CHAPTER 4

PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM FOR MEMBERS OF THE SENIOR MANAGEMENT SERVICE
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PMDS for SMS members - effective from 1 April 2018
PERFORMANCE MANAGEMENT AND DEVELOPMENT

1. INTERPRETATION

1.1 This Directive must be read in conjunction with the Public Service Act, 1994 and the Public Service Regulations, 2016.

1.2 In this Directive any word or expression bears the meaning which was assigned in the Public Service Act, 1994 and Public Service Regulations, 2016, unless the context indicates otherwise.

2. INTRODUCTION

2.1 This chapter describes the process and requirements of performance management and development system (PMDS) for members of the Senior Management Services (SMS). This chapter is issued as a Directive by the Minister for the Public Service and Administration (MPSA) in terms of section 41(3) of the Public Service Act, 1994, read with regulations 88 of the Public Service Regulations, 2016 (PSR). This Directive replaces the previous Directive contained in Chapter 4 of the SMS Handbook.

2.2 This chapter consists of two parts (i.e. Part 1 and Part 2). Part 1 deals with the PMDS for members of the SMS who are not Heads of Department (HODs) and Part 2 deals with the PMDS for HODs.

2.3 The PMDS for members of the SMS is underpinned by the notion of improving organisational performance and accountability and enhancing the capability of members of the SMS in order to deliver on their performance expectations and to address their career developmental needs.

2.4 The inception of outcomes-based performance management in 2010, necessitated the PMDS for members of the SMS to adopt an outcome-based approach. Therefore, the system is designed to ensure that the goals/objectives contained in the department’s Strategic Plan (SP) and the Annual Performance Plan (APP), Key Government Focus Areas (KGFAs) which are in the performance agreements (PAs) of HODs, are cascaded into the PAs of the other members of the SMS.

2.5 The PA is the main pillar of performance management and forms an integral part of the assessment and evaluation of the performance level of the members of the SMS in contributing to the departmental performance outcome. The aim is to provide a clear, mutually understood agreement regarding performance expectations pertaining to roles and goals. The PA will assist the supervisors and members of the SMS to consistently monitor and evaluate performance.
3. PURPOSE

3.1 The PMDS aims to:

(a) Direct in terms of Regulations 88 a system for PMDS for HODs and other categories of the SMS.

(b) Prescribe clear timeframes and compliance aspects for all SMS members.

(c) To provide the key elements for performance contracting and the validation of performance assessment outcomes.

(d) Encourage and further develop good practice in the management of performance of SMS members.

(e) Stipulate the moderation processes for SMS members at levels 13-15, and define the roles and responsibilities of the different role players.

PART 1: PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM FOR DEPUTY DIRECTORS-GENERAL, CHIEF DIRECTORS AND DIRECTORS.

4. AUTHORIZATION

This Directive is issued in terms of regulation 88 of the Public Service Regulations, 2016.

5. SCOPE OF APPLICABILITY

This Directive is applicable to members of the SMS, who are not HODs

6. DATE OF IMPLEMENTATION

This Directive will be effective from 1 April 2018.

7. COMPLIANCE

Any non-compliance with this Directive must be dealt with in terms of section 16A of the Public Service Act, 1994.

8. PERFORMANCE MANAGEMENT & DEVELOPMENT FOR DIRECTORS, CHIEF DIRECTORS AND DEPUTY DIRECTORS-GENERAL

8.1. The PMDS for members of the SMS integrates the management of individual performance with the management of organisational performance. The system aims to create a practical measure in order to validate and align the individual performance results with the organisational performance outcome. This will be achieved by using a combination of management control tools such as the
8.2. The design of the PMDS is based on the linkages and relationship between the department's strategic goals/objectives and the APP. This will be achieved by applying a top down cascading approach to ensure maximum alignment between the PA of the member of the SMS, the APP as well as the KGFAs emanating from the PA of the HODs. This approach will assist departments to effectively monitor, evaluate and connect individual performance results with the department’s annual performance.

