Isalathiso: 20180212-9189
3/3/3/1/5
Imibuzo: IZiko leeFoni

INgcaciso eMfutshane yeCandelo loLawulo lwaBasebenzi ngoBuchule: 0002/2018

Iya: KumaSekela Balawuli-Jikelele, kuBalawuli abaziiNtloko, kuBalawuli, kumaSekela-Balawuli, kuBaphathi beeSekethe, kwiiNtloko zoLawulo noKuphathwa kwamaZiko, kwiiNtloko ezinika iNkxaso yeKharityhulam kwiZithili; kwiiNtloko ezinika iNkxaso kuBafundi kwiZithili; kwiiNqununu nakubo bonke aBasebenzi beNkonzo kaRhulumente

Isihloko: ISigqibo noMyalelo ongeNkqubo yoLawulo lweNtsebenzo noPhuhliso lwaBasebenzi kubaqeshwa benkonzo karhulumente abakwinqanaba lomvuzo 1 ukuya ku-12 kungabandakanywanga amalungu eNkonzo yaBaphathi abaKhulu *(Senior Management Service (SMS))*

1. ISebe leNkonzo kaRhulumente noLawulo *(iSebe DPSA*) lakhupha iSetyhula 5 ye-*DPSA* ka-2017, yomhla we-15 Septemba 2017, ukwazisa onke amasebe ngeenguqu kwiNkqubo yoLawulo lweNtsebenzo noPhuhliso lwaBasebenzi (*Performance Management and Development System (PMDS))* kwakunye noxwebhu oluqhotyoshelweyo lweSigqibo i-*Determination and Directive on the PMDS for employees other than members of the Senior Management Service (SMS)* ukuncedisa amasebe ukuqalisa ezi nguqu.

2. ISigqibo *Determination and Directive on the PMDS for employees other than members of the SMS*, esakhutshwa ngokweziqendu 3(1), 3(2) no-4(3) soMthetho weNkonzo kaRhulumente, 1994 (uMthetho 103 of 1994), ezifundwa kunye nemimiselo 71 no- 72 kwi-*Public Service Regulations* (PSR), 2016, eyapapashwa kwiGazethi No. 40167 ye-29 Julayi 2016, siya kuqala ukusebenza ngowe-01 Apreli 2018.

3. Ulawulo lwentsebenzo lumele ukwenziwa ngendlela yothetha-thethwano, enika inkxaso engenacalucalulo ukuphucula ukusebenza ngempumelelo kweziko, ukuba nokuphendula ngokusetyenziswa kwezibonelelo nemithombo yezemali nokufezekisa iinjongo iziko elijolise kuzo. Makuthathelwe ingqalelo ezi nguqu ziphambili zibalulekileyo zilandelayo:

3.1 *I-Key Result Area* (*KRA*)) nganye imele ukunikwa amanqaku ayipesenti ngokwenqanaba lentsebenzo nefuthe loko kumsebenzi womqeshwa. Amanqaku azo zonke ii-*KRAs* amele ukuba ngu-100% xa edityanisiwe. <u>Makuqatshelwe:</u> Amanqaku e-<u>*KRA* nganye awayi kuba ngaphantsi ko-10% yaye awayi kuba ngaphezu ko-30%.</u>

3.2 Abaqeshwa baya kuchonga, baxoxe baze bavumelane *ngemiba yohlolo ezi-Generic Assessment Factors (GAFs)* eyiyezona ifanelekileyo kwinkalo yomsebenzi wabo. I-*GAFs* eziqhotyoshelweyo aziyi kunikwa manqaku okanye zihlolwe ngokuzimeleyo, kodwa mazibandakanywe yaye zihlolwe ngendlela ehlangeneyo nee-*KRAs*. Ii-*GAFs* zichaza iimfuno zobuchule, zithathela ingqalelo ulwazi, izakhono neempawu zobuchule ezifanelekileyo kumsebenzi womqeshwa oko kukuthi ulwazi ngomsebenzi, izakhono zobugcisa, ukwamkela ukuthwala uxanduva, umgangatho womsebenzi, ukuthembeka, ukubanako ukuqalisa izinto ngokwakhe, unxibelelwano, unxulumano nabantu, ukulungela zonke iimeko, intsebenziswano, ukwenza izicwangciso nokuzifezekisa, ubunkokheli, ukudlulisela igunya kwabanye nokuxhotyiswa nokulawulwa kwabasebenzi nemithombo yezemali.

3.3 Ukwenziwa kweerivyu zentsebenzo zaphakathi enyakeni nokuhlolwa kwentsebenzo kwaqho ngonyaka kunyanzelekile yaye makwenziwe kumaxwebhu abhaliweyo. Ukuhlolwa qho ngonyaka kuya kubonisa intsebenzo yomqeshwa kumjikelo wentsebenzo opheleleyo (ka-Apreli ukuya kuMatshi).

