



# **PERFORMANCE MANAGEMENT SYSTEM, POLICY & PROCEDURES**

**NOVEMBER 2016 REVIEW**

**APPROVAL:**

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**ACTING CHIEF EXECUTIVE OFFICER:**

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## GLOSSARY OF TERMS

<b>Actual Performance:</b>	The actual score for each performance indicator in the performance contracts.
<b>Annual Performance Plan (APP):</b>	The annual organisational performance plan compiled in a format guided by National Treasury in the <b>New Framework for Strategic Plans &amp; Annual Performance Plans (2010)</b> .
<b>Competencies:</b>	The specific areas of expertise (skills, knowledge, ability, & behavioural attributes) needed to perform
<b>Evidence:</b>	Evidence is tangible proof for achievement against a target.
<b>Key Result Area:</b>	or <i>Objective</i> is a clear statement set out in the performance agreement of what needs to be achieved by meeting the targets set out in the operational plan.
<b>Line Manager:</b>	<i>Line manager</i> refers to the immediate reporting line(s) of the employee.
<b>Objective:</b>	or <i>Key Result Area</i> is a clear statement set out in the performance agreement of what needs to be achieved by meeting the targets set out in the operational plan.
<b>Operational Plan:</b>	The annual plans for each Programme within the SAHRC derived from the Annual Performance Plan.
<b>Organisation:</b>	<i>Organisation</i> refers to the South African Human Rights Commission (SAHRC).
<b>Output:</b>	The final product, or goods & services, produced for delivery.
<b>Personal Development Plan (PDP):</b>	A <i>personal developmental plan</i> is a realistic plan based on an employee's competencies & the medium to long-term competency requirements of the organisation. It reflects specific actions to be taken by the employee & the organisation to help the employee develop his or her capacity & potential.
<b>Performance Agreement:</b>	<i>Performance agreement</i> is the outcome of a process that links individual performance plans to organisational objectives. The performance agreement sets out the objectives, performance indicators, & targets required to achieve effective performance in a given period.
<b>Performance Indicator:</b>	A <i>Performance Indicator</i> is a concise description of what is used to measure the performance output or outcome that will contribute to achieving an objective. It identifies what should be measured, over what time period, in what units, & how frequently.
<b>Performance Review:</b>	<i>Performance review</i> is the formal process of assessing performance, carried out twice in a year.
<b>Performance Monitoring, Evaluation: &amp; Reporting Policy</b>	The SAHRC policy used to plan, monitor, & evaluate performance in the organisation.
<b>Promotion:</b>	An elevation or appointment of an employee to a position that carries greater authority and status than the employees current position.
<b>Rating Scale:</b>	A <i>rating scale</i> is a standard scale for rating employees' performance in relation to specific categories of performance. These are used to introduce a degree of comparability into systems for performance assessment.
<b>Strategic Objective:</b>	A clear statement of what the organisation intends doing (or producing) to achieve its strategic goals. Strategic Objectives in the strategic plan span five years. Performance targets set in relation to those strategic objectives in the Annual Performance Plan relate to one annual cycle within the five-year strategic plan period.
<b>Strategic Plan:</b>	The five-year organisational performance plan compiled in the format prescribed by National Treasury in the <b>New Framework for Strategic Plans &amp; Annual Performance Plans (2010)</b> .
<b>Targets:</b>	<i>Targets</i> are set quantitative standards that are expressed in numbers or percentages to indicate the scores to be achieved in a given period (annual or quarterly). Targets must be time-bound, challenging, & achievable. These are applicable to all positions & personnel within the organisation. <i>Quantitative targets</i> tell you "how much" or "how many". <i>Qualitative targets</i> tell you "how well".
<b>Work plan:</b>	A document which is part of the performance agreement and which contains key results areas, associated outputs/activities and their performance standards and resource requirements.

## SECTION ONE: PERFORMANCE MANAGEMENT SYSTEM

### 1. OVERVIEW

- 1.1. The Performance Management System is designed as a yearly framework for annual performance planning, monitoring, evaluation, & reporting tasks & timelines that are aligned from the organisational level through to the individual level.
- 1.2. The 12-month annual performance cycle corresponds with the financial year.
- 1.3. Key performance management activities, procedures, & products are linked to the annual performance management cycle.
- 1.4. **Organisational level activities, procedures & products are:**
  - the Annual Performance Plan (APP) aligned to the five-year Strategic Plan<sup>1</sup>,
  - operational plans,
  - monthly & quarterly performance monitoring & reporting<sup>2</sup>,
  - the mid-term review,
  - the annual evaluation &
  - the annual report<sup>3</sup>.

See **FIGURE 1** below.

- 1.5. **Individual level activities, procedures & products are:**

- performance contracts,
- personal development plans,
- mid-term performance reviews,
- annual evaluations,
- performance rewards &
- sanctions.

See **FIGURE 2** below.

### 2. ALIGNING INDIVIDUAL PERFORMANCE TO ORGANISATIONAL PERFORMANCE

- 2.1. Annual performance planning begins with strategic planning & an alignment review of the APP & moves to the operational planning in the final quarter of the previous annual cycle.
- 2.2. The alignment process involves cascading down the annual Programme Performance Indicators & targets of the APP & operational plans, from the organisational & programme level, through to the unit levels & finally to all individual performance contracts.
- 2.3. The reporting checklist, performance report templates & the individual performance contracts are then aligned to the operational plans ready for implementation on the first day of the new annual performance cycle.

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<sup>1</sup> Using the National Treasury - *New Framework for Strategic Plans & Annual Performance Plans (2010)*

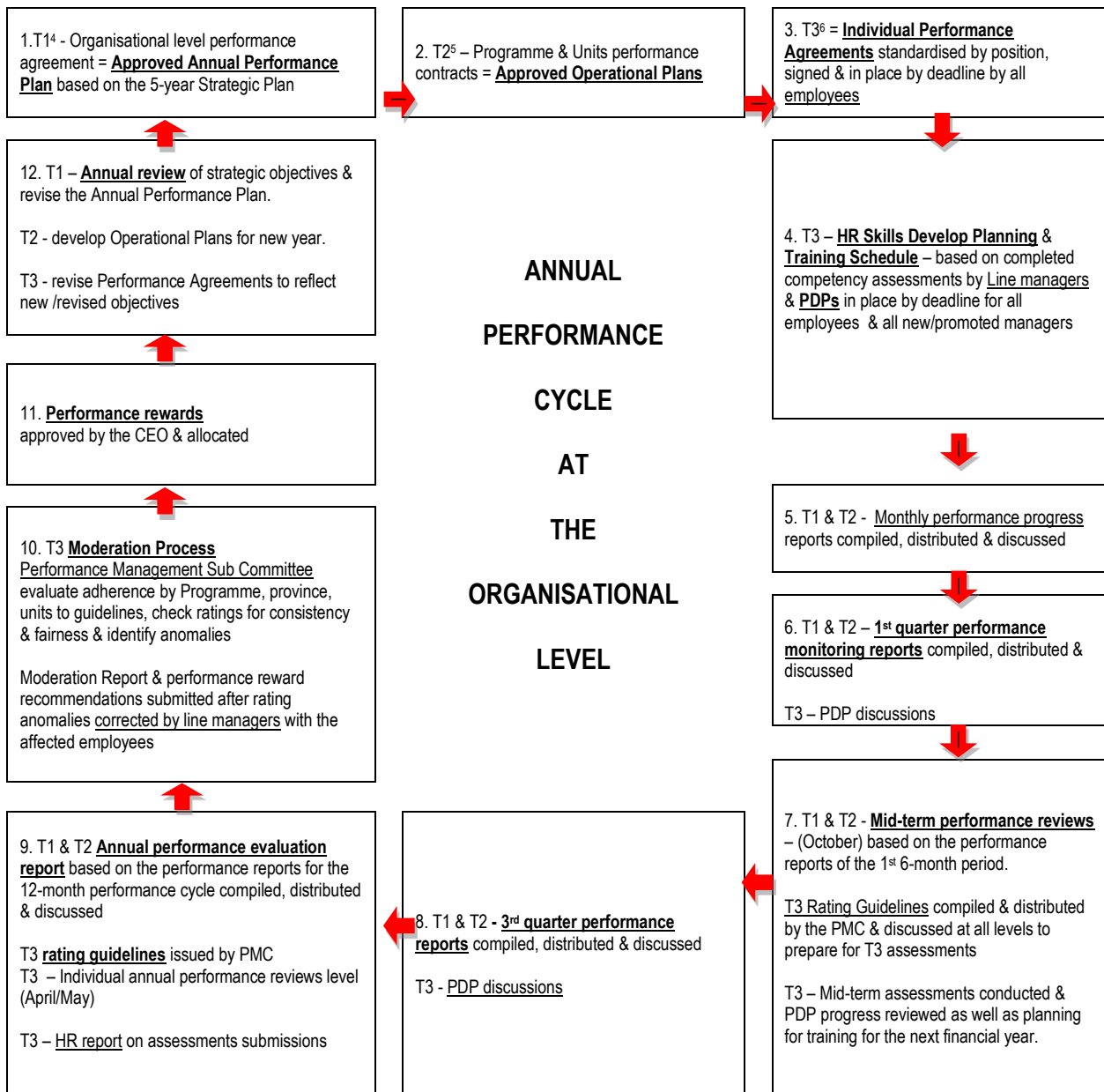
<sup>2</sup> Using the National Treasury - *Framework for Managing Programme Performance Information (2007), Performance Information Handbook & Tool (2010)*

<sup>3</sup> In compliance with Section 38(1)(a)(i) & (b) Section 40(3) (a) of the PFMA, & Treasury Regulation 5.3.1 for Constitutional Institutions.

2.4. Clear & measurable performance standards & targets are set at each level. This outcomes-driven exercise is conducted annually to ensure that:

- the changing needs of the organisation are accommodated,
- the competencies required of employees to achieve the strategic objectives are highlighted &
- the resources of the organisation are geared directly towards achieving the strategic objectives & fulfilling the organisation’s mandate.

**FIGURE 1 - ANNUAL PERFORMANCE MANAGEMENT CYCLE – ORGANISATIONAL LEVEL**



<sup>4</sup> T1 = Tier 1 - the organisational level

<sup>5</sup> T2 = Tier 2 – the Programme & Sub-Programme level

<sup>6</sup> T3 = Tier 3 – the individual level

### 3. STANDARD PERFORMANCE MANAGEMENT PROCEDURES

The standard performance management procedures at the individual level are:

- Probation,
- Performance agreement,
- Personal development planning & core competency assessment,
- Performance monitoring,
- Performance evaluation,
- Performance-linked rewards,
- Managing poor performance,
- Managing performance-related disputes

### 4. STANDARD PERFORMANCE MANAGEMENT TOOLS & RESOURCES

The standard performance management tools & resources for the effective implementation of Performance Management System are the:

- Performance Management Policy & Procedures,
- Performance Monitoring, Evaluation & Reporting Policy & Procedures,
- Job Profiles / Job Descriptions,
- Performance Agreements,
- Competency Checklist,
- Performance Appraisals,
- Succession Plan,
- Personal Development Plan,
- Mentorship Tools,
- Development Programmes,
- Performance Management Sub-Committee of the Human Resources Committee

### 5. PERFORMANCE MANAGEMENT SUB-COMMITTEE (PMC)

#### 5.1. TERMS OF REFERENCE

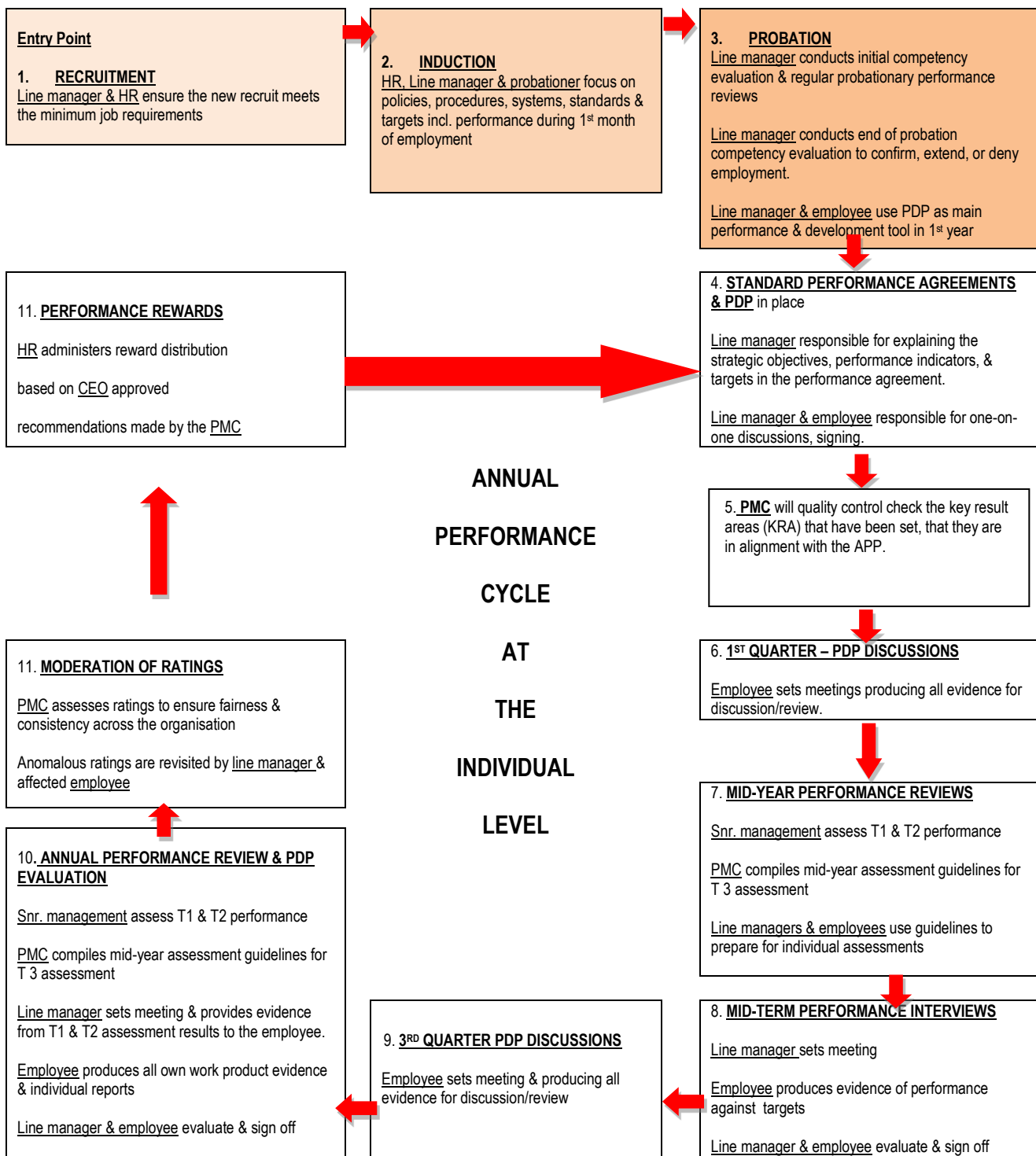
5.1.1. The PMC is appointed on an annual basis as a sub-committee to the Human Resources Committee to:

- ensure horizontal consistency in performance ratings across the organisation,
- provide assessment & rating guidelines to management based on the performance of the organisation, programmes, & sub programmes for the period under review,
- evaluate the application of the rating guidelines by management in their evaluations of staff;
- request a re-evaluation or special motivation (& additional evidence) from line managers for apparently anomalous ratings (where staff ratings are not aligned to the guidelines) within a week of the moderation exercise,
- Make recommendations on managers' performance regarding the management & evaluation of their staff's performance (e.g. unjustified deviations from the guidelines, particularly inflated ratings/upward adjustments will reflect negatively on the performance of that manager),
- adhoc meetings requested via HR to attend to disputes regarding interpretation of a contract or appraisal

5.1.2. The function of the PMC is to also:

- review the performance indicators & targets in Performance Agreements & Performance Appraisal Forms against best practice criteria, e.g. SMART statements,
- monitor the progress & outcomes of all performance-linked disputes &
- make recommendations concerning the improvement of the performance management system.