9. **THE PERFORMANCE MANAGEMENT CYCLE**

9.1. This PMDS cycle will run for a period of twelve months, commencing on 1 April and terminating on 31 March of the following year (See figure 1).

9.2. The performance management cycle shall be linked with the departmental strategic and budget planning periods. During the performance cycle, the SMS member and supervisor shall enter into, sign PAs, monitor and evaluate the performance of the member of the SMS.
10. KEY ELEMENTS OF THE PMDS

10.1. The performance management for members of the SMS at the levels of Directors, Chief Directors and Deputy Directors-General is centered on three main elements:

(a) Employee Performance,

(b) Organisational Performance based on the APP and

(c) The Auditor-General’s Opinion and Findings.

10.2 Employee Performance - is aimed to link the main deliverables in relation to the department’s strategy and APP and/or operational plan. It details the work that will be performed by the members of the SMS and constitutes Key Result Areas (KRAs). KRAs must reflect the main areas of focus for the member of the SMS from the different departmental programmes.

10.3 Organisational Performance - is based on the APP which sets out the department's yearly plan and outlines the objectives/goals, performance indicators and targets for the departmental programmes and sub-programmes. The APP facilitates the implementation of the department's strategic goals and objectives. Therefore, it is important to ensure that the performance indicators and targets from the APP are aligned across the department's programmes. Members of the SMS will be assessed against the planned goals/objectives that fall within their specific areas of responsibility (i.e. within the Branch, Chief Directorate and Directorate performance as captured in the AR/operational plan).

10.4 Auditor-General's Opinion and Findings - It is important to ensure that the financial statement is free from material misstatements. Furthermore, that there are no material findings on non-compliance with legislation and that there are key internal measurement controls to achieve a clean audit report. The AG report or findings is an appropriate mechanism to corroborate the performance outcome of the members of the SMS. Audit results should not be seen in isolation, but in context and should form an integral part in management’s monitoring and evaluation of the performance of the member of the SMS. Members of the SMS may include improvements in the AG's findings, as a goal under the Employee Performance element, to be considered during assessment.

11. WEIGHTING OF THE PERFORMANCE ELEMENTS

11.1 For the Deputy Directors-General (DDGs) - The employee performance will comprise 60% of the final score. The different KRAs can be weighted differently to reflect their importance and complexity. The organisational performance will comprise 20% and the AG’s Opinion and Findings will comprise 20% of the final score.

11.2 For the Chief Directors and Directors - The employee performance will comprise 100% of the final score. The different KRAs can be weighted
differently to reflect their importance and complexity. However, the performance assessment of members of the SMS at the levels of Director and Chief Director should take into consideration the contributions, where applicable, of that member of the SMS in the performance of the department/branch against the achievement of the APP targets as well as the AG’s Opinion and Findings. The exclusion of the organisational performance element for the Chief Directors and Directors is based on the fact that not all the work of Chief Directors and Directors is included directly on the APP.

11.3 Where the Accounting Officer is a member of the SMS other than the HOD, the performance will be managed in terms of the provisions prescribed for SMS members on the level of the DDG (see paragraph 11.1).

11.4 Weight and rating principles - the minimum weight to be allocated for any KRA shall be 10% and the maximum weight shall not exceed 30%. However, the weightings for the APP and AG’s opinion and findings respectively are fixed at 20% each for DDGs.

12. PERFORMANCE CONTRACTING AND ASSESSMENTS

12.1 Entering Into a Performance Agreement

12.1.1 All members of the SMS and their supervisors must annually enter into and sign their PAs on or before 31 May of each financial year. Newly appointed member of the SMS shall enter into and sign their PA with the supervisor three months after their appointment. SMS members who are appointed on a fixed-term contract for a period of six (6) months or longer must enter into a PA with their respective supervisors. The relevant supervisor shall ensure that the signed PAs are submitted to their internal Human Resource Management (HRM) components on or before the end of the first working day following the due date for signing of PAs.

