

## Foreword

The Government of the Republic of South Africa has committed itself to modernising public service management processes for effective delivery and improved citizen satisfaction. To this end, the Department of Public Service and Administration (DPSA) developed and published Employee Performance Management Development System (EPMDS) policy and revised the SMS PMDS policy in 2006.

Eastern Cape Provincial Government in turn has approved the Provincial Chapter of challenges faced by the Provincial Administration, whilst at the same time integrating requirements of evidence based reporting into the policy.

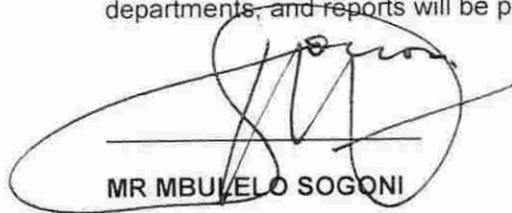
It is crucial for Provincial Administration to strengthen policy governance for PMDS to be utilized as a tool to measure employee performance and to develop the core management competencies for Departments to deliver on their mandate.

The revised policy has been amended to:

- Regulate performance planning, implementation, mentoring and reporting by making it part of all SMS agreements
- Strengthen PMDS administration to ensure that all information is loaded on PERSAL system
- Strengthen conformance management to take action on policy noncompliance especially around individual development and poor performance
- Minimize ambiguity in the policy around aspects of Job Evaluation, Sick Leave, Maternity Leave, amongst others.
- Empower the PMDS committees to manage policy governance by assessing performance contracts quality and alignment with the Departmental APPs as well as to assess overall performance half yearly.

In order to maximise the benefits of this revised policy, it is therefore incumbent upon departments to strengthen their capacity to implement the EPMDS policy by appointing PMDS coordinators as facilitators to drive implementation, monitoring, evaluation and reporting on the policy.

Henceforth, The Office of the Premier will closely monitor EPMDS policy implementation in departments, and reports will be presented to the Executive Council at regular intervals.

  
MR MBULELO SOGONI  
DIRECTOR-GENERAL

26 Mar 2012

DATE

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## **Definitions & Acronyms**

<b>Term</b>	<b>Definition</b>
Assessment cycle	The dates for individual Performance Management assessment.
Operational plan	Operational plan of action developed for a period of one year.
Generic Assessment Factor	An element used to describe and assess performance, taking into consideration knowledge, skills and attributes
Key performance areas	End results of what we need to deliver within a financial year
Output	A concrete achievement that contributes to the achievement of a longer-term outcome or goal.
Performance agreement/Performance contract	Links individual performance plan to the organizational goals and an analysis of what will be required to achieve effective performance.
Performance Review	A progress review is a structured and formal process in which the staff member receives feedback on his/her performance, thereby providing an opportunity for improvement before the annual review takes place. It also provides an opportunity for the written amendment of Performance Management agreements.
Performance plans	Performance plans contain the essence of the performance management agreements, i.e. the performance agreements, workplan agreements and standards framework agreements.
Personal development plan (PDP)	A personal development plan outlines the areas in which improved levels of competence are required, and a process for ensuring the improvement.
Performance Management cycle	The Performance Management cycle describes the three phases through which the Performance Management (PM) moves — planning and contracting, performance review and annual performance assessment. It should coincide with the financial year — 1 April to 31 March.

Term	Definition
Performance Management framework	The Performance Management framework describes the various components of the Performance Management system and includes mechanisms for linking departmental plans to provincial strategic goals, and individual performance plans to departmental plans.
Rating scale	The rating scale is a standard scale for rating employees' performance in relation to specific categories of performance. These are often used to introduce a degree of comparability into systems for performance assessment.
Standards framework agreement (SFA)	An SFA reflects the linking of an individual standards framework to the unit and organizational goals and an analysis of what will be required to achieve effective performance. It is used to assess the performance of professional staff and those involved in routine or process-oriented work.
Strategic goals	Strategic goals are the outcomes or concrete positive results that the province as a whole wishes to achieve.
Strategic objectives	Strategic objectives are statements that concretely and specifically describe results to be achieved and serve as a basis for clarifying intentions, for planning, for guiding activity, and for assessing achievement.
Targets	Targets are agreed upon quantitative or qualitative amounts that support performance indicators in describing the optimal level of performance required.
Vision	Vision refers to the long term impact desired by an organization.
Workplan agreement	A workplan agreement reflects the linking of an individual workplan to the organizational goals and an analysis of what will be required to achieve effective performance. It is usually used for staff that may have staff management responsibility with limited budgetary control, or project related tasks.

## **Acronyms**

<b>Term</b>	<b>Definition</b>
CMC	Core Management Criteria
DPSA	Department of Public Service and Administration
EPMDS	Employee Performance Management and Development System
GAF	Generic Assessment Factor
HoD	Head of Department
HR	Human Resources
HRM	Human Resource Management
KPA	Key Performance 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
WPA	Workplan Agreement

# **PART 1**

## **POLICY**

# **1 Introduction**

## **1.1 Background to the Performance Management and Development System policy**

The Eastern Cape Provincial Administration (ECPA) started to pilot individual Performance Management and Development System (PMDS) in 5 Departments toward the end of 2000 financial year. It became mandatory for all Departments to implement PMDS and a policy was developed in 2003 to regularize performance management.

The ECPA PMDS policy was revised in 2005 and implemented in 2006. Heads of Departments, through the Provincial Management meeting, requested hands on support from Office of the Premier (OTP) and a twelve month PMDS hands-on support project was granted and rollout in 2008.

### **Support provided to Departments**

OTP TODCOS capacitated all Departmental SMS and MMS on validation of performance agreements and management of performance annually for the past 8 years to ensure PMDS policy is implemented.

Furthermore, a PMDS manual was developed with step by step guides to ensure standardization of policy implementation.

Moreover, an industrial theatre PMDS play was developed to engage the lower level staff to ensure that performance management was marketed to all staff across all Departments.

### **PMDS implementation results across Departments**

Individual performance has not yet become part the Provincial Administration's management practices as revealed by the 2010 PMDS rapid assessment survey results as outlined below:

- The Provincial Annual Performance Planning (APP) process stops at operations planning.

- Departments seldom completes the planning cycle which must run up to individual performance planning.
- The omission of individual performance planning affects both Workplace Skills Plan (WSP) development process which builds competencies and the annual budgeting process.
- Furthermore, individual performance are not managed effectively by supervisors hence performance agreements, reviews and appraisals are always signed past the stipulated policy due dates or in some cases never gets completed
- The administration of the PMDS policy, especially management of PMDS documents such as Performance Agreements, Personal Development Plans (PDP's), Review and Appraisal forms are not documented on the PERSAL system and are not stored in line with the archival principles.
- Evidence based reporting is seldom practices in all Departments which is not aligned to the new evidence based reporting required by the Auditor General.
- No action taken by Departments on PMDS policy non conformance

The above findings were identified as root causes relating to insufficient policy governance.

## **1.2 Purpose**

The purpose of this policy revision to strengthen policy governance for PMDS to be utilized as a tool to measure performance and to develop the core competencies of Departments to deliver on its mandate. The following aspects were included into the new policy to:

- Regulate:
  - Performance planning, implementation, mentoring and reporting by making it part of all SMS agreements
  - Strengthen PMDS administration to ensure that all information is loaded on PERSAL system
- Strengthen conformance management to take action on policy noncompliance especially around individual development and poor performance
- Minimize ambiguity in the policy around aspects of Job Evaluation, Sick leave, Maternity leave amongst other gray areas

- Strengthen the Legal power of the PMDS committee to manage policy governance by assessing performance contracts quality and alignment with the Departmental APP's and assessing overall performance half yearly.

The new additions are contained in section 4.2 under the non-negotiable . The EPMDS Handbook is being amended and the main changes are to the simplified formats and inclusion of isiXhosa and Afrikaans versions for lower level staff. The inclusion of the DPSA guidelines into the policy is crucial to enhance the current Eastern Cape Provincial Administration (ECPA) EPMDS procedures.

## **1.2. Performance management**

Performance management is a process of harnessing all available resources (human and material) within an organization and ensuring that these perform to the maximum, in order to achieve the desired results. Performance management involves building processes, systems, culture and relationships that facilitate the achievement of organizational objectives; it is therefore aimed at both individual and organizational performance.

The Public Service Regulations, 2001, as amended, requires Departments to develop a performance management system in order to manage performance in a consultative, supportive and non-discriminatory manner. This should result in enhanced organizational efficiency and effectiveness, accountability for the use of resources and the achievement of results.

The primary orientation of performance management is developmental, but must allow for an effective response to consistent inadequate performance and for recognizing outstanding performance. Performance management procedures should minimize the administrative burden on supervisors while maintaining transparency and administrative justice.

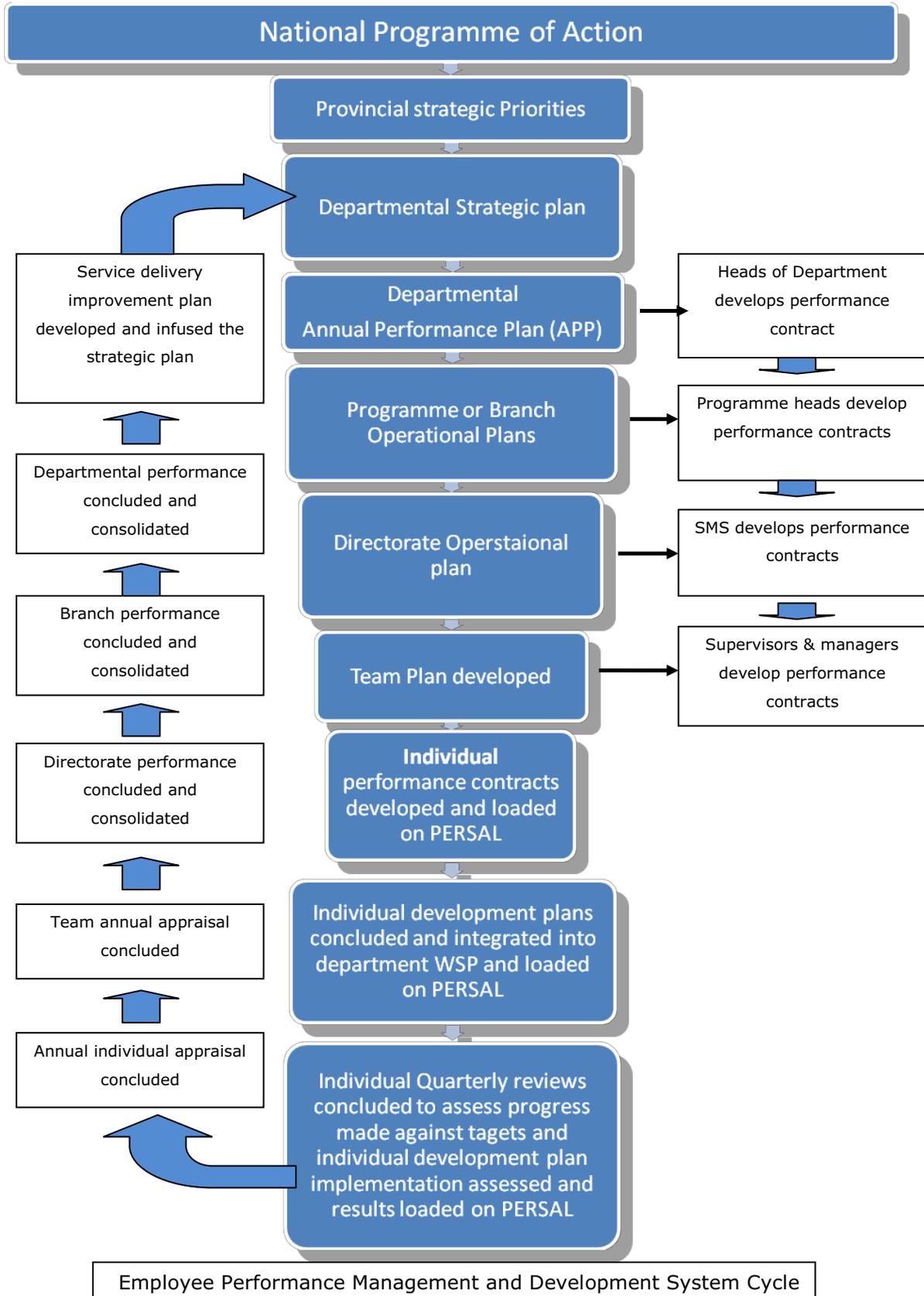
The system focuses on equal participation in performance management by the supervisor and the employee. It is developmentally oriented, encourages coaching, regular feedback through progress reviews and annual appraisals, in order to effectively and efficiently deliver on a Department's strategic goals and Provincial / Government priorities. This system is a means to an end, and its success will be measured by the extent to which it contributes towards creating conditions for effective performance and overall contribution to service delivery.

### **1.3. The performance management framework**

The PM system provides a framework to link departmental objectives to the overall strategic goals of the province. It also shows us how we can link departmental performance to individual performance.

The objectives contained in departmental plans should contribute to the achievement of provincial strategic goals. In turn, individual performance plans should contribute to the achievement of departmental objectives.

This is shown in Diagram 1 on the next page:



### **1.3.1. Strategic Level Components**

The departmental vision and its strategic focus, as described in the strategic plan, should link directly to the strategic goals of the province. If the linkages cannot be traced, the province runs the risk of not being able to meet its commitments. The departmental strategic objectives should provide a clear indication of how the goals will be achieved.

The strategic objectives should reflect consideration of the following:

- The department's clients and the services to deliver,
- Priority services for the next three years,
- Cost of the provision of services especially the prioritized services,
- Alignment of the budget to the strategic priorities,
- Internal improvements as an organization to be able to improve performance,
- Systems, processes and resources needed to be more effective,
- Identification of innovative approaches to service delivery or organizational performance to pilot and test
- Budget allocations for testing new approaches

### **1.3.2. Organizational Level Components**

The departmental annual performance plan is an annual plan of operation and is therefore focused on outputs and deliverables. It describes the outputs or deliverables that the department must produce in order to achieve its strategic objectives.

The departmental business plan is cascaded through the department in the form of branch and directorate business plans. These describe in greater detail how deliverables, specific to a particular branch or directorate, will be achieved. The plans should clearly reflect inter-linkages with other directorates and how responsibility is allocated between them. Resource requirements or enabling conditions that must be in place should also be clearly reflected.

Team or unit workplans are optional components of the PM framework and should only be used where it makes sense to do so, such as a team in a district or regional office. Plans should

reflect the level of detail required according to the nature of the team’s responsibility. Plans must be very focused on the task for which the team is accountable.

### 1.3.3. Individual Level Components

Departments, in their implementation of the EPMDS, should utilize individual performance management agreements as tools in the process of performance management. These agreements must be drawn up and signed each assessment year. This is a critical step in the first phase of the performance agreement cycle. Employees, who are joining the department for the first time, should within one months draw up performance management agreements. Individual agreements are the basis upon which performance will be measured for individual employees.

The three performance management tools are as follows:

TOOL	APPLICABLE TO	KEY ASPECTS
Performance Agreement	All personnel at levels 13 to 16	Performance is assessed on the basis of outputs and not activities
Workplan Agreement	All personnel at levels 6 to 12	Performance is assessed in terms of actions required to complete the set tasks
Standards framework agreement	All personnel at levels 3 to 5. Some categories of professional staff may require standards framework	Performance is assessed against general performance standards. Performance standards for professionals are determined by their professional bodies.

## **2 Regulatory framework**

### **2.1 Statutory framework**

#### **2.1.1 Acts of Parliament**

- The Constitution, 1996
- The Public Service Act, 1994
- The Labour Relations Act, 1995
- Skills Development Act, 1998
- Basic Conditions of Employment Act, 1997
- Employment Equity Act, 1998
- Public Finance Management Act, 1999
- The Promotion of Administrative Justice Act, 2000

#### **2.1.2 White Papers**

- Human Resource Management, 1997
- Transforming Public Service Delivery, 1997
- Public Service Training and Education, 1998
- Transformation of the Public Service, 1995
- Affirmative Action in the Public Service, 1998

#### **2.1.3. Regulations**

- Public Service Regulations, 2001
- Treasury Regulations, 2001

#### **2.1.4. Collective Agreements**

- PSCBC Resolution 13 of 1998 (performance agreements)
- PSCBC Resolution 3 of 1999 (performance related financial rewards and incentives)
- PSCBC Resolution 7 of 2000 (rank/leg promotions & pay progression system)
- PSCBC Resolution 9 of 2000 (performance agreements, SMS)
- PSCBC Resolution 2 of 1999 (disciplinary code)
- PSCBC Resolution 10 of 1999 (incapacity code)

### **3 Objectives**

#### **3.1. Objectives of the performance management system are to:**

- provide a systematic framework for performance planning, performance monitoring and review and performance appraisal.
- promote a shared sense of responsibility amongst staff for the achievement of strategic goals and objectives.
- promote a culture of transparency and participation through open dialogue about goals and the achievement thereof, personal development, and performance improvement.
- provide a framework of assessment for identifying good and poor performance and to act appropriately through development and the recognition and rewarding of good performance.
- align employee's performance to the departmental strategic and operational goals.
- encourage managers to effectively create conditions for staff to perform optimally.

## 4 Principles, Values & Philosophy

### 4.1. The Eastern Cape EPMDS is founded on the following principles:

- The EPMDS is to be uniformly implemented across all departments and shall apply to all employees.
- The EPMDS is fundamentally developmental in nature and, as such, is not a punitive tool. Integral to the EPMDS is a mechanism for improving poor performance.
- The main objective of the EPMDS is to improve service delivery through enhanced management of performance.
- The integration of provincial policies and departmental plans form the basis upon which the EPMDS is designed, implemented and managed.
- The EPMDS allows each member of staff to align his/her deliverables and/or activities with the departmental and provincial goals and strategies.
- The tools built into the annual performance management cycle allow for transparency, accountability, fairness, equity and realignment of departmental, team and individual plans to provincial goals.
- The EPMDS provides clarity to all employees on their role in the achievement of departmental and provincial goals.

