



**the dpsa**

Department:  
Public Service and Administration  
REPUBLIC OF SOUTH AFRICA

## **ORGANISATIONAL      FUNCTIONALITY      ASSESSMENT      TOOL IMPLEMENTATION GUIDE**



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

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## IMPLEMENTATION GUIDELINE FOR THE ORGANISATIONAL FUNCTIONALITY ASSESSMENT TOOL (OFA)

### KEYWORDS

<b>Baseline</b>	Status quo data and factsheets about the conditions of functionality and performance against a measure prior to a formal intervention.
<b>Benchmark</b>	Point of reference (good practice, standard) against which things may be compared or judged.
<b>Construct</b>	The main building block of theories, helping to explain how and why certain phenomena behave the way that they do.
<b>Dimension</b>	A collection of referenced information about a measurable event that supports a meaningful answer to a question.
<b>Effectiveness</b>	The degree to which set objectives are achieved and the extent to which targeted problems are solved.
<b>Efficiency</b>	The measure of how an institution's resources have been used to comply with set norms and standards and in achieving citizen satisfaction through service delivery.
<b>Guideline</b>	A non-specific rule or principle that provides direction to action or behaviour. A plan or explanation to guide an institution to determine a course of action.
<b>Index</b>	A single score made by combining scores of indicators, in order to measure a variable such as Organisational functionality
<b>Norm (PANS)</b>	A norm refers to a legal statement describing the "desired situation" (the way things should be) or a requirement to act in particular manner. Also, a norm provides guidance and explains a pattern of achievement or behaviour required for minimum effectiveness, efficiency and functionality in the areas referred to in Section 3 (1&2) of the Public Service Act (108 of 1994) and Section 16 of the Public Administration Management Act (11 of 2014).
<b>Organisational Functionality</b>	The OFA is a Self-diagnostic measure to conduct a <i>Systemic Analysis of Organisational Functionality</i> measured against

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	<ul style="list-style-type: none"> <li>• Capacity to Deliver</li> <li>• Resource Utilization and Deployment</li> <li>• Institutionalized Systems, Policies and Processes</li> </ul>
<b>Organisational Functionality Assessment</b>	Process to monitor, assess and diagnose an organisation, based on evidence, whether all the necessary functional enablers are in place to support delivery processes in an optimum and accountable manner.
<b>Organisational Functionality Index</b>	An Organisational Functionality Index (OFI) is an aggregate of a composite measure of organisational functionality of an organisation to likely deliver services, per individual department, sector, and provincial administrations or within the total Public Service, rating each in relation to one another, against the same functionality dimensions, using multiple contextually referenced indicators, based on international benchmarking.
<b>Standard (PANS)</b>	A standard refers to a specific minimum repeatable measure or level at which public administration institutions must execute their functions; and can have a time, cost, quality, equity or quantity dimension. A standard is therefore a statement of an expected level of performance that forms the basis for providing a public service. A standard may thus be expressed in terms of a particular criteria, timeframe or benchmark. Standards can be formulated in a way that promotes compliance with norms.

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## **1. PURPOSE OF THIS GUIDE**

The purpose of this Guide is to provide guidance to departments with the management of Functionality Assessment projects from project initiation to implementation and monitoring the improvement plan. Broadly, this document provide guidance to departments on:

- Establishing appropriate governance structures to oversee achievement of project deliverables and ensure quality assurance of the final functionality assessment report and improvement plan.
- Developing a practical and sustainable project plan, resourced by a multi-skilled assessment team with appropriate skills.
- The application of the prescribed OFA Tool (**Annexure A**).
- Ensuring that validated information from approved data sources is used.
- Report writing, mainly to ensure that OFA findings and recommendations are based on evidence informed analysis As per the attached reporting template (Annexure B).

## **2. LEGAL MANDATES**

- **The Constitution, 1996**

The roots of the OFA can be traced back to the Constitution, wherein Chapter 10 Section 195 (1) outlines the basic democratic values and principles of Public Administration in that the efficient, economic and effective use of resources should be promoted

- **The Public Service Act, 1994**

In terms of section 3 (1) of the Act, the Minister for Public Service and Administration amongst other is responsible for establishing norms and standards relating to-

(i) transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the public service and its service delivery to the public.

- **The Public Service Regulations, 2016**

In terms of Regulation 35 "An executive authority shall conduct an organisational functionality assessment, as directed by the Minister, to assess the effectiveness

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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"

- **The National Development Plan**

In terms of the Plan-

- -The Constitution envisages a Public Service that is professional, accountable and development-oriented.
- Specific steps need to be taken to promote the principles contained in the Constitution to build an efficient, effective and development oriented public service.
- South Africa needs well-run and effectively coordinated state institutions with skilled public servants who are committed to the public good and capable of delivering consistently high-quality services.
- There is unevenness in capacity that leads to uneven performance in the Public Service.

OFA diagnoses departmental functionality and capacity constraints that negatively impact on departments to deliver on their mandates and can therefore assist to eliminate those factors that contribute to uneven performance.

- **Other Legal Mandates**

The application of the OFA Tool assesses departmental functionality not only in terms of the Public Service Act and Regulations, but assessors are also required to reflect on the functionality of areas covered by other legislation, e.g. Skills development, facilities etc.

### 3. INTRODUCTION AND BACKGROUND TO THE OFA

The OFA tool has been in operation since 2012. The initial OFA toolset was institutionalised successfully on a voluntary basis in a number of departments at national and provincial spheres of government, including four sectors, and as part of the Section 100 Intervention in Limpopo Province in 2012 as a diagnostic tool.

In terms of the DPSA experience, anecdotal feedback from departmental participants, as well as a survey conducted in 2017, the OFA has been reasonably successfully applied as an evidence-informed approach to self-assess organisational functionality or service readiness of government institutions.

