



Province of the
EASTERN CAPE

OFFICE OF THE PREMIER

***PERFORMANCE MANAGEMENT
DEVELOPMENT SYSTEM
POLICY FOR LEVELS 1-12***

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Foreword

The necessity of adopting and institutionalising a performance management and development system which aligns individual work outputs with organisational goals and objectives cannot be understated. During 2002, Government adopted this approach and subsequently the Provincial Administration followed by adopting and implementing a Provincial Performance Management and Development System (PMDS). Managing performance was no longer a retrospective event but became a planned and well-monitored process.

The Provincial Government revised the Provincial PMDS in 2013 thereby strengthening and improving the implementation of PMDS across the province and across employees of all levels. The capturing of PMDS information also improved and enabled credible monitoring and reporting on the implementation.

There are persistent challenges in the implementation of the current policy such as:

- Provincial Departments do not achieve 100% compliance on contracting;
- Quarterly reviews are not conducted timeously thereby defeating the very purpose of managing performance effectively;
- Often there is a last minute rush of contracting, reviews and annual assessments all done at the same time which defeats the entire purpose of the system;
- The PMDS is generally perceived as an instrument to obtain financial reward and not so much as a mechanism to improve performance and develop employees; and
- The non-institutionalisation of employee performance contributing to organisational performance

The Public Service Regulations were revised during 2016 and the Determination and Directive on PMDS was subsequently adopted towards the end of 2017. This provided an opportunity not only to align the Provincial Policy with the Determination and

Directive but also to re-affirm the essence of PMDS through a renewed focus on employee outputs in conjunction with behaviours which lead to the required outputs. The policy was subsequently approved by EXCO on 28 March 2018 for rollout with effect from 1 April 2018.

The revised policy is structured to strengthen and motivate high performance and provides for employee development which underlies the building of organisational competencies required by Provincial Departments to deliver on their mandates.



MS NTM MBINA-MTHEMBU

DIRECTOR-GENERAL



DATE

Definitions

Term	Definition
Assessment Cycle	The dates for individual Performance Management Assessment.
Operational plan	Operational plan of action developed for a period of one year. An element used to describe and assess performance, taking into consideration knowledge, skills and attributes.
Generic Assessment Factor	End results of what we need to deliver with a financial year.
Key Results Areas Output	A concrete achievement that contributes to the achievement of a longer-term outcome or goal.
Performance Agreement	Links individual performance plan to the organisational 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.

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

Term	Definition
CMC	Core Management Criteria
DPSA	Department of Public Service and Administration
PMDS	Performance Management and Development System
GAF	Generic Assessment Factor
HOD	Head of Department
HR	Human Resources
HRM	Human Resource Management
KRA	Key Results Area
LRA	Labor Relations Act, 1995
MMS	Middle Management Service
PA	Performance Agreement
PC	Performance Contract
PFMA	Public Finance Management Act, 1999
PM	Performance Management
PMC	Performance Management Committee
PSA	Public Service Act, 1994
PSCBC	Public Service Coordinating Bargaining Council
PSR	Public Service Regulations, 2001
SFA	Standards Framework Agreement
SMS	Senior Management Service
TR	Treasury Regulations, 2001
WSP	Workplace Skills Plan
WA	Workplan Agreement

1 Introduction

1.1 Background to the Performance Management and Development System policy

The Eastern Cape Provincial Administration (ECPA) has institutionalised the Performance Management and Development System (PMDS) since 2003, when it became mandatory for all Departments to implement PMDS to regularize performance management. The ECPA PMDS policy was revised in 2005 and implemented in 2006. Over the years there has been continuous implementation support from the Office of the Premier, for example capacitation of all Departments on validation of performance agreements and management of performance. The PMDS policy was updated during 2013 to ensure continuous relevance.

PMDS implementation results across Departments

Individual performance has not yet fully become part of the Provincial administration's management practices as outlined below:

- The Provincial Annual Performance Planning (APP) process stops at operations planning and does not cascade down to individual performance planning.
- The omission of individual performance planning affects both the Workplace Skills Plan (WSP) development process which builds competencies and the annual budgeting process.
- Furthermore, individual performance is 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
- Evidence based reporting is seldom practiced in all Departments and 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 PMDS implementation for levels 12 and below for all phases is generally taking place but there is room for improvement in terms of capturing on PERSAL.
- Relatively large proportions of SL1-12 employees are receiving performance bonuses in the Province;
- The 1.5% of COE cap for payment of bonuses have been exceeded in some instances.

1.2 Purpose

The purpose of this policy revision is to align the Provincial PMDS policy to the relevant regulatory framework as amended during 2017. It continues 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.

1.3. 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, diversity management, work ethic and relationships that facilitate the achievement of organizational objectives; it is therefore aimed at both individual and organizational performance.

Chapter 4, Part 5 of the PSR 2016 provides norms and standards on the PMDS for employees other than members of the SMS which are now included in the Provincial PMDS policy. The Determination and Directive on the PMDS for Employees other than Members of the SMS and the 2017 Policy Incentive Framework seek to elucidate and supplement the PSR 2016 and provide guidance to departments on which areas to revise in their departmental PMDS policies. This should result in enhanced organizational efficiency and effectiveness, accountability for the use of resources and the achievement of results.

The primary purpose of performance management is of a developmental nature, 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.

