**ANNEXURE C**

**PENALTY SCHEDULE**

Failure to adhere to the Service Level Targets set out in this Penalty Schedule, read together with Annexure A (the Performance Schedule) in respect of any component of the Services, shall entitle SARS to a Service Credit where such non-compliance constitutes a Service Level Failure. Service Credits are indicated as a percentage of the total Amount at Risk (AAR).

The approach in the application of the Penalty Schedule will consider the classification of the problem, service failure and overall impact to the employer and employees of SARS. In instances where the Service Level is determined by a turnaround time, penalties will only become payable where there are 3 or more Service Level Failures of a similar nature in any month.

Where the Service Level Failure is due to-

* Disruption to telephonic systems, the “please call me” system and email; and/or
* Disruption of internet services

which are circumstances beyond the control of the Service Provider, the Service Provider shall inform SARS of the affected services thirty (30) minutes after the occurrence thereof. The Service Provider shall in line with its disaster recovery undertakings advise SARS of the alternative means to access the service.

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| --- | --- | --- | --- |
| **Problem Type** | **Level** | **Determined by impact** | **Non-adherence** |
| Critical | 1 | Business critical financial or operational impact and/or reputational risk | Possible termination |
| Serious | 2 | Serious financial or operational impact and/or reputational risk | Possible termination |
| Moderate | 3 | Moderate financial or operational impact and/or reputational risk | Warning |
| Minor | 4 | Minor operational impact, no financial impact and/or reputational risk | Warning |

| **No.** | **Wellness Primary service offering** | **Requirement** | **Problem Classification** | **Service Level Target** | **Service**  **Level Failure** | **% of amount at Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **1** | **Employee Assistance Programme** | | | | | |
| Call Centre | Percentage of calls able to connect to the toll free number | Critical | 95% | <95% | 90% |
| Percentage of calls picked up within 30 (thirty) seconds | Serious | 95% | <95% | 70% |
| Percentage of calls placed on hold (or queued) assisted within 1 (one) minute | Serious | 95% | <95% | 70% |
| Percentage of “Please call me” and USSD Code service response within 4 (four) hours | Moderate | 95% | <95% | 50% |
| Website | SARS Wellness Management Website activated within 30 (thirty) days of Commencement Date | Serious | 95% | <95% | 70% |
| Website accessible at all times | Moderate | 99% | <99% | 60% |
| Content updated | Minor | Monthly | <Monthly | 40% |
| Auto response to emails sent to dedicated email address | Minor | 4 hours | >4 hours | 40% |
| Unlimited telephonic counselling | As per Performance Schedule | Moderate | Immediately | No access | 80% |
| Psycho-social face to face counselling | As per Performance Schedule | Moderate | 7 days | >8 days | 60% |
| Trauma debriefing | As per Performance Schedule | Critical | 24 hours | >24 hours | 80% |
| Formal referrals by managers and Assisted Referrals | As per Performance Schedule | Moderate | 48 hours | >48 hours | 60% \* |

| **No.** | **Wellness primary service offering** | **Requirement** | **Problem Classification** | **Service Level Target** | **Service**  **Level Failure** | **% of amount at Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **2** | **Marketing and Wellness Campaigns Programmes** | | | | | |
| Health Calendar Events | 6 (six) per month as per agreed schedule | Serious | 6 events per month | <6 events per month | 80% |
| Proposals for Health Calendar Days | Within 10 (ten) days after receiving SARS’s list of activities for the specific Health Calendar Day | Moderate | 10 days | >10 days | 60% |
| Speakers suitably qualified | As determined by the Service Provider. | Minor | 100% | <100% | 40% |
| Promotional material submitted to SARS for approval | 10 (ten) days prior to date of utilisation thereof | Minor | 10 days | <10 days | 40% |
| Promotional material available at Health Calendar Days | Presence of material at intervention | Minor | 100% | <100% | 40% |
| Promotional material available at Wellness interventions | Presence of material at intervention | Minor | 100% | <100% | 40% |
| Attendance at Wellness interventions | Attendance | Moderate | 100% | <100% | 40% \* |

