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**CHIEF DIRECTORATE: CORPORATE SERVICES**

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# **PUBLIC WORKS AND ROADS**

## **PMDS POLICY**

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## CHIEF DIRECTORATE: CORPORATE SERVICES

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### DEPARTMENT OF PUBLIC WORK AND ROADS

#### PMDS POLICY

##### 1. PREAMBLE

Department of Public Works and Roads (DPWR) strives to provide an environment where all employees understand the impact made by their contribution on the achievements of the Department and are provided the opportunity for personal development.

This shall be achieved through a strong performance based management program culminating in an annual performance review.

The intended policy outcomes of this Practice Statement are to ensure that Department of Public Works and Roads (DPWR) achieves high performance outcomes.

This document describes the Performance Management System within Department of Public Works and Roads (DPWR) as it applies to the management of individual and team performance.

Specifically it:

- ❖ provides a definition of Performance Management
- ❖ outlines what the Performance Management System aims to achieve and articulates several underlying principles of the Performance Management System
- ❖ documents the various components of the Performance Management System and provides a framework to illustrate how these interrelate
- ❖ clarifies the roles and responsibilities for managers and employees to ensure that our Performance Management System is effective
- ❖ Provides references to further information and resource material to assist managers and employees to undertake their roles and responsibilities.

##### 2. PURPOSE

The success of the Public Service in delivering its operational and developmental goals depends primarily on the efficiency and effectiveness with which employees carry out their duties. Managing performance is therefore a key management tool which has the following guiding principles:

- a. To enhance organizational/ departmental performance against the strategic plan.
- b. To enhance individual performance against agreed upon objectives by identifying individual performance gaps.
- c. To enhance manager/employee relationship by allowing frequent communication of expectations regarding set objectives, accurate performance evaluation and prompt feedback.
- d. To manage under-performance in a constructive, objective and firm manner.



- e. To reward an outstanding performance
- f. To give direction with regard to life-long learning, career progression and personal development.
- g. To promote a culture of continuous improved service delivery.
- h. To ensure coordinated succession planning.
- i. To harness and unleash the potential of an individual, to fully utilize his/her capacity and ability in achieving the strategic objectives of the Department.
- j. To create and establish an environment for greater job satisfaction and for improved service delivery.

### 3. OBJECTIVES OF PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

To enhance communication among supervisors and employees whereby the main objectives and standards are agreed upon in a consultative and supportive manner so that each employee understands clearly what is expected from him or her.

- a. To ensure a continuous cycle of planning, capacity building and feedback on the objective criteria.
- b. To instill and sustain a performance culture within the public service.
- c. To promote and establish a Performance contract (work plan) between employee and supervisor.
- d. To remedy poor performance and to reward good performance.

### 4. DEFINITIONS

A number of terms are used throughout this document are defined as follows:

Employee	: Refers to any staff member in the Department of Public Works and Roads (DPWR) employed in terms of Public Service Act, 1994 irrespective of rank or position excluding Senior Management Services (SMS) members.
Objectives	: They are core responsibilities which define and accomplish the purpose of the job as indicated in employee's job description.
Manager/Supervisor	: Anyone whose duties in the main involve responsibility for the work of others. Both terms shall be used interchangeably in this policy.
Moderating committee:	A committee appointed by the Head of Department to formally moderate the assessment reports of employees. The committee shall ensure that there is consistency, fairness and objectivity across the department.
Performance Cycle	: The period in respect of which performance is to be assessed, i.e. 1 April of a specific year up to 31 March of the following year.



- Performance output : Specific products, services, and information that have to be provided to key consumers within a specific performance year.
- Performance measures : They are mutually agreed criteria used to describe how well work must be done. They must be specific, measurable, attainable, realistic, and have time frames. Standards develop over time and need to be constantly adjusted to reflect current conditions.

## **5. SCOPE OF APPLICATION**

- 5.1. The Performance Management System is the use of interrelated strategies and activities designed to improve the performance of individuals, teams and ultimately the whole Department. Its purpose is to enhance the achievement of Public Works and Roads (DPWR) goals and outcomes for the government.
- 5.2. The main focus of this policy is on performance management as it relates to individuals and teams.  
This policy explains the linkages between individual/team performance and Departmental performance but its main purpose is to provide guidance on improving performance at the individual and team level.
- 5.3. The term manager is used in this policy to include all employees with a supervisory responsibility including: supervisors; team leaders; Managers and Senior Directors.
- 5.4. This policy applies to all employees on Salary Level 01 -12 in the department of Public Works and Roads (DPWR) appointed in terms of Public Service Act, 1994, as amended excluding those on internship/ learnership program; Expanded Public Works Program and National Youth Service Program, short term contracts and SMS members whose performance is addressed in line with Chapter 4 of SMS Handbook.

## **6. STATUTORY AUTHORIZATION**

- a. Employment Equity Act; 1998
- b. Labour Relation Act; 1995
- c. Public Service Regulation; 2001
- d. Public Service Act; 1994, as amended
- e. White Paper on Human Resource Management
- f. Skills Development Act, 1998
- g. White Paper on Transforming of Public Service Delivery (Batho Pele)
- h. White Paper on Transformation of Public Service (WPTPS)
- i. PMDS Policy NWPG, 13 as amended
- j. Constitution of RSA; Act 108 of 1996

## **7. PRINCIPLES**

- 7.1. Supervisors' shall manage performance in consultative, supportive and non-discriminatory manner to enhance departmental efficiency, effectiveness and accountability for the use of resources and the achievement of results.



