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Department : **Public Safety**
North West Provincial Government
REPUBLIC OF SOUTH AFRICA

PERFORMANCE MANAGEMENT



dhsp&l

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Human Settlements, Public Safety & Liaison
North West Provincial Government
REPUBLIC OF SOUTH AFRICA

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**TO : Mr B MAHLAKOLENG
ACTING HEAD OF DEPARTMENT**

**FROM : MS TSELAPEDI
ACTING DIRECTOR-HUMAN RESOURCE MANAGEMENT**

DATE : 17 JANUARY 2012

**SUBJECT : AMMENDMENT OF DEPARTMENTAL PERFORMANCE MANAGEMENT
DEVELOPMENT POLICY**

PURPOSE

The purpose of this submission is to request approval from the Acting Head of Department to include paragraph 13, clause 13.1 of the Performance Management Development System (PMDS). Policy no: NWPG 13 in the Departmental PMDS policy.

BACKGROUND

The Departmental PMDS Policy was approved on the 26th January 2010. Clause 13.1 did not appear in the policy and it plays a role in terms of the ratings of members according to the levels.

DISCUSSIONS

The North West Provincial Government Policy no 13, as amended and approved on 02/05/2005 (PMDS), reflected that in terms of Incentive Policy Framework, the awards/bonuses of employees on salary level 1 – 10 should not exceed 18% and employees on salary level 11 – 12 should not exceed 14%.

"Working together we can do more"



It is hereby brought to the attention of the Acting Head of Department that the information on the latter paragraph does not appear on the Departmental PMDS policy and it should added as

"Employees on salary level 1 – 10

- In terms of the Incentive Policy Framework, the allocation of a performance awards/bonus should not exceed 18% of the employee's salary notch.


Employees on salary level 11 – 12

- In terms of DPSA circular 2 of 2005 on the Implementation of an inclusive Flexible Remuneration Package, employees on salary level 11 – 12 qualify for the performance bonuses up to the maximum of 14% of the MMS member's total package."

The additional information should be reflected on the Item no 11 of the Departmental PMDS Policy under the heading of the policy requirements

RECOMMENDATIONS

In view of the above, it is hereby recommended that the Acting Head of Department grant approval for the additional information that must be included in the Departmental PMDS Policy as reflected on the latter paragraph.

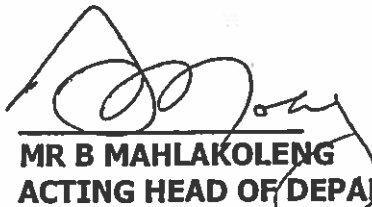


MS TSELAPEDI
ACTING DIRECTOR- HUMAN RESOURCE MANAGEMENT

17/01/2012
DATE

APPROVED/~~NOT APPROVED~~/APPROVED WITH AMMENDMENTS

Comments: Policy to be amended according to
.....
.....



MR B MAHLAKOLENG
ACTING HEAD OF DEPARTMENT

23/1/2012
DATE

**NORTHWEST PROVINCIAL DEPARTMENT:
DEPARTMENT OF PUBLIC SAFETY
HUMAN RESOURCES POLICY**

POLICY NO: HR2009/005
NAME OF POLICY: PERFORMANCE MANAGEMENT POLICY
EFFECTIVE ON:
DATE OF REVIEW: APRIL 2012

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PREAMBLE

The realm is that the Public Service is faced with challenges to improve service delivery standards. In order to ensure that employees are accountable for the achievement of strategic objectives of the Department of Public Safety, a Performance Management and Development System was deemed necessary in line with the requirements of PART VIII of the Public Service Regulations, 2001 (as amended). Through this, the department should be able to align daily activities undertaken by employees in line with strategic objectives and thus, work towards the institutional mandate.

The system also enables both the employees and their supervisors to plan work and clarify performance expectations well in advance and agree on how these will be measured. Performance shall then be monitored and evaluated in order to provide constructive feedback on performance achievements by employees. Performance recognition will also be given while at the same time addressing inadequate levels of performance. This policy shall then provide a framework to guide supervisors and employees within the department in terms of performance management and development issues highlighted above.

1. ABBREVIATIONS AND DEFINITIONS

CMC:	Core Management Criteria.
DPSA:	Department of Public Service and Administration.
GAF:	Generic Assessment Factors.
KPA:	Key Performance Area.
KRA:	Key Performance Area.
MC:	Moderating Committee.
MEC:	Member of the Executive Council.
PAAP:	Performance Assistance Panel.
PDP:	Performance Development Plan.
PI:	Performance indicators.
PMDS:	Performance Management Development System.
SMS:	Senior Management Service.
Annual assessment:	Refers to all performance assessment reviews conducted, calculated to an average rating and reflected in percentage.
Approving Authority:	An official with the delegated authority to approve reward related payments.
Annual performance percentage:	A percentage as calculated on the assessment calculator illustrating the overall annual performance.
Competencies:	Refers to skills, knowledge and attributes required to perform areas attached to the job.
Core management criteria:	These are competencies for SMS members as defined by Chapter 4 of the SMS handbook.
Department:	Department of Public Safety, North West.

Direct supervision:	This refers to the jobholder having a direct reporting line to a supervisor.
Employees:	The term employee is as defined by the Public Service Act of 1994 and the Basic Conditions of Employment Act of 1998, as amended.
Generic assessment factors:	These are elements and standards of competencies taking into consideration skills, knowledge and attributes for levels 1-12 as prescribed by the DPSA.
Indirect supervision:	This refers to the jobholder having an indirect reporting line to a supervisor.
Job purpose:	Describes the overall focus of the job as it relates to the vision and mission of the department. Job purpose is the overall accountability that the jobholder has in relation to his/her position.
Key Performance Area:	Key Performance Area is an area of a job that is critical to making an effective contribution to the overall goal which must be achieved and to ensure that the goal is fully accomplished.
Moderating Committee:	A committee consisting of a minimum of 3 members that will review final annual assessments.
Overall annual rating:	The value of the contribution of an employee displayed by means of a rating of 1-5 on each key performance area.
Pay progression:	Pay progression is an upward movement of a salary notch in a salary range.
Performance agreement:	The performance agreement is a formal documented agreement signed by both the supervisor and an employee detailing an employee's performance deliverables and developmental areas for a given performance cycle.
Performance Assessment Instrument:	Relevant forms to be completed by all employees in assessments.
Performance Bonus:	A performance bonus is a once of cash amount.
Performance Indicators:	Performance indicators measure the results of the achieved key performance area.
Performance Management Cycle:	A performance management cycle refers to a 12 month period that runs from 1 April to 31 March concurrently with the financial year.
Performance measure:	Describes the performance indicator in terms of time-lines, cost quality or quantity.

