



PUBLIC SERVICE COMMISSION
GUIDELINES
FOR
THE EVALUATION OF HEADS
OF DEPARTMENT
FOR THE
FINANCIAL YEAR 2007/2008

ISSUED BY THE PUBLIC SERVICE COMMISSION

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GLOSSARY OF TERMS

PSC or Commission	Public Service Commission
CMC	Core Management Criteria
EA	Executive Authority
FOSAD	Forum of South African Directors-General
HoD	Head of Department
KRA	Key Result Area
MEC	Member of Executive Council
The Minister/MPSA	Minister for Public Service and Administration
MTEF	Medium-Term Expenditure Framework
Office	Office of the Public Service Commission
PA	Performance Agreement
PMDS	Performance Management and Development System
Premier	Head of a province in the Republic of South Africa
President	Head of State of the RSA

1. INTRODUCTION

- 1.1 Cabinet adopted a framework for the evaluation of Heads of Department (HoDs) in April 2000, and in December 2002, Cabinet took the decision to make compliance with the Framework mandatory for all National and Provincial departments. In order to facilitate the evaluation of HoDs in terms of the approved framework, the Public Service Commission (Commission or PSC) issues guidelines on an annual basis, at the latest by **31 August** of each year. This document accordingly serves as guidelines for the evaluation of the performance of HoDs during the 2007/2008 financial year. For the sake of completeness, the Directives on the Evaluation of HoDs issued by the Minister for Public Service and Administration are reflected as Regulations in this document.
- 1.2 These guidelines also incorporate elements of the Performance Management and Development System for senior managers (PMDS) which came into effect from 01 April 2002 and were amended with effect from 01 April 2006. Additional amendments introduced through circular 1 of 2007 have also been incorporated.
- 1.3 It would be appreciated if the necessary preparations in terms of the framework could be finalized expeditiously so that all the required documentation can be submitted by the due dates. As soon as the annual reports are published please forward them to the Office of the Public Service Commission (Office).
- 1.4 The guidelines are available on the PSC Website at: <http://www.psc.gov.za>.
- 1.5 Any queries regarding these guidelines should be directed to Mr Sifiso Ngema at the Office at the following contact numbers:

Telephone: (012) 352 1210/1029
Cell: 082 829 2830
Fax: (012) 328 3406
Email: SifisoN@opsc.gov.za
- 1.6 Queries from provincial departments should be directed to Directors in the Regional Offices of the PSC as indicated in Annexure A.

2. EVALUATION PANELS

2.1 Regulations

- (a) Executive Authorities (EAs) must appoint evaluation panels to assist them with the evaluation of their HoDs. The nomination of members to serve on evaluation panels is left at the discretion of EAs. The evaluation panels can reflect all stakeholders as dictated by the nature of the department concerned and may also involve the peers of HoDs.
- (b) Each evaluation panel appointed by EAs for HoDs of national departments will be chaired by either the Chairperson or Deputy-Chairperson of the Commission. Panels appointed for provincial HoDs will be chaired by the Commissioner resident in that province or, in their absence, by a nationally nominated Commissioner (other than the Chairperson or Deputy-Chairperson). The involvement of the Commission on these panels is to ensure that, as an independent role player, the evaluation process is fair and equitable and that the same norms and standards are applied to all HoDs in terms of procedures.
- (c) The role of evaluation panels is to advise EAs on the performance of their HoDs.

2.2 Guidelines

- (a) The composition of the evaluation panel should be discussed by the EA with the HoD involved. Although the final decision on the composition of the evaluation panel remains that of the EA, attempts should be made to reach agreement with the HoD in this regard.
- (b) In addition to the Chairperson from the PSC, the panel members should comprise not less than three but not more than four members. It is proposed that panels are constituted as follows:
 - (i) A Minister from the same Cabinet cluster in the case of national heads of department, and Member of the Executive Council (MECs) in the case of provincial heads of department.
 - (ii) One peer of the HoD (nominated from the FOSAD cluster in which the HoD participates in the case of national HoDs or from amongst the other HoDs in a province in the case of provincial

HoDs; national HoDs may also be nominated as peers to serve on provincial panels).

- (iii) One or two persons representing key client(s) or stakeholder(s) of the department.
- (c) Executive Authorities are encouraged to ensure representivity when appointing panel members.
- (d) Executive Authorities should, after consultation with panel members on their availability for the panel, confirm their appointment in writing and the date of the evaluation. During the consultation process, the role of the panel should be explained. To this end, a copy of these guidelines should be provided to the panel members.
- (e) In order to expedite the finalisation of the evaluation process, the EA should liaise with the Office of the PSC on possible dates for the evaluation, and should strive to nominate panel members who will be available on those proposed dates. **EAs are responsible for ensuring the availability of panel members during scheduled evaluation meetings.**

2.3 Administrative requirements

- (a) EAs must provide the PSC with the names and contact details of panel members by no later than **30 September 2008**. In the case of national HoDs this information must be forwarded to the Chairperson of the PSC. The details of panel members for provincial HoDs must be forwarded to the Public Service Commissioner resident in the relevant province. A contact list of the relevant Commissioners is attached in **Annexure A**.
- (b) EAs should ensure that the evaluation of the performance of the HoD is finalised timeously. **Please note that in order to promote compliance with the PMDS, the PSC will only facilitate evaluations which take place within twelve months of the release of a department's Annual Report for the performance cycle under review.** Given the fact that Annual Reports are currently published in August, the PSC will facilitate evaluations from August following the release of the Annual Report until July the next year. In terms of this provision, **the cut-off point for facilitating evaluations for the 2007/2008 performance cycle will be 31 July 2009.** After this cut-off point, attention will be on managing the new performance management cycle for the 2008/2009 financial year.

3. SECRETARIAT

3.1 Regulations

- (a) All evaluation panels must be supported by the Secretariat provided by the Office of the Public Service Commission.
- (b) The role of the Secretariat is to collate and process all the information received from HoDs and Executive Authorities into a reporting format for the evaluation panels and to take minutes of proceedings and assist the panel with the calculation of the final score result based on the evaluation of KRAs and CMCs during meetings of the evaluation panels.

3.2 Guidelines

- (a) It is proposed that Executive Authorities nominate a contact person in their offices to liaise with the Secretariat in order to expedite the evaluation process.
- (b) In assisting in the calculation of the final score / result, the Secretariat will capture the agreed scores of the evaluation panel on each KRA and CMC in the Microsoft Excel calculator prescribed in the PMDS as indicated in **Annexure B**
- (c) National Departments can call the Secretariat on the number which appears on page 4 of this document if assistance is required when compiling documentation for the purpose of the evaluation.
- (d) Provincial departments should call respective Public Service Commission Offices at the telephone/cell phone numbers listed in **Annexure A** on page 16 and 17 of this document for further assistance.