- 7.2. Performance Management and Development System (PMDS) processes shall link to broad and consistent plans for staff development and be aligned with the departmental strategic goals.
- 7.3. The system also allows for effective response to persistent inadequate performance and it recognizes outstanding performance.
- 7.4. Performance Management procedures shall maintain transparency and administrative justice. I.e. recording devices will be provided by the Department.
- 7.5. All permanent employees shall be assessed bi-annually (twice per year – October and April).
- 7.6. All permanent employees shall be eligible for performance rewards provided they satisfy the set criteria.
- 7.7. All assessment reports shall be moderated at Chief Directorate level for equitable allocation of performance rewards; managers shall take responsibility; accountability and ownership of the process.
- 7.8. No supervisor shall be assessed before his/her employees are assessed.
- 7.9. In the event the manager and managed fails to submit performance assessment report and there is evidence to that effect, disciplinary action shall be taken against such parties.
- 7.10. Assessment reports not submitted within the stipulated time (31st May) shall not be accepted and all benefits shall be forfeited provided the cause of delay is on the part of the employee.

## 8. DEVELOPING PERFORMANCE CULTURE

- 8.1. **Focus:** the aim of the Performance Management System is to improve performance by helping create a high performance culture. This aim provides the focus for managers and employees as they engage and participate in the Performance Management System and should be actively considered in all components of the system.
- 8.2. **Alignment:** a clear linkage and 'line of sight' from individual objectives to work area, Chief Directorates, Directorates and Sub-Directorates objectives, and then to Departmental priorities is required. This helps to ensure consistency with stakeholder expectations and builds individual commitment to jobs.
- 8.3. **Achievement:** performance is measured and assessed on an ongoing and regular basis as well as at specific times in the cycle. Assessment of effective performance is based both on what is achieved (goals and objectives) and how it is achieved (whether behaviour meets agreed performance measures and is consistent with the DPWR Values and Code of Conduct).



8.4. **Inclusion:** active participation in the Performance Management System is a requirement for all employees (excluding EPWP beneficiaries and other short term contract workers). Employees and managers have specific roles and responsibilities to ensure that Departmental desired outcomes are achieved.

8.5. **Communication:** on-going two-way feedback between employees and their manager is critical to effective performance management. Specific review and formal feedback processes are built into the cycle but these are not designed to replace ongoing informal feedback.

## **9. DPWR CULTURE OF PERFORMANCE IS UNDERPINNED BY:**

### **9.1. Departmental Planning Process**

The key components in Departmental planning include developing Chief Directorate, Directorate and Sub-Directorate Work Area Plans. These plans are linked so that there is a clear alignment between Departmental and Chief Directorate's strategic and operational objectives and individual performance plans.

### **9.2. Induction and Probation**

These important processes help to ensure a new employee is suitable for ongoing employment with Department of Public Works and Roads. These shall provide the new employee with clear expectations, information and/or knowledge and skills to undertake their job.

### **9.3. Performance Assessment and Feedback (PAF)**

Performance Assessment and Feedback (PAF) is the formal mechanism within Department of Public Works and Roads (DPWR) for employees and managers to work together to improve individual and team performance. PAF is a key component of the Performance Management System and it shall involve the development of an individual Performance Agreement, assessment of performance, identification of development needs and formal feedback at specific times.

### **9.4. Ongoing Feedback**

Ongoing feedback is a central and critical component of effective performance management and provides the opportunity to recognize good performance and provide information to help improve performance. All managers shall play their role to ensure that the ongoing feedback process works well.

### **9.5. DPWR Values and Code of Conduct**

The DPWR Values and Code of Conduct are central to guiding the behaviour of all employees within the Department. All employees shall uphold the Values and comply with the Code. The Values and Code provide the basis for the development of a high performance culture that inspires public trust and improves departmental performance.

### **9.6. Rewards and Recognition**

Rewards and Recognition shall be used to complement and acknowledge high performance by an individual or team. Such strategies shall include formal awards; Member of Executive Committee (MEC's) Award and informal rewards offered under the Directorate, Sub-Directorate recognition award.



#### **9.7. Performance Issue Management**

Managers shall actively manage performance issues in a timely manner. Performance issues can be minor or major, once off or repeated on an ongoing basis.

### **10. PERFORMANCE MANAGEMENT – KEY ROLE PLAYERS AND THEIR RESPONSIBILITIES**

There are clear roles and responsibilities for all employees to ensure that the Performance Management System is efficient and effective.

#### **10.1. Employees**

All employees shall:

10.1.1 jointly develop an individual Performance Agreement with their manager and diligently work towards meeting their job objectives

10.1.2. behave in a way that is always consistent with the standards required by the DPWR Values and Code of Conduct

10.1.3. actively participate in induction and other learning and development activities to develop the necessary competencies required to meet their job objectives

10.1.4. undertake regular self-assessment and seek to improve their performance

10.1.5. seek to resolve any performance issues or concerns in a timely and appropriate manner with the support of their manager if required

10.1.6. be open to feedback

10.1.7. Provide constructive, timely feedback to others, in particular their manager as part of the PAF cycle.

10.1.8. Submit necessary performance evidence to supervisor

#### **10.2. Managers (supervisors and team leaders)**

Managers shall:

10.2.1. Ensure that there is a Performance Agreement in place that describes key work objectives, performance indicators, learning and development needs.