**FIGURE 2: ANNUAL PERFORMANCE CYCLE - INDIVIDUAL LEVEL**



**5.2. COMPOSITION OF THE PMC**

5.2.1. The committee is appointed by the CEO on an annual basis consisting of no more than seven (7) members constituted as follows:

- HR Manager (Permanent member),
- 4 members appointed by the CEO from amongst managers & staff; &
- 1 members appointed by staff.
- 1 representatives from the union

- 5.2.2. The chairperson of the PMC is appointed by the CEO.
- 5.2.3. The committee will be structured to as far as possible ensure race, gender, occupational levels & geographic representation of the various offices of the SAHRC.
- 5.2.4. A meeting of the chairperson & three other members will constitute a quorum.
- 5.2.5. Secretariat – an employee from the Human Resource Sub Programme shall provide secretariat services to the committee & keep minutes of the proceedings of the meeting.
- 5.2.6. **Confidentiality of discussions** - All deliberations, decisions within & by the committee are confidential & any breach of this confidentiality may amount to misconduct.
- 5.2.7. The PMC will quality control check all performance contracts against the APP's within 30days after the closing date of submission of the Performance contracts.

## **6. ANNUAL PERFORMANCE MANAGEMENT SYSTEM AUDIT**

This Performance Management System will be subjected to annual auditing by both the Internal & External Audit in line with the PFMA.

## **7. WHO TO CONTACT FOR ASSISTANCE**

The Human Resources Programme



## **SECTION TWO: PERFORMANCE MANAGEMENT POLICY**

### **1. PREAMBLE**

The South African Human Rights Commission (SAHRC) is building a strong performance management culture that provides a target driven, motivating, & open work environment for all. The primary objective of the outcomes-based performance management system is to effectively integrate all elements of human resource management with the Commission's wider business to deliver on its vision, mission, & strategic objectives.

### **2. SCOPE OF APPLICATION**

This policy applies to all permanent employees & those on fixed term contracts (of one year or more) in the SAHRC Secretariat.

### **3. PURPOSE**

The purpose of the Performance Management Policy is to:

- 3.1. ensure the Commission delivers on its mandate & strategic objectives,
- 3.2. develop & promote effective organisational performance,
- 3.3. promote & maintain a performance culture in the organisation at every level of operation,
- 3.4. provide a link between individual & team performance with the achievement of strategic performance objectives,
- 3.5. promote a common understanding of performance objectives & the role both managers & employees play in achieving them,
- 3.6. regulate the performance of all employees & recognise employee contributions to achieve sustainable improvements in organisational, team & individual performance,
- 3.7. develop constructive & open relationships between employees & their managers through continuing dialogue about the work done throughout the year,
- 3.8. ensure that employees are continuously aware of performance at all levels,
- 3.9. enable employees to develop the competencies required of them to perform their current jobs,
- 3.10. ensure the ongoing review of training & development progress,
- 3.11. provide opportunities for employees to express their work aspirations & concerns &
- 3.12. provide a basis for rewarding people in relation to their contribution.

### **4. POLICY**

The Commission's Performance Management Policy is to:

- 4.1. direct the Commission's resources towards fulfilling its mandate & achieving its strategic objectives,
- 4.2. align the Commission's performance objectives from the Strategic Plan, through the Annual Performance Plan & Operational Plans to the performance targets in individual Performance Agreements,
- 4.3. synchronise the Performance Management System & Cycle with the Commission's Performance Monitoring, Evaluation & Reporting System & Cycle,

- 4.4. review & revise annually the outputs, performance indicators, & targets to accommodate the changing needs of the organisation;
- 4.5. recognise actual performance against the annual targets in the Annual Performance Plan & Operational Plans throughout the Commission, i.e., at the organisational or programme level, at the sub programme level & at the individual level,
- 4.6. develop employees' competence to achieve the organisation's objectives,
- 4.7. ensure that the performance system is practical & easy to understand & implement; &
- 4.8. apply the policy consistently at all levels.

#### **4.9. Individual Performance Management & Assessment**

- 4.9.1. Performance management at the individual level promotes a shared understanding of;
  - a) the expected performance outputs & the targets associated with these,
  - b) the achievement of those targets,
  - c) performance monitoring & evaluation &
  - d) the value of identifying competency gaps to facilitate the mastery of required skills or knowledge.
- 4.9.2. Performance assessment will be transparent & can be openly challenged & defended,
- 4.9.3. Performance assessment is evidence based,
- 4.9.4. The final assessment ratings for the year will be moderated<sup>7</sup> for fairness, consistency, & appropriate reward distribution across the organisation, in line with the assessment guidelines provided for the period under review.
- 4.9.5. The final and moderated assessment rating results will be communicated to all relevant employees through their Line Managers before they are processed.

#### **4.10. Personal Development:**

- 4.10.1. Personal development is monitored & managed using a personal development plan,
- 4.10.2. Ongoing coaching & mentoring is used to address gaps in the core competencies required in the job incumbent's position &
- 4.10.3. The minimum requirement is an informal discussion on PDP progress on a six-monthly basis.

#### **4.11. Performance-Linked Rewards:**

- 4.11.1. Performance-linked rewards in the form of incentive bonuses, &/or salary increases may be issued:
  - 4.11.1.1. annually after the performance stipulated in the performance agreement has been demonstrated at the appropriate level for the annual cycle; or
- 4.11.2. Eligibility criteria for the annual performance bonuses & /or salary increases are that employees:

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<sup>7</sup> This committee may be a sub-committee of the envisaged HR Committee. The Performance Management Committee conducts & co-ordinates the moderation process.

- 4.11.2.1. have been employed in the Commission for the full annual cycle (12 months), or at least for more than six (6) months. In case of employees who qualify for bonuses with more than six (6) months in the commission, their bonus payment will be paid on a pro-rata basis;
  - 4.11.2.2. excel in their contribution to the organisation's objectives;
  - 4.11.2.3. are not on a development programme; &
  - 4.11.2.4. are still in the employ of the Commission at the time that rewards are issued/ paid, or at the time the final assessments are concluded, verified and approved by the CEO.
- 4.11.3. The value of the performance incentives will be determined annually depending on budget availability & the levels of performance achieved.
- 4.11.4. Employees who qualify for a salary increase but who have reached the ceiling of the salary band for their position will be paid a once-off performance bonus, equivalent to that increase.

#### **4.12. Performance-Linked Sanctions:**

- 4.12.1. Performance deficiencies will be managed by the line manager through corrective, progressive intervention.
- 4.12.2. Persistent poor performance may result in re-deployment, demotion, or dismissal.
- 4.12.3. Sanctions will be levied against any line manager&/ employee who does not follow the provisions of the Performance Management System.

#### **4.13. Performance Management Disputes:**

- 4.13.1. Where a dispute arises as to the interpretation of the content of the standard performance agreement for that position, the employee is entitled to take the matter to the next level of management within seven (7) days of the dispute arising, in the presence of the line manager, for a final interpretation.
- 4.13.2. Any disputes about the nature and content of the employee's performance agreement, must be mediated by:
  - a. The Performance management Committee (PMC). The employee/line manager will inform HR in writing about the nature of the dispute. HR will bring the dispute to the attention of the PMC.
  - b. In the event that the employee & the line manager have still failed to agree on the performance contract the PMC will make note of this in their report. *The PMC will make a final recommendation for consideration & a final decision will be made by the Chief Executive Officer.*
- 4.13.3. Where the employee & line manager fail to agree on an annual performance rating:
  - a. the line manager must make a note to this effect on the Performance Assessment form and have it submitted to the HR Department. The employee has a responsibility of ensuring that such a form is submitted to HR.
  - b. the Performance Management Committee will consider both the line manager & employee scores in the moderation exercise & provide guidelines for the re-evaluation & re-submission within seven (7) days by the line manager & employee.

- c. In the event that the employee & the line manager have still failed to agree on the annual performance rating in the re-submitted evaluation, the Performance Management Committee will make note of this in their report and make a recommendation for consideration and final decision by the Chief Executive Officer.

4.13.4. The grievance resolution procedure of the SAHRC will apply for any other disputes (allowing for reasonable response times), after which an employee should follow the provisions of the LRA as amended.

#### **4.14. Performance Management Responsibilities**

##### **4.14.1. Employees' responsibilities are to:**

- a) communicate to their line manager work-related aspirations & concerns;
- b) deliver on their performance contracts;
- c) deliver on their PDP;
- d) prepare for, & participate in the performance contracting & evaluation meetings; &
- e) submit valid evidence showing proof of achievement of set targets on each output contained in the performance agreement & PDP.

##### **4.14.2. Line managers' responsibilities are to:**

- a) deliver on a performance agreement which comprises two components, namely:
  - I. the programme, or sub programme performance targets; &
  - II. generic Core Management Standards;
- b) ensure that all new employees are orientated to the performance system in the first month of employment resulting in a:
  - I. signed performance agreement; &
  - II. PDP based on the initial competency evaluation;
- c) manage their staff's performance on a daily basis;
- d) address performance issues as & when these arise;
- e) develop standard performance contracts for each position that state the expected performance targets & performance indicators in measurable terms;
- f) ensure that the outputs & targets for each position are relevant to the grade level & job contents of the position in relation to the operational plan;
- g) ensure that the standard forms (Performance Agreement & Performance Evaluation Form, & PDPs) are used at all times during the planning & reviewing process;
- h) facilitate fair performance evaluation by ensuring that the performance information for their programme or sub programme is accurate, current & complete at all times;
- i) conduct formal performance reviews on a six-monthly basis, i.e. a mid-term evaluation in October & a year-end evaluation in April/May of each year;
- j) identify appropriate developmental interventions & training needs; &
- k) assess the effectiveness of the coaching, mentoring or training provided.

**4.14.3. Human Resources Department responsibilities are to:**

- a) advise, guide & train management & staff on the application of this policy & associated procedures;
- b) be the custodian of the Performance Management System, i.e., monitor, evaluate, review & revise the policy & procedures;
- c) keep accurate, current, & complete records for the Commission of all individual level performance management activities & outcomes.

**4.14.4. Performance Management Committee responsibilities are to:**

- a) Confirm the quality of the KRA's against the SMART principles and their alignment with the overall strategic objectives (T1) and the business units APP's (T2) after the signing of the performance contracts by employees (T3) within 30 days of submission of performance contracts.
- b) provide performance evaluation guidelines twice a year (mid-year & at year-end) based on the performance of the organisation, programmes & sub-programmes to provide the context to be considered by management & staff when preparing their evidence for their performance evaluation meetings;
- c) conduct an annual moderation exercise on the individual assessment ratings & make recommendations on the reward allocation for the year;
- d) provide guidance to employees & line managers on how to revisit the annual performance appraisal with a view to reaching consensus;
- e) review the performance indicators & targets in Performance Agreements & Performance Appraisal Forms against best practice criteria, e.g. SMART statements;
- f) monitor the progress & outcomes of all performance-linked disputes; &
- g) make recommendations to senior management concerning the improvement of the performance management system.

**4.14.5 Senior Management responsibilities are to:**

- a) provide the performance monitoring, evaluation & reporting strategy & system within which performance at every level can be managed.

**4.14.6 Internal Auditors responsibilities are to:**

- a) Conduct an independent assessment of the moderation process & the allocation of performance-linked rewards.

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**5. APPLICABLE / REFERENCED DOCUMENTS**

- 5.1 Performance Management Manual –Procedures
- 5.2 Performance Monitoring, Evaluation & Reporting Policy
- 5.3 Strategic Plan
- 5.4 Annual Performance Plan
- 5.5 Operational Plans

## **SECTION THREE: PROCEDURES**

- 1 PROBATION
- 2 PERFORMANCE AGREEMENT
- 3 PERSONAL DEVELOPMENT PLANNING
- 4 PERFORMANCE MONITORING
- 5 PERFORMANCE EVALUATION
- 6 RATING INDIVIDUAL PERFORMANCE
- 7 PERFORMANCE-LINKED REWARDS
- 8 MANAGING POOR PERFORMANCE
- 9 MANAGING PERFORMANCE MANAGEMENT DISPUTES

## 1. PROBATION

### 1.1. GENERAL

- 1.1..1. The purpose of probation is to determine whether the employee is suitable for the job.
- 1.1..2. Instruction, training, guidance, or counselling should be provided to assist probationers to achieve the required level of performance.
- 1.1..3. The Commission may dismiss a probationer or extend a probationary period if the probationer is unable to perform according to the required standard.
- 1.1..4. The LRA provides that, the employer has to meet a lower burden in establishing the fairness of a dismissal on the grounds of incompatibility or a failure to meet work standards. The Commission would still have to conduct a fair dismissal procedure.