While the OFA was applied with a reasonable degree of success by individual departments, the original toolset over time also unveiled a number of design gaps and challenges:

- A stronger need for evidence informed analysis.
- Better Document Management to inform evidence.

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- Databases for information are fragmented and did not sufficiently contribute to objective validation from approved data sources.
- Very few databases within departments are universally accessible and interoperable.
- Departments stated a need for comparing themselves and the Tool did not allow for ranking departments by way of a functionality Index
- Self- Assessments needs to be conducted in a more accountable manner against centrally set standards.

As the custodian of the OFA toolkit, the DPSA has committed to ensure the constant improvement and refinement of the toolkit. A process to review the OFA toolset was therefore identified, to ensure that it remains relevant for the purpose that it was intended. The refined Toolset addresses some of the abovementioned challenges, and sets the foundation for the development of an Organizational Functionality Index, as well as the improvement of existing databases. It should also be noted that the Public Service Regulation (PSR), 2016, Regulation 35 institutionalised OFA as a regulatory requirement for compulsory implementation.

### 4. PURPOSE OF ORGANISATIONAL FUNCTIONALITY ASSESSMENT

The purpose of (OFA) is to:



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The OFA toolset has been subjected to stringent review processes, with different iterations that have been subjected extensive consultation with both national and provincial departments. Based on the consultative processes the OFA toolset has evolved from a toolset designed to support organisational design and research processes to support broader efficiency and effectiveness improvements ranging from policy, processes and structural improvements within the operations management processes of departments and institutions.

The OFA toolset, together with tools such as Productivity Management and Service Delivery Improvement Planning serves to analyse institutional operations to identify gaps and challenges that can be addressed during the operational strategy and design phase as contained in the Operations Management Framework (OMF).

The revised OFA tool has been designed as a diagnostic tool, to support a **self-assessment process**, that enables Departments and Institutions (e.g. Hospitals) to monitor, assess and diagnose their Organisational Functionality, based on available real-time and historic evidence, as to whether all the necessary regulatory and statutory service delivery enablers are in place to support service delivery products and processes. This must be done in an optimum and accountable manner, based on the **s195 Constitutional Principles**.

The revised OFA toolset combines an Institutional and Operational Assessment. The **Institutional Assessment** provides a management overview of the environment in which services are delivered. The **Operational Assessment** can be defined as the systemic analysis of a department or organisation's functionality, which in summary, is measured against:

- **Capacity to Deliver:**
  - Translation and Understanding of mandate
  - Contextual and Environmental factors
  - Historical infrastructural backlogs
  - Geospatial factors
  - Service Delivery Model
  - Cascading Plans from strategic to activity plans
  - Effectiveness of Structures,
- **Institutionalized Systems, Policy and Processes.**
  - Management and Governance Structures
  - Organisational structures
  - Technological systems
  - Financial Systems and Controls
  - Administrative policies to operationalize central policies
  - Standard Operating Procedures
  - Business Process Maps
- **Resource Utilization and Deployment:**



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- Skills supply and demand management
- Performance processes and accountability
- Ensuring efficiency, effectiveness, accessibility and economies of scale
- Training and Development
- Infrastructure provisioning