3.4 Isikali sereyithingi esinamaqondo ereyithingi amane (*four-point rating scale*) siya kusetyenziselwa ukuhlola intsebenzo yabaqeshwa kungabandakanywanga amalungu e-*SMS*. Ireyithingi engu-"3" kwisikali ithetha "intsebenzo epheleleyo". Ngokwale nkqubo yereyithingi yentsebenzo, umqeshwa oreyithwe" njengonentsebenzo epheleleyo" uzifezekisile ngokupheleleyo iimfuno ezimiselweyo zomsebenzi.

Le theyibhile ingezantsi icacisa esi sikali sereyithingi sinamaqondo amane, iindidi zentsebenzo neenkcazo ezihamba kunye nazo:

Ireyithingi	**indidi namamnqaku**	**Inkcazo**
1	Ayibonakali intsebenzo (ingaphantsi okanye ilingana no-66%)	Intsebenzo ayifikeleli kumgangatho olindelekileyo kulo msebenzi. Irivyu/ukuhlolwa kubonisa ukuba umqeshwa ufumene ngaphantsi kweziphumo zentsebenzo epheleleyo xa kuthelekiswa nazo zonke okanye phantse zonke iikhrayitheriya zentsebenzo nezalathi njengoko zicacisiwe kwiMvumelwano (*PA)* yeNtsebenzo nesiCwangciso soMsebenzi.
2	Intsebenzo engaphelelanga ncam (67%–99%)	Intsebenzo iyayifikelela eminye imigangatho elindelekileyo kulo msebenzi. Irivyu/ukuhlolwa kubonisa ukuba umqeshwa ufumene ngaphantsi kweziphumo zentsebenzo epheleleyo (intsebenzo engaphelelanga ncam) xa kuthelekiswa ngaphezu kwehafu yeekhrayitheriya zentsebenzo nezalathi njengoko zicacisiwe kwiMvumelwano (*PA)* yeNtsebenzo nesiCwangciso soMsebenzi.

3	Intsebenzo epheleleyo (100%–119%)	Intsebenzo iyafikelela ngokupheleleyo kwimigangatho elindelekileyo kuzo zonke iinkalo zomsebenzi. Irivyu/ukuhlolwa kubonisa ukuba umqeshwa ufumene iziphumo zentsebenzo epheleleyo ezizezona zincinane xa kuthelekiswa nazo zonke iikhrayitheriya zentsebenzo nezalathi njengoko zicacisiwe kwiMvumelwano *(PA)* yeNtsebenzo nesiCwangciso soMsebenzi.
4	Intsebenzo egqwesileyo (120%–133%)	Intsebenzo iyawogqitha ngokungaphezulu umgangatho olindelekileyo kumqeshwa kweli nqanaba. Irivyu/ukuhlolwa kubonisa ukuba umqeshwa ufumene bhetele kuneziphumo zentsebenzo epheleleyo xa kuthelekiswa ngaphezu kwehafu/okanye kwazo zonke iinkalo zekhrayitheriya yeziphumo zentsebenzo nezalathi njengoko zicacisiwe kwiMvumelwano yeNtsebenzo *(PA)* nesiCwangciso soMsebenzi yaye ugciniwe lo mgangatho kuzo zonke iinkalo zomsebenzi kumjikelo wentsebenzo uwonke.

3.5 Kuphela ngamanani apheleleyo amakasetyenziswe ukunika amanqaku (akavumelekanga amaqhezu edesimali (*decimals numbers*), umz. 3,5)

4. Kubalulekile ukuba kuhanjwe ngayo ngokungqongqo imihla emisiweyo ngokwekhalenda ye*SPMDS* nekhalenda yokucwangcisela izikolo ngakumbi xa kufuneka kungeniswe iimvumelwano zentsebenzo (*PA*) neerivyu zaqho kwiinyanga ezintandathu. Abaqeshwa abayi kufumana zibonelelo njengezikhuthazi zentsebenzo xa ngaba amaxwebhu awangeniswanga ngexesha.

Imihla emisiweyo kumjikelo ka-2018/2019 yile ilandelayo:

Umsebenzi	**Umhla omisiweyo**
Makugqitywe iimvumelwano zentsebenzo	30 Apreli 2018
Kungeniswe izafikethi	31 Meyi 2018
Makugqitywe iimfuno zoqeqesho yaye kungeniswe izatifikethi	31 Meyi 2018
Makugqitywe iirivyu zaqho ngeenyanga ezintandathu yaye kungeniswe izatifikethi	28 Septemba 2018
Makugqitywe yaye kungeniswe amanqaku okuhlolwa okugqibela	19 Apreli 2019

5. Akuvumelekanga ukuba abaqeshwa bafakele izilungiso kwiimvumelwano zentsebenzo (*PA*) kwikota yokugqibela yomjikelo wentsebenzo (oko kukuthi ngoJanuwari ukuya kwi-31 Matshi), ngaphandle kokuba iinguqu kwinkcazo

yengqesho yomqeshwa, kwinqanaba lokuhlelwa komsebenzi (*job grade*), kwimeko-bume yeziko *(organisational structure*) leSebe leMfundo leNtshona Koloni (*WCED*) okanye kwimisebenzi okanye kwizilungiso kwinjongo nakwiziphumo zeeprayorithi kwiziphumo ezibalulekileyo kwikhontenti yomsebenzi womqeshwa. Kwiimeko ezifana nezi iimvumelwano zentsebenzo *(PA)* ezifakelwe izilungiso mazihanjiswe nenkcazo ebhaliweyo enezizathu ezixhasa oku esayinwe yisuphavayiza nentloko yecandelo.