### 1.2. PROCEDURE

- 1.2..1. Performance management begins from the first day of employment.
- 1.2..2. The new employee should be provided with the **job description**<sup>8</sup> by the line manager, together with the contract of employment provided by HR, which should be discussed & signed off within the **first week** of employment & submitted to HR for filing.
- 1.2..3. The **first month** of probation should include an **induction programme** during which the new employee is introduced to the policies, procedures, systems, & all elements related to the performance management system.
- 1.2..4. The new employee should undergo an **initial competency evaluation** by the line manager using the standard competency checklist from entry level up to & including the competencies for the position to identify shortcomings & to plan training interventions.
- 1.2..5. A probationary **Personal Development Plan** (PDP) should be compiled by the line manager & used as part of the probationary evaluation to confirm or decline appointment.
- 1.2..6. Line managers must assess newly appointed employees at least three times during their probationary period.
- 1.2..7. Line managers must provide a detailed **assessment report** on the delivery of the PDP & the general conduct of the probationer to HR at the end of the probationary period to support the decision to: appoint; extend the probationary period; or initiate a dismissal process with the assistance of the HR Programme.
- 1.2..8. A standard **performance agreement** & PDP should be signed by the new employee if performance during the probationary period was assessed as satisfactory by the line manager & employment is confirmed in writing by HR.

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<sup>8</sup> The Job Description & Job Profile are not Performance Agreements. The Job Description is the general overview of key performance areas related to the position, which provides the date of employment, the position, performance areas, activities, result performance indicators, performance criteria, & performance plan & reporting lines.

## 2. PERFORMANCE AGREEMENT

### 2.1 GENERAL

- 2.1.1. All positions have **standard performance contracts** with common objectives, performance indicators, & targets in line with the grade levels & job contents of that position & in relation to the Programme's operational plan for the period.
- 2.1.2. The objectives, performance indicators, & targets set out in the performance agreement must be SMART, i.e.:
- **S**pecific
  - **M**easurable
  - **A**ttainable (& Add Value)
  - **R**elevant
  - **T**ime bound (deadlines set)
- 2.1.3. All employees must have a Performance Agreement.
- 2.1.4. The line manager(s) & employee are expected to meet a month before the end of the financial year to discuss & sign off Performance Agreements for the next annual cycle.
- 2.1.5. Employees' performance will be monitored & evaluated against the standard performance agreement for the position by the line manager(s) whether the agreement has been signed or not.
- 2.1.6. Employees who have chosen not to sign an agreement will not be eligible for performance-linked rewards for that annual cycle. Should an employee not sign a performance agreement for the new financial year, they will not be eligible for performance rewards of the previous performance cycle year.
- 2.1.7. Performance Agreements do not replace Employment Contracts & Job Profiles but complement these core employment documents.
- 2.1.8. Performance agreements provide a reference point for both the jobholder & the line manager(s) to monitor performance & emphasise self-direction.
- 2.1.9. Performance agreements are not exhaustive, as they cannot cover every possible task employees may be reasonably requested to perform from time to time in the interests of organisational delivery.
- 2.1.10. Performance agreements are reviewed & updated at the beginning of each cycle to ensure that they reflect the relative importance of an output, performance indicator, or target priorities of the performance objectives that have changed from one year to the next.
- 2.1.11. Performance agreements must be signed by both the employee and the line manager(s)
- 2.1.12. Employees with dual/ multiple reporting lines must, have one performance agreement detailing the performance indicators for all the functions they perform for the various reporting lines

### 2.2. MANAGERS' PERFORMANCE AGREEMENTS

- 2.2.1. Managerial performance is reflected in the main by the delivery of their Programme's / Sub Programme's operational plan.
- 2.2.2. The performance assessment outcomes of the organisation (T1) & of the Programmes & Sub Programmes (T2) will determine, to a large extent, the performance rating & reward eligibility of managers (Levels 13 & above).



- 2.2.3. The performance contracts for all supervisory positions include generic Core Management Standards with measurable performance indicators & targets set for these (see Annexure A1).
- 2.2.4. One Core Management Standard is successful management of subordinates' performance, i.e. their ability to deliver all performance management tasks & products by the set deadlines & in accordance with the policy & procedures.

### 2.3. THE WORKPLAN

While the performance agreement is the cornerstone of performance management at the individual level, the workplan contains the essence of the performance agreement **(see the Guide to the Workplan and template in Annexure B)**.

#### 2.3.1. Key Results Areas (KRAs)

The criteria upon which the performance of an employee is assessed, consist of **Key Result Areas (KRAs)** and the Generic Assessment Factors (GAFs) which are contained in the Performance Agreement (PA). Each employee must be assessed against both areas. KRAs covering the main areas of work will account for **80%** of the final assessment, while the GAFs make up the other **20%** of the assessment score. KRAs describe what is expected from an employee in his/her role and focus attention on actions and activities that will assist units and ultimately the department in performing effectively. In the workplan the KRAs should be broken down into outputs and activities with the resource requirements. These are used to indicate how the performance/achievement of the outputs and activities will be measured. KRAs can cover many different aspects of the work such as –

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

Each KRA should be broken down into measurable outputs and/or duties/responsibilities and activities. Each KRA should be weighted (in %) according to the importance it has in the employee's/member's job. The weighting of all the KRAs should add up to 100.

#### 2.3.2. Generic Assessment Factors (GAFs)

Generic Assessment Factors are elements and standards used to describe and assess performance, taking into consideration knowledge, skills and attributes. The following GAFs are used to calculate 20% of the employee's assessment score. The supervisor and employee must agree on at least five (5) out of the fifteen (15) GAFs that are deemed to be most important for effective performance in that particular job **(refer to Annexure E for a Guide to Generic Assessment Factors)**. The service delivery imperative must as far as possible be applied in assessing these GAFs.

- Job knowledge
- Technical skills

- Acceptance of responsibility
- Quality of work
- Reliability
- Initiative
- Communication
- Interpersonal relationships
- Flexibility
- Team work
- Planning and execution
- Leadership
- Delegation and empowerment
- Management of financial resources
- Management of human resources
- Compliance with legislations
- Risk Management
- Project Management
- Customer centric

Employees should be assessed against the selected GAFs applicable to their jobs. A professional may for example have no employees under his/her control or may have no financial responsibilities. To adapt the GAFs to specific jobs and job contexts, the employee and supervisor will need to –

- Decide which of the GAFs apply to the employee's job.

• Weigh each relevant GAF to show the extent to which it relates to the specific job. One way of jointly arriving at decisions on how important any specific GAF is to a specific job is to use the factors of impact and frequency. The greater the impact and frequency, the greater the importance that criterion is likely to have on the achievement of effective performance results. The weighting of all the GAFs should add up to 100.

Each selected GAF is rated using the guide to generic factors for assessing performance **(in Annexure D)**.

### 3. PERSONAL DEVELOPMENT PLANNING

#### 3.1. GENERAL

- 3.1.1. Competent employees are critical to the performance of an organisation.
- 3.1.2. Employees are considered competent when they have the necessary knowledge, skills, & experience to perform the job for which they have been employed.
- 3.1.3. As newly appointed employees will not have all the necessary knowledge & skills associated with their job (e.g. the systems, policies, procedures), it is crucial to identify & begin addressing the competency gaps as soon as possible.
- 3.1.4. Personal development planning is therefore a fundamental component of performance management.

#### 3.2. PERSONAL DEVELOPMENT PLANNING TOOLS

- 3.2.2. A **Personal Development Plan (PDP)** – set out the personal development tasks within six (6) to twelve (12) month cycles. The PDP makes provision for development in the current position as well as for broader personal development within the Commission. Training & development should firstly focus on addressing competency gaps in the current position, before attention is given to broader organisational development areas. An example of the PDP format is attached as ANNEXURE B.
- 3.2.3. A **Competency Checklist** – to identify skills, ability & knowledge levels, & gaps. The checklist provides a framework to be used by all employees within the Commission to identify their competency gaps in order to compile job-relevant & Commission-relevant personal development plans. A person is considered competent in a particular area when they can produce evidence<sup>9</sup> to support competence. An example of a generic Competency Checklist is attached as ANNEXURE C.

#### 3.3 PROCEDURE

- 3.3.1. The competency checklist is used first during the probationary period for new employees & by all existing Commission employees on a six-monthly basis.
- 3.3.2. Competency checks form part of the formal performance evaluation exercise, to review progress on addressing previously identified competency gaps & to identify new gaps to address in the next six (6) to twelve (12) months.
- 3.3.3. Every employee, no matter what position they currently occupy, should work through the checklist beginning at the top of the checklist – 1. ENTRY LEVEL GENERAL COMPETENCY REQUIREMENTS.
- 3.3.4. Employees evaluate themselves by sourcing the relevant evidence & assessing whether the evidence provided is sufficient to demonstrate mastery of the required knowledge, skill or ability in preparation for a personal development planning meeting with the line manager.
- 3.3.5. The employee & line manager meet & work through the competency checklist systematically from the beginning.

<sup>9</sup> Providing evidence may take the form of demonstrating a task (on computer, other office equipment), producing a product, accessing systems data or reports (under observation), conducting a meeting or giving a presentation, etc. For this reason, not all assessments are conducted solely in a one-on-one meeting in an office. This can include a walk about the office to the various pieces of equipment, a session at the employee's workstation/work area, or observation of a presentation, etc., to facilitate practical demonstrations to provide evidence & prove competence. Evidence can be in the form of: formal training course competency certificates/reports; one-on-one / on-the-job training competency reports/products; & observation reports.

- 3.3.6 The employee is required to produce the evidence to support competency for each item.
- 3.3.7 The checklist exercise is stopped once 5 – 10 competency gaps have been identified. The specific number should be determined by:
- the complexity of the skill or knowledge competency required;
  - the relative importance of filling that specific gap in order to be effective on the job in the short-term; &
  - an understanding of the work & developmental demands placed on the employee to work on filling that competency gap in the next six months.
- 3.3.8 The competency gaps are recorded in the employee's PDP & the plan is discussed & agreed. The plan includes:
- prioritising the competency gaps & the order in which they need to be addressed,
  - the training methods to be used to fill the gaps (which include self-study & practicing a new skill);
  - the time frame in which the employee should achieve proficiency; &
  - the evidence required in follow-up meetings to demonstrate proficiency.
- 3.3.9 **Additional tasks**, such as serving on Commission's committees, assisting in the office on a project or in a capacity that would expose the employee to new tasks, work experience, etc., which are not contained in the competency checklist, should be noted. Employees should be made aware of the skills, abilities, & knowledge that they may develop through such exposure.
- 3.3.10 **Formal training** organised by the HR department, typically involving classroom-type training & set training courses, is usually separate & different from the majority of what is contained in the PDP. The formal training identified for the employee is listed on the PDP for completeness.

### 3.4 PERSONAL DEVELOPMENT RESPONSIBILITIES

- 3.4.1 The **line manager** is responsible for:
- conducting the competency assessment using the Competency Checklist;
  - creating an enabling environment for the skills transfer to take place (time, equipment, location in the office);
  - monitoring (six-monthly) & evaluating the level of proficiency achieved; &
  - evaluating the delivery of the PDP by the employee.
- 3.4.2 The **employee** is responsible for:
- executing the development plan within the agreed timeframe;
  - maintaining all PDP documents (checklists, PDP, evidence, etc.)
  - developing & maintaining personal development evidence; &
  - acquiring the core competencies required to be effective in their current positions & to make themselves eligible for promotional opportunities in the Commission.

**4. PERFORMANCE MONITORING**

- 4.1 Performance should be monitored continually at all levels.
- 4.2 Line managers are expected to know at all times the extent to which the objectives for which they are responsible are being met.
- 4.3 Line managers are required to make a deliberate effort to:
- a. observe their employees in action,
  - b. scan performance reports<sup>10</sup> & output statistics,
  - c. discuss progress,
  - d. offer assistance,
  - e. help solve problems,
  - f. coach,
  - g. praise where deserved, &
  - h. give constructive criticism where necessary.
- 4.4 Employees should not be surprised at the feedback they receive at their formal Performance Evaluation meetings. The meetings should be a reinforcement or summary of;
- a. the performance feedback they have received throughout the year;
  - b. self-monitoring & assessment against the performance targets for their position.
- 4.5 Performance monitoring at the individual level is one component of the PMER system of the Commission (see the PMER Manual section C7 on Performance Monitoring).

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<sup>10</sup> See Performance Management, Evaluation & Reporting Manual section C8

## 5. PERFORMANCE EVALUATION

### 5.1 GENERAL

- 5.1.1 Evaluation is a **time-bound & periodic** exercise to provide **credible & useful** information to manage performance at all three levels (T1, T2 & T3) (see PMER Manual section C11 on Performance Evaluation).
- 5.1.2 The aim of individual performance evaluation (T3) is to ensure that every employee, on a six-monthly basis, receives constructive feedback & positive reinforcement about their strengths & performance in order to improve continuously the overall performance of the Commission.
- 5.1.3 The annual evaluation concludes all the separate review & feedback discussions held throughout the year.
- 5.1.4 Performance evaluation also enables a transparent & consistent approach to notifying & addressing both exceptional & unsatisfactory performance.
- 5.1.5 Performance evaluation is not a tool to punish, ridicule, reprimand, or de-motivate employees.
- 5.1.6 Employees with dual/ multiple reporting lines need to be evaluated by all their managers on the respective duties they report to them on. The scores will be averaged to determine the final performance score of the employee.

### 5.2 FORMAL PERFORMANCE EVALUATION PROCEDURE

- 5.2.1 Performance is evaluated formally twice a year, the first at mid-year (October) & the second shortly after the end of the annual cycle (April/May) as follows:
- a. The **Performance Evaluation** is conducted first at the T1 & T2 levels.
  - b. The results are circulated throughout the SAHRC.
  - c. These assessments inform the T3 Assessment Guidelines to be used by all managers to assess their employees' performance for the period.
  - d. The T3 Assessment Guidelines are also provided to all employees to assess their own performance & prepare for their formal evaluation meeting.

### 5.3 FORMAL PERFORMANCE INTERVIEWS

- 5.3.1 **Preparation** will lead to a shorter, smoother-running interview, with much less potential for differences of opinion or even conflict.
- a. The line manager sets the meeting:
    - I. for a time suitable to both parties,
    - II. in a private, comfortable venue, free of any disturbance,
    - III. allowing enough time for the interview, &
    - IV. gives the employee a minimum of one week's notice.
  - b. Both line manager & employee need to **prepare for the session** by:
    - I. having a copy of the performance agreement & PDP (attached as ANNEXURE A) on hand.