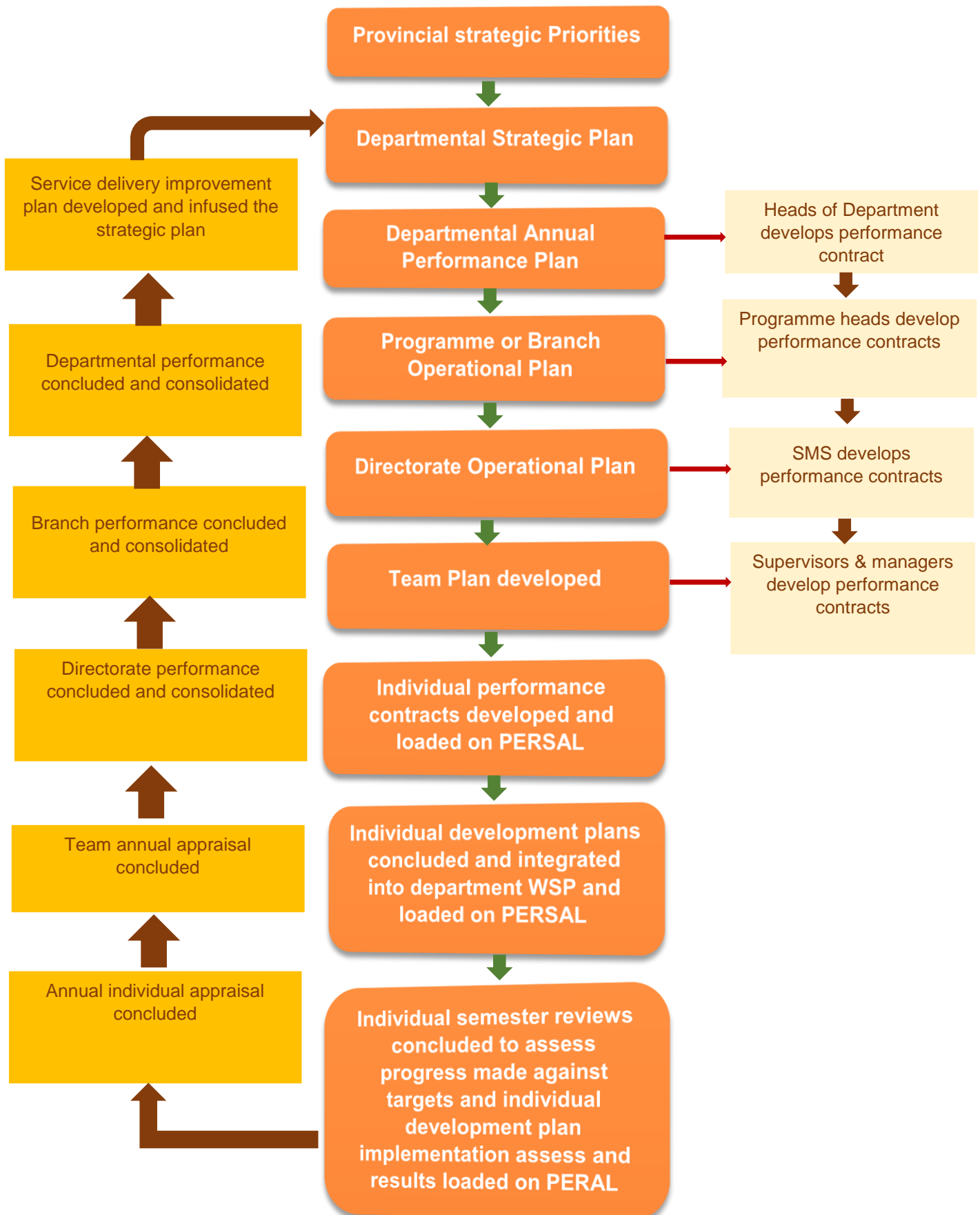
The system focuses on equal participation in performance management by the supervisor and the employee. It is developmentally oriented, encourages coaching, regular feedback through progress reviews and annual appraisals, in order to effectively and efficiently deliver on a Department's strategic goals 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.

2. 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:

National Programme of Action



2.1. 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 the following:

- The department's clients and 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
- Continuous improvement 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

2.2. 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.

2.3. Individual Level Components

Departments, in their implementation of the PMDS, 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 month draw up performance management agreements.

Individual agreements are the basis upon which performance will be measured for individual employees. The two performance management contracts for employees at salary levels 1 to 12 are as follows:

TOOL	APPLICABLE TO	KEY ASPECTS
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.

3 Regulatory framework

3.1 Statutory framework

3.1.1 Acts of Parliament

The Constitution, 1996
The Public Service Act, 1994
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
The Labour Relations Act, 1995

3.1.2 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

3.2 Regulations

Public Service Regulations, 2016
Treasury Regulations, 2001

3.3 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)

3.4 Determinations and Directives

2017 Determination and Directive on the PMDS for employees other than Member of the SMS

3.5 Policy Frameworks

2017 Incentive Policy Framework

4. Objectives

4.1. 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 management of performance outcomes.
- align employee's performance to the departmental strategic and operational goals.
- encourage managers to effectively create conditions for staff to perform optimally.

5. Principles, Values & Philosophy

5.1. The Eastern Cape PMDS is founded on the following principles:

- The PMDS is to be uniformly implemented across all departments and shall apply to all employees.
- The PMDS is fundamentally developmental in nature and, as such, is not a punitive tool. Integral to the PMDS is a mechanism for improving poor

performance.

- The main objective of the PMDS is to improve service delivery through enhanced management of performance.
- The integration of provincial policies and departmental plans form the basis upon which the PMDS is designed, implemented and managed.

The PMDS 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 PMDS provides clarity to all employees on their role in the achievement of departmental and provincial goals.

5.2. Non-negotiables of the Eastern Cape PMDS

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

Number	Mandatory elements
1	All Eastern Cape Public Administration employees shall use the Eastern Cape Provincial Administration (ECPA) Employee Performance Management and Development System (PMDS) 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 three months of assuming a new position. New appointees appointed during the last two months of the financial year will complete a performance contract, but will not be assessed.