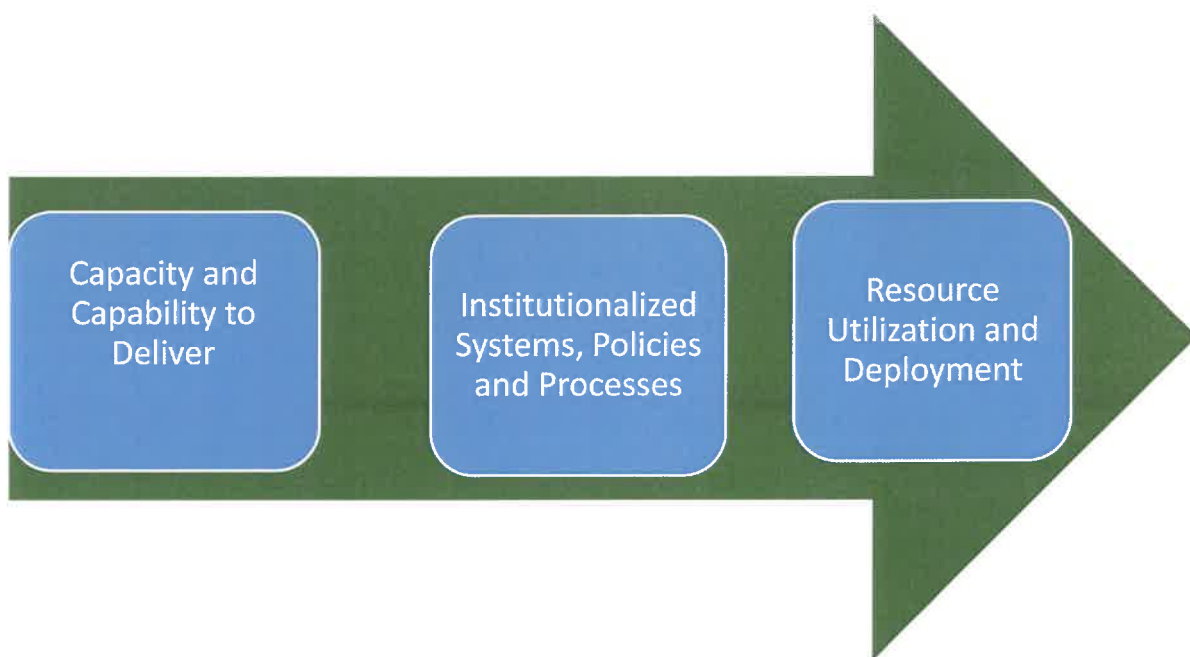
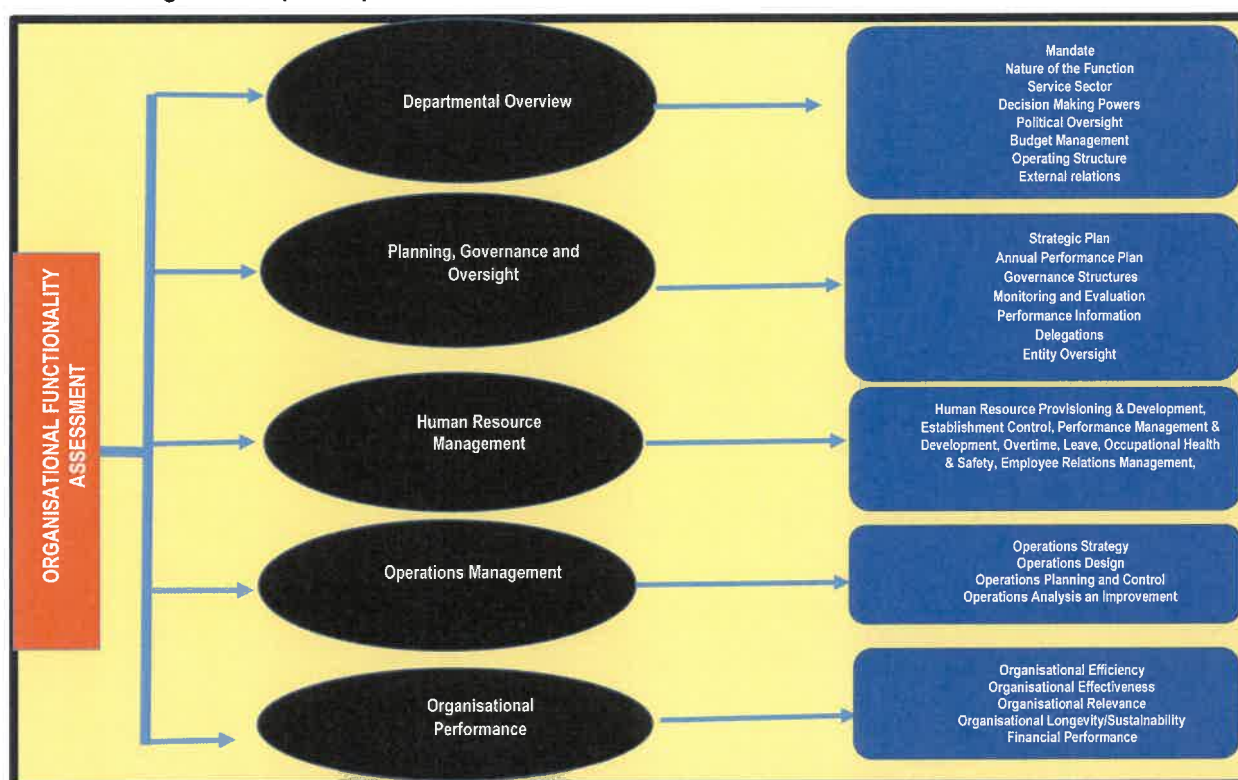


Figure 1: Graphic Depiction of the OFA construct with its 5, factors and elements per factor:



The OFA tool is designed around the construct of organisational functionality, which focuses on a process to monitor, assess and diagnose the functionality of an organisation, based on evidence, which is measured against five (5) focus areas. At issue is to determine whether all the necessary functionality enablers are in place to support delivery processes in an optimum and accountable manner. The five (5) OFA focus areas are underpinned by a number of elements, which serves as focal areas for data/ information gathering and analysis.

The indicators in the Organisational Assessment is intended to form the basis of an Organisational Functionality Index (OFI). The OFI will be supported by Public Administration standards. The Office of Standards and Compliance in the DPSA will be responsible for overseeing and co-ordinating the development of these standards and ensure that they are complied with.

## **5. SCOPE AND INTENDED USE OF OFA**

The DPSA, as the custodian of the OFA toolset, will oversee and monitor the implementation of organizational functionality assessments by departments as required by the PSR 2016, Section 35. As noted above, the OFA has been designed to be a **self-assessment process** and departments will be required to submit regular reports to the Minister in a format as directed by the Minister. In support of its mandate, the DPSA may periodically (at provincial sphere of government, in conjunction with the relevant Office of the Premier (OTP)), do external validation assessments. The OTP would also coordinate the implementation of provincial administration functionality assessments.

Information obtained through the OFAs, should be used to inform and support departmental planning and operations management processes and activities, focused on improving functionality and improving service delivery to be more effective and efficient. Therefore, the frequency in conducting the OFA will be determined through these activities, or as directed by the Minister through a circular.

## **6. LOCATION OF THE OFA FUNCTION WITHIN DEPARTMENTS**

In terms of the approved generic structure for Administration/ Corporate Management, the responsibility to conduct the OFA is vested within departmental Organisational Development Units. However, to conduct an OFA it is advised that a multi-disciplinary and multi skilled approach be followed with input from the M&E, Strategic Planning and other units within the corporate management functional areas. It will also be useful to co-opt skills from within the line function areas to assist with conducting the OFA.

## 7. LIMITATIONS OF AN OFA ASSESSMENT

The functionality self-assessment focuses on departments and their district offices and service points, and the effective distribution of responsibilities and resources to implement departments' respective mandates between the different levels. The OFA can also be used to assess the functionality of a single Institution (Hospital) or district office (Unit) within a department. Although the OFA will take into account the capacity, process performance, sustainability, relevance and utilitarian value of service delivery, the views and opinions of service recipients are not directly taken into account. These are generally considered as part of the assessment to determine whether citizen satisfaction surveys or other forms of stakeholder consultation did take place. There may be other limitations to the assessments such as time constraints, limited data sources and wide dispersion of stakeholders or service centres, having an impact on the extent and quality of the assessment.