### 4.2. Non-negotiables of the Eastern Cape EPMDS

The success of the EPMDS is dependent on the following non-negotiables outlined as mandatory elements below:

No.	Mandatory elements
1.	All Eastern Cape Public Administration employees shall use the Eastern Cape Provincial Administration (ECPA) Employee Performance Management and Development System (EPMDS ) policy as the overriding document to manage performance of all staff.
2.	Annual Performance Contracts shall be used as an agreement for capturing and measuring performance against outputs. The annual performance contract will form the basis for performance incentives such as pay progression and bonuses for employees meeting the documented outputs.
3.	All employees shall complete Performance Contracts within <b>one month</b> of assuming a new position
4.	Format of Performance Contracts must be used as per the prescribed templates in the ECPA EPMDS policy

No.	Mandatory elements
5.	The Annual Performance Contracts shall be based on the Departmental Strategic and Annual Performance Plans (APP's) and Operational Plans in a cascading manner to align resources with performance targets for a particular financial year.
6.	Performance of an employee shall be reviewed on a quarterly basis for all four quarters of a financial year which must be accompanied with quarterly portfolio of evidence (reports, letters, invitations, memo's, attendance registers, meeting minutes, any other tangible evidence) to track performance against targets and identify developmental needs.
7.	One standard assessment instrument will be used which includes the electronic calculator on which to base decisions for probation, rewards, promotion and skills development
8.	All employees must have a Personal Development Plan aligned to the skills needed by an employee to perform his/her duties to be included as part of the performance contract which must be cascaded into the departmental workplace skills plan for implementation every financial year
9.	Criteria upon which the performance of employees must be assessed shall consist of two components –a weighting of 70:30 principle allocated for Key Performance Area (KPA's) and Generic Assessment Factors (GAF's) respectively
10.	The Performance Contract shall address, at minimum, the following:
	<ul style="list-style-type: none"> <li>- Personal particulars of the employee</li> <li>- Description of the purpose of the Key Performance Areas (KPA's)</li> <li>- Identification of the KPA's their weighting and the standards for measuring them</li> <li>- Agreement on which GAF's are relevant, their weighting and the standards for measuring them</li> <li>- Agreement of the Personal Development Plans (PDP's)</li> <li>- Dates of performance review's and formal performance assessments of the employee's performance for all four quarters</li> <li>- Dispute Resolution and mechanism to resolve them</li> </ul>
11.	Dates for consideration of performance related rewards as per the EPMDS policy as per points 25, 26 and 27
12.	All employees are eligible for cost of living adjustments as per the basic conditions of employment
13.	Departments shall use a standard rating scale (level 1 to 5) when assessing performance
14.	All employees are eligible to be considered for performance related pay increase (package, progression) on an annual basis provided that their performance is evaluated to be fully effective as per points 25, 26 and 27.
15.	Performance rewards may only be awarded to employees who have completed and assessment period of 12 months from 1 April to end March.
16.	Departments may not spend more than 1.5% of their total remuneration budget on performance rewards (bonuses)

No.	Mandatory elements
17.	Departments must develop an annual Performance Management Plan aligned to the process plan in Annexure BB attached. Departments shall submit monthly statistical reports (see Annexure A (1, 2, 3) attached) to the Office of the Premier (OTP) to assess the policy implementation. HOD's must submit quarterly analytical reports on the implementation of EPMDS policy to Executive Council (EXCO) as per the Eastern Cape legal and regulatory Compliance Management and Accountability Framework.
18.	The OTP EPMDS transversal team will monitor EPMDS policy implementation using the Personnel Salary system (PERSAL) monthly EPMDS exception report downloads, as per PERSAL Notice number 280, to report to EXCO on compliance to EPMDS policy from a Provincial Administration's perspective
19.	Annual assessment will only be considered when accompanied by a performance contract, personal development plan (PDP), implementation progress reports and 4 quarterly reviews with performance progress reports as portfolio of evidence and will be done once department performance or programme performance has been assessed.
20.	Senior Managers must ensure quality and the alignment of performance contracts with the directorate plans and are expected to validate performance contracts of all employees on the payroll of the respective unit
21.	Internal procedures should be exhausted when disagreements arises during the EPMDS policy implementation for employees before the grievance procedure is followed
22.	Heads of Departments are responsible for successful implementation of EPMDS and must therefore report as per the compliance management and assessment framework of the province on the EPMDS policy implementation as required
23.	The normal distribution curve as outlined in the EPMDS policy must be used by supervisors, managers and PM committees as a guide to management of the 1, 5% threshold of the salary bill not to be exceeded.
24.	All ECPA employees must participate in the <b>implementation</b> of the EPMDS Policy.
25.	<p>Qualifying criteria for awarding performance incentives and rewards such as bonus and pay progressions are performance rating of 4 and above:</p> <ol style="list-style-type: none"> <li>a) All aspects of point 27 must be adhered to.</li> <li>b) Employees engagement in a 12 months cycle from 1 April to 31<sup>st</sup> March in a financial year</li> <li>c) Employees must be on the same salary level for the performance cycle from 1 April to 31<sup>st</sup> March in a financial year</li> <li>d) Employees who qualify for bonus but do not qualify for pay progression are: <ol style="list-style-type: none"> <li>I. employees acting in a higher position for the entire performance cycle from 1 April to 31<sup>st</sup> March and assessment must be based on the previous salary level;</li> <li>II. employees salary levels affected by post elevation through JE during performance cycle from 1 April to 31<sup>st</sup> March and assessment must be based on the previous salary level;</li> </ol> </li> </ol>

No.	Mandatory elements
26.	Qualifying criteria for awarding pay progression are: <ol style="list-style-type: none"> <li>1. Performance is fully effective with a rating of 3 and above</li> <li>2. Criteria in point 27 are fully met</li> </ol>
27.	<b>Management of the EPMDS cycle (Non-negotiable)</b> <ol style="list-style-type: none"> <li>A. All employees must sign performance agreements/contracts on or before 30 April / by the 30<sup>th</sup> of April</li> <li>B. All performances assessments (appraisals) for the previous performance management cycle should be completed by 30 April annually</li> <li>C. Moderation of appraisals for the previous performance management cycle should be completed by 30 June</li> <li>D. All employees who fail to complete a signed performance agreement by 30 June will be disqualified from receiving any performance rewards and will be disciplined for policy noncompliance</li> <li>E. Performance Reviews – must be done quarterly in writing during the EPMDS cycle</li> <li>F. Each performance review must be done by the 30th of the month following the quarter that is under review. Therefore four (4) reviews must take place in an EPMDS cycle.</li> <li>G. The appeals procedure must be clarified to staff members at the contracting phase of the EPMDS cycle</li> <li>H. Grievances in respect of contracting are to be addressed in terms of the grievance procedure</li> <li>I. All staff must have job descriptions.</li> <li>J. All performance management related information such as Performance Agreements, PDP's, performance reviews and performance appraisals must be captured on PERSAL to ensure data integrity</li> </ol>
28.	The HOD as the accounting officer and the designated employer to implement the EPMDS reserves the right to devise mechanisms that will ensure 1, 5% of the salary bill is not exceeded
29.	The HOD as the accounting officer and as the designated employer to implement the EPMDS reserves the right to request supervisors to adjust performance rating of individuals when: <ol style="list-style-type: none"> <li>1. Performance of individuals are not aligned to the expected targets as outlined in the performance contracts</li> <li>2. Performance of units are not aligned to its related operations plans</li> <li>3. Performance of programmes are not aligned to its related performance plans</li> <li>4. Performance of the department are not aligned to its related performance plans</li> </ol>
30.	The performance management committees reserve the right to request supervisors to adjust performance rating of individuals when: <ol style="list-style-type: none"> <li>1. Employees were called to state their case and make necessary recommendations</li> <li>2. Performance of individuals are not aligned to the expected targets as outlined in the performance contracts</li> <li>3. Performance of units is not aligned to their related operations plans</li> <li>4. Performance of programmes are not aligned to its related performance plans</li> <li>5. Performance of the department are not aligned to its related performance plans as well as when the related performance information (evidence) are not supporting the actual rating</li> </ol>

No.	Mandatory elements
31	Qualifying criteria for awarding performance incentives for people with special cases such as sick leave and maternity leave: <ol style="list-style-type: none"> <li>a) Employees on maternity leave for not more than three months during a performance cycle will qualify for pay progression :               <ol style="list-style-type: none"> <li>i. if their performance was rated 3 and above for 3 quarters out of the 4 quarters of a performance management cycle</li> </ol> </li> <li>b) Employees who were on sick leave for not more than three month during a performance cycle will qualify for pay progression :               <ol style="list-style-type: none"> <li>i. if their performance was rated 3 and above for 3 quarters out of the 4 quarters of a performance management cycle</li> </ol> </li> </ol>
32	Failure to comply with the policy requirements as outlined above will lead to disciplinary action.
33	Departmental PM committees will meet in October and April each year to assess the department's performance and to determine compliance to the EPMDS policy.

## 5 Scope of applicability

The principles and framework of Performance Management in the Eastern Cape have been developed as a holistic approach to departmental performance management. Hence these policy measures are applicable to employees on salary levels 1 to 12 of the ECPA, subject to the relevant regulatory prescripts.

### 5.1. Areas of responsibility in the province

In line with the Public Service Act, 1994, relevant regulations, and collective bargaining agreements, the Province of the Eastern Cape has determined the following areas of responsibility for the implementation, monitoring, maintenance and development of the EPMDS:

- The Premier has the responsibility to establish provincial policy and require the implementation of an EPMDS that links individual performance with organization goals.
- The Executing Authorities, in consultation with their departments, are required to implement the EPMDS, within their Departments, in line with the Provincial policy of a single EPMDS for the Province.
- The Director General, together with the Heads of Departments, is responsible for ensuring that EPMDS operates across all departments and ensuring that the principles, structures and processes of the EPMDS are communicated to all employees.
- Office of the Premier, holds transversal responsibility for ensuring the promotion of compliance by all departments with the EPMDS, and its maintenance and development.

The Public Service Commission, in its monitoring capacity, is charged with overseeing the implementation of the EPMDS within the Province.

Immediate managers and supervisors are responsible for contracting and reviewing of performance of their subordinates.

## **6 Procedures**

### **6.1. Integration of departmental plans and processes**

The foundation upon which the performance management system is based is the integration of departmental plans and processes and, the alignment of the individual departmental plans with the strategic goals of the province as a whole. Integrated planning processes are based on linkages between long-term strategic level goals and annual operational level outputs required for achieving the long-term goals of the department and the Province as a whole. Once analysis has been completed at a strategic level through the integration of plans, the EPMDS is operationalised at an organizational or departmental and individual level. Annual business plans are developed at departmental, branch and directorate level.

### **6.2. The performance management cycle**

The performance management cycle describes the various phases that the system moves through over the course of one year.

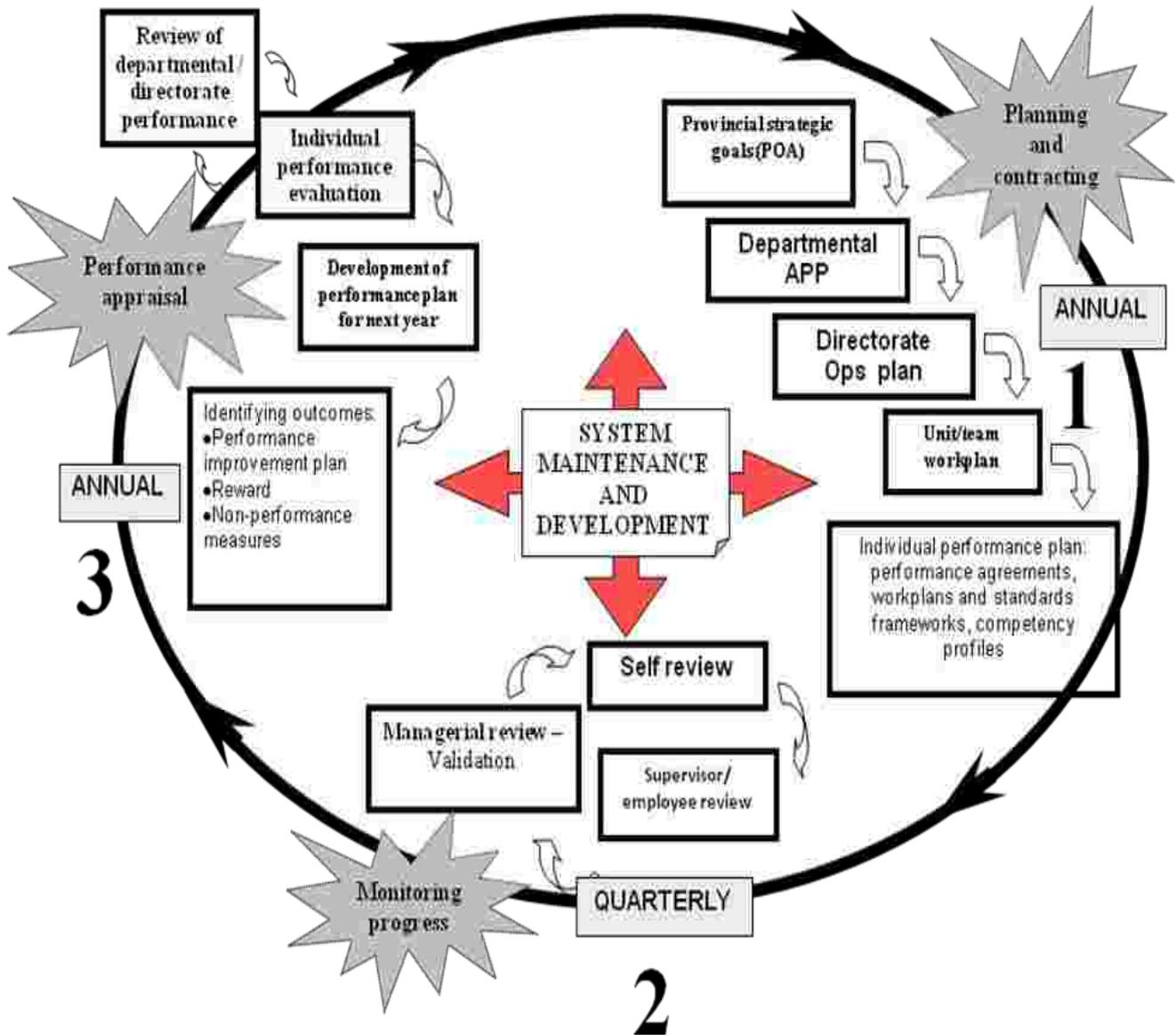
There are three main phases:

- Planning and contracting;
- Monitoring progress;
- Evaluating performance.

In addition, the PM cycle incorporates system maintenance and development.

The cycle is shown in Diagram 2 on page 19. A detailed description of each phase follows after the diagram.

Diagram 2 – Performance Management Cycle



### 6.3. Description of Performance Management Cycle

PHASE	COMPONENT	DESCRIPTION
Performance Planning and Contracting	Provincial Strategic Goals/Programme of action	The provincial strategic goals describe what the province wishes to achieve which is outlined in the programme of action (POA)
	Departmental Annual Performance Plan (APP)	The Annual Performance Plan describes how the department aims to achieve its strategic objectives through specific deliverables. It gives guidance to the work of the department for the year under review.
	Branch Annual Performance Plan	Annual Performance Plan needs to be in place for each branch. These outline the areas of performance of each branch and which deliverables they will be contributing towards. They describe the specific deliverables to be attained for the period under review.
	Directorate Operational (Ops) Plan	Operational plans need to be in place for each directorate. They perform the same function as those of the branch.
	Unit/ team workplan	Functional units and teams (which may exist across directorates) should develop workplans that outline the specific actions that they will be undertaking over the next year.
	Individual plans	<ul style="list-style-type: none"> <li>• Each individual within the department, from the level of HOD downwards, will have a plan that outlines the requirements for their performance. This may take a number of forms, depending on the role that the person plays within the department. The various planning tools, the performance plan, workplan and standards framework must be signed by both supervisor and supervisee.</li> <li>• Each individual plan is accompanied by a competency profile, used largely for skills development.</li> </ul>

PHASE	COMPONENT	DESCRIPTION
Quarterly Performance review and reporting	Self Review	Self review is a structured and formal progress review process by which the staff member completes an individual performance review quarterly and documents the rating which is supported by a portfolio of evidence.
	Supervisor/ employee performance review	In preparation for performance review, both supervisor and employee should have collected and assessed performance information for the quarter under review, to discuss whether or not targets been met. At this point generic assessment factors (GAF) and key performance areas (KPA) will be discussed and will be rated. Satisfactory and unsatisfactory performance gaps must be managed. Personal development plan must be revisited and aligned.
	Managerial review – Validation	A structured and formal process where individual performance is assessed and compared against directorate/branch/departmental performance, providing an opportunity for improvement before the annual performance review takes place.
Annual appraisal (performance evaluations)	Individual performance appraisal/ evaluation	Performance appraisal is the annual process of assessing performance. It is:- <ul style="list-style-type: none"> <li>• Part of a broader process of linking individual performance management and development to organisational goals;</li> <li>• Only one aspect of managing and developing the performance of individuals;</li> <li>• A cyclical and iterative process aimed primarily at performance improvement through ongoing learning and development.</li> </ul>
	Review of departmental / directorate performance	A structured and formal process where individual performance is assessed and compared against directorate/branch/departmental performance, providing an opportunity for improvement.
	Development of performance plan for next year	A personal development plan outlines the areas in which improved levels of competence are required, and the process for ensuring that improvement takes place.

## 7.1.1 PERFORMANCE PLANNING AND AGREEMENT

Performance management at the employee level is an on-going interactive process between an employee and the supervisor about the employee's performance. Face to-face on-going communication is an essential requirement of the process and covers the full performance cycle. For effectiveness of operation the cycle is divided into integrated phases or elements of :

- Performance planning and agreement
- Performance monitoring, developing and control
- Performance assessment or appraisal and
- Managing the outcomes of assessment.

**7.1.2** The performance cycle is a -month period for which performance is planned, executed and assessed. The cycle must be aligned to the same period as the Department's annual business plan i.e. st April to st March of the following year. The -month cycle is also linked to the financial year for the purpose of planning, pay progression and other performance related incentives such as performance awards or cash bonuses. The probation cycle is however linked to the appointment date of jobholders

**7.1.3** This is the first and most important step in the performance management cycle, as it forms the foundation for the management of individual performance.

Performance planning is derived from the Business Plan, taking into account the requirements of all other plans. In addition, the PMD system needs to be integrated with other human resource management practices such as training and development and career planning.

The PMDS system thus provides a framework to link departmental objectives to the overall strategic goals. It also allows for linking departmental performance to individual performance. The objectives contained in departmental plans should contribute to the achievement of Provincial strategic goals. In turn, individual performance plans should contribute to the achievement of departmental objectives. This linkage is facilitated by the performance agreement, work plan and the performance development plan of each individual.

## 7.2 The Agreement

(SMS Members refer to chapter of the SMS Handbook)

The agreement is the cornerstone of performance management at the individual level. All employees are required to enter into and sign agreements by 30 April, after the start of the new cycle, and within two months after starting a new job. Departmental and component performance measures should inform the development of the individual employee's agreement. The format of the agreement applies to all levels of employment in the department and is based on the department's strategic and annual business plan, individual component business plan and the employee's job role/job description.

Note: ECPA refers to three kinds of agreements

- Performance Agreement (SMS)
- Work Plan Agreement (salary level 6-12)
- Standards Framework Agreement (salary level 1 – 5 and some categories of professional staff) The content of an agreement must include the following (refer to Annexure A):

- Standards Framework Agreement (salary level 1 – 5 and some categories of professional staff) The content of an agreement must include the following (refer to Annexure A):
- Employee data such as the Persal number, job title and level etc. as well as a clear description of the employee's job role, with emphasis on the main objectives, job purpose and the relevant KPAs and CMCs/GAFs.
- A Performance Plan containing the KPAs, outputs, activities and resource requirements.
- A Personal Development Plan (PDP) that identifies the competence and other developmental needs of the employee, as well as methods to improve these.

If an employee changes jobs during the performance cycle, a new agreement must be entered into for the new role. This also applies to changing jobs that are at the same level. The performance assessment should take both periods of work into consideration. The agreement, especially the performance plan, should be re-negotiated if the employee has not, for any reason, been in the job role for three months or more, for example, maternity, ill health, study, secondment, or travel; unless this absence was built into the original agreement. An agreement without a completed and signed Performance Plan should be regarded as invalid and of little use in the performance management process.

### 7.3 The Work Plan/Performance Plan

While the agreement is the cornerstone of performance management at the individual level, the Work Plan/Performance Plan contains the essence of the agreement (see the Guide to the Work Plan and template in Annexure A).

Note: ECPA refers to two kinds of Work Plans

- Performance Plan (SMS)
- Work Plan (level 1-12)

#### 7.3.1 SMS Members

(Refer to Chapter of the SMS Handbook)

The criteria for assessing the performance of an SMS member consists of Key Performance Areas (KPAs) and the Core Management Criteria (CMC) which are in the PA. Each SMS member must be assessed against both areas. KPAs account for 80% of the final assessment, and the CMC make up the other 20% of the assessment score.

**Key Performance Areas (KPAs)** describe what is expected from a member of the SMS in a particular role. A KPA is an area of a job in which performance is critical for making an effective contribution to the achievement of departmental strategies, goals and objectives and focuses on actions and activities. The agreement template provides for the inclusion of a work plan that describes the KPAs and criteria for their measurement.

**Core Management Criteria (CMC)** is elements of knowledge, skill, and/or attributes directly related to effective performance in a job. The eleven CMC are supplementary to the specific performance criteria for any particular job. From the list below, the supervisor and member must agree on at least five CMC deemed to be most important for effective performance in that job. The eleven CMC are as follows:

- Strategic Capability and Leadership

- Programme and Project Management
- Financial Management
- Change Management
- Knowledge Management
- Service Delivery Innovation
- Problem Solving and Analysis
- People Management and Empowerment
- Client Orientation and Customer Focus
- Communication
- Honesty and Integrity

(Refer to SMS Handbook Annexure E for a detailed description and standards attached to each CMC)

For members of the SMS with managerial responsibilities the following three CMC shall as a minimum be included in their PAs:

- Financial management
- People management and empowerment
- Client orientation and customer focus (Batho Pele principles).

### **7.3.2 Employees on Salary Levels 1 to 12**

The criteria upon which the performance of an employee is assessed, consist of the Key Performance Areas (KPAs) and Generic Assessment Factors (GAFs) which are contained in the agreement. Each employee must be assessed against both areas. KPAs covering the main areas of work will account for 70% of the final assessment, while the GAFs make up the other 30% of the assessment score.

KPAs describe what is expected from an employee in a particular role and focus attention on actions and activities that will assist units and ultimately the department in performing effectively. In the work plan the KPAs should be broken down into outputs and activities with the resource requirements. These are used to indicate how the performance/achievement of the outputs and activities will be measured. KPAs can cover many different aspects of the work such as:

- Specific tasks or events which the employee must ensure are achieved
- Levels of performance which the employee should maintain and promote
- Actions or situations for which the employee is personally responsible for delivering a “unique contribution” and
- Duties and responsibilities related to advice and support given, for example, by specialists to clients.

