

REVISED PERFORMANCE AGREEMENT

IN TERMS OF THE:-

LOCAL GOVERNMENT: MUNICIPAL SYSTEMS ACT,
2000 (32 OF 2000), AS AMENDED

AND

LOCAL GOVERNMENT: MUNICIPAL PERFORMANCE REGULATION FOR
MUNICIPAL MANAGERS AND MANAGERS DIRECTLY ACCOUNTABLE TO
MUNICIPAL MANAGERS, 2006

AND

LOCAL GOVERNMENT: REGULATIONS ON APPOINTMENT AND CONDITIONS
OF EMPLOYMENT OF SENIOR MANAGERS, 2014

Entered into by and between

The **CITY OF MATLOSANA** herein represented by

M.M.E. KGAILE

in her capacity as

Executive Mayor

(hereinafter referred to as the **Employer**)

And

T.S.R. NKHUMISE

As the

Municipal Manager

(hereinafter referred to as the **Employee**)

For the Period

1 July 2019 to 30 June 2020

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PERFORMANCE AGREEMENT

ENTERED INTO BY AND BETWEEN:

The **CITY OF MATLOSANA** herein represented by **MALEETOANE MAETU ELIZABETH KGAILE** (ID NR. 6410250294084) in her capacity as the **EXECUTIVE MAYOR** (hereinafter referred to as the **Employer**) and **THEETSI SOLOMON ROGER NKHUMISE** (ID NR. 7212265390082) in his capacity as the **MUNICIPAL MANAGER** of the Municipality (hereinafter referred to as the **Employee**).

WHEREBY IT IS AGREED AS FOLLOWS:

1. INTRODUCTION

- 1.1 The **Employer** has entered into a contract of employment with the **Employee** in terms of section 57(1)(a) of the Local Government: Municipal Systems Act 32 of 2000, as amended ("the Systems Act"). The **Employer** and the **Employee** are hereinafter referred to as "the Parties".
- 1.2 Section 57(1)(b) of the Systems Act, as amended read with the Contract of Employment concluded between the parties, requires the parties to conclude an annual performance agreement.
- 1.3 The parties wish to ensure that they are clear about the goals to be achieved, and secure the commitment of the **Employee** to a set of outcomes that will secure local government policy goals.
- 1.4 The parties wish to ensure that there is compliance with Sections 57(4A), 57(4B) and 57(5) of the Systems Act and Section 57(4C) of the Systems Amendment Act.

2. PURPOSE OF THIS AGREEMENT

The purpose of this Agreement is to -

- 2.1 comply with the provisions of Section 57(1)(b),(4A),(4B) and (5) of the Systems Act , Section 57(4C) of the Systems Amendment Act, as well as the employment contract entered into between the parties;
- 2.2 specify objectives and targets defined and agreed with the employee and to communicate to the employee the employer's expectations of the employee's performance and accountabilities in alignment with the Integrated Development Plan (IDP), Service Delivery and Budget Implementation Plan (SDBIP) and the Budget of the municipality;
- 2.3 specify accountabilities as set out in a performance plan, which forms an Annexure to the Performance Agreement;
- 2.4 monitor and measure performance against set targeted outputs and outcomes;
- 2.5 use the Performance Agreement as the basis for assessing whether the employee has met the performance expectations applicable to his or her job;
- 2.6 in the event of outstanding performance, to appropriately reward the employee; with Section 11 of this agreement and
- 2.7 give effect to the employer's commitment to a performance-orientated relationship with its employee in attaining equitable and improved service delivery.

3 COMMENCEMENT AND DURATION

- 3.1 This Agreement will commence on the **1 JULY 2019** and will remain in force until **30 JUNE 2020** thereafter a new Performance Agreement, Performance Plan and Personal Development Plan shall be concluded between the parties for the next financial year or any portion thereof.
- 3.2 The parties will included a new performance agreement that replaces this agreement at least once a year not later than 31st of July of the succeeding financial year.
- 3.3 This Agreement will terminate on the termination of the **Employee's** contract of employment.
- 3.4 The content of this Agreement may be revised at any time during the above-mentioned period to determine the applicability of the matters agreed upon.
- 3.5 If at any time during the validity of this Agreement the work environment alters (whether as a result of government or council decisions or otherwise) to the extent that the contents of this Agreement are no longer appropriate, the contents shall immediately be revised.