## 8. ROLES AND RESPONSIBILITIES IN MANAGING ORGANISATIONAL FUNCTIONALITY ASSESSMENTS

The OFA has been designed to be a **self-assessment process**, primarily to ensure the integrity of the assessment process, by leveraging internal resources, knowledge, expertise about the organisation and ultimately to enhance the acceptance of the findings and recommendations within a department as a roadmap to enhance organisational functionality and transform performance for service delivery. It also has the advantage that the process can take into account issues that may have emanated from external assessments conducted by institutions such as the Auditor-General or the Public Service Commission. Taking this into account, comprehensive self-assessments will allow departments to identify and correct aspects of dysfunctionality before they are identified by external assessors.

Given the above-mentioned mandate analysis, the following role players are expected to play a significant role in organizational functionality assessments:

- **Department of Public Service and Administration:**

Based on the self-assessment approach, there are clearly defined roles and responsibilities between the staff from DPSA and the department conducting the OFA self-assessment. The **DPSA's** main responsibility is that of policy owner and project advisor, to ensure the assessment remains a true self-assessment, and to

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develop the required departmental capacity to conduct the OFA assessment. This is reinforced by sharing experience on good practice for conducting interviews, validating information and compiling of initial assessment reports. The DPSA also provides templates for reporting and quality assurance of the initial draft reports. A golden thread emphasized during the OFA process is the importance of record keeping.

As the policy owner, the DPSA will:

- Provide the framework and Tools for the OFA and a template for reporting as required by the Public Service Regulations, 2016.
- Continuously refine and improve the OFA Tool and methodology
- Track the institutionalisation, supported by capacity building to implement the OFA tool and process.
- Provide technical assistance and guidance to manage the OFA.
- Assist with project planning.
- Assist with unblocking obstacles to implement the OFA Tool and process.
- Assist departments with quality assurance of departmental OFA Reports.
- Monitor the implementation of OFA Improvement Plans and evaluate the impact thereof on departmental performance.
- From time to time, conduct validation assessments to the integrity of the system.

- **Offices of the Premier:**

Offices of the Premier Plays an important policy customisation, coordination and oversight role with respect to public administration matters in the provinces. Apart from conducting its own self-assessments the Offices of the Premier will therefore be responsible for:

- Coordination of the application of the OFA Tool at the provincial sphere of government in accordance with the OFA Directive.
- Coordinating the implementation of the OFA Tool for purposes of own provincial assessments.
- Participating in external provincial assessments with the DPSA and National Partners.
- Validation/quality assurance of provincial departmental self-assessments before submission to the Minister.
- Regular reporting of findings and recommendations based on the implementation of the Toolset.
- Monitoring the implementation of OFA improvement Plans emanating from the application of the Toolset in the province.

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- **National and Provincial Departments:**

National and Provincial Departments will conduct self-assessments as part of their quest to continuously improve the effectiveness and efficiency of their operations. The successful implementation of OFA requires:

- Establishment of a governance structure to oversee the implementation of the OFA and quality assure findings, recommendations and recommend the implementation plan.
- Develop a sustainable project/work plan.
- Appointment of a Project Coordinator to drive and coordinate the functionality assessment project.
- Nomination and appointment of suitable project members to serve as work stream leaders and members to conduct the assessment.
- That validated information from approved data sources is utilised to ensure that findings and recommendations are based on an evidence-informed analysis/process
- The assessment project must culminate in the submission of an approved OFA report with an implementation plan to the Minister for Public Service and Administration.
- The implementation of the Improvement Plan be monitored and evaluated to determine the impact on functionality improvement.

From time to time, the DPSA and OTP may conduct external assessments to validate the findings of departmental self-assessments.

### 9. OTHER STAKEHOLDERS

The following stakeholders and partners are necessary for the implementation of the refined Organisational Functionality Tool:

- **Office of Standards and Compliance (OSC)**
  - Provide the framework for the Norms and Standards for all administrative processes to be assessed.
  - Make recommendations from the Early Warning Signs for possible section 100 interventions.
  - Conduct functionality Audits
- **National School of Government:**
  - Design and Implement in conjunction with DPSA, a dedicated training course to design contextual components and apply the OFA Toolset.

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- **National Treasury:**
  - Custodian of data sources such as IYM, PERSAL, BAS and LOGIS.
  - Provide access to data sources.
  - Ensure diagnostic self-assessments for financial constituent indicators are relevant.
  - Coordinate financial constituent assessments.
  - Monitor the implementation of recommendations emanating from the application of the Toolset in the Treasury Sector.
- **Auditor-General**
  - Provide Reports on Audit outcomes.
  - Audit the implementation of the Improvement Plans emanating from the application of the OFA Toolset in departments.
- **Cabinet**

Consider cabinet memoranda, submissions and reports with findings and recommendations emanating from the application of the Toolset in departments, sectors, provincial administrations and the public service as a whole entity in cases where external interventions may be necessary.

### 10. CRITICAL SUCCESS FACTORS



## **10.1 PROJECT GOVERNANCE**

As a comprehensive assessment of departmental functionality generally covers the full spectrum of departmental functions and services, and the OFA is mandated by the Public Service Regulations (PSR 35) the DG/HoD of the Department is best placed to take overall responsibility for steering the OFA within the Department. Due to the multidisciplinary nature of the OFA it is suggested that a multi-disciplinary project management approach is followed, as it is unlikely that an OD Unit would have all the knowledge and skills to conduct such an assessment.