Although there is no limit to the number of KPAs to be included in an agreement, they should preferably not exceed five. Each KPA should be broken down into measurable outputs and/or duties/responsibilities and activities. Each KPA should be weighted (in %) according to the importance it has in the employee’s/member’s job. The weighting of all the KPAs must add up to 100%.

Generic Assessment Factors (GAFs) are elements and standards used to describe and assess performance, and take knowledge, skills and attributes into consideration. The following GAFs are used to calculate 0% of the employee's assessment score. From this list, the supervisor and employee must agree on at least five out of the fifteen GAF's that are deemed to be most important for effective performance in that particular job (Refer to Annexure B for a Guide to Generic Assessment Factors):

- Job knowledge
- Technical skills
- Acceptance of responsibility
- Quality of work
- Reliability
- Initiative
- Communication
- Interpersonal relationships
- Flexibility
- Team work
- Planning and execution
- Leadership
- Delegation and empowerment
- Management of financial resources
- Management of human resources

Employees should be assessed against the selected GAFs applicable to their jobs. A professional may for example have no subordinates or may have no financial responsibilities. To adapt the GAFs to specific jobs and job contexts, the employee and supervisor will need to:

- Decide which of the GAFs apply to the employee's job
- Weigh each relevant GAF to show the extent to which it relates to the specific job. One way of jointly arriving at decisions on how important any specific GAF is to a specific job is to use the factors of impact and frequency. The greater the impact and frequency, the greater the importance that criterion is likely to have on the achievement of effective performance results. The weighting of all the GAFs should add up to 00%.

Each selected GAF is rated using the guide to generic factors for assessing performance (Refer to Annexure B).

#### **7.4 Personal Development Plan (PDP)**

The PA must include a Personal Development Plan (refer to Annexure A for an example). The purpose of the development plan is to identify any performance output shortfall in the work of the employee, either historical or anticipated, to relate this to a supporting GAF shortfall and then to plan and implement a specific set of actions to reduce the gap. The competence gap may relate to any of the GAFs or any other area of the employee's knowledge, skill and attribute requirement.

The PDP should include interventions relating to the technical or occupational “hard skills” of the job, through e.g. appropriate training interventions, on-the-job training, expanded job exposure, and job rotation. The employee and the supervisor are required to take joint responsibility for the achievement of the PDP with allocated accountability clearly recorded on the PDP agreement document.

## **8. PERFORMANCE MONITORING, REVIEW AND ASSESSMENT**

Performance monitoring and review is crucial to ensure that employees work towards the objectives and KPAs agreed to during the contracting phase. Performance review is conducted through a series of review discussions that form a continuous process of monitoring and assessing individual and/or team performance.

Performance assessment determines the overall level of performance of employees/teams during a particular year. Assessment is based on the achievement in relation to identified objectives and KPAs for the year. Performance assessments take place annually, at the level of the Department, the Branch, the Directorate, the Unit/Team, and the level of the individual.

### **8.1 Performance Monitoring**

Performance at the individual level must be continuously monitored to enable the identification of performance barriers and changes and to address development and improvement needs as they arise, as well as to:

- Determine progress and/or identify obstacles in achieving objectives and targets
- Enable supervisors and jobholders to deal with performance-related problems
- Identify and provide the support needed
- Modify objectives and targets and
- Ensure continuous learning and development.

### **8.2 Performance Review and Assessment**

(Review forms, Annexure A)

(SMS Members refer to chapter of the SMS Handbook)

Performance review meetings form an integral part of the monitoring process. These Reviews must take place quarterly in order to motivate and show an employee performance areas that need improvement. It also serves the purpose of modifying the agreement if required.

The supervisor should use every opportunity to discuss the employee’s performance, including component meetings, report backs, and informal discussions. In terms of PSR /VIII B.(b) an employee’s supervisor shall monitor the employee’s performance on a continuous basis and give feedback on performance.

The supervisor must complete a full and formal review, assign ratings to KPAs and CMC/GAFs, complete all documentation and have the document signed by the employee. This ensures that the employee has no doubt as to what work outputs have been produced.

**The supervisor should prepare the following:**

- Review of the previous period's performance
- Review of the targets for the next period
- Review of support needed and a draft of training and development needs
- Appropriate feedback from relevant role-players to support the process
- Review and update of all relevant documentation and
- Identified internal/external factors that have affected the jobholder's performance.

**The jobholder should prepare the following:**

- Review of the previous period's performance and identify possible new targets
- Supporting facts on performance delivered
- Factors that affected performance
- Support that will be needed as well as possible training and development needs and
- Feedback to be given to the supervisor.

The review should take the form of a one-on-one discussion between the supervisor and the employee. The content and outcomes of the quarterly review session and the end-of-year assessment should be signed by both parties. The periodic reviews at all levels must also include a discussion on the employee's development plan requirements. The final assessment discussion must take place at the end of the performance cycle and should coincide with the end of the financial year, i.e. March of each year. The result of the assessment discussion and evaluation are the assessment score of the employee's performance, that is the total of the individual KPA and CMC/GAF assessment scores.

**The assessment discussion should enable the following:**

- Give the employee an opportunity to assess own performance and contribution to the organisational goals and to identify areas of improvement
- Give the supervisor an opportunity to provide formal feedback on performance over the year and to identify ways of improving on what was achieved
- Give the employee an opportunity to contribute and respond to comments regarding personal performance and to identify issues beyond control that limit the achievement of results
- Give an opportunity for open discussion between the employee and supervisor during which achievements can be recognized fully and ideas for solving problems and actions agreed upon
- Give an opportunity to reach the overall assessment score based on the level of achievement attained in terms of the performance agreement and
- Give the supervisor and the employee an opportunity to agree on areas of personal development.

### 8.3 Performance Assessment Instruments

Two slightly different assessment instruments are applicable for the following categories of staff:

- SMS members, the instrument in the SMS Handbook, Chapter
- Non-SMS employees (Grades 1 to 5) (Refer to Annexure A)

The same assessment instrument is used to assess the performance of all individual KPAs and GAFs, as well as the overall performance of the employee. The overall performance assessment score should be used as the basis of deciding on career incidents for the employee. The performance review and annual assessment of employees will be based on the following categories of performance:

Rating	Category	Description
1	Unacceptable Performance	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against almost all of the performance criteria and indicators as specified in the Performance Agreement and Work Plan.
2	Performance Not Fully Effective	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Work Plan.
3	Performance Fully Effective	Performance fully meets the standard expected in all areas of the job. The review/assessment indicates that the jobholder has achieved as a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Work Plan.
4	Performance Significantly Above Expectations	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Work Plan and fully achieved all others throughout the performance cycle.
5	Outstanding Performance	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against all of the performance criteria and indicators as specified in the PA and Work Plan and maintained this in all areas of responsibility throughout the performance cycle.

#### Assessment of the achievement of results (KPAs) outlined in the Work Plan

- Each KPA must be assessed on the extent to which the specified standards have been met and outputs achieved
- An indicative rating on the five-point scale must be provided for each KPA
- This rating must be multiplied by the weighting given to the KPA during the contracting process in order to provide a score
- The rating calculator can be used to add the scores and calculate a final KPA score, based on the 70% weighting allocated to the KPAs.

### **Assessment of the GAFs**

- Each GAF must be assessed according to the extent to which the specified standards have been met
- An indicative rating on the five-point scale must be provided for each GAF
- This rating must be multiplied by the weighting given to each GAF during the contracting process in order to provide a score
- The rating calculator may then be used to add the scores and calculate a final GAF score, based on the 0% weighting allocated to the GAFs

### **Overall Rating**

- An overall score, in accordance with the assessment rating is provided as a summary of the outcome of the performance review for KPAs and GAFs
- The assessment rating calculator may then be used to provide a final score based on adding the scores achieved for the KPAs and the GAFs
- The final assessment score is to be guided by the average of the quarterly reviews (using the assessment rating calculator), and any deviations from the average should be clearly motivated.

The following incentive tables summarize the measures applicable to employees between salary levels 1 and 12. For the measures applicable to SMS members refer to Chapter of the SMS Handbook.

## 9. MODERATION

The role of performance assessment review by higher levels of management (moderation) is to ensure equity and consistency in the application of the PMDS. If operational requirements do not allow for a single departmental moderating committee, additional sub-committee(s) may be established, for example at the level of components or business units. Any lower order moderating committee(s) must be formally established and communicated to employees before the start of the performance cycle. Such committee(s) must provide the departmental committee with data and information regarding its actions.

### **The Overview and Moderation Process Operates at Two Levels:**

At the “systems” level the Moderating Committee must satisfy itself that departmental and component plans are developed and the PMDS procedures are followed. At the “individual” level the role of the Moderating Committee is to ensure that supervisors are agreeing on Work Plans and performance is appraised in a realistic, consistent and fair manner. The committee must also ensure that scores given across the department are realistic and convert to a monetary value in line with the budget. This is also a dual process. Firstly within the normal chain of command in components, i.e. the supervisor’s supervisor is required to overview the performance management actions and assessment outcomes of her or his subordinate supervisor; and secondly, through the more formalized moderating committee(s). The Moderating Committee is required to overview agreements and subsequent performance ratings. The Committee must also review overall assessment statistics of components to ensure equity and fair distribution across the department. Depending on operational requirements, the committee will be required to meet twice per performance cycle:

- Once to moderate and approve the results of the assessment process at the end of the performance cycle and again
- At the start of the new cycle to moderate and approve the results of performance planning and agreement activities.

If moderation sub-committees or quality assurance committees are established, their role should not detract from the responsibility of managers to ensure equity and consistency in their components, or from the role of the supervisor to agree on a fair and realistic assessment with the subordinate. The Human Resources component must play a supporting administrative role and must furnish the committees with accurate and comprehensive statistical information.

### **Moderation Actions**

If a PMC (moderating committee) identifies deviations or discrepancies, it should be referred back to the supervisor who had agreed on the rating with his or her subordinate(s); together with reasons for the decision. This should be accompanied by a request to reconsider of the rating. This score may only be adjusted by the Moderating Committee if it is an overall assessment score adjustment that alters the assessment scores of all employees (as a group) by the same quantum. A moderating committee may not change an individual employee’s assessment score without first referring it back to the supervisor who made the initial assessment, or any moderation sub-committee that may

have been involved in the process. A moderation committee must keep detailed minutes of decisions, specifically when it recommends that a score that already has been agreed upon between a supervisor and employee, be lowered.

**Normal Distribution Curve of Performance Categories**

Performance that is fully effective (average, satisfactory) is generally rewarded by means of the annual salary, a thirteenth cheque, the annual salary adjustment and pay progression. Only performance that is significantly above expectations and outstanding should qualify for performance awards.

The following guideline, based on the statistical normal distribution curve principles, serves to assist the Moderating Committee to evaluate the summarised analysis of the outcome of performance ratings. In terms of the normal distribution, about 15 to 20 percent of staff generally qualify for a performance bonus. This guideline should be taken into account in identifying trends and making recommendations for performance rewards within the 1.5% of the remuneration budget.

Performance Category	Total Score	The following % of staff should normally fall within this category
Unacceptable Performance	69% and lower	3%
	70% -99%	7%
	100%-114%	65%
Performance Significantly Above Expectations	115%-129%	15%
	130%-149%	7%
Outstanding Performance	150%-165%	3%

**10. DISAGREEMENT AND GRIEVANCES**

Agreement between an employee and supervisor, and/or with the PMC (Moderating Committee) on employee performance issues such as rating, is not always guaranteed. If the requirements of the system are met with regard to for regular consultation and discussion sessions between the supervisor and the employee, there should normally be little cause for continued disagreement.

**However, disagreement may occur:**

- Between the employee and supervisor
- Between an employee and supervisor on the one hand, and the Component Moderating Committee on the other hand
- Between the Component Moderating Committee and the departmental moderating committee and
- Between the Moderating Committee and the Head of Department or Executing Authority.

This policy framework cannot, in detail, provide for each possible scenario. However, each department must, depending on size and macro-organisation, practically provide for the structures and processes to deal with different scenarios in which continued disagreement may occur. Disagreements at the levels of the Component and/or the departmental moderating committees may be limited or minimized if the assessment of

senior managers is done before the assessment of non-managers. This may assist in limiting possible contradictions or inequities between the assessments of, for example, particularly when cascading KPAs are found on the different levels. This approach may set certain parameters of performance that may partially serve as benchmarks when assessing individuals below the management level in the organisation.

Annexure C (Disagreements on assessment) contains two broad scenarios with different types of possible interventions and/or recommendations or decisions, by the supervisor, the component PMC (Moderating Committee), the Assessment Appeal Panel, the departmental moderating committee and even the Head of Department or the Executing Authority. The two scenarios are based on the assumption that self assessment by the employee is followed by an assessment by the supervisor, followed by an attempt to reach agreement between them on a score. The two scenarios are:

- Initial agreement on an assessment score between the employee and supervisor and
- Initial disagreement on an assessment score between the employee and supervisor .

The steps contained in the two scenarios, relating to the moderation or review of performance and/or possible amendments by higher levels of management of lower level assessments, should in most cases result in a conclusive outcome.

If there are fundamental disagreements between component moderating committees and the departmental moderating committee, or if the departmental moderating committee wishes to amend ratings by component moderating committees, or if the Head of Department or Executing Authority does not wish to approve recommendations of the Moderating Committee, such issues should be resolved at management level. If this leads to a change in any individual assessment score, and the employee refuses to accept the change, the employee may follow the formal grievance rules of the Public Service. If the above processes ultimately fail to resolve the disagreement or grievance, the employee is entitled to seek redress through other means available in law.

## **11. OUTCOMES OF PERFORMANCE ASSESSMENT**

### PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

#### **11.1 Probation**

The performance of employees on probation is managed in terms of the PMDS process as well as the departmental policy on probation. The process is as follows:

- The PMDS will serve as the system that is used to assess an employee during the period of probation
- The performance assessment of employees on probation must be conducted quarterly and must link with the PMDS
- The performance assessment form must be submitted to HR immediately after the assessment
- The supervisor of the probationer must make a recommendation on whether or not appointment should be confirmed at the end of the probationary period. If the probationer is not deemed suitable for the relevant post, other options such as the extension of probation, formal registration on the incapacity programme or as a last

resort, dismissal, should be considered. (Refer to Annexure A for probation assessment form.)

An employee's probation period will not necessarily coincide with the April to March cycle, however the PMDS assessment tool must be used for assessment, and the results captured in the probation quarterly assessment form.

### **11.2 Managing Performance that is not Fully Effective**

Supervisors are required to first identify and then, in line with a developmental approach, deal with unacceptable performance of employees under their supervision. The supervisor must comply with the procedural requirements of PSCBC Resolution 0 of 999 and Resolution of 00 – "Incapacity Code". The PMDS provides for the early identification and resolution of unacceptable performance. The employee's performance rating as "not fully effective" or lower during the annual performance assessment should not be the first indication of the employee's shortcomings. Performance monitoring, including the performance reviews, provide opportunities to ensure this does not happen. Interventions by the supervisor to overcome performance shortfalls on the part of the employee can include any or all of the following:

- Personal counseling
- On-the-job mentoring and coaching
- Formal training/re-training
- Restating the Work Plan performance requirements
- Work environment audits to establish other factors affecting performance.

Should the employee not respond to reasonable and continuous attempts to improve performance and an overall performance assessment score of less than 50% is the result of the assessment process, the employee must be formally registered on the "Incapacity Programme" and advised of this in writing. The above process applies to incapacity due to both poor performance and ill-health.

## **12 Performance incentive scheme (Recognition of performance)**

As part of the Incentive Policy Framework (IPF) introduced by the MPSA in 2003, departments were informed that the Employer had, with effect from 1 April 2003, withdrawn from paragraph XXXV of Resolution 3 of 1999. Departments are thus mandated to implement performance related financial incentive schemes aligned with their performance management systems. PSR 1/VIII F and G provide for the following:

### **12.1. Monetary Incentives**

#### **12.1.1. Pay progression**

##### **Salary levels 1 to 12**

The pay (or notch) progression system was introduced and is managed in terms DPSA Minute 1/7/1/4/1 (Incentive Policy Framework - IPF) dated 27 January 2003. Employees on salary levels 1 to 12 are eligible for pay progression to the maximum notch of the salary level attached to their posts. Progression to the next higher notch within the employee's salary level as of 1 July 2003 shall be based on a period of continuous service and performance, and is not automatic. An employee must complete a continuous period of at least 12 months on her or his notch on 31 March of a year and must be performing at least at the level of fully effective (satisfactory), as assessed in terms of the EPMDS.

The pay progression cycle (and the assessment cycle) runs over a continuous period of 12 months, commencing on 1 April of a particular year. Progression takes place annually on 1 July of each year. The first progression took place on 1 July 2003.

Pay progression on 1 July 2004 and 1 July of subsequent years is based on –

- actual service in a particular salary level for the period 1 April to 30 March prior to the pay progression date (one years' continuous service on a notch); and
- a ratings of at least satisfactory performance for the said period in line with the performance management systems.

Only valid notches on the salary level must be used in the process of progression. Employees on personal notches (therefore on a notch above the maximum of the salary level attached to his or her post), shall not qualify for pay progression, but shall receive any annual salary adjustments on the salary scale.

The pay progression system does not impede the Executing Authority to award a higher salary to employees in terms of the PSR (Chapter 1 Part V/C3). Therefore –

- employees, who are awarded a higher salary level by the Executing Authority, that does not correlate to the job weight attached to their job, shall not qualify for pay progression on the higher salary level; and
- employees, who are awarded a higher notch within the salary level, which correlates to the job weight attached to their job, shall qualify for pay progression, provided they comply with the set criteria.

Employees who benefit from pay progression during a financial year will receive the benefit in addition to possible annual cost-of-living adjustments. Employees may in the same financial year receive pay progression and other performance related incentives (e.g. bonuses) provided for in departmental performance related incentive schemes.

### 12.1.2. Performance Incentives

The Incentive Policy Framework of 2003 introduced flexibility in the awarding of performance incentives, but placed a ceiling of a **maximum of 18%** of basic salary for performance awards/bonuses. Secondly, it also determined that a department should not spend more **than 1.5% of its annual remuneration budget** for performance incentives. If the 1.5% is insufficient to award deserving employees, departments should manage the situation by scaling down the percentages to be granted or setting tighter standards for the granting of awards. The 1.5% may, in exceptional cases, be exceeded with the approval of the Executing Authority. The following factors should be taken into consideration: How did the section / component /directorate/branch etc. contribute to overall service delivery of the department? Qualitative and quantitative facts to be indicated in terms of this impact did it extend to other directorates, departments and /or provinces.

Note that performance related financial awards should be granted in terms of the above framework and not by using section 37(2) (c) of the Public Service Act. In March 2005 the MPSA issued a determination for the implementation of an Inclusive Flexible Remuneration Package System, effective from 1 July 2005, for employees on salary levels 11 and 12 (Circular 2 of 2005). This also established the Middle Management Service (MMS). The determination applies to all MMS members on salary levels 11 and 12 who are appointed in terms of the Public Service Act, 1994 and the Correctional Services Act, 1998. In terms of the Incentive Policy Framework (IPF) —

- MMS members qualify for pay progression in terms of the IPF.
- Performance awards/bonuses (merit awards) payable in terms of the departmental incentive scheme are limited to a maximum of 14% of MMS member's total package.

The following tables summarize the measures applicable to employees between salary levels 1 and 12. For measures applicable to Senior Management Services (SMS) members refer to Chapter 4 of the SMS Handbook.

## **12.2. Non-Monetary recognition**

**For above satisfactory performance (commendable and outstanding performance)**

(Examples outlined below):

### **12.2.1. Low cost**

One, or a combination of the following incentives:

- Given priority to attend national conference, overseas study tours
- Given priority to attend training, conferences or seminars of interest to the employee and are not necessarily linked to the current job performed by the employee
- Fully paid for, two days vacation to the destination of the employee's choice in the Eastern
- Cape with his/her immediate family (spouse and children or single parent and children)
- Time off over and above leave
- Organized lunch with MEC / Executing Authority:
- Shopping voucher to the maximum of R1 000,00

### **12.2.2. No-cost**

One, or a combination of the following incentives:

- Honorary Award Certificate
- Employee of the year certificate
- Recognition in departmental and/ or provincial publications
- Public note /memo
- Written personal letter
- Employee / team of the month recognition
- Delegation of more challenging responsibilities
- Represent department in official functions / forums

## **13 Roles/responsibilities**

Within the above planning framework, the following are the roles and responsibilities assigned to various levels of personnel in the department:

### **13.1. Executing Authority**

- Communicates the vision, mission and strategic direction.
- Communicates the strategic and operational plans.
- Oversees the process of design and implementation of work plans.
- Serve as an appeal authority for disagreement emanating from EPMDS.