- II. considering the performance results for the period at the T1 & T2 levels & the Performance Rating Guidelines issued for the period.
- III. gathering valid performance evidence,
- IV. assessing the evidence independently against the set targets, before jointly discussing these at the interview itself.

### **5.3.2 Conducting the Interview**

- a. The line manager should begin the interview by recapping the T1 & T2 performance results for the period & the rating guidelines provided.
- b. The employee should then present a self-assessment on the achievement of the objectives in the performance agreement. All self-assessed ratings should be supported by tangible evidence<sup>11</sup>.
- c. The line manager then uses reality testing, probing questioning, etc., to focus the engagement on the defined targets & performance indicators in a way that guides the employee to a better understanding of their performance relative to others within their position & to the performance rating of the Programme/Sub Programme.
- d. The line manager is responsible for determining the extent to which there is sufficient evidence presented to make an accurate assessment of the evidence.
- e. Insufficient evidence presented by the employee will necessitate a rating of below that of MEETS EXPECTATIONS.
- f. The line manager should consider the extent to which adverse personal circumstances have influenced a lack of performance. Such circumstances should lead to a referral by the line manager to the Employee Assistance Programme<sup>12</sup>
- g. The line manager then completes the **Performance Evaluation Form**, reflecting the mutually agreed ratings.
- h. The Line Manager & employee review & revise the PDP with timeframes that focus on areas for future improvement & development within the next six months;
- i. Both parties sign<sup>13</sup> the completed performance evaluation, each keep a copy & an additional copy is sent to the HR department at the National Office for moderation & filing.

### **5.3.3 Follow Up**

The line manager is responsible for providing the employee with:

- a. the necessary support & leadership,
- b. a motivational working environment; &
- c. ongoing feedback, mentorship, & coaching.

<sup>11</sup> **NOTE:** It is the employee's responsibility to provide evidence of performance against each target set out in the performance contract. The burden of proof is on the employee, not the line manager, to prove the achievement of any objective in the interview. This is particularly critical where an employee believes that their performance should be rated higher than what is provided in the T1 & T2 evidence & guidelines provide).

<sup>12</sup>CAS in 2011/2012

<sup>13</sup> The employee has the right to refuse signing the Overall Performance Rating Consolidation if s/he does not agree with the assessment or ratings. See 4.13.2 of the Policy. The line manager may not change anything on the form once the agreement has been reached & the form has been signed.

## 5.4 THE RELATIONSHIP BETWEEN PERFORMANCE EVALUATION & OTHER HR ACTIONS:

- 5.4.1 Performance management is an integral part of the management process.
- 5.4.2 Decisions reached for certain other HR decisions must be consistent with performance documentation.
- 5.4.3 Line managers & HR must ensure that an employee's performance has been recently reviewed before any of the following actions may be taken:
  - a. Promotion,
  - b. Performance increase or performance bonus<sup>14</sup>,
  - c. Performance-based disciplinary action<sup>15</sup>, or
  - d. Dismissal for poor work performance (see procedure for managing poor performance below).
- 5.4.4 Management must ensure that any decision taken with regard to the above is consistent with the overall evaluation recorded on the employee's performance review<sup>16</sup>.
- 5.4.5 If the proposed action appears to be inconsistent with an employee's overall evaluation, the supervisor of the line manager may request additional information from that manager to justify implementing the action.
- 5.4.6 Sanctions may be levied by the Commission against any line manager&/ employee who does not follow the provisions of the Performance Management System. Examples of sanctions include:
  - a. appropriate disciplinary warnings, up to & including dismissal, for failure to carry out the policy.

## 5.5 GENERAL LINE MANAGER PERFORMANCE EVALUATION RESPONSIBILITIES:

The line manager:

- 5.5.1 initiates Performance Evaluation steps & discussions with employees,
- 5.5.2 prepares well for these discussions & expects good employee preparation as well
- 5.5.3 conducts discussions in a way that ensures a positive atmosphere for a confidential, open & honest dialogue,
- 5.5.4 encourages employees' active participation in the process, making communication two-way,
- 5.5.5 takes responsibility for firm but fair, transparent & consistent treatment of employees in objective achievement review, evaluations & feedback,
- 5.5.6 takes responsibility for prompt, timely actions in case of performance issues,
- 5.5.7 applies given guidelines & principles & is available to explain them to employees,
- 5.5.8 supports employees' performance & development by providing on-going feedback & coaching, &
- 5.5.9 takes responsibility for optimal use & development of talent for the good of the entire organisation (long & short-term).

<sup>14</sup> See Performance Linked Rewards Procedure & eligibility requirements.

<sup>15</sup> See Procedure for Managing Poor Performance.

<sup>16</sup> For example, it would not be consistent to promote an employee whose documented performance is at the 'DEVELOPING' level. Likewise, it would be inappropriate to propose disciplinary action based on poor performance if documentation shows performance at or above the "Meets Expectations" level.



## 6. RATING INDIVIDUAL PERFORMANCE

### 6.1 GENERAL

- 6.1.1 Actual performance evidence is noted & assessed against the target to derive a fair rating to indicate to the line manager, the employee & the moderators the extent to which the employee's performance is on target, significantly above target, etc.
- 6.1.2 All parties should strive to ensure objective rating of the actual performance against the targets.
- 6.1.3 Whilst the achievement of a certain rating in any performance cycle indicates eligibility for performance rewards, the levels of performance to be rewarded & the actual amount rewarded in any annual cycle is determined on an annual basis.

### 6.2 RATING SCALE

6.2.1 The Commission uses the 5-point rating scale set out below.

1. UNACCEPTABLE	Performance is well below the required target
2. DEVELOPING <sup>17</sup>	Performance does not yet meet the required target
3. MEETS EXPECTATIONS (TARGETS)	Performance Meets the target
4. EXCEEDS EXPECTATIONS	Performance achieves the "Above Average Contribution" level described for the target
5. OUTSTANDING	Performance achieves the "Above Average Contribution" level described for the target

#### 6.2.2 ASSESSMENT RATING CALCULATOR

An assessment rating calculator shall be used to calculate the final performance rating scores. The calculator shall consist of the following fields:

- Employee number
- Name and Surname of the employee
- Assessment period
- Provision for Key Results Areas (KRAs)
- Weighting (per KRA)
- Provision for Rating
- KRA score
- Generic Assessment Factors (GAF)
- Provision for Rating
- GAF score
- Total KRA score
- Total GAF score
- Final score (addition of both the total KRA and GAF scores)

<sup>17</sup> **NOTE:** This rating is typical for new employees in 1<sup>st</sup> year of employment & all promotions in the 1<sup>st</sup> 6 months in the new position

**Example of the Assessment Rating Calculator:**

<b>Annual Performance Assessment Assessment Rating Calculator</b>								
<b>SP Number:</b>								
<b>Name:</b>								
<b>Year:</b>								
<b>KRA</b>	<b>Weight</b>	<b>Rating</b>	<b>Score</b>		<b>GAF</b>	<b>Weight</b>	<b>Rating</b>	<b>Score</b>
1	30%	1	0.3		1	30%	1	0.3
2	30%	2	0.6		2	20%	2	0.4
3	25%	1	0.25		3	20%	1	0.2
4	15%	2	0.3		4	10%	2	0.2
5			0		5	20%	1	0.2
6			0					
7			0					
<b>100%</b>			<b>48.333</b>		<b>100%</b>			<b>43.333</b>
KRA weight			80%		GAF weight			20%
<b>KRA SCORE</b>			<b>39%</b>		<b>GAF SCORE</b>			<b>9%</b>
<b>FINAL SCORE</b>					<b>47%</b>			

**Rating Scale:**

<b>RATING</b>	<b>PERFORMANCE CATEGORY</b>	<b>TOTAL SCORE RANGE</b>
1	Unacceptable performance	0% - 69%
2	Performance not fully effective	70% - 99%
3	Performance fully effective	100% - 114%
4	Performance significantly above expectation	115% - 149%
5	Outstanding performance	150% - 167%

- 6.3. Where the employee & line manager fail to agree on a performance rating:
- the line manager &/ employee must follow the dispute resolution mechanisms as highlighted in this policy.
  - the Performance Management Committee (PMC) will consider both scores in the moderation exercise & provide guidelines for the re-evaluation & re-submission within seven (7) days by the line manager & employee (see Moderation of Performance Ratings below).

#### 6.4 RATING EMPLOYEES PROMOTED OR TRANSFERRED DURING THE ANNUAL CYCLE

- 6.4.1 If an employee is promoted or transferred during a specific performance cycle, a performance evaluation must be done by the former line manager on his/her transfer/promotion, & the assessment forwarded to the new line manager who should incorporate the rating into the overall rating through a pro-rata calculation, as follows:

<b>Job 1:</b>	Overall score % x length of serving period ÷ full period (12 months) = performance % for the period (e.g. 68% x 3 ÷ 12 = <b>17%</b> )
<b>Job 2:</b>	Overall score % x length of serving period ÷ full period (12 months) = performance % for the period (e.g. 72% x 9 ÷ 12 = <b>54%</b> )
<b>Overall Score:</b>	Performance % for Job 1 + Performance % for Job 2 (e.g. 17% + 54% = <b>71%</b> )
<b>Overall Rating:</b>	2 – Meets Expectations

- 6.4.2 The overall rating will therefore be applied to the relevant performance category highlighted below (section 7.8)

#### 6.5 RATING OF EMPLOYEES IN AN ACTING CAPACITY DURING THE ANNUAL CYCLE

- 6.5.1 An employee who is duly appointed to act in a higher position for a period of at least six (6) months during the annual cycle shall also be evaluated in the position on which he/ she is acting.
- 6.5.2 The performance evaluation will be done on a pro rata basis, taking into consideration the performance in both jobs/ posts.
- 6.5.3 The performance rewards will be based on the basic salary of each job, also on a pro rata basis.
- 6.5.4 If the acting is for a period less than 6 months, the performance rewards would be paid on the basic salary of their permanent job.

e.g. Job 1: 17% of basic salary = Rx1  
 Job 2: 54: of basic salary = Rx2  
 Rx1 + Rx2 = Final performance bonus amount.

## 6.6 MODERATION OF PERFORMANCE RATINGS (QUALITY CONTROL)

- 6.6.1 The moderation process of employees' performance ratings comprises the final stage of the annual performance assessment process.
- 6.6.2 The moderation process is conducted by the Performance Management Committee (PMC) as soon as possible after the annual cycle is completed.
- 6.6.3 The principles guiding the moderation exercise are:
- a) to ensure horizontal & vertical consistency & fairness in performance ratings across the organisation;
  - b) to consider the overall rating alignment of individual employees with programme/sub programme & organisational level performance & ratings; &
  - c) to provide a well-considered set of recommendations to the CEO regarding performance-linked rewards arising from the performance cycle under review.
- 6.6.4 This approach allows the members of the committee to understand the context within which to place the individual performance of employees & to provide a framework within which to better identify apparently anomalous performance ratings.
- 6.6.5 Where the employee & line manager have failed to agree on a performance rating, the Performance Management Committee will consider both scores in the moderation exercise & provide guidelines for the re-evaluation & re-submission within seven (7) days by the line manager & employee.
- 6.6.5 A re-assessment of the performance may also be required if the moderation process has found an apparent anomaly in any of the performance ratings.
- 6.6.6 If this occurs, the line manager will be notified to re-evaluate the employee or provide additional motivation to support the rating for the period within seven (7) days to the Performance Management Committee.
- 6.6.7 The line manager will in turn inform the employee that a further evaluation meeting is required to ensure fairness & consistency in performance ratings across the organisation, will set another review meeting, will revisit the assessment with the employee, & submit the re-assessment within those seven (7) days.
- 6.6.8 The Performance Management Committee will make recommendations on all of the re-submitted evaluations for consideration and final decision by the Chief Executive Officer
- 6.6.9. The final performance rating results (final decision) shall be communicated to individual employees before they are processed for implementation.
- 6.6.10 The CEO is responsible for determining the financial viability of the post-moderation bonus & salary increase proposals.
- 6.6.11 Internal Audit conducts an independent assessment of the moderation process & the allocation of performance-linked rewards.

## **7. PERFORMANCE-LINKED REWARDS**

### **7.1 OBJECTIVES**

- 7.1.1 The SAHRC incentive scheme is designed to reward excellent job performance & to recognise employee contributions towards the achievement, or surpassing, of organisational objectives & targets.
- 7.1.2 This also serves to retain employees whose performance is consistently above average, who are committed to the goals of the organisation & who contribute greatly towards its successes.
- 7.1.3 The Incentive Scheme is informed by, & aligned with:
- The Remuneration Policy & Structure,
  - The Job Evaluation Policy & process,
  - The Performance Management Policy,
  - The Retention Strategy & needs of the Commission.
- 7.1.4 The Incentive Scheme deals with the Cash Incentives (Rewards)..
- 7.1.5 The incentives will apply to all permanent & contract staff (contract staff on fixed-term contracts of more than one (1) year) who have successfully completed their probation periods & assessment cycle, & are employed directly by the Commission.
- 7.1.6 The Performance Management Policy, with its 3-tier assessment, rating, & rewards system, provides the link between performance & rewards in the Commission. That is, rewards may occur on three (3) levels, depending on the achievement of performance targets at these levels to entrench further a performance-based culture.

### **7.2 TIMING OF THE ISSUING OF PERFORMANCE REWARDS**

- 7.2.1 Performance-linked rewards in the form of incentive bonuses, &/or salary increases rewards may be issued:
- 7.2.1.1 annually after the performance stipulated in the performance agreement has been demonstrated at the appropriate level for the annual cycle

### **7.3 SALARY INCREASES**

- 7.3.1 Notch increases are awarded at the grade/salary level assigned to the position.

### **7.4 SALARY BAND CEILINGS & PERFORMANCE REWARDS**

- 7.4.1 Employees who have reached the highest notch within their salary band & who qualify for a salary increase will be paid a once-off amount equal to that for which they would normally have qualified if they were not on the maximum notch.