4 PERFORMANCE OBJECTIVES

- 4.1 The Performance Plan (Annexure A) sets out-
 - 4.1.1 The performance objectives and targets that must be met by the **Employee**; and
 - 4.1.2 The time frames within which those performance objectives and targets must be met.
 - 4.1.3 The Competencies (Annexure B) – definitions in terms of regulation 21 of 17 January 2014 are required, to operate effectively as senior manager in the Local Government environment.
- 4.2 The performance objectives and targets reflected in the Performance Plan (Annexure A) are set by the **Employer** in consultation with the **Employee** and based on the Integrated Development Plan (IDP), Service Delivery and Budget Implementation Plan (SDBIP) and the Budget of the **Employer**, and shall include:
 - 4.2.1 Key objectives that describe the main tasks that need to be done.
 - 4.2.2 Key performance indicators that provide the details of the evidence that must be provided to show that a key objective has been achieved.
 - 4.2.3 Target dates that describe the timeframe in which the work must be achieved.
 - 4.2.4 Weightings that show the relative importance of the key objectives to each other.
- 4.3 The Personnel Development Plan (Annexure C) sets out the employee's personnel development requirements in line with the objectives and targets of the employer.
- 4.4 The **Employee's** performance will, in addition, be measured in terms of contributions to the goals and strategies set out in the **Employer's** Integrated Development Plan.

5 PERFORMANCE MANAGEMENT SYSTEM

- 5.1 The **Employee** agrees to participate in the performance management system that the **Employer** adopts or introduces for the **Employer**, management and municipal staff of the **Employer**.

- 5.2 The **Employee** accepts that the purpose of the performance management system will be to provide a comprehensive system with specific performance standards to assist the **Employer**, management and municipal staff to perform to the standards required.
- 5.3 The **Employer** will consult the **Employee** about the specific performance standards and targets that will be included in the performance management system as applicable to the **Employee**.
- 5.4 The **Employee** undertakes to actively focus towards the promotion and implementation of the KPA's (including special projects relevant to the employee's responsibilities) within the local government framework.
- 5.5 The criteria upon which the performance of the **Employee** shall be assessed shall consist of two components, both of which shall be contained in the Performance Agreement.
- 5.5.1 The **Employee** must be assessed against both components, with a weighting of 80:20 allocated to the Key Performance Areas (KPA's) and the Competencies respectively.
- 5.5.2 Each area of assessment will be weighted and will contribute a specific part to the total score.
- 5.5.3 KPA's covering the main areas of work will account for 80% and Competencies will account for 20% of the final assessment.
- 5.6 The **Employee's** assessment will be based on his / her performance in terms of the outputs / outcomes (performance indicators) identified as per attached Performance Plan (Annexure A), which are linked to the KPA's, and will constitute 80% of the overall assessment result as per the weightings agreed to between the **Employer** and **Employee**:

Key Performance Areas (KPA's)	Weighting
Service Delivery & Infrastructure Development	0%
Municipal Institutional Development and Transformation	8.8%
Local Economic Development (LED)	0%
Municipal Financial Viability and Management	5.9%
Good Governance and Public Participation	85.3%
Total	100%

- 5.7 In the case of Senior Managers directly accountable to the Municipal Manager, key performance areas related to the functional area of the relevant manager must be subject to negotiation between the municipal manager and the relevant manager.
- 5.8 The Competencies will make up the other 20% of the **Employee's** assessment score. The Competencies are split into two groups, Leading Competencies that drive strategic intent and direction and Core Competencies which drive the execution of the leading competencies.

LEADING COMPETENCIES		WEIGHTING
Strategic Direction and Leadership	<ul style="list-style-type: none"> • Impact and Influence • Institutional Performance Management • Strategic Planning and Management • Organisational Awareness 	8,33%
People Management	<ul style="list-style-type: none"> • Human Capital Planning and Development • Diversity Management • Employee Relations Management • Negotiation and Dispute Management 	8,33%

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Program and Project Management	<ul style="list-style-type: none"> • Program and Project Planning and Implementation • Service Delivery Management • Program and Project Monitoring and Evaluation 	8,33%
Financial Management	<ul style="list-style-type: none"> • Budget Planning and Execution • Financial Strategy and Delivery • Financial Reporting and Monitoring 	8,33%
Change Leadership	<ul style="list-style-type: none"> • Change Vision and Strategy • Process Design and Improvement • Change Impact Monitoring and Evaluation 	8,33%
Governance Leadership	<ul style="list-style-type: none"> • Policy Formulation • Risk and Compliance Management • Cooperative Governance 	8,33%
CORE COMPETENCIES		WEIGHTING
Moral Competence		8,33%
Planning and Organising		8,33%
Analysis and Innovation		8,33%
Knowledge and Information Management		8,33%
Communication		8,33%
Results and Quality Focus		8,33%
TOTAL PERCENTAGE		100%

6. EVALUATING PERFORMANCE

6.1 The Performance Plan (Annexure A) to this Agreement sets out -

6.1.1 The standards and procedures for evaluating the **Employee's** performance; and

6.1.2 The intervals for the evaluation of the **Employee's** performance.

6.2 Despite the establishment of agreed intervals for evaluation, the **Employer** may in addition review the **Employee's** performance at any stage while the contract of employment remains in force.