4. EXECUTIVE AUTHORITY

4.1 Regulations

All EAs will participate in discussions of the evaluation panels of their respective HoDs and will provide inputs where necessary or when required by the panel. The advice emanating from the evaluation panel will not be binding on EAs and they will still be responsible for the final decisions.

4.2 Guidelines

- (a) EAs shall participate in the discussions of the evaluation panels of their respective HoDs, but should recuse themselves when the panel starts to formulate its advice on the level of performance of the HoD.
- (b) Executive Authorities should carefully study the advice of the evaluation panel. After applying their minds EAs need to take a decision **and communicate that decision to their HoDs.**
- (c) In view of the fact that EAs will be participating in the evaluation by the panel, it is advisable for EAs not to deviate from the advice of the evaluation panel except where they provide valid reasons for this. If such reasons exist, good practice requires the EA to minute the reasons in his/her decision on the performance of the HoD. The reasons should accordingly be conveyed to the President/Premier and the HoD concerned.
- (d) EAs should complete the verification statement by rating each KRA and CMC in the performance agreement of the HoD and also by making comments on the space provided, prior to sending the verification statement to the PSC (**Annexure C**). Each page of the verification statement should be initialed by both the EA and HOD, and full signatures should be attached at the end of the document.

5. EVALUATION PROCESS

5.1 Regulations

- (a) The evaluation of HoDs will be aligned to the planning and the Medium Term Expenditure Framework (MTEF) cycles. It therefore follows that evaluation periods will be linked to financial years. Evaluations must cover one financial year.
- (b) HoDs and their executive authorities must complete negotiations and sign performance agreements by the end of April each year. The format provided in the PMDS shall be utilized for all performance agreements (**Annexure D**). Performance Agreements of HoDs must be filed with the Public Service Commission not later than 30 June of each year.
- (c) Progress made in relation to the set objectives in the performance agreements must be reviewed regularly. At a minimum, two formal performance reviews should take place annually (preferably one in the middle and another at the end of the cycle). These reviews should be in writing and submitted to the PSC with all other relevant documents for annual assessment.
- (d) The information to be used during the evaluation process must be forwarded to the Office of the Public Service Commission according to the set dates. The following information will be used during the evaluation process:
 - (i) The performance agreement for the relevant financial year.
 - (ii) The department's three-year strategic plan which incorporates the particular year for which the HoD's performance is being evaluated.
 - (iii) The department's annual report for the relevant financial year
 - (iv) A verification statement completed by the executive authority and HoD detailing the achievement of key result areas and core management competencies provided for in the performance agreement.
- (e) The designated secretariat will collate all information submitted to it and forward it to the evaluation panel for consideration. During the evaluation process, evaluation panels will obtain inputs from both the executive authority and HoD.
- (f) The panel will consider performance for each key result area (KRA)

and Core Management Criteria (CMC) and award a score on a scale of 1 to 5 as defined below (The Secretariat will assist the panel by calculating the overall score):

LEVEL 5: OUTSTANDING PERFORMANCE (150% - 167%) – Performance far exceeds the standard expected of a member at this level. The appraisal indicates that the HoD has achieved exceptional results against all performance criteria and indicators and maintained this in all areas of responsibility throughout the year.

LEVEL 4: PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS (130% - 149%) – Performance is significantly higher than the standard expected in the job. The appraisal indicates that the HoD has achieved better than fully effective results against more than half of the performance criteria and indicators and fully achieved all others throughout the year.

LEVEL 3: FULLY EFFECTIVE (100% - 129%) – Performance fully meets the standard expected in all areas of the job. The appraisal indicates that the HoD has achieved fully effective results against all the performance criteria and indicators as specified in the PA and Workplan.

LEVEL 2: PERFORMANCE NOT FULLY SATISFACTORY (70% - 99%) – Performance is below the standard required for the job in key areas. The appraisal indicates that the HoD's performance meets some of the standards expected for the job. The assessment indicates that the member has achieved below fully effective results against more than half of the key performance criteria and indicators as specified in the PA and Workplan.

LEVEL 1: UNACCEPTABLE PERFORMANCE (69% and lower) – Performance does not meet the standard expected for the job. The appraisal indicates that the HoD has achieved below fully effective results against almost all of the performance criteria and indicators as specified in the PA and Workplan. The HoD has failed to demonstrate the commitment or ability to bring performance up to the level expected in the job despite management efforts to encourage improvement.

- (g) The panel will provide advice in writing to the relevant Executive authority indicating the level of performance of the HoD. The executive authority, after considering this advice, will make decisions on cash bonus, and salary progression and other actions to be taken (as provided in the PMDS) in terms of the performance of their HoDs.
- (h) According to a Cabinet decision of 16 February 2005, no cash bonus may be paid to an accounting officer (irrespective of level) who materially over or under spends on his/her budget.
- (i) The results of the evaluation process must be forwarded to the President and the Premiers.

5.2 Guidelines

- (a) In terms of a Cabinet decision of December 2002, HoDs must file their Performance Agreements with the PSC. Performance Agreements for the 2007/2008 financial year should already have been submitted to the Office of the PSC. **All eleven CMCs and Example 2 of the workplan contained in the PMDS are compulsory for HoDs as approved by the MPSA.** The three mandatory KRAs (Regional Integration, Integrated Governance and MISS) should be included on the PAs of all HoDs. EAs and HoDs should refer to the government's Program of Action for indicators of these KRAs, particularly Regional Integration. Where these performance agreements have not been submitted, executive authorities should submit them without further delay.
- (b) Annual reports for 2007/2008 should be provided as soon as they are published.
- (c) Where Performance Agreements do not comply with the requirements of the PMDS format (**Annexure D**), the affected HoDs will not be evaluated in terms of this framework. Executive Authorities will have to make representations **directly** to the MPSA on alternative measures to evaluate their HoDs where such compliance cannot be met. A checklist that is used for assessing the quality of the Performance Agreements submitted to the PSC is attached as **Annexure E** for ease of reference.
- (d) Executive authorities and HoDs should pro-actively commence with the completion of the verification statement and should not wait for the publication of departmental annual reports. Both the EA and the HoD should indicate their individual scores against each KRA and

CMC and complete the milestones column in the verification statement and attach their signatures on the last page. Verification statements, three-year strategic plans which include the 2007/2008 financial year and outstanding performance agreements for 2007/2008 should be submitted to the PSC not later than **30 September 2008**. The format attached as **Annexure C** should be used for the completion of the verification statement. All the required information must be submitted timeously to the secretariat.