### **13.2. Head of Department**

- Creates environment conducive to EPMDS implementation.
- Communicates his/her performance agreement to senior staff members for cascading to lower levels.
- Facilitates ongoing review of performance against set targets.
- Ensures that the system is implemented in line with legislative and policy frameworks.
- Develops departmental strategic plan
- Allocates budget for rewarding and recognizing good performance.
- Mediates over disagreements between supervisors and employees.
- Provides decision-making on recognition/reward for good performance.
- Ensures that all necessary resources to facilitate performance are made available and accessible

### **13.3. The Branch Manager/Deputy Director General**

The branch manager and the other delegated senior managers are responsible for developing the branch or component business plans that is derived from the departmental strategic and business plans. She/he is also responsible for determining the Key Result Areas (KRA's) for the component manager's based on those assigned by the Head of Department (HOD) and those indicated in branch objectives. The branch manager will usually supervise the component Manager's performance agreement.

### 13.3.The component Manager/General Manager

The component manager is responsible for the Branch objectives and for ensuring that sub-component develop business plans based on the objectives. The component manager also ensures that sub – components have defined objectives, outputs, targets and staff to carry the responsibility and the budget to fund the activity.

### 13.5.The sub-component Manager/Senior Manager

The sub-component Manager is responsible for the specific objective of the component assigned by the Branch Manager and the Component Manager. The Sub- Component manager defines the Sub-Component's objectives, output s , targets and the responsible individual and budget allocation. The Sub-Component manager will also agree on the KPA's and GAF's for middle and junior management staff in the unit.

### 13.6.Chief Financial Officer

- Decentralizes budget regarding performance management to the respective responsibility managers
- Ensures that all Senior Managers have budgeted for performance management linked expenditure.

### 13.7.Senior Manager: Human Resources Management (HRM)

This position is responsible for ensuring that-

- The system is made available and revisions properly communicated
- A plan is jointly developed with the Human Resources Development ( HRD) unit for the training of trainer 's as well as the training of supervisors in the implementation of the EPMDS
- Regulatory changes likely to affect the EPMDS are communicated timorously.
- Performance Agreements (PA's) and the employment contract of relevant staff are reconciled where necessary.
- Dates for submission of PA's and review reports and assessment are set.

- Organized labour is consulted in order to obtain their inputs and feedback on the implementation and review of the EPMDS and
- Ongoing technical support is provided to components and employees.
- Depending on the size of the department, the establishment of a dedicated performance or programme management unit with a designated manager is highly advisable.

### **13.8. Senior Manager: HRD**

This position is responsible for the following support in respect of the EPMDS

- Incorporating identified training needs into the training and skills development planning and implementation processes of the department
- Jointly developing and implementing the workplace skills plan for the department in co-operation with the Human Resources Component

### **13.9 Supervisors**

- Jointly, with employees, develop a work plan that will help achieve the Department's objectives.
- Conduct regular monitoring and review meetings on performance.
- Align the work plan to the respective senior manager's performance agreement.
- Conduct annual appraisal of performance.
- Develop and implement performance improvement plans for unsatisfactory performers.
- Develop and implement, jointly with employees, personal development plans.
- Recommend forms of recognizing and rewarding employee's good performance.
- Address appeals in terms of the appeal procedure.

### **13.10 Employees**

- Equal participation with supervisors in developing work plans.
- Take responsibility for her/his own personal development.
- Understanding of own job description and responsibilities.

- Understanding of the Department's strategic objectives and how he/she can contribute to achieve these objectives.
- Provide feedback to supervisors on obstacles to achieving agreed objectives/standards.

### **13.11. Departmental Performance Management (PM) Committee**

The (moderating) PM Committee will monitor the performance management process by obtaining an overall sense of whether norms and standards are being applied consistently and realistic to employees on the same level. The Committee should not assess each individual case for purposes of evaluating ratings, but should develop an overall view of the results of process. If deviations from norms and standards are identified, these must be referred back to the relevant supervisor for review.

The HOD, in consultation with senior management, appoints the (moderating) committee to –

- Provide oversight of the EPMDS especially ensuring that the process for setting performance standards in the PA's is valid and objective
- Advise the department on incorporation of the monetary and non monetary rewards/recognition into the budget and performance management cycle. This includes advocacy for inclusion of appropriate budget levels for rewards and recognition
- Detect potential problems in the system (early warning) through the HRM report on PA' development and progress reviews.
- Review overall assessment scores ,based on report by HRM and
- Recommend reward levels and remedial action for performance and non- performance, respectively.

Depending on the size and nature of the Department (number of employees, provincial regional and district distribution) (moderating) sub-committee or quality assurance committee may be established. The role of these sub-committees should be clearly determined.

## **13.12.Members of the PM Committees**

### **13.12.1. Head Office Level**

- Line Manager(s)
- Human Resources Manager

### **13.12.2. District / Institutional Level**

- District manager or Head of institution
- Personnel Officer responsible for HR
- Supervisors of Line Components

### **13.12.3. Chairing the meetings**

- At District or Institutional level, the District Manager is the Convener and also the Chairperson of the Committee,
- For Head Office, Line Manager appointed by Head of Department will Convene and Chair the Committee,
- The overall responsibility for the implementation of the EPMDS rests with the Head of each provincial department.

### **13.12.4. Role of the PM Committees**

The PM Committees should:

- Monitor implementation and performance management of the system.
- Validate performance reviews, processes and outcomes recommendations.
- Make recommendations on corrective measures in terms of statutory requirements.
- Moderating role in making final decisions on recommendations whether they be recognition or corrective measures.
- Recommend changes to the system

- The Departmental PM committees will meet in October and April each year to assess the performance of the departments as well as compliance to the EPMDS policy.

### **13.13. Departmental Performance Management Unit**

It is recommended that such a unit must be set up in the Human Resources unit at Head office and district level. This unit will manage the day-to-day administrative responsibilities in the department, including ensuring compliance to the system, keeping a database of information, and facilitating the process of reviews and assessment.

### **13.14. Approach to individual performance management agreements**

The Eastern Cape EPMDS utilizes individual performance management agreements as tools in the process of performance management. These agreements must be drawn up and signed each year, and the listing of outputs and activities should be done annually and weighted for each year. The development of individual agreements is a critical step in the first phase of the performance management cycle.

These should be linked to the development of departmental and directorate business plans. Individual plans are the basis upon which employee performance will be measured in the department. Contracting between employee and the supervisor is not subject to the contracting of the supervisor with his/her supervisor.

Failure to have a signed performance agreement (by both parties) by 30 April should lead to disciplinary action. During contracting phase ensure that objective/ KPA'S and competency are weighted.

There are three different tools that can be used. These are the:

- Performance agreement (PA)
- Workplan agreement (WPA)
- Standards framework agreement (SFA)

The contents of these agreements must relate to the information contained in the relevant and applicable job descriptions as required by the PSR 2001, Chapter 1 Part III.I.1.

The EPMDS has a criteria matrix to assist in the selection of the appropriate tool. The table below summarizes the criteria for selection of the different tools.

## **14 Resource implications**

Each department will revive and establish EPMDS committees to coordinate the effective implementation of the EPMDS policy.

### **14.1. Financial**

Departments budgeted for EPMDS policy implementation must include all performance based financial incentives for the MTEF period which also includes the related resources to implement it.

### **14.2. Human Resources**

Head Office and district coordination must be strengthened in all institutions. District coordinators must be capacitated by departments to upload EPMDS Data to enhance the administration of the system.

### **14.3. Infrastructure**

PERSAL connectivity in districts must be strengthened to facilitate the EPMDS data capturing process

## **15 Monitoring & Evaluation**

Each Head of Department, Chief Financial Officer and Human Resources Manager is responsible for the monitoring and implementation of this policy in their department.

Departments shall submit reports on the implementation of EPMDS.

Other monitoring and evaluation structures used are:

- Public Service Commission (PSC)
- Shared Internal Audit Services (SAIS)
- Institutional Development and Organisational Support (IDOS)
- Provincial Monitoring and Evaluation Unit

**These reports shall reach the Director General not later than the month succeeding the end of a quarter for quarterly progress reports, and by 31 May after each annual assessment period for annual policy implementation reports as per the compliance and accountability framework.**

## **16 Policy review**

This policy shall be reviewed once every two years to determine its effectiveness. All relevant stakeholders shall take part in the review or consulted before changes are made to this policy.

Table 1. Salary Levels 1-10

Performance Category	Total Score	Rating	Probation	Development	Pay * Progression*	Cash Bonus **
Unacceptable Performance	69% and Lower	1	Extend Probation or Terminate i.t.o. incapacity code	Agree on Development		
Performance not Fully Effective	70% to 99%	2	Extend Probation	Agree on Development		
Performance Fully Effective	100% to 114%	3	Confirm Probation	Agree on Development	1 notch (%)	
Performance Significantly Above Expectations	115% to 118,5%	4	Confirm Probation	Agree on Development	1 notch (%)	5%
	118,51 to 122%					6%
	122.01 to 125.50%					7%
	125,51 to 129%					8%
Outstanding Performance	130% to 134,75%	5	Confirm Probation	Agree on Development	1 notch (%)	9%
	134,76 to 139,50%					10%
	139,51 to 144,25%					11%
	144,26 to 149%					12%
Outstanding Performance	150 to 152,83%	5	Confirm Probation	Agree on Development	1 notch (%)	13%
	152,84 to 155,66%					14%
	155,67 to 158,49%					15%
	158,50 to 161,32%					16%
	161,33 to 164,15%					17%
	164,16 to 167%					18%

\* Pay progression must be awarded in accordance with the prescripts as set out in the policy

\*\* The percentage cash bonus for salary levels to 0 is calculated on the employee's current notch.

**Table 2. Salary Levels 11 and 12**

Performance Category	Total Score	Rating	Probation	Development	Pay Progression *	Cash Bonus **
Unacceptable Performance	69% and Lower	1	Extend Probation or Terminate i.t.o. Incapacity Code	Agree on Development		
Performance not Fully Effective	70% to 99%	2	Extend Probation	Agree on Development		
Performance Fully Effective	100% to 114%	3	Confirm Probation	Agree on Development	1 notch (%)	
Performance Significantly Above Expectations	115% to 119,67%	4	Confirm Probation	Agree on Development	1 notch (%)	4%
	119,68 to 124,34%					5%
	124,35 to 129%					6%
Outstanding Performance	130% to 136,33%	5	Confirm Probation	Agree on Development	1 notch (%)	7%
	136,34 to 142,66%					8%
	142,67 to 149%					9%
Outstanding Performance	150% to 153,40%	5	Confirm Probation	Agree on Development	notch (%)	10%
	153,41 to 156,81%					11%
	156,82 to 160,21%					12%
	160,22 to 163,61%					13%
	163,62 to 167%					14%

\* Pay progression must be awarded in accordance with the prescripts as set out in the policy

\*\* The percentage cash bonus for salary levels 11 and 12 is calculated on the member's total package.

**Table 3. SMS Member**

Performance Category	Total Score	Rating	Probation	Development	Pay Progression *	Cash Bonus **
Unacceptable Performance	69% and lower	1	Extend Probation or Terminate i.t.o. Incapacity Code	Agree on Development Programme	-	-
Performance Not Fully Effective	70% - 99%	2	Extend Probation	Agree on development programme	-	-
Performance Fully Effective	100% - 114%	3	Confirm Appointment	Agree on Development Opportunities	1 notch (%)	-
Performance Significantly Above Expectations	115% - 129%	4	Confirm Appointment	Agree on Development Opportunities	1 notch (%)	-
Outstanding Performance	130 to 133,80%	5	Confirm Appointment	Agree on Development Opportunities	1 notch (%)	5%
	133,81 to 137,60%					6%
	7,6 to ,0%					7%
	141,41 to 145,20%					8%
	145,21 to 149%					9%
Outstanding Performance	150 to 153,40%	5	Confirm Appointment	Agree on Development Opportunities	1 notch (%)	10%
	153,41 to 156,80%					11%
	156,81% to 160,20%					12%
	160,21 to 163,60%					13%
	163,61 to 167%					%

**Refer to the PMDS Assessment Calculator in Section 7.**

\* Pay progression must be awarded in accordance with the prescripts as set out in the policy

\*\* The percentage cash bonus is calculated on the member's total package.

## **17. GUIDELINES FOR USING THE ASSESSMENT RATING CALCULATOR**

### **17.1 In the Case of KPAs**

1. Include the weighting against each KPA. The number of KPAs should not exceed 5 or 6.
2. Rate each KPA according to the extent to which the performance has met the criteria specified in the agreement. Use the five point scale.
3. The assessment rating calculator will automatically calculate a score for each KPA by multiplying the weighting by the rating.
4. The calculator will then automatically calculate a total score for the Work Plan by adding up the scores and multiplying this total by the percentage weighting (80% for SMS and 70% for levels below SMS) allocated to the KPAs.

### **17.2 In the Case of CMC/GAFs**

1. Insert the weighting allocated to each CMC/GAF. Ensure that the weighting adds up to 100.

- **SMS**

Note that there are certain CMCs that are compulsory for HoDs and for other SMS members with managerial responsibilities. Also note that departments are advised to limit the total number of CMCs to five or six.

- **Level 1 to 12**

Note that there are certain GAFs that are compulsory for MMSs and for other LOWER LEVELS employees with managerial responsibilities. Also note that departments are advised to limit the total number of GAFs to five or six.

2. Rate each CMC/GAF according to the extent to which performance has met the specified standards. Use the five point scale.
3. The assessment rating calculator will automatically calculate a score for each CMC/GAF by multiplying the weighting by the rating.
4. The calculator will then automatically calculate a total score for the CMC/GAF by adding up the scores and multiplying this total by the 20% weighting allocated to CMC for SMS and by the 30% weighting allocated to MMS and lower levels with managerial responsibilities.

### **17.3 For Overall Rating**

The assessment rating calculator will provide a final appraisal score by adding the totals obtained for the KPAs and the CMC/GAF.

- The final assessment score is to be guided by the average of the 4 quarterly reviews (using the assessment rating calculator) and any deviations from the average should be clearly motivated.

## Example of Level 9 Employee

PMDS - Assessment Rating Calculator									
<b>Department:</b>									
<b>Annual Performance Assessment</b>									
<b>Name:</b> A.N. Employee									
<b>Cycle:</b> Apr-06 to Mar-07									
KRA	Weight	Rating	Score		CMC	Weight	Rating	Score	
1	20%	4	0.80		1	20%	3	0.60	
2	20%	3	0.60		2	20%	3	0.60	
3	20%	3	0.60		3	20%	5	1.00	
4	20%	3	0.60		4	20%	3	0.60	
5	10%	3	0.30		5	10%	3	0.30	
6	10%	3	0.30		6	10%	3	0.30	
			100%	106.67				100%	113.33
<b>FINAL SCORE FOR LEVEL 12 AND BELOW</b>									
KRA weight				70%	GAF weight				30%
<b>KRA SCORE</b>				<b>75%</b>	<b>GAF SCORE</b>				<b>34%</b>
<b>FINAL SCORE</b>					<b>FINAL SCORE</b>				<b>109%</b>

**Note:** Reference the final assessment score from the incentive guide tables

## Example of SMS member

PMDS - Assessment Rating Calculator									
<b>Department:</b>									
<b>Annual Performance Assessment</b>									
<b>Name:</b> A.N. Employee									
<b>Cycle:</b> Apr-06 to Mar-07									
KRA	Weight	Rating	Score		CMC	Weight	Rating	Score	
1	20%	4	0.80		1	20%	3	0.60	
2	20%	3	0.60		2	20%	3	0.60	
3	20%	4	0.80		3	20%	5	1.00	
4	20%	3	0.60		4	20%	3	0.60	
5	20%	3	0.60		5	20%	3	0.60	
			100%	113.33				100%	113.33
<b>FINAL SCORE FOR SMS</b>									
KRA weight				80%	CMC weight				20%
<b>KRA SCORE</b>				<b>91%</b>	<b>CMC SCORE</b>				<b>23%</b>
<b>FINAL SCORE</b>					<b>FINAL SCORE</b>				<b>113%</b>

**Note:** Reference the final assessment score from the incentive guide tables

ANNEXURE A (2): Performance Review Statistical Report													
Dept:													
Report for the financial year:													
Date:													
Salary Levels	Number of funded posts		Number of staff with Signed Performance Agreements		Number of staff with signed 1st Quarter reviews		Number of staff with signed 2nd Quarter reviews		Number of staff completing reviews for 3rd Quarter		Number of staff completing reviews for 4th Quarter		Reasons for non-compliance and action taken on noncompliance to the policy
	Number	%	Number	%	Number	%	Number	%	Number	%	Number	%	
16		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
15		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
14		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
13		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
12		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
11		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
10		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
9		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
8		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
7		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
6		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
5		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
4		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
3		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
2		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
1		#DIV/0!		#DIV/0!		0%		0%		0%		0%	
Total	0	#DIV/0!		#DIV/0!									

<b>ANNEXURE A (3): Performance Appraisal Statistical Report</b>							
Department:							
Report for the financial year:							
Date:							
Salary Levels	Number of funded posts		Number of staff with completed annual performance appraisals		Number of staff without completed annual performance appraisals		Reasons for not conducting annual performance appraisals and action taken on noncompliance to the policy
	Number	%	Number	%	Number	%	
16		#DIV/0!		0%		0%	
15		#DIV/0!		0%		0%	
14		#DIV/0!		0%		0%	
13		#DIV/0!		0%		0%	
12		#DIV/0!		0%		0%	
11		#DIV/0!		0%		0%	
10		#DIV/0!		0%		0%	
9		#DIV/0!		0%		0%	
8		#DIV/0!		0%		0%	
7		#DIV/0!		0%		0%	
6		#DIV/0!		0%		0%	
5		#DIV/0!		0%		0%	
4		#DIV/0!		0%		0%	
3		#DIV/0!		0%		0%	
2		#DIV/0!		0%		0%	
1		#DIV/0!		0%		0%	
<b>Total</b>	<b>0</b>	<b>#DIV/0!</b>					

Did performance incentives exceed the 1,5% of the salary bill?	Yes	No
Reasons for exceeding the 1,5% margin?		



# **PART 2**

# **ANNEXURE A**

## **PMDS TEMPLATES**

## **1. GUIDE TO PERFORMANCE/ WORK PLAN/ STANDARD FRAMEWORK AGREEMENT**

This agreement is between two persons in a department, this relationship is mainly that of a Supervisor/Supervisee or Manager/Subordinate. The Performance Agreement is applicable to all employees. (SMS Members refer to chapter of the SMS Handbook)

The first page of the agreement must clearly state this relationship and contain the following information:

- The full name of both parties
- The positions held in the department.

After this form is completed and signed by both parties it must be forwarded to the relevant section in the Human Resource Directorate.

### **1.1 Purpose Of The Agreement**

The purpose stated on the form in part is the standard purpose and can be used as is.

### **1.2 Validity Of The Agreement**

The period for which this agreement is valid (normally April to March of the next year) should be stated. This period coincides with the Government's accounting year.

The last two paragraphs is a standard clause and should be used as is.

### **1.3 Job Details**

This section contains the following information of the person that is being supervised:

- Persal number
- Component
- Unit
- Salary level
- Notch (SMS package)
- Occupational classification
- Designation.

### **1.4 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 the position.

### **1.5 Reporting Requirements/Lines & Assessment Lines**

This section describes the reporting requirements as well as the actions required by both parties. This is the standard wording for all agreements and can be used as is.

## **1.6 Performance Assessment Framework**

This section describes when, what and how performance will be assessed. The first paragraph is standard to all agreements and can be used as is.

### **Key Performance Areas (KPA's)**

The first paragraph is standard to all agreements and can be used as is. In this table all the KPA's of the employee must be filled in and weighted. The total sum of all KPA's must equal 100%.

### **GAFs/CMCs**

The first paragraph is standard to all agreements and can be used as is.

At least five GAFs/CMCs, inclusive of any that may be prescribed from time to time, should be selected (minimum of three) from the list. The selection should be based on what is deemed as critical for the Employee's/SMS member's specific job.

In this table all the GAFs/CMCs of the employee must be filled in and weighted. The total sum of all GAFs/CMCs must equal 100%.

## **1.7 Conditions of Performance**

The Employer shall provide the Employee/SMS member with the necessary resources and leadership to perform as anticipated in the agreement. Resource requirements should be outlined in the Work Plans of components and individual Employees/SMS members.

This paragraph is standard to all agreements and can be used as is.