6.3 Personal growth and development needs identified during any performance review discussion must be documented in a Personal Development Plan (Annexure C) as well as the actions agreed to and implementation must take place within set time frames.

6.4 The **Employee's** performance will be measured in terms of contributions to the goals and strategies set out in the **Employer's** SDBIP as described in 6.6 below.

6.5 The **Employee** will submit quarterly performance reports (SDBIP) and a comprehensive annual performance report prior to the performance assessment meetings to the evaluation panel chairperson for distribution to the panel members for preparation purposes.

6.6 The annual performance appraisal will involve:

6.6.1 **Assessment of the achievement of results as outlined in the Performance Plan:**

- (a) Each KPA should be assessed according to the extent to which the specified standards or performance indicators have been met and with due regard to ad hoc tasks that had to be performed under the KPA.
- (b) A rating on the five-point scale described in 6.7 below shall be provided for each KPI or group of KPI's which will then be multiplied by the weighting to calculate the score.

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- (c) The **Employee** will submit his/her self – evaluation to the **Employer** prior to the final assessment.
- (d) In the instance where the employee could not perform due to reasons outside the control of the employer and employee, the KPI will not be considered during the evaluation. The **Employee** should provide sufficient evidence in such instances.
- (e) An overall score will be calculated based on the total of the individual scores calculated above.
- (f) The applicable assessment rating calculator must be used to add the scores and calculate a final KPA score.

6.6.2 Assessment of the Competencies

- (a) Each competency will be assessed in terms of the description provided in (Annexure B).
- (b) An indicative rating on the five-point scale should be provided for each competency.
- (c) This rating should be multiplied by the weighting given to each competency during the contracting process, to provide a score.
- (d) The applicable assessment rating calculator must be used to add the scores and calculate a final competency score.

6.6.3 Overall rating

An overall rating is calculated by using the applicable assessment-rating calculator. Such overall rating represents the outcome of the performance appraisal.

- 6.7 The assessment of the performance of the **Employee** will be based on the following rating scale for KPA's and Competencies:

Rating scale for KPA's

Level	Terminology	Description
5	Outstanding performance	Performance far exceeds the standard expected of an employee at this level. The appraisal indicates that the Employee has achieved above fully effective results against all performance criteria and indicators as specified in the PA and Performance Plan and maintained this in all areas of responsibility throughout the year.
4	Performance significantly above expectations	Performance is significantly higher than the standard expected in the job. The appraisal indicates that the Employee has achieved above fully effective results against more than half of the performance criteria and indicators and fully achieved all others throughout the year.
3	Fully effective	Performance fully meets the standards expected in all areas of the job. The appraisal indicates that the Employee has fully achieved effective results against all significant performance criteria and indicators as specified in the PA and Performance Plan.

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Level	Terminology	Description
2	Not fully effective	Performance is below the standard required for the job in key areas. Performance meets some of the standards expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against more than half the key performance criteria and indicators as specified in the PA and Performance Plan.
1	Unacceptable performance	Performance does not meet the standard expected for the job. The review/assessment indicates that the employee has achieved below fully effective results against almost all of the performance criteria and indicators as specified in the PA and Performance Plan. The employee 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.

Rating scale for Competencies

Level	Terminology	Description
1	Basic	Applies basic concepts, methods, and understanding of local government operations, but requires supervision and development intervention.
2	Competent	Develops and applies more progressive concepts, methods and understanding. Plans and guides the work of others and executes progressive analysis.
3	Advanced	Develops and applies complex concepts, methods and understanding. Effectively directs and leads a group and executes in-depth analysis.
4	Superior	Has a comprehensive understanding of local government operations, critical in strategic shaping direction and change, develops and applies comprehensive concepts and methods.

6.8 For purposes of evaluating the annual performance of the Municipal Manager, an evaluation panel constituted of the following persons must be established:-

- 6.8.1 Executive Mayor;
- 6.8.2 Chairperson of the performance audit committee or the audit committee in the absence of a performance audit committee;
- 6.8.3 Member of the Mayoral Committee;
- 6.8.4 Mayor and/or Municipal Manager from another municipality; and
- 6.8.5 Member of a ward committee as nominated by the Executive Mayor.

6.9 For purposes of evaluating the annual Performance of Senior Managers directly accountable to the Municipal Manager, an evaluation panel constituted of the following persons must be established:-

- 6.9.1 Municipal Manager;
- 6.9.2 Chairperson of the performance audit committee or the audit committee in the absence of a performance audit committee;
- 6.9.3 Municipal Manager from another municipality.