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Performance Reward:	A form of recognition by means of a performance bonus or pay progression.
Personal Development Plan:	A plan that identifies developmental areas for an employee and indicates how these will be addressed for purposes of enhancing performance.
Remuneration budget:	The total component budget reflecting all personnel expenditure.
Supervisor:	An official responsible for the management of performance of employee/s reporting directly or indirectly to him/her.

2. PURPOSE AND OBJECTIVES

The Performance Management and Development System (hereafter referred to as the PMD System) in the department is intended to deal with performance management issues in a consultative, supportive and non-discriminatory manner in order to achieve strategic objectives of the department and enhance service delivery requirements.

3. PRINCIPLES

- 3.1 Performance management process shall be linked to the Department of Public Safety vision, mission and values, as well as the overall strategic objectives thereof, in order to progressively improve service delivery.
- 3.2 The emphasis on performance management should be an integrated approach towards planning individual work well in advance and how it will be managed. Both the employee and his/ her supervisor shall participate in formulating and deciding on performance expectations in order to enhance mutual ownership.
- 3.3 Performance management system shall be developmental to enhance excellent performance and also allow effective response to poor performance through Personal Development Plans.
- 3.4 Performance management should encourage open and on-going communication through performance feedback.
- 3.5 Performance shall be monitored and evaluated in a transparent manner where both the supervisor and employee are actively involved in the process to maintain fair administrative justice.
- 3.6 The Labour Relations Act, 1995 (Act No. 66 of 1995) and relevant PSCBC collective agreements shall be used as a basis for dealing with poor performance as a last resort. A Workplan shall not be used as basis for dismissing employees but could serve as evidence in this regard.
- 3.7 Performance management and development process in the department should be simple to understand and administer.

4. LEGISLATIVE FRAMEWORK

The following main legislative framework shall be applicable to this policy:

- 4.1 Basic Conditions of Employment Act, 2002 (as amended);

- 4.2 Batho Pele White Paper on Transforming Public Service Delivery;
- 4.3 Labour Relations Act, 1998 (as amended);
- 4.4 Public Service Act, 1994 (Proclamation No. 103 of 1994)(as amended);
- 4.5 Public Service Regulations, 2001 (as amended);
- 4.6 Skills Development Act, 1998;
- 4.7 White Paper on Human Resource Management in the Public Service;
- 4.8 White Paper on Public Service Training and Development;
- 4.9 White Paper on Transformation in the Public Service;
- 4.10 The Promotion of Equality and Prevention of Unfair Discrimination Act, (Act No.4 of 2000)
- 4.11 Public Finance Management Act, 1999 (Act No. 1 of 1999);
- 4.12 Relevant PBCBC and GPSSBC Collective Agreements; and
- 4.13 Other mandatory requirements from the Department of Public Service and Administration as well as Provincial and internal departmental policies, guidelines and directives relevant and complementary to this policy shall be applicable.

5. SCOPE OF APPLICATION

- 5.1 This policy shall be applicable to all employees on levels 1-10 as well as MMS Members (levels 11-12), appointed in terms of the provisions of the Public Service Act 1994, as amended.
- 5.2 This policy shall be used to manage employee's performance, development, probation, monitoring and evaluation (appraisal) as well as the allocation of rewards and other measures that may be prescribed by DPSA from time to time.

6. POLICY STATEMENT

The Department of Public Safety commit itself to implement a performance management and development system that will translate the departmental strategy into individual performance agreements enabling the promotion of organisational efficiency.

7. POLICY PROVISIONS

7.1 The objectives of the PMD System/policy.

- i. To provide a tool for evaluating performance fairly and objectively.
- ii. To provide a framework for compiling Workplans, Generic Assessment Factors (GAFs) and Personal Development Plans.
- iii. To provide guidelines on monitoring and evaluating performance of employees based on a mutually agreed Workplan(s)/ Agreements.
- iv. To provide guidelines on dealing with poor or under-performance of employees by identifying , managing and promoting the jobholders development needs
- v. To provide guidelines on the management and allocation of rewards for sustained above average performance.
- vi. To ensure that jobholders know and understand what is expected of them

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- vii. To create an environment that promotes performance and a learning driven culture.
- viii. To allow measures for corrective placement and career planning of employees.

7.2 Performance Planning and Workplans.

- (a) All employees (newly appointed or promoted) shall enter into performance contract that includes, performance agreements (Annexure A), signed Annual Workplans (Annexure 'B') as well as Personal Development Plans (Annexure 'C') within one (1) month after assumption of duty.
- (b) Existing employees shall have entered into performance agreements and signed Workplans on or before the 15th April of each performance cycle starting from 01 April to 31 March of the following year.
- (c) The Workplans shall be reviewed constantly in line with business priorities of the department or circumstances such as operational requirements, new assignments, transfers and promotions.
- (d) The following main elements shall form part of the Workplan:
 - i. Strategic Objective
 - ii. Key Result Areas
 - iii. Key Activities.
 - iv. Weights.
 - v. Performance Measures indicating:
 - (aa) Target Date(s).
 - (bb) Quality and Quantity
 - vi. Appraisal review period
- (e) The process of performance planning should be prioritised as it enables both the supervisor and the employee to clarify performance expectations well in advance and avoid any possible future misunderstandings. This involves performance standard setting, performance outputs/objectives determined by both the supervisor and the employee. These must be linked with departmental strategic goals;
- (f) The criteria upon which the performance of an employee is assessed consist of Key Result Areas (KRAs) and the Generic Assessment Factors (GAFs). Each employee must be assessed against both areas. KRAs covering the main areas of work will account for 70% of the final assessment, while the GAFs make up the other 30% of the assessment score;
- (g) Each and every employee with supervisory responsibilities, a standard Key Result Area (KRA) addressing "People Development and Management" aspects shall be compulsory and must be included in the Workplan. The KRA must have a weight of at least 10%;
- (h) The aforesaid KRA should at least cover the following activities:
 - i. Employee orientation and staff relations.
 - ii. Performance management aspects.
 - iii. Knowledge management and career planning.