## **1.8 Performance Assessment**

This paragraph determines how the employee will be assessed. This paragraph is standard to all agreements and can be used as is.

## **1.9 Feedback**

This paragraph determines when and how feedback regarding performance will be given to the employee. This paragraph is standard to all agreements and can be used as is.

## **1.10 Developmental Requirements**

The first paragraph focuses on the areas in which the employee requires further development for the current and future jobs. Note : List ONLY the development areas. The PDP form contains all details of the required development areas and how they will be addressed.

Paragraphs 10.1 and 10.2 are standard to all agreements and can be used as is. (See example Pages 64 and 65.)

### **1.11 Timetable and Records of Review Discussions and Annual Assessment**

This paragraph is standard to all agreements and can be used as is.

### **1.12 Management of Poor Performance Outcomes**

This paragraph is standard to all agreements and can be used as is.

### **1.13 Dispute Resolution**

This paragraph specifies who will arbitrate disputes between employee and manager. It also refers to the applicable grievance rules.

### **1.14 Amendment of Agreement**

This paragraph is standard to all agreements and can be used as is.

### **1.15 Signatures of Parties to the Agreement**

The name, date of signing and signature of both parties to the agreement should appear on each page of the agreement.

## Performance Work Plan Agreement

### Entered into by and between:

The Department of \_\_\_\_\_ herein represented by;  
 \_\_\_\_\_ (full name) in the capacity of \_\_\_\_\_ (position)  
 of the Department, (herein referred to as the Employer)

### And

\_\_\_\_\_ (full name) as the \_\_\_\_\_ (position) of the Department  
 (herein referred to as the Employee)

### Whereby it is agreed as follows:

#### 1. Purpose

- 1.1 The purpose of entering into this agreement is to communicate to the Employee/SMS member the performance expectations of the Employer.
- 1.2 The performance agreement and accompanying work plan shall be used as the basis for assessing the suitability of the Employee/SMS member for permanent employment (if on probation); and to assess whether the Employee/SMS member has met the performance expectations applicable to the job. In the event that the Employee/SMS member has significantly exceeded the performance expectations the Employee/SMS member may qualify for appropriate rewards. Details are outlined in the Department's Performance Management and Development System.
- 1.3 Should any non-agreement arise between the Employer and the Employee/SMS member in respect of matters regulated by this agreement, the employee may apply the formal grievance rules of the Public Service (published in Government Notice R1012 of 5 July 2003).

#### 2. Validity of the Agreement

- 2.1 The agreement will be valid for the period 1April 2\_\_\_\_ to 31March 2\_\_\_\_
- 2.2 The content of the agreement may be revised at any time during the above-mentioned period to determine the applicability of the matters agreed upon, especially where changes are significant.
- 2.3 If at any time during the validity of this agreement the work environment of the Department (whether as a result of Government or Management decisions or otherwise), to the extent that the contents of this agreement are no longer appropriate, the contents shall immediately be revised.

#### 3. Job Details

Persal number: \_\_\_\_\_

Component: \_\_\_\_\_

Unit: \_\_\_\_\_

Salary level: \_\_\_\_\_

Notch (SMS package): \_\_\_\_\_

Occupational classification: \_\_\_\_\_

Designation: \_\_\_\_\_

**4. Job Purpose**

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**5. Reporting Requirements/lines and Assessment Lines**

**5.1 The Employee/SMS member shall report to the supervisor on all parts of this agreement. The Employee/SMS member shall:**

- Timeously alert the supervisor of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that the employee/SMS member proposes to take to ensure the impact of such deviation from the original agreement is minimized.
- Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations.
- 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.

**5.2 In return the supervisor shall:**

- Meet to provide feedback on performance and to identify areas for development at least four times a year.
- Create an enabling environment to facilitate effective performance by the Employee/SMS member.
- Facilitate access to skills development and capacity building opportunities.
- Work collaboratively to solve problems and generate solutions to common problems within the department that may be impacting on the performance of the Employee/SMS member.

**6. Performance Assessment Framework**

Performance will be assessed according to the information contained in the Work Plan and the Generic Assessment Factors (GAFs)/Core Management Criteria (CMC) framework.

**6.1 The KPAs and GAFs/CMC during the period of this agreement shall be as set out in the table below.**

**6.2** The Employee/SMS member undertakes to focus and to actively work towards the promotion and implementation of the KPAs within the framework of the laws and regulations governing the Public Service. The specific duties/ outputs required under each of the KPAs are outlined in the attached work plan.

KPAs	Weight
Total	100%

**Note:** Weighting of KPAs must total 100%

**6.3** The Employee's/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 GAFs/CMC marked here-under.

GAFs/CMC	Weight
Total	100%

**Note:** Weighting of GAFs/CMC must total 100%

**7. Conditions of Performance**

The Employer shall provide the Employee/SMS member with the necessary resources and leadership to perform in terms of this agreement. Resource requirements should be outlined in the Work Plans of components and individual Employees/SMS members.

**8. Performance Assessment**

The assessment of an Employee/SMS member shall be based on performance in relation to the KPAs and GAFs/CMC and performance indicators, as set out in this PERFORMANCE AGREEMENT and attached WORK PLAN.

The performance of the employee in respect of all individual KPAs and all individual GAFs/CMC will be assessed using a 5 point rating scale, i.e:

- 5= Outstanding Performance
- 4= Performance Significantly Above Expectations
- 3= Fully Effective
- 2= Performance Not Fully Effective
- 1 = Unacceptable Performance

The total KPAs and the total GAFs/CMC scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 5 point assessment scale.

Employees: KPAs shall contribute 70% and GAF's 0% of the final assessment and

SMS members: KPAs shall contribute 80% and CMC 0% of the final assessment.

**9. Feedback**

Performance feedback shall be in writing on the September Review Form and Annual Review Form, based on the supervisor's assessment of the employee's/SMS member's performance in relation to the KPAs and GAFs/CMC and standards outlined in this performance agreement and taking into account the Employee's/SMS member's self-assessment.

**10. Developmental Requirements**

10.1. The Employer and Employee/SMS member agree that the following are the Employee's/SMS member's key development needs in relation to the current job and envisaged career path in the Public Service.

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10.2 In so far as the above training needs coincide with the Employer's requirements and taking into account financial realities, the Employer undertakes to expose the Employee/SMS member to development in these areas. The developmental needs of the Employee/SMS member shall be reviewed as part of the September Review and the annual assessment of performance.

**11. Timetable and records of review discussions and annual assessment**

11.1. September review during the third week in september.

11.2. Annual review during april of every year.

**12. Management of poor performance outcomes**

Manager and employee will identify and develop interventions together, to address poor and non performance at feedback sessions, or any time during the performance cycle.

**13. Dispute Resolution**

13.1. Any dispute about the nature of the employee's/SMS member's PA, whether it relates to key responsibilities, priorities, methods of assessment and/or salary increment in this agreement, shall be mediated by:

\_\_\_\_\_ (next person in hierarchy).

13.2. If this mediation fails, the normal grievance rules will apply.

**14. Amendment of Agreement**

Amendments to the agreement shall be in writing and can only be effected after discussion and agreement by both parties.

**15. Signatures of Parties to the Agreement**

The contents of this document have been discussed and agreed with the Employee/SMS member concerned.

**Employee/SMS member:**

Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**And**

**Supervisor:**

Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Standards Framework Agreement

### Entered into by and between:

The Department of \_\_\_\_\_ herein represented by;

\_\_\_\_\_ (full name) in the capacity of \_\_\_\_\_ (position) of the Department (herein referred to as the Employer)

### And

\_\_\_\_\_ (full name) as the \_\_\_\_\_ (position) of the Department herein referred to as the Employee)

### Whereby it is agreed as follows:

#### 1. Purpose

- 1.1 The purpose of entering into this agreement is to communicate to the Employee the performance expectations of the Employer.
- 1.2 The performance agreement and accompanying work plan shall be used as the basis for assessing the suitability of the Employee for permanent employment (if on probation); and to assess whether the Employee has met the performance expectations applicable to the job. In the event that the Employee has significantly exceeded the performance expectations, the Employee may qualify for appropriate rewards. Details are outlined in the Department's Performance Management and Development System.
- 1.3 Should any non-agreement arise between the Employer and the Employee in respect of matters regulated by this agreement, the process outlined in paragraph 8.5 of the PMDS should be followed. If this process fails, the employee may apply the formal grievance rules of the Public Service (published in Government Notice R1012 of 5 July 2003).

#### 2. Validity of the Agreement

- 2.1 The agreement will be valid for the period 1 April 2\_\_\_ to 31 March 2\_\_\_
- 2.2 The content of the agreement may be revised at any time during the above-mentioned period to determine the applicability of the matters agreed upon, especially where changes are significant.
- 2.3 If at any time during the validity of this agreement the work environment of the Department (whether as a result of Government or Management decisions or otherwise), to the extent that the contents of this agreement are no longer appropriate, the contents shall immediately be revised.

#### 3. Job Details

Persal number: \_\_\_\_\_

Component: \_\_\_\_\_

Unit: \_\_\_\_\_

Salary level: \_\_\_\_\_

Notch (SMS package): \_\_\_\_\_

Occupational classification: \_\_\_\_\_

Designation: \_\_\_\_\_

**4. Job Purpose**

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**5. Reporting Requirements/lines & Assessment Lines**

**5.1. The Employee shall report to the supervisor on all parts of this agreement. The Employee shall:**

- Timeously alert the supervisor of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that the Employee proposes to take to ensure the impact of such deviation from the original agreement is minimized.
- Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations.
- 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.

**5.2. In turn the supervisor shall:**

- Meet to provide feedback on performance and to identify areas for development at least four times a year.
- Create an enabling environment to facilitate effective performance by the Employee.
- Facilitate access to skills development and capacity building opportunities.
- Work collaboratively to solve problems and generate solutions to common problems within the department that may be impacting on the performance of the Employee.

**6. Performance Assessment Framework**

Performance will be assessed according to the information contained in the WORK PLAN and the Generic Assessment Factors (GAFs)/Core Management Criteria (CMC) framework.

6.1 The KPAs and GAFs/CMCs during the period of this agreement shall be as set out in the table below.

6.2 The Employee undertakes to focus and to actively work towards the promotion and implementation of the KPAs within the framework of the laws and regulations governing the Public Service. The specific duties/outputs required under each of the KPAs are outlined in the attached work plan.

KPAs	Weight
Total	100%

**Note:** Weighting of KPAs must total 100%

**6.3** The Employee's assessment will be based on performance in relation to the duties/outputs outlined in the attached work plan as well as the GAFs/CMCs marked here-under.

GAFs	Weight
Total	100%

**Note:** Weighting of GAFs must total 100%

**7. Conditions of Performance**

The Employer shall provide the Employee with the necessary resources and leadership to perform in terms of this agreement. Resource requirements should be outlined in the WORK PLANS of components and individual Employees.

**8. Performance Assessment**

The assessment of an Employee shall be based on her/his performance in relation to the KPAs and GAFs/CMC and performance indicators, as set out in this PERFORMANCE AGREEMENT and attached WORK PLAN.

The performance of the employee in respect of all individual KPAs and all individual GAFs/CMC will be assessed using a 5 point rating scale, i.e.:

- 5= OUTSTANDING PERFORMANCE
- 4 = PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS
- 3 = FULLY EFFECTIVE
- 2 = PERFORMANCE NOT FULLY EFFECTIVE
- 1 = UNACCEPTABLE PERFORMANCE

The total KPAs and the total CMC/GAFs scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 5 point assessment scale.

Employees: KPAs shall contribute 70% and GAF's 30% of the final assessment; and

**9. Feedback**

Performance feedback shall be in writing on the September Review Form and Annual Review Form, based on the supervisor's assessment of the Employee's performance in relation to the KPAs and GAFs/CMCs and standards outlined in this performance agreement and taking into account the Employee's's self-assessment.

**10. Developmental Requirements**

**10.1.** The Employer and Employee agree that the following are the Employee's key development needs in relation to the current job and envisaged career path in the Public Service.

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00.2. In so far as the above training needs coincide with the Employer's requirements and taking into account financial realities, the Employer undertakes to expose the Employee to development in these areas. The developmental needs of the Employee shall be reviewed as part of the September Review and the annual assessment of performance.

**11. Timetable and Records of Review Discussions and Annual Assessment**

- 11.1. September Review during the third week in September
- 11.2. Annual Review during April of every year.

**12. Management of Poor Performance Outcomes**

Manager and employee will identify and develop interventions together, to address poor and non performance at feedback sessions, or any time during the performance cycle.

**13. Dispute Resolution**

13.1. Any dispute about the nature of the employee's PA, whether it relates to key responsibilities, priorities, methods of assessment and/or salary increment in this agreement, shall be mediated by:

\_\_\_\_\_ (next person in hierarchy).

13.2. If this mediation fails, the normal grievance rules will apply.

**14. Amendment of Agreement**

Amendments to the agreement shall be in writing and can only be effected after discussion and agreement by both parties.

**15. Signatures of Parties to the Agreement**

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

**Employee:**

Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**And**

**Supervisor:**

Full Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## 2. GUIDE TO THE PERFORMANCE WORK PLAN

One of the most challenging aspects of performance management is agreeing on the nature, content and detail of the actual performance agreement. In the performance agreement, this is captured largely in the work plan. A major problem in performance management is the wide variety of words and terms used to describe aspects related to performance management and assessment. This EPMDS attempts to standardize terminology to promote a common understanding of those issues that should be included in the work plan and to unpack key result areas and outputs. A further complication is the wide array of jobs. Most work plans are therefore unique, while there may be similarities within job categories with a more routine content. The drafting of a work plan and agreement thereon between the supervisor and employee, is therefore of prime importance in the performance process.

The definition of the terms is critical as they are also used as a basis for the assessment at the end of the cycle. Performance assessment or measurement system is hard and complex in nature. An effective performance assessment system will require years of consistent and incremental work to achieve. Acceptance of the performance management and assessment process is essential to the success of the legitimacy of a performance management system.

The following terms are used with the meaning or intent as indicated:

**Work Plan:** In the PMDS a work plan is described as a document which is part of the performance agreement and which contains Key Result Areas (KRAs), associated outputs and their performance standards and resource requirements. An example of the template is attached.

**Output:** A concrete achievement that contributes to the realization of an even longer-term outcome or goal.

**Performance Standard:** Performance standards are mutually agreed criteria to describe how well work must be done in terms of quantity and/or quality and timeliness, to clarify the outputs and related activities of a job by describing what the required result should be. In this EPMDS performance standards are divided into indicators and the time factor.

**Performance Indicator:** An indicator is a "type" of information used to gauge the extent to which an output has been achieved (policy developed, presentation delivered, service rendered).

**Time:** The time factor is used to determine whether the activities were completed or progress made, as agreed in the pursuit of the output (e.g. policy to be completed by October 00).

**Resource Requirements:** The resource requirements in this format refer to human (who will be specifically involved in delivering the output) and financial resources (the budget set aside for delivering the output).

**Enabling Conditions:** These refer to factors that will enable the delivery of the output (availability of the required financial and human resources) and conversely, under what conditions or situations of change the employee can not be expected to deliver the output (unfilled vacancies, a cut in the budget).

On the following page is an example of a work plan template, reflecting the above meaning of the terminology in a user friendly format.

SMS performance plan for the period \_\_\_\_\_

Key Performance Area :

Output:

Key Activities	Performance Standards		Resource Requirements		Enabling Conditions
	Indicators	Time (Completed By)	Human Resources	Financial Resources	

Levels 6 – Work plan for the period \_\_\_\_\_

Output	Key Activities	Performance Measures		Resource Requirements		Donor Needs
		Target Date	Performance Standard	Personnel	Budget	

**Personal Development Plan (PDP)**

Department : \_\_\_\_\_  
 Incumbent : \_\_\_\_\_  
 Persal Number : \_\_\_\_\_  
 Job Title : \_\_\_\_\_

Purpose : To enable the manager and the employee to identify skills development requirements and as a result agree on the steps taken to address those developmental gaps

**Table Areas of Development and Formal Training**

Area Identified for Development	Objective of Development	Type of Intervention (e.g. short Course, Bursary)	Quarter Targeted

**Table Other/ Non-formal Development**

You may attend an awareness session, seminar or conference within the year that would be a substitute for any of the areas of development.

Awareness session, seminar, conference, etc attended, or to be attended	Type of session, seminar, conference

**Table 3. Impact Assessment**

Impact of Development on Work (After 6 Months)	
Employee	Supervisor/Manager

We, (Employee) and (Supervisor) agree that the above-mentioned areas for development and the type of intervention suggested would be engaged in to achieve the required objective for development. We also understand that due to the operational requirements and budget constraints of the Department (component/unit), it may not be possible to undertake the training and development stated with the type of intervention stated and/or within the quarter of the year as stated. There is also an understanding between us that areas for development could be identified throughout the year and that this may change the order of priority and type of intervention as stated in the plan.

Signatures :

Employee: \_\_\_\_\_

Date: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

**Review Forms**

Review Period \_\_\_\_\_

Purpose: To review, summarise and develop the work performance of all employees/SMS members.  
(A copy must be forwarded to the Section: Human Resources Management.)

Name:	Supervisor / Project Leader:
Job Title:	Component:
Date Of Review:	Salary Level:

A. Key Performance Areas (KPA's)  
(Rate all the KPAs included in the performance agreement)

KRA / KPAs	Weight	Own Assessment (-5)	Supervisor's Assessment (-5)
1.			
2.			
3.			
4.			
5.			
<b>TOTAL</b>	100 %		

Note: weighting of KPA's must total 100%

This rating is based on my personal knowledge and observation of the employee's/ SMS member's performance.      This rating has been discussed with me.

**B. Critical Generic Assessment Factors (GAFs) / Core Management Criteria (CMCs):**  
 (Rate the GAFs/CMC agreed upon in the performance agreement)

GAF/CMC	Weight	Own Assessment (-5)	Supervisor's Assessment (-5)
.			
.			
.			
.			
5.			
TOTAL	100 %		

Note: Weighting of GAF's/CMC's must total 100%

**C. Developmental Areas**

Specify areas in which the employee/SMS member was developed as indicated in the Performance Agreement and Personal Development Plan. If not developed, state reasons for this and specify the dates by when this will take place.

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This rating is based on my personal knowledge and observation of the Employee/ SMS member's performance. This rating has been discussed with me.

**D. Managing Unsatisfactory Performance**

Identify unsatisfactory performance and state actions taken or to be taken by when and by whom.

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**E. Employee's Comments**

(Can include obstacles encountered and overcome if applicable.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**F. Supervisor's Comments**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Probation : Quarterly Performance Assessment**

Employees (except GAFs and related occupations) on probation must be assessed on a quarterly basis using this form as the point of departure.

The manager must forward the completed form to the Section: Human Resources Management immediately after completion.

**Confidential**

Quarter	1	2	3	4
Surname and initials	_____			
Rank	_____			
Component	_____			
Date of appointment	_____			
Period of assessment	_____			
Persal no.	_____			

**Part 1 Comments by Employee**

(To be completed by Employee, prior to assessment. If the space provided is insufficient, the comments can be included in an attachment)

1. During the past quarter my major accomplishments as they related to my job description/Performance Agreement were:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. During the past quarter I was less successful in the following areas for the reasons stated:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Part 2 Quarterly Performance Assessment**

**2.1** Supervisor's assessment of Key Result Areas (KRAs):  
(Use the Performance Assessment Instrument in Annexure F)

**2.2** Supervisor's assessment of Generic Assessment Factors (GAFs):  
(Use the Performance Assessment Instrument in Annexure F)

**Final Score**

Grand Total	Own Rating	Supervisor's Rating	Moderating Com's Rating
KRA + GAF (70% + 30%) for levels 1-12			(If applicable)
KRA + CMC (80% +20% for SMS			
FINAL SCORE			(If applicable)

**Part 3 To be completed by the Supervisor**

**3.1** Employee to receive training for the following reasons:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**3.2** Is the Employee correctly placed?

YES  NO

**3.3** Upon expiry of his/her probationary period do you anticipate that he/she will be suitable for a permanent appointment?

YES  NO  If the employee is not correctly placed, please consult the Manager: People Management and Development.

**3.4** Supervisor's recommendation/s at the end of the probationary period: (Please complete either 3.4.1 or 3.4.2)

**3.4.1** I recommend the confirmation of \_\_\_\_\_'s probation, in view of the employee's diligence and because the Employee's conduct has been uniformly satisfactory.