10.2.2. Reinforce the linkage between each employee's Performance Agreement and work area objectives and Departmental priorities.

10.2.3. Provide ongoing constructive feedback on each employee's performance and formal feedback at the mid-term review and end of cycle assessment.

10.2.4. Support and assist each employee to achieve their job objectives and to meet their learning and development needs.



- 10.2.5. Model behaviours consistent with the standards required by the DPWR Values and Code of Conduct and promote and encourage these behaviours in others.
- 10.2.6. Address any performance issues in a prompt manner in accordance with relevant legislation, guidelines, policies and management tools.
- 10.2.7. Seek and encourage upward feedback from employees on their own performance and act on that feedback as appropriate.
- 10.2.8. Obtain performance evidence from employees when assessing performance.

**10.3. Senior Managers**

In addition to the roles and responsibilities outlined for managers, Senior Managers shall:

- 10.3.1. Actively promote the Performance Management Framework and the DPWR Values and Code of Conduct;
- 10.3.2. Ensure continued support for smooth implementation of the PMDS
- 10.3.3. Monitor and evaluate the effectiveness of performance management and implement strategies to address any areas of concern.

**10.4. HEAD OF DEPARTMENT SHALL AND NOT LIMITED TO:**

- 10.4.1. Appoint Moderating Committee with the minimum composition comprising of representatives from all the Directorates/Chief Directorates
- 10.4.2. Approves the implementation of performance outcomes or give direction on what should be done based on the Moderation Committee's recommendations
- 10.4.3. Ensures that the employees are provided with necessary resources to discharge their duties
- 10.4.4. Approve; if she/he deems it appropriate to exceed the allocated Performance rewards funds or apply proportioning methods to remain within the budget.
- 10.4.5. Appoint a committee that can assist her or him to ensure that effective performance areas that lay a fair basis for appraisal are developed and reviewed.

**10.5. HUMAN RESOURCE MANAGEMENT HEAD SHALL:-**

- 10.5.1. Ensure the implementation of the system



10.5.2. Ensure development of Performance contract (Agreements) and all related documents.

10.5.3. Ensures that all stakeholders are properly trained and informed about the Performance Management & Development System matters.

10.5.4. Manage and monitor the process and Chair the moderation process.

10.5.5. Support and drive the entire process.

**10.6. MODERATION COMMITTEE MEMBERS SHALL:**

10.6.1. Maintain consistency, objectivity and fairness when moderating assessment reports.

10.6.2. Make recommendations to Head of Department on the allocation of performance rewards.

10.6.3. Departmental Corporate Service Unit shall support this committee; individual supervisors and jobholders in the process of developing performance areas and reviewing or appraising performance.

10.6.4. Be classified into Four (04) groups in order to reduce workload and fast track implementation:

10.6.4.1. Moderating Committee for Salary Level 01 -06 shall be made of members on Salary Level 07 – 10.

10.6.4.2. Moderating Committee for Salary Level 07 -08 shall be made of members on Salary Level 09 – 11

10.6.4.3. Moderating Committee for Salary Level 09 - 10 shall be made of members on Salary Level 11 – 12

10.6.4.4. Moderating Committee for Salary Level 11 -12 shall be made of members on Salary Level 13.

10.6.5. Moderations shall run for a period of Two (02) months (May and June) each year.

10.6.6. Moderation schedules shall be approved by HoD/ his or her delegates and shall be binding to all Moderation Committee Members.

10.6.7. Non attendance by committee members shall be reported to HoD/ delegates to take disciplinary action.

**10.7. CHAIRPERSON OF MODERATING COMMITTEE SHALL:**

Be a manager dealing with Human Resource or the Head of the Directorate:

10.7.1. Create harmony among stakeholders during moderation sittings.



10.7.2. Objectively consult with other panel members and determine factors to be assessed.

10.7.3. Finalize the discussion where consensus has not been reached and communicate the outcome to the presenter.

**10.8. PMDS Practitioners**

- (a) Ensure that workplans are implemented in line with the approved Departmental PMDS Policy;
- (b) advice to supervisors in the preparation of performance agreements and workplans;
- (c) Give advice at moderating committee meetings;
- (d) Ensure that training is cascaded training to all managers;
- (e) Give advice on PMDS policy matters;
- (f) Identify and manage problems/ queries relating to PMDS broadly;
- (g) Advise on counseling procedure when necessary;

**10.9. UNION REPRESENTATIVES SHALL:**

- (a) Not participate in the moderation process
- (b) Assist the employees in case of an appeal