### **7.5 ELIGIBILITY FOR ANNUAL SALARY INCREASES (NOTCH INCREASE)**

- 7.5.1 The basic criteria for being considered potentially eligible for performance-linked notch increases for an annual cycle are that the employee has:
- a. completed the full annual performance cycle,
  - b. a signed performance contract & personal development plan for the period under review,
  - c. underwent the standard formal mid-term & annual performance assessments to ascertain a fair performance rating,

- d. a rating which falls within the categories identified as qualifying for a salary increase,
  - e. is not on a development programme,
  - f. is still in the employ of the Commission at the time that rewards are issued.
- 7.5.2 Staff employed by the SAHRC for the full assessment cycle; have achieved their performance targets during the financial year; & have successfully completed their probation period but may have been absent due to prolonged illness, maternity leave, etc., for less than six (6) months of the cycle may still be considered for a performance-linked salary increase.

## 7.6 SALARY INCREASE CALCULATION GUIDELINES

7.6.1 The qualifying criteria & guidelines are set out below:

**3 notches:** awarded to employees who achieve a year-end rating of 5

**2 notches:** awarded to employees who achieve a year-end rating of 4

**1 notch:** awarded to all employees who achieve a rating of 3.

## 7.7 PERFORMANCE BONUS

A performance bonus is a financial award granted to an employee in recognition of sustained performance that is significantly above expectations and is rated as such in terms of the rating scale. In order to qualify for the granting of a bonus, an employee must complete a continuous period of at least twelve months on her/his salary level on 31 March of a year. The cycle for the granting of a bonus runs over a continuous period of 12 months from 1 April of one year to 31 March of the next year. The value of a bonus is calculated on the employee's actual notch (levels 1 – 10) or pensionable / basic salary (for levels 11 and above).

To understand the relationship between scoring an individual KRA or GAF on the 5 point rating scale, on the one hand, and total scores on the other hand, it must be kept in mind that a total score can be a variable mix of the five categories (1,2,3,4 and 5). A total score must therefore not be read mechanistically into the description of a specific performance category, because a total score might contain a mix of KRA and GAF ratings ranging from 1 to 5, depending on the weighting of the elements. For purposes of illustration the following three broad groups of total performance scores can be distinguished, with the corresponding categories, percentages and outcomes:

Performance Groups	Percentages	Performance Categories	Percentages	Outcomes
Below satisfactory performance	99% and <b>below</b>	Unacceptable performance	69% and below	No notch increase No cash bonus
		Performance not fully effective	70% - 99%	No notch increase No cash bonus
Satisfactory performance	100% - 114%	Performance fully effective (and above)	100% - 114%	1 Notch increase No cash bonus
Above satisfactory performance	115% and <b>above</b>	Performance significantly above expectations	115% - 149%	2 Notch increase Cash bonus in 10% range
		Outstanding performance	150% - 167%	3 Notch increase

				Cash bonus in 18% range
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The following cash bonuses may be granted to employees who qualify in terms of their annual performance assessment, i.e. who have completed the assessment period of 12 months of the performance cycle from 1 April to 31 March on a specific salary level:

PERFORMANCE CATEGORY	TOTAL SCORE FOR KRAs AND GAFs	AWARD CATEGORY	CASH BONUS
Performance significantly above expectations	115% - 149%	<b>B</b>	<b>10%</b>
Outstanding performance	150% - 167%	<b>A</b>	<b>18%</b>

The following tables summarize the different measures:

PERFORMANCE CATEGORY	TOTAL SCORE	PROBATION	DEVELOPMENT	PAY* PROGRESSION	CASH** BONUS
Unacceptable performance	<b>69% and Lower</b>	Extend probation or terminate I.T.O incapacity policy	Agree on development programme	-	-
Performance not fully effective	<b>70% - 99%</b>	Extend probation	Agree on development programme	-	-
Performance fully effective (and above)	<b>100% - 114%</b>	Confirm appointment	Agree on development opportunities	<b>1 Notch</b>	-
Performance significantly above expectations	<b>115% - 149%</b>	Confirm appointment	Agree on development opportunities	<b>2 Notch</b>	<b>10%</b>
Outstanding performance	<b>150% - 167%</b>	Confirm appointment	Agree on development opportunities	<b>3 Notch</b>	<b>18%</b>

*\*Pay progression must be awarded in accordance with applicable salary scales.*

*\*\* The percentage cash bonus for all employees is calculated on the employees' basic salary, and the percentage ranges have been created to accommodate possible financial constraints in the Commission.*

The Commission may not exceed 1.5% of its remuneration budget for bonuses. Should this amount prove to be insufficient to award the maximum percentage cash bonuses, the Performance Management Committee may scale down the applicable percentages by allocating a lower percentage in the range to qualifying employees to ensure that the Commission stays within the 1.5% limit. The percentage decided upon by the Performance Management Committee should be applicable to all employees in the specific categories. If it is not possible to stay within the 1.5% limit, even after lowering the percentage ranges, the Committee may in exceptional circumstances make a motivated recommendation to the CEO to approve that this limit may be exceeded.

## 7.8 ELIGIBILITY FOR THE ANNUAL BONUS ON SPECIAL CIRCUMSTANCES

- 7.8.1 Employees employed for the full assessment cycle, but may have been absent due to prolonged illness (6 weeks and more), maternity leave, etc., of less than six (6) months of the cycle may still qualify to be considered for a performance bonus on a pro rata basis on condition that they have:
- achieved their performance targets during the financial year; &
  - successfully completed their probation period.
- 7.8.2 Employees, who have resigned during the annual cycle, or after the cycle but before incentive payments are made, are not eligible for a performance bonus. Employees who have resigned during the annual cycle or after the annual cycle but before the finalisation, verification and approval by the CEO of performance results, are not eligible for a performance bonus.

## 8. MANAGING POOR PERFORMANCE

### 8.1 GENERAL

Line managers are responsible for alerting employees to performance deficiency issues. The PMC shall on a quarterly basis meet to review performance deficiencies and monitoring the performance remedies by the line manager are being implemented. Performance planning & review meetings should include identifying competency gaps & highlighting performance deficiencies. Attempts should be made to determine the reasons for gaps in an individual's performance to inform what is required to address these within the next six (6) months, i.e. by the next performance review.

### 8.2 PROCEDURE

- 8.2.1 This procedure sets out the steps for addressing identified levels of unsatisfactory work performance under the following circumstances:
- Where an employee achieves a performance rating of "**UNACCEPTABLE**", a more intensive & formal process should be implemented by the line manager immediately; or
  - Where an employee achieves a performance rating of "**PERFORMANCE NOT FULLY EFFECTIVE**" for two (2) successive 6-monthly formal performance evaluations, & is not in their first year of employment in the Commission, again, the line manager must immediately implement a more intensive & formal process.
- 8.2.2 An employee who alleges unfair conduct on the part of the line manager in the implementation of the formal process is not precluded from following the Grievance Resolution Procedure. However, the improvement process should not be delayed by the Grievance Resolution Procedure.

#### STEP 1: NOTIFICATION OF POOR PERFORMANCE

The line manager is required to:

- arrange formal counselling sessions to deal with the problem; &
- notify the employee in writing of the situation.

#### STEP 2: THE FIRST COUNSELING INTERVIEW

The line manager is required to:



- a. Advise the employee that his/her performance is unacceptable, with explicit reasons & examples where necessary.
- b. Endeavour, as far as practically possible, to assist the employee concerned by identifying the employee's area(s) of poor work performance, eliciting from the employee how the employee proposes to address the area(s) of poor work performance & making suggestions on how such poor work performance could be improved through training, coaching, guidance, etc.
- c. Inform the employee of the steps that the improvement process will follow (e.g. evaluation, instruction, training, guidance, requirements, positive consequences & negative consequences, for example redeployment of the employee, demotion, or termination possibilities).
- d. Provide reasonable opportunity & appropriate assistance for the employee to improve his/her work performance.
- e. Set a reasonable time for performance to improve (three months). Any deviation from this period should be agreed to by both parties.
- f. Reset clear, measurable & attainable objectives, performance indicators & targets (not less than what would normally be expected from/by the employee).
- g. Document resources support, frequency of feedback & appropriate development plans. (See Annexure D).
- h. Set a follow-up meeting date – reviews should be held on a monthly basis.

### STEP 3: THE FOLLOW-UP INTERVIEW(S) - WRITTEN COUNSELLING REPORTS

The line manager is obliged to:

- a. conduct a full re-assessment approximately three months from when the process began,
- b. keep detailed documentation & records of feedback (documented records of feedback on every aspect become critically important as evidence when disputes arise as to the nature of performance over a period of time),
- c. discuss the following:
  - I. Successes & shortcomings, as experienced by both parties;
  - II. Difference in evaluation;
  - III. Reasons for shortcomings, & suggestions/plans to resolve shortcomings;
  - IV. Revised program (objectives, standards, dates) if necessary;
  - V. Resources, support, etc. if required;
  - VI. Subsequent meetings (preferably on at least a monthly basis for the approximate three months duration of the written counselling);
  - VII. issue the employee a written counselling report after each follow-up interview. (**See Annexure D**).
  - VIII. reduce the time between interviews if the employee barely responds positively to counselling.

#### STEP 4: THE FINAL INTERVIEW

The line manager is obliged to:

- a. schedule & conduct a final interview In the event that the employee's performance has not improved to the required standard, as evidenced from the follow-up interviews approximate three months after the first interview (counselling) was conducted. This final interview should take the form of **either** :

##### 4 A Final Written Counselling

The line manager is obliged to:

- I. conduct the final written counselling in order to impress upon the employee that his / her performance has not improved to the required level.
- II. detail the performance requirements (**See Annexure D**).
- III. subject the employee to an Incapacity hearing in the event that the employee fails to meet the performance requirements over the stated period.

or

##### 4 B Satisfactory Close-Out Report

The line manager is obliged to:

- I. conduct the final interview & complete a Satisfactory Close-Out Report (**See Annexure D**) where it is clear that the employee has displayed improved work performance to the required level at any point through the performance counselling process.
- II. reinstitute this counselling process with proportionately lesser periods applicable, should further instances of poor work performance prevail.

#### STEP 5: THE INCAPACITY HEARING

- a. The HR Manager will appoint a competent Chairperson to consider the employee's continued employment.
- b. The Chairperson may decide that:
  - I. a dismissal may be effected should substantive reasons prevail, & fair procedures be followed;
  - or,**
  - II. where practically possible in the opinion of the Commission, consider alternatives to dismissal such as demotion &/or re-deployment of the employee.
- c. Demotion can be initiated, provided the employee consents thereto & if it is possible within the Commission's structure.
- d. Re-deployment to a job with different job content may occur, provided the employee consents thereto. If the job content remains similar & job grading remain the same, no consent is needed. (This may occur, where for example, the manager may deem it necessary to transfer the employee to a job with similar content, where variables that are more positive are available).
- e. In the event that demotion &/or redeployment are not possible or the employee has not agreed thereto, the employee's dismissal for incapacity to fulfil reasonable contractual employment obligations should be effected.

## 9. DISPUTE RESOLUTION STEPS:

- 9.1 The steps for dispute resolution as provided for in the Performance Management Policy, where applicable will apply in full. That is:
- 9.1.1 Where a dispute arises as to the interpretation of the content of the standard performance agreement for that position, the employee is entitled to take the matter to the next level of management within seven (7) days of the dispute arising, in the presence of the line manager, for a final interpretation.
- i. Step 1: Employee verbally communicates disputes with the performance contract to the line manager(s). The line manager(s) and the employee must have a meeting to discuss the basis of the dispute and aim to resolve it within **5 working days**.
  - ii. Step 2: If the employee/ line manager(s) is not satisfied with step 1 or non-attendance of the issue, a formal dispute must be lodged by the manager &/employee with HR. HR must hold consultations with both parties in an attempt to resolve the dispute within **5 working days** of the dispute being lodged.
  - iii. Step 3: should the dispute not be resolved in step 2, HR will escalate the dispute to the PMC. PMC will conduct an intervention to attempt to resolve the dispute within **10 working days** of the matter being brought to their attention
  - iv. Step 4: Should the employee/ line manager(s) not be satisfied with the intervention of the PMC, the matter is to be escalated by the disputing party to the CEO. The office of the CEO will arrange a meeting with the employee and his/her line manager(s) and after having considered the matter will inform the parties in writing of his/her decision within **7 working days** of receiving the dispute. The finding of the CEO is final and binding
  - v. Step 5: Should an employee/ line manager(s) not be satisfied with the CEO's decision, he/she may make use of the appropriate statutory dispute settling mechanism as defined in the Labour Relations Act as amended, this must be done within 30 days of the CEO's decision.
- 9.1.2 Where the employee & line manager fail to agree on an annual performance rating:
- (i) the line manager must make a note to this effect on the Performance Assessment form submitted to the HR Department.
  - (ii) the Performance Management Committee will consider both the line manager(s) & employee scores in the moderation exercise & provide guidelines for the re-evaluation & re-submission within seven (7) days by the line manager & employee.
  - (iii) In the event that the employee & the line manager have still failed to agree on the annual performance rating in the re-submitted evaluation, the Performance Management Committee will make note of this in their report and make recommendation for consideration and final decision by the Chief Executive Officer.
- 9.1.3 The grievance resolution procedure of the SAHRC will apply for any other disputes (allowing for reasonable response times), after which an employee should follow the provisions of the LRA.
- 9.2 For purposes of internal dispute resolution, the decision of the Commission is final.

- 9.3 All disputes or dissatisfactions with the performance cycle year must be lodged within 90 days of the conclusion of the performance cycle year and no further queries beyond this time frame will be entertained.