Number	Mandatory elements
4	An employee who is appointed, seconded or transferred to another post or position at the same salary level must enter into a new Performance Contract for the new post or position within three months of his/her appointment/secondment/transfer. A seconding department must submit a copy of the signed PAs or agreement of similar nature of a seconded employee to the releasing department within 30 days.
5	Format of Performance Contracts must be used as per the prescribed templates in the ECPA PMDS policy
6	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.
7	Performance of an employee shall be reviewed every 6 months for both semesters of a financial year which must be accompanied with portfolio of evidence (reports, letters, invitations, memo's, attendance registers, meeting minutes, any other tangible evidence) per semester to track performance against targets and identify developmental needs.
8	One standard assessment instrument will be used which includes the electronic calculator on which to base decisions for probation, rewards, promotion and skills development
9	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
10	Criteria upon which the performance of employees must be assessed shall consist of Key Result Area (KRAs) with consideration of the selected Generic Assessment Factors (GAFs).
11	<p>The Performance Contract shall address, at minimum, the following:</p> <ul style="list-style-type: none"> - Personal particulars of the employee - Description of the purpose of the Key Results Areas (KRAs) Identification of the KRAs, their weighting and the standards for measuring them - Agreement on which GAFs are relevant - Agreement of the Personal Development Plans (PDP's) - Dates of performance review's and formal performance assessments of the employee's performance for all four quarters - Dispute Resolution Mechanisms
12	Dates for consideration of performance related rewards as per the PMDS policy as per points 25, 26 and 27
13	All employees are eligible for cost of living adjustments as per the basic conditions of employment
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 an assessment period of 12 months from 1 April to end March.

Number	Mandatory elements
16	Departments are not allowed to spend more than 1.5% of their total remuneration budget on performance rewards (bonuses)
17	Departments must develop an annual Performance Management Plan aligned to the process plan in Annexure BB attached. Departments shall submit quarterly implementation reports to the Office of the Premier (OTP) to assess the policy implementation as per the Eastern Cape legal and regulatory Compliance Management and Accountability Framework.
18	The OTP PMDS transversal team will monitor PMDS policy implementation using the Personnel Salary system (PERSAL) quarterly PMDS exception report downloads, as per PERSAL Notice number 280 to report to Provincial structures on compliance to PMDS 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 2 (two) six monthly 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 PMDS policy implementation for employees before the grievance procedure is followed.
22	Heads of Departments are responsible for successful implementation of PMDS and must therefore report as per the compliance management and assessment framework of the province on the PMDS policy implementation as required
23	The normal distribution curve as outlined in the PMDS 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 implementation of the PMDS Policy.
25	<p>Qualifying criteria for awarding performance incentives and rewards such as bonus and pay progressions are as follows:</p> <ol style="list-style-type: none"> a) All aspects of point 27 must be adhered to. b) Employees engagement in a 12 months cycle from 1 April to 31st March in a financial year c) Employees must be on the same salary level for the performance cycle from 1 April to 31st March in a financial year d) Employees acting in a higher position for the entire performance cycle from 1 April to 31st March will be assessed against performance at the acting level, but implementation of incentives will be calculated on the appointment level. e) However, where acting is not for a full financial year, the acting employee will be assessed against at the level of his or her post that he or she occupied at the time immediately prior to the acting position and the awarding of performance incentives, if he / she qualifies, shall be calculated on the lower level.

Number	Mandatory elements
	f) Employees salary levels affected by post elevation through JE during performance cycle from 1 April to 31 st March will not qualify for pay progression and assessment must be based on the previous salary level.
26	Qualifying criteria for awarding pay progression are: 1. Performance is fully effective with a rating of 3 and above 2. Criteria in point 27 are fully met
27	Management of the PMDS cycle (Non-negotiable) A. All employees must sign performance agreements/contracts on or before 31 May / by the 31 st of May B. All performances assessments (appraisals) for the previous performance management cycle should be completed by 30 April annually C. Moderation of appraisals for the previous performance management cycle should be completed by 30 June D. All employees who fail to complete a signed performance agreement by 31 May will be disqualified from receiving any performance rewards and will be disciplined for policy noncompliance. E. Performance Reviews – must be done in writing during the PMDS cycle F. Each performance review must be done by the 30th of the month following the quarter that is under review. Therefore two (2) reviews must take place in a PMDS cycle. G. The appeals procedure must be clarified to staff members at the contracting phase of the PMDS cycle H. Grievances in respect of contracting are to be addressed in terms of the grievance procedure I. All staff must have job descriptions and must take responsibility for their own job descriptions. 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
28	The HOD as the accounting officer and the designated employer to implement the PMDS reserves the right to devise mechanisms that will ensure 1, 5% of the salary bill is not exceeded when awarding performance bonus.
29	The HOD as the accounting officer and as the designated employer to implement the PMDS reserves the right to request supervisors to adjust performance rating of individuals when: 1. Performance of individuals are not aligned to the expected targets as outlined in the performance contracts 2. Performance of units are not aligned to its related operations plans 3. Performance of programmes are not aligned to its related performance plans 4. Performance of the department are not aligned to its related performance plans

Number	Mandatory elements
30	Any deviation from the provisions of the system during the cycle may be approved by the EA only if such deviation is not to the detriment of any employee and is not inconsistent with the provisions of this determination and directive.
31	The performance management committee/s reserve/s the right to request supervisors to adjust performance rating of individuals when: <ol style="list-style-type: none"> 1. Employees were called to state their case and make necessary recommendations 2. Performance of individuals are not aligned to the expected targets as outlined in the performance contracts 3. Performance of units are not aligned to its related operations plans 4. Performance of programmes are not aligned to its related performance plans 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.
32	If an employee is absent with permission or on precautionary suspension for a continuous period of 3 (three) months or longer, the affected employee shall be regarded as having performed satisfactorily for that period of absence within that applicable performance cycle. Periods of prolonged absence with permission include all types of approved leave.
33	Failure to comply with the policy requirements as outlined above will lead to disciplinary action.
34	Departmental PM committees will meet in October and April each year to assess the department's performance and to determine compliance to the PMDS policy.

6 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, other than those appointed on the OSD, on salary levels 1 to 12 of the ECPA, subject to the relevant regulatory prescripts.

6.1. 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 PMDS:

The Premier has the responsibility to establish provincial policy and require the implementation of a PMDS that links individual performance with organization goals.

The Executive Authorities, in consultation with their departments, are required to implement the PMDS, within their Departments, in line with the Provincial policy of a single PMDS for the Province.

The Director General, together with the Heads of Departments, are responsible for ensuring that PMDS operates across all departments and ensuring that the principles, structures and processes of the PMDS are communicated to all employees.