7.3 Profiling of Generic Assessment Factors (GAF)

- (a) Generic Assessment Factors shall be used for purposes of matching job requirements outlined in the Workplan and current skills levels for planning development actions;
- (b) They are also useful in identifying similarities between job family groups to determine future capabilities for career planning purposes;
- (c) The Generic Assessment Factors shall be linked to Key Result Area in a Workplan;
- (d) The GAF shall comprise of the following elements:
 - i. Knowledge – the 'know how' of how a key activity or objective should be accomplished.

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- ii. Skills – the abilities to be demonstrated or applied in carrying out an activity or objective.
 - iii. Attributes – the personality behaviours applicable to enable an employee to successfully accomplish an activity or objective.
- (e) GAFs are used to calculate 30% of the assessment score for employees on salary level 1-12. From this list, the supervisor and employee must agree on at least five out of fifteen GAFs (Annexure 'D') that are deemed to be most important for effective performance in that particular job

7.4 Performance Development Plans (PDP's).

- (a) The aim of PDP's is to create opportunities and support employees to improve their current skills level and contribute towards their professional career growth.
- (b) A PDP shall be used for addressing priority development needs of employees to enhance current skills level as well as a tool to address poor performance.
- (c) Employees should take personal responsibility for their own development with their supervisors playing a support role.
- (d) A PDP shall be linked to Key Result Areas and GAF as outlined in an employee's Workplan and job description respectively. Employees who attended training courses through a PDP should be assessed on the affected KRAs to determine performance improvement as a result of such development actions.
- (e) Development actions shall be undertaken bearing in mind the financial viability and the principles of fairness to all employees.
- (f) However, financial constraints should be countered through on-the-job training by supervisors or a colleague assigned as a mentor (whichever is applicable). The Directorate: Human Resource Management can also be approached for appropriate interventions.

7.5 Performance Progress Reviews and Appraisals.

- (a) Bi-annual progress reviews.
 - i. The first mandatory half-yearly performance progress review shall take place in September during each performance cycle.
 - ii. The next reviews shall be done at the end of March, coinciding with the final performance appraisal process.
 - iii. Six monthly performance progress reviews shall be used to monitor performance and provide feedback on achievements according to agreed individual Workplans or Business Plans relevant to each component.
 - iv. It is compulsory to conduct all two progress reviews. Employees, who join the department or get promoted / transferred before the end of the six months period or in the middle, shall be expected to align their review periods accordingly.
 - v. It is also important for those employees being transferred or promoted within the department to finalise their reviews before assuming new responsibilities elsewhere.
 - vi. Quarterly progress reviews shall be used to monitor and evaluate performance progress of probationers in order to address their needs, e.g. development, resources, correct placement (where possible), etc.
 - vii. Both the employee and his/ her supervisor shall share the responsibility for initiating progress review discussions on performance. Any obstacles towards achieving agreed objectives must be identified and remedial actions agreed upon.

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(b) Annual performance appraisals/ assessments.

- i. Annual appraisals shall be based on the overall performance achievements during a particular performance cycle (i.e. a twelve month period from 1 April to 31 March).
- ii. Those employees who were transferred horizontally to a post within the same family group or occupational class (within the department), shall be assessed having combined the two periods served in each post during a specific performance cycle. Inputs from the previous supervisor(s) and the current supervisor shall be considered for performance appraisal purposes.
- iii. Employees who did not complete a full cycle (i.e. twelve months period) must also finalize their annual performance appraisals regardless of whether there are rewards involved or not.
- iv. All appraisals for employees on levels 1-12 must be finalised before any senior manager's performance appraisal can be considered to be valid. In other words, they should be used to inform the performance of the senior managers and components they are accountable for.
- v. Annual appraisals shall be used as a basis for providing feedback on the job done whether there are monetary rewards involved or not.
- vi. Employees who were on an approved leave of absence (i.e. sick, or maternity) during a particular performance cycle shall not be disadvantaged during appraisals as a result of their absence. Where an employee has been absent for a prolonged period of time such as maternity leave, long study leave, incapacity leave longer than 30 days, the supervisor and the employee must have a discussion for mutual agreement on the ability to execute a meaningful performance review for that period. If it is not possible, it must be indicated in writing in the remarks columns on the half yearly review form following that period. A period of at least 9 (nine) months' actual performance must be considered for a recommendation on the allocation of a performance reward except for employees on maternity leave where a required completed period must be 8 (eight) months.
- vii. In the event of resignation or death, payment of recommended rewards will only be considered where the employee had completed a full performance cycle, that is from April to March of a particular financial year and the performance results are known.

(c) Rating scale.

- i. A five (5) point scale shall be used for rating Individual performance.
- ii. The descriptions of each scale from one (1) to (5) are as follows:

RATING	DESCRIPTION
1	Unacceptable performance
2	Performance not fully effective
3	Performance fully effective
4	Performance significantly above Expectations
5	Outstanding Performance

- iii. It is important to note that any rating scores allocated for 4s and 5s requires evidence of performance achievements or outcomes.
- iv. The guidelines for each rating(s) are attached as **Table 1 and 2**.
 - (aa) Each KRA must be assessed on the extent to which the specified standards have been met and outputs achieved.
 - (bb) An Indicative rating on the five-point scale must be provided for each KRA.