6.10 The Performance Management Unit of the municipality must provide secretariat services to the evaluation panels referred to in paragraphs 6.8 and 6.9.

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7. SCHEDULE FOR PERFORMANCE REVIEWS

7.1 The performance of each **Employee** in relation to his / her performance agreement shall be reviewed on the following dates with the understanding that reviews in the first and third quarter may be verbal if performance is satisfactory:

First quarter	:	July – September 2019
Second quarter	:	October – December 2019
Third quarter	:	January – March 2020
Fourth quarter	:	April – June 2020

7.2 The **Employer** shall keep a record of the mid-year review and annual assessment meetings.

7.3 Performance feedback shall be based on the **Employer's** assessment of the **Employee's** performance.

7.4 The **Employer** will be entitled to review and make reasonable changes to the provisions of (Annexure A) from time to time for operational reasons. The **Employee** will be fully consulted before any such change is made.

7.5 The **Employer** may amend the provisions of (Annexure A) whenever the performance management system is adopted, implemented and / or amended as the case may be. In that case the **Employee** will be fully consulted before any such change is made.

8. DEVELOPMENTAL REQUIREMENTS

The Personal Development Plan (PDP) for addressing developmental gaps is attached as (Annexure C). Such plan may be implemented and/or amended as the case may be after each assessment.

9. OBLIGATIONS OF THE EMPLOYER

9.1 The **Employer** shall –

- 9.1.1 Create an enabling environment to facilitate effective performance by the employee;
- 9.1.2 Provide access to skills development and capacity building opportunities;
- 9.1.3 Work collaboratively with the **Employee** to solve problems and generate solutions to common problems that may impact on the performance of the **Employee**;
- 9.1.4 On the request of the **Employee** delegate such powers reasonably required by the **Employee** to enable him / her to meet the performance objectives and targets established in terms of this Agreement; and
- 9.1.5 Make available to the **Employee** such resources as the **Employee** may reasonably require from time to time to assist him / her to meet the performance objectives and targets established in terms of this Agreement.

10. CONSULTATION

10.1 The **Employer** agrees to consult the **Employee** timeously where the exercising of the powers will have amongst others –

- 10.1.1 A direct effect on the performance of any of the **Employee's** functions;
- 10.1.2 Commit the **Employee** to implement or to give effect to a decision made by the **Employer**; and

- 10.1.3 A substantial financial effect on the **Employer**.
- 10.2 The **Employer** agrees to inform the **Employee** of the outcome of any decisions taken pursuant to the exercise of powers contemplated in 10.1 as soon as is practicable to enable the **Employee** to take any necessary action without delay.

11. MANAGEMENT OF EVALUATION OUTCOMES

- 11.1 The evaluation of the **Employee's** performance will form the basis for rewarding outstanding performance or correcting unacceptable performance.
- 11.2 A performance bonus of between 5% to 14% of the all-inclusive annual remuneration package may be paid to the **Employee** in recognition of outstanding performance to be constituted as follows:

Performance Score		Performance Bonus Percentage
From	To	
130%	133%	5%
134%	137%	6%
138%	141%	7%
142%	145%	8%
146%	149%	9%
150%	153%	10%
154%	157%	11%
158%	161%	12%
162%	165%	13%
166%	169%	14%

- 11.3 In the case of unacceptable performance, the **Employer** shall –
- 11.3.1 Provide systematic remedial or developmental support to assist the **Employee** to improve his or her performance; and
- 11.3.2 After appropriate performance counselling and having provided the necessary guidance and/ or support as well as reasonable time for improvement in performance, the **Employer** may consider steps to terminate the contract of employment of the **Employee** on grounds of unfitness or incapacity to carry out his or her duties.

12. DISPUTE RESOLUTION

- 12.1 Any disputes about the nature of the **Employee's** performance agreement, whether it relates to key responsibilities, priorities, methods of assessment and/ or any other matter provided for, shall be mediated by –
- 12.1.1 The MEC for local government in the province within thirty (30) days of receipt of a formal dispute from the **Employee**; or
- 12.1.2 Any other person appointed by the MEC.
- 12.1.3 In the case of Senior Managers directly accountable to the Municipal Manager, a member of the municipal council, provided that such member was not part of the evaluation panel provided for in sub-regulation 27(4)(e) of the Municipal Performance Regulations, 2006, within thirty (30) days of receipt of a formal dispute from the employee;

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whose decision shall be final and binding on both parties.

- 12.2 In the event that the mediation process contemplated above fails, clause relevant of the Contract of Employment shall apply.

