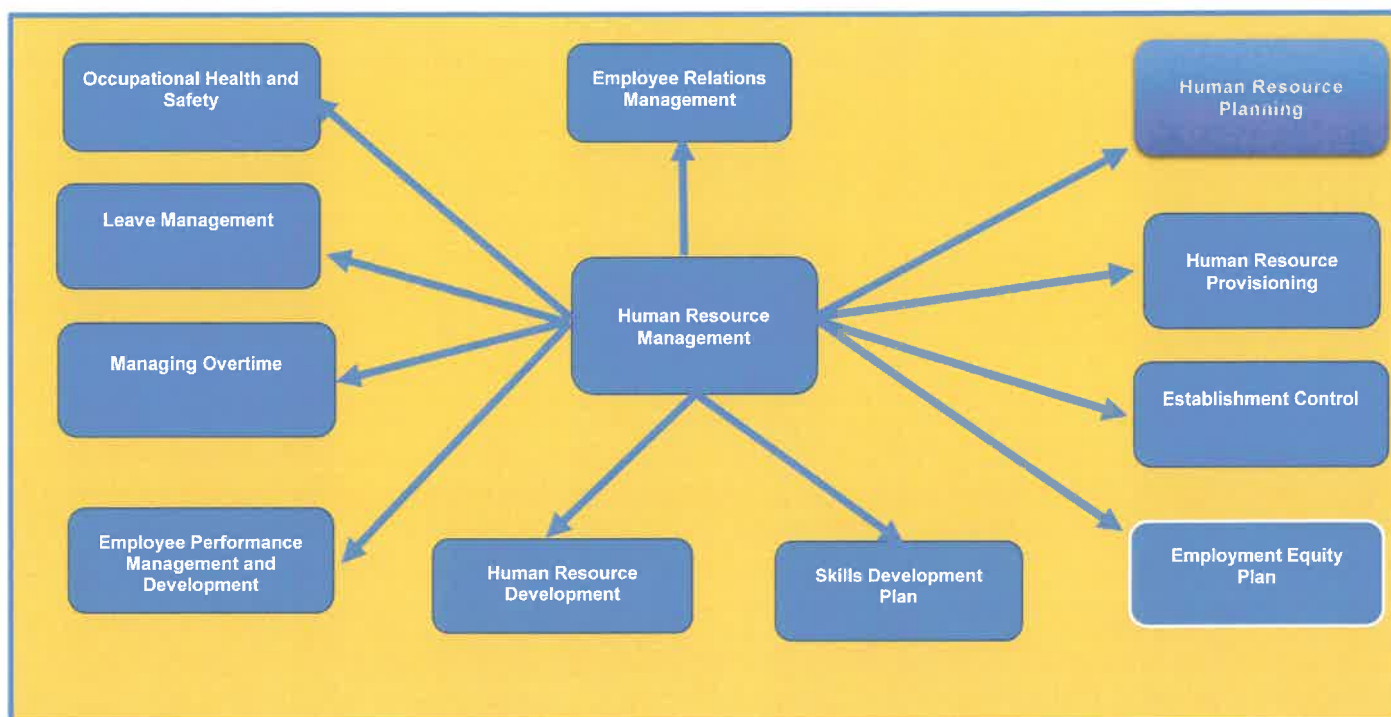
Regarding **Performance Information**, the PSR 2016, Regulation 9 (1) stipulates "For purposes of reporting on and assessing compliance with the Act or reviewing the appropriateness and effectiveness of any regulation, determination or directive made under the Act, the executive authority or head of department shall submit to the Minister or the Director-General: Public Service and Administration, as the case may be, information and data on such matters with respect to the Act, in such format and on such date

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
as directed by the Minister.”, and in Section 31 (2) ‘states that the head of department shall include in the department’s annual report, such information pertaining to the public service as the Minister may direct, and in the format that the Minister may direct.”			
100% Implementation of M&E frameworks and plans to monitor and evaluate performance and impact of programmes and policies.	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The proportion of the departmental approved three-year evaluation plan implemented per annum. • The proportion of Frontline Service Delivery Monitoring (FSDM) Implementation plans implemented • The proportion of Monitoring projects implemented per annum. • The proportion of Programmes and projects that are supported by performance indicators in line with approved norms and standards <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of Frontline Service Delivery Monitoring (FSDM) reports 	<ul style="list-style-type: none"> • Internal Audit Manager • M&E Manager • Head of Strategic Management • Program Managers 	<ul style="list-style-type: none"> • Annual Report • AG Management Letter • M&E Reports
Delegations: Delegations means the act by a principal functionary to assign, through approving policy, decision making powers and duties, and associated roles and responsibilities to administrators to perform administrative actions. A Head of Department shall keep a Register of all delegations made in terms of section 42 (a) of the Public Service Act, 1994 and Public Service Regulations, 2016 Regulation 8.			
100% of decisions taken in accordance with the delegated decision rights framework and Directive on Public	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The number of delegated decisions taken per delegated official per annum. • The number of decisions referred to a higher level than delegated official per annum 	<ul style="list-style-type: none"> • Head of Department • Program Managers • Responsibility Managers 	<ul style="list-style-type: none"> • Delegations Register • Internal Audit Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Administration Management Delegations, 2014 per annum	<ul style="list-style-type: none"> The number of decisions taken outside of delegated authority per annum <p>Secondary Indicators</p> <ul style="list-style-type: none"> The average delegated decision turnaround times per annum. The average cost implication per delegated decision. The average cost implication per level of delegated official's decisions. 		
<p>Entity Oversight: This refers to the process of overseeing how the powers and duties of the heads of entities that form part of the portfolio of an Executive Authority is executed to address service delivery challenges, implement government policy and achieve the strategic outcomes of the portfolio. This DPSA mandate is derived from:- Section 7 of the Public Service Act no: 103 of 1994, Public Service Regulations 2016, Regulation 33 & 34 supported by the Public Finance Management Act no: 1 of 1999 (Chapter 6)</p>			
100% alignment between the strategic outcomes of all entities within the portfolio of the an Executing Authority	<p>Primary Indicators</p> <ul style="list-style-type: none"> Number of Entities overseen. Number of Government Components overseen. The % of budget transferred to other entities Number of posts (structures/capacity) dedicated to effectively monitor the performance of linked institutions 	<ul style="list-style-type: none"> Head of Department Programme Managers Heads of Entities/ Government Components 	<ul style="list-style-type: none"> Empowering Legislation Annual Report Strategic Plan Budget Vote Approved Organisational structure

Element 3: Human Resource Management

Human Resource Management: This refers to the process of developing a dedicated, productive and people centred public service staffed by motivated public servants whose performance is maximised and its potential is fully developed. - **White Paper on Public Service Training and Education, 1997**. This process covers the recruitment, selection and retention of public servants, training, employee performance management and development, overtime and leave management, occupational health and safety matters, as well as exit from the Public Service.



Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Human Resource Plan: A management tool that involves forecasting the human resource capacity needs of the organisation. and further provide guidance on which planning steps are necessary or required to meet these needs. This mandate derives from:- Public Service Act 1994 Chapter 3 Section 7 (3(b)), Public Service Regulations, 2016 Section 26.</p>			
<p>100% implementation of the departmental human resource plan per annum</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The proportion of alignment of the HR Plan to departmental planning instruments (Strategic Plan, APP, Facilities, etc.) • The proportion of strategies to manage surplus and shortages of staff implemented. • Number of skills gaps identified in relation to the existing skills. • The proportion alignment of HR Plan to MTEF budget cycle. <p>Secondary Indicators</p> <ul style="list-style-type: none"> • Number of employees required in terms of EE Requirements • Number of strategies identified to develop a multi-skilled, representative and flexible work force that will enable the Departments to adapt rapidly to a changing operational environment. 	<p>Manager: Human Resource Management and Development</p>	<ul style="list-style-type: none"> • Strategic Plan • APP • HR Plan • PERSAL • Approved organizational structure
<p>Human Resources Provisioning: This refers to the process of advertising a position with a view to select, appoint and retain an ideal candidate for employment based on their knowledge, skills and competency. - Public Service Act, 1994 (No.103 of 1994), Public Service Regulations 2016, Regulation 26 & 57 – 70</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
100% implementation of the departmental human resource plan per annum	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • The proportion of funded posts advertised and filled within a financial year. • The proportion of human resources turnover/ replacement rate (rate of filling vacancies) • The proportion of funded posts vacant against the total approved establishment. • The ratio between SMS to non-SMS posts on the approved organisational structure. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> • The proportion of vacant SMS posts against total number of posts. • The proportion of vacant non-SMS posts against total number of posts • The proportion of directions to act in SMS position. • The proportion of directions to act in non-SMS positions • The average period of officials acting in a position. • The proportion of persons with whom exit interviews are held • The proportion of persons with whom exit interviews were not held. 	<ul style="list-style-type: none"> • Manager Human Resource Management and Development 	<ul style="list-style-type: none"> • Approved Organisational Structure • Recruitment Plan • PERSAL • Post/Staff establishment • Employment Equity Plan • HR Plan • Retention Strategy
<p>Establishment Control: This is a formal process for matching information on funded posts in the approved organisational structure with the details of the staff currently employed. PSR 2016, Chapter4, regulation 39</p>			
100% of posts on approved establishment funded	<p>Primary Indicators</p>	<p>Manager Human Resource Management & Development</p>	<ul style="list-style-type: none"> • Annual Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The number of funded posts on approved organisational structure. The proportion of provisions additional to the establishment (Contract posts) against total number of posts on the approved Organisational structure. The proportion of the posts filled out of adjustment. The proportion of posts filled in an acting capacity The proportion of consultants employed by the department against the number of funded posts on the approved departmental establishment. 		<ul style="list-style-type: none"> Organisational Structure PERSAL Report
<p>Human Resource Development: This refers to systems, programs and processes to link the training and skills gaps of the organisation with the training and development needs of the employees to improve organisational performance - Public Service Act, 1994 (no.103 of 1994), Public Service Regulations 2016, Regulations 26 (1 – 2 (a)-(f), 74 -77), Skills Development Act 1998 (No 97 of 1998), South African Qualifications Authority Act, 1995 (No. 58 of 1995), National Qualifications Framework Act, 2009 (No. 67 of 2009) and Skills Development Levy Act, 1999 (No 9 of 1999)</p> <p>In the Public Service, a key enabler for HRD is the Human Resource Development Plan: The HRD Plan is a management tool to effectively assess the skills and development requirements of t an organisation, to determine how these skills requirements should be addressed by way of implementing appropriately planned training and development interventions. An Executing Authority shall implement and monitor a Human Resource Development Plan for his Department, PSR 2016, Regulation 28.ⁱ</p>			
<p>100% implementation of the departmental human resource development plan implemented per annum</p> <p>100% implementation of the 1% skills levy per annum</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of annual HRD plan implemented. The proportion of time spent on formal training per staff member. The proportion of the HRD Budget expended on Skills development per annum. The proportion of the HRD Budget expended on Skills development per annum. <p>Secondary Indicators</p>	<ul style="list-style-type: none"> Manager Human Resource Management & Development 	<ul style="list-style-type: none"> Annual report Departmental Budget Approved HRD Plan Approved Work Place Skills Plan BAS Report PERSAL Bursary register

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • The proportion of the total budget spent per annum on HRD activities (Training, Seminars' etc.) • The proportion of the HRD Budget expended on PDP training. • The proportion of the HRD Budget expended on Non PDP training. • The average proportion of days spent on accredited training per trained staff member. • The number of internships enrolled. • The number of learner ships enrolled. • Number of experiential learners • Number of bursaries awarded. • Number of employees who received bursaries but did not completed their studies. • Cost of bursary awarded per employee. • The proportion of the HRD Budget expended on PDP training. • The proportion of the HRD Budget expended on Non PDP training 		
Skills Development Plan: This is a management tool that provides for a custom, date-driven inventory and schedule of skills and knowledge that must be learned in a given role and the resources available and test questions needed to confirm that the right knowledge has been transferred. Skills Development Act, No 97 of 1998.			
100% implementation of the departmental skills development plan per annum	Primary Indicators <ul style="list-style-type: none"> • Proportion of skills per job role required, mapped. • Proportion of required skills captured on the skills database. • Proportion of required skills identified for development per annum. • Budget allocated to develop shrink skills deficit. 	<ul style="list-style-type: none"> • Manager: Human Resource Management and Development. • Skills Development Facilitator 	<ul style="list-style-type: none"> • Annual Report • Work Place Skills Plan

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Employment Equity Plan: This refers to a management tool for the achievement of equity in the workplace by promoting equal opportunity and fair treatment in employment through elimination of unfair discrimination and implementing affirmative action measures to redress the disadvantages in employment experienced by designated groups. This is to ensure equitable representation in all occupational categories and levels in the workplace. This mandate is derived from the - Public Service Act no: 103 of 1994, Public Service Regulations 2016, Regulation 27, and Section 20 of the Employment Equity Act no: 55 of 1998.</p>			
<p>100% implementation of the departmental employment equity plan per annum</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of posts on the establishment filled in line with EE target per annum. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The proportion of SMS posts filled in line with EE Target The proportion of MMS posts filled in line of EE Target 	<p>Manager: Human Resource Management and Development</p>	<ul style="list-style-type: none"> Annual Report PERSAL Post establishment Employment Equity Plan Succession Plan Retention Strategy Recruitment Plan
<p>Employee Performance Management and Development: This refers to systems and programmes to assess the work performance of individual employees linked to the planned institutional outputs. It provides for incentives, monetary and non-monetary rewards based on the agreed upon standards provided for in the PMDS system. Public Service Act no: 103 of 1994, Public Service Regulations, 2016: Regulation 71 - 73.</p>			
<p>100% implementation of the PMDS per annum</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of employees who have performance agreements. The proportion of employees who have been formally assessed during the last PMDS cycle. The proportion of employees who have been assessed as not fully effective (not granted pay progression). 	<ul style="list-style-type: none"> Manager Human Resource Management & Development 	<ul style="list-style-type: none"> Annual Report PERSAL report Performance Register Minutes of the PMDS Moderating Committee
<p>Managing Overtime: This is the process of compensating employees other than SMS members, for the hours worked in excess of the normal shift during the full-time daily or weekly schedule. In the Public Service, the monthly compensation for overtime may not exceed 30 percent of the employee's monthly salary or the limitation determined by the Minister. Public Service Act no: 103 of 1994, Public Service Regulations, 2016: Regulation 49 and Basic Conditions of Employment Act no: 75 of 1997.</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Overtime compensation is on average 30% or less of employee's basic salary per month.	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of employees compensated for approved overtime work. Average proportion of overtime compensation in relation to monthly salaries of employees working on approved overtime work per annum. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The number of employees not compensated for approved overtime per annum The ratio between approved overtime and normal working time. 	<ul style="list-style-type: none"> Manager Human Resource Management & Development 	<ul style="list-style-type: none"> Overtime Register BAS Reports PERSAL Report
<p>Leave Management: This refers to the process to manage time-off of employees to ensure opportunity to rest, study, recover from illness, maternal & paternity support etc. It includes systems, programs and procedures to request, approve and record leave in accordance with applicable employment legislation. This mandate is derived from the Public Service Act, 1994., (no. 103 of 1994) Sections 3(3) and 5(6)(1), Basic Conditions of Employment Act of 1997 (no.75 of 1997) Chapter 3, section 20 to 27, Public Service Regulations, 2016, part 2, Regulation48, Labour Relations Act, 1995 (no. 66 of 1995), Determinations and Directives on Leave of Absence in the Public Service. Collective Agreements related to leave.</p>			
100% implementation of departmental annual leave plan in line with policy directives on the – o Determination and Directive on Leave of Absence in the Public Service	<p>Primary Indicators</p> <ul style="list-style-type: none"> The number of person days lost per annum due to vacation leave taken The number of person days per annum lost due to sick leave days taken. The number of person days lost due to incapacity leave days taken. 	<ul style="list-style-type: none"> Manager Human Resource Management & Development 	<ul style="list-style-type: none"> Annual Report PERSAL Departmental Training Programs Departmental Leave Audit Reports Departmental Leave Plan and Reports

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<ul style="list-style-type: none"> ○ Policy and Procedure on Incapacity Leave and Ill-health Retirement 	<ul style="list-style-type: none"> • The number of person days lost to employees absent from work due to injury on duty or granted leave for occupational diseases. • The number of person days lost due to study leave. • The number of person days lost due to special leave. • The number of person days lost due to maternity leave, adoption leave and paternity leave. <p>Secondary indicators</p> <ul style="list-style-type: none"> • The average number of vacation leave days per staff member disapproved because of operational requirements. • The number of disputes and grievances declared due to incapacity leave not being managed within prescribed time frames. • The number of vacation leave days paid out due to service delivery requirements and/or at termination. • The proportion of leave records audited. • The number of misconduct charges relating to the abuse of sick leave. • The number of leave days (including capped leave) to be paid out to retiring staff. • The value of leave days (including capped leave) paid out annually. • The number of employees not taking vacation leave. 		<ul style="list-style-type: none"> • Departmental Employee Health and Wellness Program Reports • Departmental delegations. • EXCO (or management forum) minutes. • Annual reports on PILIR submitted to the DPSA. • Quarterly Health Risk Manager reports on incapacity leave and ill-health retirement. • Attendance registers of training sessions/ workshops on leave.