- (cc) This rating must be multiplied by the weighting given to the KRA during the contracting process, to provide a score.
 - (dd) The rating calculator can be used to add the scores and calculate a final KRA score, based on the 70% weighting allocated to the KRAs.
- v. Assessment of the GAFs
- (aa) Each GAF must be assessed according to the extent to which the specified standards have been met.
 - (bb) An indicative rating on the five-point scale must be provided for each GAF.
 - (cc) This rating must be multiplied by the weighting given to each GAF during the contracting process, to provide a score.
 - (dd) The rating calculator may then be used to add the scores and calculate a final GAF score, based on the 30% weighting allocated to the GAFs.
- vi. Overall rating
- (aa) 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.
 - (bb) The assessment rating calculator may then be used to provide a final score based on adding the scores achieved for the KRAs and the GAFs.

7.6 Allocation of Performance Rewards.

- (a) The Head of Department shall have the discretion to determine the allocation criteria for performance rewards to employees who are eligible to qualify for the granting thereof. This shall be informed by availability of financial resources and other mandatory requirements from time to time.
- (b) The allocation of rewards shall be done in order to recognise the value added by employees in contribution towards the achievement of business priorities of their components and strategic goals of the department.
- (c) The emphasis shall be on service delivery requirements and not individual entitlement to rewards. In other words, the allocation of rewards is not a right but a way of recognising performance rendered in return for the value added towards achieving agreed objectives/ outputs.
- (d) Performance bonuses shall be considered if the employee has completed a period of at least twelve months in a notch and has rendered a sustained or consistent above average performance during the period under review.
- (e) Notches in terms of pay progression shall also be considered if the employee has completed a period of at least twelve months and has rendered consistent acceptable level of performance during the period under review (i.e. a minimum overall performance rating score of 100% must be achieved).
- (f) The allocation of rewards shall only be implemented after the following requirements have been fulfilled:
 - i. The Performance Appraisal discussion between the employee and the supervisor should have taken place. Please remember that the higher level supervisors can never be excluded from this process.
 - ii. The annual performance appraisal of individual employees' must contribute towards the achievements of business priorities and strategic goals of their components or districts.
 - iii. The relevant Heads of Components must have officially recommended appraisal results by the various Moderating Committees.

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- (g) The recommendations shall serve as the basis for the Head of Department or MEC to **make a final decision on the implementation of performance related rewards.**
- (h) The appraisal results must be received not later than 01 June of a specific year after the annual appraisal period.
- (i) Although the employer has the right to manage the performance of "Interns" while they are placed within the department, the possible benefits provided for in this policy are not extended to "Interns".

7.7 Performance Moderating Committee

(a) Mandatory requirements.

- i. The Head of Department shall ensure that supporting mechanisms exist for the moderation of appraisal results. Thus, Chief Directorates and Districts shall be accountable for the establishment of functional Moderating Committees.
- ii. The Committee shall then make recommendations on the findings of the moderation process to the relevant delegated authority in order to make a final decision.
- iii. All principles of the policy shall have been complied with before cases could be referred at this level. The criteria applicable during appraisals should be used accordingly.
- iv. Any dissatisfaction arising as a result of the outcome of the Moderating Committee shall be referred to the Appeals Committee through the PMDS Unit.

(b) Composition of the Committee

- i. Chairperson must be the delegated officer who must be at least one level above employees being considered for appraisal and appointed by the HOD or delegated Authority.
- ii. Panel members: A minimum of two officials, appointed by the HOD or delegated authority, who are at least one level/ rank higher than the employee being assessed, e.g. Directors or equivalent ranks for purposes of assessing Deputy Directors or posts of equal grading. These can similarly be cascaded depending on the levels of employees being considered by the Committee.
- iii. Reporting officer: normally, a direct or immediate supervisor of the employee.
- iv. Secretariat: PMDS Unit.
- v. HR representative: Advisory capacity/ role.

(c) Roles and Responsibilities

- i. Chairperson.
 - (aa) The chairperson shall have the right to request any further information from reporting officers or employees should there be a need to substantiate performance rating scores in order to make an informed decision.
 - (bb) The chairperson shall ensure that individual performance achievements correlate and support the objectives of the Directorate's Business or Strategic Plan, thereby linking the process with improvement of service delivery.
 - (cc) Ensure that adequate records are kept in line with decisions taken in order to enable supervisors to provide constructive feedback to their subordinates.
 - (dd) The Chairperson must outline the appeals procedure/process to the reporting officer

- ii. Panel Members.
 - (aa) Ensure consistent and objective appraisal process takes place with regard to cases presented to the committee. Membership to the panel shall be informed by the level of functional expertise relevant to cases considered before the Committee.
 - (bb) Advise the Chairperson on any aspects of performance appraisals which do not add value towards achievement of component's business priorities or departmental strategic objectives and service delivery requirements.
 - (cc) Move for the adoption of the decision by the committee.
- iii. Reporting Officer.
 - (aa) Report on the key achievements by their respective employees which formed the basis for performance rating scores allocated in relation to agreed performance standards or measuring criteria.
 - (bb) Ensure that the performance rating scores allocated are aligned to the component's business priorities and the impact of performance, thereof add value towards the achievement of strategic objectives.
 - (cc) Ensure that the employee is provided with feedback on the outcome of the committee's decision pending approval by the delegated authority.
 - (dd) Shall ensure that the following documents are provided at least a week in advance before any appraisal could be considered (i.e. a signed Workplan with two progress reviews completed).
 - (ee) Must obtain additional information from their respective employee in order to substantiate their achievements in relation to rating scores allocated.
- iv. Secretariat.
 - (aa) Co-ordinate meetings and other documents necessary for the sitting of the Moderating Committee.
 - (bb) Record proceedings and decisions taken by the Committee and compile reports or minutes thereof.
 - (cc) Ensure that the chairperson has signed the minutes of the proceedings.
 - (dd) Safe keeping of records and prepare submission to the relevant delegated authority for approval of the recommendations by the committee.
- v. HR Representative.
 - (aa) Observe proceedings and render technical advice to the committee.
 - (bb) Monitor the correct application of the principles of performance management.
- vi. Line Managers/ District Deputy Directors
 - (aa) Ensure that the granting of performance rewards is done within the budget limitations as prescribed by DPSA and departmental directives. Proper financial planning should have been done in consultation with HR prior to any Moderating Committee meetings.
 - (bb) Shall ensure that the following documents are provided at least a week in advance before appraisal could be considered (i.e. signed workplan with two progress reviews completed).
 - (cc) Must obtain additional information from their respective employees in order to substantiate their achievements in relation to rating scores allocated.
- vii. Union Representatives