12.1.2 Members of the SMS who are seconded for a period of three (3) months or longer during the performance cycle must ensure that they enter into and sign a new PA with the supervisor at the recipient department within three (3) months of her/his secondment. A copy of the signed PA must be forwarded to the employing department within 30 calendar days. The two departments need to agree on how the performance of the member will be managed over the performance cycle that falls within or overlaps with the secondment period.

12.1.3 In the event of National and Provincial elections occurring within the first three (3) months of any financial year, supervisors and members of the SMS must within the first three (3) months following the month of the election, enter into, sign and file their PA with the HRM components for that financial year.
12.1.4 It is the responsibility of the member of the SMS as well as the supervisor to ensure that they both sign the PA within the prescribed due date. Failure to sign and complete a PA by either the supervisor or the SMS member on time will result in non-compliance with this policy.

12.1.5 The format of a PA at Annexure A and A1 shall be utilised as the basis of PAs and workplans (Annexure B), with the understanding that departments may only adjust the pro forma template to suite their particular branding/corporate identity. The PA may be subjected to a validation process as contemplated in paragraph 16.2.1.

12.1.6 The Batho Pele Principles (BPPs) and Core Management Competencies (CMCs) as reflected below are an integral part to the employee performance element. The BPPs and CMCs must be incorporated in the drafting of the PAs. While the BPPs and CMCs will not be assessed separately, it should be considered in the holistic assessment.

12.1.7 **Batho Pele Principles**

(a) The applicable BPP for KRAs should be determined during the signing and conclusion of the PA. The customer, client and beneficiaries should also be identified at this stage. This integrated approach reflects how the KRA will be achieved while simultaneously demonstrating the BPP in practice.

(b) The BPPs must also be used as criteria when assessing performance of the SMS member. The BPPs are not weighted. However, the evaluation must be informed on the basis of how the BPPs were applied in the execution of the KRAs.

<table>
<thead>
<tr>
<th>No</th>
<th>Batho Pele Principles</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Consultation</td>
<td>Citizens should be consulted about the level and quality of the public service they receive, and wherever possible, should be given the choice about services that are offered.</td>
</tr>
<tr>
<td>2</td>
<td>Service standard</td>
<td>Citizens should be told what level and quality of public service they will receive so that they are aware of what to expect.</td>
</tr>
<tr>
<td>3</td>
<td>Access</td>
<td>All citizens should have equal access to the service to which they are entitled.</td>
</tr>
<tr>
<td>4</td>
<td>Courtesy</td>
<td>Citizens should be treated with courtesy and consideration.</td>
</tr>
<tr>
<td>5</td>
<td>Information</td>
<td>Citizens should be given full, accurate information about the public service they are entitled to receive.</td>
</tr>
<tr>
<td>No</td>
<td>Batho Pele Principles</td>
<td>Descriptions</td>
</tr>
<tr>
<td>----</td>
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<td>--------------</td>
</tr>
<tr>
<td>6.</td>
<td>Openness and transparency</td>
<td>Citizens should be told how national and provincial departments are run, how much they cost and who is in charge</td>
</tr>
<tr>
<td>7.</td>
<td>Redress</td>
<td>If the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy, and when complains are made, citizens should receive a sympathetic, positive response.</td>
</tr>
<tr>
<td>8.</td>
<td>Value for money</td>
<td>Public services should be provided economically and efficiently in order to give citizens the best possible value for money.</td>
</tr>
</tbody>
</table>

12.1.8 Core Management Competencies

(a) The approach to CMCs is based on the core and process competencies of the SMS Competency Framework as outlined in Chapter 5 of the SMS Handbook and in the Leadership Development Management Strategic Framework (LDMSF) for the SMS. The core competencies focus on functional characteristics that members of the SMS are expected to perform in their roles as leaders and managers in the public service.