Office of the Premier holds transversal responsibility for ensuring the promotion of compliance by all departments with the PMDS policy, its maintenance and development.

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

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

7 Procedures

7.1. 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 PMDS is operationalised at an organizational or departmental and individual level. Annual business plans are developed at departmental, branch and directorate level.

7.2. The performance management cycle

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

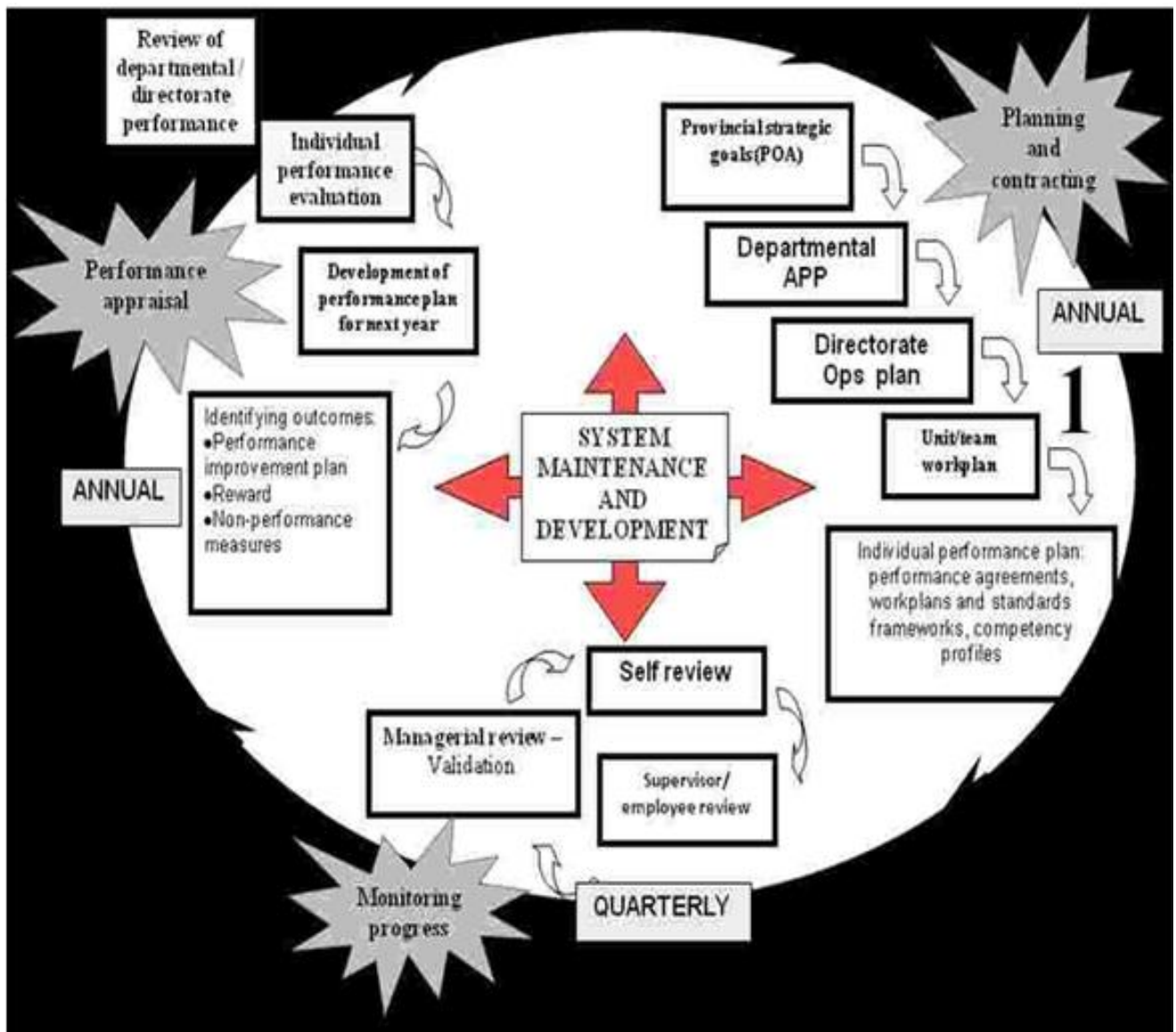
There are three main phases:

- Planning and contracting
- Monitoring progress
- Evaluating performance

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

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

Diagram 2 Performance Management Cycle



7.3 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	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. Each individual plan is accompanied by a competency profile, used largely for skills development.
Quarterly Performance	Self Review	Self review is a structured and formal progress review process by which the staff member completes an individual performance review

review and reporting		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 results areas (KRAs) will be discussed and KRAs will be rated. GAFs shall not be assessed independently but must be incorporated and assessed in an integrated manner with the KRAs. 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.
	Individual performance appraisal/ evaluation	<p>Performance appraisal is the annual process of assessing performance. It is:-</p> <ul style="list-style-type: none"> • Part of a broader process of linking individual performance management and development to organisational goals; • Only one aspect of managing and developing the performance of individuals; • A cyclical and iterative process aimed primarily at performance improvement through ongoing learning and development.
Annual appraisal (performance evaluations)	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.
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7.4 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 should cover 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.

7.4.1 The performance cycle is a 12 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 1st April to 31st March of the following year.

The 12 month cycle is also linked to the financial year for the purpose of planning, pay progression and other. This is the first and most important step in the performance management cycle, as it's probation cycle is however linked to the appointment date of jobholders.

7.4.2 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.

7.5 The Agreement

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 three 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.

The relevant supervisor shall ensure that the signed PAs or agreements of similar nature are submitted to their internal Human Resource Management components on or before the end of the first working day following the due date for signing of PAs or agreement of similar nature.

Note: ECPA refers to two kinds of agreements

- 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 KRAs and GAFs.
- A Performance Plan containing the KRAs, 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 within one month. 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.

7.6 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).

