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STANDARD OPERATING PROCEDURE: CONDUCT PMDS ANNUAL PERFORMANCE ASSESSMENT

TITLE OF SOP	Conduct annual performance assessments	
SOP Number	PMDS 3/3	
Purpose	To outline step by step process of conducting annual performance assessment	
Scope	This sop applies to the Eastern Cape Department of Social Development for annual performance assessments	
Definitions and Acronyms	CMC	Core Management Criteria
	DPSA	Department of Public Service and Administration
	PMDS	Performance Management and Development System
	GAF	Generic Assessment Factor
	HOD	Head of Department
	HR	Human Resources
	HRM	Human Resource Management
	KRA	Key Results Area
	LRA	Labor Relations Act, 1995
	MMS	Middle Management Service
	PA	Performance Agreement
	PC	Performance Contract
	PFMA	Public Finance Management Act, 1999

	PM Performance Management PMC Performance Management Committee PSA Public Service Act, 1994 PSCBC Public Service Coordinating Bargaining Council PSR Public Service Regulations, 2001 SFA Standards Framework Agreement SMS Senior Management Service TR Treasury Regulations, 2001 WSP Workplace Skills Plan
Performance Indicator	Effective human capital management & development.

STEP BY STEP GUIDE

CONDUCT ANNUAL PERFORMANCE ASSESSMENT

Nr	Task Name	Task Procedure	Responsibility	Time Frames	Systems and Supporting Documentation	Service Standard
1.	Develop Circular to conduct and submit Half yearly review	<ul style="list-style-type: none"> • Draft A Circular reminder in line with PMDS Policy within stipulated time frames to remind Supervisor / Supervisee to conduct and submit Half yearly review. • Submit Draft Circular for verification and Inputs • Submit for HOD to approval • Disseminate Approved Circular to all Officials 	Deputy Director PMDS	Seven (7) Working days	<ul style="list-style-type: none"> • Departmental Implementation Plan • Approved PMDS Circular 	Conduct annual performance assessment review by all the Department of Social Development employees within 1 month.
2.	Implement Approved Circular	<ul style="list-style-type: none"> • Implement Approved Circular in order for supervisor to collate all 2 halves yearly review documents with POE and annual report by doing the following: <ul style="list-style-type: none"> ➢ Avail performance agreement ➢ Complete annual performance assessment form (assessing performance from April to March) ➢ Avail annual performance report ➢ collate POE (as per 2 half yearly reviews) ➢ Do self-assessment and sign annual performance assessment form. ➢ Conduct Annual Assessment checklist to quality assure the completion of the performance assessment review and sign. 	Supervisee	7 days	<ul style="list-style-type: none"> • Performance Agreement • Two Completed half year Review Forms • Annual Assessment form • two signed Half year reports • Signed Annual report • Organized POE • Signed self-annual performance assessment 	
3.	Submit and discuss annual assessment	<ul style="list-style-type: none"> • Supervisor verify the documents. <ul style="list-style-type: none"> ➢ Reschedule the session if there is insufficient documentation. ➢ Continue with the session if the verified documentation is sufficient. • Supervisee presents achievement and non-achievements justifying self-assessment rating. 	Supervisor/ Supervisee	5 days	<ul style="list-style-type: none"> • Performance Contract • Two signed half yearly review forms • Signed self-annual performance assessment form. • PMDS calculator 	

STEP BY STEP GUIDE

CONDUCT ANNUAL PERFORMANCE ASSESSMENT

Nr	Task Name	Task Procedure	Responsibility	Time Frames	Systems and Supporting Documentation	Service Standard
		<ul style="list-style-type: none"> • Supervisor to verify Annual Assessment checklist to quality assure the completion of the performance assessment review and sign. • Discuss and agree/disagree on performing rating. <ul style="list-style-type: none"> ➢ Refer to PMDS Policy in the case of Disagreement. Both parties sign annual assessment form with comments. ➢ Refer to PMDS Policy in case of Management of poor performance assessment. ➢ Supervisor rate the employee as per agreed upon rating in the case of agreement. Both parties sign annual assessment form. • Supervisor transfer annual assessment ratings to PMDS calculator and both parties sign. 			<ul style="list-style-type: none"> • Signed annual performance assessment form by both parties. • PMDS calculator printout signed by both parties • Annual Assessment checklist signed by both parties • Poor Performance recommendation report 	
4.	Submit annual assessment documents to PMDS unit/HR	<ul style="list-style-type: none"> • Collate signed annual assessment documents. • Sign covering letter with list of submitted annual assessment documents for submission to PMDS Unit/HR. • Submit to PMDS unit/HR by 15th April every year. 	Responsible Supervisor/ Manager	2days	<ul style="list-style-type: none"> • Signed annual performance assessment form by both parties. <ul style="list-style-type: none"> ➢ Performance Agreement ➢ Two signed Half yearly Reviews ➢ Organized POE ➢ Signed PMDS calculator print-out ➢ Poor performance recommendation report • Submission register 	