(b) There are five (5) Core and Process Competencies:

<table>
<thead>
<tr>
<th>CORE COMPETENCIES</th>
<th>PROCESS COMPETENCIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Capability and Leadership</td>
<td>Knowledge Management</td>
</tr>
<tr>
<td>People Management and Empowerment</td>
<td>Service Delivery Innovation</td>
</tr>
<tr>
<td>Programme and Project Management</td>
<td>Problem solving and analysis</td>
</tr>
<tr>
<td>Financial Management</td>
<td>Client Orientation and Customer focus</td>
</tr>
<tr>
<td>Change Management</td>
<td>Communication</td>
</tr>
</tbody>
</table>

Table 2: Source: SMS Handbook Chapter 5

(c) The Core competencies represent the content - "the what", of what needs to be done by the members of the SMS in demonstration of their leadership and managerial roles and functions. The process competencies represent the manner in which the function is performed,
“the how”.

(d) All of the five core and process competencies are compulsory to the members of the SMS and must be reviewed during the contracting and performance review/assessment for the purpose of identifying any performance gaps or developmental requirements. The CMCs are complementary to the KRAs.

(e) A table that includes the competency level of the elements of each CMC, a description and possible expected standards is provided in Annexure D in order to guide contracting and to inform the assessment standards.

12.2 Personal Development Plan (PDP)

12.2.1 The PDP is compulsory for all members of the SMS and must form part of the PA.

12.2.2 The PDP must identify developmental requirements of the member by:

(a) Close examination of the CMCs;
(b) Identifying job-specific developmental needs;
(c) BPP required of the members the SMS; and
(d) Deployment to the coalface of service delivery.

12.2.3 The member of the SMS and the immediate supervisor must agree on the steps to be taken to address any developmental gaps and shall include the date at which a review of progress will be undertaken. The agreed developmental aspects must be recorded on the PDPs (Annexure C).

12.3 Performance Assessments

12.3.1 It is compulsory for the members of the SMS to undergo a mid-year (September) review and an annual (March) performance assessment. The mid-year review and annual assessment must be in writing and must be rated/scored to determine the level of performance.

12.3.2 The SMS member and the supervisor must finalise and submit the mid-year review to HRM on or before 30 November annually. The template in Annexure E must be utilised for the mid-year performance reviews.

12.3.3 The annual assessment, for the previous performance cycle must be finalised by the member of the SMS and the supervisor and shall be submitted to HRM on or before 31 December annually, of the year in which the performance cycle ended. The annual performance assessment template in Annexure F for DDGs and Annexure F1 for CD and Directors shall be utilised for the annual performance assessments.

12.3.4 All members of the SMS must be assessed at the end of the performance
cycle, irrespective of whether they have completed the full 12 months in the post, or not. The overall annual performance score for members of the SMS must be subjected to a moderation process. The PA, mid-year review, the annual assessment and supporting documents must be forwarded to the Moderation Committee.

12.3.5 The overall assessment outcome obtained will reflect the level of achievement attained by the SMS member and may be used to inform decisions on developmental requirements and performance rewards.

12.3.6 The confirmation of appointment following the probation process is separate from the annual assessment and should be managed according to the probation period timeframes and requirements.

12.4 Non-Compliance with the Timeframe/due date

12.4.1 Subject to paragraph 12.4.3 and 12.4.4 members of the SMS who do not comply with the due date prescribed in paragraphs 12.1.1-12.1.3 and 12.3.1-12.3.3 above, without showing good cause, will not be eligible for any performance rewards, i.e. pay progression and performance bonus.

12.4.2 The probationary period of newly appointed members who have not signed and filed their PAs with the relevant human resource components within the first three months after appointment, must be extended by the period equivalent to the period of the delay.