**10.10. PERFORMANCE ASSESSMENT APPEAL PANEL SHALL: -**

Be appointed by the Head of Department

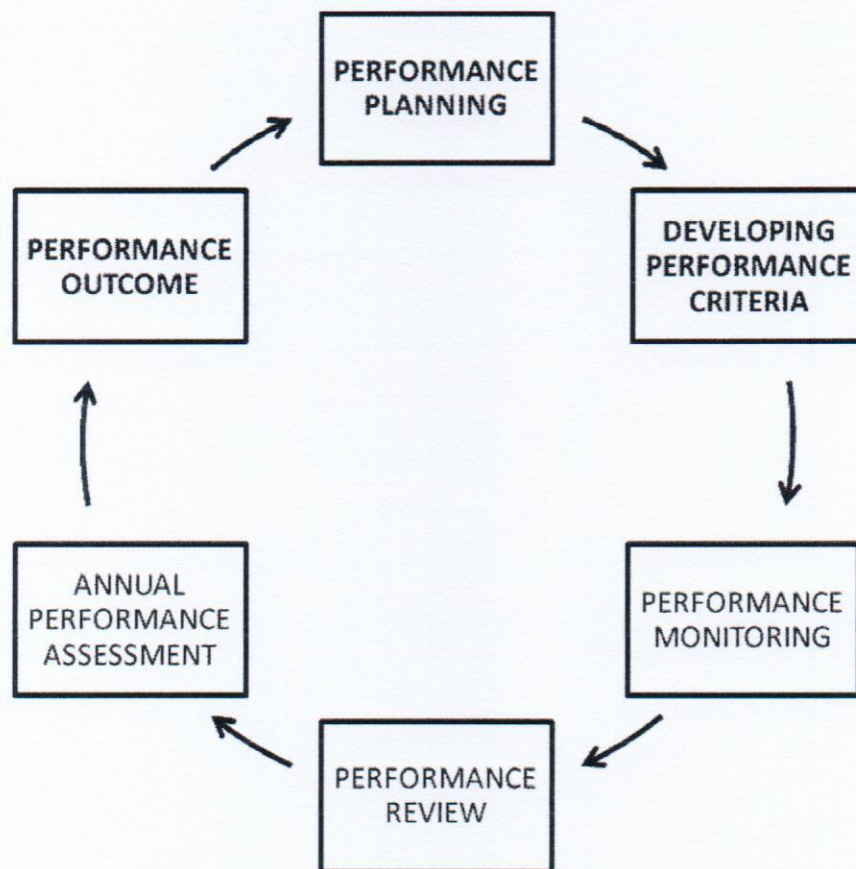
- 10.10.1. Consider all written concerns brought to its attention within Fourteen (14) working days from the receipt thereof.
- 10.10.2. In the event of a continued disagreement over performance assessment of an employee that involves the employee and supervisor; the employee may within Five (05) working days of being given performance assessment feedback from Performance Assessment Appeal Panel, follow formal **departmental grievance procedure**.

**11. PMDS PROCEDURES AND PROCESSES**

The performance cycle is a twelve (12) month period for which performance is planned, executed and assessed. The cycle commences from 1<sup>st</sup> April to 31<sup>st</sup> March of the following year. The probation cycle is however linked to the appointment date of the jobholder.

There are six steps in the performance management process as illustrated in the diagram and explained below:





#### 11.1. Performance Planning

- (a) The functions/tasks are identified in a role clarification session, performance standards set, and performance outputs/objectives determined by both the supervisors and the employees. These must be linked with departmental strategic goals.
- (b) Planning also involves aspects such as the manner and methods of observation, feedback, evaluation, development and how the results of the assessment would be used.

##### **The Performance Contract**

- (c) All employees from salary level 1-12 are required to enter into and sign Performance Agreements (PA), within two (02) weeks after the start of the new cycle.
- (d) A newly appointed employee shall complete his/her Performance Agreement within the first three (03) months of appointment. Within that time, there must have been enough induction or orientation to the new environment.
- (e) Departmental Strategic Plan, Departmental Service Delivery Improvement Plan, the Component's Operational Plan and the employee's Job Description must inform the development of the individual employee's Performance Agreement.



- (f) The content of the PA (refer to Annexure A) must include the following:
- Employee data and a clear description of the employee's job role including the main objectives, job purpose and the relevant Key Result Areas (KRAs) and Generic Assessment Factors (GAFs). KRAs are actions and Activities which are critical for making an effective contribution to the achievement of departmental strategies, goals and objectives. GAFs are elements and standards used to describe and assess performance, taking into account knowledge, skills and personal attributes.
  - A completed Annual Workplan (as an attachment). Refer to Annexure B
  - A Personal Development Plan (PDP). Refer to Annexure C
- (g) A performance contract exists when both parties have agreed on and signed the Performance Agreement and a Workplan.
- (h) The manager and the employee are required to take joint responsibility for the development of the employees' Performance Agreement and the Workplan. The manager however remains accountable.
- (i) Where due to operational activities, an employee reports directly to a person other than his/her supervisor e.g. a manager in another directorate/department or project, that other manager must give inputs in planning the work that the employee will perform, feedback and review sessions.
- (j) If a supervisor has a number of employees under his/her control who perform the same outputs, the supervisor must have a session with them to identify and agree on the main objective(s)/outputs, standards and indicators; stakeholders and methods of assessment, in order to draw similar workplan for the entire group. Performance Agreements and Personal Development Plans must be drawn up on an individual basis.
- (k) The workplan shall be reviewed from time to time to ensure relevance throughout the review period, but on at least two occasions during the review period.
- (l) The PA must include a Personal Development Plan (PDP) [refer to Annexure C]. The purpose of the development plan is to identify any performance output shortfall in the work of the employee in order to plan and implement an action plan to reduce the gap. The employee and the manager are required to take joint responsibility for the achievement of the PDP.