- (bb) Shall assist employees in the case of an appeal, which must be lodged within thirty (30) working days
- (cc) To serve as an observer during Moderation process and to raise concerns to the chairperson (in the absence of the reporting officer) on any shortcomings relating to the appraisal.

7.8 Performance assessment appeal panel

- (a) The Performance Assessment Appeal Panel (PAAP) is established by the Head of Department to manage disagreement over ratings that the Moderating Committee identified as discrepancies in the assessment report or dissatisfaction that may arise as result of the decision of the moderating committee.
- (b) The Panel must be constituted in such a manner that expertise of the different line function including labour relations is included. The employee concerned may also be represented by a member of her/his employee organisation if he/she so chooses. The Panel must consider all written representations within fourteen working days from the date of being received.
- (c) The PAAP **has the following responsibilities** —
 - i. To make recommendations to the Head of Department or his/her delegate on the rating of employees where there is a disagreement between the employee and the supervisor and or between the supervisor and the moderating committee.
 - ii. To make recommendations regarding actions to be considered where managers and supervisors did not properly and fairly execute their responsibilities with regard to PMDS.
- (d) In the event of persistent disagreement over performance assessment of an employee , involving the employee and his/her supervisor, the employee may within 5 days of being informed of the decision of the PAAP , follow the formal grievance rules of the Public Service.

7.9 Dealing with Poor Performance.

- (a) Corrective measures must be taken to support employees whose performance has been assessed as poor.
- (b) Supervisors shall at all times distinguish between issues relating to performance management problems and disciplinary matters in terms of Labour Relations Act. It is advisable that the Directorates: Human Resource Development (Performance Management) or Labour Relations Management be consulted immediately for appropriate advice on such matters.
- (c) A maximum of six (6) months period may be considered for extending an employee's on probation if poor performance has been identified.
- (d) As part of corrective measures, a PDP shall be prepared for appropriate development actions. This shall also apply to employees who are not on probation but their level of performance having been found to be below average.
- (e) In case all reasonable measures to support the employee to improve his/ her performance fail, the incapacity procedures shall be invoked in accordance with the Labour Relations Act.
- (f) It is important to note that a Workplan cannot be used as a basis for dismissal, but may be used as evidence of poor performance over a period of time.

- (d) Monitor and evaluate Individual performance against the overall strategic objectives of their components as reflected in the workplans.
- (e) Ensures that the granting of performance rewards is done within the budget limitations as prescribed by DPSA (i.e. 1.5%) and departmental directives. Proper financial planning should have been done in consultation with HR prior to any Moderating Committee meetings:
 - i. The Department shall budget 1.5% of the total remuneration of employees for performance bonuses and 1% of the wage bill for pay progression.
 - ii. The applicable amount shall be distributed between the various components and District Office levels.
 - iii. The 1% of the wage bill, for pay progression, shall under no circumstances be exceeded in the department.
 - iv. Components shall, as far as possible, not exceed their 1.5 % performance bonus budget.

8.3 Supervisors

- (a) Ensure that employees have signed and mutually agreed Workplans.
- (b) Provide guidance and support to employees in order to achieve agreed objectives/ outputs.
- (c) Monitor and evaluate performance of employees and provide constructive feedback. This will allow employees the opportunity to improve his/ her performance standard and avoid any surprises during the annual performance appraisal period.
- (d) Identify solutions on any obstacles that may arise making it difficult for employees to achieve agreed objectives/ outputs. This shall be done in conjunction with the relevant employee.
- (e) Create an enabling environment for performance and development of employees to enhance service delivery requirements
- (f) Deal with disagreements and disputes as a result of performance management problems for all employees under his/her component

8.4 Employees.

- (a) Together with Supervisor draft a Workplan for discussion with his/ her supervisor and facilitate the signing thereof.
- (b) Prepare reports on key achievements to inform the process of performance progress reviews with his/ her supervisor. It is advisable to utilize the performance measuring toolkit designed to enhance objective performance evaluations.
- (c) Jointly initiate and participate in the performance progress review discussions between himself/ herself and the supervisor(s) in an endeavour to comply with PMDS policy.
- (d) Timeously alert the supervisor of any obstacles identified that might influence the achievement of agreed objectives/ outputs.
- (e) Identify areas of development in line with KRA's agreed in the Workplan.

8.5 Performance Moderating Committee.

- (a) The chairperson shall have the right to request any further information from reporting officers or employees should there be a need to substantiate performance rating scores in order to make an informed decision.
- (b) The chairperson shall ensure that appropriate assessment instruments and supporting documents are utilised for purpose of appraisal reviews (i.e. a signed Workplan, Progress Review Discussions and Annual Performance Appraisal Discussions submitted).