The PMDS policy for employees other than SMS members hinges on the following dimensions:

- ✓ Key Result Areas (KRAs) - This dimension describes the core functions or broad area of responsibility of an employee. It is broken down into a number of activities.
- ✓ Generic Assessment Factors (GAFs) - GAFs describe the competency requirements taking into consideration the knowledge, skills and attributes.

In the case where the amendment of the agreement is justified, the amended agreement must be accompanied by a written motivation explaining the reasons for the change. This motivation must be signed by the supervisor and/or the head of the component and submitted to HRM unit to inform and clarify matters of performance during annual assessments and moderation. However, employees are discouraged from amending a

PA or an agreement of a similar nature in the last quarter of a performance cycle (i.e. 1 January to 31 March), unless there are changes to the employee's job description, job grade, organisational structure of the department or its functions or amendments to the objectives and priorities result in significant changes to the content of the job of the employee.

7.7 Assessment

The criteria upon which the performance of an employee is assessed, consist of the Key results areas (KRAs) and Generic Assessment Factors (GAFs) which are contained in the agreement. Each employee must be assessed against both areas as explained below:

Each KRA should be broken down into measurable outputs and/or duties/responsibilities and activities. The total weight of KRAs should aggregate to 100%. Each KRA should be weighted as a percentage (%) according to the level of importance and the impact it has in the employee's job. The weight of the KRA shall not be less than 10% and shall not exceed 30%. The minimum number of KRAs should be four (4). An employee shall select GAFs that are relevant to the KRAs. GAFs shall not be assessed independently, but must be incorporated and assessed in an integrated manner with the KRAs therefore an employee is only assessed against KRAs.

KRAs 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 KRAs 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.

KRAs 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.

Generic Assessment Factors (GAFs) are elements and standards used to describe and assess performance, and take knowledge, skills and attributes into consideration. From the list below, the supervisor and employee must agree on at least five (5) out of the fifteen (15) GAFs that are deemed to be most relevant for effective performance in that particular job

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
- Each relevant GAF should show the extent to which it relates to the specific job.
- Impact and frequency should be considered when determining the relevance of any specific GAF to the job. The greater the impact and frequency, the greater the relevance is likely to have on the achievement of effective performance results.

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

7.7 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 KRAs 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 KRAs 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)

Performance review meetings form an integral part of the monitoring process. These reviews must take place every six months 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.

The supervisor must complete a full and formal review, assign ratings to KRAs, 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 KRA 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

Non-SMS employees (Grades 1 to 12) (Refer to Annexure A)

The same assessment instrument is used to assess the performance of all individual KRAs and GAFs (which are not scored individually), 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:

A four (4) point rating scale shall be used to assess the performance of employees

- ✓ A rating of a “3” on the scale entails “fully effective”.
- ✓ An employee who is rated as “fully effective” has fully complied with the requirements of the job.
- ✓ On the rating scale, this translates to an overall score of 100%.
- ✓ Only whole numbers must be used in the scoring (no decimals numbers are allowed (e.g. 3.5)).

RATING	CATEGORY AND SCORE	DESCRIPTION
1	Not effective Less than or equal to 66%	Performance does not meet the expected standard for the job. The review or assessment reveals that the jobholder has achieved less than fully effective job results in all or almost all the performance criteria and indicators specified in the Performance Agreement and Workplan.
2	Partially effective 67%-99%	Performance meets some of the standards expected for the job. The review or assessment indicates that the job holder has achieved less than fully

		effective results (Partially achieved) against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
3	Fully effective 100%-119%	Performance fully meets the standard expected in all areas of the job. The review or assessment indicates that the jobholder has achieved a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
4	Highly effective 120%-133%	Performance far exceeds the standard expected from a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half/ or in all areas of the performance criteria and indicators as specified in the Performance Agreement and Workplan and maintained this in all areas of responsibility throughout the performance cycle.

Assessment of the achievement of results (KRAs) outlined in the Work Plan

- Each assessment of both KRA and GAF must be assessed on the extent to which the specified standards have been met and outputs achieved
- An indicative rating of the four-point scale must be provided for each KRA
- The rating calculator should be used to add the scores and calculate a final KRA score, based on the 100% weighting allocated to the KRAs.

Overall Rating

- An overall score, in accordance with the assessment rating is provided as a summary of the outcome of the performance review for KRAs and GAFs
- The assessment rating calculator may be used to provide a final score achieved for the KRAs and the incorporated GAFs
- The final assessment score is to be guided by the annual assessment in conjunction with the PMDS calculator
- 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.

Level 1 -10

Performance Category	Total Score	Rating	Probation	Development	Pay Progression	Cash Bonus %
Not effective	66% and below	1	Extend probation or terminate in terms of the incapacity code	Agree on development		
Partially effective	67% - 99%	2	Extend probation	Agree on development		
Fully effective	100% - 119%	3	Confirm probation	Agree on development	1 notch (1,5%)	
Highly effective	120%-122%	4	Confirm probation	Agree on development	1 notch (1,5%)	5
	123%-125%					8
	126%-128%					11
	129%-131%					14
	132%-133%					18

Levels 11-12

Performance Category	Total Score	Rating	Probation	Development	Pay Progression	Cash Bonus %
Not effective	66% and below	1	Extend probation or terminate in terms of the incapacity code	Agree on development		
Partially effective	67% - 99%	2	Extend probation	Agree on development		
Fully effective	100% - 119%	3	Confirm probation	Agree on development	1 notch (1,5%)	
Highly effective	120%-122%	4	Confirm probation	Agree on development	1 notch (1,5%)	4
	123%-125%					6
	126%-128%					8
	129%-131%					11
	132 - 133%					14

9. Moderation

9.1 Moderation Committee

The EA or delegated official (Head of Department) shall appoint a committee to moderate the annual performance assessments and submit the recommendations to the relevant EA for approval. The performance moderation is conducted by a higher level of management above the supervisor to ensure, as far as possible, that the performance of all employees is evaluated fairly and consistently across the department. Departmental Moderating Committee (DMC) for employees other than members of the SMS should be chaired by the Head of Department (HOD) or his/her delegate. The Committee furthermore, may consist of senior managers at the discretion of the EA or relevant delegated official.