#### **11.2. Developing Performance Criteria**

- (a) The criteria for assessment must be agreed a year in advance of the annual performance assessment.
- (b) 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.

- (c) In the workplan the KRAs must be broken down into key activities and performance measures. Each KRA must be weighted (in %) according to the importance it has in the employee's job. The weighting of all the KRAs must add up to 100.
- (d) Generic Assessment Factors (GAFs) are elements and standards used to describe and assess performance taking into consideration knowledge, skills and attributes. The following 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 the fifteen GAFs that are deemed to be most important for effective performance in that particular job (refer to Annexure D 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 resource.
- (e) To adapt the GAFs to specific jobs and job contexts, the employee and supervisor will need to:
  - decide which of the GAFs apply to the employee's job;
  - Weigh each relevant GAF to show the extent to which it relates to the specific job. Use the factors of impact and frequency to decide on the importance of each GAF to a specific job. The weighting of all the GAFs must add up to 100.



- (f) Each selected GAF is rated using the guide to generic factors for assessing performance in Annexure D.
- (g) The employees' performance will be assessed in terms of set standards as outlined in the workplan. The performance standards applied must be discussed and agreed up-front.
- (h) The performance assessment must be based only on performance criteria agreed upon during the regular meetings held between employee and manager/supervisor.
- (i) Employees' performance must be judged according to the five-point rating scale as indicated in the performance assessment instrument.

### 11.3. Performance monitoring

Supervisors must continually monitor the manner in which the employees utilizes their knowledge, skills and attributes in the performance of activities specified in the workplan. The supervisors must also record the strong and weak points as well as specific training and development needs of employees.

### 11.4. Performance review and assessment

- (a) **One-to-one** communication sessions must take place from time to time between the supervisors and employees about the progress toward the achievement of the objectives agreed upon. This provides feedback and creates an opportunity for the employees to raise particular concerns and/or suggestions. Managers have the duty to communicate performance feedback close to the events being assessed. The performance review sessions are also necessary to reveal areas required to modify the PA.
- (b) These sessions serve to assist employees in determining the status of their performance at any given time separate from the annual performance assessment period.
- (c) The performance feedback must be both formal – in writing after a discussion between an employee and a supervisor at least twice during the six months preceding the employee's annual formal performance assessment date (refer to Annexure E); and informal – verbally on quarterly basis.
- (d) Where performance is unsatisfactory (that is, not fully effective and below) the feedback must be in writing.
- (e) The six months reviews will be conducted during October and April, which is in fact the 'end-of-cycle' annual performance review.
- (f) The periodic reviews must also include a discussion on the employee's development plan requirements.
- (g) The employee must be informed of an intended formal performance review at least 48 hours prior to the review-taking place to enable him/her to prepare for performance feedback. The review must be a one to one discussion between the supervisor and the employee.



- (h) Employees have the right to know how their managers are assessing them. The feedback must be limited to the mutually agreed outcomes from the workplan and the scope of the feedback cannot be expanded unilaterally.
- (i) The employee's performance review will be based on the categories of performance indicated fewer than 11.5 The total of the individual KRAs and GAFs assessment scores is an assessment score for the employee's performance. The employee may choose not to sign the indicated results if not satisfied with the outcome of the assessment. However, he/she has to acknowledge receipt of the assessment outcomes.
- (j) Normal performance interventions available to employees and managers are interalia coaching, mentoring, advice, attendance of courses, in-service training.
- (k) Any performance improvement mechanisms to address identified training and development needs must be recorded in the performance development plan (refer Annexure D). The training and development needs will not only be identified during performance reviews and assessments, but also at the planning phase when the workplan is developed.
- (l) It might become clear to managers and employees during the performance feedback/review sessions that the criteria set or agreed upon for the achievement of objectives at the planning stage were not specific enough or they were unrealistic and not attainable. Re-planning may be necessary at this stage and is encouraged only if it will lead to the improvement of the employees' performance and both parties agree on the need to re-plan.
- (m) Once the performance review has been concluded, the employee and the manager must sign the half yearly review form (Annexure E) to indicate that the formal six monthly performance reviews has occurred.

#### **11.5. Annual Performance Assessment**

- (a) Formal performance assessment is conducted to identify the overall level of performance of employees during a particular performance cycle. This is the ultimate determination of whether the performance of the employees has been up to the agreed upon or set standards. The annual assessment instrument is utilized at this stage (Refer Annexure F). The date for formal annual assessment coincides with the second sixth-monthly performance review.
- (b) The annual assessment score must be calculated by calculating the average of the two Half -Yearly Assessment scores. i.e. (Add the two Half-Yearly Assessment scores and divide the sum thereof by two).
- (c) The performance review and annual assessment of employees will be based on the following categories of performance:



RATING	CATEGORY	DESCRIPTION
1	UNACCEPTABLE PERFORMANCE	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against almost all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
2	PERFORMANCE NOT FULLY EFFECTIVE	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
3	PERFORMANCE FULLY EFFECTIVE	Performance fully meets the standard expected in all areas of the job. The review / assessment indicates that the jobholder has achieved as a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
4	PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan and fully achieved all others throughout the performance cycle.
5	OUTSTANDING PERFORMANCE	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against all of the performance criteria and indicators as specified in the PA and Workplan and maintained this in all areas of responsibility throughout the performance cycle.