## SECTION FOUR: FORMS / ANNEXURES

<b>A1</b>	<b>PERFORMANCE AGREEMENT &amp; ASSESSMENT FORM – HEADS OF PROGRAMMES</b>
<b>A2</b>	<b>PERFORMANCE AGREEMENT &amp; ASSESSMENT FORM - EMPLOYEES</b>
<b>B</b>	<b>PERSONAL DEVELOPMENT PLAN</b>
<b>C</b>	<b>COMPETENCY CHECKLIST</b>
<b>D</b>	<b>WORKPLAN</b>
<b>E</b>	<b>GENERIC ASSESSMENT FACTORS GUIDELINES</b>
<b>F</b>	<b>COUNSELLING REPORT FORMS:</b>
	First Interview
	Follow-up Interviews
	Final Interview
	Satisfactory Close-Out Report

<b>POSITION/JOB TITLE:</b>	<b>PROGRAMME</b>
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Indicate (X) the performance management phase to which this document relates:

<b>1. Performance Contract discussed &amp; PDP areas identified</b>	<b>2. Mid-Term Review</b>	<b>3. Year-End Evaluation</b>
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<b>Employee's Name &amp; Signature:</b>	<b>Date:</b>
<b>Line Manager's Name &amp; Signature:</b>	

<i>Performance Indicator</i>	<i>Target</i>	<i>Above Average Contribution</i>	<i>Outstanding Contribution</i>	<i>Actual Performance/Evidence provided (Yes/No) + Comment if No</i>	<i>Rating</i>
<b>1. <u>Strategic Capability &amp; Leadership:</u></b> Detailed Operational Plan aligned to the Annual Performance Plan (APP) with clearly defined performance indicators & SMART targets:	Plan delivered in the prescribed format & by deadline	Meets target & approved on 1 <sup>st</sup> submission, i.e. 100% accurate, current & complete	Above average contribution & used as a champion <sup>18</sup> in this area during the period under review		
<b>2. <u>Programme &amp; Project Management:</u></b> Operational Plan executed - all targets for the period achieved - well structured complex documents, presentations provided as required in terms of the APP & operational plan (drafts, proposals, reports)	All targets delivered by deadline	Meets target & all delivered to scope; & within budget, no revisions required	Champion		
<b>3. <u>Financial Management:</u></b> <b>3.1 <u>Own (Programme/Unit) annual budget prepared in line with the APP</u></b>	Budget delivered in the prescribed format & by deadline	Meets target & approved on 1 <sup>st</sup> submission, i.e. 100% accurate, current & complete	Champion		

<sup>18</sup> **Champion** = performs at an above average level & is formally assigned to assist fellow employees to attain the competencies by providing their time & expertise to demonstrate, coach & mentor in one-on-one sessions as their workstation or in their work area.

<b>Performance Indicator</b>	<b>Target</b>	<b>Above Average Contribution</b>	<b>Outstanding Contribution</b>	<b>Actual Performance/Evidence provided (Yes/No) + Comment if No</b>	<b>Rating</b>
3.2 Annual <u>expenditure</u> of the Programme is aligned to the allocated annual budget	Expenditure is within 8% of budget for the period	Expenditure is within 5% of budget for the period	Expenditure is within 5% & used as a champion in this area during the period under review		
3.3 All Programme risks managed	All assigned <u>risk management</u> tasks/actions in the Risk Management Plan executed by deadline.	Meets target & 100% accurate, current & complete			
4. <b>Performance Monitoring, Evaluation &amp; Reporting:</b> Programme PMER delivered	Data captured on the Programme's information system is 100% accurate, current & complete.	Meets target & can be extracted on demand			
	Performance reports are designed for every reportable area in the Reporting Matrix & produced & distributed by deadline	Meets target & 100% accurate, current & complete			
5. <b>People Management:</b> Recognises individuals & teams, provides developmental feedback - meets performance management tasks & deadlines	Own & all subordinates performance contracts & PDPs signed by (date), performance evaluations completed by (mid-term date) & (year-end date)	Meets target & 100% accurate, current & complete			
6. <b>Communication within Programme</b>	Well structured Programme meetings conducted (monthly)	Meets target & agendas, minutes & action items with responsibilities; standing item on performance against targets			
				<b>OVERALL SCORE</b>	
				<b>OVERALL RATING</b>	

<b>POSITION/JOB TITLE:</b>		<b>PROGRAMME</b>	
<b>Employee's Name &amp; Signature:</b>		<b>Date:</b>	
<b>Line Manager's Name &amp; Signature:</b>			

Indicate (X) the performance management phase to which this document relates:

<b>4. Performance Contract discussed &amp; PDP areas identified</b>		<b>5. Mid-Term Review</b>		<b>6. Year-End Evaluation</b>	
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<i>Performance Indicator</i>	<i>Target</i>	<i>Above Average Contribution</i>	<i>Outstanding Contribution</i>	<i>Actual Performance/Evidence provided (Yes/No) + Comment if No</i>	<i>Rating</i>
1.			Above average contribution & used as a champion <sup>19</sup> in this area during the period under review		
2.					
3.					
4.					
5.					
				<b>OVERALL SCORE</b>	
				<b>OVERALL RATING</b>	



**ANNEXURE A2**

**PERFORMANCE AGREEMENT**

*Following completion of this form, a copy must be forwarded to the Human Resource Unit.*

**ENTERED INTO BY AND BETWEEN:**

..... Business Unit herein represented by

\_\_\_\_\_ (full name) in her/his capacity as  
\_\_\_\_\_ (position) of the ( \_\_\_\_\_ )  
Programme  
(herein referred to as the Employer)

And

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

**WHEREBY IT IS AGREED AS FOLLOWS:**

**1. PURPOSE**

1.1 The purpose of entering into this agreement is to communicate to the Employee the performance expectations of the Employer.

1.2 The performance agreement and accompanying work plan shall be used as the basis for assessing the suitability of the Employee for permanent employment (if on probation); and to assess whether the Employee has met the performance expectations applicable to his/her job. In the event that the Employee has significantly exceeded the performance expectations, he/she may qualify for appropriate rewards. Details are outlined in the Commission's Performance Management Policy.

1.3 Should any non-agreement arise between the Employer and the Employee member in respect of matters regulated by this agreement, the process outlined in the Policy should be followed.

**2. VALIDITY OF THE AGREEMENT**

2.1 The agreement will be valid for the period **1 April 20..... to 31 March 20.....**

2.2 If at any time during the validity of this agreement the work environment of the Business Unit / Programme (whether as a result of Management decisions or otherwise), to the extent that the contents of this agreement are no longer appropriate, the contents shall immediately be revised.

**3. JOB DETAILS**

<b>Employee Number</b>	
<b>Programme</b>	
<b>Business Unit</b>	
<b>Designation</b>	
<b>Post Level</b>	

**4. JOB PURPOSE**

(Describe the purpose of the job (overall focus) as it relates to the Vision and Mission of the Department. Capture the overall accountability that the job holder has in relation to his/her position).

**5. REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES**

5.1 The Employee shall report to the ..... (job title in Business Unit) as her/his Line Manager on all parts of this agreement. The Employee shall:

- Timeously alert the Line Manager of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the

contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimized.

- Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations.
- Discuss and thereafter document for the record and future use any revision of targets as necessary as well as progress made towards the achievement of performance agreement measures.

5.2 In turn the Line Manager shall:

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

## **6. PERFORMANCE ASSESSMENT FRAMEWORK**

Performance will be assessed according to the information contained in the WORKPLAN and the Generic Assessment Factors (GAFs) framework.

- 6.1. The KPAs and GAFs during the period of this agreement shall be as set out in the table below.
- 6.2. The Employee undertakes to focus and to actively work towards the promotion and implementation of the KPAs within the framework of the laws and regulations governing the Commission. The specific duties/outputs required under each of the KPAs are

outlined in the attached work plan. KPAs should include all special projects the Employee is involved in. The WORKPLAN should outline the Employee’s specific responsibilities in such projects.

KEY PERFORMANCE AREAS (KPAs)	Weight
<b>TOTAL</b>	<b>100%</b>

NOTE: WEIGHTING OF KPAs MUST TOTAL 100%

6.3. The Employee’s assessment will be based on her/his performance in relation to the duties/outputs outlined in the attached WORKPLAN as well as the GAFs marked here-under. At least **five** GAFs, inclusive of any that may become prescribed from time to time, should be selected (3) from the list that are deemed to be critical for the Employee’s specific job.

GENERIC ASSESSEMENT FACTORS (GAFs)	Weight
<b>TOTAL</b>	<b>100%</b>

NOTE: WEIGHTING OF GAFs MUST TOTAL 100%

## **7. CONDITIONS OF PERFORMANCE**

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

## **8. PERFORMANCE ASSESSMENT**

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

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

**5= OUTSTANDING PERFORMANCE**

**4= PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS**

**3= FULLY EFFECTIVE**

**2= PERFORMANCE NOT FULLY EFFECTIVE**

**1= UNACCEPTABLE PERFORMANCE**

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

**Employees: KPAs shall contribute 80% and GAF's 20% of the final assessment**

## **9. FEEDBACK**

Performance feedback shall be in writing on the Mid-term Review Form and Annual Assessment Form, based on the supervisor's assessment of the employee's performance in

relation to the KPAs and GAFs and standards outlined in this performance agreement and taking into account the Employee's self-assessment.

## 10. DEVELOPMENTAL REQUIREMENTS

10.1. The Employer and Employee agree that the following are the Employee's key development needs in relation to his/her current job and envisaged career path in the Commission. **Please forward the completed FORM PDP to Human Resources** (as it would be a requirement for the approval of training).

\*ONLY ITEMISE DEVELOPMENT AREAS BELOW

.....  
.....  
.....

10.2. In so far as the above training needs coincide with the Employer's requirements and taking into account financial realities, the Employer undertakes to expose the Employee to development in these areas. The developmental needs of the Employee shall be reviewed as part of the Mid-term Review and the annual assessment of performance. Details of courses, conferences, etc. to be attended shall as far as possible be included in the Employee's PDP.

## 11. TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL ASSESSMENT

11.1. Mid-term Review: By end of October

11.2. Annual Review: By end of April.

## 12. MANAGEMENT OF POOR PERFORMANCE OUTCOMES

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

**13. DISPUTE RESOLUTION**

13.1. Any dispute about the nature of the employee’s PA, whether it relates to key responsibilities, priorities and/or methods of assessment in this agreement, shall be mediated in terms of the dispute resolution mechanisms as highlighted in the Policy..

**14. AMENDMENT OF AGREEMENT**

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

**15. SIGNATURES OF PARTIES TO THE AGREEMENT**

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

Name of Employee:.....

Signature: ..... Date: .....

*AND*

Name of Line Manager:.....

Signature: ..... Date: .....

**NB: Both Parties to sign in each page.**

**ANNEXURE B**

**PERSONAL DEVELOPMENT PLAN**

**NAME:** \_\_\_\_\_

**CURRENT POSITION:** \_\_\_\_\_

**PLAN PERIOD:** \_\_\_\_\_

COMPETENCY <sup>20</sup> (between 5 – 10 ranked in order of priority)	LEARNING METHOD (Self study, one-on-one, on-the job, observation, twinning)	BY WHEN (completion date)	COMPLETED (evidence shown)	DATE (assessed as competent)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

**FORMAL TRAINING COURSES (if relevant within the six-month period)**

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**ADDITIONAL DEVELOPMENTAL TASKS (e.g. membership of an internal committee. This is not a requirement – include if relevant for completeness)**

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**SIGNED:** \_\_\_\_\_  
**EMPLOYEE** **MANAGER**

-----  
**DATE**

<sup>20</sup> Identified from the SAHRC Competency Checklist (in Performance Management System, Policy & Procedures Manual – Section 4 B)– working through the list systematically from entry level upwards until between 5 – 10 competency gaps are identified.



**ANNEXURE C**

**SOUTH AFRICAN HUMAN RIGHTS COMMISSION:**  
**PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST**

ENTRY LEVEL GENERAL COMPETENCY REQUIREMENTS (Starting point for ALL employees)	EVIDENCE	COMPETENT	METHOD OF DEVELOPMENT
<b>THEORETICAL UNDERSTANDING OF:</b>			
SAHRC Vision, Mission & Values			Self study
HR policies & procedures			General Orientation – 1-on-1
Own employment contract, job description, performance agreement, personal development plan			
Code of Conduct			Job-specific orientation 1-on-1
All <u>job-relevant</u> SAHRC policies & procedures (identified & provided by the departmental manager)			
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>			
<b>Use: MS Word</b> – basic documents, e.g. basic copy typing, drafting memos & messages			Workstation 1-on-1
<b>MS Outlook</b> – email (compile mails, send & receive), calendar management			
<b>Type:</b> speed 10 words per minute, 100% accuracy			Workstation self practice
<b>Operate:</b> switchboard			Workstation 1-on-1
fax machine, photocopier, shredder & scanner			Office 1-on-1
<b>Communicate:</b>			
Answer & direct phone calls, note messages, receive visitors & direct visitors to correct SAHRC person			Workstation 1-on-1
Supply general info. about the function office & own dept.			Self study
Deal with basic internal queries			
<b>Deliver job-relevant info:</b>			
Record info. (e.g. complete job-relevant forms, requisitions, reports)			Workstation 1-on-1
Compile & reconcile basic job-relevant statistical reports (e.g. stock counts, petty cash checks, asset checks, filed complaints)			
<b>Organise:</b>			
File documents accurately, distribute documents/files/mail & faxes correctly			Workstation 1-on-1
Order & control basic office requirements & meeting arrangements (stationery, office consumables, meeting venues, refreshments)			
Maintain a clean/neat office environment			Office 1-on-1
Meet deadlines			Self study

ANNEXURE C- COMPETENCY CHECKLIST

<b>PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST (cont.)</b> <b>GENERAL COMPETENCY REQUIREMENTS</b>	EVIDENCE	COMPETENT	METHOD OF DEVELOPMENT
<b>THEORETICAL UNDERSTANDING OF:</b>			
<b>Relevant legislation:</b> Mandate of the SAHRC, the Constitution			Self study
<b>Policies &amp; Procedures:</b> all <u>Programme-relevant</u> policies, procedures, guidelines			
<b>Sub Programme-specific best practices</b> within that discipline			Office 1-on-1
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>			
<b>Use: MS Word</b> – compile complex documents, copy type 20 words per minute, 100% accuracy			Workstation 1-on-1 & practice
<b>MS Outlook</b> – manage email info. (create & maintain personal folders), use meeting scheduler			
<b>MS Excel</b> – compile job-relevant spreadsheets, capture data correctly, produce basic statistical calculations & graphs			
<b>MS PowerPoint</b> – produce high quality presentations with outline & content provided by manager			
<b>Dept.-specific Info. System</b> – input data 100% accurately & up-to-date, access system info., extract system info. & produce system reports with limited assistance.			
<b>Communicate:</b>			
Present verbal, written, & visual info. at departmental meetings			Observation + 1-on-1 coaching
Coordinate inter-departmental meetings or meetings with external parties, take minutes, keep records			
Conduct effective & efficient intra-departmental meetings (complete meeting agenda within the set meeting time) & provide comprehensive/informative reports back to manager			
<b>Deliver job-relevant info.</b>			
Draft own-initiative correspondence that conveys info./request/instruction effectively & is 100% free of spelling & grammar errors			Workstation 1-on-1
Produce written documents to provide info., instructions & or plans			
Compile/complete dept.-relevant forms/requisitions/reports/memos/letters			
Consolidate a set of dept.-relevant statistical reports, reconcile & correct job-relevant statistical reports			
Compile, analyse, & report on job-relevant info.			
<b>Organise:</b>			
Compile own year plan, project plans, monitor & report on own project progress			Workstation 1-on-1
Control & finalise job-relevant operational issues & control basic events with little supervision			Observation + workstation 1-on-1
Administer plans & activities as required by the manager			
Plan own complex tasks to meet all task requirements & submission by deadline			
Implement & monitor dept.-relevant policies & procedures			
Provide meaningful input to departmental policies, procedures & practices			