**3.4.2** I recommend that \_\_\_\_\_'s probation be extended for a period of three/six/nine/twelve months for the following reasons:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_ Name: \_\_\_\_\_ Date: \_\_\_\_\_

**Part 4 Employee's Comments:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_ Name: \_\_\_\_\_ Date: \_\_\_\_\_

5. Recommendation/s in 3.4 approved in accordance with delegated authority.

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Signature: \_\_\_\_\_ Name: \_\_\_\_\_ Date: \_\_\_\_\_



**Improvements**

KPA/Competency	Areas for Improvement

**Performance Rating (Apply assessment calculator)**

The overall performance is (Tick one block only):

1. Unsatisfactory	
2. Marginal	
3. Satisfactory	
4. Commendable	
5. Outstanding	

Accepted	Not accepted
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Signatures :

Employee: \_\_\_\_\_

Date: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

**Final Assessment Form for Standards Framework** (Salary level 1-5 and some categories of professional staff)

Surname : \_\_\_\_\_

Name : \_\_\_\_\_

Persal no. : \_\_\_\_\_

Designation : \_\_\_\_\_

Date of appointment to this post : \_\_\_\_\_

Period of report: \_\_\_\_\_

Directorate/ Division: \_\_\_\_\_

Performance		
KPA	Weight	Rating (1-5)
TOTAL SCORE		

Competency		
GAF	Weight	Rating (1-5)
TOTAL SCORE		

**Performance Rating (Apply assessment calculator)**

The overall performance is (Tick one block only):

1. Unsatisfactory	
2. Marginal	
3. Satisfactory	
4. Commendable	
5. Outstanding	

Accepted	Not accepted
----------	--------------

Signatures :  
Employee: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_



# **ANNEXURE B**

## **GENERIC ASSESSMENT FACTORS (GAF) FOR ASSESSING PERFORMANCE OF EMPLOYEES LEVELS 12 AND BELOW**

## 1. GUIDE TO THE 15 GENERIC ASSESSMENT FACTORS

<b>1 Job Knowledge</b>	
<b>Rating 1</b>	<p><b>Unsatisfactory Performance</b>            Demonstrates a lack knowledge of the relevant policies and practices. Experiences great difficulty in learning. Places little value on keeping abreast of new work related developments.</p>
<b>Rating 2</b>	<p><b>Performance needs to Improve</b>            Demonstrates little knowledge of aspects of work-related policies and practices. Experiences some difficulty in acquiring/ learning. Places little value in keeping abreast of new work-related developments.</p>
<b>Rating 3</b>	<p><b>Competent</b>            Demonstrates a good knowledge of policies and practices. Experiences very little difficulty in acquiring/learning knowledge/ information. Keeps abreast of work-related developments.</p>
<b>Rating 4</b>	<p><b>Good Performance</b>            Demonstrates sound knowledge of all facets of work-related policies and practices. Eagerly keeps abreast of work-related and general public service wide developments.</p>
<b>Rating 5</b>	<p><b>Excellent Performance</b>            Demonstrates an outstanding knowledge of a wide spectrum of related work areas and public service issues.</p>

<b>2 Technical Skills</b>	
<b>Rating 1</b>	<p><b>Unsatisfactory Performance</b>            Fails to show willingness or ability to apply technical/ professional knowledge and skills. Abnormal amount of supervision is required. As a result, performance of workgroup/component is adversely affected.</p>
<b>Rating 2</b>	<p><b>Performance needs to improve</b>            Requires close supervision and constant guidance in order to properly apply technical/professional knowledge and skills to assigned tasks.</p>

Rating 3	<p><b>Competent</b> Demonstrates ability to apply technical/professional knowledge and skills to the immediate work situation. Normal level of supervision and guidance necessary.</p>
Rating 4	<p><b>Good Performance</b> Shows above average technical/professional knowledge and skills in the immediate and broader work environment. Little guidance/ counseling required.</p>
Rating 5	<p><b>Excellent Performance</b> Consistently demonstrates exceptional technical/professional knowledge and skills in relation to the immediate and broader environment. As a rule, no counseling or guidance is necessary.</p>

<b>3 Acceptance of Responsibility</b>	
Rating 1	<p><b>Unsatisfactory Performance</b> Declines all responsibility for own areas of work and that of subordinates, seriously impairing the work of work group/ component. Requires abnormal amount of supervision/instruction.</p>
Rating 2	<p><b>Performance needs to Improve</b> Either needs assistance in the form of training/ counseling, or cannot cope with the full range of responsibilities involved in the job, even though some training and/or counseling have been provided. Still room for improvement.</p>
Rating 3	<p><b>Competent</b> Constantly accepts responsibility in a competent manner for own areas of work and those of subordinates. When requested, can be relied upon to accept responsibility in respect of other employees' tasks in their absence. Normal level of supervision and counseling required.</p>
Rating 4	<p><b>Good Performance</b> Occasionally exceeds normal expectations, accepts responsibility very competently for own areas of work, those of subordinates and of other employees in their absence. Minimal guidance or counseling required.</p>

Rating 5	<p><b>Excellent Performance</b></p> <p>Often exceeds all normal expectations and accepts responsibility very competently for own areas of work, those of subordinates and other employees in their absence. Conduct can only be described as exceptional. The employee displays outstanding qualities, far exceeding the requirements of the job. Normally no guidance or counseling required.</p>
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<b>4 Quality of Work</b>	
Rating 1	<p><b>Unsatisfactory Performance</b></p> <p>Unwilling or unable to accomplish routine tasks. Requires abnormal level of supervision and instruction. Work of work group/component is being adversely affected.</p>
Rating 2	<p><b>Performance needs to improve</b></p> <p>Needs assistance to fulfill important or key tasks. Work not completed on time or at required level of competency. Individual targets not always met.</p>
Rating 3	<p><b>Competent</b></p> <p>Accomplished most of key tasks most of the time in a competent and acceptable way. Requires normal level of supervision and guidance.</p>
Rating 4	<p><b>Good Performance</b></p> <p>Work attests to high level of commitment and technical competence. Minimal supervision or guidance required.</p>
Rating 5	<p><b>Excellent Performance</b></p> <p>Constantly produces exceptional work, accomplishing all key tasks with high level of accuracy. Normally no guidance/counseling required.</p>

<b>5 Reliability</b>	
Rating 1	<p><b>Unsatisfactory Performance</b></p> <p>Fails to execute functions tasked with or within agreed upon time frames.</p>
Rating 2	<p><b>Performance needs to improve</b></p> <p>Continuously has to be reminded of responsibilities. Usually make excuses.</p>
Rating 3	<p><b>Competent</b></p> <p>Seldom needs to enquire about progress of a task. Shows commitment to work.</p>

Rating 4	<b>Good Performance</b> Eagerly takes on additional work and can be trusted to deliver.
Rating 5	<b>Excellent Performance</b> Far exceeds normal expectations. Copes easily and independently with greater responsibility.

<b>6 Initiative</b>	
Rating 1	<b>Unsatisfactory Performance</b> Demonstrates little or no creativity at work, seeking out repetitive or routine work. Consequently requires abnormal amount of supervision and instruction. Lack of creativity is detrimental to the work group/component.
Rating 2	<b>Performance needs to Improve</b> Performance of routine work satisfactory. Occasionally shows creativity, but not at the expected level.
Rating 3	<b>Competent</b> Develops own programmes/approaches to overcome problems. Competently performs according to expectations where general principles are not adequate to determine procedure or decisions to be taken. Requires normal level of supervision and counseling.
Rating 4	<b>Good Performance</b> Produces high level creative work, even in absence of guiding principles and precedents. Only limited guidance or counseling required.
Rating 5	<b>Excellent Performance</b> Constantly shows a high level of creativity. Always volunteers for additional responsibilities. Normally no guidance or counseling necessary.

<b>7 Communication</b>	
Rating 1	<b>Unsatisfactory Performance</b> Demonstrates a lack of being able to express facts and ideas clearly and logically, both orally and in writing. Considerable time spent on guidance and editing of work.

Rating 2	<b>Performance needs to improve</b> Demonstrates some ability to express facts and ideas in a clear and logical manner orally or in writing. Often requires guidance and editing.
Rating 3	<b>Competent</b> Clearly and logically expresses facts and ideas orally or in writing. Needs normal guidance and editing.
Rating 4	<b>Good Performance</b> Above average ability to express facts and ideas clearly and logically, both orally and in writing. Needs minimal guidance and editing.
Rating 5	<b>Excellent Performance</b> Demonstrates an exceptional ability to express facts and ideas clearly and logically, both orally and in writing. Requires no guidance and editing.

<b>8 Interpersonal Relationships</b>	
Rating 1	<b>Unsatisfactory Performance</b> Demonstrates the need for persistent mediation and intervention when interacting with others. Shows lack of co-operation, consideration and respect to other employees/clients. Impolite and inconsiderate.
Rating 2	<b>Performance needs to improve</b> Demonstrates the need for above average mediation and intervention actions when interacting with others. Gives little co-operation to others and has no consideration for ideas initiated by others.
Rating 3	<b>Competent</b> Co-operates well with supervisors, colleagues and those supervised. Polite and respectful of others. Demonstrates a sound and healthy attitude when interacting with others.
Rating 4	<b>Good Performance</b> A sought after team member. Listens well and able to motivate others to achieve organisational goals. Demonstrates a sound and healthy attitude when interacting with others.
Rating 5	<b>Excellent Performance</b> Demonstrates an exceptionally sound and healthy attitude when interacting with others. Able to get the co-operation of others under difficult circumstances.

<b>9 Flexibility</b>	
<b>Rating 1</b>	<b>Unsatisfactory Performance</b> Refuses to undertake new work or accept changes in work practices. Work of work group/component seriously impaired as a result. Requires abnormal amount of supervision and instruction.
<b>Rating 2</b>	<b>Performance needs to improve</b> Ability to adapt to change is tolerable but not up to standard.
<b>Rating 3</b>	<b>Competent</b> Will readily accept changes in work, work patterns or procedures, work location etc. in order to help achieve objectives.
<b>Rating 4</b>	<b>Good Performance</b> Not only adapts to change him-/herself, but also encourages others to adopt more flexible approaches to work
<b>Rating 5</b>	<b>Excellent Performance</b> Often exceeds all normal expectations, encouraging and promoting flexibility at every opportunity

<b>10 Team Work</b>	
<b>Rating 1</b>	<b>Unsatisfactory Performance</b> Unwilling or unable to co-operate with others. Demonstrates lack of commitment and negates team work. Work of team adversely affected.
<b>Rating 2</b>	<b>Performance needs to improve</b> Able to demonstrate a level of co-operation with immediate colleagues but needs assistance in communicating and influencing others.
<b>Rating 3</b>	<b>Competent</b> Acceptable and gets on well with colleagues. Able to influence and communicate well as part of a team. Works to achieve team objectives. Requires normal level of supervision and guidance.
<b>Rating 4</b>	<b>Good Performance</b> Good influencing and communication skills, is able to produce above average results for team. Requires minimal guidance or counselling.

Rating 5	<p><b>Excellent Performance</b></p> <p>Demonstrates exceptional abilities working as member of a team. High level of communication skills and has ability to influence and motivate others to achieve targets. Coaches other team members to results. Little or no guidance required.</p>
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<b>11 Planning and Execution</b>	
Rating 1	<p><b>Unsatisfactory Performance</b></p> <p>Generally inadequate, resulting in energy, time, human resources, equipment and finances being wasted. Lacks ability to define the scope, length and difficulty of projects. Not clear on the processes. Weak development of work plans.</p>
Rating 2	<p><b>Performance Needs to Improve</b></p> <p>Some aspects of work results in wasted resources. Little contingency planning. Shows inability to define the length and difficulty of projects. Not clear on the process steps. Weak development of work plans</p>
Rating 3	<p><b>Competent</b></p> <p>Demonstrates ability effectively and efficiently. Demonstrates the ability to define the scope, length and difficulty of projects. Clear on processes. Well defined work plans.</p>
Rating 4	<p><b>Good Performance</b></p> <p>Demonstrates ability to consistently be effective and efficient. Considers relevant information critically and thoroughly. Demonstrates a good ability to define the scope, length and difficulty of projects. Well defined work plans.</p>
Rating 5	<p><b>Excellent Performance</b></p> <p>Demonstrates an exceptional ability to define the scope, length and difficulty of projects. Clear sequencing of events/activities/process steps. Work plans exceptionally well defined. Achieves quality results on time.</p>

<b>12 Leadership</b>	
Rating 1	<p><b>Unsatisfactory Performance</b>            Makes no attempt to motivate or control subordinates. Lack of leadership has detrimental effects on the work group/component.</p>
Rating 2	<p><b>Performance Needs to Improve</b>            Motivation and control of subordinates is deficient. Room for improvement and personal development</p>
Rating 3	<p><b>Competent</b>            Demonstrates leadership qualities through motivation and control of subordinates. Work group/component produces good standard of work in terms of quality and quantity.</p>
Rating 4	<p><b>Good Performance</b>            Demonstrates above normal leadership qualities. The work group produces good to superior standard of work in terms of quality, quantity and timeliness.</p>
Rating 5	<p><b>Excellent Performance</b>            Constantly maintains very high standards and manages to overcome problems of motivation and control with minimum guidance or counselling from above. Quality, quantity and timeliness of work group/ component of excellent order.</p>

<b>13 Delegation and Empowerment</b>	
Rating 1	<p><b>Unsatisfactory performance</b>            Demonstrates an inability to assign tasks/functions to develop employees. Fails to give clear instructions. Fails to communicate expectations. Impedes on applicable and appropriate initiatives and the creativity of employees without any valid reason.</p>
Rating 2	<p><b>Performance needs to improve</b>            Seldom assigns tasks/functions to develop employees or gives clear instructions/tasks. Fails to communicate expectations. Often impedes on applicable and appropriate initiatives and the creativity of employees without any valid reason.</p>
Rating 3	<p><b>Competent</b>            Experiences very few problems in assigning tasks/ functions responsibly. Shows trust in the ability of others and seeks to develop their potential.</p>

Rating 4	<p><b>Good Performance</b> Shows a clear understanding of responsibility and authority when delegating. Assigns tasks/functions to develop employees in an appropriate and relevant manner and provides the necessary guidance and support.</p>
Rating 5	<p><b>Excellent Performance</b> Shows a clear understanding of responsibility and authority when delegating. Assigns appropriate tasks/functions to employees and provides the necessary guidance and support. Fully utilizes and develops human capital by providing adequate training and development opportunities.</p>

#### 14 Management of Financial Resources

Rating 1	<p><b>Unsatisfactory Performance</b> Unable to demonstrate any significant organizing, controlling and delegating skills or time management skills. Ignores or bypasses reporting lines and is insensitive to subordinates. Activities result in fruitless and wasted resources.</p>
Rating 2	<p><b>Performance needs to improve</b> Demonstrates a degree of organizing skill. Objectives may be defined but not followed through. Maps a way forward, but does however not instill the required discipline to achieve results. Possesses a degree of delegating skill but overlooks the need to develop staff. Has time management skills but requires assistance in the application thereof. Shows some ability to prepare budget and to control expenditure, but has not mastered the technique of financial planning.</p>
Rating 3	<p><b>Competent</b> Demonstrates acceptable organizing skills, little guidance is necessary. Able to define objectives, organize staff and demonstrate good budget control skills with normal supervision and guidance. Delegates well to staff. Encourages staff initiatives and assists with the overall development of subordinates.</p>

Rating 4	<p><b>Good Performance</b></p> <p>Shows good organizing skills and copes well with sporadic large increases in staff numbers or other resources, defines objectives, anticipates problems and has good budget control skills with limited supervision or counseling required. Effective time management skills in most areas. Usually achieves objectives by continuously encouraging and demonstrating a sense of enthusiasm to subordinates. Delegates and generally coaches and trusts staff.</p>
Rating 5	<p><b>Excellent Performance</b></p> <p>Demonstrates ability and experience in organizing and controlling large volumes of resources, specialized work and staff. Plans well for contingencies in unforeseen circumstances. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent budget control skills. Exceptional delegation skills with large numbers of staff or specialists. Coaches and trusts staff expanding their potential. Holds regular feedback meetings and jointly formulates plans and objectives.</p>

<b>15 Management of Human Resources</b>	
Rating 1	<p><b>Unsatisfactory Performance</b></p> <p>Unable to demonstrate any significant organizing, controlling, delegating or time management skills. Ignores or bypasses and insensitive to subordinates. Activities result in wasted resources.</p>
Rating 2	<p><b>Performance needs to improve</b></p> <p>Demonstrates a degree of organizing skill. Objectives may be defined but not followed through. Maps a way forward, but does however not instill the required discipline to achieve results. Possesses a degree of delegating skill but overlooks the need to develop staff. Has time management skills but requires assistance in the application thereof.</p>
Rating 3	<p><b>Competent</b></p> <p>Demonstrates acceptable organizing skills, little guidance is necessary. Able to define objectives, organize staff and demonstrate good budget control skills with normal supervision and guidance. Delegates well to staff; encourages their initiatives and assists with the overall development of subordinates.</p>

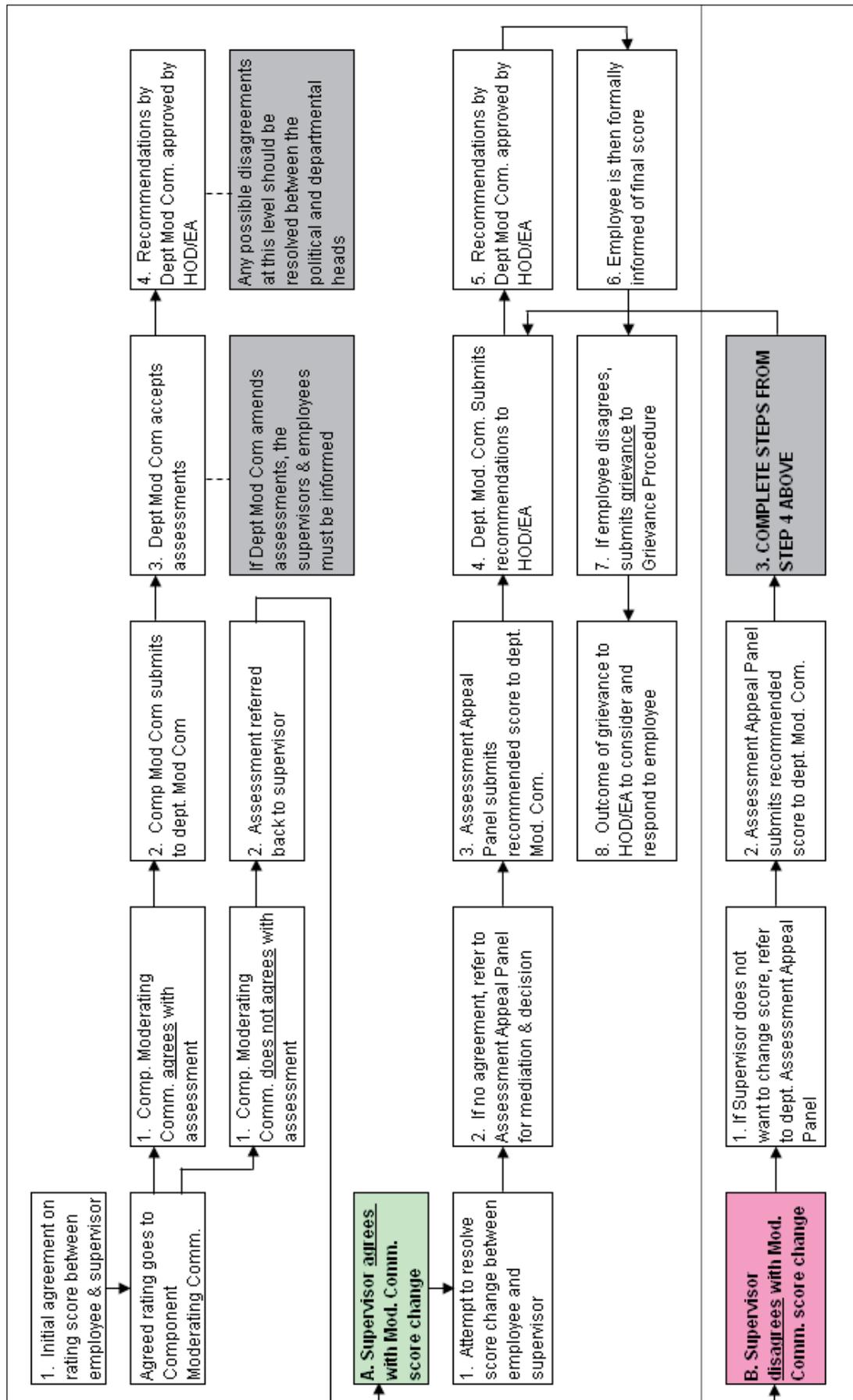
<b>Rating 4</b>	<b>Good Performance</b> Shows good organizing skills and copes well with sporadic large increases in staff numbers or other resources, defines objectives, anticipates problems and has good budget control skills with limited supervision or counseling required. Effective time management skills in most areas. Usually achieves objectives by continuously encouraging and demonstrating a sense of enthusiasm to subordinates. Delegates and generally coaches and trusts staff.
<b>Rating 5</b>	<b>Excellent Performance</b> Demonstrates ability and experience in organizing and controlling large volumes of resources, specialized work and staff. Plans well for contingencies in unforeseen circumstances. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent budget control skills. Exceptional delegation skills with large numbers of staff or specialists. Coaches and trusts staff expanding their potential. Holds regular feedback meetings and jointly formulates plans and objectives.