6. Ukuba umqeshwa akakho ngemvume okanye ngenxa yokuba enqunyanyisiwe okwethutyana ngokwemiqathango yezolawulo kangangethuba eliqhubeka okoko leenyanga ezintathu okanye ezingaphezu koko, umqeshwa ochaphazelakayo uya kuthathwa njengobenentsebenzo eyanelisayo ngelo thuba lokungabikho kwakhe lalo mjikelo wentsebenzo uchaphazelekayo (UMmiselo 72 (12)). Amathuba okungabikho emsebenzini ongeziweyo ngemvume, abandakanya zonke iindidi zekhefu elivunyiweyo.

7. Iindlela zokusonjululwa kwembambano mazibandakanye nawuphi na umahluko onokubakho ngenxa yeemvumelwano zentsebenzo, iirivyu zentsebenzo nokuhlolwa kwentsebenzo. Nakuphi na ukungavumelani makuqale kusonjululwe ngaphakathi kwelo ziko/yunithi/khomponethi/sebe. Ukuba kuvela imbambano njengoko kuchatshazelwe kummiselo 72(4) we-*PSR*, iGunya leSigqeba (*Executive Authority*) okanye elo gosa kudluliselwe kulo amagunya, liya kunyula umlamli (*mediator*), oya kuba ngumqeshwa, oya kuyiqwalasela imbambano ingadlulanga inyanga enye emva kokuphela komhla omisiweyo wokusayinwa kweMvumelwano yeNtsebenzo (*Performance Agreement (PA*)).

8. Abaqeshwa abaqeshwe njengabalingwa banyanzelekile bagqibe iirivyu ezine zaqho ngekota (*four quarterly reviews*) yaye kuya kusetyenziselwa ukuhlolwa kokugqibela ukungqinisisa ukuqeshwa kwabo njengabalingwa.

9. Umgaqo-nkqubo we-*PMDS* kaRhulumente weNtshona Koloni ufakelwa izilungiso ngokungqinelana neSigqibo noMyalelo onge-*PMDS*.

9.1 Abaqeshwa bakwaNdlunkulu nabakwii-ofisi zezithili abasebenzisa i-*Performance Management Information System (PERMIS)* ukurekhoda ii-*PAs* nokugqiba iirivyu kuyo, sebeyiqalile inkqubo yolungelelwaniso. Kuya kubonelelwa ngoqeqesho oluyimfuneko olumalunga noku.

9.2 Abasebenzi abanika inkxaso ezikolweni baya kuqhubeka ngokulandela ii-*PA* eyingcaciso ebhalwe emaphepheni nenkqubo yerivyu. Iifom ezikhoyo ze-*PA* nezicwangciso zophuhliso zomqeshwa ngamnye, oko kukuthi isiHlomelo A no-B, kumele zibe zisasetyenziswa kumjikelo ka-2018/2019 Kuya kubonelelwa ngoqeqesho olufanelekileyo nemathiriyeli yalo yaye iya kulandela imbalelwano engaphezulu emalunga nezi nguqu kwiirivyu zaqho ngeenyanga ezintandathu nakwiirivyu zentsebenzo zaqho ngonyaka.

10. Kucelwa wazise ngokuqulethwe yile ngcaciso imfutshane kubo bonke abasebenzi abaphantsi kolawulo lwakho ukuze bayithathele ingqalelo.

ISAYINWE: NGU-LJ ELY
USEKELA MLAWULI-JIKELELE WEENKONZO ZEZIKO
UMHLA: 2018-03-07

the **dpsa**

Department:
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

DETERMINATION AND DIRECTIVE ON THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM OF EMPLOYEES OTHER THAN MEMBERS OF THE SENIOR MANAGEMENT SERVICE FOR IMPLEMENTATION WITH EFFECT FROM 1 APRIL 2018

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1. INTRODUCTION

1.1. Section 3 of the Public Service Act, 1994, provides that the Minister for the Public Service and Administration (MPSA) is responsible for establishing norms and standards relating to, among others, employment practices for employees which includes performance management. The MPSA can determine these norms and standards by making regulations, determinations and directives.

1.2. In terms of the Public Service Regulations, 2016 (PSR) an executive authority (EA) shall approve and implement a system for the performance management of employees, other than employees who are members of the Senior Management Service (SMS), and may also establish separate Performance Management Systems for different occupational categories or levels of work in his or her department.

1.3. Clause 12.1 of the Public Service Co-ordinating Bargaining Council (PSCBC) Resolution 1 of 2012 (Wage Agreement for 2012/2013), provides that the employer will review the current PMDS for employees on salary levels 1 to 12. The PSR has been amended to give effect to and incorporate the changes in the performance management for employees other than members of the SMS.