The performance moderation processes may be conducted in two steps if so desired, i.e. the intermediate review committee (optional) and departmental moderation committee (compulsory).

Roles of the DMC

- (a). To ensure that the annual performance assessment is done in a realistic, consistent and fair manner, to monitor the performance assessment process by obtaining an overall sense of whether norms and standards are being applied consistently and realistically to employees on the same level and across the department as a whole.
- (b). The DMC should not assess each individual case for purposes of evaluating ratings, but should develop an overall view of the results of the assessment process. If the DMC identifies deviations or discrepancies, these should be dealt with in a just, fair and consistent manner.
- (c). The DMC must keep detailed minutes and records of decisions, in particular, if it recommends either increasing or decreasing rating scores. Such decisions must be communicated to the supervisor and the employee.
- (d). The Moderating Committee shall confirm the rating, which is the final rating score for an employee.

The other additional roles of the DMC include –

- (a) Provision of oversight of the application of the PMDS policies, ensuring that the performance management process, including the setting of performance standards is valid, fair and objective;
- (b) Detection of potential problems in the PMDS and advising the HOD accordingly;
- (c) Reviewing overall assessment scores across unit sections/programmes in the department;
- (d) Recommending reward levels and remedial action for different types of performance outcomes; and
- (e) Making recommendations regarding actions to be considered where managers and supervisors do not properly and fairly execute their responsibilities with regard to contracting, provision of performance feedback, mid-year reviews, annual assessment and rating in terms of the PMDS.

It can therefore be said that 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 performance cycle; and again
- at the start of the new cycle to moderate and approve the results of performance planning and agreement activities.

9.2 Departmental Intermediate Review Committee (Optional)

Departments may establish an Intermediate Review Committee (IRC) at Programme or Chief Director level for reviewing the performance assessment rating agreed upon by the employee and supervisor. The IRC receives the performance assessment ratings of all employees in the Chief Directorate or Component level to review, compare and validate the ratings. If the IRC agrees with the ratings, the ratings are then submitted to the moderating committee.

Any recommendation on the changing of the rating scores must be referred back to the employee's supervisor for the supervisor and the subordinate to try and reach consensus on the change within a week. This should be accompanied by a request to reconsider the rating. If the supervisor and the employee cannot agree, the unchanged/original rating is forwarded to the Moderating Committee, with the comments from the IRC, the supervisor and employee for final decision making. 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 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.

9.3 Moderation Actions

If IRCs 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.

- 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.

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 Executive Authority.

If the attempt to resolve the disagreement has failed, the EA or delegated official (i.e. HOD) shall, if not already nominated by the supervisor and employee, appoint a mediator who shall be an employee, to consider the disagreement within one (1) month after the expiry of the due date (PA, performance review and assessment). Appointment of persons to resolve dispute should be on the basis of their functional expertise and people skills and not necessarily due to a legal qualification.

If the mediation process fails, an employee may consider a formal grievance. The mediation process shall not exceed a period of 30 calendar days.

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 their subordinates. This may assist in limiting possible contradictions or inequities between the assessments of, for example, particularly when cascading KRAs 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.

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 10 of 1999 and Resolution 1 of 2006 - "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 counselling
- 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)

12.1. Monetary Incentives

12.1.1. Pay progression

The pay progression system for salary levels 1 to 12 is managed in terms of the 2017 Incentive Policy Framework - DPSA Circular 11 of 2017 (dated 19 September 2017). The awarding of pay progression is linked to individual performance and the performance/pay progression cycle runs from 1 April to 31 March of the next year. Pay progression is effective on 1 July following the performance/pay progression cycle.

An employee must have been on the same notch for entire performance cycle and a new appointee (1st participant) must complete at least 24 months (2 performance cycles). No pay progression may be granted beyond the maximum notch of scale. Expenditure on pay progression is capped at 2% of the Departmental wage bill in any given financial year.

Deviations from the implementation of the Incentive Policy Framework are not permitted. Section 5(4) of the Public Service Act stipulates that:

“Any act by any functionary in terms of this Act may not be contrary to the provisions of -any collective agreement contemplated in item 15 (l) of Schedule 7 to the Labour Relations Act; or any collective agreement concluded by a bargaining council established in terms of the said Act for the public service as a whole or for a particular sector in the public service”

EAs therefore do not have authority to approve that 2% annual expenditure cap on pay progression is exceeded. It is not necessary that the full amount (cap) is used every financial year since it is a maximum cap.

It should be noted that the awarding of 1 notch to employees with satisfactory assessment is a right, provided that all requirements are met as stipulated in the Incentive Policy Framework.

12.1.2. Performance Bonus

The 2017 Incentive Policy Framework terminates the EA's authority to exceed the cap (envelope) on the expenditure permissible for the awarding of performance bonuses for non-OSD employees on salary levels 1 to 12 and OSD employees. This amendment is effective from 1 April 2017 (2017/18 performance cycle). Therefore, for performance bonuses based on the 2017/18 performance cycle, EA's do not have the authority to exceed the cap, which remains 1.5% of budget.

MPSA determined performance bonuses within a maximum of **18%** of salary notch and **14%** of a Total Cost-to-Employer package. The Provincial PMDS Policy allows for flexibility by setting a percentage range to the bonus as indicated earlier.

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 / Executive 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 Executive 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 PMDS.

13.2. Head of Department

- Creates environment conducive to PMDS 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 subcomponent 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.

13.4. 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, outputs, targets and the responsible individual and budget allocation.
- The Sub-Component manager will also agree on the KRAs and GAFs for middle

and junior management staff in the unit.

13.5. 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.

13.6. 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 supervision the implementation of the PMDS
- Regulatory changes likely to affect the PMDS are communicated timeously
- 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 PMDS
- 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.

13.7. Senior Manager: HRD

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

- 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 cooperation with the Human Resources Component

13.8 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.
- Supervisors are required to identify and then, in line with a developmental approach, deal with poorly performing employees under their supervision. They should develop and implement performance improvement plans for unsatisfactory performers. The supervisor must comply with the procedural requirements of PSCBC Resolution 10 of 1999 and Resolution 1 of 2013, the "Incapacity Code".
- 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.