# **ANNEXURE C**

## **SCENARIOS IN THE EVENT OF AGREEMENT AND DISAGREEMENT ON ASSESSING RATING SCORES**

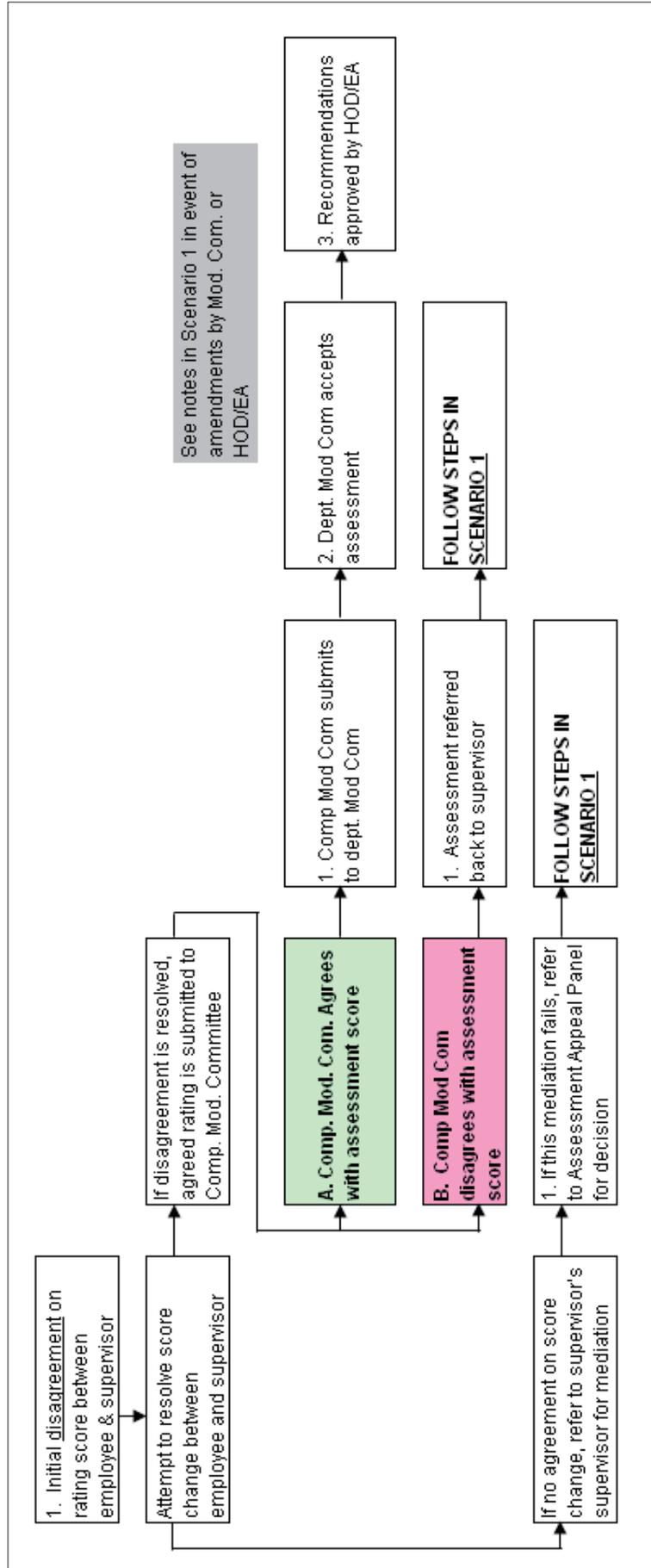
Scenario 1

Agreement on Assessment



Scenario 2

Disagreement on Assessment





# ANNEXURE D

## PMDS TOOLKITS

The toolkit consists of the following parts namely:

1. Guideline for developing a PMDS implementation plan
2. PMDS validation process guide
3. Guideline for conducting performance reviews and assessments

## 1. OPERATIONAL PLANNING

### 1.1 What is an Operational Plan / Business Plan?

An operational plan is also known as a business plan. The 'one-year operational' plan provides greater operational detail regarding the first year of the strategic plan. As the planning horizon moves closer, plans need to become more concrete. A business/operational plan should therefore have sufficient detail to serve as management's guiding document and provide a basis for evaluating and comparing what the organisation should be doing and is in fact doing. Generally, the business plan is linked to the organisational budget and stretches over a period of one year which is linked to the financial yearend.

### 1.2 What is a Departmental Operational Plan?

The departmental business/operational plan describes how the department aims to achieve its strategic objectives through specific outputs or deliverables which is linked to a measurable indicator. The strategic objectives set by the department are broken up into more specific outputs, which should be attainable within a period of one year. Once completed, this plan "paints a picture" of how the department intends to consolidate the effort/output of its various branches/divisions or directorates in order to realize the vision/mandate of the department. The plan further also serves as a working document and gives guidance to the work of the department for the financial year under review.

The departmental operational/business plan forms the basis for all performance, work plan and standards framework agreements.

### 1.3 How does it differ from the Departmental Strategic Plan?

The departmental strategic plan is a tool used in the long-term planning process. Strategic plans generally have a three to five year planning horizon. In the public sector, strategic plans span a three year period (Medium Term Strategic Framework – MTSF) and are linked to the Medium Term Expenditure Framework (MTEF). The business/operational plan has a one year timeframe, and operationalises the first year of the three year strategic plan. It provides more specific details as to how the strategic plan will be realised and how specific efforts will be channeled to realize specific objectives set in the strategic plan.

### 1.4 What is a Directorate/ District Operational Plan?

It is recommended that each directorate or district formulate their own operational plans, using the departmental operational plan as a source document. These operational plans for directorate or district outline in greater detail, the areas of delivery and performance each directorate/district will be responsible for, and towards which departmental outputs they will contribute towards. They reflect in greater detail inter-linkages with other departments or directorates and describe the specific actions to be undertaken and by whom, for the period under review.

The directorate/district operational plan forms the basis for all performance, work plan and standard framework agreements.

### **1.5 How Does it Differ from Action Plans?**

Team or unit work plans are optional components of the PM framework and should only be used when it makes sense to do so. Plans should reflect the level of detail required according to the nature of the team's responsibility. Plans must be very focused on the task for which the team is accountable.

### **1.6 Why is the Operational Plan Critical?**

The departmental operational/business plan forms the basis of the work plan in the performance agreement of the Head of Department (HOD). The HOD's work plan therefore also serves as a base for developing the performance agreements and work plans of the various Chief Directors in a department. The same work plans are then further cascaded down to the Directors, Deputy Directors and other personnel at lower levels. Ultimately, you should be able to start at the lowest level and trace the outputs of an employee to see how it links back and contributes to outputs at higher levels. It should ultimately be designed in a way that all outputs relate back at all levels to the work plan of the HOD which in turn is linked to the department's business and strategic plan.

### **1.7 Other Government Guidelines Dealing With Strategic and Operational/ Business Planning?**

In July 2002 the National Treasury revised a discussion document entitled "Proposed Generic Framework and Format for Strategic Plans for Provincial Departments." In summary, the document attempts to co-ordinate reporting requirements of the PFMA, Treasury Regulations, PSA regulations and requirements of National Treasury. The National Treasury circular to Departments outlines a generic planning format in government and forms the basis for all planning activities in government. The templates/formats do not describe or dictate a process of planning but rather proposes how strategic plan information should be presented. The formats and templates represent minimum information required and must be customized to meet departmental needs.

A number of government documents deal with the issue of strategic planning and operational planning. The following are the most relevant:

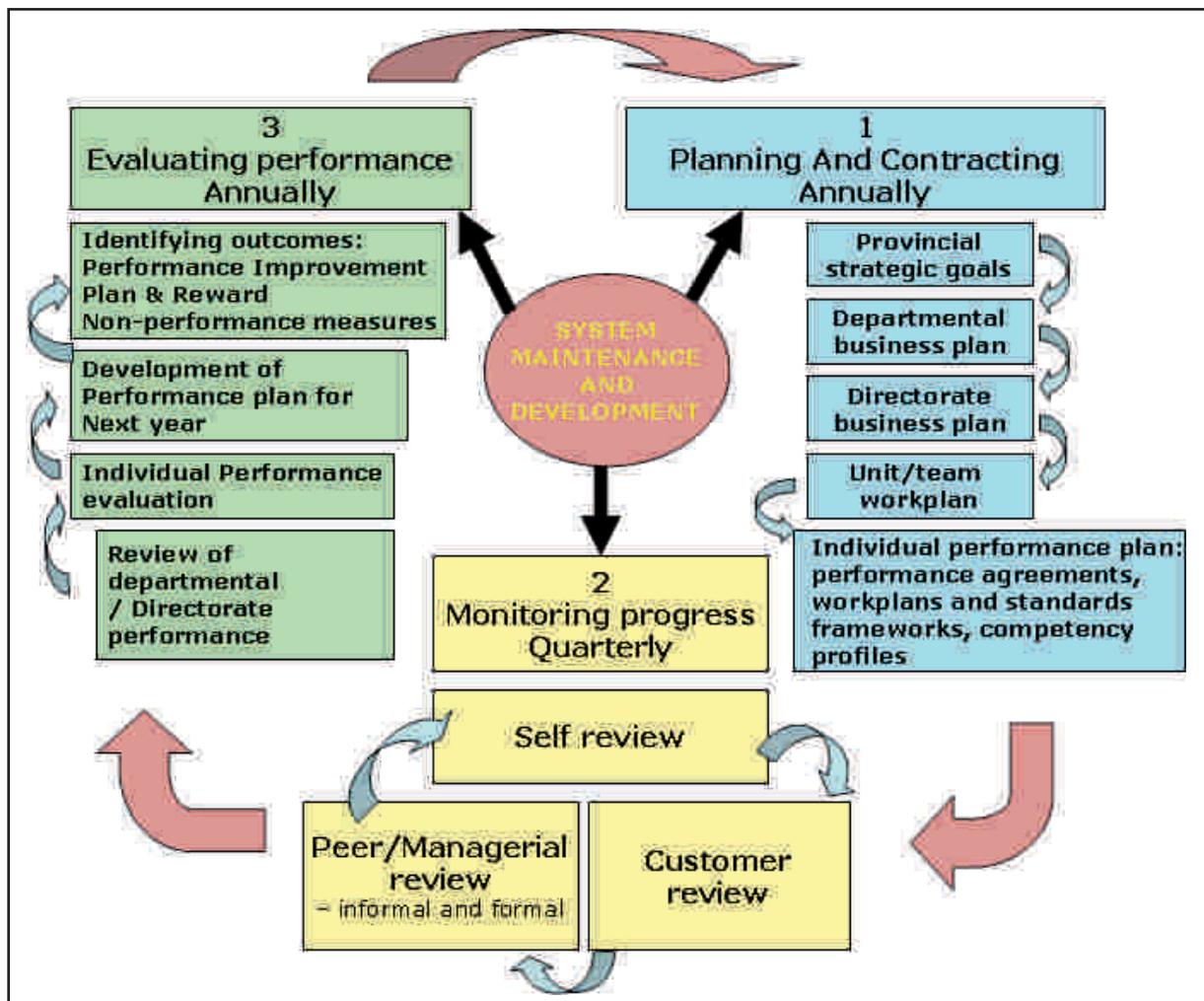
- Chapter 2 – Guidelines for Accounting Officers
- Chapter 5 – Treasury Regulations ( May 2000)
- Chapter 1, Part III B - Public Service Reg's 2001
- National Treasury Guidelines for Annual Reporting

### **1.8 How does the Business Plan Link to the PM System?**

The Business Plan links to the PM system as it reflects the integration of all plans for all departments. It is furthermore informed by the strategic plan and the plans of the HR, financial and service delivery aspects of an organisation.

The Business Plan forms part of the Planning and Contracting phase of the PM cycle, as shown below:

How the Business Plan fits into the PM System



## 1.9 What are the Key Components of the Operational / Business Plan?

It is critical to have a conceptual overview of the whole process to ensure that your business plan is performance orientated.

The operational plans represent a bottom up process of determining the following:

- Objectives
- Outputs
- Overall budget
- Overall staffing needs
- Performance management framework
- Core business processes
- Systems and procedures required

The logic of process represents but one conceptual sequence:

- Steps 1 to 4 represent a quick environmental scan and situational analysis
- Steps 5 to 9 are required to complete the actual business / operational plan
- Steps 10 to 13 compliment your review and assessment process.

**Step 1** Review applicable legislation for any changes

**Step 2** Review the National and Provincial Priorities and Departmental Priorities as set out in current strategic planning or other relevant documents

**Step 3** Confirm a common or shared understanding of the department's mandate and core business

**Step 4** Develop a clear understanding of your clients and how their needs are translated into key strategies / objectives or key performance areas

**Step 5** Formulate or extract from the national / provincial plan into your department or directorate business plan, the strategic goals or key focus areas and objectives for your area of work

**Step 6** Develop outputs and activities to attain your objectives

**Step 7** Express key objectives in terms of measurable outputs or key deliverables

**Step 8** Ensure your outputs are expressed as measurable outputs, with some form of stated performance measures

**Step 9** Calculate a timeframe for attainment and assign responsibility per output

**Step 10** Consider the enabling condition required for delivery of the outputs

**Step 11** Review how the attainment of these outputs influences resource demands

**Step 12** All the above should then be linked to the Performance Management System and the budget and should act as monitoring and evaluation tools for the organization

**Step 13** Finally, once the business plan is completed, communicate it to the staff. Unlike the strategic plan which needs to be widely communicated and available to external stakeholders, the business plan must serve as an internal document and management tool.

**Note:** Comprehensive guidelines for developing an operational plan can be sourced from the PMDS toolkit "Guidelines for developing an operational plan".

## 2. PMDS IMPLEMENTATION

The following elements are critical for the implementation of the Performance Management and Development System (PMDS). The development or review of a PMDS Implementation Plan which should focus on how the PMDS will be rolled out to all levels in a department and its Management Support Plan detailing management responsibilities.

### 2.1 Objectives

The development of a PMDS Implementation and a Management Support Plan has a number of important objectives, namely:

- To ensure that PMDS units and committees are set up in each department
- To develop a process map for departments to use, reflecting how the PMDS will be rolled out to all levels in a department and how related processes will be integrated
- To finalize agreements for the particular financial year and ensure compliance with the PMDS cycle
- To refine the various tools in an attempt to ensure that they are user-friendly and easy to understand
- To ensure that the PMDS is fully implemented, widely communicated and fully understood, especially for staff situated in regional or district offices.

### 2.2 Outcomes

The expected outcomes are as follows:

- PM system implemented at all levels, regions and districts
- PM system aligned to existing business plans, Service Delivery Improvement Plans (SDIPs), Work Place Skills Plans, Employment Equity Plans, and other planning processes
- PMDS policy and agreed PM tools are utilized
- PMDS Progress evaluation reports are completed monthly
- Skills and process gaps are identified and addressed to ensure that the system succeeds.

### 2.3 Time-frame

A timeframe must be set for the completion of the PMDS Implementation Plans. It is suggested that the implementation plan should cover activities for a complete financial year e.g. 2007/2008 It is also expected that departments complete or revise the actual plan as soon as possible during the new financial year, e.g. to be completed by 10 April 007.

### 2.4 Implementation Approach

In developing the PMDS Implementation plan it is important to identify and differentiate between the support requirements of the Head of the Department, the management team, supervisors and general staff in relation to the areas outlined on page 102.

Use the following matrix as a guide to identify support elements of each stakeholder:

Stakeholder	Support Elements				
	Content	Role	Implementation Process	Dealing with people	Integrating with other processes
HOD					
Management					
Supervisors					
General Staff					

In developing the PMDS Implementation Plan it is important to reflect on the following:

- The other skills and processes that have been identified as necessary to ensure that the system succeeds
- The introductory work already undertaken to date in the department
- Problems encountered at different levels/sections of the department that have already engaged in the process
- The management processes necessary to make the system succeed
- Role of departmental review and/or audit committees
- Role of the Heads of Department as a collective management structure
- Linkages to other provincial initiatives, e.g. Batho Pele
- Role of the Office of the Premier.

### Checklist

- Does each stakeholder understand the content of the system as a whole, and the various components within it?
- Does each stakeholder understand the role that the stakeholder or stakeholder group must play within the system?
- Does each stakeholder understand what is required during the implementation process? Has the implementation plan been widely communicated?
- Is each stakeholder able to handle the 'softer' side of PM – communicate effectively with people?
- Does each stakeholder understand how the PMDS needs to integrate with other initiatives and plans already in place?

Based on these requirements, the proposed format for the implementation plan is outlined below.

**2.5 PMDS Implementation Plan Format**

A PMDS Implementation Plan (Rollout plan) should be developed for each department along the following lines:

Activities	Output	Timeframe	Responsibility	Assumptions/risks

## Checklist of Key Steps

### STEP 1 Establishing PM Unit and PMDS Committee

In order for PMDS implementation to succeed, a functional and coordinated PMDS implementation team is required.

**Objective** To clearly outline the process to be followed during implementation; to agree on the methodology for implementation and to plan all subsequent activities, in order to ensure that all team members understand their role and what needs to be undertaken during the period

**Activities**

- Hold “start-up” meeting for the team to consider any proposed revisions to the existing plans or to develop new plans
- Identify all departmental documentation and processes that will need to be incorporated into the piloting process
- Address any initial concerns about the implementation process.
- Finalise the implementation plan in proposed format as given in this document and agree on a resource strategy, including the allocation of roles and responsibilities within the team
- Develop a Terms of Reference document for the PMDS Committee
- Team meets with the Head of the Department to agree on the process for implementation.
- Convene the first meeting of PMDS Committee

#### Primary Responsibility

- Chief Director HR/ Corporate Services to convene “start-up” meeting
- Prepare implementation plan
- All team members to comment on proposed implementation plan at “start-up” meeting and again after initial pilot
- Chief Director to set up meeting with HOD, include full team

#### Suggested Time-frame

- Units set up and implementation plan produced within 5 days

**Outcome**

- Clear plan for PMDS Implementation
- All team members understand their roles

#### Checklist

- Has a memo been circulated informing all managers of the role of the unit and its contact details?
- Have supervisors been given adequate exposure to the system to assist in its implementation?
- Do plans exist?
- Must new plans be developed?
- Has a PROGRAMME/PROJECT driver been nominated?
- Has a terms of reference document been developed and finalized for the PMDS committee?
- Has the first meeting been convened and work plans approved?
- Do all team members have a copy of the Provincial PMDS Handbook and Provincial PMDS Policy?

## STEP 2 Introduction and Promotion of the System

**Objective** To ensure that all stakeholders are familiar with the latest departmental operational plan As well as the PMDS implementation plan and to circulate all relevant and related documents within the department

- Activities**
- Circulate copies of current operational plan to all components
  - Circulate copies of current PMDS Implementation Plan to all components and create a common understanding of the implementation process
  - Complete the PMDS audit report on the current status of departmental PMDS processes
  - Circulate newsletters and information sheets on the system
  - Hold meetings with stakeholder groups who can help facilitate the roll-out process – e.g. other service delivery components and unions
  - Hold PMDS “start-up” workshops with staff where necessary
  - Facilitate peer group discussion in branches and divisions
  - Review inputs received from workshops / suggestion box
  - Circulate official copies of assessment instruments
  - Ensure copies of instruments are available on departmental intranet sites, where available
  - Provide stakeholders with further information when required
  - Create a sense of ownership of the system
  - Create a common understanding of the PM System

### Primary Responsibility

- PMDS unit supported by supervisors

### Suggested Time-frame

- Will vary, depending on the size of department or institution. Promotion is also an on-going activity

**Outcome** • All stakeholders aware of the PMD system and how to implement and support it.

### Checklist

- Have the strategic and business plans for the institution been finalized and approved?
- Has a PMDS institutional plan been approved?
- Were meetings held with all relevant stakeholders?
- Are all relevant stakeholder groupings familiar with the operational and PMDS implementation role-out plans of the institution?
- Have the relevant documents been circulated to all stakeholder groupings?
- Have PMDS “start-up” workshops been held?
- Were sufficient assessment instruments circulated?
- Are the same instruments available on the Departmental Intranet website?
- Are they accessible to the institution?