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 project governance (steering) committee normally consists of selected executive and senior managers appointed by the DG/HoD of the department. This committee is responsible for oversight of the OFA project, which includes:

- Provide guidance regarding the overall strategic direction of the assessment
- Resolve and trouble-shoot any ambiguity in interpretation regarding the strategic outcomes of the department.
- Unblock obstacles that may emerge during the roll-out of the assessment and removal of challenges the project team may encounter.
- Consider progress reports from the assessment Project Coordinator.
- The final quality assurance and validation of information (findings, recommendations and the proposed implementation plan) before the final report can be presented to the departmental management committee for endorsement.
- Facilitate submission of the OFA Report to the DG/HoD for recommendation prior to approval by the Executing Authority.

The OFA project is managed by a **Project Coordinator** appointed by the HOD or delegate and reports to the Project Governance Committee. The role of the Project Coordinator is to ensure that:

- The Project is managed in accordance with the project time lines based on the approved project plan.
- The different work stream reports are integrated into a final OFA Report with findings and recommendations.
- An improvement plan linking deliverables with specific responsibility managers is drafted and approved.



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- Information used as the basis for findings and recommendation is quality assured and validated.
- Findings, recommendations and the improvement plan is presented to the Departmental Management Committee before approval and submission to the Minister for Public Service and Administration.

Due to the multidisciplinary nature of the OFA it is suggested that the Project Coordinator should be supported by work streams for the different areas of assessment required by the OFA. The **Work streams** should consist of a work stream leader and at least one work stream member, with responsibility for:

- Gathering of information through a document study, interviews, site visits, questionnaires and surveys, etc. The document study should as a minimum include the Department Annual Report, Strategic Plan, Budget Vote as well as the Auditor General's Management Letter and findings
- Information and data should be analysed to determine if there are any emerging trends and challenges that may have a negative impact on a department's functionality or service delivery readiness. Such challenges may include but is not limited to:
  - Non-compliance to mandated policy, processes, procedures and systems, i.e. delegations register
  - Lack of alignment or integration between planning instruments.
  - The abuse of benefits and control measures, i.e. sick leave, financial controls.
  - Lack of standardised processes and procedures.
  - The lack of resources such as tools of trade to enable remote working arrangements.
- First level quality assurance and validation of information
- Development of work stream reports with findings and recommendations.

### 10.2 PROJECT MANAGEMENT

Conducting an OFA should be managed on the basis of the following tools and phases:

- (a) Project Plan:** The multi-disciplinary nature of the OFA 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. The project plan should provide for:
- A value chain of project phases.
  - Agreed timelines to focus management processes to finish according to plan and the target dates for submission to the Minister as set out in the OFA Directive

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- The identification, nomination and approval of resource requirements (budget and staff) to conduct the project in accordance with the different work streams applicable.
- Regular progress reporting to ensure the project meets its objectives on time.
- Drafting and submitting the project report with improvement plan.

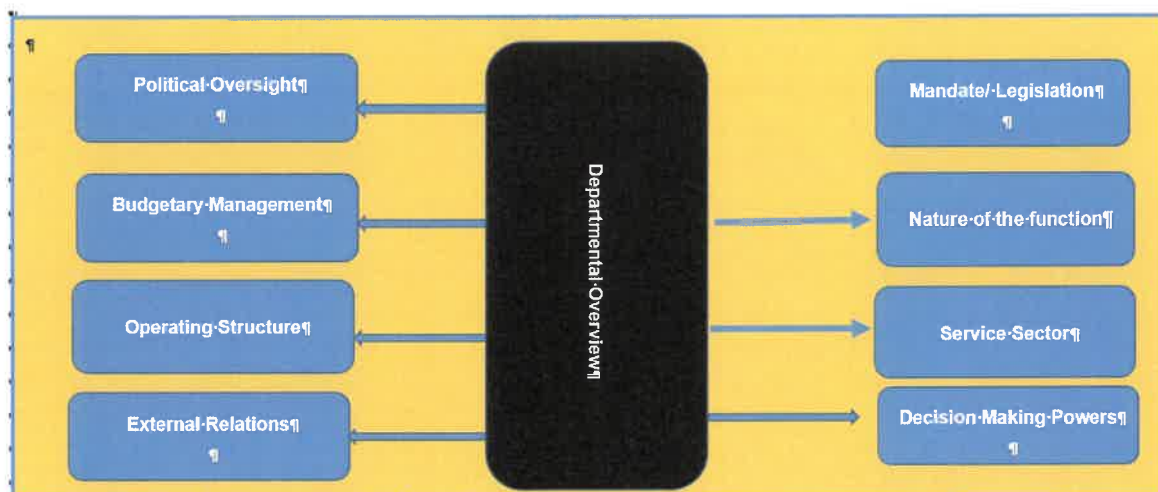
The Project Coordinator should keep a record of all project related decisions and ensure actioning of decisions.

As indicated, conducting a comprehensive OFA is a multi-disciplinary undertaking and for this purpose it is suggested that the assessment be divided between 5 work streams, aligned to the 5 factors of the OFA Tool that can work simultaneously:

- Department overview
- Planning, Governance and Oversight
- Human Resource Management
- Operations Management
- Organisational Performance