13.9 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.

13.10 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 PMDS 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.

13.11. Members of the PM Committees

13.11.1. Head Office Level

- Line Manager(s)
- Human Resources Manager

13.11.2. 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 PMDS 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 PMDS 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 PMDS 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/ KRAS and competency are weighted.

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

- 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. The PMDS has a criteria matrix to assist in the selection of the appropriate tool.

14 Resource implications

14.1. Financial

Departments budgeting for PMDS 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 PMDS Data to enhance the administration of the system.

14.3. Infrastructure

PERSAL connectivity in districts must be strengthened to facilitate the PMDS 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 PMDS. 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.

Other monitoring and evaluation structures used are:

- Internal Audit Units
- Office of the Premier
- Provincial decision-making structures
- Public Service Commission (PSC)

16 Policy review

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

PMDS TEMPLATES FOR LEVELS 1-12

EASTERN CAPE PROVINCIAL GOVERNMENT

DEPARTMENT:

SECTION:

STANDARDS FRAMEWORK AGREEMENT BETWEEN

NAME OF EMPLOYER

AND

NAME OF EMPLOYEE

PERIOD OF AGREEMENT: _____

Standards Framework Agreement

ENTERED INTO BY AND BETWEEN:

The Department of _____ herein represented by; _____ (supervisor:full name) in her/his capacity as _____ (position) of the Department, (herein referred to as the Employer)

And

_____ (Employee: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 his/her job. In the event that the Employee has significantly exceeded the performance expectations, he/she 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 the PMDS Policy 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 25 July 2003).

2. Validity of the Agreement

- 2.1. The agreement will be valid for the period _____ to _____
- 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 (MMS package) : _____
Occupational classification : _____
Designation : _____

4. Job Purpose

5. Reporting Requirements/Lines & Assessment Lines

- 5.1. The **Employee (full name/position)** shall report to the on all parts of this agreement. The Employee shall:

- Timeously alert the Employer (full name/position) of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimised.
- 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 Employer (full name/position) 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 (full name/position)
- 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 WORKPLAN with consideration of utilizing the Generic Assessment Factors (GAFs) framework as skills & attributes in attaining the KRAs.

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

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

KRAs	GAFS	Weight
Total		100%

NOTE: WEIGHTING OF KRAs 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 WORKPLANS of components and individual Employees.

8. Performance Assessment

The assessment of an Employee shall be based on her/his performance in relation to the KRAs and GAFs/CMCs and performance indicators, as set out in this PERFORMANCE CONTRACT and attached WORKPLAN.

The performance of the employee in respect of all individual KRAs with consideration of utilizing the GAFs as skills & attributes of attaining the KRAs will be assessed using a 4 point rating scale, i.e.:

- 4= PERFORMANCE HIGHLY EFFECTIVE**
- 3= FULLY EFFECTIVE**
- 2= PERFORMANCE PARTIAL EFFECTIVE**
- 1= PERFORMANCE NOT EFFECTIVE**

The total KRA scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 4 point assessment scale.

Employees: KRAs sum up to 100% of the final assessment;

9. Feedback

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

10. Developmental Requirements

10.1. The Employer and Employee shall agree on the Employee's key development needs in relation to his/her current job and envisaged career path in the Public Service.

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 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. First Quarter :
- 11.2. Second Quarter :
- 11.3. Third Quarter :
- 11.4. Fourth Quarter :
- 11.5. Annual assessment :

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. In the case where the amendment of the agreement is justified, the amended agreement must be accompanied by a written motivation explaining the reasons for the change. This motivation must be signed by the supervisor and/or the head of the component and submitted to HRM unit to inform and clarify matters of performance during annual assessments and moderation.

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:** _____

Performance/Workplan Agreement

ENTERED INTO BY AND BETWEEN:

The Department of _____ herein represented by;

(full name) in her/his capacity as

(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 his/her job. In the event that the Employee has significantly exceeded the performance expectations, he/she 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 the PMDS Policy 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 25 July 2003).

2. Validity of the Agreement

- 2.1. The agreement will be valid for the period 1 April _____ to 31 March _____
- 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 (MMS package) : _____

Occupational classification : _____
Designation : _____

4. Job Purpose

5. Reporting Requirements/Lines & Assessment Lines

- 5.1. The Employee member shall report to her/his supervisor on all parts of this agreement. The Employee 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 she/he proposes to take to ensure the impact of such deviation from the original agreement is minimised.
 - 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 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 member.

6. Performance Assessment Framework

Performance will be assessed according to the information contained in the WORKPLAN with consideration of utilizing the Generic Assessment Factors (GAFs) framework as skills & attributes in attaining the KRAs.

- 6.1 The KRAs and GAFs/CMCs during the period of this agreement shall be as set out in the table below.
- 6.2 The Employee member undertakes to focus and to actively work towards the promotion and implementation of the KRAs within the framework of the laws and regulations governing the Public Service. The specific duties/outputs required under each of the KRAs are outlined in the **attached work plan**.

KRAs	GAFS	Weight
Total		100%

NOTE: WEIGHTING OF KRAs MUST TOTAL 100%

7. Conditions of Performance

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

8. Performance Assessment

The assessment of an Employee shall be based on her/his performance in relation to the KRAs and GAFs/CMCs and performance indicators, as set out in this PERFORMANCE CONTRACT and attached WORKPLAN.

The performance of the employee in respect of all individual KRAs with consideration of utilizing the GAFs as skills & attributes of attaining the KRAs will be assessed using a 4 point rating scale, i.e.:

- 4= PERFORMANCE HIGHLY EFFECTIVE**
- 3= FULLY EFFECTIVE**
- 2= PERFORMANCE PARTIAL EFFECTIVE**
- 1= PERFORMANCE NOT EFFECTIVE**

The total KRAs scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 4 point assessment scale.