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Occupational Health and Safety: This relates to the processes for establishing and maintaining a safe and healthy working environment for employees in support of a healthy and productive workforce. - Public Service Act, 1994 (no.103 of 1994), Public Service Regulations, 2016: Regulation 53 - 55, Occupational Health and Safety Act,1993 (No. 85 of 1993), National strategic plan (HIV, TB and STI), Employee health and Wellness strategic Framework and Compensation for Occupational Injuries and Diseases Act, 1993 (no. 130 of 1993)</p>			
<p>Workplace and service delivery environment fully compliant with Occupational Health and Safety Standards</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The number of employee health and wellness workshops and campaigns conducted. • Number of Occupational Health and Safety Surveys conducted. • The proportion of departmental facilities (buildings) owned by the state with up to date Health and Safety occupation certification. • The proportion of departmental facilities leased from private sector owners with up to date Health and Safety occupation certification. <p>Secondary Indicators</p> <ul style="list-style-type: none"> • The number of Occupational health and safety issues identified and addressed. • Number of clinical interventions performed • The proportion of employees compensated under COIDA 	<ul style="list-style-type: none"> • Manager Human Resource Management & Development 	<ul style="list-style-type: none"> • Department of Public Works fixed asset register • Departmental leasing contracts. • Municipal building databases • Workshop attendance register • Medical surveillance database • OHS checklists and surveys • Feedback evaluation forms • Case register
<p>Employee Relations Management: This function refers to the legal framework and processes to manage the relationship between employer and employees, based on agreements pertaining to the rights of employers and employees regulating the link between work performed under certain conditions in return for remuneration and benefits. It seeks to address issues when that relationship is challenged through breaches in conduct on the part of both the Employer and the Employee. This mandate is derived from the Public Service Act, 1994, Labour Relations Act, 1995 and Basic Conditions of Employment Act, 1997. This is a mandate of the DPSA insofar as employees have been appointed to the Public Service.</p>			

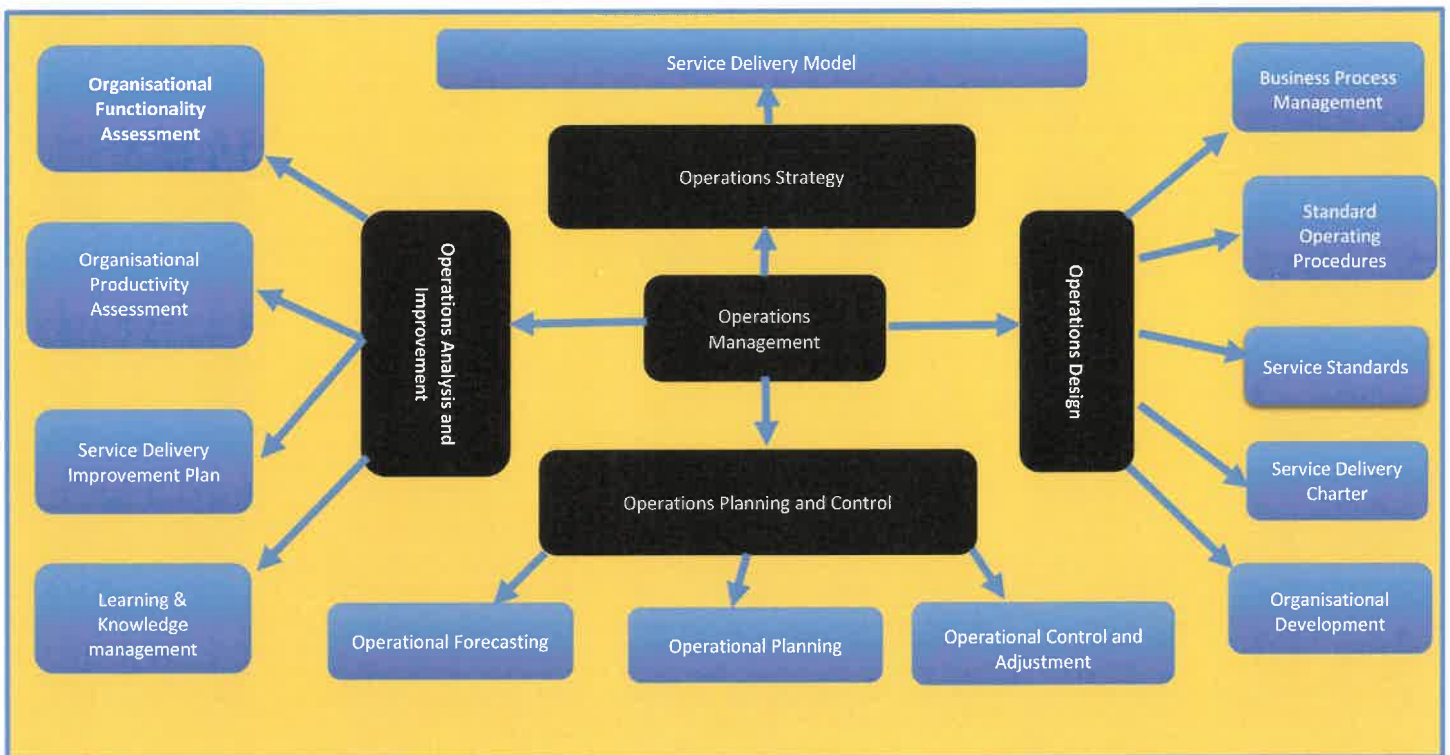
Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
100% ethical conduct and discipline of departmental staff per annum	<p>Primary indicators</p> <ul style="list-style-type: none"> • The number of disciplinary cases per category of misconduct against employees reported. • The number of disciplinary cases resolved within 90 days. • The number of precautionary suspensions to investigate alleged cases of misconduct. • The number of person days lost due to precautionary suspension in disciplinary cases • The number of disputes declared. • The number of disputes settled. • The number of appeals finalized within 30 days • The number of person days lost due to postponement of cases • Number of cases referred to Labour Court • Number of employees who participated in protected strike (industrial action). • Number of person-hours lost due to protected and unprotected strike (industrial action). • The number of employees trained on disciplinary and grievances processes. • The number of DTT / UMC Meetings held with organized labour. • The number of grievances reported per annum • The number of grievances resolved within 30 working days per annum. • The number of grievance cases referred to the PSC • The number of grievance disputes declared 	<ul style="list-style-type: none"> • Manager Human Resource Management & Development • Manager Employment Relations 	<ul style="list-style-type: none"> • Annual Report • PERSAL • Case file of disciplinary cases and misconduct cases

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<p>Secondary Indicators</p> <ul style="list-style-type: none"> • The number of disciplinary cases per category of misconduct against SMS members reported. • The number of disciplinary cases unresolved after 90 days. • The number of precautionary suspensions going beyond 60 days. • The number of disciplinary cases won • The number of disciplinary cases lost • The number of appeals lodged. • The number of disputes ruled in favour of the department. • The number of disputes ruled against the department. • The number of cases withdrawn. • Amount paid as compensation for unfair Labour practices • Number of Labour Court cases won • Number of Labour Court cases lost • Number of Labour Court cases settled • Number of employees who participated in unprotected strike (industrial action). • The number of employees trained as Initiators (departmental representatives). • The number of employees trained as presiding officers. • The number of default awards issued • The number of disciplinary cases captured on PERSAL • The number of employees discharged in terms of section 17.3 (a) and (b) of the PSA. • Number of employees discharged in terms of section 14 of EEA 		

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • The number of grievances by SMS members reported per annum. • The number of grievances by non-SMS members reported per annum. • The number of grievances unresolved after 30 working days per annum. • The number of PSC recommendations in favour of the department • The number of PSC recommendations in favour of the employee • The number of grievance disputes ruled in favour of the department • The number of grievance disputes against the department. • The number of PAIA disputes referred to the CCMA 		

Element 4: Operations Management

Operations Management: This is a process to assist government institutions to plan, structure, execute and continuously improve their operations for the effective and efficient delivery of services. Operations Management in the Public Service Operations management refers to the activities, decisions and responsibilities of managing the production and delivery of products and services in line with an institution's strategic objectives. It comprises four major activities: Developing an operations strategy, 2.-Designing operations, Planning and controlling operations and. Analysis of operations and improvement thereof. This includes issues such as the design of a department's service delivery model, taking into account its core mandated services, mapped business processes, standard operating procedures, service standards, and service delivery charter. - This mandate is derived from the: - Public Service Act, 1994 (no.103 of 1994), Public Service Regulations 2016, Regulation 36, White Paper on The Transformation of The Public Service , 1995, National Development Plan, Outcome 12



Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Operations Strategy: This refers to a set of general principles with regards to how services will be delivered, which can guide decision making towards the institution's long term goals. The operations strategy is reflected through, amongst others, the organization's service delivery model.</p>			
<p>Service Delivery Model (SDM): A Service Delivery Model (SDM) is a document that describes how an institution will deliver on the services and products that were identified during the strategic planning process. The SDM conducts a mandate analysis to identify the major functions and services from the legal mandates of the department. The SDM is a critical analysis of how current service delivery modes could be improved by making specific improvements. The classification or categories of services that are available and /or provided by different types of government departments/institutions in terms of the respective legislative mandate. The different types of services culminates in the unique organisational structures and resourcing of departments. The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 3, Part 3, Regulation 36</p>			
Service Delivery model developed, approved and implemented	<p>Primary Indicators</p> <ul style="list-style-type: none"> • The SDM is reviewed annually and approved by the HOD. • The SDM is aligned to the department's mandate. • The SDM has identified modes of delivery for all services and products delivered by the Department. • The approved organizational structure is aligned with the SDM 	<ul style="list-style-type: none"> • Head of Department • Programme Managers • Manager Organisation Development 	<ul style="list-style-type: none"> • Approved Strategic Plan • Operations Management Framework • Approved Service Delivery Model • Approved organizational structure • Annual Report • Budget Vote
<p>Operations Design: This refers to the activity of designing the form, shape and composition of products, services and processes, and is crucial to the operation's activities. Typical design tools are mapped and managed business processes, implemented standard operating procedures and developed service standards reflected in a service delivery charter.</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Business Process Management: Business process management is a disciplined approach to identify, design, execute, document, measure, monitor, and control both automated and non-automated business processes to achieve consistent, targeted results aligned with the institution's strategic goals. PSR 2016 (Chapter 3, Part 2, Regulation 36)</p>			
<p>100% of business processes mapped and implemented</p>	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • The proportion of business processes mapped against all services per annum • The proportion of processes improved against total existing processes per annum. • The proportion of improved business processes approved and implemented per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> • The improvement in turn –a- round times per improved service. • The improvement in Queue waiting times per service • The proportion of savings generated per improved business process per annum. 	<ul style="list-style-type: none"> • Manager Organisation Development • Programme Manager • Process Owners 	<ul style="list-style-type: none"> • Annual Report • Operations Management Framework • Register of Standard Operating Procedures/ Business Processes • Departmental Business Process Database • Process Architecture
<p>Standard Operating Procedures: A Standard Operating Procedure (SOP) specifies in writing what should be done, when, where, by whom and how. The SOP document details the regularly recurring work processes that are to be conducted or followed within an institution. This includes the manner in which activities should be performed to facilitate consistent conformance to technical and quality requirements and to support high quality work. The benefits include the maintenance of quality control and quality assurance processes while ensuring compliance with governmental regulations</p>			
<p>100% of standard operating procedures developed and implemented</p>	<ul style="list-style-type: none"> • Primary Indicator: 	<ul style="list-style-type: none"> • Manager Organisation Development • Programme Manager 	<ul style="list-style-type: none"> • Annual report • Operations Management Framework

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The proportion of standard operating procedures drafted and implemented based on improved business processes against number of total services per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The proportion of existing standard operating procedures reviewed The proportion of savings generated per SOP implemented per annum. 	<ul style="list-style-type: none"> Process Owners 	<ul style="list-style-type: none"> Register of Standard Operating Procedures/ Business Processes Departmental Business Process Database. Process Architecture
<p>Service Standards: A service standard is a reasonable and measurable expectation from the side of the service beneficiary and an honest commitment by the service provider to meet or exceed that expectation for the standards of services delivered to citizens. Service standards help to measure the extent to which set objectives are met. Establishing service standards is an evolutionary process that goes hand-in-hand with transparency and consultation to make it meaningful (Department of Public Service and Administration, 2007:119). As part of a continuous improvement strategy, service standards should be regularly reviewed and revised as service becomes more efficient.</p>			
Service standards developed and implemented for all services	<p>Primary Indicators</p> <ul style="list-style-type: none"> The number of service standards based on SMART criteria approved per annum. The percentage of service standards met/implemented per annum. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The proportion of service standards reviewed per annum 	<ul style="list-style-type: none"> Manager Organisation Development Programme Manager Process Owners 	<ul style="list-style-type: none"> Annual Report Departmental Operations Management Framework Register of service standards
<p>Service Delivery Charter: The service delivery charter (Statement of Public Service Commitment) sets out governmental institutions' commitment to providing services at specified levels in order to affect strategic developmental outcomes within the constraints of available resources. A service delivery charter is a public document that sets out the standards of service that service beneficiaries can expect from a government institution. The service delivery charter will also specify complaints mechanisms as prescribed methods of lodging complaints.</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
100% of services contained in service delivery charter provided at the stated levels	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of the services rendered by the department that are contained in the Service Charter with service standards published/ displayed on web site and at service points The proportion of complaints received and addressed with regard to service standards. <p>Secondary Indicator:</p> <ul style="list-style-type: none"> The proportion of complaints correspondence replied to on time. 	<ul style="list-style-type: none"> Manager Organisation Development Programme Manager Process Owners 	<ul style="list-style-type: none"> Annual Report Operations Management Framework Register of Standard Operating Procedures/ Business Processes Departmental Business Process Database.
<p>Organisational Development: This refers to the process to facilitate organisational success by aligning structural, cultural and strategic realities of work to respond to the needs of an ever-changing business environment.</p>			
<p>Organisational Design: This is a planned and systematic approach to assist the organisation to design and approve an organizational structure, resourced with funded and correctly graded posts, based on the approved job descriptions, aligned to the organizational mandate and strategic objectives of the department, aimed at effective and efficient service delivery. It is an analytical process of disaggregating functions from a legal mandate into core major functions, then to processes, then into key sub-functions, then into minor functions for each sub-function, then into basic functions and lastly into tasks and activities. – Definition provided by 2016 OD Directive. The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 4, Part 1, (43)- Public Service Act, 1994 (No. 103 of 1994), Public Service Regulations, 2016, Chapter 3 Part 1 (Regulation 25 (2) (a) – (c). Directive on Organisational Structure.</p>			
<p>Full compliance with the Directive on Organisational Structure, Average Supervisor to Employee Ratio (SER) per department for: Salary Level 1-2: 1:10</p>	<ul style="list-style-type: none"> Number of OD Reviews/ changes to organizational structures per annum. The approved organizational structure consulted with the MPSA in accordance with the 2016 OD Directive The proportion alignment between the approved organisational structure and the Generic Sectoral Functional structure 	<ul style="list-style-type: none"> Manager Organisation Development 	<ul style="list-style-type: none"> Annual Report Strategic Plan PERSAL Organisational Structure 2016 OD Directive