**STEP 3 Training**

**Objective** To build capacity within the institution thus ensuring an efficient and effective roll-out of the implementation process

- Activities**
- Detail how training will be rolled out to all staff – including elements such as by whom, when, where
  - All senior managers trained on system – to use and manage it
  - Supervisors and other staff responsible for implementation identified
  - Staff identified to be trained as trainers for purposes of implementing the system
  - Every staff member in department trained
  - Evaluation process linked to each training session

**Primary Responsibility**

- PMDS units supported by departmental HRD staff

**Suggested Time-frame**

- Will vary, depending on the size of the department or institution. Training is divided into different levels. The content can also vary according to the cycles

**Outcome**

- Confident PMDS drivers and staff members capable of supporting the process.

**STEP 4 Implementation**

**Objective** • To ensure that the system is cascaded down to the lowest level

- Agreements and work plans are developed
- Activities**
- Using the business plan, cascade performance agreements down to all levels of staff using the Head of the Department's performance agreement as the basis
  - Every staff member develops a work plan with appropriate content
  - Provide a generic list of support requirements. Use the support matrix as a guide
  - Ensure all management levels -6 have individual performance plans in place
  - Ensure all staff develop work plans
  - Ensure all agreements are signed
  - Draw up schedule of signed agreements
  - Assess current support requirements and make support accessible
  - Update the PMDS Progress Audit Report weekly
  - Seniors sign agreements off weekly
  - Undertake the PMDS compliance check of a sample of agreements
  - Report to the PMDS committee regarding progress and compliance
  - Support branches in the completion of agreements
  - Conduct a PMDS focus week.

**Primary Responsibility**

- Head of the Department. The PMDS unit assisted by the supervisors must ensure that agreements are signed.

**Suggested Time-frame**

- Will vary, but must be divided into phases. The st phase must be completed in the st quarter, i.e. the PMDS system introduced to everyone in the department / institution.

**Outcome**

- Each individual (or group of individuals) is clear about their role and contribution to the overall strategy of the department.

**Checklist**

- Are institutional strategic and operational plans aligned to that of the Department?
- Has the head of the department developed the performance agreement?
- Has it been signed?
- Have members of the directorate developed and signed their own agreements?
- Is a schedule of signed agreements available?
- Have all staff members developed work plans?
- Was a validation exercise on the Performance Agreements been done?
- Has support been given to branches with the completion of agreements?
- Have assessment tools and templates been circulated on intranet?
- Have recordings of compliance (i.e. submission of agreements) and weekly reconciliation been done?
- Was the control form detailing signed off agreements checked and lodged with registry?

**STEP 5 Link to Other Planning Processes**

**Objective** PMDS should be an integral part of other planning processes

- Activities**
- Link performance reviews to quarterly reports
  - Assess overall institutional performance

**Primary Responsibility**

- Link developmental needs to a training programme
- Quarterly evaluation workshop
- Linking to HRD, EAP
- Identification of good and poor performers after each review
- Finalization of PDPs
- Monitoring implementation of PDPs
- Adjustments of PDPs after subsequent reviews
- Finalization of the directorate's business plan for the next financial year

**Suggested Time-frame**

- months

**Outcome**

- Fragmented planning is avoided and resources are used effectively

**Checklist**

- Have all other planning processes that impact on Performance Management been identified?
- What alignment has to take place?
- Is there a link with a training programme?
- What monitoring mechanism is there to ensure a link with other planning processes?

**STEP 6 Performance Review**

**Objective** To assess progress with the aim to undertake the necessary support and assistance when required. Similarly to identify areas that may require an adjustment in the system.

- Activities**
- Ensure the first progress review discussions take place
  - Review application of the system
  - Make recommendations on adjustments to the system
  - Ensure the second round of review discussions take place
  - Ensure the third round of review discussions take place
  - Give technical support to managers embarking on reviews
  - Provide a combined report on the 1st quarter PMDS reviews.
  - Present findings to the PMDS committee
  - Provide a combined report on the 2nd quarter PMDS reviews
  - Present findings to the PMDS committee
  - Provide a combined report on the 3rd quarter PMDS reviews
  - Present findings to the PMDS committee.

**Primary Responsibility**

- Head of Department assisted by supervisors must ensure that reviews take place and reports are submitted at agreed times.

**Suggested Time-frame**

- - weeks set aside each quarter for review discussions.

**Outcome**

- Problem areas are identified early and remedial action taken.

**Checklist**

- Have affected employees been reminded about their review dates?
- Have they been reminded about their responsibility to prepare for the reviews?
- Similarly, are supervisors ready and prepared for the reviews?
- Has technical support been given to managers/supervisors in carrying out assessments?
- Has the employee been informed in writing of the outcome of the review process?

**STEP 7 Performance Evaluation**

**Objective** The primary goal of performance evaluation is to identify good, poor or non performance

- Activities**
- Ensure that the performance of all staff is appraised
  - Constitute a committee to oversee the appraisal process in line with legislation
  - Record assessments
  - Provide a combined report on assessments
  - Present findings to the PMDS committee.

**Primary Responsibility**

- Head of Department, assisted by Supervisors must ensure that performance assessments are done and reports submitted

**Suggested Time-frame**

- - weeks set aside in last quarter for performance assessments

**Outcome**

- Evaluation reports identifying what steps have to be taken (if any) in relation to the staff member who has been assessed.

**Checklist**

- Has technical support been given to managers in carrying out assessments?
- Has the recording of assessments taken place?
- Was a presentation done to the PMDS committee of the assessment reports and decisions on outcomes?
- Have good, bad and none performers been identified?
- Have remedial and or corrective action been taken where necessary?

**STEP 8 Performance Management Committees**

**Objective** PM Committees have an oversight role in monitoring the implementation and management of the system

- Activities**
- First quarterly review of the system, progress, implementation and applicability of tools
  - Adjustment of systems and monitoring of changes, if required
  - Communication of changes
  - Analysis of links between individual and organizational performance
  - Implementation and monitoring of decisions
  - Decisions on managing performance outcomes
  - Feeding recommendations into next year's planning cycle.

**Primary Responsibility**

- PMDS Committees to submit details of their changes to recommendations to the HOD for endorsement before implementation.

**Suggested Time-frame**

- Will vary depending on the size of the institution/department.

**Outcome**

- Make final decisions on recommendations with regard to recognition or corrective measures and recommend changes to the system.

### **Checklist**

- Have quarterly reviews of systems and tools been performed?
- Were adjustments made to the systems and the changes monitored?
- Has a review of the strategic plan in line with individual performance outcomes been performed?
- Has a draft business plan for the next financial year been developed?
- Did you inform the OTP of the changes if you have adjusted the system in accordance with the department's specific needs?
- Have all stakeholders within your institution been consulted?

### 3. VALIDATION PROCESS

#### 3.1 Purpose

Each department must undertake an annual process to check the quality of its strategic and operational plans and performance agreements. The overall aim is to assess whether the current departmental performance management outputs/processes link into the broad and consistent plans for staff development and is aligned with the department's strategic goals. This document sets out the elements of the validation process and explains the reasons for undertaking each element.

You must remember that performance and development happens at different levels. When visiting departments we will have to be clear on the difference between individual, team and departmental performance. Team and departmental performance fall under the organisational performance category and must also be seen within the broad context of public service performance.

#### 3.2 The Role of Performance Management

The Performance Management System (PMS) must provide a framework which links departmental objectives with the overall strategic goals of the National Government and the Province. It should also provide for a link between departmental performance and individual performance. The objectives contained in the departmental plans should contribute to the overall achievement of National and Provincial strategic goals. In turn, individual performance plans should contribute to the achievement of departmental objectives.

The overall purpose of the PMS is to provide a mechanism to assess, review and account for the actual achievement of a department. The intended outcome is a continuous improvement process focusing on capacity and capacity utilization, which should therefore result in improved service delivery. Individual work performance must have a direct and clear relationship with organisational goals and performance.

#### 3.3 Purpose of the Validation Process

Each department must undertake an annual process to check on the quality of its strategic and operational plans and performance agreements. The overall aim is to assess whether the current departmental performance management outputs/processes link to broad and consistent plans for staff development and is aligned with the department's strategic goals. This document sets out the elements of the validation process and explains the reasons for undertaking each element.

You must remember that performance and development happens at different levels. When visiting departments we will have to be clear on the difference between individual, team and departmental performance. Team and departmental performance fall under the organisational performance category and must also be seen within the broad context of public service performance.

### **3.4 The Concept of Total Quality**

#### **3.4.1 Definition of Quality Concepts**

Various terms are used when the total quality concept is discussed. These terms sometimes cause confusion, and for this reason the following definitions are given:

#### **3.4.2 Total Quality Control**

This comprises an effective system for integrating all organizational activities that deal with the development, maintenance and improvement of quality. This enables the functions of service with the aim to ensure optimal customer satisfaction.

#### **3.4.3 Total Quality System**

The total quality system is a working structure agreed to and documented by the organisation as a whole. This is achieved by the effective integration of all management procedures. It is aimed at co-coordinating and directing the actions of the work force, the services rendered and the information of the organisation in the best possible way to satisfy the customer's quality requirements and to ensure that an economic cost is attached to quality service. The above is representative of a system that must be created to implement total quality management in an organisation.

#### **3.4.4 Total Quality Management**

Total quality management begins with the creation of a total quality system through which management implements various strategies to measure, improve and maintain quality. It is aimed at continuously improving the quality of the services provided by the organisation. This is achieved through participation at all levels in an organization. The term total quality is often used in practice to encompass all of the above.

Total quality is purposefully aimed at satisfying the customer's needs. This customer may be another process within the organisation, or it may be an external customer. The definition also clearly states that total quality is aimed at constant improvements in the organisation as a whole not only in service. Quality cannot be separated from the institution or the organisation rendering the service. As such this responsibility vests with the source, where self-inspection can be used as a method to ensure quality control. It is therefore clear from the above problems must be anticipated before they can influence the organisation.

#### **3.4.5 The Difference between Quality Control and Inspection**

Before continuing with the discussion of quality control, a description of the difference between quality control and inspection is necessary for a better grasp of the concept.

**Quality control** has to do with preventing deviations. Proper standards are determined beforehand, and an effort must then be made to comply with these set standards. Quality control is a continuous process and consequently involves the prevention of inadequacies in services rendered. Total quality control can be defined as the efficient integration of the quality development, quality maintenance and quality improvement efforts of the various groups within the organisation. The integration of the various efforts mentioned makes the delivery and marketing of services in the most economical way and ensures optimal

customer satisfaction.

**Inspection** is merely a component of quality control. Inspection is not preventative, as an output is subjected to inspection after it has already been completed. The end service has either been completed or passed a specific phase of service delivery before any inspection is carried out. Any inadequacies are only evident at the end of the service delivery process or at the end of a specific phase of the service delivery process.

It is always better to act proactively by building quality into the service. This reduces the risk that inadequacies will only be detected only at the end of the service delivery process. Quality checks must therefore not only be built into the service by means of inspections.

### 3.4.6 Types of Quality Control

#### 1. Statistical quality control

Statistical quality control is a quantitative approach to quality control. This is one of the most important quality control systems used in organizations. It is virtually impossible to subject each service to inspection, particularly in the case where there are large quantities. It is also too expensive to subject each service to an inspection, especially if a large variety is delivered. This is why it is so important to make use of statistical quality control.

#### 2. Quality Circles

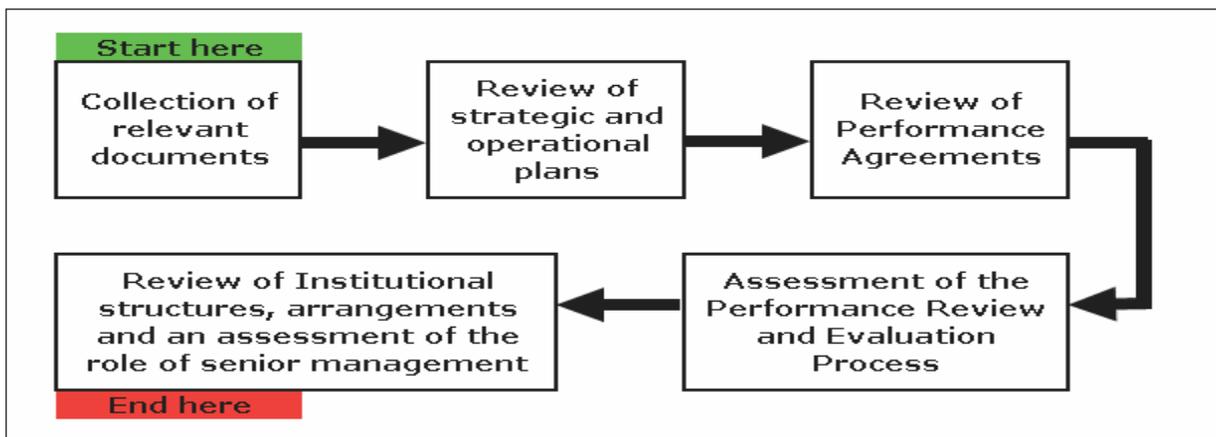
Quality circles are a qualitative approach to quality control. Personnel gather spontaneously in groups at regular intervals to discuss proposals for improvements to the service and also to discuss the quality of the service. Problems are pointed out and referred to top management if necessary. This is an impromptu method of quality control, but its value should not be underestimated merely for this reason.

### 3.5 Steps in the Validation Process

There are five key steps in the PMDS validation process.

The steps are as follows:

- Step 1** Collection of relevant documents
- Step 2** Review of strategic and operational plans
- Step 3** Review of Performance Agreements
- Step 4** Assessment of the Performance Review and Evaluation Process
- Step 5** Review of Institutional structures, arrangements and an assessment of the role of senior management



#### Step 1 Document collection

The following planning documents are critical to the success of organisational performance management. Check whether these documents are easily available within the department:

- Current strategic plan
- Current business plan
- Performance agreements (samples for the current year for all levels in at least one section of the department):
  - Senior Management Performance Agreement
  - Work Plan Agreement
  - Standards Framework Agreement
- Current service delivery improvement plan
- Current organogram
- Current workplace skills plan
- Current PMDS implementation plan

#### Step 2 Assessment of Strategic and Operational Plans

To assess progress in implementing the PMDS in the department, the quality of the following source documents needs to be assessed:

- Strategic Plan
- Operational (business) Plan

**Assessing the quality of plans:**

- Are the strategic and operational plans formats consistent throughout?
- How are key national and provincial (PGDP) policy objectives reflected in the department's plans?
- Are the department's strategic operational areas clearly set out in the plans?
- Is there a logical link between these and core departmental programmes and activities?
- Does it appear as though the key strategic fundamentals of the plans have merely been shaped to fit old or existing patterns of work in the department?
- Are there clear links between the strategic objectives and the plans outlining responsibilities at directorate and sectional level?
- Are there visible links to municipal IDP's in the case of programmes with links to local government delivery programmes?
- Do the plans make provision for delivery programmes that link various departments via government clusters?
- Are all objectives, outputs, indicators adequately and clearly set out?
  - Objectives are statements that concretely and specifically describe what you intend to achieve by each activity
  - Outputs are the products of effort
  - Indicators are measures to identify progress towards achieving objectives
- Have all resources and budget items been included?
- Are the indicated budget items realistic, and in line with the approved departmental budget?
- Are the resources proposed realistic given the populated organogram and budgetary constraints?

**Step 3 Assessment of Performance Agreements (PA's)**

## Assessing the quality of PAs:

- Does the PA include the period (performance cycle) over which performance must be assessed?
- Does it include the annual assessment date for performance?
- Is the supervisor responsible for monitoring, supervising and assessing the employee's performance specified?
- Do the objectives contribute towards the strategic priorities of the operational plan of the department/unit?
- Are the resources, systems and budgets specified realistic?
- Work Plans
  - Do the formats used include all areas covered in the template for a work plan as outlined in the PMDS handbook?
  - Are the formats used consistent?
  - Does the deliverable/output belong at this level? (Should it be moved up or down the levels of performance plans?)
  - Have all the other key steps been completed or put in place to ensure that the deliverable/output can be achieved?
  - Are competency profiles appropriately used as part of agreements?

- Is the achievement of this deliverable/output dependent on steps being completed by another section in the department?
- Are there important factors that may prevent you from achieving this deliverable/output?
- If an incentive scheme exists, have the rules and control measures been specified in writing?
- Is it possible to link the objectives of this work plan to the business plan or immediate supervisor's work plan?

#### Step 4 Performance Reviews and Assessments

- Is the developmental principle in the system (rather than a punitive approach) reinforced through reviews and assessments?
- Is the procedure for review and assessment transparent?
- Is there a clear procedure to appeal the outcome of a formal assessment?
- Is there a recordkeeping procedure for storing reviews and assessment documents, or any other PMDS related documents?

#### Step 5 Institutional Arrangements and the Role of Senior Management

Departments need to be structured in a manner that enables and promotes integrated planning and execution of work. In light of this the validation process should assess the following:

- Is there evidence in your department that directorates are co-operating across the spectrum?
- Are Managers clear about the implications of new functions of the organisation and their role in supporting effective performance?
- Does an effective climate for transparency and participation exist?
- Are jobs and roles clearly set out in terms of the strategic objectives in the strategic plan when reflected on the organogram?

Research suggests that it is crucial that both the Executing Authority and senior management are actively involved with both the implementation and assessment phases. The following should therefore be determined:

- Is senior management driving the process in your department?
- Is the detailed design and implementation process being overseen by senior management?
- Is there evidence that senior management is leading by example?
- Has senior management made any input into proposals for improvement of the system?

**Note:** Comprehensive guidelines for PMDS validation can be sourced from the PMDS toolkit "PMDS validation process guide"

## 4. REVIEWS & ASSESSMENTS

The developmental characteristic of the Performance Management and Development System is given life through the review and assessment process. It is therefore critical that we ensure that the review and assessment process is successful and properly executed. The review and assessment process is the key to the transformation of organizational culture. The outcomes of these discussions are critical for successful integrated planning processes.

### 4.1 Objectives

This guideline on the reviews and assessments of a performance contract (performance agreements, work plan agreement or standards framework agreements) has a number of important objectives namely:

- To empower managers and supervisors to successfully run review discussions
- To provide an overview on the review discussion process
- To develop interpersonal skills necessary for the successful managing of the process
- To provide opportunities to practice skills discussed in controlled simulated situations
- To troubleshoot possible problem scenarios that may occur during the review discussions.

### 4.2 Outcomes

The expected outcomes are as follows:

- Supervisors will demonstrate an understanding of the review discussion process by being able to conduct a simulated discussion
- Supervisors will display an awareness of the skills of communication, problem-solving and reviewing during course activities
- Supervisors will contribute to the discussion of problem scenarios and possible solutions
- Supervisors will be able to produce a written summary of the major points covered during a simulation.

### 4.3 Learning Points

The following should be borne in mind:

- People constantly communicate with each other using various techniques
- Verbal communication is often easier to recognize than non-verbal communication
- Both verbal and non-verbal communication can sometimes be misleading or misunderstood
- An example of non-verbal communication is body language.

#### 4.4 Critical Skills Required

It is important for managers/supervisors to remember to practice during a performance review or assessment discussion, the following management skills:

- Listening
- Describing
- Questioning
- Observing
- Summarizing

**Note:** Comprehensive guidelines for reviews and assessments can be sourced from the PMDS toolkit “Guideline for conducting performance reviews and assessments”.

## **INFORMATION MANAGEMENT**

Until the PMDS system is computerised, paper records remain the main source of information. It is essential that documents are correctly classified and filed. Proper recordkeeping is therefore the foundation for an effective HRM section.

Proper recordkeeping in accordance with the guidelines suggested in the “step by step” guide compiled by DPSA on “How to Manage Personal Files” is a good method which should be utilized in the absence of any other record keeping manual. This guide can be sourced via the DPSA website.

In order to assist the Transversal unit in monitoring the PMDS implementation progress, departments are required to submit PDMS progress reports on a quarterly basis to the Office of the Premier.

### **Further Reading**

The following publications and websites contain useful information, which will assist you in implementing the provincial performance management system:

#### **Publications**

- The Performance Management and Development Policy and Handbook (2006)
- The Performance Management System Information Handbook (Simeka, March 2001 and May 2003)
- Directives from DPSA with regards to the SMS
- Performance Management and Development System Policy

(All these publications can also be accessed through the Office of the Premier (OTP) or from the Provincial Government website: [www.ecape.gov](http://www.ecape.gov))