Employees: KRAs sum up to 100% 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 performance in relation to the KRAs and GAFs and standards outlined in this performance agreement and taking into account the Employee’s member’s self-assessment.

10. Developmental Requirements

10.1. The Employer and Employee shall agree that the following are the Employee’s key development needs in relation to his/her current job and envisaged career path in the Public Service.

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 member 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. First Quarter :
- 11.2. Second Quarter :
- 11.3. Third Quarter :
- 11.4. Fourth Quarter :
- 11.5. Annual assessment :

12. Management of Poor Performance Outcomes

Manager and employee shall 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: _____

Work plan for the period

OUTPUT	KEY ACTIVITIES	PERFORMANCE MEASURES		RESOURCE REQUIREMENTS		
		TARGET DATE	PERFORMANCE STANDARD	PERSONNEL	BUDGET	DO OR NEEDS

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 1 – Areas of development and formal training

Area Identified For Development	Objective Of Development	Type Of Intervention (Short Course, Bursary)	Quarter Targeted

Table 2 – 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 Six 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 invention 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 invention as stated in the plan.

Name of Employee

Employee :

Date :

Name of Supervisor

Supervisor :

Date :

REVIEW FORMS

Review Period: _____

Purpose: To review, summarize and develop the work performance off all employees.

(Following completion of this form, 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 (KRAs)

(Rate all the KRAs included in the performance agreement)

KRA's	GAFS	Weighting	Own Assessment (1-4)	Supervisor's assessment (1-4)
1.				
2.				
3.				
4.				
5.				
TOTAL		100 %		

NOTE: WEIGHTING OF KRAs MUST TOTAL 100%

This rating is based on my personal knowledge and observation of the employee's performance.

Supervisor/Project Leader: _____

Date: _____

This rating has been discussed with me.

Employee: _____

Date: _____

C. DEVELOPMENTAL AREAS

Specify areas in which the employee was developed as indicated in the Performance Agreement and Personal Development Plan, if not developed, state reasons why and specify dates when will this take place.

This rating is based on my personal knowledge and observation of the employee's performance.

This rating has been discussed with me.

Supervisor/Project Leader: _____

Employee: _____

Date: _____

Date: _____

D. MANAGING UNSATISFACTORY PERFORMANCE

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

E. EMPLOYEE'S COMMENTS

(Can include obstacles encountered and overcome) if applicable

Signature: _____ **Date:** _____

F SUPERVISOR'S COMMENTS

Signature: _____ **Date:** _____

PROGRESS REVIEW FOR STANDARDS FRAMEWORK (Salary level 1 -5and some categories of professional staff)

Surname : _____ Name : _____

Persal no. : _____ Designation : _____

Directorate/ Division : _____

Date of appointment to this post : _____

Period of report : _____

KRAS	GAFS	Weighting	Comment on performance		Rating
			Self assessment	Supervisor	
Total score for performance					100%

Performance Improvements

KRA/ Competency	Areas for improvement

Performance Rating (Apply assessment calculator)

The overall performance is (tick one block only):

1. Not effective	<input type="checkbox"/>
2. Partially effective	<input type="checkbox"/>
3. Fully effective	<input type="checkbox"/>
4. Commendable	<input type="checkbox"/>

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

Signatures :

Employee : _____

Date : _____

Supervisor : _____

Date : _____

PERFORMANCE ASSESSMENT INSTRUMENT

Annual Performance Assessment Instrument

The manager must forward the completed form to the Section: People Management for filing immediately after completion.

CONFIDENTIAL

Period under review:

Surname and initials:

Job title :

Remuneration Level:

PERSAL No :

Component :

Date of appointment to current remuneration level:

Race: African Coloured Indian White

Gender: Male Female

Disability (Specify, if applicable)N/A

(Tick the appropriate box)

Probation

Extended Probation

Permanent

Contract

PART 1 – COMMENTS BY RATED EMPLOYEE

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

1. During the past year my major accomplishments as they related to my performance agreement were:

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

PART 2 – PERFORMANCE ASSESSMENT

Standard Rating Schedule for KRAs

RATING	CATEGORY AND SCORE	DESCRIPTION
1	<p>Not effective</p> <p>Less than or equal to 66%</p>	<p>Performance does not meet the expected standard for the job. The review or assessment reveals that the jobholder has achieved less than fully effective job results in all or almost all the performance criteria and indicators specified in the Performance Agreement and Workplan.</p>
2	<p>Partially effective</p> <p>67%-99%</p>	<p>Performance meets some of the standards expected for the job. The review or assessment indicates that the job holder has achieved less than fully effective results (Partially achieved) against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.</p>
3	<p>Fully effective</p> <p>100%-119%</p>	<p>Performance fully meets the standard expected in all areas of the job. The review or assessment indicates that the jobholder has achieved a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.</p>
4	<p>Highly effective</p> <p>120%-133%</p>	<p>Performance far exceeds the standard expected from a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half/ or in all areas of the performance criteria and indicators as specified in the Performance Agreement and Workplan and maintained this in all areas of responsibility throughout the performance cycle.</p>

Rating of KRAs by Supervisor and Employee:

KEY RESULT AREAS	Weight (%)	Own rating (1- 4)	Supervisor Rating (1- 4)	Mod. Com. rating (1- 4)
Total (NOTE : Weighting of KRAs must total 100%)				
Score according to calculator:				

FINAL SCORE

GRAND TOTAL	OWN RATING	SUPERVISOR'S RATING	MODERATING COM'S RATING	
KRA 100% for levels				

PART 3 - DEVELOPMENT, TRAINING, COACHING, GUIDANCE AND EXPOSURE NEEDED

PART 4

1. Supervisor's recommendation

It is recommended that the employee be granted pay progression.

Signature

Name

Date

2. Employee's comments:

I am satisfied with the results.

--

-----	-----	-----
Signature	Name	Date

3. Comments of Chairperson of Moderating Committee:		
-----	-----	-----
Signature	Name	Date

4. Decision by Executing Authority or her/his delegate:		
-----	-----	-----
Signature	Name	Date