1.4. Chapter 4, Part 5 of the PSR provides norms and standards on the Performance Management and Development Systems (PMDS) for non-SMS employees which must be included in the departmental PMDS. This Determination and Directive on performance management for employees other than employees who are members of the Senior Management Service (SMS) seeks to elucidate and supplement the PSR as well as to provide guidance to departments on areas requiring revision in their departmental PMDS policies.

1.5. National and Provincial departments are expected to review/amend their PMDS policies and align them to the PSR and this Determination and Directive.

2. AUTHORIZATION

2.1. This Determination and Directive is issued in terms of sections 3(1), 3(2) and 41(3) of the Public Service Act, 1994 read with regulations 71 and 72 of PSR.

3. SCOPE OF APPLICABILITY

3.1. This Determination and Directive is applicable to all employees, other than members of the Senior Management Services (SMS).

4. DATE OF IMPLEMENTATION

4.1. This Determination and Directive will be effective from 1 April 2018.

5. COMPLIANCE

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

6. PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM FOR EMPLOYEES OTHER THAN SMS MEMBERS

6.1. In terms of regulation (71)(1) of the PSR, Executive Authorities (EAs) are expected to approve and implement a PMDS policy for employees other than employees who are members of the SMS. The performance management cycle is linked to a financial year therefore, the PMDS policy should be approved by an EA prior to the performance cycle for which the system is to be implemented. The EA may establish separate performance management systems for different occupational categories or levels of work.

6.2 The PMDS policy for employees other than SMS members shall hinge on the following dimensions:

6.2.1 Key Result Areas (KRAs), describe the core functions or broad area of responsibility of an employee. It is broken down into number of outputs and activities.

6.2.2 Generic Assessment Factors (GAFs), describe the competency requirements taking into consideration the knowledge, skills and attributes relevant to the employee's work.

6.3 Departments shall develop their own templates which will be used for performance contracting, review and assessments.

6.4 An EA may use a single assessment instrument to assist in deciding on an employee's probation and performance.

6.5. Performance Agreements (PAs) or an agreement of similar nature must be signed by both parties (i.e. the employee and the supervisor) for it to be valid and binding.

6.6. An employee acting in a higher position shall be assessed at the level of his or her post that he or she occupied at the time immediately prior to the acting position and the awarding of performance incentives if he/she qualifies shall be calculated on the lower level.

6.7. Any deviation from the provisions of the system during the cycle may be approved by the relevant executive authority only if such deviation is not to the detriment of any employee and is not inconsistent with the provisions of the Public Service Act, the PSR and this Determination and Directive.

7. PERFORMANCE AGREEMENT OR AN AGREEMENT OF A SIMILAR NATURE

7.1 The PMDS policies of departments shall provide for the employee and supervisor to enter into a performance agreement or an agreement of a similar nature.

7.2. All employees shall conclude and sign their Performance Agreements (PAs) or an agreement of similar nature on or before 31 May of each financial year. The relevant supervisor shall ensure that the signed PAs or agreements of similar nature are submitted to their internal Human Resource Management components on or before the end of the first working day following the due date for signing of PAs or agreement of similar nature. The EA or delegated official may include internal departmental timelines in their PMDS policies to ensure compliance with these dates. Newly

appointed employees shall conclude, sign and file their PAs or an agreement of similar nature within three months of the date of appointment and thereafter, within two calendar months of the beginning of each financial year (Regulation 72(1) of the PSR).

7.3 An employee who is appointed, seconded or transferred to another post or position at the same salary level must enter into a new PA or agreement of a similar nature for the new post or position within three calendar months of his/her appointment/secondment/transfer (Regulation 72 (2) of the PSR). For seconded employees, a copy of the signed PA or agreement of similar nature must be submitted by the seconding department to the releasing department within 30 days.

7.4. An employee who does not comply with the requirements in paragraphs 7.1, 7.2 and 7.3 above, shall not qualify for any performance rewards, i.e. pay progression and performance bonus (Regulation 72(7) of the PSR).

7.5. Employees are discouraged from amending a PA or an agreement of a similar nature in the last quarter of a performance cycle (i.e. 1 January to 31 March), unless changes to the employee job description, job grade, organisational structure of the department or its functions or amendments to the objectives and priorities result in significant changes to the content of the job of the employee.

7.6. In the case where the amendment of the PA or an agreement of a similar nature is justified, the amended PA or agreement of a similar nature must be accompanied by a written motivation explaining the reasons for the changes. This motivation must be signed by supervisor and the head of the component and submitted to HRM unit to inform and clarify matters of performance during annual assessments and moderation.

7.7. Contents of the PA or an agreement of a similar nature

7.7.1. In terms of Regulation 72(3), as a minimum, a PA or an agreement of a similar nature shall include the following:

(a) A personnel number, job title, post grade as well as a clear description of the main objectives of the employee's job and the key responsibility areas (KRAs), relevant outputs and competency requirements (GAFs);

(b) A workplan containing the outputs, activities and resource requirements; and

(c) A personal development plan (PDP) that identifies the employee's competency and developmental needs in terms of the inherent requirements of the job, as well as methods to improve these.

7.7.2 Each KRA should be weighted as a percentage (%) according to the level of importance and impact it has in the employee's job. The weighting of all the KRAs should aggregate to 100%. The weight of each KRA shall not be less than 10% and shall not exceed 30%.