### Guidelines for work streams to manage the assessment process:

#### Work stream 1: DEPARTMENTAL OVERVIEW

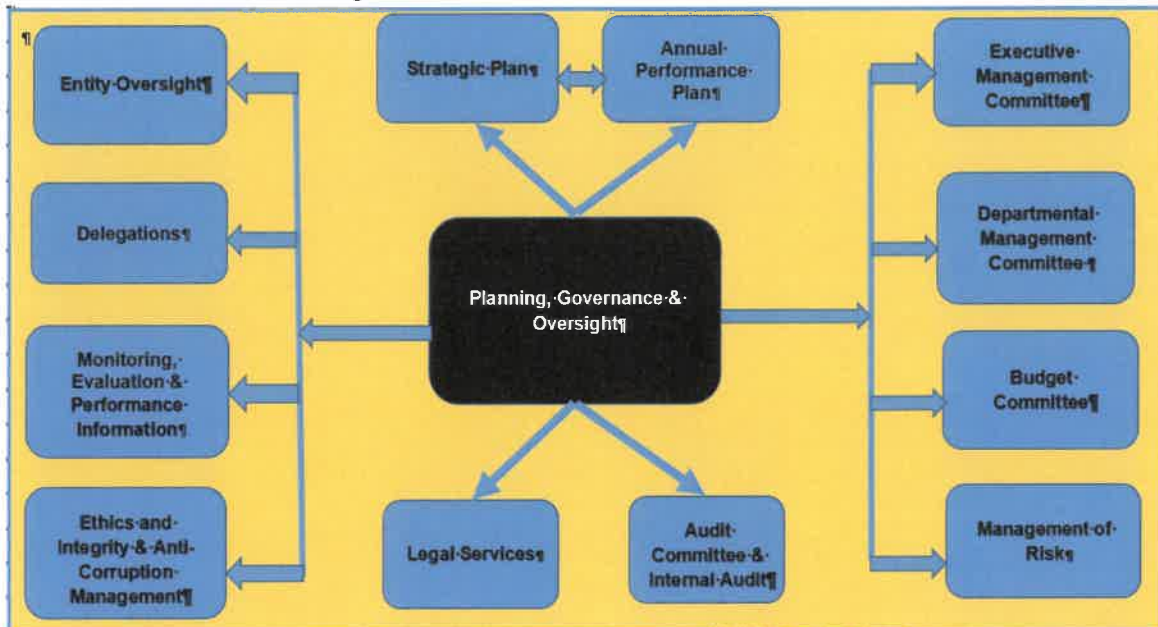


- Not all the indicators listed in the Tool in this section are applicable to each department, but provides a useful guide for understanding the department to inform the analysis and assessment.

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- The factors above will provide perspective to issues raised by other work streams in the other sections of the report
- The Annual Report, Strategic Plan and Budget Vote should provide sufficient information to complete this section.

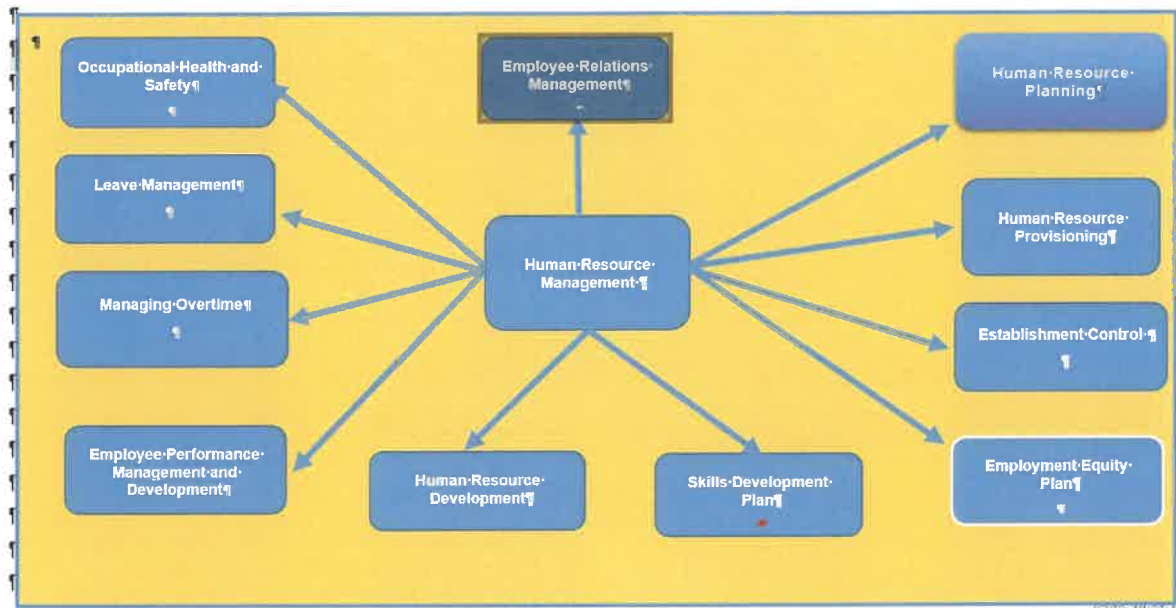
### Work stream 2: Planning, Governance and Oversight



- The purpose of this work stream is to analyse the planning, governance and oversight functions of the department as these functions provide direction and oversight/accountability arrangements in the department.
- Governance and planning failures are often the main the reason for dysfunctional departments.
- From a Risks Management perspective it is useful whether the department understands its primary risks profile and that these are effectively mitigated: For example, what are the top 5 risks and assess how are they mitigated?
- In terms of planning it is important to establish if departmental plans are compliant with policy, complete and aligned.
- consider the potential impact if plans are not fully implemented, i.e. APP, skills development plan, business continuity plan.
- The analysis of the plans that are linked to the HRM Work stream can also done in that work stream