12.4.3 An EA may grant approval for the late signing of PAs only in cases where the SMS member was absent on approved leave, for a protracted period spanning the deadline for the signing of the PA, mid-year reviews and annual assessments. Such reasons must be recorded and reported in the annual report.

12.4.4 Request for Deviations

(a) The MPSA may, under justifiable circumstances grant a deviation for members of the SMS from complying with the timeframes/due dates specified in paragraphs 12.1.1-12.1.3 and 12.3.1-12.3.3. Moreover, under certain circumstances the MPSA may also consider granting a deviation from part(s) of the PMDS processes and procedures with or without restrictions.

(b) Requests to the MPSA for deviation from the deadline on the signing of PAs, other than reasons in paragraph 12.4.3, must be submitted within (3) months after the deadline of submission of PAs. Requests for deviation on the mid-year reviews and annual assessments must be submitted on or before 31 December annually. No request for deviation will be considered by the MPSA after the specified due date.
13. PERFORMANCE ASSESSMENT CRITERIA

13.1 The PA contains KRAs, information on the aspects of organisational performance (APP) and AG's Opinion and Findings. These form the basis on which the performance of DDGs and other categories of the SMS will be assessed.

14. RATING CATEGORIES AND DESCRIPTORS

14.1 Employee Performance (KRAs) - a four (4) point rating scale (1-4) will be used to assess the achievement of the KRAs. The onus is on the member of the SMS to prove he/she performed at a fully effective (3) or highly effective (4) rating. SMS members who have allocated a score of four (4) to a KRA must provide a Portfolio of Evidence (PoE) or detailed motivation to justify their scoring. The same shall apply to the supervisor who increases an employee rating to a rating of 4. The transversal application of the Batho Pele principles and CMCs should be taken into consideration when appraising the KRAs.

<table>
<thead>
<tr>
<th>RATING</th>
<th>CATEGORY</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>NOT EFFECTIVE</td>
<td>Performance does not meet the expected standard for the job. The review / assessment indicates that the jobholder has achieved less than fully effective results against all or almost all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.</td>
</tr>
<tr>
<td></td>
<td>DDGs 69% and below</td>
<td></td>
</tr>
<tr>
<td></td>
<td>CD and Directors 66% and below</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>PARTIALLY EFFECTIVE</td>
<td>Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against (partially achieved) more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.</td>
</tr>
<tr>
<td></td>
<td>DDGs 70% – 99%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>CD and Directors 67% - 99%</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>FULLY EFFECTIVE</td>
<td>Performance fully meets the standard expected in all areas of the job. The review / assessment indicates that the jobholder has achieved as a minimum effective results against all of the performance criteria and indicators as specified</td>
</tr>
<tr>
<td>RATING</td>
<td>CATEGORY</td>
<td>DESCRIPTION</td>
</tr>
<tr>
<td>--------</td>
<td>----------</td>
<td>-------------</td>
</tr>
<tr>
<td>4</td>
<td>CD and Directors</td>
<td>100% - 119%</td>
</tr>
<tr>
<td></td>
<td>HIGHLY EFFECTIVE</td>
<td>Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved above fully effective results against all or more than half of the performance criteria and indicators as specified in the PA and Workplan and maintained this in all areas of responsibility throughout the performance cycle.</td>
</tr>
<tr>
<td></td>
<td>DDGs</td>
<td>115% and above</td>
</tr>
<tr>
<td></td>
<td>CD and Directors</td>
<td>120% and above</td>
</tr>
</tbody>
</table>

14.2 Organisational performance based on the APP - a four (4) point rating scale (0-3) will be used to interpret the performance level of the Branch performance. The APP score will be calculated as a percentage of actual APP targets achieved.