STEP BY STEP GUIDE

CONDUCT ANNUAL PERFORMANCE ASSESSMENT

Nr	Task Name	Task Procedure	Responsibility	Time Frames	Systems and Supporting Documentation	Service Standard
5.	Capture annual performance assessments on Persal	<ul style="list-style-type: none"> • Verify annual assessments documents are dated and signed by both parties. • verify Annual Assessment checklist to quality assure the completion of the performance assessment review and sign. • Capture annual assessment on Persal for credible data. • Process and transmit to moderation committee. 	PMDS Unit/HR	15 days	<ul style="list-style-type: none"> • Annual Performance Assessment signed by both parties. • Persal report 	
6.	Conduct PMDS moderation	<ul style="list-style-type: none"> • Convene PMDS Moderation. • Supervisor present individual employee assessment. • Deliberate on the presentation by Supervisor. • Agree/disagreement on performance rating. • Chairperson sign individual assessments. • Submit Moderation recommendations report to HOD for approval of awarding performance incentive. • Submit the approved memo to HRM to implement performance incentive 	PMDS moderation Committee	120 days	<ul style="list-style-type: none"> • Signed annual performance assessment form by both parties. <ul style="list-style-type: none"> ➢ Performance Agreement ➢ Two signed half yearly Reviews by both parties ➢ Signed PMDS Calculator by both parties ➢ Signed checklists for all the assessments and the workplan agreement • Minutes of the Moderation Committee • Approved Performance Incentive Memo 	

LEGISLATION REFERENCES: ACTS OF PARLIAMENT, WHITE PAPERS & REGULATIONS

TYPE OF REFERENCE	REFERENCE DESCRIPTION OR DOCUMENT DESCRIPTION
The Constitution, 1996	Section 195. Basic values and principles governing public administration.-states that (l) Public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following principles : (h) Good human-resource management and career-development practices, to maximize human potential, must be cultivated.
The Public Service Act, 1994	Section 7 states that the An executive authority has all those powers and duties necessary for- ,(b) the recruitment, appointment, performance management, transfer, dismissal and other career incidents of employees of that department, including any other matter which relates to such employees in their individual capacities, and such powers and duties shall be exercised or performed by the executive authority in accordance with this Act.
The Labour Relations Act, 1995	To provide simple procedures for the resolution of labour disputes through statutory conciliation, mediation and arbitration (for which purpose the Commission for Conciliation, Mediation and Arbitration is established), and through independent alternative dispute resolution services accredited for that purpose;
The Skills Development Act, 1998	Section 2 states the purposes of the Skills Development Act as follows: a) to develop the skills of the South African workforce- (I) to improve the quality of life of workers, their prospects of work and labour mobility; (II) to improve productivity in the workplace and the competitiveness of employers; (III) to promote self-employment; and (IV) to improve the delivery of social services; b) to increase the levels of investment in education and training in the labour market and to improve the return on that investment; c) to encourage employers- (I) to use the workplace as an active learning environment; (II) to provide employees with the opportunities to acquire new skills; (III) to provide opportunities for new entrants to the labour market to gain work experience; and (IV) to employ persons who find it difficult to be employed; d) to encourage workers to participate in learning programmes; e) to improve the employment prospects of persons previously disadvantaged by unfair discrimination and to redress those disadvantages through training and education; f) to ensure the quality of learning in and for the workplace
The Basic Conditions of Employment Act, 1997	The Basic Conditions of Employment Act 75 of 1997 intends to give effect to the right to fair labour practices referred to in section 23(1) of the Constitution by establishing and making provision for the regulation of basic conditions of employment.
The Employment Equity Act, 1998	Affirmative action section 15 (1) (c) states that making reasonable accommodation for people from designated groups in order to ensure that they enjoy equal opportunities and are equitably represented in the workforce of a designated employer.