- (e) Sufficient copies of documentation for the evaluation should be sent to the Secretariat, who will in turn, distribute these to the Panel together with a collated summary.
- (f) The secretariat should timeously submit collated information to the members of the evaluation panel, ideally three weeks before the evaluation meeting. Evaluation panel members should submit questions for clarification to the executive authority and HoD **via the Secretariat** at least one week before the evaluation meeting. The secretariat will submit a collated list of such questions to the relevant executive authority and HoD prior to the evaluation meeting.
- (g) Guidelines on the structure of evaluation meetings are attached as **Annexure F**.
- (h) In accordance with **Annexure G**, the evaluation panel should provide its advice in writing to the executive authority, which should indicate the score in percentage obtained by the HoD as well as the comments of panel members, where applicable. For the purpose of awarding a cash bonus, where applicable, the following table provides parameters for awarding these for performance that is outstanding or significantly above expectations:

AWARDING OF CASH BONUSES/PAY PROGRESSION			
CATEGORIES	TOTAL SCORE	CASH BONUS	PAY PROGRESSION
A: Outstanding performance	150%-167%	Between 10 - 14% of the package	Applicable
B: Performance significantly above expectations	130 - 149%	Between 5 – 9% of the package	Applicable
C: Fully effective	100 - 129%	Not Applicable	Applicable

D: Performance not fully adequate	70 – 99%	Not Applicable	Not Applicable
E: Unacceptable performance	69% and lower	Not Applicable	Not Applicable

- (i) HoDs shall be eligible for pay progression to the next higher remuneration package within the relevant remuneration band after completion of at least one financial year service at the current remuneration package. The HoD should have been assessed and rated at least at the level of fully effective to qualify.
- (j) The written decision by the EA must be provided in accordance with the format attached as **Annexure H**, which should be submitted to the Office of the Public Service Commission.
- (k) EAs should also provide a copy of the above decision to the Head: Corporate Services in their departments for implementation.

5.3 Performance Management Process

Time Frames	Activity
April 2007	EA and HoD conclude and sign Performance Agreement
By June 2007	PAs submitted to PSC for Quality assurance and filing
End September 2007	EA and HoD conduct Half-yearly review
End March 2008	HoD and EA conduct Annual Appraisal: discuss the HoD's achievements, agree on scores and sign the Verification Statement
August 2008	Annual Report is available
September 2008	<ul style="list-style-type: none"> • Submit evaluation documents , namely the Verification Statement, Annual Report, Performance Agreement and Strategic Plan) to the PSC • Identify Panel Members and set a date for evaluation.
July 2009	Conclusion of 2007/08 Evaluation

Evaluation Process

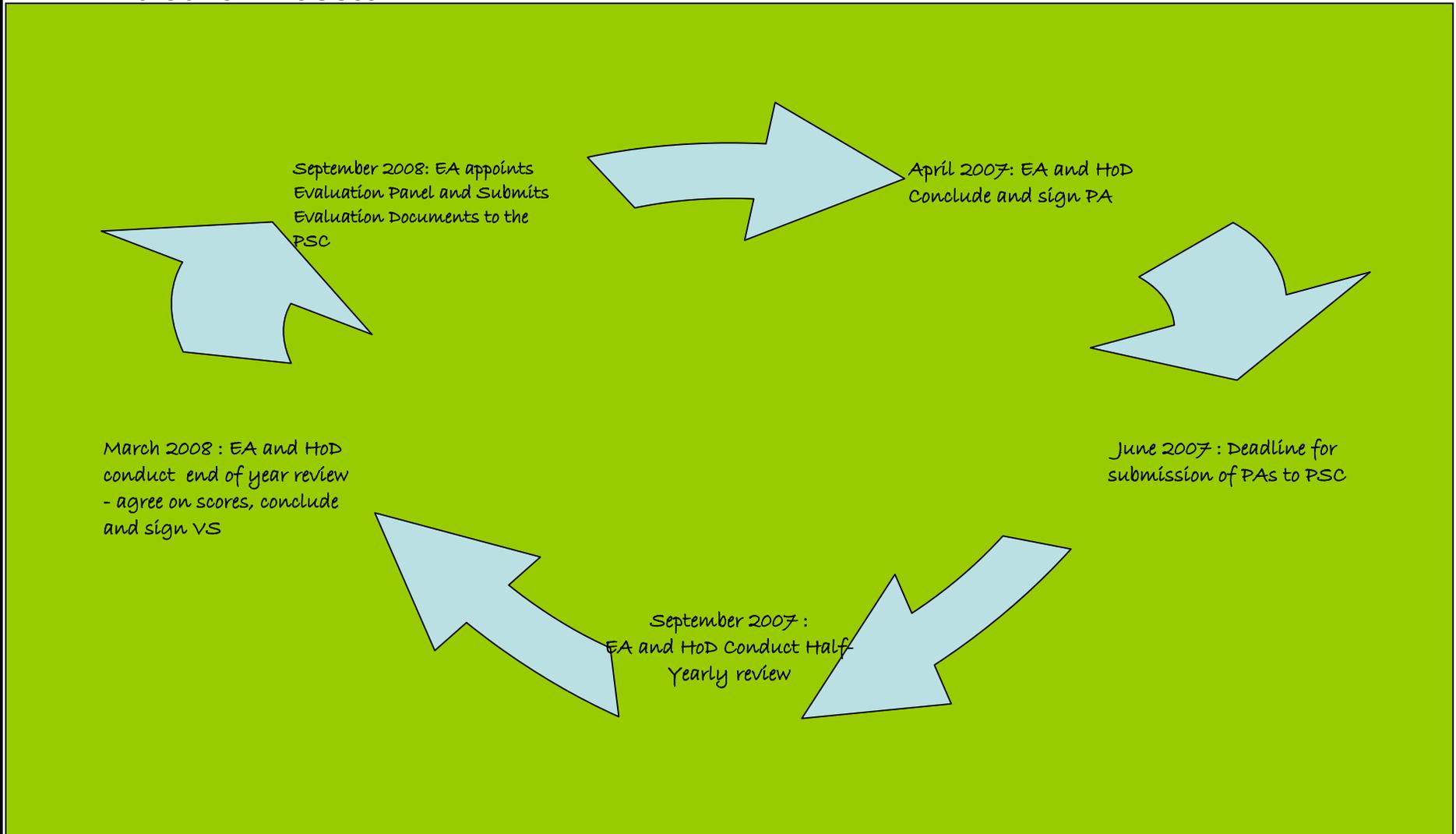


Diagram 1: This is a graphic summary of the Performance Management Process as explained by Paragraph 5.3 on page 13