13. GENERAL

- 13.1 The contents of this agreement and the outcome of any review conducted in terms of (Annexure A) may be made available to the public by the **Employer**.
- 13.2 Nothing in this agreement diminishes the obligations, duties or accountabilities of the **Employee** in terms of his/ her contract of employment, or the effects of existing or new regulations, circulars, policies, directives or other instruments.
- 13.3 The performance assessment results of the **Employee** must be submitted to the MEC responsible for local government in the relevant province as well as the national minister responsible for local government, within fourteen (14) days after the conclusion of the assessment.

14. PERFORMANCE APPRAISALS

- 14.1 The **Employee** will be responsible for developing annual performance work plans and conducting performance appraisals with all staff in the Directorate as stipulated in Section 27 of the 2017 Performance Management System Framework document.

Thus **done** and **signed** at KLERKSDORP on this the 11 day of MARCH 2020

AS WITNESSES:

1. [Signature]

[Signature]
EMPLOYEE

2. [Signature]

Thus **done** and **signed** at KLERKSDORP on this the 12 day of MARCH 2020

AS WITNESSES:

1. Minger

[Signature]
EMPLOYER

2. Daniel

Performance Plan

MUNICIPAL MANAGER TSR NKHUMISE





CITY OF MATLOSANA
Period 1 July 2019 to 30 June 2020

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OFFICE OF THE MUNICIPAL MANAGER
MUNICIPAL MANAGER - MR. TSR NKHUMIZE

TOTAL WEIGHTING PER KEY PERFORMANCE AREA (KPA) = 100%

Service Delivery & Infrastructure Development (4) (0)
Municipal Institutional Development and Transformation (3)
Local Economic Development (0)
Municipal Financial Viability & Management (4) (2)
Good Governance and Public Participation-(36) (29)
0.0%
8.8%
0.0%
5.9%
85.3%
100%

IDP PROJECTS																						
Top /Bottom Layer	IDP Linkage / Project ID.	Budget Linkage	Item Nr.	Responsible Person	Key Performance Area (KPA)	Basics to Back to	Weighting	Objectives	Key Performance Indicators (KPI)	Annual Performance Target	Budget	Revised Target / Adjustment Budget	Base Line	Quarter	Quarterly Projected Target	Rating Key	Quarterly Actual Achievement	Actual Expenditure / Revenue	Reason for Deviation	Planned Remedial Action	Comments	Portfolio of Evidence
TL	IDP - Grant Funding - Outcome 9 - Output 1	MM1		TSR Nkhumise	Municipal Financial Viability & Management	Back to Basics	2.94%	MIG (NDPG, EEDSM & DME included) funding spent to ensure the upgrading and maintenance of infrastructure in the City of Matlosana	Rand value spent on MIG grants (NDPG, EEDSM & DME included) allocated for the City of Matlosana spent	Spending at least 80% of MIG grants (NDPG, WMIG, EEDSM, INEP, DME & roll-overs included) allocated to the City of Matlosana by June 2020	80% of R498-985-670 - R483-314-549 - R175 261 940 R100 823 002 26/11/2019. CG6/2020 dated	NT MIG roll-over approval CC136/2019 dated	78% R151 282 980 spent	1 2 3 4	5% R9 999 294 30% R65-069-423 - R54 994 365 55% RH9-275-610 R100 823 002 80% R473-491-796 R146 651 639		6% 23.00%	R 12 668 287 R 43 014 814	Late appointment of the Contractor due to	Contractor advised to expedite progress of		Excel spreadsheet
OPERATIONAL																						
BL	Top Layer / Bottom Layer	IDP Linkage / Project ID.	MM2	TSR Nkhumise	Key Performance Indicators (KPI)	Back to Basics	Weighting	Objectives	Percentage of external audit queries answered within required time frame	Answering 100% of all the office's audit queries (exception report) received from the Auditor-General within the required time frame by November 2019	R-0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CG6/2020 dated 31/01/2020 - Mid-Year Assessment	100% 4 Received / 4 answered	1 2 3 4	100% Nr received / Nr answered 100% Nr received / Nr answered - -		No AG communications received No AG communications received				The office received 9 RFIs which was responded linearously	Tracking document. Management response
TL	Operational - Outcome 9 -	N/A	MM3	TSR Nkhumise	Percentage of resolutions implemented within required time-frame	Good Governance	2.50%	To ensure good-governance by executing the mandate of council	Percentage of resolutions implemented within required time-frame	Implementing at least 87% of the office's Municipal Manager-/Executive-Mayer-/MeyCo-/Council-resolutions by June-2020	R-0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CG6/2020 dated 31/01/2020 - Mid-Year Assessment	100% 54 Received / 54 implemented	1 2	87% Nr received / Nr implemented 87% Nr received / Nr implemented		77% 11 received / 10 implemented. 2 Rolled-over from 2018/19 / 0 implemented 78% 11 received / 11 implemented. 3 Rolled-over / 0 Implemented		Regulation 21 makes provision regarding the process to unfold. Currently in the advertisement process. mSCOA report not submitted to council. AC Resolutions from marked out correctly. AC Resolutions from marked out correctly.	Implement the resolutions as the process unfolds. mSCOA item to for a standing item on council meetings and AC meetings. AC Resolutions to be submitted to council. AC Resolutions from marked out correctly.	Departmental resolution-register-Copy of resolutions-Execution letters-/notes-(supporting documents)	
BL	Operational -	N/A	MM4	TSR Nkhumise	Percentage of all identified-high-/maximum-/extreme risks mitigated by implementing corrective measures-	Good Governance and Public Participation	2.50%	To reduce risk areas and protect the municipality against legal actions	Percentage of all identified-high-/maximum-/extreme risks mitigated by implementing corrective measures-	Mitigating at least 50% of the office's identified high-/maximum-/extreme risks by implementing corrective measures by June-2020	R-0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CG6/2020 dated 31/01/2020 - Mid-Year Assessment	3 High 33% risks resolved / 1 Mitigated	1 2 3 4	50% Nr received / Nr mitigated 50% Nr received / Nr mitigated 50% Nr received -/Nr mitigated- 50% Nr received -/Nr mitigated-		0% 1 Received / 0 mitigated 0% 1 Received / 0		OHS did not submit report to top management regarding a safe and healthy environment OHS did not submit report to top	OHS to submit a report for discussion at next top management meeting OHS to submit a report for discussion at next	Directorate's-risk-register-Execution letters-/notes-(supporting documents)	