ANNEXURE C- COMPETENCY CHECKLIST

<b>PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST (cont.)</b>		EVIDENCE	COMPETENT	METHOD OF DEVELOPMENT
<b>MID-LEVEL COMPETENCY REQUIREMENTS (approximately levels 9 – 11)</b>				
<b>APPLIED UNDERSTANDING OF (translation into practice):</b>				
Legislation, regulations, directives, prescripts related to the dept. to ensure compliance				Self study
Best practices & current innovations within discipline/field of operation – to implement in the dept.				
Departmental policies, procedures & practices - draft & coordinate input for refining & updating				Observation & workstation 1-on-1
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>				
<b>Use:</b>				
<b>MS Word</b> – produce high quality reports without assistance, able to collaborate electronically on editing & amending documents				Workstation 1-on-1 & practice
<b>MS Outlook</b> – use the Task Management facility (task scheduler, to do, etc)				
<b>MS Excel</b> – design dept.-relevant spreadsheets & graphic requirements				
<b>MS PowerPoint</b> – produce (layout, content) high quality presentations for own use or for others				
<b>Electronic Libraries &amp; Internet</b> – access, analyse, interpret, & evaluate job-relevant info.				
<b>Dept.-specific Info. System</b> – perform quality checks on system data,,				
- provide training on system to new employees,				
- provide system generated business info. & system upgrade suggestions				
- produce system reports				
<b>Communicate:</b>				
Present verbal, written, & visual info. at internal & external SAHRC meetings				Observation & workstation 1-on-1
Plan, coordinate & conduct effective & efficient inter-departmental, multi-departmental meetings & provide comprehensive/informative report-back to dept.				
Compile written documents to provide info., instructions &/or plans				Workstation 1-on-1
Compile dept.-relevant forms/requisitions/reports/memos/letters				
<b>Deliver dept.-relevant info:</b>				
Evaluate & correct dept.-level statistical reports				Workstation 1-on-1
Source, analyse, compile & evaluate a wide range of data to produce a project or assignment				
<b>Organise:</b>				
Compile a sub-programme/team year-plan & project plans				Observation, twinning & workstation 1-on-1
Coordinate sub-programme-relevant operational issues, plans & activities required by line manager				
Evaluate team's project progress				
Coordinate team's complex tasks to meet all task requirements & submissions (by deadline, 100% accurate, current & complete, to budget, targets met)				
Identify junior team members skills deficits, knowledge, non-compliance & provide corrective remedies				
Train junior team members in accordance with their PDPs & training requirements				

ANNEXURE C- COMPETENCY CHECKLIST

<b>PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST (cont.)</b>		<b>EVIDENCE</b>	<b>COMPETENT</b>	<b>METHOD OF DEVELOPMENT</b>
<b>MANAGEMENT LEVEL COMPETENCY REQUIREMENTS</b>				
<b>APPLIED UNDERSTANDING OF:</b>				
Strategic planning & the operational delivery requirements to deliver on strategy <sup>21</sup> - meets all requirements				Observation, 1-on-1, twinning & self study
The SA social, economic, environmental & political context within which the SAHRC operates				
Service delivery best practices & innovations in own discipline/field of operation – implemented				
Financial management: meets all planning, budgeting, forecasting, tender procurement, PFMA & relevant Treasury Regulations <sup>22</sup> requirements				
Project management: operational plan targets achieved by deadline, to scope, within budget, SLAs for all contractors in place & managed				
Risk management: all assigned tasks on the Risk Management Plan implemented by deadline				
Performance monitoring, evaluation & reporting: 100% adherence to all requirements				
People management & empowerment: 100% adherence to labour legislation, regulations, policies & procedures				
Honesty & integrity: 100% own adherence to the Code of Conduct & deal with every breach by team members				
Client orientation & customer focus: service delivery programmes & internal work processes to improve customer service designed & implemented				
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>				
<b>Organise:</b>				
Translate strategy into practical operational plans with SMART performance indicators & targets				Observation, 1-on-1, twinning & self study
Evaluate & confirm accuracy, currency & completeness of processes, activities, & reports				
Evaluate & confirm project delivery in relation to deadlines, project specifications & budget				
Manage team to ensure 100% compliance with SAHRC policy, statutory & regulatory requirements				
<b>Communicate:</b>				
Convey accurate knowledge to internal & external bodies/stakeholders, direct them on what is required of them or what will be provided to them (written, verbal & visual)				Observation, 1-on-1, twinning & self study
Compile well-structured complex documents written (drafts, proposals, reports) submitted by deadline & accepted/approved on 1 <sup>st</sup> submission.				
Conduct well structured staff meetings (agenda, minutes, follow-up on action items, clear action items with responsibilities) on a monthly basis				
<b>Mentor &amp; coach:</b>				
Identify & evaluate teams' skills deficits, knowledge, non-compliance				Observation, twinning & self study
Provide corrective remedies to teams' skills & knowledge deficits, non-compliance (+ve change demonstrated)				
Manage change initiatives (produce guidelines, 1-on-1 sessions, workshops)				
Train team members in accordance with their PDPs & training requirements				
<b>Analyse &amp; solve problems:</b>				
Deliver the operational plan to the set standards & by deadline				Observation, twinning & self study
Delivering all agreed tasks				
Meeting all set targets				
<b>Manage the information system &amp; performance reports:</b>				
Data input & calculations – accurate, current & complete				Workstation 1-on-1
System security & confidentiality - all users access levels appropriate for their positions				
Design & use system reports (maintenance & performance reports)				
Reports are 100% accurate, current, complete				

<sup>21</sup> National Treasury - *New Framework for Strategic Plans & Annual Performance Plans (2010), Framework for Managing Programme Performance Info. (2007)*

<sup>22</sup> E.g. Section 38(1)(a)(i) & (b) Section 40(3) (a) of the PFMA, & Treasury Regulation 5.3.1 for Constitutional Institutions.

ANNEXURE C- COMPETENCY CHECKLIST

**PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST (cont.)**

**LEGAL OFFICER COMPETENCIES** (to be used for legal officers after completing the ENTRY LEVEL COMPETENCY REQUIREMENTS & GENERAL COMPETENCY REQUIREMENTS sections above)

	EVIDENCE	COMPETENCE	DEVELOPMENT METHOD
<b>APPLIED UNDERSTANDING OF:</b>			
Mandate, administration & procedures of the SAHRC, the Constitution, public administration, public finance & other enabling legislation			Self study
Protocols in public administration			
Standard operating procedures			
Investigation & interview techniques			Observation, twinning & self study
Reporting procedures			
Research methodology			
Project management			
Conflict resolution & problem-solving techniques – facilitation, negotiation, mediation			
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>			
<b>Use:</b>			
<b>MS Word</b> – produce high quality reports without assistance & able to collaborate electronically on editing & amending documents (20 words per minute, 100% accuracy)			Workstation 1-on-1 & practice
<b>MS Outlook</b> – manage email info. (create & maintain personal folders), use calendar & meeting scheduler, use the Task Management facility (task scheduler, to do, etc)			
<b>MS Excel</b> – design investigations & reporting-relevant spreadsheets & graphs			
<b>MS PowerPoint</b> – produce ( layout & content ) high quality presentations for own use or use by others			
<b>Electronic Libraries &amp; Internet</b> – access, analyse, interpret, & evaluate job-relevant info.			
<b>Flowcentric System</b> – input data (100% accurate, current & complete), access & extract system generated info., produce system-generated statistical reports			
<b>Communicate:</b>			
Present verbal, written, & visual info. at internal progress meetings			Observation & workstation 1-on-1
Plan, coordinate & conduct effective meetings & provide comprehensive/informative report-back to manager			
Compile written documents to provide info., instructions &/or plans			Workstation 1-on-1
Compile investigations & reporting forms/requisitions/reports/memos/letters according to set standards			
<b>Deliver complaint management info:</b>			
Accurately interpret evidence			Observation, twinning & self study
Verify accurately evidence as authentic against given standards			
Source, analyse, compile & evaluate a wide range of data to produce required project or assignment			
Produce reports showing analytical ability, reasoning, objectivity, impartiality & confidentiality			
Conduct appropriate & accurate substantive checks to validate info. through data source analysis			Workstation 1-on-1
Evaluate & correct own system-generated statistical reports			
<b>Organise:</b>			
Compile own year-plan & project plans			Observation, twinning + workstation 1-on-1
Coordinate own operational issues, plans & activities as required by the manager			
Evaluate own progress accurately (realistically as measured against set targets)			
Coordinate own tasks to meet all task requirements & submissions (by deadline, 100% accurate, current & complete)			
Provide practical training to new legal officers on procedural compliance requirements			

ANNEXURE C- COMPETENCY CHECKLIST

**PERSONAL DEVELOPMENT PLANNING – COMPETENCY CHECKLIST (cont.)**

**SENIOR LEGAL OFFICER COMPETENCIES** (to be used for senior legal officers after completing the ENTRY LEVEL COMPETENCY REQUIREMENTS, GENERAL COMPETENCY REQUIREMENTS & LEGAL OFFICER sections above)

	EVIDENCE	COMPETENCE	DEVELOPMENT METHOD
<b>APPLIED UNDERSTANDING OF:</b>			
Constitutional & administrative law & State administration			Self study
The SA social, economic, environmental & political context within which the SAHRC operates			
Strategic planning & the operational delivery requirements to deliver on strategy			Observation, twinning + self study
Best practices & current innovations within the field of investigations & reporting			
Budget management			
Legal interpretation & research			
Parliamentary procedures			
Policy formulation & implementation			
<b>ABLE TO DEMONSTRATE PRACTICAL ABILITY TO:</b>			
<b>Communicate:</b>			
Convey accurate knowledge to internal & external bodies/stakeholders & direct them on what is required of them			Observation, twinning + self study
<b>Organise:</b>			
Deliver projects to deadline, to budget & to meeting the project specifications (100% accurate, current & complete)			Observation, twinning, + workstation 1-on-1
Compile & analyse statistical reports			
<b>Apply advanced proficiency on the case management system in relation to:</b>			
Data input & calculations – accurate, current & complete			Workstation 1-on-1
System security & confidentiality			
<b>Mentor &amp; coach:</b>			
Identify team members skills deficits, knowledge, non-compliance & provide corrective remedies			Observation, twinning & self study
Provide practical, hands-on training to officers in accordance with their development plans			
<b>Evaluate &amp; correctly interpret own &amp; officers' work in relation to:</b>			
The issues under investigation			Observation, twinning & self study
The appropriate investigative methodologies to apply			
Analytical ability, reasoning, objectivity, impartiality & confidentiality in all investigative work			
Appropriateness & accuracy of the substantive checks used to validate info.			
All standard operating procedures			
Reasonableness of own & investigators' reports/submissions			
Data analysis			Workstation 1-on-1 + self study
The structure of the investigation report			

**EXPLANATORY NOTES ON DEVELOPMENT METHODS:**

- Formal Training –** is excluded from the list of development methods. The interventions listed in the COMPETENCY CHECKLIST do not replace SAHRC formal training courses, particularly in the area of **theoretical understanding**. The Development Method described for these is meant to supplement formal training interventions & the self-study would be focused primarily on SAHRC training & other material.
- Self Study –** takes many forms – studying SAHRC policies, procedures, training material, conducting research (internet, electronic info. sources), interviews, etc.
- Observation –** relates to the individual setting specific appointments/times with the Champion in order for the individual to observe the champion executing specific tasks, processes, demonstrating skills in a real-life work situation. The individual is then expected to compile a short report (1 page) on the observational learning.
- Twinning –** the individual is teamed up with a champion as the “junior assistant” on a task or process to undertake some of the task or deliver a part of the process under the guidance of the champion. The champion would compile a short report (1 page) on the competency displayed by the individual after the intervention, or series of interventions.
- Workstation 1-on-1 -** skills & understanding are developed best when using the organisations tools, systems, form, policies & procedures, etc. & where skill or knowledge application is directly relevant to the job & the SAHRC, actual work tools are used. Practicing the skills is easier & skill mastery is swifter than using external generic courses. Ongoing assistance is on hand in the form of the local champion.
- Champions –** are SAHRC employees located in all positions across the SAHRC who have demonstrated excellence in any of the core competencies required by the SAHRC. Champions are identified to assist fellow employees to attain the competencies by providing their time & expertise to demonstrate, coach & mentor their fellow employees in one-on-one sessions as their workstation or in their work area. The responsibility for skill attainment rests with the employee needing to develop the competency, not with the champion. Champions may be rewarded for their contributions to employee development in terms of the SAHRC INCENTIVE SCHEME.