6. REVIEW

6.1 Regulations

- (a) Where an HoD is dissatisfied with a decision of the EA regarding the evaluation she/he may request a review of the matter. The performance agreements of HoDs provide for a dispute settlement procedure according to which a person is identified to whom disputes must be referred for mediation. As a first step, disputes emanating from the performance evaluation of HoDs must be referred to the agreed person. If, however, the dispute cannot be resolved by such a person, the matter can be referred to a Review Committee. A national HoD must lodge his/her dissatisfaction with a Review Committee consisting of the Deputy President and the Minister for Public Service and Administration or their nominees.
- (b) A provincial HoD must lodge his/her dissatisfaction with a Review Committee consisting of the Premier and a MEC nominated by the Premier. A Director-General in the Office of a Premier can refer his/her dispute to a Review Committee consisting of the Deputy President and the Minister for Public Service and Administration or their nominees. In instances where the Premiers have not delegated their authority in terms of the career incidents of HoDs (provided in section 3B (4) of the Public Service Act, 1994), the same review process provided for national HoDs and Directors-General in the Offices of Premiers should be followed, e.g. referral to a Review Committee consisting of the Deputy President and the Minister for Public Service and Administration or their nominees.

6.2 Guidelines

Disputes referred to Review Committees must contain the following details:

- (a) The written advice of the evaluation panel.
- (b) The decision by the executive authority.
- (c) Reasons for deviating from the advice of the evaluation panel, if applicable.
- (d) Affidavits from both the executive authority and HoD containing full details of the nature of the dispute.

ANNEXURE A

CONTACT LIST OF REGIONAL DIRECTORS

REGION	NAME	TEL NO	FAX NO	CELL NO	EMAIL
EASTERN CAPE	Mr Loyiso Mgengo	043 643 4704	043 642 1371	082 554 0276	LoyisoM@opsc.gov.za
FREE STATE	Ms Sophia Santho	051 448 8696	051 448 4135	082 583 4747	SophiaS@opsc.gov.za
GAUTENG	Mr Tshepo Matlhare	011 833 5721	011 834 1200	084 411 5677	TshepoTJ@opsc.gov.za
KWZULU- NATAL	Mr Bongani Khonjwayo	033 345 9998	033 345 8505	082 498 8132	BonganiK@opsc.gov.za
MPUMALANGA	Mr Walter Mnisi	013 755 4070	013 752 5814	082 498 2371	WalterM@opsc.gov.za
LIMPOPO	Mr Martin Malesela Chale	015 297 6285	015 297 6276	082 719 3803	MartinC@opsc.gov.za
NORTH WEST	Ms Pinky Seabelo	018 384 1000	018 384 1012	082 551 4503	PinkyS@opsc.gov.za
NORTHERN CAPE	Mr Jacques Malan	053 832 6222	053 832 6225	082 497 3827	JacquesM@opsc.gov.za
WESTERN CAPE	Ms Charmaine Julie	021 421 3998	021 421 4060	073 961 2857	CharmaineJ@opsc.gov.za

CONTACT LIST OF PUBLIC SERVICE COMMISSIONERS

	NAME	TEL. NO.	FAX. NO.	CELL NO.	E-MAIL ADDRESS	PHYSICAL ADDRESS	POSTAL ADDRESS
NATIONAL	Prof. SS Sangweni	(012) 352 1015 (012) 352 1022	(012) 352 8308	082 801 7363	SSangweni@opsc.gov.za	Commission House, Cnr. Hamilton & Edmund Str, Arcadia, Pretoria	Private Bag X 121 PRETORIA 0001
EASTERN CAPE PROVINCE	Mr M Msoki	(043) 643 4704 (043) 642 2949	(043) 642 1371	082 490 5032	MMsoki@opsc.gov.za	91 Alexandra Road King Williams Town	P O Box 2167 KING WILLIAMS TOWN 5600
FREE STATE PROVINCE	Mr P Helepi	(051) 448 8696	(051) 448 4135	084 305 1650	PHelepi@opsc.gov.za	62 Fedsure Building 3 rd Floor, St Andrew Street Bloemfontein	Private Bag X 20572 BLOEMFONTEIN 9300
GAUTENG PROVINCE	Dr RR Mgjijima	(011) 833 5727	(011) 834 1200	082 921 8255	RMgjijima@opsc.gov.za	Ten Sixty Six Building 16 th Floor, 35 Prichard street Johannesburg	P O Box 8962 JOHANNESBURG 2000
KWAZULU/NATAL PROVINCE	Ms PM Tengeneni	(033) 345 9997/ (033) 345 1621	(033) 345 8505	082 254 5244	PTengeneni@opsc.gov.za	Brasford House 262 Long Market Street Pietermaritzburg	Private Bag X 9130 PIETERMARITZBURG 3200
MPUMALANGA PROVINCE	Mr DW Mashego	(013) 755 4070	(013) 752 5814	083 412 7430	DMashego@opsc.gov.za	19 Russel Street Nelspruit	Private Bag X 11303 NELSPRUIT 1200
LIMPOPO PROVINCE	Mr KE Mahoai	(015) 297 6284	(015) 297 6276	082 537 4996	KMahoai@opsc.gov.za	Kleingeld Trust Building, 81 Biccard Street, Polokwane	Private Bag X9543 POLOKWANE 0700
NORTH WEST PROVINCE	Vacant	(018) 384 1000	(018) 384 1012			Mmabatho Post Office Building, Ground floor University Drive Mmabatho	Private Bag X2065 MMBATHO 2735
NORTHERN CAPE PROVINCE	Mr KL Mathews	(053) 832 6222	(053) 832 6225	082 490 5025	KMathews@opsc.gov.za	1st Floor Woolworths Building Corner Lennox and Chapel Streets Kimberley	Private Bag X5071 KIMBERLEY 8300
WESTERN CAPE PROVINCE	Dr NV Maharaj	(021) 421-3982	(021) 421 4060	082 876 1602	NMaharaj@opsc.gov.za	Golden Acre Building 21 st Floor Cape Town	PO Box 2078 CAPE TOWN 8000

ANNEXURE B

Senior Management Service Office of the Public Service Commission Annual Performance Assessment Assessment Rating Calculator							
Name:							
Period: 1 April 2007 to 31 March 2008							
KRA	Weight	Rating	Score		CMC	Weight	Rating Score
1			0		1		0
2			0		2		0
3			0		3		0
4			0		4		0
5			0		5		0
6			0		6		0
7			0		7		0
8			0		8		0
9			0		9		0
10			0		10		0
11			0		11		0
0%			0		0%		0
KRA weight			80%		CMC weight		20%
KRA SCORE			0%		CMC SCORE		0%
FINAL SCORE							0%

VERIFICATION STATEMENT

The following verification statement on Key Result Areas and Core Management Criteria agreed to in each head of department’s performance agreement has to be completed by heads of department and their respective executive authorities :

PERIOD UNDER REVIEW		DEPARTMENT	
SURNAME AND INITIALS OF THE HoD		PERSAL NUMBER	
DATE OF APPOINTMENT		GENDER	
RACE			

COMMENTS ON ACHIEVEMENT OF KEY RESULT AREAS AND CORE MANAGEMENT CRITERIA IN PERFORMANCE AGREEMENT (TO BE COMPLETED BY THE HOD): NOTE THAT THIS IS ACCORDING TO APPENDIX A, WORKPLANS (EXAMPLE 2) OF THE PMDS DOCUMENT. THIS IS THE FORMAT PREFERRED FOR HEADS OF DEPARTMENT.