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Salary Level 3-5: 1:8 Salary Level 6-8 1:4 Salary Level 9-12 1:4 Salary Level 13-15 1:4 # (Example only) Recommend that first data capture be used to determine baseline ratios	<ul style="list-style-type: none"> The proportion alignment between the posts on the approved organisational structure and the PERSAL Structure The proportion alignment of the approved organisational structure to the Strategic Plan The proportion alignment between the Organisational Structure and the Service Delivery Model. The percentage of funded posts on approved organisational structure. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The average supervisor-employee ratio on the approved organizational structure The average supervisor-employee ratio for core services. The average supervisor-employee ratio for support services 		
<p>Job Descriptions and Work Organisation: In the Public Service each post or group of posts should have a job description and title that links its contribution to service delivery to the main objectives, activities and functions of the post or group of posts and the inherent requirements of the job, on the basis of which the job grade and remuneration is determined. The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 4, Part 1, Regulation 39</p>			
All staff should have up to date job descriptions in line with the strategic objectives of the department and Job Descriptions should be reviewed once every 5 years.	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of employees who have approved job descriptions that was reviewed within last five years ago. The proportion of posts job evaluated in the past five years The average supervisor-employee ratio. 	<ul style="list-style-type: none"> Manager Organisation and Development Manager Human Resource Management and Development 	<ul style="list-style-type: none"> Annual Report Organisational Structure PERSAL Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The average supervisor-employee ratio for HQ services versus decentralised service points. 		
<p>Change Management: Change Management Process refers to a sequence of steps or activities that a change management team or project leader follow to facilitate change aimed at specific transitions and ensure the project meets its intended outcomes.</p> <ul style="list-style-type: none"> Public Service Act, 1994 and Public Service Regulations, 2016, Chapter 3, Part 3, Regulations No. 37, 38 and 39. White Paper on the transformation of Service Delivery (Batho Pele), 1997 			
100% of identified change initiatives implemented per annum	<p>Primary Indicators</p> <ul style="list-style-type: none"> The number of change readiness assessments conducted. The number of change management plans developed and implemented. The number of change management interventions conducted. The number of change impact assessment conducted (monitoring and evaluation). 	<ul style="list-style-type: none"> Head of Department Programme Managers Manager Strategic Management Manager Human Resource Management & Development 	<ul style="list-style-type: none"> Annual Report Change Readiness Assessment Report Change Management plans
<p>Organisational culture: This refers to the distinctive norms, beliefs, principles and ways of behaving that combine to give each organisation its distinct character". It also affects the ability of the organisation to respond to changes from within and from its environment. Arnold (2005) - Public Service Act, 1994, Public Service Regulations, 2016, Chapter 3, Part 3, Regulations No. 37, 38 and 39, White Paper on the Transformation of Service Delivery (Batho Pele), 1997</p>			
	<p>Primary Indicators</p> <ul style="list-style-type: none"> Number of surveys conducted to determine and describe the departmental organizational culture Number of surveys conducted to measure impact of Organisational Culture on Organisational Change initiatives 	<ul style="list-style-type: none"> Head of Department Programme Managers Manager Strategic Management 	<ul style="list-style-type: none"> Annual Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> Number of surveys done to measure impact of Organisational Culture on Organisational performance 	<ul style="list-style-type: none"> Manager Human Resource Management & Development 	
<p>Operations Planning and Control; Operational planning and control decisions involve the scheduling and control of human resources, materials and financial input to produce the desired quantity and quality of output most efficiently. Operational planning and control are based on forecasts of future demand for the output of the system. Operations managers may face several challenges in their attempts to manage operations efficiently. Their broad responsibilities include for the forecasting, planning, and controlling and adjusting operations. These ensure that an institution runs smoothly and that all performed activities contribute to the production of goods and services within the institution.</p>			
<p>Operational Forecasting; Forecasting is the initial phase of managing the ongoing activities of the operation. Forecasting helps operations managers and institutions develop meaningful plans and reduce uncertainty of events in the future. Operations managers need to put actions into place that will deliver the required outputs at the required times</p>			
<p>All service delivery Units/service points should implement operations Plans based on forecasting of service production.</p>	<p>Primary Indicators</p> <ul style="list-style-type: none"> The proportion of Units/service points that keeps production statistics regarding their services and products on a weekly/monthly basis. The proportion of Units/service points that keeps record of resource availability for the production of services cycle. 	<ul style="list-style-type: none"> Manager Organisation and Development Manager Human Resource Management and Development Service point/Unit Managers 	
<p>Operational Planning; Operational planning is the day-to-day and month-to-month planning for what your institution is doing. Operations managers need to develop an operations plan to ensure that an institution has all of the resources required to perform the work to deliver services to service beneficiaries. In turn, the institution's workflow should remain uninterrupted.</p>			
	<p>Primary Indicators:</p>	<ul style="list-style-type: none"> Manager Organisation and Development 	<ul style="list-style-type: none"> Annual Performance Plan Operations Management Framework

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The proportion of Units/service points that produced Operations Plans taking into account production statistics and resource availability trends The proportion of units/service points that implemented operations plans on a weekly/ monthly basis 	<ul style="list-style-type: none"> Manager Human Resource Management and Development Service point managers 	<ul style="list-style-type: none"> Weekly/monthly Operations Plans
<p>Operational Control and Adjustment: After implementing the new operations plan, managers will be required to control it. Through in period monitoring, operations managers will be able to gather the information required to determine whether the plan is performing in the expected manner. As things do not always run as expected within the working environment, operations managers will need to know how to adjust their plans in order to maintain the levels of production required. Operational control regulates the day-to-day output relative to schedules, specifications and costs.</p>			
	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of Units/service points that monitored the impact of the implementation of operations plans – Achieving production targets against planned targets The proportion of Units/ service points that adjusted Operations Plans to regulate production schedules and cost to achieve targets on a weekly and monthly basis. <p>Secondary Indicator:</p> <ul style="list-style-type: none"> The proportion of Units/service points that produced analytic reports to identify the causes that contributed to the difference in actual and planned performance, with proposals for corrective action 	<ul style="list-style-type: none"> Manager Organisational Development 	<ul style="list-style-type: none"> Annual Performance Plan Operations Management Framework Weekly/monthly Operations Plans
<p>Operations Analysis an Improvement: Refers to a method of analysing current performance of an organisation against the resources utilised to achieve the output in order to improve functionality, effectiveness and efficiency</p>			

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Organisational Functionality Assessment: The OFA is a <i>Systemic Analysis of Organisational Functionality</i> measured against its Capacity to Deliver, Resource Utilization and Deployment, Institutionalized Systems, Policies and Processes. The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 3, Part 2, Regulation 35</p>			
100% compliance with the Directive on Organizational Functionality Assessment	<ul style="list-style-type: none"> • The number of OFA findings for operations improvement made • The number of OFA recommendations for operations improvement made • The proportion of recommendations for operations improvement implemented 	<ul style="list-style-type: none"> • Manager Organisational Development 	<ul style="list-style-type: none"> • Annual Report • OFA Reports • OFA Improvement Plans
<p>Productivity Measurement: This refers to a process to measure how effectively and efficient institutional inputs are translated into outputs. Previously, much of the Government focus was place on performance rather than productivity. Productivity measures the relationship between resource and outputs, whereas performance just measures outputs. Service beneficiaries are more concerned about outcomes that they receive and thus the quality of a service is very important. Public service productivity should be aimed at attaining service beneficiary satisfaction. The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 3, Part 1, Regulation 29</p>			
100% compliance with the Directive on Productivity Measurement	<ul style="list-style-type: none"> • The number of findings made to improve productivity • The proportion of recommendations to address findings implemented • The % of productivity improvement achieved 	<ul style="list-style-type: none"> • Manager Organisational Development 	<ul style="list-style-type: none"> • Annual Report • Productivity Reports
<p>Service Delivery Improvement Plan: SDIPs are tools used to ensure the continuous and incremental improvement of service delivery. SDIPs is neither an operational plan nor a Service Delivery Model (SDM), but rather helps an institution focus on key services within operational plans.</p> <p>The DPSA mandate is derived from the Public Service Act, 1994 (No 103 of 1994) and Public Service Regulations 2016, Chapter 3, Part 1, Regulation 38 38.</p> <p>The Executive Authority shall establish and maintain a Service Delivery Improvement Plan and Charter consulted with service recipients.</p>			