7.7.3 Employees shall identify, discuss and agree on the GAFs that are most relevant to their area of work. The GAFs shall not be weighted. GAFs shall not be assessed independently, but must be incorporated and assessed in an integrated manner with the KRAs. Any employee development identified in the GAFs shall be used to inform areas of development to be included in the PDP of employees. A list of the GAFs is attached as **Annexure A**.

7.7.4 Departments may develop their own templates for performance agreements, mid-year reviews and annual assessments.

8. PERFORMANCE MONITORING, REVIEW AND ASSESSMENT

8.1. The performance of employees must be monitored by supervisors on a continuous basis, with oral feedback on an employee's performance if the performance is satisfactory and in writing if the employee's performance is unsatisfactory.

8.2. The conducting of mid-year performance reviews and annual performance assessments are compulsory, and must be in writing. The annual assessment shall reflect the performance of the employee for the entire performance cycle (April to March). The annual assessment must be conducted even if the employee was employed for less than 12 months in that cycle.

8.3. A four (4) point rating scale shall be used to assess the performance of employees who are employees other than members of the SMS. A rating of a "3" on the scale entails "fully effective". In terms of this approach to performance rating, an employee who is rated "fully effective" has fully complied with the requirements of the job. On the rating scale, this translates to an overall score of 100%. Only whole numbers must be used in the scoring (no decimals numbers are allowed (e.g. 3.5)).

8.3.1. Table 1 below provides an explanation of the four point rating scale, categories of performance and the associated descriptions.

RATING	CATEGORY AND SCORE	DESCRIPTION
1	**Not effective** (less than or equal to 66%)	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.
2	**Partially Effective** (67%-99%)	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results (partially achieved) against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
3	**Fully Effective** (100% - 119%)	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 in the Performance Agreement and Workplan.
4	**Highly Effective** (120% - 133%)	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half/or in all areas 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.

Table 1: Four (4) Point Rating Scale

8.3.2. The performance assessment calculator shall be used to calculate the overall performance score(s) of the mid-year reviews and the annual performance assessment (Annexure B). The electronic Excel Performance Assessment Calculator for non-SMS employees is available on the DPSA website (www.dpsa.gov.za).

9. PERFORMANCE MANAGEMENT COMPLIANCE DUE DATES AND ACTIVITIES

9.1. Table 2 provides the compliance due dates that are prescribed in terms of the Public Service Regulations, 2016 and directives issued by the MPSA. EAs and HODs must ensure that their PMDS policy and procedures comply with the specified dates and timeframes contained in the PSR.

Annual Dates	Current Cycle Activities	Previous Cycle Activities to be completed	Responsibility
31 May	Signed PA is filed/submitted to HR*	—	Employee, supervisor and Head of HR
30 June	Finalisation of capturing of signed performance agreements on PERSAL	Finalisation of capturing of employee performance information on PERSAL	Head of HR and HR information system/Persal Controller
31 July	—	Finalisation of annual performance assessments	Employee, supervisor and EA or delegated official
31 October	Finalisation of mid-year reviews	—	Employee and supervisor
30 November	—	Approval of moderated annual performance assessments	EA or delegated Authority
31 December	—	Implementation of outcomes of the annual performance	HR/Finance and Accounting Officer

Table 2

**Note: New employees must sign PAs within three calendar months of the date of his/her date of appointment.*

10. PERFORMANCE MODERATION

10.1. In terms of Regulation 71(5)(e), the PMDS of departments must provide for arrangements and structures for the purpose of performance moderation to ensure fairness and consistent application of the employee performance management system.

10.2 The EA or relevant delegated authority/ies shall appoint a committee to moderate the annual performance assessments and submit the recommendations to the relevant EA for approval.

10.3. The performance moderation is conducted by a higher level of management above the supervisor to ensure, as far as possible, that the performance of all employees is evaluated fairly and consistently across the department.

10.4. Members of Moderation Committees must ensure that:

10.4.1 There is compliance with the public service prescripts in terms of the timelines on the signing of PAs or agreements of a similar nature, performance reviews and assessments and the date for the implementation of the outcomes of annual performance assessments; and

10.4.2 The performance outcome of the department/branch or unit is considered when advising or/ recommending on the implementation of the outcomes of annual performance assessments.

10.5. The performance moderation processes may be conducted in two steps if so desired, i.e. the intermediate review committee (optional) and departmental moderation committee (compulsory), which are discussed below.

10.6 The intermediate review committee (IRC)-Optional

10.6.1. Departments may establish an Intermediate Review Committee (IRC) at a Programme or Chief Directorate level for reviewing the performance assessment rating agreed upon by the employee and the supervisor. The need for such a committee will depend on the size and structure of the department.

10.6.2. The IRC receives the performance assessment ratings of all employees in the Chief Directorate or Component level, to review, compare and validate the ratings. If the IRC agrees with the ratings, the ratings are then submitted to the moderating committee. Any recommendation on the changing of the rating scores must be referred back to the employee's supervisor for the supervisor and the subordinate to try and reach consensus on the change. If the supervisor and the employee cannot agree, the unchanged/original rating is forwarded to the Moderating Committee, with the comments from the IRC, the supervisor and employee.