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TL	Compliance	N/A	MM10- MPACS	TSR Nkhurwe	Good Governance and Public Participation	Public Participation	2.50%	To investigate- unauthorised-irregular- fruitless-and-wasteful- expenditure-of-the- municipality's-performance- and-financial-situation-by- conducting 632-meetings-	Number of 632-meetings- conducted-to-investigate- unauthorised-irregular- fruitless-and-wasteful- expenditure-of-the- municipality's-performance- and-financial-situation-	Conducting 22 632-meetings- to-investigate-unauthorised- irregular-fruitless-and-wasteful- expenditure-of-the- municipality's-performance-and- financial-situation-by-June-2020	R-0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CC6/2020 dated 31/01/2020 - Mid-Year Assessment	22 Section 32 meetings conducted	1 2 3 4	145 Meetings-conducted	🔴	0 Meetings conducted	LB Attorneys appointed to conduct investigations instead of the resuscitation / establishment of a sec 32 committee	Finalise the composition of proposed new sec 32 committee as resolved by Audit Committee	Notices. Agenda. Attendance registers. Minutes.
BL	Compliance	N/A	MM11	TSR Nkhurwe	Good Governance and Public Participation	Good Governance	2.94%	To ensure that the set goals of council are achieved	Number of SDBIP meetings between MM and directors (leading to quarterly performance assessments) conducted	Conducting 42 4 SDBIP meetings between MM and directors (leading to quarterly performance assessments) by June 2020	R 0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CC6/2020 dated 31/01/2020 - Mid-Year Assessment	1 SDBIP meeting conducted	1 2 3 4	3 Meetings conducted - 1	🔴	1 Meeting conducted	Not included in the Agenda of other 2 meetings SDBIP to be a standing item in Management meetings Management meetings not fully honoured due to other pressing matters	SDBIP to be a standing item on the top management meetings SDBIP to be a standing item in Management meetings	Notices. Agenda. Attendance Register. Minutes.
BL	Compliance	N/A	PMS1	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To approve the 2019/20 Annual Performance Report (Unaudited Annual Report) to comply with section 46 of the MSA	2019/20 Annual Performance Report (Unaudited Annual Report) approved by Municipal Manager	Approving the 2019/20 Annual Performance Report (Unaudited Annual Report) by Municipal Manager by August 2019	R 0	2017/18 Annual Performance Report (Unaudited Annual Report) approved by Municipal Manager on 28 August 2018	1 SDBIP meeting conducted	1 2 3 4	2019/20 Annual Performance Report (Unaudited Annual Report) approved	🔴	2019/20 Annual Performance Report (Unaudited Annual Report) approved on 13 September 2019	The financial management server crash / failure occurred on the evening of 29 August 2019. BCX informed the municipality that the server is on route to the BCX offices in Centurion to determine the cause of the crash and to repair it. / fix	The 2019/20 Annual Performance Report to be completed as soon as the system is repaired to be approved by the municipal manager	2019/20 Annual Performance Report. MM signed-off. MM letter to AG.
BL	Compliance	N/A	PMS2	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To table the Draft 2019/20 Annual Performance Report (Unaudited Annual Report) to comply with section 121 and Circular 63 of MFMA	Draft 2019/20 Annual Performance Report (Unaudited Annual Report) tabled before Council	Tabling the draft 2019/20 Annual Performance Report (Unaudited Annual Report) before Council by 30 September 2019	R 0	2017/18 Annual Performance Report (Unaudited Annual Report) tabled - CC10/2018 dated 28 August 2018	1 2 3 4	Draft 2019/20 Annual Performance Report (Unaudited Annual Report) tabled	🔴	Draft 2019/20 Annual Performance Report (Unaudited Annual Report) not tabled	Item was already submitted for the September 2019 council meeting. council to sit in October	2019/20 Annual Performance Report. Council Resolution	2019/20 Annual Performance Report. Council Resolution	
TL	Compliance	N/A	PMS3	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To table the 2019/20 Audited Annual Report to comply with section 121 of MFMA	Audited 2019/20 Annual Report tabled before Council	Tabling the Audited 2019/20 Annual Report before Council by 31 January 2020	R 0	2017/18 Audited Annual Report tabled before Council - CC11/2019 dated 30 January 2019	1 2 3 4	2019/20 Audited Annual Report tabled	🟡	Draft 2019/20 Annual Performance Report (Unaudited Annual Report) tabled. CC11/2019 dated 21 October 2019	2019/20 Audited Annual Report - Council Resolution	2019/20 Audited Annual Report - Council Resolution		
TL	Compliance	N/A	PMS4	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To approve the 2019/20 Mid-Year Assessment Report to comply with section 72 of the MFMA	2019/20 Mid-Year Assessment Report approved by the Executive Mayor	Approving the 2019/20 Mid- Year Assessment Report by the Executive Mayor by 23 January 2020	R 0	2018/19 Mid-Year Assessment Report approved - MM 18/2019 dated 23 January 2019	1 2 3 4	2019/20 Mid-Year Assessment Report approved	🟡	2019/20 Annual Performance Report (Unaudited Annual Report) tabled. CC11/2019 dated 21 October 2019	MM Resolution. Council Resolution	MM Resolution. Council Resolution		
BL	Compliance	N/A	PMS5	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To table the draft 2020/21 SDBIP to comply with legislation	Draft 2020/21 SDBIP tabled by Council	Tabling the draft 2020/21 SDBIP by Council by May 2020	R 0	Draft 2019/20 CO48/2019 dated 31 May 2019	1 2 3 4	2019/20 SDBIP tabled	🟡	2019/20 SDBIP tabled	2019/20 SDBIP tabled	Draft 2020/21 SDBIP. Council Resolution	Draft 2020/21 SDBIP. Council Resolution	