7.10 Dealing with probation

- (a) In terms of the Public Service Act, 1994 as amended, the period of probation shall not be less than 12 calendar months. The period of probation is linked to the appointment date of the employee. The assessment to decide on whether the appointment must be confirmed or not must therefore take place 12 calendar months after the date of appointment. This means, an employee's probationary period will not necessarily coincide with the 1 April to 31 March cycle.
- (b) Performance Management and Development System will serve as the process to assess an employee during probation. The performance assessment of employees on probation must be conducted quarterly for probation quarterly assessment forms). At expiry of the probationary period the supervisor of the probationer must do a final assessment of the employee's performance through an Annual Assessment Instrument in order to make a recommendation on whether or not appointment must be confirmed. This assessment will be subjected to moderation.
- (c) Although the outcome of this assessment may not necessarily lead to assessment for reward, it may be utilised for confirmation of appointment and development purpose.

7.11 Career Planning.

- (a) Employees must be active drivers in the development of their professional careers.
- (b) Supervisors must support employees by providing opportunities for employees to participate in programs that will optimise their career growth and also job assignments that are most relevant to their professional growth. These shall be aligned with the business priorities or strategic objectives of the relevant components.
- (c) By identifying competencies per occupational posts, both the employees and supervisors will be able to understand the scope (i.e. technical, managerial, interpersonal, etc) of job demands and requirements for career progression purposes.

8. INSTITUTIONAL MANDATE – ROLES AND RESPONSIBILITIES.

8.1 Directorate: Human Resource Management (Performance Management)

- (a) Develop, review and align the departmental PMDS Policy in line with best practices and mandatory legislative requirements.
- (b) Facilitate the implementation of the final performance appraisal results in conjunction with all key role players
- (c) Provide technical advice and support on the correct application of PMDS in the department.
- (d) Monitor and evaluate the overall implementation of individual performance management of employees in the department, within the applicable scope of legislative framework.
- (e) Communicate all performance management related issues to all employees of the department.

8.2 Line Managers

- (a) Promote compliance to all aspects of the PMD System in the department by ensuring that all employees in their components have signed and mutually agreed workplans.
- (b) Create an enabling environment for performance and development of employees to enhance service delivery requirements.
- (c) Deal with disagreements and disputes as a result of performance management problems for all employees under his/ her component.

- (c) The chairperson shall ensure that individual performance achievements correlate and support the objectives of the Directorate's Business or Strategic Plan, thereby linking the process with improvement of service delivery.
- (d) Ensure that adequate records are kept in line with decisions taken in order to enable supervisors to provide constructive feedback to their subordinates.
- (e) Ensure consistent and objective appraisal process takes place with regard to cases presented to the committee. Membership to the panel shall be informed by the level of functional expertise relevant to cases considered before the Committee.
- (f) The committee members shall advise the chairperson on any aspects of performance appraisals which do not add value towards achievement of component's business priorities or departmental strategic objectives and service delivery requirements.
- (g) The supervisors must ensure that employees are provided with feedback on the outcome of the recommendations made by the committee.

8.6 Executing Authority (or Head of Department) or his/her delegate shall:

- (a) Determine a system for performance management and development for employees within his/her department who are not senior managers;
- (b) ensure total commitment of managers by way of full compliance with the policy framework;
- (c) ensure that employees are provided with the necessary resources to carry out their responsibilities;
- (d) designate formal annual assessment dates for each employee;
- (e) ensure that all employees are assessed on an annual basis;
- (f) ensure that there is existence of a systematic remedial support for poor performance and that good performance is rewarded accordingly;
- (g) appoint a Moderating Committee constituted by expertise of the different line function
- (h) appoint Performance Assessment Appeal Panel;
- (i) ensure that the Moderating Committee is well conversant with the assessment process
- (j) ensure that progress on PMDS is given at every management meeting; and
- (k) ensure that PMDS must be one of the Heads of departments' Key Responsibility Areas, upon which they are assessed.

9. GENERAL GUIDELINES.

9.1 Identifying Key Result Areas.

- (a) KRA's should be linked to the goals and objectives of the department so as to achieve the overall performance of the department.
- (b) KRA's should be non-repetitive. In other words, they should focus on key areas of performance which are interrelated and grouped together.
- (c) KRA's should preferably not exceed the amount of five (5) or six (6).
- (d) Supervisors should make their Work Plans available to employees working under them to ensure proper alignment.
- (e) If necessary, provision for employees in acting capacities might be included as interim KRA's.

9.2 Identifying key activities.

- (a) They represent elementary actions that would lead towards achieving desired outputs and KRA's.
- (b) Each activity should where possible, have its own performance indicators unless activities in one group of a KRA share similar indicators. This should be clarified between the supervisor and the employee to avoid possible misunderstanding.

9.3 Setting performance measures or standards.

- (a) Measures or standards should comply with the following elements:
 - i. Quantity,
 - ii. Quality,
 - iii. Cost and,
 - iv. Time.

- (b) When setting performance measures or standards, the following principles should be followed:
 - i. **S** – Specific, i.e. simple, clear and understandable to avoid any possible misinterpretations.
 - ii. **M** – Measurable, i.e. according to the four elements outlined above (i.e. paragraph 9.4.1).
 - iii. **A** – Achievable, i.e. it should be possible to achieve the desired output.
 - iv. **R** – Realistic, i.e. challenging but realistic.
 - v. **T** – Time bound, i.e. clearly indicate time frames.

- (c) Target date(s).
 - i. Fall within the performance cycle.
 - ii. Mutually agreed between supervisor and employee.
 - iii. Revised according to new priorities

9.5 Resource requirements & enabling conditions.

- (a) Resources needed to accomplish objectives/ outputs as agreed upon, e.g. a personnel officer working on leave records need a Personal Computer and access to PERSAL.
- (b) The resources should be checked against constraints such as budget and feasibility.
- (c) Thus, the allocation of resources should as a general rule be determined by the activities or functions to be performed.

9.6 Weighting.

- (a) This is a percentage attached to each KRA according to its importance.
- (b) All the percentages of the KRA's should add up-to a total of 100% when combined together.

