

Circular H106/2020

TO ALL DIVISIONS / CHIEF DIRECTORATES / DIRECTORATES / REGIONS / DISTRICTS / SUB-STRUCTURES / INSTITUTIONS IN THE DEPARTMENT OF HEALTH

SPMS PROCESS: PERFORMANCE CYCLE 1 APRIL 2019 TO 31 MARCH 2020

1. MODERATING PROCESS OF THE 1/4/2019 – 31/3/2020 PERFORMANCE CYCLE

- 1.1 The finalization of the moderation process, i.e. **Pre-Moderation and Formal Moderation**, by the end of June 2020 was addressed in the attached Circular H21/2020 dated 9 March 2020.
- 1.2 It was indicated in PM Response number 2 dated 23 March 2020 that the moderation process as per Circular H21/2020 must be postponed as a result of the national lockdown and new dates will be communicated. Furthermore, it was indicated that the performance appraisals must, during the lockdown period, continue as far as possible.
- 1.3 To ensure the completion of the 2019/2020 performance cycle and taking into consideration the circumstances, work pressures of staff as a result of COVID 19 and the subsequent lockdown restrictions the timeframes for completion of the moderation process has been adjusted.
- 1.4 The following procedures must be followed and processes concluded within the Directives:
 - Final appraisal meetings.
 - Responsibility of People Management/Human Resources (PM/HR) components at Institutional level.
 - Pre-Moderating.
 - Formal Moderating.
 - Communication of final approved assessment results to all employees.

2. FINAL APPRAISAL MEETING

- All supervisors/managers must conduct the final appraisal meetings.
- The final review and final performance appraisal meeting (overall period from 1/4/2019 to 31/3/2020) may be amalgamated into one meeting as long as two different discussions take place.
- In the case of employees rotating, and getting a new performance agreement during a performance cycle, the employees must sign the **combined** overall performance rating for the respective periods.
- If during the performance cycle, an employee is appointed, seconded or transferred to another post or position at the same salary level, a new performance agreement or agreement of a similar nature shall be entered into for the new post or position and the performance assessment shall take both periods of work during the cycle into consideration.

- The appraisal instrument must be used during the final appraisal meeting. **Evidence must be available to justify ratings of above average and below average work performance.**
- Where employees are not available for conducting the final appraisal meeting, proper planning and provisional measures must be put in place to conduct the appraisal meeting.
- Where supervisors have a wide span of control, he/she must similarly do proper planning in order to meet with each employee timeously.
- If the employee is absent with permission for continuous periods of three months or longer, the affected employee shall be regarded as having performed satisfactorily as contemplated in Regulation 71 (5) (c) of the Public Service Regulation, 2016 for that period of absence within the performance cycle.
- Once agreement has been reached on the performance grades both parties must sign the Appraisal Instrument.
- Should there be difficulty in reaching agreement and it cannot be resolved, and once the supervisor and manager also cannot resolve the difference, a mediator needs to be appointed to conclude the process.
- Before the PA's of the staff are submitted to the Human Resource components, the Head of each component/section must ensure that he/she is satisfied with the assessments of their staff and that it is a true reflection of the individual's performance.

2.1 The preparation for the final appraisal should take place as follows:

- Employees must do a self-assessment before discussions take place.
- The supervisor must also do an appraisal of the employee before said discussion/meeting.
- This discussion/meeting can take place telephonically or via Microsoft Team/Skype.
- To comply with Directives this final appraisal document must be signed by both parties, arrangements must be made for it to be signed.
- The process can therefore be completed without any contact, or as little contact as possible.
- **All employees must have completed their final appraisals preferably by 15 June 2020 but not later than 30 June 2020.**
- In exceptional circumstances written reasons must be given in respect of those employees that have not completed the appraisals and the moderation will then be done at a later stage on an ad-hoc basis.

3. RESPONSIBILITY OF PM/HR COMPONENTS AT REGIONS/ DISTRICTS/ HEAD OFFICE/ ACADEMIC HOSPITALS/ INSTITUTIONS

- The PM/HR practitioners appointed to oversee Performance Management must collect all performance rating (scan/e-mail/photo/WhatsApp etc.)
- Physical contact of documents should preferably be kept to a minimum. The original documents will then be collected at a later stage.
- If the original documents are handed in at the HR office the staff must ensure that safety protocols are followed. (Wearing of masks and washing of hands)
- Graphs must be set up correctly and distributed to members of the Moderating Committees for them to study before the meeting takes place.
- All incomplete cases must be reflected in detail with reasons in the minutes and will then be finalised at a later stage on an ad-hoc basis.