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TL	Compliance	N/A	PMS6	OC Powrie	Good Governance and Public Participation	Good Governance	2.94%	To approve the final 2020/21 SDBIP to ensure compliance with legislation	Final 2020/21 SDBIP approved by Executive Mayor	Approving final 2020/21 SDBIP by Executive Mayor (28 days after approval of budget) by June 2020	R0		Final 2019/20 SDBIP approved 14 June 2018.	1 - 2 - 3 - 4 - Final 2020/21 SDBIP approved	🙄	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -	- - - -
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TL	Compliance	N/A	IM40—MPACS	E Marumo	Municipal Financial Viability & Management	Public Participation	2.94%	To investigate unauthorised, irregular, fruitless and wasteful expenditure of the municipality's performance and financial situation by conducting (s32) meetings	Number of (s32) meetings conducted to investigate unauthorised, irregular, fruitless and wasteful expenditure of the municipality's performance and financial situation	Conducting 22 s (s32) meetings to investigate unauthorised, irregular, fruitless and wasteful expenditure of the municipality's performance and financial situation by June 2020	R 0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CC6/2020 dated 31/01/2020 - Mid-Year Assessment	22 Section 32 meetings conducted	1 2 3 4	15 Meetings conducted - 0 3 Meetings conducted - 2 3 Meetings conducted 1 Meeting conducted		0 Meetings conducted	LB Attorneys appointed to conduct investigations instead of the resuscitation / establishment of a sec 32 committee	Finalise the composition of proposed new sec 32 committee as resolved by Audit Committee	Notice, Agenda, Attendance registers, Minutes.
TH	Compliance	N/A	IA4	M Seero	Good Governance and Public Participation	Good Governance	2.95%	To conduct Audit Committee Meetings to ensure good governance	Number of Audit Committee meetings held to ensure an effective discharging of responsibilities	Holding 4 Audit Committee meetings to ensure an effective discharging of responsibilities by June 2020	R 0	MM15/2020 dated 22/01/2020. EM1/2020 dated 23/1/20. CC6/2020 dated 31/01/2020 - Mid-Year Assessment	5 Audit Committee and 2 Special Audit Committee meetings held	4 2 3 4	4 Audit Committee meetings held 1 Audit Committee meeting held 1 Audit Committee meeting held 1 Audit Committee meeting held		1 Audit Committee meeting held 3 Audit Committee meetings held	Minutes in the file are not signed as they are not yet adopted. 2 special meeting arranged to discuss audit strategy and final audit report. Notice for meeting held on the 13th Dec will be requested from MM's office, minutes will be submitted later as they are not ready yet.	Notice, Agenda, Minutes & Attendance Register	
BL	Compliance	N/A	IA2	M Seero	Good Governance and Public Participation	Good Governance	2.94%	To issue audit of performance information reports to ensure compliance with legislation	Number of audit of performance information reports issued to assess the efficiency and effectiveness of performance achieved	Issuing 4 audit of performance information reports to the Audit Committee to assess the efficiency and effectiveness of performance achieved by Council by June 2020	R 0		3 Audit of performance information reports issued	1 2 3 4	4th Quarter report of 2019/20 performance information 1st Quarter report of 2019/20 performance information 2nd Quarter report of 2019/20 performance information 3rd Quarter report of 2019/20 performance information		4th Quarter report of 2018/19 performance information not issued to Audit Committee 4th Quarter report of 2018/19 performance information issued to	Due to late completion of 2019/2019 Annual Financial Statement, SDBGIP was completed late and that led to Internal Audit commencing auditing performance information ACAE has requested the audit as per the approved plan had to	A report will be presented in the meeting scheduled for 22 November 2019 ACAE has requested the AC to review the scope of the plan in order to	Quarterly report, Notice, Minutes & Attendance Register
BL	Compliance	N/A	IA3	M Seero	Good Governance and Public Participation	Good Governance	2.94%	To report on recommendations raised by internal audit and AG to ensure sound financial and administrative management	Number of action plan register and progress reports on the Auditor General's report and Internal Auditor's findings submitted to the Audit Committee	Submitting 4 progress reports on the updated action plan register to the Audit Committee on findings raised by the Auditor General and Internal Audit by June 2020	R 0		5 Progress reports submitted	1 2 3 4	1 Internal audit progress report submitted 1 Internal audit progress report submitted 1 Internal audit progress report submitted 1 Progress report (internal audit and AG) on the updated action plan register to the Audit		Internal audit progress report for 4th quarter was submitted on the 22nd November 2019. 1st quarter Internal audit progress report not submitted	The Audit report will be submitted in the meeting scheduled for the 22nd November 2019. Delay in completing planned audits by Internal Audit Unit due to removal of interns and permanent appointment of one intern ACAE has requested the AC to review the scope of the plan in order to consider all changes and to reallocate available resources. AC approved the request. The audit report will be submitted in the meeting scheduled for February 2020. It will be submitted with all second quarter audit	Action Plan Register, internal audit progress reports, AG progress reports, Minutes	