10.7. Departmental Moderating Committee (DMC) (Mandatory)

10.7.1. Each EA or the relevant delegated authority/ies, must establish a Departmental Moderating Committee (DMC) for employees other than members of the SMS, which is chaired by the Head of Department (HOD) or his/her delegate. The Committee furthermore, may consist of senior managers at the discretion of the EA or relevant delegated official.

10.7.2. Roles of the DMC

(a). The role of the Departmental Moderating Committee is to ensure that the annual performance assessment is done in a realistic, consistent and fair manner, to monitor the performance assessment process by obtaining an overall sense of whether norms and standards are being applied consistently and realistically to employees on the same level and across the department as a whole.

(b). The DMC should not assess each individual case for purposes of evaluating ratings, but should develop an overall view of the results of the assessment process. If the DMC identifies deviations or discrepancies, these should be dealt with in a just, fair and consistent manner.

(c). The DMC must keep detailed minutes and records of decisions, in particular, if it recommends either increasing or decreasing rating scores. Such decisions must be communicated to the supervisor and the employee.

(d). The Moderating Committee shall confirm the rating, which is the final rating score for an employee.

10.7.3. The other additional roles of the Departmental Moderating Committee therefore include –

(a) Provision of oversight of the application of the PMDS policies, ensuring that the performance management process, including the setting of performance standards is valid, fair and objective;

(b) Detection of potential problems in the PMD system and advising the HOD accordingly;

(c) Reviewing overall assessment scores across unit sections/programmes in the department;

(d) Recommending reward levels and remedial action for different types of performance outcomes; and

(e) Making recommendations regarding actions to be considered where managers and supervisors do not properly and fairly execute their responsibilities with regard to contracting, provision of performance feedback, mid-year reviews, annual assessment and rating in terms of the PMDS.

11. COMPULSORY CAPTURING OF EMPLOYEE PERFORMANCE MANAGEMENT INFORMATION

11.1 All Heads of Department and Government Components must ensure the employees' performance information is captured on PERSAL or a system determined by the MPSA (PSR 71(7)).

12. PROLONGED ABSENCE DURING THE PERFORMANCE CYCLE

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

12.2. Periods of prolonged absence with permission for purposes of paragraph 12.1 above include all types of approved leave.

13. MANAGING PERFORMANCE OUTCOMES

13.1. Managing unsatisfactory and poor performance

Supervisors are required to identify and then, in line with a developmental approach, deal with poorly performing employees under their supervision. The supervisor must comply with the procedural requirements of PSCBC Resolution 10 of 1999 and Resolution 1 of 2013, the "Incapacity Code".

13.2 Rewarding good performance

EAs must determine an appropriate reward scale in the establishment of performance incentive schemes to reward employees or any category of employees as contemplated in regulation 73(1) of the Public Service Regulations. Where applicable, EAs may subcategorise the overall rating scale of 4 referred to in paragraph 8.3.1 above to distinguish between above average performance and excellent performance for purposes of rewarding employees in terms of the incentive scheme so established by an EA.

14. MECHANISM FOR THE RESOLUTION OF PERFORMANCE MATTERS

Mechanisms for dispute resolution must include any differences which might arise out of performance agreements, performance review and assessment. Any disagreement must first be resolved internally within the Unit/Component/Branch.

14.1. Mechanisms for dispute resolution pertaining to a PA/Agreement of a similar nature

14.1.1 If a dispute arises as contemplated in regulation 72(4) of the PSR, the EA or delegated official shall appoint a mediator, who shall be an employee, to consider the dispute within one (1) month after the expiry of the due date for signing of the PA or an agreement of a similar nature.

14.1.2 Persons appointed to resolve disputes should preferably be chosen on the basis of their functional expertise and people skills and not necessarily a legal qualification since performance disagreements should preferably be a consensus driven process resolved through dialogue.

14.1.3 The PMDS mediation process shall not exceed a period of one month.

14.1.4 If the mediation process fails, an employee may consider a formal grievance in terms of the Public Service Grievance Procedure.

15. ANNEXURES

15.1. Annexure A List of Generic Assessment Factors

15.2. Annexure B Assessment Rating Calculator

CHECKLIST OF THE DETERMINATION AND DIRECTIVE WITH THE PUBLIC SERVICE REGULATIONS 2016

DETERMINATION AND DIRECTIVE	PSR 2016
1. Scope of Application	Section 71. (1)
2. Performance Management and Development System for non-SMS employees	Section 71
3. Performance Agreement or an agreement of a similar nature	Section 72 (1)
4. Performance monitoring, review and assessment	Section 71(5)
5. Performance Management compliance dates and activities	Section 71 and 72
6. Performance moderation	Section 71 (5)
7. Compulsory capturing of employee performance management information	Section 71 (7)
8. Disputes resolution	Section 72 (4)
9. Prolonged absence	Section 72 (12)
10. Managing unsatisfactory and poor performance	Section 72 (15)

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Department:
Public Service and Administration
REPUBLIC OF SOUTH AFRICA