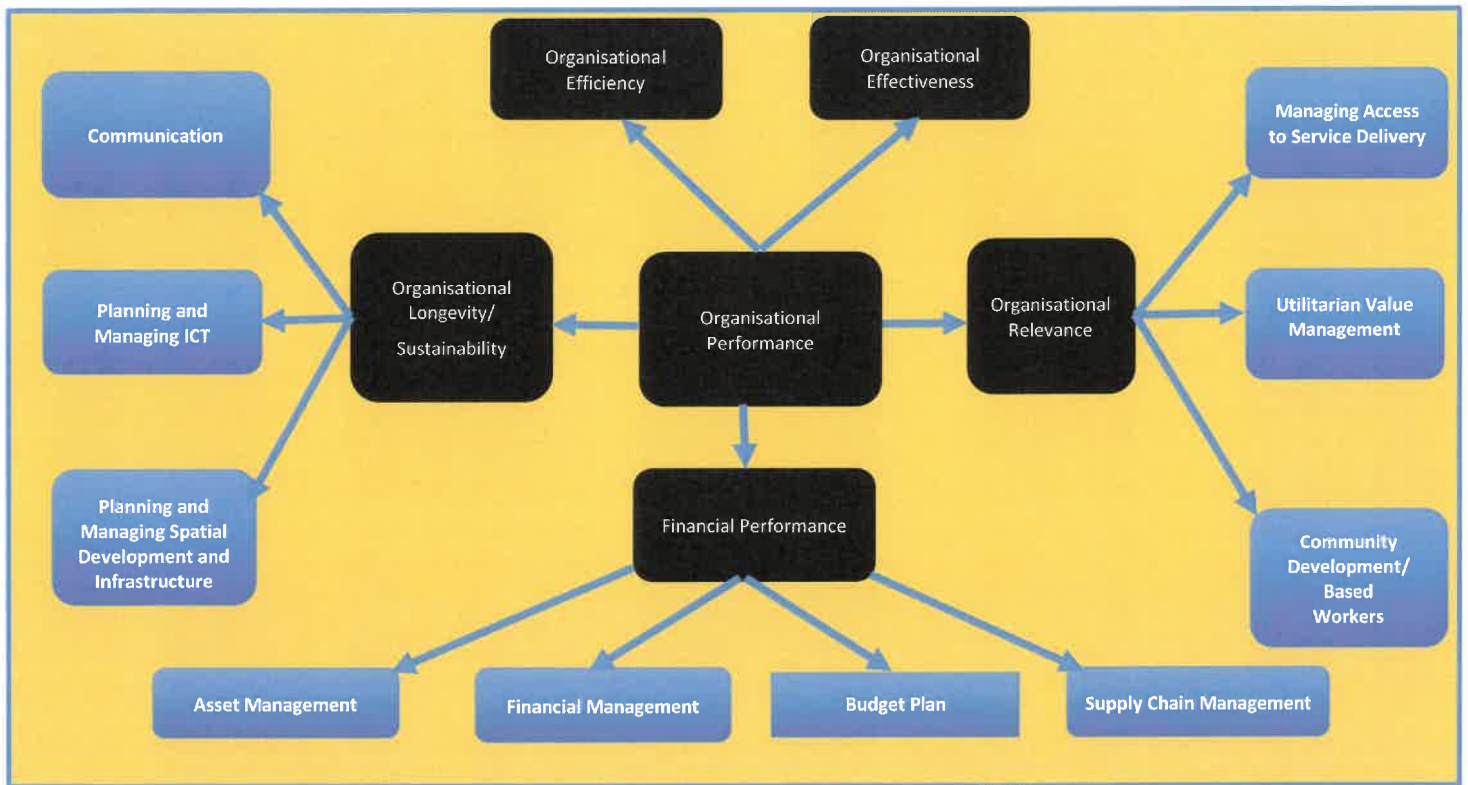
Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
100% compliance with Public Service Regulation 38.	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of the service standards for services rendered by the department that are contained in the Service Delivery Improvement Plan. The % of approved service standards in the SDIP successfully implemented <p>Secondary Indicator:</p> <ul style="list-style-type: none"> The number of service delivery consultation sessions conducted with service recipients 	<ul style="list-style-type: none"> Manager Organisational Development 	<ul style="list-style-type: none"> APP Budget Vote Procurement Plan EXCO Resolutions Departmental EXCO minutes Annual Report Departmental SDIP Departmental Web Site Khaedu reports
<p>Learning and Knowledge Management: This refers to the systematic management of an organization's knowledge assets (intellectual property) for creating value and meeting tactical and strategic requirements; it consists of the initiatives, processes, strategies, and systems that sustain and enhance the storage, assessment, sharing, refinement, and creation of knowledge.</p>			
<p>Records Management: Refers to the creation, receipt, maintenance use, disposal of records. This activity is mandated through the National Archives of South Africa Act, Act 43 of 1996</p>			
100% implementation of records management plan	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The extent to which the Filing Plan has been implemented and updated in alignment with the approved organizational structure. The number of inspections conducted per annum to assess the Record management centre/s to determine the status of filing backlogs, compliance with MISS and OHS. 	<ul style="list-style-type: none"> Manager Human Resource Management Manager: Records Management 	<ul style="list-style-type: none"> Annual report Monitoring and Evaluation reports AG management letter File Plan Director of Archives circulars and policies

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The proportion of recommendations emanating from inspection reports implemented <p>Secondary Indicators</p> <ul style="list-style-type: none"> The number of electronic hubs for soft copies of information and records established The number of departmental records converted and filled electronically stored per annum/month/week. The proportion of official records archived per annum. The extent to which the Records Management Disaster Management Plan has been developed and implemented 		<ul style="list-style-type: none"> Electronic Records Management system
<p>Research: This refers to the systematic investigative process, to increase or revise current knowledge by discovering new facts or evidence. It is divided into two general categories: Basic research is inquiry aimed at increasing scientific knowledge, while applied research is effort aimed at using basic research for solving problems or developing new processes, products, practices or techniques in support of service delivery. Such new processes, products, practices or techniques may be patented or filed with copy right as intellectual property of the department/state.</p>			
<p>100% implementation of the departmental Policy on Research, Learning and Knowledge Management.</p>	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The number of research projects finalised per annum in support of departmental outputs/ Objectives/ Outcomes. The proportion of research agenda/plan achieved. The number of published research reports <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The number of approved "research papers" (intellectual property) filed per annum in knowledge centre. Number of full time and part time researchers on database. 	<ul style="list-style-type: none"> Manager: Policy, Research, Monitoring and valuation 	<ul style="list-style-type: none"> Research register Annual report Monitoring and Evaluation reports Unit work plans

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • Number of meetings of the research forum per annum. • Number of partnerships with universities/ research institutions. • The number of learning network sessions based on research outcomes, in support of departmental outputs/ outcomes/ objectives facilitated. 		

Element 5: Organisational Performance

Organisational Performance: Refers to the Department's measured attainment of outputs and objectives in relation to its set objectives in its annual performance plan.



Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Organisational Effectiveness: This refers to the measure to which an organisation achieve its planned delivery of outputs (high quality services and products) in accordance with its strategic objectives. This mandate is derived from: The Public Service Act no: 103 of 1994. Public Service Regulations 2016. Regulations 9 & 29. Public Management Finance Act, 1999 (no. 1 of 1999).</p>			
<ul style="list-style-type: none"> • 100% Implementation and achievement of APP outputs per annum. 	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • The proportion of APP objectives achieved. • The proportion attainment of outputs in annual operational plan <p>Secondary Indicator:</p> <ul style="list-style-type: none"> • The proportion of deviations on APP targets. 	<ul style="list-style-type: none"> • CFO • Manager Strategic Management • Manager Monitoring and Evaluation 	<ul style="list-style-type: none"> • APP • Annual Report • Quarterly status monitoring report • Audit Reports
<p>Organisational Efficiency: This is the measure to which an organisation achieves its outputs in an economic, cost-effective and productive manner. The DPSA mandate is derived from the Public Service Act, 1994, (No.103 of 1994). Public Service Regulations, 2016, Regulation 29 and supported by the Public Finance Management Act, 1999 (No. 1 of 1999).</p>			
<ul style="list-style-type: none"> • 100% efficiency and effectiveness rating based on: <ul style="list-style-type: none"> ○ The attainment of annual and quarterly outputs at the lowest average staff unit cost. ○ Minimum % of budget spent on Support compared to the Core function with regard to 	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • The proportion of quarterly and annual outputs achieved per department programme. • The average quarterly and annual staff Unit Cost per department programme • The average quarterly and annual goods and services cost per output in the APP. • The proportion of fruitless, wasteful and irregular expenditure per department programme output per annum. <p>Secondary Indicators:</p>	<ul style="list-style-type: none"> • CFO • Manager GRM • Manager Strategic Planning, Monitoring and Evaluation 	<ul style="list-style-type: none"> • Departmental Budget. • Annual Report • APP • Establishment on PERSAL

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Compensation of Employment. ○ 100 % of budget spent on Compensation of Employment (COE); (recommend baseline for Small, medium & large departments be determined with first data capture)	<ul style="list-style-type: none"> • The ratio between expenditure on support functions versus core business functions (See Financial proportion growth in departmental budget versus the proportion growth in departmental employee numbers per annum.(See Budget Management) • The compensation of employees (COE) as percentage of the total budget per annum. (See Budget Management) • The number of roll overs requested for Goods and Services • The proportion of funds budgeted for capital assets rolled over per annum 		
<ul style="list-style-type: none"> • Organisational Relevance: (Responsiveness): This refers to a department's ability to respond to the actual needs of beneficiaries and to stay alert to any changes in environment that influences this ability and to alter its course of action based on learning. Areas to focus on may include how a department determines what services must be rendered (now and in the future), customer satisfaction surveys, effectiveness of complaints management, accessibility of services delivered and the appropriateness of the service delivery model employed (Hanine Salem; Organisational Performance Management and Measurement: The Lebanese Experience: Beirut; 2003). 			
Managing Access to Service Delivery: Refers to processes and initiatives to improve and manage service recipients access to government services			
100% of service beneficiaries consulted/informed on the quantity and quality of services that are provided or available to them per annum.	Primary Indicators: <ul style="list-style-type: none"> • The proportion increase in service recipients utilising services per annum. • The number of departmental offices and service points plotted on GIS system (coordinates of service points) • The number of service beneficiaries serviced per service point per annum. 	<ul style="list-style-type: none"> • Manager: Organisational Development 	<ul style="list-style-type: none"> • APP • Budget Vote • Procurement Plan • EXCO Resolutions • Departmental EXCO minutes • Annual Report • Departmental SDIP • Departmental Web Site