TL	Compliance	N/A	IA4	M Seero	Good Governance and Public Participation	Good Governance	2.94%	To issue activity reports to ensure good governance	Number of activity reports issued to the Audit Committee on the progress of rolling out the audit plans	Issuing 4 activity reports to the Audit Committee on the progress of rolling out the audit plans by June 2020	R 0			5 Activity reports issued	1 2 3 4	1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC		1 Activity report submitted to AC 1 Activity report submitted to AC				4 Activity Reports, Audit Committee minutes, Proof of submission to MM.
BL	Compliance	N/A	IA5	M Seero	Good Governance and Public Participation	Good Governance	2.94%	To adopt the Internal Audit Charter to comply with legislation	Number of Reviewed IA Charter adopted in accordance with IIA standards	Adopting one reviewed IA Charter (2020/21) in accordance with IIA standards by June 2020	R 0			Internal Audit Charter (2019/20) not yet submitted to Audit Committee	1 2 3 4	1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC		1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC				Reviewed 2020/21 Internal Audit Charter Attendance Register, AC
TL	Compliance	N/A	IA6	M Seero	Good Governance and Public Participation	Good Governance	2.94%	To submit a Risk Based Audit Plan to comply with legislative requirements	Number of 3-Year Risk Based Audit Plan 2020/21 submitted to the Audit Committee for approval	Submitting one 3-Year Risk Based Audit Plan 2020/21 to the Audit Committee for approval by June 2020	R 0			3-Year Risk Based Audit Plan 2019/20 not submitted yet	1 2 3 4	1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC		1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC 1 Activity report submitted to AC				3-Year Risk Based Audit Plan 2020/21 approved by Audit Committee, Minutes

KPIs 40 34
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[Signature]
MUNICIPAL MANAGER

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EXECUTIVE MAYOR

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