Rating Scale and Descriptors

<table>
<thead>
<tr>
<th>APP SCORING</th>
</tr>
</thead>
<tbody>
<tr>
<td>RATING</td>
</tr>
<tr>
<td>0</td>
</tr>
<tr>
<td>1</td>
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<tr>
<td>2</td>
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<tr>
<td>3</td>
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</tbody>
</table>

14.3 Auditor-General's Opinion and Findings - a five point rating scale (0-4) will be used. In scoring this element, the individual SMS member’s contributions on the financial performance of the department/programmes must be considered.

Rating Scale and Descriptors

<table>
<thead>
<tr>
<th>AG Report Category</th>
<th>Description</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disclaimer</td>
<td>There is a lack of sufficient appropriate audit evidence to the extent that the auditor is not able to form an opinion. This is not a “clean” audit opinion and is the worst type of audit outcome. Due to the lack of evidence, the auditors cannot form an opinion on the financials.</td>
<td>0</td>
</tr>
<tr>
<td>Adverse opinion</td>
<td>The auditor disagrees with the representation made by management in the financial statements to the extent of confirming that it is NOT a fair reflection of the financial</td>
<td></td>
</tr>
<tr>
<td>AG Report Category</td>
<td>Description</td>
<td>Rating</td>
</tr>
<tr>
<td>--------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>Qualification (except for)</td>
<td>The auditor concludes that, except for specifically listed material errors, the financial statements remain a fair reflection. This is not a “clean” audit opinion, but with a little additional effort, this can become an unqualified audit opinion.</td>
<td>2</td>
</tr>
<tr>
<td>Unqualified audit opinion with other matters</td>
<td>The financial statements are unqualified but there are other matters, which signify “red flags” Although these have not yet led to a qualification, they may – if not fixed – lead to a qualification in future years.</td>
<td>3</td>
</tr>
<tr>
<td>Unqualified audit opinion with no matters</td>
<td>This is when the auditor comes to the conclusion that the financial statements present fairly, in all material respects, the financial position of the auditee (also referred to as a “clean” opinion). THIS IS THE IDEAL AUDIT OUTCOME</td>
<td>4</td>
</tr>
</tbody>
</table>

14.4 The rating/score of KRAs and APP targets shall be in whole numbers for both the mid-year reviews and annual assessments.

14.5 An overall rating for the performance cycle will be in accordance with the assessment rating calculator for DDGs (hard copy at Annexure G) and other categories of members of the SMS (hard copy at Annexure H). Electronic copies of the calculators will be available on the DPSA website.

15. DISAGREEMENTS AND DISPUTE RESOLUTION

15.1 Disputes on matters pertaining to the PMDS for members of the SMS, including DDGs, shall be dealt as follows:

15.1.1 Disputes on the signing of PAs will be dealt with in terms of Regulation 72(4)(5)&(6) of the Public Service Regulations, 2016.

15.1.2 The supervisor and the member of the SMS must agree on a mutually acceptable person to resolve any disputes that might arise on all other matters relating to PMDS for members of the SMS including DDGs. An individual within the department should be considered as a first option.

15.1.3 In the event that, the mediation process fails, the members of the SMS and the supervisor shall indicate in writing the nature of the disagreement. Thereafter, they shall sign the performance assessment and forward it to the Intermediate Review Committee (IRC), where applicable, to the
Departmental Moderation Committee (DMC). **Note:** the supervisor and SMS member shall provide detailed written motivations on their respective assessments scores.

15.2 Failing to resolve matters in terms of the process in paragraphs 15.1.1 to 15.1.3 above, the grievance procedure in Chapter 10 of the SMS Handbook must be followed.

16. **MODERATION PROCESS**

16.1 Performance assessments for all members of the SMS must be subjected to a moderation process. The moderation process may consist of two structures, namely the Intermediate Review Committee (IRC) (optional) and the Moderation Committee (MC) (compulsory).

16.2 **The Intermediate Review Committee (optional)**

16.2.1 Departments may establish an IRC to assist in reviewing and validating PAs and the annual performance assessment. This implies that the IRC will convene twice a year, at the beginning of the cycle and the end of a cycle. If the IRC agrees with the ratings, the ratings are then submitted to the MC for moderation purposes.