9.7 Ratings.

- (a) This is a two way process between the employee and his/ her supervisor. The emphasis must be on the actual achievements by employees, in relation to performance measures agreed upon in the Workplan.
- (b) Should there be differences in terms of ratings, reference should be made to specific situations and examples, i.e. what informs the basis for giving a particular score or the lack of it.
- (c) It is preferable for both parties to agree to the rating awarded. Reasons should be provided by both parties on areas of differences according to the above requirement
- (d) Special circumstances or conditions in which officials work should be considered in this regard, e.g. ill health, personal crises, new assignments, etc.
- (e) Disagreements arising from ratings should be dealt with in accordance with the following:

- i. Where an official wishes to appeal, he/ she may do so to the supervisor's senior.
 - ii. A senior manager (supervisor) may challenge the initial rating done by the first level supervisor or employee where there is insufficient substantiation of a rating.
 - iii. Should the rating be subject to changes as a result of a challenge after the appraisal period, another meeting must be held with the official concerned.
 - iv. The normal grievance procedure shall be followed to deal with dissatisfactions from the outcome of the Moderating Committee. All cases in this regard shall be referred to the Directorate: Labour Relations Management.
- (f) The following rating problems should be avoided:
- i. The 'halo effect': one or two outstanding or negative characteristics may result in the tendency to rate the employee consistently high or low.
 - ii. The consistent error: supervisors are inclined to rate all employees consistently high or low.
 - iii. The central tendency: either wittingly or unwittingly, some people rate everyone average.
 - iv. Tendency to rate everybody high to avoid conflict: the principle of objectivity and fairness becomes crippled and an injustice is done to those who give sustainable above average or excellent performance.
 - v. Erroneous ratings of qualities: managers can allow themselves to be influenced by the kind of work the staff member is doing, i.e. there is a 'halo effect' around the type of work (as opposed to the employee's performance).
 - vi. Over-emphasis on recent behaviour: there is tendency to attach more importance to the performance during the month or two preceding the performance appraisal interview instead of rating the work of the whole period. All quarterly reviews must be added together to arrive at an overall performance rating.
 - vii. Undue credit for long service: the length of service by an employee is not a factor during performance appraisal.
 - viii. Compensation for perception of incorrect job grading: the perception that a post is graded too low is not relevant to the assessment of an employee's performance in that job.

9.8 Criteria for Appraisals.

- (a) Appraisals serve as a basis for providing feedback on the job done, whether there is money involved or not.
- (b) Timely feedback is essential to reinforce and redirect performance so that the employee can repeat successful initiatives or endeavours. This will also allow employees whose performance is below average ample time to improve his/ her level of performance.
- (c) Each manager must be assessed against the fulfilment of performance management and appraisal function in their components. This can be linked to the standard KRA on "People Development and Management".
- (d) During appraisals, the key achievements by employees should satisfy the following elements, namely:
 - i. **Valid**, i.e. there should be no fabrication of achievements to justify rating scores.
 - ii. **Relevant**, i.e. the achievements should reflect an employee's own performance and correlate with specific indicators.
 - iii. **Current**, i.e. the achievements should reflect performance within a specific performance cycle.
 - iv. **Sufficient**, i.e. there is enough evidence of the right quality. The actual achievements should be able to compare with the desired output/ deliverable benchmarked against agreed performance measures in the Workplan.

- (e) For each key activity or KRA to be appraised, the following should be satisfied:
- i. How does the level of performance compare with performance measures or standards agreed upon?
 - ii. The assessment should be based on actual outcomes/ deliverables on the employee's work performance to ensure objectivity.
 - iii. How was the level of performance confirmed? What do quarterly reports or work products show?
 - iv. What was the impact or consequences as a result of the employee's performance? The resource requirements and enabling conditions should be considered where necessary.
 - v. Performance measures or standards shall be used as a benchmark against which the actual output/ was achieved to reflect an acceptable level of performance.

10. DISPUTE RESOLUTION

10.1 Disciplinary Action

- (a) The Department of Public Safety reserve the right to take disciplinary action against any person who does not comply with the policy in accordance with the Labour Relations Act 1998 (as amended) and Resolution 2 of 1999 as amended by Resolution 1 of 2003.
- (f) The **procedure** to follow in dealing with disciplinary matters is governed by the provisions of Resolution 1 of 2003 (Disciplinary Code and Procedures for the Public Service, hereafter referred to as the DCP).
- (g) The **basic principles** of procedural and substantive fairness in handling disciplinary matters must be adhered to. Procedural fairness means that the department must follow a fair procedure in terms of the DCP. Substantive fairness means that the department must take disciplinary action for a fair reason, and that the sanction must be commensurate with the offence.

10.2 Grievance Procedure

The prescribed Public Service Grievance Procedure must be complied with in lodging a grievance.

11. MONITORING, EVALUATION AND REVIEW

In order to have this policy amended, the following processes shall be followed:

- 11.1 The proposed amendments shall be submitted in writing to the Directorate: Human Resources Management, which shall investigate the validity, practicality and cost effectiveness of the inputs.
- 11.2 All amendments shall be forwarded to the HOD/MEC for approval; and
- 11.3 All amendments made to this Policy shall be presented to Labour in the Departmental Bargaining Chamber for consultation/negotiation.
- 11.4 The policy shall be reviewed after a period of five (5) years from the date of commencement.

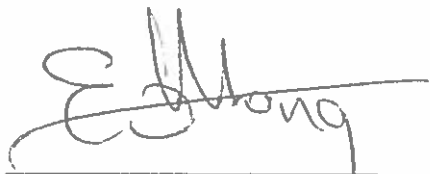
12. RELATED POLICIES

- 12.1 Provincial Performance Management and Development System Policy;
- 12.2 Training and Development Policy;
- 12.3 Employment Equity Policy; and
- 12.4 Labour Relations Policy.

13. COMMENCEMENT OF THE POLICY

This policy shall be implemented by the Department with effect from the date of approval and signature by the HOD.