(d) Assessment of the achievement of results (KRAs) outlined in the Work plan

- Each KRA must be assessed on the extent to which the specified standards have been met and outputs achieved.
- An indicative rating on the five-point scale must be provided for each KRA.
- This rating must be multiplied by the weighting given to the KRA during the contracting process, to provide a score.
- 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.

(e) Assessment of the GAFs



- Each GAF must be assessed according to the extent to which the specified standards have been met.
- An indicative rating on the five-point scale must be provided for each GAF.
- This rating must be multiplied by the weighting given to each GAF during the contracting process, to provide a score.
- 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.

(f) 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 then be used to provide a final score based on adding the scores achieved for the KRAs and the GAFs.

(g) The employee must confirm his/her participation in the final performance feedback session in the form of a signature.

(h) Employees who due to operational activities report to anybody other than their supervisor, that other person (manager) must perform the assessment of the work that the employee(s) was performing and hand over to the employee(s)' supervisor.

(i) Teams' performance appraisal (where applicable) occurs at the end of projects. Completion periods differ from project to project.

## 11.6. Key Foundational Elements

(a) **Performance Planning:**

All employees shall complete performance contracts in April each year (01 – 15 April). Clear performance objectives shall be identified and communicated at the beginning and throughout the performance cycle. Performance objectives shall be aligned with Directorate and Departmental goals and values.

(b) **Feedback:**

Conduct formal half yearly review (01<sup>st</sup> week Oct each year). Feedback is a continuous observed behaviour that is appreciative and or constructive from the supervisor to the subordinate. It shall be given to employees by their supervisors after every review process has taken place.

(c) **Performance Review:**

- This is the culminating communication of the performance cycle that focuses on areas of achievements, areas of improvement and future goals.
- All employees shall receive performance review once a year. Review forms shall be discussed and signed off by both manager and the subordinate.
- The signature of the employee and supervisor signifies that both parties participated in the review discussions. A copy shall be retained in the employees' merit file



(d) **Performance Assessment Outcome:**

- Shall be used to implement performance rewards and development.
- Shall be used to decide on confirmation of appointment for probationers.

**12. MANAGING UNSATISFACTORY PERFORMANCE**

In cases of unsatisfactory performance, a supervisor shall-

- 12.1. **Inform the employee about unsatisfactory performance** and provide systematic remedial or developmental support to assist the employee to improve her or his performance
- 12.2. If the performance is still unsatisfactory and the desired improvement cannot be effected, steps to discharge the individual for unfitness or incapacity to carry out her or his duties shall be considered:
- 12.3. **Training and Development:** - Employee shall be provided with necessary and appropriate training to improve his or her performance
- 12.4. **Coaching:**  
Supervisors shall monitor performance; regular informal reviews and coaching to assist employees develop their potential and skills for the success of the Department.
- 12.5. **Employee Assistance Program** – If Social related problems interfere with employee's performance; the employee shall be referred to EAP.
- 12.6. **Disciplinary action:** - the supervisor shall take appropriate disciplinary action in terms Labour Relations Act and Disciplinary Code and Procedures (PSCBC Resolution 1 of 2003) after all suggested performance improvement measures has failed.

**13. REWARDING GOOD PERFORMANCE**

- 13.1. **Purpose of incentives or rewards is:**
  - (a) To recognize and acknowledge good performance
  - (b) To motivate high performers
  - (c) To encourage poor performers
- 13.2. The Head of Department shall in the (Medium Term Expenditure Framework) MTEF provide a certain percentage of a budget for performance assessment. Should the allocated funds be insufficient, the incentive policy framework will be implemented.
- 13.3. **Pay progression:** - employee shall qualify for pay progression if performance is fully effective: 3 – 3,49 this exclude employees on personal notch or maximum notches well as underperformance.
- 13.4. **Accelerated Pay Progression:** - with effect from **01 July 2014 Non-OSD employees on salary levels 1 to 12:**



13.4.1. Two (2) notches for employees with above average assessments, limited to 10% of eligible employees with the stipulated assessments.

13.4.2. Maximum of three (3) notches for employees with excellent performance assessments, limited to 5% of eligible employees with the stipulated assessment.

13.4.3. **OSD Employees.** As contained in respective OSD's.

**13.5. Criteria to be used to determine Accelerated Pay Progression (APP)**

Should there be a tie with regard to implementation of 13.4.1 and 13.4.2 above, then any of the following criteria will be applied in order to ensure fairness:

- a) Average Score for the year.
- b) Preference to be given to eligible employees who did not qualify for promotion/grade progression in terms of Resolution 3/2009 of the PSCBC for the current assessment cycle.
- c) An employee who had not received an APP in the previous three financial years will receive preference.
- d) Seniority date in terms of entering into the salary level – those with the longest employment period on that salary level, will get preference.

**Accelerated Pay Progression matrix**





13.6. **Performance bonus:** - employee qualifies if performance is significantly above expectations (3,5 and above)

13.7. **Non monetary rewards**

The executing authority may reward the employee through –

13.7.1. **Rewards for Recognition:**

- Certificate of recognition.
- Formal public recognition.
- Informal acknowledgement.
- Letter of appreciation/praise.
- Publicity (mention in the department's news letter).
- Being selected to represent the department at special meetings / functions.