KEY RESULT AREA (KRA)	KEY ACTIVITIES AND OUTPUTS	PERFORMANCE MEASURES		WEIGHT %	MILESTONES and COMMENTS	OWN RATING (BY HOD) (1-5)	RATING BY EA (1-5)
		Target Date	Indicator				
1.							
2.							
3.							
4.							
5.							
TOTAL				100%			

CORE MANAGEMENT CRITERIA (CMC)	STANDARD	WEIGHT %	MILESTONES/COMMENTS	OWN RATING (BY HOD) (1-5)	RATING BY EA (1-5)
1.					
2.					
3.					
4.					
5.					
TOTAL		100%			

NB:

- All eleven CMCs are compulsory for HoDs as per approval by the MPSA on request by the Public Service Commission.
- Each page of the verification statement should be initialed by both parties.
- It is imperative that the milestones/ comments column be completed.
- Both the EA and the HoD should rate the KRAs and the CMCs in the columns provided.

COMMENTS TO THE EVALUATION PANEL BY THE EXECUTIVE AUTHORITY

The executive authority must alert the evaluation panel to specific areas of the HoD’s performance in terms of the performance agreement, which in the executive authority’s opinion illustrate **performance not fully satisfactory or performance significantly above expectations and outstanding**. A brief explanation must be provided by the executive authority for his/her assessment of each identified area.

HEAD OF DEPARTMENT’S SIGNATURE

DATE:

EXECUTIVE AUTHORITY’S SIGNATURE

DATE:

SENIOR MANAGEMENT PERFORMANCE AGREEMENT
NAME OF DEPARTMENT/PROVINCE (AS APPLICABLE)

BETWEEN
(Names and Designations of parties to agreement)

HoD:

AND

MINISTER OF:

PERIOD OF AGREEMENT:
(indicate from when until when, i.e a full financial year (from 1 April 200__ to 31 March 200__)

1. JOB DETAILS

Name :
Persal number :
Component :
Location :
Salary level :
Notch (package) :
Occupational classification :
Designation :

2. JOB PURPOSE

Describe the purpose of the job (overall focus) as it relates to the Vision and Mission of the Department. Capture the overall accountability that the jobholder has in relation to her/his position.

3. JOB FUNCTIONS

Describe the key functions that the jobholder is required to perform, based on the job profile, and the departmental strategic/operational plan.

4. REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES

The SMS member shall report to theas her/his supervisor on all parts of this agreement. The SMS member shall:

1. Timeously alert the supervisor of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimised.
2. Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations.
3. Discuss and thereafter document for the record and future use any revision of targets as necessary as well as progress made towards the achievement of performance agreement measures.

In turn the supervisor shall:

1. Create an enabling environment to facilitate effective performance by the SMS member.
2. Provide access to skills development and capacity building opportunities.
3. Work collaboratively to solve problems and generate solutions to common problems within the department that may be impacting on the performance of the SMS member.

5. PERFORMANCE APPRAISAL FRAMEWORK

Performance will be assessed according to the information contained in the work plan (attached as Appendix A) and the Core Management Criteria (CMC) framework (attached as Appendix B). The specific KRAs and CMCs together with their weightings are, for example, as follows:

5.1 The KRAs and CMCs during the period of this agreement shall be as set out in the table below.

5.2 The SMS member undertakes to focus and to actively work towards the promotion and implementation of the KRAs within the framework of the laws and regulations governing the Public Service. The specific duties/outputs required under each of the KRAs are outlined in the attached work plan. KRAs should include all special projects the SMS member is involved in. The work plan should outline the SMS member's specific responsibilities in such projects.

KEY RESULT AREAS (KRAs)	Batho Pele Principles	Weight
1.		
2.		
3.		
4.		
5.		
6.		
TOTAL		100%

The three compulsory KRA should be included for HoDs.

3.3 The SMS member's assessment will be based on her/his performance in relation to the duties/outputs outlined in the attached work plan as well as the CMCs marked here-under. Only five CMCs should be selected (✓) from the list that are deemed to be critical for the SMS member's specific job.

CORE CRITERIA	MANAGEMENT	Batho pele Principles	Weight	CORE MANAGEMENT CRITERIA	Batho Pele Principles	Weight
1.				7.		
2.				8.		
3.				9.		
4.				10.		
5.				11.		
6.				TOTAL		100%

All CMCs are compulsory for HoDs

6. DEVELOPMENTAL REQUIREMENTS

Provide details on the areas in which development is required. These may relate to the attainment of specific objectives or standards specified for Key Result Areas (KRAs), as well as to the CMCs.

[Each HoD should identify his/her involvement in the Senior Management Service Delivery Challenge – i.e. deployment to the coalface of service delivery for at least five days per performance cycle.]

The plan for addressing developmental gaps is attached as Appendix C.

7. TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL APPRAISAL

Specify the dates when progress reviews and feedback sessions will take place, as well as the annual evaluation session:

8. MANAGEMENT OF PERFORMANCE OUTCOMES

Identify and specify what actions will be taken in recognition of superior performance or to address poor/non-performance: (These should be based on Chapter 4 of the SMS Handbook).

9. DISPUTE RESOLUTION

- 9.1 Any disputes about the nature of the senior manager’s PA, whether it relates to key responsibilities, priorities, methods of assessment and/or salary increment in this agreement, shall be mediated by:
[Specify the name of a person who will mediate in the case of a dispute arising from this agreement. It should however, be noted that the PSC discourages the use of the Minister for Public Service and Administration, Premiers and PSC Commissioners as mediators given their oversight role in the performance management cycle.]
- 9.2 If this mediation fails, the dispute-resolution procedures referred to in Chapter 4 of the SMS Handbook will apply.