| **No.** | **Wellness primary service offering** | **Requirement** | **Problem Classification** | **Service Level Target** | **Service**  **Level Failure** | **% of amount at Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **3** | **Programme Management and Coordination** | | | | | |
| Implementation Plan | As per Performance Schedule | Critical | 30 days | <30 days | 80% |
| Training Sessions/Workshops | Facilitate as requested by SARS | Moderate | 14 days | >14 days | 60% |
| Attendance of all Scheduled Meetings and interventions | As per Performance Schedule | Critical | 100% | <100% | 80% |
| Attendance of *ad hoc* meetings | Attendance – with adequate notice | Moderate | 100% | <80% | 60% |
| Attendance of performance reviews by SARS | As per Performance Schedule | Critical | 100% | <100% | 80% |
| Complaints procedure | As per Performance Schedule | Minor | 100% | <100% | 40% |
| Substitution of staff procedure | As per Performance Schedule | Moderate | 100% | <100% | 60% |
| Programme Management | Uninterrupted Services | Moderate | 100% | <100% | 60% |
| Reports | 100% submission of required Reports | Critical | 100% | <100% | 80% |
| Report format | As per prescribed format | Moderate | 100% | <90% | 60% |
| Performance monitoring | On-going | Critical | 100% | <100% | 80% |
| Performance reports | Monthly | Critical | 100% | <100% | 80% \* |

| **No.** | **Executive Wellness primary service offering** | **Requirement** | **Problem Classification** | **Service Level Target** | **Service**  **Level Failure** | **% of amount at Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **1** | **Executive Wellness Programme** | |  |  |  |  |
|  | Set-up full day assessment | Within 5 (five) days of receiving SARS’s request. | Moderate | 5 days | >5 days | 80% |
|  | Adherence by third party service providers’ to agreed assessment appointments | Facilitate as requested by SARS | Moderate | 95% | <95% | 80% |
|  | Comprehensive assessments should be completed in one full day | As per Performance Schedule | Moderate | 95% | <95% | 80% |
|  | Provide a detailed personal report to the employee | Within 14 (fourteen) days of completion of assessments. | Critical | 14 days | >14 days | 90% |

| **No.** | **Wellness primary service offering** | **Requirement** | **Problem Classification** | **Service Level Target** | **Service**  **Level Failure** | **% of amount at Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **2** | **Programme Management and Coordination** | | | | | |
| Conduct a needs assessment and Project Plan | As per Performance Schedule | Critical | 30 days | <30 days | 80% |
| Attendance of all Scheduled Meetings | As per Performance Schedule | Critical | 100% | <100% | 80% |
| Attendance of *ad hoc* meetings | Attendance – with adequate notice | Moderate | 100% | <80% | 60% |
| Attendance of performance reviews by SARS | As per Performance Schedule | Critical | 100% | <100% | 80% |
| Complaints procedure | As per Performance Schedule | Minor | 100% | <100% | 40% |
| Substitution of staff procedure | As per Performance Schedule | Moderate | 100% | <100% | 60% |
| Programme Management | Uninterrupted Services | Moderate | 100% | <100% | 60% |
| Reports | 100% submission of required Reports | Critical | 100% | <100% | 80% |
| Report format | As per prescribed format | Moderate | 100% | <90% | 60% |
| Performance monitoring | On-going | Critical | 100% | <100% | 80% |
| Performance reports | Monthly | Critical | 100% | <100% | 80% \* |

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| **ESCALATION PROCEDURES** |

Service Provider’s Escalation Channels

|  |  |  |  |
| --- | --- | --- | --- |
| Position and Problem Level | Name | Email Address | Contact Number |
| Client Relationship Manager |  |  |  |
|  |  |  |  |
|  |  |  |  |

SARS’s Escalation Channels

|  |  |  |  |
| --- | --- | --- | --- |
| Position and Problem Level | Name | Email Address | Contact Number |
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