16.2.2 Any recommendation on the changing of the rating scores must be referred back to the supervisor. The supervisor and the SMS member will review the ratings and reach consensus on the changes.

16.2.3 The IRC will review disagreements between the SMS member and the supervisor. A written submission confirming this shall be presented to the IRC to make a recommendation on an assessment score. This score will be forwarded to the MC.

16.3. **The Moderation Committee (MC)**

16.3.1 The EA shall establish the following two Moderation Committees that will assist her/him to ensure that performance assessments results are justifiable in terms of the organisational and programme performance:

(a) MC for DDGs comprising of a minimum of three (3) members of the SMS at the level of at least DDG within the Public Service.

(b) MC for other members of SMS chaired by the Head of Department or delegated official and comprising of a minimum of three (3) members of the SMS from the relevant department.

16.3.2 The MC will assist the EA to quality assure the PAs of members of the SMS and ensure that it lays a fair basis for the assessments. The MCs shall therefore convene at least twice a year, to quality assure PAs and to moderate the performance assessment results. The members to these MCs shall be appointed in writing.
16.3.3 The MC will preside over and monitor the implementation of the PMDS policy to ensure consistency, fairness, equity and transparency to protect the credibility and integrity of the process and system.

16.3.4 The MC shall moderate the performance assessment results against the departmental and programme performance. During this process, it is important to consider the individual SMS member's contributions towards the achievements of the organisational objectives. The MCs may change the assessment scores of members of the SMS. The department's Annual Report and AG's Opinion and Findings shall be used by the MC to corroborate and allocate appropriate scores.

16.3.5 With specific reference to the performance assessment of DDGs, if the assessments scores allocated by a DDG and the supervisor for the APP and AG's opinion and findings elements do not correspond with the information contained in the annual report as verified by the AG, the MC may correct the score of the individual DDG for these elements. In such instances, the supervisor and DDG must be informed and provided with reasons on the decision of the MC.

16.3.6 If the member of the SMS and the supervisor do not agree on the assessment score, a written submission confirming this shall be presented to the MC to make a final decision on an assessment score. The committee shall consider both representations and propose a final decision on an assessment score per KRA and on the resulting overall score. The decision of the committee will be final.

16.3.7 The MC should make recommendations to the EA on the level of performance of the members of the SMS, including DDGs. The moderation process shall be finalised on or before 30 January annually.

16.3.8 The EA must ensure that the outcomes of the moderated performance assessment results are implemented within twelve (12) months after the end of the performance cycle (i.e. by 31 March of the following financial year).

17. PROLONGED AUTHORISED LEAVE OF ABSENCE

17.1 If the member of the SMS is absent with permission or on precautionary suspension for a continuous period of three (3) months or longer, the affected member shall be regarded as having performed satisfactorily for that period of absence within that applicable performance cycle (Regulation 72 (12)).

17.2 Periods of prolonged absence with permission for purposes of paragraph 17.1 above include all types of approved leave.
17.3 Acting in a Higher Position

17.3.1 Members of the SMS who are appointed to act in a higher position for three (3) months or longer, must revise their PA and workplan to include the new roles and responsibilities within 30 days from the date of appointment.

17.3.2 Members of the SMS who are acting in the position of Director-General (DG) or HOD, for a period of three (3) months or longer, are not required to sign a PA as an HOD or to submit their PAs to the institutions tasked with receiving those for DGs or HODs.

18. FORFEITING OF PERFORMANCE INCENTIVES

18.1 Members of the SMS, including DDGs will forfeit performance incentives they may have been eligible for in the following circumstances:

18.1.1 Failed to sign their PA within the prescribed due date.

18.1.2 Failed to finalise and submit the mid-year review to HRM on or before 30 November.

18.1.3 Failed to finalise and submit the annual assessment to HRM on or before 31 December.

19. RECORDING AND REPORTING PERFORMANCE RELATED DATA

19.1 Information on the performance management of members of the SMS must be captured on the PERSAL system or on a system prescribed by the MPSA. These include the signing of PAs, mid-year and annual assessment scores.