APPROVED


OB-MONGALE
HEAD OF DEPARTMENT

21/09/2009
Date:

TABLE B
PMDS RATING/REWARDS SCALE TABLE (LEVELS 11-12) MMS

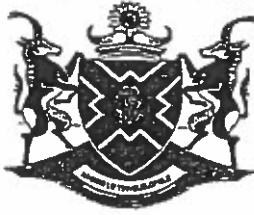
SCORE	PERFORMANCE CATEGORY	TOTAL SCORE	OUTCOME/DECISION/REWARDS	REMARKS
1	Unacceptable performance	69% and lower	<ul style="list-style-type: none"> - No rewards or incentives - Probation period may be extended or employment terminated 	<ul style="list-style-type: none"> - Appropriate intervention compulsory - Prescribed incapacity procedures must be followed
2	Performance not fully effective	70%-99%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period to be extended 	<ul style="list-style-type: none"> - Appropriate intervention compulsory
3	Performance fully effective	100%-114%	<ul style="list-style-type: none"> - Appointment to be conformed - Pay progression: One notch 	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance.
4	Performance significantly above expectations	115%-129%	Appointment to be confirmed Pay progression: One notch plus Performance bonus: 5%-10% 115%-116%=5%; 117%-118%=6% 119%-120%=7%; 121%-123%=8% 124%-126%=9%; 127%-129%=10%;	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance
5	Outstanding performance	130%-149%	<ul style="list-style-type: none"> - Appointment to be confirmed - Pay Progression: (One notch); Plus – Performance bonus: (11%-13%) 130%-135%=11% 136%-140%=12% 141%-149%=13% 	<ul style="list-style-type: none"> - Level of performance acknowledged as outstanding
		150% and above	<ul style="list-style-type: none"> - Pay progression: One notch plus - Performance bonus: (14%) 150% and above = 14% 	

Performance Bonus is calculated on the salary notch for the qualifying/assessment period

TABLE A
PMDS RATING/REWARDS SCALE TABLE (LEVELS 1-10)

SCORE	PERFORMANCE CATEGORY	TOTAL SCORE	OUTCOME/DECISION/REWARDS	REMARKS
1	Unacceptable performance	69% and lower	<ul style="list-style-type: none"> - No rewards or incentives - Probation period may be extended or employment terminated 	<ul style="list-style-type: none"> - Appropriate intervention compulsory - Prescribed incapacity procedures must be followed
2	Performance not fully effective	70%-99%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period to be extended 	<ul style="list-style-type: none"> - Appropriate intervention compulsory
3	Performance full effective	100%-114%	<ul style="list-style-type: none"> - Appointment to be conformed - Pay progression: One notch 	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance.
4	Performance significantly above expectations	115%-129%	Appointment to be confirmed Pay progression: One notch Performance bonus: 5%-14% 115%-116%=5%; 117%-118%=6% 119%-120%=7%; 121%-122%=8% 123%-124%=9%; 125%=10%; 126%=11%; 127%=12%; 128%=13% 129%=14%	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance
5	Outstanding performance	130%-149%	Pay Progression: (One notch); Plus – Performance bonus: (15%-17%) 130%-136%=15% 137%-143%=16% 144%-149%=17%	<ul style="list-style-type: none"> - Level of performance acknowledged as outstanding
		150% and above	<ul style="list-style-type: none"> - Pay progression: One notch plus - Performance bonus: (18%) 150% and above = 18% 	

Performance Bonus is calculated on the salary notch for the qualifying/assessment period



dhsp&l

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Human Settlements, Public Safety & Liaison
North West Provincial Government
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**TO : Mr B MAHLAKOLENG
ACTING HEAD OF DEPARTMENT**

**FROM : MS TSELAPEDI
ACTING DIRECTOR-HUMAN RESOURCE MANAGEMENT**

DATE : 17 JANUARY 2012

**SUBJECT : AMMENDMENT OF DEPARTMENTAL PERFORMANCE MANAGEMENT
DEVELOPMENT POLICY**

PURPOSE

The purpose of this submission is to request approval from the Acting Head of Department to include paragraph 13, clause 13.1 of the Performance Management Development System (PMDS). Policy no: NWPG 13 in the Departmental PMDS policy.

BACKGROUND

The Departmental PMDS Policy was approved on the 26th January 2010. Clause 13.1 did not appear in the policy and it plays a role in terms of the ratings of members according to the levels.

DISCUSSIONS

The North West Provincial Government Policy no 13, as amended and approved on 02/05/2005 (PMDS), reflected that in terms of Incentive Policy Framework, the awards/bonuses of employees on salary level 1 – 10 should not exceed 18% and employees on salary level 11 – 12 should not exceed 14%.

"Working together we can do more"



It is hereby brought to the attention of the Acting Head of Department that the information on the latter paragraph does not appear on the Departmental PMDS policy and it should added as

"Employees on salary level 1 – 10

- In terms of the Incentive Policy Framework, the allocation of a performance awards/bonus should not exceed 18% of the employee's salary notch.


Employees on salary level 11 – 12

- In terms of DPSA circular 2 of 2005 on the Implementation of an inclusive Flexible Remuneration Package, employees on salary level 11 – 12 qualify for the performance bonuses up to the maximum of 14% of the MMS member's total package."

The additional information should be reflected on the Item no 11 of the Departmental PMDS Policy under the heading of the policy requirements

RECOMMENDATIONS

In view of the above, it is hereby recommended that the Acting Head of Department grant approval for the additional information that must be included in the Departmental PMDS Policy as reflected on the latter paragraph.



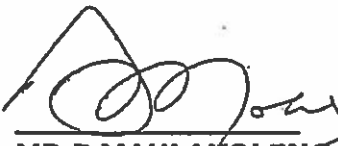
 MS TSELAPEDI

17/01/2012
 DATE

ACTING DIRECTOR- HUMAN RESOURCE MANAGEMENT

APPROVED/NOT APPROVED/APPROVED WITH AMMENDMENTS

Comments: Policy to be amended according to



 MR B MAHLAKOLENG
 ACTING HEAD OF DEPARTMENT

23/1/2012
 DATE