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The ratio between employees and services beneficiaries at service points The (proportion) increase in service recipients utilising services per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The average distance of service beneficiaries to service points. Number of SMS members deployed at identified coal face service points per annum The Proportion of Project Khaedu Report findings and recommendations implemented per annum The number of service delivery leaflets issues in indigenous languages. The frequency in updating departmental website with service delivery information The number of bulk text messages sent to service recipients to update them with service delivery information. 		<ul style="list-style-type: none"> Departmental Service Charter Khaedu reports
<p>Utilitarian Value Management: This refers to the perceived value of the services and products that a citizen receive (the value how it serves/benefits the citizen) compared to the calculated cost to access such services and products and manifests in the maximum satisfaction or positive experiences that citizens derive from the service or product and the service delivery experience. Utilitarian value management also refers to the process of measuring the citizen's experience and service satisfaction and the steps to improve it.</p>			
	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The number of service delivery <u>information</u> sessions conducted with service recipients per annum. 	<ul style="list-style-type: none"> Manager Human Resource Management 	<ul style="list-style-type: none"> Annual Report Departmental SDIP Approved Service Charter

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • The number of service delivery <u>consultation</u> sessions conducted with service recipients. • The number of service related complaints received per service per annum • The number of service related complaints successfully resolved per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> • Number of citizens who participated in community outreach programmes. • The % of citizens participated in client satisfaction survey. • The participation rate to which a service recipient participated in client satisfaction surveys done. • The (%) increase/decrease in service related complaints received per number of service recipients serviced. • The average waiting time in queue to receive a service (per service). 	<ul style="list-style-type: none"> • Manager: Organizational Development • Programme Managers 	<ul style="list-style-type: none"> • Citizen satisfaction surveys
<p>Community Development/Based Workers: The role of the community development workers is to bring government closer to the people. They provide citizens access to a variety of government services at grass roots level, assist with inter-governmental coordination, both within the local government line departments and the three spheres of government, facilitate community development, strengthen interaction and partnerships between government and communities, as well as supporting participatory democracy by providing relevant information that could lead to economic empowerment. The DPSA mandate is derived from the Public Service Act, 1994, (No.103 of 1994), Public Service Regulations, 2016, Regulation 107. It should be noted that the mandates of many other departments in this regard are finding expression in their utilisation of community based occupations such as extension officers, community nurses, community liaison officers, etc.</p>			
	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • Number of community interaction programmes/services facilitated by CDWs. 	<ul style="list-style-type: none"> • Manager Human Resource Management • Programme Managers • District managers 	<ul style="list-style-type: none"> • Budget Vote • Organizational structure • APP

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> Number of Community Development/Based workers employed per ward/ district. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> Proportion of inputs from local communities to IDP and other planned government Number of communication/Information sharing sessions facilitated with Communities per annum The proportion of service delivery assistance projects finalised by CDW/CBW 		<ul style="list-style-type: none"> Annual Report
<p>Organisational Sustainability: This refers to the ability of an organisation to maintain the delivery of quality services and products from the present to the future, addressing the real needs of citizens and communities. This requires regular interaction with citizens and the appropriate use of technological and infrastructural resources to plan and deliver services and products of the required standards needed by citizens. This mandate is derived from the:- Public Service Act, 1994 (No. 103 of 1994) and Public Service Regulations, 2016, Chapter 2 Part 3 (Regulation 37, 38 (a) – (f)), Chapter 6, Regulations 93 and 96, Chapter 8, Regulations 107 & 108</p>			
<p>Communication Management: This refers to the processes and systems by which information, primarily service delivery information, is communicated to stakeholders or shared in the organization and during departmental events. It includes both the formal and informal flow of information. In general, this is not a direct mandate of the DPSA but of the Department of Communications. The DPSA does have a mandate regulating communication with the Minister and employees communicating with the media: Public Regulations 2016, Chapter 1, Regulation 6.</p>			
100% implementation of the communication strategy aligned to the strategic outcomes of the department per annum.	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The number of communication campaigns successfully implemented in line with the provincial/departmental communication strategy per annum. The average proportion of the targeted audience reached per annum 	<ul style="list-style-type: none"> Chief Information Officer Manager: Communications 	<ul style="list-style-type: none"> Communication strategy Budget Speeches

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> Number of updates performed on the website: updating of website content per annum <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The proportion of communications action plan outputs (outlining strategy, tools and methods to achieve objectives/ targets) achieved per annum. The average proportion of all communication messages disseminated (how well messages have been spread by the print, broadcast and social media to reach key audiences). Number of employees having access to departmental social media platforms Clear signage: Proportion of vision, mission and values, departmental service standards statements displayed at service points reviewed per annum 		
<p>Information Technology Systems Plan: This refer to the planning processes and outputs to support the provision of information technology solutions in pursuance of the organisational strategic outcomes. The plan is designed to assist organisations in making informed decisions when choosing appropriate system specifications to meet current and planned requirements. This mandate is derived from the Public Service Act no: 103 of 1994, Public Service Regulation, 2016, Regulation 30.</p>			
<p>100% implementation of the departmental Information Technology Systems Plan per annum</p>	<p>Primary indicators:</p> <ul style="list-style-type: none"> The proportion of IT Systems Plan outputs achieved per annum The proportion of budget for the IT Systems plan expended per annum <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The number of ICT user queries per annum 	<ul style="list-style-type: none"> ICT Manager CFO 	<ul style="list-style-type: none"> Departmental Budget Asset Register ICT report ICT Infrastructure Plan Approved Maintenance report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The average ICT turnaround times on resolving user queries. The average replacement cycle periods for ICT hardware. The frequency of ICT hardware life cycle maintenance and upgrade management The frequency of ICT systems updates/upgrades 		
<p>Managing ICT: This refers to the process of utilising ICT (hardware, software and information) to plan and deliver services and products of the required standards to citizens in an equitable and cost-efficient manner. This mandate is derived from the:- Public Service Act, 1994, Public Service Regulations, 2016 Regulations 93 - 97, ICT Corporate Governance Policy Framework.</p>			
<p>100% availability of Information and communication technology infrastructure and tools of trade, protected from intrusion, unlawful disclosure and changes of information in support of departmental service delivery per annum.</p>	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of ICT network connectivity/availability to service points The proportion of ICT network connectivity to users. The proportion of employees who have access to official ICT tools of trade. The proportion of service points/facilities with access to internet per department The proportion of staff with access to the internet. The number of services per department delivered by way of e-government platforms (E enabled). The proportion of successful ICT security breaches per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The upload and download speed improvement/ deterioration of ICT network connectivity during peak delivery times. The average age of IT equipment. 	<ul style="list-style-type: none"> GITO CIO 	<ul style="list-style-type: none"> Departmental Budget ICT monitoring report ICT Infrastructure Plan Approved Maintenance report Business continuity plan

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The proportion of ICT systems upgraded to latest version The proportion of implementation of the department's business continuity plan per annum. The number of ICT security breaches per annum. The monetary impact of ICT security breaches. 		
<p>Spatial Plan: This plan represents a uniform, effective and comprehensive system of spatial planning and land use management. The system of spatial planning and land use management promotes social, economic inclusion, develops principles, norms, and standards to, amongst other, provide for the sustainable and efficient use of land to support access to public services through the location of public service infrastructure. This is not a direct DPSA mandate. This mandate is derived from the Spatial Planning and Land Use Management Act 16 of 2013.</p>			
100% implementation of the departmental spatial plan per annum	<p>Primary Indicator:</p> <ul style="list-style-type: none"> The proportion of spatial development plan project initiatives implemented per annum. 	<ul style="list-style-type: none"> CFO Manager: Strategic Management, Monitoring and Evaluation. Manager: Infrastructure Development Manager Facilities Management 	<ul style="list-style-type: none"> Spatial Plan Strategic Plan Budget Vote Departmental Infrastructure Plan IDMS
<p>Infrastructure Plan: From a public service perspective, plan structures the provision of office and institutional accommodation for National and Provincial departments and it assist them to function effectively. This includes planning for the acquisition, leasing, maintenance and disposal of such immovable assets. It also provides for the creation of other infrastructure needed for the development and maintenance of the economy of the RSA. This is not a direct DPSA mandate but it is a Department of Public Works mandate and is derived from the Public Finance Management Act no: 1 of 1999 and Government Immovable Asset Management Act no: 19 of 2007, Section 13.</p>			
100% implementation of the annual targets of the departmental infrastructure plan	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The percentage of the planned scope of work in line with the infrastructure plan achieved. The number of new infrastructure development projects managed per annum. 	<ul style="list-style-type: none"> CFO Manager: Strategic Management, Monitoring and Evaluation. Manager: Infrastructure Development/Maintenance 	<ul style="list-style-type: none"> Strategic Plan Budget Vote Departmental Infrastructure Plan IDMS