13.7.2. **Rewards through Job Tasks/Responsibilities:**

- Exposure in higher-level tasks/responsibilities (for career advancement).
- Opportunity for advanced training.
- Opportunity for self-management (exempt from close supervision).
- Greater opportunity to set own goals and priorities.
- More frequent participation in decision-making.

13.7.3. **Status Indicators Rewards:**

- Status Symbols (nameplate, new furniture etc.).
- Invitations to higher level meetings.

13.7.4. The following more cost-effective awards may also be awarded and department could choose colours of their liking and emblems/logos/code of arms relevant to their departments.

- Tie / Scarf.
- Pen and Stand / holder.
- T- Shirt/ Golf shirt.
- Tie Pin / Brooch.
- Trophy (this could be differentiated by sizes.).

14. **CASES OF DISMISSAL DUE TO POOR WORK PERFORMANCE**

**Incapacity Code** - If the performance is not fully effective or lower and the desired improvement cannot be effected due to employee's unfitness or incapacity to carry out his/her duties the supervisor must comply with the procedural requirements of Public Service Regulations, 2001.

15. **OUTCOME AND COMMUNICATION OF ASSESSMENT RESULTS**

15.1. The supervisor shall inform the employee of the outcomes of assessment.

15.2. In the event of any continued/persistent disagreement over the performance assessment of an employee, involving the employee and his/her supervisor, the employee may, within five days of being informed of the decision of the Performance



Assessment Appeal Panel, follow the formal grievance rules of the Public Service. As is the case with other aspects of the PMDS, employees must be informed of the route and processes to be followed in the event of disagreement over performance assessments.

- 15.3. A departmental grievance procedure shall be followed fully as an attempt to resolve the dispute after the matter has been referred to Performance Assessment Appeals Panel.
- 15.4. At any appeal against the outcome of her or his assessment, the employees shall be assisted by a fellow employee or a representative of her or his union.
- 15.5. An employee, who is not satisfied with the outcomes of her or his assessment, may lodge a grievance within fourteen (14) working days on receipt of such outcome.

#### **16. PERIOD OF ABSENCE DURING PERFORMANCE CYCLE**

- 16.1. In a case of employee on maternity leave; a period of Eight (08) months shall be considered and period of Nine (09) months in a case of incapacity and study leave.

#### **17. RESIGNATION OR DEATH**

- 17.1. In a case of termination of service as a result of resignation or death; payment of recommended rewards shall be considered if Performance assessment results are known.
- 17.2. In the event termination of service is as a result of resignation or death; the next Supervisor in the hierarchy shall continue with assessment.
- 17.3. Manager/Supervisor who fails to assess his/her subordinates in time shall be charged with misconduct.

#### **18. STAFF MOVEMENT**

- 18.1. The employee's performance assessment for the period shall be complete before transfer is approved to another Department or within the Department.
- 18.2. If the employee who is taking a transfer is a supervisor; the employees under his or her supervision shall be assessed before a transfer is finalized.
- 18.3. If the employee reported to different supervisors with different KRA's in a cycle, each supervisor shall assess his/her subordinate for a period in question.
- 18.4. Seconded employees shall be assessed by their departments where consultation between two departments shall be held to communicate relevant information that shall be used for assessment of a seconded employee.



## **19. DEALING WITH PROBATION**

- 19.1. Probation period shall be Twelve (12) calendar months linked to appointment date of the employee which might not necessarily coincide with performance cycle.
- 19.2. Probation for new entrants shall be confirmed only after the Compulsory Induction Programme requirements have been met.

## **20. EMPLOYEES ON FIXED CONTRACT**

- 20.1. Employees appointed on fixed and continuous contract for twelve Months shall complete Performance Agreement and all other Performance assessment tools. No pay progression shall be awarded to a contract employees but performance shall be payable if so deserved.

## **21. ACTING IN HIGHER POSITIONS**

- 21.1. When an employee is appointed to act in a higher position for shorter than Six (06) weeks, the workplan shall be based on the post that the employee is permanently appointed.
- 21.2. Depending on the employee's performance during the period of acting, recognition for performance of the duties of higher position shall be given during performance assessment on the workplan of a permanent post.
- 21.3. When acting in a higher position for longer than Six (06) weeks; where an acting allowance is being paid, a workplan shall be compiled for the higher position that the employee would be expected to perform against.
- 21.4. Performance of the employee acting in higher position shall be assessed in terms of the amended workplan, against the set standards applicable to the employee's permanent position. Performance incentive shall be calculated at the salary level of the post to which the employee is permanently appointed based on the salary notch on **31 March** of that cycle.

## **22. DEALING WITH LATE OR NON SUBMISSION**

- 22.1. No performance assessment reports shall be accepted beyond the stipulated closing date of **30<sup>th</sup> April** every year.
- 22.2. Failure to submit assessment reports in time for a particular cycle shall results in forfeiture of the performance rewards.

## **23. DEALING WITH APPEAL**

- 23.1. The appeal must be lodged within five working days after receipt of the outcome of moderation of assessments.
- 23.2. The appeal should be done in writing and be submitted to PMDS office.