10. AMENDMENT OF AGREEMENT

Amendments to the agreement should be in writing and can only be effected after discussion and agreement by both parties. (The amended PA should also be filed with the PSC)

11. SIGNATURES OF PARTIES TO THE AGREEMENT

The contents of this document have been discussed and agreed with the HoD concerned.

Name of HOD:
Signature:
Date:

AND
Name of Minister:
Signature:

Date:

APPENDIX A: WORKPLAN

EXAMPLE 2 (Applicable to all HoDs as approved by the MPSA)

KEY RESULT AREA	KEY ACTIVITIES/ OUTPUTS	PERFORMANCE MEASURES		RESOURCE REQUIREMENTS	ENABLING CONDITIONS
		TARGET DATE	INDICATOR		

APPENDIX B: GENERIC CORE SMS MANAGEMENT CRITERIA AND STANDARDS

This shows Generic Standards for fully effective performance, HoDs needs to identify their own specific standards.

CMC	Description	◇ Generic Standards for "Fully Effective" Performance
1. Strategic Capability and Leadership	Provides a vision, sets the direction for the organisation and/or unit and inspires others to deliver on the organisational mandate	<ul style="list-style-type: none"> ◇ Gives direction to team in realising the organisation's strategic objectives; ◇ Impacts positively on team morale, sense of belonging and participation; ◇ Develops detailed action plans to execute strategic initiatives; ◇ Assists in defining performance measures to evaluate the success of strategies; ◇ Achieves strategic objectives against specified performance measures; ◇ Translates strategies into action plans; ◇ Secures co-operation from colleagues and team members; ◇ Seeks mutual benefit/win-win outcomes for all concerned; ◇ Supports stakeholders in achieving their goals; ◇ Inspires staff with own behaviour – "walks the talk"; ◇ Manages and calculates risks; ◇ Communicates strategic plan to the organisation; and ◇ Utilises strategic planning methods and tools.
2. Programme and Project Management	Plans, manages, monitors and evaluates specific activities in order to deliver the desired outputs and outcomes.	<ul style="list-style-type: none"> ◇ Establishes broad stakeholder involvement and communicates the project status and key milestones; ◇ Defines roles and responsibilities for project team members and clearly communicates expectations; ◇ Balances quality of work with deadlines and budget; ◇ Identifies and manages risks to the project by assessing potential risks and building contingencies into project plan; ◇ Uses computer software programmes to help manage project; and ◇ Sets and manages service level agreements with contractors.
3. Financial Management	Compiles and manages budgets, controls cash flow, institutes risk management and administers tender procurement processes in	<ul style="list-style-type: none"> ◇ Demonstrates knowledge of general concepts of financial planning, budgeting and forecasting and how they interrelate; ◇ Manages and monitors financial risk; ◇ Continuously looks for new opportunities to obtain and save funds; ◇ Prepares financial reports and guidelines based on prescribed format;

	accordance with generally recognised financial practices in order to ensure the achievement of strategic organisational objectives.	<ul style="list-style-type: none"> ◇ Understands and weighs up financial implications of propositions; ◇ Understands, analyses and monitors financial reports; ◇ Allocates resources to established goals and objectives; ◇ Aligns expenditure to cash flow projections; ◇ Ensures effective utilisation of financial resources; ◇ Develops corrective measures/actions to ensure alignment of budget to financial resources; and ◇ Prepares own budget in line with the strategic objectives of the organisation.
4. Change Management	Initiates, supports and champions organisational transformation and change in order to successfully implement new initiatives and deliver on service delivery commitments	<ul style="list-style-type: none"> ◇ Performs analysis to determine the impact of changes in the social, political and economic environment; ◇ Keeps self and others calm and focused during times of change or ambiguity; ◇ Initiates, supports and encourages new ideas; ◇ Volunteers to lead change efforts outside of own work team; ◇ Consults and persuades all the relevant stakeholders of the need for change; ◇ Inspires and builds commitment within own area for the change by explaining the benefits of change, and the process of implementing the change; ◇ Coaches colleagues on how to manage change; ◇ Proactively seeks new opportunities for change; ◇ Identifies and assists in resolving resistance to change with stakeholders; ◇ Designs specific projects to enable change that are aligned to the organisational objectives; and ◇ Uses the political, legislative and regulatory processes of the Public Service to drive and implement change efforts.
5. Knowledge Management	Obtains, analyses and promotes the generation and sharing of knowledge and learning in order to enhance the collective knowledge of the organisation.	<ul style="list-style-type: none"> ◇ Uses appropriate information systems to manage organisational knowledge; ◇ Uses modern technology to stay abreast of world trends and information; ◇ Evaluates information from multiple sources and uses information to influence decisions; ◇ Creates mechanisms and structures for sharing of knowledge in the organisation; ◇ Uses libraries, researchers, knowledge specialists and other knowledge bases appropriately to improve organisational efficiency; ◇ Promotes the importance of knowledge sharing within own area; ◇ Adapts and integrates information from multiple sources to create innovative knowledge management solutions; and ◇ Nurtures a knowledge-enabling environment.

6. Service Delivery Innovation	Champions new ways of delivering services that contribute to the improvement of organisational processes in order to achieve organisational goals.	<ul style="list-style-type: none"> ◇ Consults clients and stakeholders on ways to improve the delivery of services; ◇ Communicates the benefits of service delivery improvement opportunities to stakeholders; ◇ Identifies internal process improvement opportunities to SDI; ◇ Demonstrates full knowledge of principles on service delivery innovations; ◇ Identifies and analyses opportunities where innovative ideas can lead to improved service delivery; ◇ Creates mechanisms to encourage innovation and creativity within functional area and across the organisation; and ◇ Implements innovative service delivery options in own department/organisation.
7. Problem Solving and Analysis	Systematically identifies, analyses and resolves existing and anticipated problems in order to reach optimum solutions in a timely manner.	<ul style="list-style-type: none"> ◇ Explains potential impact of problems to own working environment; ◇ Demonstrates logical problem solving approach and provides rationale for proposed solutions; ◇ Determines root causes of problems and evaluates whether solutions address root causes; ◇ Demonstrates objectivity, thoroughness, insight fullness, and probing behaviours when approaching problems; and ◇ Demonstrates the ability to break down complex problems into manageable parts and identify solutions.
8. People Management and Empowerment	Manages and encourages people, optimises their outputs and effectively manages relationships in order to achieve organisational goals.	<ul style="list-style-type: none"> ◇ Seeks opportunities to increase personal contribution and level of responsibility; ◇ Supports and respects the individuality of others and recognises the benefits of diversity of ideas and approaches; ◇ Delegates and empowers others to increase contribution and level of responsibility; ◇ Applies labour and employment legislation and regulations consistently; ◇ Facilitates team goal setting and problem solving; ◇ Recognises individuals and teams and provides developmental feedback in accordance with performance management principles; ◇ Adheres to internal and national standards with regards to HR practices; ◇ Deals with labour matters; ◇ Identifies competencies required and suitable resources for specific tasks; ◇ Displays personal interest in the well-being of colleagues; ◇ Able to manage own time as well as time of colleagues and other stakeholders; and ◇ Manages conflict through a participatory transparent approach.
9. Client Orientation and	Willing and able to deliver services effectively and	<ul style="list-style-type: none"> ◇ Develops clear and implementable service delivery improvement programmes; ◇ Identifies opportunities to exceed the expectations of customers;