ANNEXURE A

GENERIC ASSESSMENT FACTORS OF EMPLOYEES OTHER THAN MEMBERS OF THE SENIOR MANAGEMENT SERVICE

GUIDE TO THE 15 GENERIC ASSESSMENT FACTORS FOR PURPOSES OF IDENTIFYING DEVELOPMENTAL AREAS OF EMPLOYEES

1 JOB KNOWLEDGE

Rating	Category	Description of Ratings
1	Not Effective	Demonstrates a lack knowledge of relevant policies and practices. Experiences great difficulty in learning. Little value placed on keeping abreast of new work related developments.
2	Partially Effective	Demonstrates little knowledge of aspects of work-related policies and practices. Experiences some difficulty in acquiring/learning. Places little value in keeping abreast of new work related developments.
3	Fully Effective	Demonstrates knowledge of policies and practices well. Experiences very little difficulty in acquiring/learning knowledge/information. Keeps abreast of work related developments
4	Highly Effective	Demonstrates outstanding breadth of knowledge on a wide spectrum of related work areas and public service issues.

2 TECHNICAL SKILLS

Rating	Category	Description of Ratings
1	Not Effective	Fails to show ability to apply technical/professional knowledge and skills. Abnormal amount of supervision is required. Performance of workgroup/component is being adversely affected.
2	Partially Effective	Requires close supervision and constant guidance in order to properly apply technical/professional knowledge and skills to task in hand.
3	Fully Effective	Demonstrates ability to apply technical/professional knowledge and skills to immediate work situation. Normal level of supervision and guidance necessary.
4	Highly Effective	Consistently demonstrates exceptional technical/professional knowledge and skills in connection with immediate work areas and those of wider work environment. Normally no counselling or guidance necessary.

3 ACCEPTANCE OF RESPONSIBILITY

Rating	Category	Description of Ratings
1	Not Effective	Declines all responsibility for own areas of work and that of subordinates, seriously impairing the work of workgroup/ component. Requires abnormal amount of supervision/instruction.
2	Partially Effective	Either needs assistance in the form of training/counseling, or cannot cope with the full range of responsibilities involved in the job, even though some training and/or counseling has been provided. Room for improvement exists.
3	Fully Effective	Constantly accepts responsibility in a competent manner for own areas of work and those of subordinates where applicable. Can be relied upon to accept responsibility in respect of other employees in their absence when requested to do so. Normal level of supervision and counselling required.
4	Highly Effective	Often exceeds all normal expectations and accepts responsibility very competently for own areas of work, those of subordinates and other employees in their absence. Conduct may only be described as exceptional, the employee displaying outstanding qualities far exceeding the requirements of the job. Normally no guidance or counseling required.

4 QUALITY OF WORK

Rating	Category	Description of Ratings
1	Not Effective	Unwilling or unable to accomplish routine tasks. Requires abnormal level of supervision and instruction. Work of workgroup/component is being adversely affected by employee performance.
2	Partially Effective	Needs assistance to fulfil important or key tasks. Work not completed on time or at required level of competency. Individual targets are frequently not met.
3	Fully Effective	Accomplished most of key tasks most of the time in a competent and acceptable way. Requires normal level of supervision and guidance.
4	Highly Effective	Constantly produces exceptional work, accomplishing all key tasks with high level of accuracy. Normally no or minimal guidance/counselling required.

5 RELIABILITY

Rating	Category	Description of Ratings
1	Not Effective	Fails to execute functions as instructed and within agreed upon time frames.
2	Partially Effective	Needs to be reminded of responsibilities continually. Usually make excuses.
3	Fully Effective	Supervisor seldom needs to enquire about progress of a task. Shows commitment to work.
4	Highly Effective	Takes on additional work eagerly, far exceed normal expectations. Handles greater responsibility independently.

6 INITIATIVE

Rating	Category	Description of Ratings
1	Not Effective	Demonstrates little or no initiative at work, seeking out repetitive or routine work. Consequently requires abnormal amount of supervision and instruction. Lack of initiative is detrimental to the workgroup/component.
2	Partially Effective	Performance of routine work satisfactory. Occasionally shows creativity, but not at expected level.
3	Fully Effective	Works out own programmes/approaches to overcome problems and competently performs to expectations where general principles are not adequate to determine procedure or decisions to be taken. Requires normal level of supervision and counselling.
4	Highly Effective	Constantly shows a high level of initiative. Always volunteers for additional responsibilities. Normally no guidance or counseling necessary.

7 COMMUNICATION

Rating	Category	Description of Ratings
1	Not Effective	Unable to express facts and ideas clearly and logically both orally and in writing. Considerable time spent on guidance, editing or correction.
2	Partially Effective	Demonstrates some ability to express facts and ideas orally or in writing in a clear and logical manner. Often requires guidance, editing or correction.
3	Fully Effective	Expresses facts and ideas orally or in writing in a clear and logical manner. Needs normal guidance, editing or correction.
4	Highly Effective	Demonstrates an exceptional ability to express facts and ideas clearly and logically both orally and in writing. Requires minimal guidance, editing or correction.