### Work Stream 3: Human Resource Management

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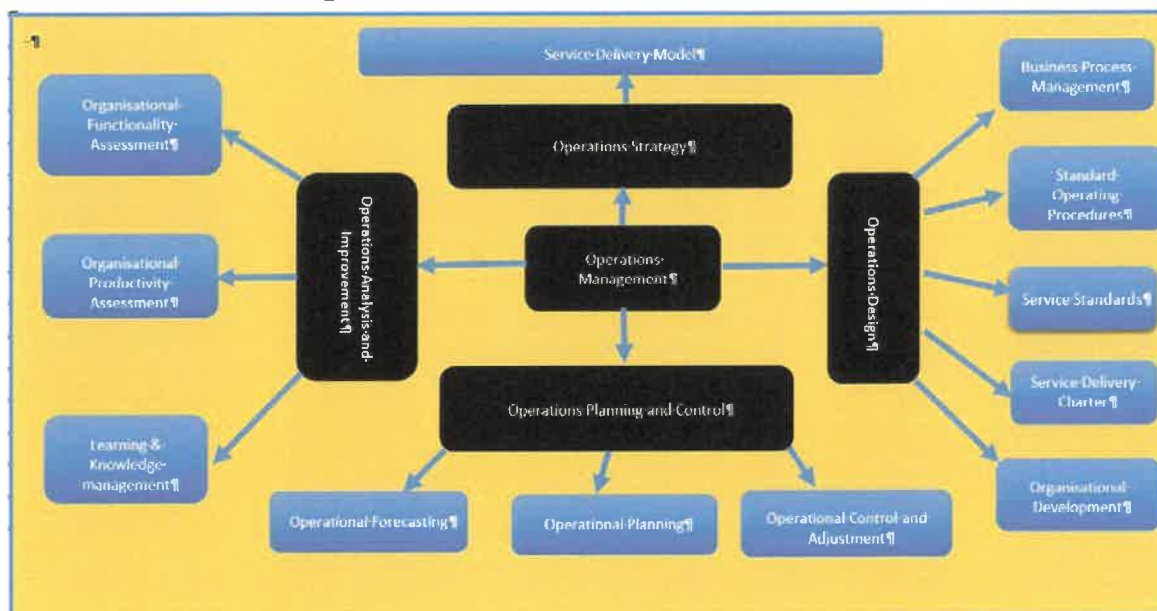


- To manage the assessment of this assessment factor area more effectively in larger departments, Work Stream 3 can be subdivided into subordinate work streams/focus group, e.g.
  - HR Provisioning,
  - HR Admin,
  - HRD,
  - Labour Relations.
- The leader of Work Stream will coordinate and integrate the activities and assessment reports of subordinate work streams/focus groups
- Consider the indicators relevant to the abovementioned assessment elements to identify and analysis the strengths and weaknesses of such elements.
- Departments differ in the way they operate, even with respect to generic/transversal functional areas such as HRM. It would therefore be good to determine which indicators are relevant to individual departments/assessments.
- Consider the availability of data and data sources. HRM is a functional area that is well-supported by PERSAL and should lend itself to statistical analysis.
- The prescribed Tool is underpinned by indicators that were broadly consulted within national and provincial departments, but there may be a need to identify department-specific indicators to do justice to the assessment.
- Based on the availability of data and data sources, consider the best way to depict/describe findings (graphically and narrative) to highlight functionality or dysfunctionality in the assessment area.

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- Where graphs or tables are utilised to depict information, provide a short narrative to explain the relevance of the graph/table in relation to the finding/s.

### Work Stream 4: Management of Operations



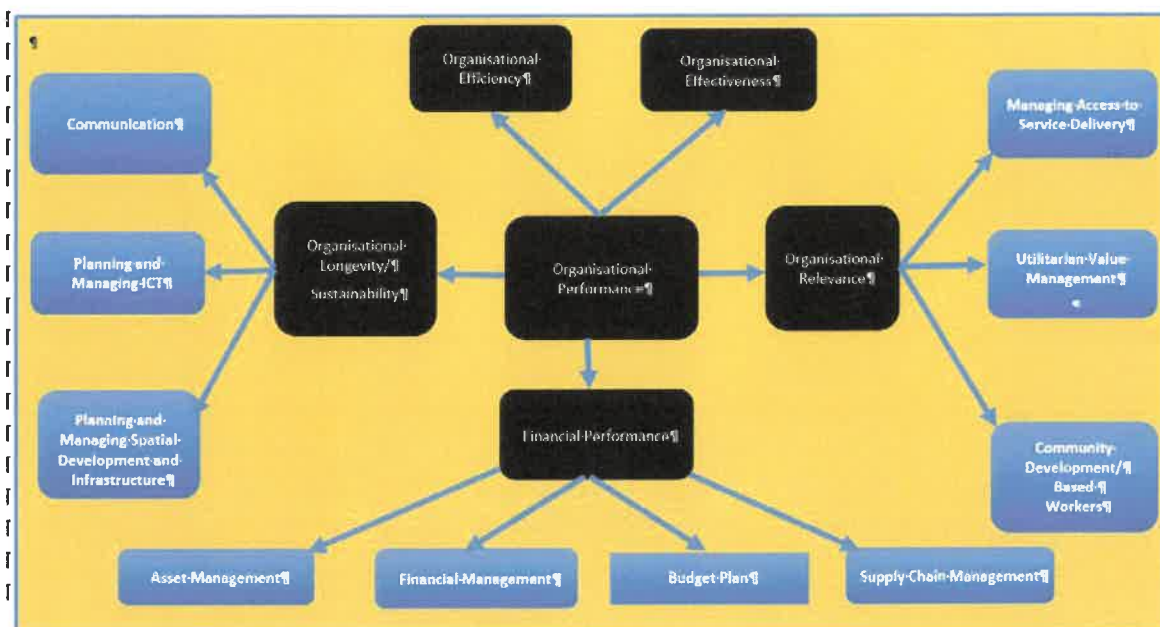
- The Operations Management work stream focus is dedicated to the service delivery operations of the department as a whole, but can also be focused on the service delivery operations of specific department programmes. For an holistic assessment of departmental or service point operations, the assessment will be supporting a helicopter view of operations management functionality. This work stream focuses on the enablers for the delivery of services by the respective branches, service points and institutions.
- Initiate the assessment with an analysis of the Department's **Operational Strategy** as set out in the **Service Delivery Model**.
- Analyse and assess the Department's **operations design** in accordance with the identified sub-factors.
- Analyse and assess the **business processes, SOPs, and standards** etc. that are in place, for alignment, relevance and actual application. Analyse and assess the potential reasons for shortcomings and its impact on the department's functionality to deliver services.
- Operations Planning and control requires the analysis and assessment of the **planning, costing and control** of operations, based forecasting when resourcing would need to be assigned for peak and slower delivery cycles, as well as and policies and methods utilised for tis purpose.