Customer Focus	efficiently in order to put the spirit of customer service (Batho Pele) into practice.	<ul style="list-style-type: none"> ◇ Designs internal work processes to improve customer service; ◇ Adds value to the organisation by providing exemplary customer service; and ◇ Applies customer rights in own work environment.
10. Communication	Exchanges information and ideas in a clear and concise manner appropriate for the audience in order to explain, persuade, convince and influence others to achieve the desired outcomes.	<ul style="list-style-type: none"> ◇ Expresses ideas to individuals and groups both in formal and informal settings in an interesting and motivating way; ◇ Receptive to alternative viewpoints; ◇ Adapts communication content and style according to the audience including managing body language effectively; ◇ Delivers messages in a manner that gains support, commitment and agreement; ◇ Writes well structured complex documents; ◇ Communicates controversial sensitive messages to stakeholders tactfully; ◇ Listens well and is receptive; and ◇ Encourages participation and mutual understanding.
11. Honesty and Integrity	Displays and builds the highest standards of ethical and moral conduct in order to promote confidence and trust in the Public Service.	<ul style="list-style-type: none"> ◇ Conducts self in accordance with organisational code of conduct; ◇ Admits own mistakes and weaknesses and seeks help from others where unable to deliver; ◇ Reports fraud, corruption, nepotism and maladministration; ◇ Honours the confidentiality of matters and does not use it for personal gain or the gain of others; ◇ Discloses conflict of interests issues; ◇ Establishes trust and shows confidence in others; ◇ Treats all employees with equal respect; ◇ Undertakes roles and responsibilities in a sincere and honest manner; ◇ Incorporates organisational values and beliefs into daily work; ◇ Uses work time for organisational matters and not for personal matters; and ◇ Shares information openly, whilst respecting the principle of confidentiality.

All eleven CMCs are compulsory for HoDs as per approval by the MPSA on request by the Public Service Commission.

APPENDIX C: PERSONAL DEVELOPMENT PLAN

Competency to be addressed	Proposed actions	Responsibility	Time-frame	Expected outcome

Cv/dV001091801 annexures PA CPMC PDP AR

ANNEXURE E

PSC's CHECKLIST FOR THE QUALITY ASSESSMENT OF THE PERFORMANCE AGREEMENTS OF HEADS OF DEPARTMENT

INTRODUCTION

1. In terms of Public Service Co-ordinating Bargaining Council (PSCBC) Resolution 13 of 1998, senior managers are required to sign performance agreements (PAs) whose aims are -

- (a) to assist senior managers to define key responsibilities and priorities, and provide measures for assessing success;
- (b) to encourage improved communication between senior managers and their supervisors; and
- (c) to enable the Executive Authority (EA) or supervisors of senior managers to assess the senior manager's work and provide support.

2. The new Performance Management and Development System (PMDS) which came into effect on 1 April 2002 and **amended w.e.f. 1 April 2006**, provides for the inclusion of mandatory elements in PAs.

3. The new PMDS stipulates that all HoDs should enter into PAs within the first month of the new financial cycle.

4. The Public Service Commission has been tasked by Cabinet to advise EAs and heads of department (HoDs) on the quality of their PAs. For this purpose the following checklist has been developed and is applied in assessing the quality of PAs and formulating advice. The checklist assesses quality in terms of -

- (a) compliance to regulatory requirements, and
- (b) the content of workplans.

COMPLIANCE WITH THE REGULATORY REQUIREMENTS

5. In ensuring compliance of the PA with the requirements of the PMDS all the listed mandatory elements in the checklist below must be confirmed in the PA. The prescribed format for structuring a PA and examples of two types of workplans are attached to assist in quality assurance. ***Please note that, as previously communicated, example two of the attached workplans must be used in respect of HoDs to ensure consistency.***

ELEMENT INCLUDED	YES/NO	ANY ADDITIONAL FOLLOW-UP TO BE MADE/REMARKS BY THE OFFICE
(a) A cover page that indicates names and designations of parties to the agreement, as well as the period of the agreement.		
(b) Job details		
(c) Description of the purpose of the job.		

ELEMENT INCLUDED	YES/NO	ANY ADDITIONAL FOLLOW-UP TO BE MADE/REMARKS BY THE OFFICE
(d) Job functions		
(e) Identification of – (i) Key Results Areas (KRAs), (ii) Weighting of KRAs, and (iii) Standards for measuring KRAs. (iv) Batho Pele Principles.		
(ii) Weighting of KRAs, and		
(iii) Standards for measuring KRAs.		
(iv) Batho Pele Principles.		
(f) Agreed – (i) Core Management Criteria (CMC), (ii) Weighting of the CMC, and (iii) The standards for measuring the CMC. (iv) Batho Pele Principles.		
(ii) Weighting of the CMC, and		
(iii) The standards for measuring the CMC.		
(iv) Batho Pele Principles.		
(g) Personal development plan. (i) Details of areas requiring development identified		
(ii) 5 days deployment at the coal face of service delivery		
(h) Dates of Formal reviews of the HOD's performance. (i) Specified (ii) Provision for an annual formal assessment of the HoD's performance.		
(ii) Provision for an annual formal assessment of the HoD's performance.		