- 23.3. The appeal panel should consider all written representations within Fourteen (14) Working days from the date of being received.

## **24. DEALING WITH GRIEVANCES**

- 24.1 An employee, who is not satisfied with the outcome of the assessment from Appeal Panel may lodge a grievance within thirty (30) working days on receipt of the outcome.
- 24.2 The grievance should be lodged at Labour Relation Sub-Directorate by way of filling a grievance form.
- 24.3 The aggrieved employee may be assisted by Union Representative when lodging a Grievance.
- 24.4 Labour Relation should investigate and finalize the matter within Thirty (30) working days.

## **25. PERFORMANCE ASSESSMENT TOOLS**

The following tools are prescribed to be used:

- 25.1. Annexure "A" – **Performance Agreement** – this is where expected performance is agreed upon by the employee and the supervisor. Performance Agreement shall be signed by both the supervisor and employee on the first month of each performance cycle.

**Annual Workplan and Personal Development Plan should be attached to Performance Agreement and submitted to HRM on or before 31<sup>st</sup> May each year (if such a day falls on the weekend, last working day preceding the 31<sup>st</sup> shall apply).**

- 25.2. **Annexure "B" – Annual Work-plan** – Key Activities; performance indicators; target and key performance area for the entire cycle shall be indicated and agreed upon by both the supervisor and the employee. Work plan shall be reviewed at least twice where necessary to include relevant information.
- 25.3. **Annexure "C" – Personal Development Plan** – Identified performance skills gap shall be recorded and forwarded to Human Resource Development
- 25.4. To address the gap that exists between the required competency profile and actual competencies needed, a training and development plan shall be designed for the individual employee.
- 25.5. **Annexure "D" – Generic Assessment Factors** - Personal attributes or competencies that assist the employee to perform his or her functions. At least



Five (05) GAF's that are deemed to be relevant to employees' job. Impact and frequency of action shall determine the selection of the GAF's

- 25.6. **Annexure "E" – Half-yearly Review Form** – used to review performance on six months basis (end September and end March). Outstanding performance and below average scores shall be supported by sufficient motivation on the remark column or a separate sheet of paper.
- 25.7. **Annexure "F" – Annual Performance Assessment Instrument:** - Consolidate the overall performance of the two half-yearly performance. The average scores are transferred to Electronic Calculator that determines the final score.
- 25.8. **Annexure "G" – Quarterly Assessment Form for Probationers** – to be completed on quarterly basis to assess performance of probationer.

## **26. MODERATION STRATEGY**

- 26.1. Moderating Committee shall be formed per Chief Directorate in order to instill sense of ownership and accountability. It shall comprise of at least four (04) members
- 26.2. Managers shall take responsibility regarding the awarding of performance rewards which over the years has been unrealistic due to high scores given to undeserving employees.
- 26.3. Moderation shall be decentralized at Chief Directorates/Directorate level to enforce ownership and assist to remain within the allocated budget.
- 26.4. All performance assessment reports allocated a score of 1's, 2's, 4's and 5's shall provide sufficient motivation and supporting documents attached to a report.

## **27. THE INSTITUTIONAL FRAMEWORK**

- 27.1. PMDS enables the department to translate overall strategic priorities as captured in the relevant policy statements and strategic plan into performance measures for various levels of employees.
- 27.2. In developing the departmental objectives, HoD and Senior Management shall utilize the Medium Term Strategic Framework and Annual Performance Plans to outline objectives for the Key Result Areas (KRA's).
- 27.3. The KRA's provides strategic focus and direction for the other activities in the department. HoD and Senior Management shall develop the departmental level objectives and indicators. This can be achieved by applying the following sequence:



27.3.1. Identify appropriate objectives and key results area's based on the strategic objectives/priorities in the Strategic Plan; Annual Performance Plan and Operational Plan.

27.3.2. Develop indicators for the KRA's to measure progress towards the achievement of the objectives or priorities.

27.3.3. Develop processes and timeframe for development of Operational Plan for the Directorate. Also for incorporation into workplans of employees as KRA's and GAF's/Core Management Criteria.

27.3.4. Incorporate overall performance into HoD's performance agreement.

27.4. Performance management at Chief Directorate level shall focus on the outputs as compared to the inputs that will drive the activities towards achievement of overall outcomes for the department.

27.5. Sub-Directorate shall develop responsibilities for each output to define their role.

## **28. MONITORING AND EVALUATION**

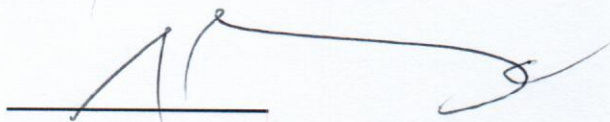
28.1. Human Resource Management shall be responsible for monitoring and evaluation of PMDS implementation.

## **29. POLICY VALIDITY AND REVIEW**

29.1. The validity of the policy shall be on the date of approval by the Head of Department.

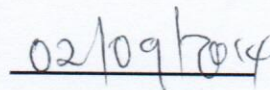
29.2. This policy shall be reviewed when necessary.

**~~APPROVED/NOT APPROVED~~**



**Mr. M.S THOBAKGALE**

**HEAD OF DEPARTMENT**



**DATE**