8 INTERPERSONAL RELATIONSHIPS

Rating	Category	Description of Ratings
1	Not Effective	Demonstrates the need for persistent mediation and intervention when interacting with others. Shows lack of co-operation, consideration and respect to other employees/clients. Is impolite and inconsiderate.
2	Partially Effective	Demonstrates the need for more than normal mediation and intervention when interacting with others. Gives little co-operation to others and consideration for ideas when not self-initiated.
3	Fully Effective	Co-operates well with supervisors, colleagues and those supervised. Is polite and respectful of others. Demonstrates a sound and healthy attitude when interacting with others.
4	Highly Effective	Is a sought after team member. Listens well and is able to mobilise others to achieve organisational goals Demonstrates an exceptionally sound and healthy attitude when interacting with others. Able to get the co-operation of others under difficult circumstances.

9 FLEXIBILITY

Rating	Category	Description of Ratings
1	Not Effective	Refuses to undertake new work or accept changes in work practices. Work of workgroup/ component seriously impaired as a result. Requires abnormal amount of supervision and instruction.
2	Partially Effective	Ability to adapt to change is tolerable but not up to standard.
3	Fully Effective	Will readily accept changes in work, work patterns or procedures, work location etc. in order to help achieve objectives. Encourages others to adopt more flexible approaches to work.
4	Highly Effective	Often exceed all normal expectations, encouraging and promoting flexibility at every opportunity.

10 TEAM WORK

Rating	Category	Description of Ratings
1	Not Effective	Unwilling or unable to co-operate with others. Demonstrates lack of commitment and negates teamwork. Work of team adversely affected. Counter productive to group goal.
2	Partially Effective	Able to demonstrate a level of co-operation with immediate colleagues but needs assistance in communicating and influencing others. Sometimes does not fulfil group obligations.
3	Fully Effective	Acceptable and gets on well with colleagues. Able to influence and communicate well as part of a team. Works to achieve team objectives. Requires normal level of supervision and guidance.
4	Highly Effective	Demonstrates exceptional abilities working as member of a team. High level of co-operation communication skills and ability to influence and motivate others to achieve targets. Coaches other team members to better results. Little or no guidance required.

11 PLANNING AND EXECUTION

Rating	Category	Description of Ratings
1	Not Effective	Generally inadequate which results in fruitless expenditure in terms of energy, time, human resources, equipment and finances. Lacks ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans is weak.
2	Partially Effective	Some aspects of work result in fruitless expenditure. Very little contingency arrangements. Shows little ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans weak.
3	Fully Effective	Demonstrates ability effectively and efficiently. Demonstrates the ability to scope length and difficulty of project. Clear breakdown of the process steps. Well thought out work-plans.
4	Highly Effective	Demonstrates an exceptional ability to scope length and difficulty of projects. Clear sequencing of events/activities/process steps. Work-plans exceptionally well thought through and expressed. Achieves results on time and with required quality.

12 LEADERSHIP

Rating	Category	Description of Ratings
1	Not Effective	Makes no attempt to motivate or control subordinates. Lack of leadership is having detrimental effects on the workgroup/component.
2	Partially Effective	Motivation and control of subordinates is sometimes deficient and there is room for improvement and personal development
3	Fully Effective	Demonstrates leadership qualities through motivation and control of subordinates. Workgroup/component produces good standard of work in terms of quality and quantity. Supports stakeholders in achieving their goals. Inspires staff with own behavior.
4	Highly Effective	Constantly maintains very high standards and manages to overcome problems of motivation and control with minimum guidance or counseling from above. Quality, quantity and timeliness of workgroup/ component of excellent order. Assist in the management and calculation of risks.

13 DELEGATION AND EMPOWERMENT

Rating	Category	Description of Ratings
1	Not Effective	Demonstrates an inability to assign tasks/functions to develop employees. Fails to make instructions clear. Fails to communicate expectations. Impedes applicable and appropriate initiatives and the creativity of employees without valid reason.
2	Partially Effective	Seldom assigns tasks/functions to develop employees. Seldom takes time to make instructions/tasks clear. Fails to communicate expectations. Often impedes applicable and appropriate initiatives and the creativity of employees without valid reason.
3	Fully Effective	Defines roles and responsibilities for project team members and clearly communicates expectations. Shows the ability to trust the ability of others and to develop their potential.
4	Highly Effective	Provides clear understanding of responsibility and authority when delegating. Assigns appropriate tasks/functions to employees and provides the necessary guidance and support. Fully utilises and develops human capital by providing adequate training and development opportunities.

14 MANAGEMENT OF FINANCIAL RESOURCES

Rating	Category	Description of Ratings
1	Not Effective	Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.
2	Partially Effective	Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area. Shows some ability to budget and to control expenditure, but not in full control of either.

3	Fully Effective	Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good budget control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates.
4	Highly Effective	Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent budget control. Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them.

15 MANAGEMENT OF HUMAN RESOURCES

Rating	Category	Description of Ratings
1	Not Effective	Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.
2	Partially Effective	Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area.
3	Fully Effective	Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates. Performance management of staff under her/his supervision.
4	Highly Effective	Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent control. Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them. Performance management of staff under her/his supervision.