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- Operations analysis and improvement considers the different analytical and assessment tools employed to support the continuous improvement of departmental productivity and functionality.
- It is often useful to conduct a comparative analysis of a well-performing and poorly performing programme, district and service point that are responsible for similar services and products. Compare strengths and weaknesses i.e. capacity and capability of each to arrive at findings and recommendations.
- If similar analyses and assessments have been conducted in the recent past (not more than 5 years), it is advised that those assessments should form the basis of the latest assessment to check whether past recommended improvements have been implemented. It will also contribute to learning and save time and cost.

### Work Stream 5: Organisational Performance



- Work Stream 5 assesses those factors that directs enables a Department's performance and how it manages its delivery of services. The assessment factors are:
  - Effectiveness (the measure to which an organisation achieve its planned delivery of outputs (high quality services and products) and efficiency (the measure to which an organisation achieves its outputs in an economic, cost-effective and productive manner) of service delivery

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- Organisational relevance of services delivered considers the ability of the organization 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, i.e. Service Access, Utilitarian Value Management and usage of community development workers and community based works, where applicable.
- The sustainability of service delivery is assessed through the management of communications with citizens and stakeholders, the utilization of cutting-edge technology and innovation through ICT and how infrastructure is provided and maintained as an integral part of the service delivery value chain.
- Financial, supply chain and asset management are important determinants of organisational performance and therefore service delivery in general. The assessment of these elements for functionality provides important information in pursuit of performance excellence.

**(b) Gathering Information/Data Collection:** The OFA self-assessment should always be based on reliable and validated data/information. Information can be gathered by way of a document study, extracting data from databases, interviews and physical site visits. The OFA toolset contains a list of primary and secondary indicators, stakeholders that can be interviewed to elucidate and validate information, as well as other possible data and information sources that can be used to facilitate the gathering of information and data collection. Information gathered should not be limited to these identified options. The following data and information sources can be useful:

- Annual Reports.
- Auditor-General Audit Reports.
- Estimates of National & Provincial Expenditure.
- Official Statistics produced by organs of state (as per the Statistics Act).
- Personnel & Salary System (PERSAL).
- Vulindlela reports (information extracted from PERSAL).
- Previous Organisational Functionality Assessments Reports.
- Organisational Productivity Assessments Reports.
- Spatial Data produced by data custodians (as per the Spatial Data Infrastructure Act).
- Budget Votes.
- Strategic Plans, Annual Performance Plans & Performance Information Plans of departments, policies standard operating procedures, etc.

**IMPLEMENTATION GUIDELINE FOR THE ORGANISATIONAL FUNCTIONALITY ASSESSMENT  
TOOL (OFA)**

**(c) Data Analysis:** Data analysis and the assessment of artefacts that includes official reports makes it possible to:

- Evaluate compliance by departments with legislative & regulatory prescripts;
- Determine the appropriateness and effectiveness of these prescripts; and
- Assess the functionality and performance of departments against set objectives as set out in various planning & reporting instruments.

(Guideline on Data Management in Public Administration; Department of Public Service and Administration, 6 February 2020).

The data analysis methods used should be aimed at meeting the objectives of Organisational Functionality Assessment. Analysis techniques to be considered should include averages, statistical frequencies and graphs that will reflect the relationships between the Organisational Functionality and the factors influencing Organisational Functionality. Cross-tabulation can be considered to examine the relationship between two or more quality indicators or the comparison of government service providers in order to understand observable facts (i.e. Relationship between vacancy rate and turn-over rate). When analysing data and information emerging from the assessment, develop an understanding of potential emerging trends that may have an impact on the department's service delivery readiness, i.e. the potential abuse of sick leave, overtime, insufficient internal controls and absenteeism.

**(d) Reporting:** Departments will report on an approved DPSA reporting template that is attached to this Guideline as **Annexure B**. Departments will have to submit assessment reports to the Minister for Public Service and Administration and Provincial Premiers in accordance with the timelines and cycles expressed in the Directive. These reports must contain functionality findings based on analysis of information related to the organisational functionality indicators. Such findings should serve as the basis for specific recommendations to improve departmental functionality or to share good practice with other departments. Based on the recommendations, Departments should also develop a projectised organisational functionality improvement plan, detailing the steps that would be taken to improve the organisational functionality of the department.

**(e) Monitoring and Evaluation:** From a DPSA perspective it is important to continually test to what degree the refined toolset is optimally fit for purpose. For this purpose, the refined toolset will be subjected to periodical reviews. Such reviews are regarded as important for reflection on achievements and failures in order to improve ongoing programme quality.



## IMPLEMENTATION GUIDELINE FOR THE ORGANISATIONAL FUNCTIONALITY ASSESSMENT TOOL (OFA)

From a departmental perspective, annual reviews can also assist to:

- Ensure that the OFA goals, results and implementation strategy remain appropriate;
- Assess progress towards improved organisational functionality;
- Review OFA implementation per annum and analyse reasons for any deviations;
- Review the operational and management effectiveness and efficiency of implementation;
- Identify lessons and actions to improve the next assessment, the implementation of recommendations and the resultant performance.

### **Contact Details:**

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