4. PRE-MODERATING MEETING

- Committee members will receive the graphs, per cluster, from the PM/HR component before the meeting takes place. (Scanned/mailed)
- Members must ensure that these graphs are studied and that they are in agreement.
- The actual meeting could take place via teleconference, Microsoft team, Skype or in a conference room setting (with 1.5 m distancing)

- If the employee and the supervisor agrees, and it is signed off/agreed to by the Manager/Component Head it could be seen as valid and no further discussion will be required.
- The PM/HR representative must ensure minutes are kept.
- All incomplete cases must be reflected in detail with reasons in the minutes and will then be finalised at a later stage on an ad-hoc basis
- All documentation, discussions, findings and recommendations during the moderation process must be regarded as highly confidential by all parties
- **The pre-moderation phase must be finalised by 15 July 2020.**

5. FORMAL MODERATING MEETING

- 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.
- The role of the Formal Moderating Committee (FMC) is to ensure that the annual performance assessment is done in a realistic, consistent and fair manner.
- The FMC 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 FMC identifies deviations or discrepancies, it must be reflected in the minutes and the PM/HR component must be informed accordingly.
- The Regional/District Manager/Director must approve the minutes and certify that it is a true reflection of the performance of the Region/District/Directorate, that he/she is satisfied with the entire process of performance management within his/her Region/District/Directorate.
- All incomplete cases must be reflected in detail with reasons in the minutes and will then be finalised at a later stage on an ad-hoc basis
- **The formal moderation phase must be finalised before 17 August 2020.**

6. AUTHORITY TO APPROVE THE RECOMMENDATIONS OF THE FORMAL MODERATING COMMITTEE

- **The approved Minutes/Reports of all Pre-Moderating and Formal Moderating Committee meetings must reach the Directorate People Practices and Administration at Head Office (Attention Mr S van Dyk/Stephen.VanDyk@westerncape.gov.za) before 21 August 2020.**
- Upon receipt of all the Reports of the Moderating Committees, Head Office will draft a final Report and Incentive profile for final approval by the Head of Department.
- Once the Final Report has been approved, the various Regions/Districts will be informed accordingly, who in turn will inform the Institutions of the outcome.

7. AWARDING OF INCENTIVES

- In line with the current financial situation of the Country and the Province various cost containment measures have been put in place and therefore the allocation of performance bonuses for the 2019/2020 performance cycle is currently under consideration.

8. COMMUNICATION OF FINAL APPROVED ASSESSMENT RESULTS TO EMPLOYEES (RESPONSIBILITY OF PM/HR COMPONENTS)

- No employees shall qualify for performance rewards as contemplated in Regulation 73(1) of the Public Service Regulation, 2016, including pay progression, if he or she has not signed a performance agreement **on or before 31 August 2019**. (The national election was last year and allowed performance agreements of SMS members to be completed within 3 months after election.
- All employees must be informed in writing of the outcome of the final appraisal and pay progression as per approved minutes.

9. TIME FRAMES

The following time frames must be strictly adhered to by Managers and Supervisors to complete the process timeously:

	ACTION	DATE
1	Final appraisal meeting between employee and manager/supervisor	15 June 2020 but not later than 30 June 2020
2	Pre-Moderating meeting	Before 15 July 2020
3	Formal Moderating Meeting	Before 17 August 2020
4	Submit to HO for approval <ul style="list-style-type: none"> ○ HO submit to Delegated Authority ○ HO return approved Reports to Regions 	21 August 2020
5	Regions/Districts return Reports to Institutions	31 August 2020
6	Communication to employees and PERSAL transactions finalized (Pay Progression/Cash Incentives)	30 September 2020
7	Confirmation of the implementation of the retention of pay progression on PERSAL #5.2.2	30 September 2020
8	Filing of documentation	31 October 2020
9	PERSAL #4.6.39 completed for 2019/2020 performance cycle.	31 October 2020
	2020/2021 Performance Cycle	
10	A new Performance Agreement must be signed for the new performance cycle (1 April 2020 – 31 March 2021) before the end of July 2020 .	Before 31 July 2020
11	Signed performance agreements for 2020/2021 performance cycle to be captured on PERSAL.	31 August 2020

The finalization of the performance cycle 1 April 2019 to 31 March 2020 and the time frames in this regard must be discussed at all management meetings.

10. THE WAY FORWARD: NEXT PERFORMANCE CYCLE (1/4/2020 – 31/3/2021)

- A new Performance Agreement must be signed for the new performance cycle (1 April 2020 – 31 March 2021) before the **end of July 2020** as indicated in Circular H59/2020 dated 23 April 2020.
- Officials who are utilizing PERMIS must have their Performance Agreements loaded on the system and signed off by the supervisor on or before the end of July 2020.

11. GENERAL

Kindly regard **Circular H21/2020** dated 9 March 2020 as amended to the foregoing extent.

The Department of Health places a high priority on performance management in order to enhance organisational efficiency and effectiveness.

Kindly inform all the staff under your control of the contents of this letter and **ensure that the adjusted time frames are strictly adhered to**. Failure to do so will result in employees being disadvantaged with regard to their right to be assessed, and to be considered for pay progression based on good performance.

Your full cooperation and commitment to the successful finalisation of the 2019/2020 cycle of the PMDS will be highly appreciated.



CHIEF DIRECTOR: PEOPLE MANAGEMENT
DATE: 5 JUNE 2020