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> • The number of infrastructure maintenance projects managed per annum. • The percentage of over- or underspending on capital and maintenance budgets per annum. • The average percentage of growth/decrease in the value of planned maintenance projects budgets per annum. • The proportion of recurring maintenance projects contracted out per annum. • The proportion of infrastructure development projects completed per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> • The proportion of Service Level Agreement entered into with infrastructure service providers. • The proportion of recurring maintenance projects completed in-house per annum. • The proportion of planned preventative maintenance projects completed per annum. • The proportion of incomplete and outstanding maintenance projects per annum • The ratio between Capital Expenditure and Operational Expenditure per annum. • The number of infrastructure development projects identified per annum. • The proportion of planned cost of infrastructure procurement achieved per annum. 	<ul style="list-style-type: none"> • Manager Facilities Management 	

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<p>Managing infrastructure: Refers to the process of managing and maintenance of office and institutional accommodation for National and Provincial departments in support of their service delivery. This includes the acquisition, leasing, maintenance and disposal of such infrastructure and the payment of municipal rates and taxes for such infrastructure. This is not a direct DPSA mandate but it is a Department of Public Works mandate and it is derived from the Public Finance Management Act no: 1 of 1999 and Government Immovable Asset Management Act no: 19 of 2007, Section 13, Municipal Systems Act no: 32 of 2000.</p>			
<p>All immovable assets maintained to the state in which it would support the most effective service delivery per annum.</p>	<p>Primary Indicators:</p> <ul style="list-style-type: none"> • The percentage of over- or underspending on infrastructure management budgets per annum. • The average percentage of growth/decrease in departmental expenditure relating to the cost of municipal rates and services per annum. • The percentage of growth/decrease in municipal service (water and electricity, refuse removal) stoppages per annum. • The proportion of growth/decrease in municipal services rates (water and electricity, refuse removal). • The number of new infrastructure assets acquired (including leased) per annum. • The proportion of infrastructure management budget spent on leasing agreements per annum. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> • The average occupation rate of departmental facilities per annum. • The proportion of illegal occupancy of official housing per annum • The number of new/ revamped buildings completed but not operational in the same financial year. 	<ul style="list-style-type: none"> • Chief Financial Officer • Manager: Infrastructure Development/Maintenance • Manager Facilities Management 	<ul style="list-style-type: none"> • Departmental Budget • Approved APP • Approved Maintenance report • AG Reports and management letters. • Quarterly financial status monitoring reports (In Year Monitoring Reports).

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<ul style="list-style-type: none"> The number of buildings not accessible to people with disabilities 		

FINANCIAL PERFORMANCE

Budget Plan: This Plan contains an estimate of costs, revenue and resources ring-fenced for a specific period. It is also an administrative tool that serves as a plan of action for achieving quantified objectives, standards for measuring performance and a guiding tool for coping with foreseeable adverse situations. This is not a direct DPSA mandate. The Public Financial Management Act, no: 1 of 1999 governs it and the National Treasury Fiscal Policy and Budget Framework - 1998 Medium Term Budget Policy Statement.

100% implementation of the departmental budget plan per annum	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion alignment of the budget to Medium Term Expenditure Framework baseline. The proportion of growth/decline in baseline allocations over the MTEF. The proportion of income generated versus total budget over the MTEF The percentage of budget allocated to Compensation of Employees versus Operations. The % of budget allocated between HQ support and Service Points The percentage of budget allocated between core versus support programmes. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The percentage of projects costed per annum. The percentage of budget allocated to Project costs versus running costs. 	<ul style="list-style-type: none"> CFO 	<ul style="list-style-type: none"> Annual Report Budget vote AG Report
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Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
Financial Management: Refers to the planning, organising, directing and controlling the financial activities such as procurement and the utilisation of funds of the Organisation.			
100% of budget spent timeously to achieve planned outputs per annum	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of budget over/underspent per annum. The proportion of fruitless, wasteful and irregular expenditure per department programme per annum. The proportion transferable allocations per annum transferred correctly. The proportion of unspent budget per programme returned to Treasury during and at the end of the financial year. <p>Secondary Indicators</p> <ul style="list-style-type: none"> The (proportion) of operational budget (goods and services) expended per Programme per annum The proportion of budget allocated to Compensation of Employees expended per Programme per annum. The proportion of Monthly financial reports delivered to programme and responsibility managers on time.. 	<ul style="list-style-type: none"> Chief Financial Officer Budget Committee 	<ul style="list-style-type: none"> Annual Report Budget AG Management Letter and Report
Procurement Plan: The purpose of this Plan is to plan for the procurement of goods and services valued at more than R 500 000 for the attainment of a department's strategic outcomes/service delivery initiatives. This is not a direct DPSA mandate but it is derived from the: Public Management Finance Act no: 1 of 1999 and National Treasury Supply Chain Management Instruction 2 of 2016/2017.			
100% implementation of the departmental procurement plan per annum	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of procurement plan outputs implemented per programme per quarter (on time). The proportion of the procurement budget spent in irregular, unauthorised, fruitless and wasteful manner per annum. 	<ul style="list-style-type: none"> Chief Financial Officer Budget Committee Manager Supply Chain Management 	<ul style="list-style-type: none"> Annual Report Budget Vote Procurement Plan Demand Management Plan AG Management Letter and Report

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
	<p>Secondary Indicators:</p> <ul style="list-style-type: none"> The number of tenders issued in line with Departmental Procurement Plan. The number of contracts awarded per annum, in line with the departmental Procurement Plan. The number of tenders issued not planned for in the Departmental Procurement plan. 		
<p>Supply Chain Management: This is a process that encompasses the planning, procurement of goods and services as well as contract management in support of the attainment of the organisational objectives. In the Public Service, Supply Chain Management also includes the control of inventory, stores/warehouse management and distribution to service points. This is not a direct DPSA mandate but it is derived from the Public Management Finance Act no: 1 of 1999, Preferential Procurement Policy Framework Act, Act 5 of 2000 (PPPFA), and related Treasury Regulations, National Treasury Supply Chain Management Instruction 2 of 2016/2017.</p>			
<ul style="list-style-type: none"> 100% of Goods and Services budget spent per annum. All invoices paid within 30 days within financial year. 0% of budget spent in irregular, unauthorised, fruitless and wasteful manner per annum. 100% of planned tenders issued in terms of the Procurement Plan per annum 	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The (proportion) of Goods and Services budget spent The proportion of Goods and services budget spent in irregular, unauthorised, fruitless and wasteful manner. The number of tenders issued in line with Departmental Procurement Plan. The proportion of SCM invoices paid within 30 days per annum <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The average time to conclude a procurement transaction for goods up to the value of R30 000. The average time to conclude the procurement of goods and services more than R30 000 	<ul style="list-style-type: none"> CFO Manager Supply Chain Management 	<ul style="list-style-type: none"> Departmental Budget Vote Quarterly financial status Monitoring reports Unauthorised and irregular fruitless and wasteful expenditure Registers AG Reports

Guideline/ Benchmark	Functionality Indicators/statements to consider to support the analysis	The following people can be considered to be interviewed	The following documents / artefacts needs to be analysed prior to conducting interviews
<ul style="list-style-type: none"> 100% of contracts awarded in terms of due process. 	<ul style="list-style-type: none"> The average time to conclude the procurement of goods and services more than R500 000 Average duration of kept stores from date of delivery Replacement rate of stores Proportion of damaged goods received 		
<p>Assets Management: This refers to the systematic process of managing the life cycle of movable and immovable assets in support of the attainment of organisational objectives. In the Public Service, Asset Management includes deploying, operating, maintaining, upgrading, and disposing of assets in a cost-effective manner. This is not a direct DPISA mandate but it is derived from the: Public Management Finance Act no: 1 of 1999 and National Treasury Asset Management Framework, 2003</p>			
<ul style="list-style-type: none"> 100% of assets captured on Asset Management Register per annum 100% of obsolete or redundant assets written off and disposed in line with asset disposal policy per annum. 	<p>Primary Indicators:</p> <ul style="list-style-type: none"> The proportion of numbered assets captured on asset register The proportion of assets not allocated asset numbers The proportional value of losses on the Asset Register. The proportional value of losses On the Asset Register recovered. <p>Secondary Indicators:</p> <ul style="list-style-type: none"> The proportion of assets declared obsolete or redundant. The proportion of disposable or redundant assets disposed in line with the asset disposal policy. The proportion of debt relating to asset losses recovered. 	<ul style="list-style-type: none"> CFO Budget Committee Audit/Risk Management Committee Manager Supply Chain Management 	<ul style="list-style-type: none"> Asset Register Asset disposal policy AG Reports Loss Control Report (affidavit and case number).