19.2 The DPSA may arrange with National Treasury for the introduction of compulsory/mandatory fields on the PERSAL system for the capturing of employees performance management information.

20. CONFIDENTIALITY

20.1 All personal performance information recorded as suggested above must be kept confidential and may only be released to a third party (other than the member of the SMS and her/his supervisor or EA/HOD as employer) with the member’s written permission or permission from the relevant EA.

21. REPORTING

21.1 The MPSA will determine which information pertaining to the PMDS for members of the SMS must be included in the annual reports of the departments.
22. **ROLES AND RESPONSIBILITIES**

22.1 The roles and responsibilities of the key role-players with regard to oversight and moderation of the PMDS are largely determined by the legal and regulatory framework.

22.2 The role of the **MPSA** and the **DPSA** is to:

   (a) Provide Directives for the PMDS for members of the SMS.
   (b) Support and advise the MPSA and DG DPSA in fulfilling their responsibilities with regard to the PMDS for members of the SMS.
   (c) Provide support and advice to departments on the implementation of the PMDS for members of the SMS.
   (d) Provide support and advice to role players in the interpretation and implementation of the Directives.

22.3 The role of the **EA** is to:

   (a) Ensure the appropriate implementation of the performance management system for members of the SMS in her/his department.
   (b) Ensure that an appropriate and valid strategic plan as well as the departmental Annual Performance Plan are in place to guide the development of PAs.
   (c) Ensure that a mechanism is in place for the development and validation of effective PAs and the moderation of Assessment results.
   (d) Ensure compliance to the policy for members of the SMS under his/her control and take appropriate disciplinary actions were deemed appropriate.

22.4 The role of the **DG/HOD** is to:

   (a) Ensure that the all members of the SMS within the department comply with the performance management system for members of the SMS. The HOD ensures that there is an integration and alignment between the system for members of the SMS and that used for employees who are not members of the SMS.
   (b) Lead by example, completes and adheres to her/his PA, champion and enforce compliance by all members of the SMS to their PAs.
   (c) Build a culture of performance and open discussion in her/his department to enable the PAs to be fully and appropriately developed and implemented;
   (d) Ensure that the compulsory fields provided on PERSAL or system prescribed by the MPSA relating to performance management for members of the SMS are kept up to date and properly maintained;
   (e) Make provision for a database for capturing and updating all performance assessment results;
   (f) Where applicable, take final decisions on performance management related disputes.
(g) Ensure compliance to the policy for members of the SMS under his/her control and take appropriate disciplinary actions where deemed appropriate.

22.5 **The role of the HRM and HRM&D or Corporate Services Unit** is to:

(a) Facilitate the full understanding of the PMDS, and implementation of PAs in their departments;
(b) Accurately record all performance management data,
(c) Provide information to the DPSA on how the whole process is being implemented,
(d) Play a significant role in furnishing the moderating committee with accurate, comprehensive and statistical information
(e) Provide the administrative support to the DG/HOD to comply with the requirements of this directive.
(f) Ensure that all PAs submitted comply with the minimum requirements and perform quality assurance on PAs as prescribed by the MPSA from time to time.
(g) Support the Moderation Committee/ and/or Intermediate Review Committee and members of the SMS and their supervisors.

22.6 **The role of all members of the SMS is to**:

(a) Ensure that they complete and submit their PAs within the specified timeframe(s),
(b) Ensure that their PAs comply with the minimum requirements and conduct quality checks of the PA as prescribed by the MPSA.
(c) Commit to proper implementation of the policy and procedures agreed to in their department.
ANNEXURES: A - D