ELEMENT INCLUDED	YES/NO	ANY ADDITIONAL FOLLOW-UP TO BE MADE/REMARKS BY THE OFFICE
(i) Dispute resolution. (i) Agreement on the person who will mediate in case of a dispute (preferably not the MPSA, Premiers or PSC Commissioners due to their different role in the performance management cycle)		
(j) A fully completed work plan is attached to the PA. (Should be example 2 of the PMDS)		
(k) Obligatory KRAs included - (i) Integrated governance <ul style="list-style-type: none"> • Compliance with the requirements of the relevant Medium Terms Strategic Framework • Integration of departmental work with Cluster work • Implementation of the cluster programme of action • Co-ordination of the Cluster meetings • Interaction and co-ordination with Cabinet Clusters (ii) Regional Integration <ul style="list-style-type: none"> • Departmental NEPAD in place • Cluster and Departmental NEPAD programmes in place and under implementation • NEPAD programmes mainstreamed in Cluster work (iii) Minimum Information Security Standard (MISS) and overall accountability for security at the Department <ul style="list-style-type: none"> • The key outputs in this regard to be addressed are depicted in Appendix D, Annexure D of Chapter 4 of the SMS Handbook. • This KRA must be included in the PAs of all HoDs. 		
(l) All eleven CMCs are critical for HoDs and must be included in their PAs.		

QUALITATIVE ASSESSMENT OF THE PERFORMANCE AGREEMENT

5. The following quality issues should be addressed:

AREA TO BE CHECKED	QUALITY ISSUES TO BE ADDRESSED	ADDITIONAL FOLLOW UP TO BE MADE/REMARKS BY THE OFFICE
(a) Alignment of PA to strategic plan of the department	Check for synergy between strategic plan and PA and advise on gaps in the PA (e.g. KRAs aligned with objectives/outputs).	
(b) Formulation of KRAs	<ol style="list-style-type: none"> 1. Are KRAs clearly formulated and understandable? 2. Are KRAs correctly identified? (i.e. are KRAs not confused with outputs or activities?) 3. Is there any duplication in the contents of KRAs? (can certain KRAs not be collapsed into one?) 	
(c) Formulation of outputs/ activities	<ol style="list-style-type: none"> 1. Are outputs and activities clearly formulated and understandable? 2. Are outputs and activities relevant to KRAs? (by comparing with strategic plan) 	
(d) Formulation of performance indicators.	<ol style="list-style-type: none"> 1. Do performance indicators allow measurement of achievement? Check outputs and performance indicators to determine whether performance indicators should provide for measurement in terms of – <ul style="list-style-type: none"> • timeframes • quantity • quality 2. Check if performance measures are achievable / realistic. (Due to a lack of line function knowledge of departments, care should be taken if advice is to be formulated in this area. Focus should mainly be on glaring discrepancies in timeframes allocated) 	
(e) Appropriateness of weightings.	Check for discrepancies in the allocation of weightings. If specific KRAs have been allocated substantially higher weightings than others, the reasons for the weightings could be requested in the advice letter (unless the awarding of the weightings was done for reasons obvious to the Office).	
(f) Adequate addressing of resource requirements and	Where this area has not, according to the Office, been completed with	

AREA TO BE CHECKED	QUALITY ISSUES TO BE ADDRESSED	ADDITIONAL FOLLOW UP TO BE MADE/REMARKS BY THE OFFICE
enabling conditions.	sufficient detail, the advice letter should enquire from the HoD whether he/she is satisfied that the enabling conditions contained in the PA have been adequately covered.	
(g) Performance standards attached to the CMCs.	Check if department specific performance standards have been set in addition to the generic standards. If not, enquire from the HoD whether no additional standards are required.	
(h) Weighting of CMCs.	As with the KRAs check for obvious discrepancies in weightings allocated and enquire from the EA and HoD on the rationale applied during allocation.	

STRUCTURING MEETINGS OF EVALUATION PANELS FOR THE EVALUATION OF HEADS OF DEPARTMENT

1. RESPONSIBILITIES OF THE EVALUATION PANEL

- 1.1 The role of evaluation panels is to advise executive authorities on the performance of their HoDs
- 1.2 The members of the panel must be objective and must strive to formulate advice based on fact and not assumption. Panel members must therefore be given the opportunity to seek clarity where required from the HoD and executive authority.
- 1.3 The panel must strive to reach consensus at the meeting on the level of performance regarding each KRA and CMC. The total score will influence the final result and level of performance of HoD in the advice to be provided to the executive authority. Minority positions must be minuted and indicated to the executive authority.

2. STRUCTURE OF MEETINGS

The chairpersons of evaluation panels (Public Service Commissioners) will play a significant role in the evaluation of HoDs to ensure that justice is served. They should therefore be well prepared for evaluation meetings and communicate their requirements clearly to the Secretariat.

2.1 The Planning Phase

- 2.1.1 Once agreement has been reached between the EA and the relevant Commissioner, the EA should proceed with finalizing the appointment of panel members. The relevant Commissioner will formally communicate to the panel members and forward the necessary documentation for the evaluation.
- 2.1.2 In order to structure evaluation meetings, Chairpersons may request panel members to prepare questions for clarification to be directed to the relevant executive authority and HoD. These questions should be forwarded to the secretariat at least one week before the panel meeting.

2.2 THE MEETING

The Chairperson will be responsible for structuring the evaluation meetings. Evaluation panel members should set aside at least two hours for an evaluation meeting. The agenda for an evaluation meeting could be structured as follows:

1. Welcome and introductions
2. Discussion of process/purpose
3. Overview of HoD's performance by the Executive Authority
4. Overview by the HoD and response to pre-identified questions
5. Questions for clarification to HoD and Executive Authority
6. Conducting and summarising assessment and deciding on the assessment rating for 2007/2008
7. Closure

2.2.1 The Chairperson of the panel must emphasise the importance of confidentiality at the onset of the meeting.

2.2.2 During the meeting the Chairperson must direct discussions and maintain formal meeting protocol.

2.2.3 In the event that consensus cannot be reached on the advice to be provided, a majority and minority position must be indicated. The Chairperson should, however, endeavour to achieve consensus.

2.2.4 The Chairperson is responsible for summarising the findings of the evaluation panel for minuting by the Secretariat.

2.2.5 Any queries regarding the advice by the panel will be directed by the executive authority to the Chairperson of the evaluation panel.

2.2.6 The document containing the advice of the panel must be signed at the meeting by all members of the panel.

TOTAL			
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4. RATING AWARDED IN TERMS OF RATING SCALE

(Highlight or circle the agreed level)

RATING	DEFINITION OF SCORE
5	Outstanding performance (150%-167%)
4	Performance significantly above expectation (130 -149%)
3	Fully effective (100% - 129%)
2	Performance not fully satisfactory (70% - 99%)
1	Unacceptable performance (69% and lower)

5. SIGNATURES OF MEMBERS OF THE EVALUATION PANEL

Chairperson: _____

Member: _____

Member: _____

Member: _____

Member: _____

Signed in _____ on _____ 2008

Signed by Head of Department	Signed by the Executive Authority
<hr/>	<hr/>
NAME	NAME
<hr/>	<hr/>
SIGNATURE	SIGNATURE
<hr/>	<hr/>
DATE	DATE