TYPE OF REFERENCE	REFERENCE DESCRIPTION OR DOCUMENT DESCRIPTION
The Public Finance Management Act, 1999	The object of this Act is to secure transparency, accountability, and sound management of the revenue, expenditure, assets and liabilities of the institutions to which this Act applies.
The Promotion of Administrative Justice Act, 2000	To give effect to the right to administrative action that is lawful, reasonable and procedurally fair and to the right to written reasons for administrative action as contemplated in section 33 of the Constitution of the Republic of South Africa, 1996; and to provide for matters incidental thereto.
Public Service Regulations, 2016	Section 71 states that systems for performance management and development states that (1) An executive authority shall approve and implement a system for the performance management of employees, other than employees who are members of the SMS, in his or her department. Section 73. Rewarding performance (1) states that each executive authority shall establish a performance incentive scheme to reward employees or any category of employees within the limits determined by the Minister as contemplated in subregulation (3).
Treasury Regulations, 2001	Section 8.1 Responsibility of the accounting officer [Section 76(4)(b) of the PFMA] 8.1.1 states that the accounting officer of an institution must ensure that internal procedures and internal control measures are in place for payment approval and processing. Section 8.2 Approval of expenditure [Section 38(1)(f) and 76(4)(b) of the PFMA] 8.2.1 states that an official of an institution may not spend or commit public money except with the approval (either in writing or by duly authorised electronic means) of the accounting officer or a properly delegated or authorised officer.
Human Resource Management, 1997	Section 5.9 performance management 5.9.1 states that the success of the Public Service in delivering its operational and developmental goals depends primarily on the efficiency and effectiveness with which employees carry out their duties. Managing performance is therefore a key human resource management tool to ensure that: <ul style="list-style-type: none"> ● Employees know what is expected of them. ● Managers know whether the employee's performance is delivering the required objectives. ● Poor performance is identified and improved. ● Good performance is recognized and rewarded.
Transforming public service delivery, 1997	Performance management procedures must in future include assessment of the performance of individual staff in contributing to improving service to the public.
Public Service Training and Education, 1998	5.7.3 Personal Development Plans 5.7.3.1 In order to ensure a needs-based approach to the training and education, personal development plans will be drawn up, where feasible and appropriate, for all members of staff. These will be designed to identify the needs of staff and measures to achieve them, within the context of the individual's overall career progression, as well as within the context of the organisational objectives and priorities of the department or province concerned
Affirmative Action in the Public Service, 1998	Section 3.10 Implementation of and demonstrable support for the organisation's affirmative action policies must be included in each employee's performance assessment criteria.
PSCBC Resolution 13 of 1998 (Performance Agreements)	Purpose This agreement sets the framework for senior managers to agree to individual performance agreements that shall determine their annual increments.

TYPE OF REFERENCE	REFERENCE DESCRIPTION OR DOCUMENT DESCRIPTION
PSCBC Resolution 3 of 1999 (Performance related financial rewards and incentives)	Remunerative allowances and benefits states that the employer and the trade unions wish to enter into the agreement that regulates remuneration, allowances and benefits. The current dispensation on merit bonuses and other forms of recognition of outstanding performance, innovations or achievements shall remain in force until the parties negotiate, in line with the requirements of the Labour Relations Act of 1995, a new agreement on the topic.
PSCBC Resolution 7 of 2000 (rank/leg promotions & pay progression system)	To establish processes to develop new, more equitable benefits, career paths and pay progression for all employees in the public service.
PSCBC Resolution 9 of 2000 (performance agreements, SMS)	To extend Resolution No. 13 of 1998 that sets the framework for managers to agree to individual performance agreements. As such this agreement does not seek to diminish any existing rights of senior managers.
PSCBC Resolution 2 of 1999 (disciplinary code)	The purpose of this Code and Procedures is: 1.4 to promote acceptable conduct;
PSCBC Resolution 10 of 1999 (incapacity code)	The purpose of this code and procedures is to: 1.1 assist employees overcome poor performance, 1.2 promote efficient and effective performance, 1.3 avert and correct inadequate performance, 1.6 give reasonable assistance to employees who are incapable of performing in accordance with the needs of their jobs

RISKS

Risk Name	Risk Description	Probability (H/M/L)	Impact (H / M / L)	Control Description	System / Manual
Non compliance	Non compliance of officials in submission leads to no credible data.	M	M	Constant Reminder to all Department Officials by PMDS unit.	Manual
Non alignment with Operational Plans	Non alignment performance contract with Operational Plans results to inadequate management of performance.	M	M	Constant Reminder to all Department Officials by PMDS unit.	Manual

AUTHORIZATION:

Designation:	Name:	Comments	Signature:	Date:
Director: HRM&D	X.J. Moloti	-----		13/02/2023
Recommended by: Acting CIO	M.E Gazi	Recommended		13/02/2023
Chief Director: Corporate Services	P.Mwanda-Tali	Recommended		22/02/2023
Recommended by: DDG	N.Z.G Yokwana	Recommended as requested	 Type text here	22/02/2023
Approved by: HOD	M. Machedemba	Approved		28/02/2023
Distribution and Use of SOP	ALL DEPARTMENTAL OFFICIALS			