ANNEXURE D

SAHRC

SAMPLE – WORKPLAN (Payroll Practitioner post)

Business Unit: CDS – HR								
Key Results Area 1: Payroll Management (45%)								
Key Activities	Indicator	Evidence	Activities Per Quarter				Resource Requirements	
			Qtr 1	Qtr 2	Qtr 3	Qtr 4	Budget	HR
1.1. Ensure that the reconciliations at tax year end are accurately done	<ul style="list-style-type: none"> <li>Accurate tax year-end reconciliation completed and submitted within the prescribed period.</li> </ul>	<ul style="list-style-type: none"> <li>Mid-term Recon Report</li> <li>Year-end Recon Report</li> <li>Proof of submission report</li> </ul>						
1.2. Generate and accurately perform all employees' IRP5's and EMP 201's annually	<ul style="list-style-type: none"> <li>IRP5's and EMP 201 accurately generated by</li> </ul>	<ul style="list-style-type: none"> <li>IRP5 Report</li> <li>EMP 201 Report</li> </ul>						
1.3. Structure all management and employee salary packages in line with adjustments and as and when required	<ul style="list-style-type: none"> <li>Structured salary packages</li> </ul>	<ul style="list-style-type: none"> <li>Report on number of structured salary packages</li> </ul>						
1.4. Implement all salary adjustments accurately	<ul style="list-style-type: none"> <li>Accurately implemented salary adjustments within 1 months from the date of approval of the adjustments.</li> </ul>	<ul style="list-style-type: none"> <li>Report on salary adjustments</li> </ul>						
1.5. Assist the Finance Manager in the compilation of personnel budgets when required	<ul style="list-style-type: none"> <li>Personnel budget inputs made to Finance within the prescribed timelines</li> </ul>	<ul style="list-style-type: none"> <li>Report on personnel budget submitted to Finance</li> </ul>						



ANNEXURE C- COMPETENCY CHECKLIST

**SAHRC**  
**SAMPLE – WORKPLAN** (*Payroll Practitioner post*)

Business Unit: CDS - HR								
Key Results Area 2: Payroll Administration (45%)								
Key Activities	Indicator	Evidence	Activities Per Quarter				Resource Requirements	
			Qtr 1	Qtr 2	Qtr 3	Qtr 4	Budget	HR
2.1. Ensure that payslips are made available on time by the 23 <sup>rd</sup> of each month	<ul style="list-style-type: none"> <li>Accessible payslips by the 23<sup>rd</sup> of each month.</li> </ul>	<ul style="list-style-type: none"> <li>System Generated report confirming posting of payslips on ESS</li> </ul>						
2.2. Ensure that all third party payment are effected on or before the 7 <sup>th</sup> day of each month.	<ul style="list-style-type: none"> <li>Third Party payments effected on or before the 7<sup>th</sup> day of each month.</li> </ul>	<ul style="list-style-type: none"> <li>Proof of Third Party payments with dates.</li> </ul>						
2.3. Ensure that garnishing payments are timely and accurately effected.	<ul style="list-style-type: none"> <li>Accurate garnishing payments effected on or before the 7<sup>th</sup> of each month.</li> </ul>	<ul style="list-style-type: none"> <li>Schedule of payments made with dates.</li> </ul>						
2.4. Timely and accurately implement changes in taxation legislation.	<ul style="list-style-type: none"> <li>Implemented changes in taxation legislation.</li> </ul>	<ul style="list-style-type: none"> <li>Report on salary adjustments</li> </ul>						
2.5. Prepare payroll journals and ensure that these are captured in the general ledger.	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Report on personnel budget submitted to Finance</li> </ul>						

## ANNEXURE E: GENERIC ASSESSMENT FACTORS

### GUIDE TO THE 15 GENERIC ASSESSMENT FACTORS FOR ASSESSING PERFORMANCE OF EMPLOYEES

#### 1 JOB KNOWLEDGE

- Rating 1      Unsatisfactory Performance**  
Demonstrates a lack knowledge of relevant policies and practices. Experiences great difficulty in learning. Little value placed on keeping abreast of new work related developments.
- Rating 2      Performance needs to improve**  
Demonstrates little knowledge of aspects of work-related policies and practices. Experiences some difficulty in acquiring/learning. Places little value in keeping abreast of new work related developments.
- Rating 3      Competent**  
Demonstrates knowledge of policies and practices well. Experiences very little difficulty in acquiring/learning knowledge/information. Keeps abreast of work related developments.
- Rating 4      Good Performance**  
Demonstrates sound knowledge of all facets of work-related policies and practices. Eagerly keeps abreast of work related and public service wide developments.
- Rating 5      Excellent Performance**  
Demonstrates outstanding breadth of knowledge on a wide spectrum of related work areas and public service issues.
- 

#### 2 TECHNICAL SKILLS

- Rating 1      Unsatisfactory Performance**  
Fails to show willingness or ability to apply technical/professional knowledge and skills. Abnormal amount of supervision is required. Performance of workgroup/component is being adversely affected.
- Rating 2      Performance needs to improve**  
Requires close supervision and constant guidance in order to properly apply technical/professional knowledge and skills to task in hand.
- Rating 3      Competent**  
Demonstrates ability to apply technical/professional knowledge and skills to immediate work situation. Normal level of supervision and guidance necessary.
- Rating 4      Good Performance**  
Shows above average technical/professional knowledge and skills in immediate work area and wider work environment. Little guidance/ counseling required.
- Rating 5      Excellent Performance**  
Consistently demonstrates exceptional technical/professional knowledge and skills in connection with immediate work areas and those of wider work environment. Normally no counselling or guidance necessary.
- 

#### 3 ACCEPTANCE OF RESPONSIBILITY

- Rating 1      Unsatisfactory Performance**  
Declines all responsibility for own areas of work and that of subordinates, seriously impairing the work of workgroup/ component. Requires abnormal amount of supervision/instruction.
- Rating 2      Performance needs to improve**  
Either needs assistance in the form of training/counseling, or cannot cope with the full range of responsibilities involved in the job, even though some training and/or counseling has been provided. Still room for improvement.

## ANNEXURE E- GENERIC ASSESSMENT FACTORS

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- Rating 3      Competent**  
Constantly accepts responsibility in a competent manner for own areas of work and those of subordinates. Can be relied upon to accept responsibility in respect of other employees in their absence when requested to do so. Normal level of supervision and counselling required.
- Rating 4      Good Performance**  
Occasionally exceeds normal expectations, accepts responsibility very competently for own areas of work, those of subordinates and of other employees in their absence. Only minimal guidance or counseling required.
- Rating 5      Excellent Performance**  
Often exceeds all normal expectations and accepts responsibility very competently for own areas of work, those of subordinates and other employees in their absence. Conduct may only be described as exceptional, the employee displaying outstanding qualities far exceeding the requirements of the job. Normally no guidance or counseling required.
- 

### 4 QUALITY OF WORK

- Rating 1      Unsatisfactory Performance**  
Unwilling or unable to accomplish routine tasks. Requires abnormal level of supervision and instruction. Work of workgroup/component is being adversely affected.
- Rating 2      Performance needs to improve**  
Needs assistance to fulfill important or key tasks. Work not completed on time or at required level of competency. Individual targets not always met.
- Rating 3      Competent**  
Accomplished most of key tasks most of the time in a competent and acceptable way. Requires normal level of supervision and guidance.
- Rating 4      Good Performance**  
Work attests to high level of commitment and technical competence. Minimal supervision or guidance required.
- Rating 5      Excellent Performance**  
Constantly produces exceptional work, accomplishing all key tasks with high level of accuracy. Normally no guidance/counseling required.
- 

### 5 RELIABILITY

- Rating 1      Unsatisfactory Performance**  
Fails to execute functions as instructed and within agreed upon time frames.
- Rating 2      Performance needs to improve**  
Needs to be reminded of responsibilities continually. Usually make excuses.
- Rating 3      Competent**  
Seldom needs to enquire about progress of a task. Shows commitment to work.
- Rating 4      Good Performance**  
Takes on additional work eagerly and can be trusted to deliver.
- Rating 5      Excellent Performance**  
Far exceed normal expectations. Handles greater responsibility independently
- 

### 6 INITIATIVE

- Rating 1      Unsatisfactory Performance**  
Demonstrates little or no creativity at work, seeking out repetitive or routine work.

## ANNEXURE E- GENERIC ASSESSMENT FACTORS

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Consequently requires abnormal amount of supervision and instruction. Lack of creativity is detrimental to the workgroup/component.

- Rating 2**      **Performance needs to improve**  
Performance of routine work satisfactory. Occasionally shows creativity, but not at expected level.
- Rating 3**      **Competent**  
Works out own programmes/approaches to overcome problems and competently performs to expectations where general principles are not adequate to determine procedure or decisions to be taken. Requires normal level of supervision and counselling.
- Rating 4**      **Good Performance**  
Produces high level creative work, even in absence of guiding principles and precedents. Only limited guidance or counseling required.
- Rating 5**      **Excellent Performance**  
Constantly shows a high level of creativity. Always volunteers for additional responsibilities. Normally no guidance or counseling necessary.

### 7 COMMUNICATION

- Rating 1**      **Unsatisfactory Performance**  
Demonstrates a lack of being able to express facts and ideas clearly and logically both orally and in writing. Considerable time spent on guidance and editing of work.
- Rating 2**      **Performance needs to improve**  
Demonstrates some ability to express facts and ideas orally or in writing in a clear and logical manner. Often requires guidance and editing.
- Rating 3**      **Competent**  
Expresses facts and ideas orally or in writing in a clear and logical manner. Needs normal guidance and editing.
- Rating 4**      **Good Performance**  
Above average ability in expressing facts and ideas clearly and logically both orally and in writing. Needs minimal guidance and editing.
- Rating 5**      **Excellent Performance**  
Demonstrates an exceptional ability to express facts and ideas clearly and logically both orally and in writing. Requires virtually no guidance and editing.

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### 8 INTERPERSONAL RELATIONSHIPS

- Rating 1**      **Unsatisfactory Performance**  
Demonstrates the need for persistent mediation and intervention when interacting with others. Shows lack of co-operation, consideration and respect to other employees/clients. Is impolite and inconsiderate.
- Rating 2**      **Performance needs to improve**  
Demonstrates the need for more than normal mediation and intervention when interacting with others. Gives little co-operation to others and consideration for ideas when not selfinitiated.
- Rating 3**      **Competent**  
Co-operates well with supervisors, colleagues and those supervised. Is polite and respectful of others. Demonstrates a sound and healthy attitude when interacting with others.
- Rating 4**      **Good Performance**  
Is a sought after team member. Listens well and is able to mobilise others to achieve organisational goals. Demonstrates a sound and healthy attitude when interacting with others.
- Rating 5**      **Excellent Performance**

## ANNEXURE E- GENERIC ASSESSMENT FACTORS

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Demonstrates an exceptionally sound and healthy attitude when interacting with others. Able to get the co-operation of others under difficult circumstances.

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### 9 FLEXIBILITY

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

### 10 TEAM WORK

- Rating 1      Unsatisfactory Performance**  
Unwilling or unable to co-operate with others. Demonstrates lack of commitment and negates teamwork. Work of team adversely affected.
- Rating 2      Performance needs to improve**  
Able to demonstrate a level of co-operation with immediate colleagues but needs assistance in communicating and influencing others.
- Rating 3      Competent**  
Acceptable and gets on well with colleagues. Able to influence and communicate well as part of a team. Works to achieve team objectives. Requires normal level of supervision and guidance.
- Rating 4      Good Performance**  
Good influencing and communication skills, is able to produce better than expected results for team. Requires minimal guidance or counseling.
- Rating 5      Excellent Performance**  
Demonstrates exceptional abilities working as member of a team. High level of cooperation communication skills and ability to influence and motivate others to achieve targets. Coaches other team members to better results. Little or no guidance ever required.

### 11 PLANNING AND EXECUTION

- Rating 1      Unsatisfactory Performance**  
Generally inadequate which results in fruitless expenditure in terms of energy, time, human resources, equipment and finances. Lacks ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans weak.
- Rating 2      Performance needs to improve**  
Some aspects of work result in fruitless expenditure. Very little contingency arrangements. Shows little ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans weak.
- Rating 3      Competent**  
Demonstrates ability effectively and efficiently. Demonstrates the ability to scope length and difficulty of project. Clear breakdown of the process steps. Well thought out workplans.

- Rating 4      Good Performance**  
Demonstrates ability to consistently be effective and efficient, and considers relevant information critically and thoroughly. Demonstrates the ability to scope length and difficulty of project well. Well thought out process steps. Well thought out work plans.
- Rating 5      Excellent Performance**  
Demonstrates an exceptional ability to scope length and difficulty of projects. Clear sequencing of events/activities/process steps. Work-plans exceptionally well thought through and expressed. Achieves results on time and with required quality.

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**12 LEADERSHIP**

- Rating 1      Unsatisfactory Performance**  
Makes no attempt to motivate or control subordinates. Lack of leadership is having detrimental effects on the workgroup/component.
- Rating 2      Performance needs to improve**  
Motivation and control of subordinates is deficient and there is room for improvement and personal development
- Rating 3      Competent**  
Demonstrates leadership qualities through motivation and control of subordinates. Workgroup/component produces good standard of work in terms of quality and quantity.
- Rating 4      Good Performance**  
Demonstrates leadership qualities of above normal acceptable level. Workgroup produces good to superior standard of work in terms of quality, quantity and timeliness.
- Rating 5      Excellent Performance**  
Constantly maintains very high standards and manages to overcome problems of motivation and control with minimum guidance or counseling from above. Quality, quantity and timeliness of workgroup/ component of excellent order.

**13 DELEGATION AND EMPOWERMENT**

- Rating 1      Unsatisfactory performance**  
Demonstrates an inability to assign tasks/functions to develop employees. Fails to make instructions clear. Fails to communicate expectations. Impedes applicable and appropriate initiatives and the creativity of employees without valid reason.
- Rating 2      Performance needs to improve**  
Seldom assigns tasks/functions to develop employees. Seldom takes time to make instructions/tasks clear. Fails to communicate expectations. Often impedes applicable and appropriate initiatives and the creativity of employees without valid reason.
- Rating 3      Competent**  
Experiences very few problems in assigning tasks/function responsibly. Shows the ability to trust the ability of others and to develop their potential.
- Rating 4      Good Performance**  
Provides clear understanding of responsibility and authority when delegating. Intelligently assigns tasks/functions to develop employees and provides the necessary guidance and support.
- Rating 5      Excellent Performance**  
Provides clear understanding of responsibility and authority when delegating. Assigns appropriate tasks/functions to employees and provides the necessary guidance and support. Fully utilizes and develops human capital by providing adequate training and development opportunities.

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**14 MANAGEMENT OF FINANCIAL RESOURCES**

- Rating 1      Unsatisfactory Performance**  
Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.
- Rating 2      Performance needs to improve**  
Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area. Shows some ability to budget and to control expenditure, but not in full control of either.
- Rating 3      Competent**  
Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good budget control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates.
- Rating 4      Good Performance**  
Shows good organising abilities and can cope well with occasional large increases in staff or other resources, defines objectives, anticipates problems and has good budget control with little or no supervision or counseling. Effective time management skills in all familiar work areas and most unusual ones. Usually achieves objectives by encouraging and demonstrating enthusiasm to subordinate staff. Delegates using staff potential and coaches and trusts staff.
- Rating 5      Excellent Performance**  
Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent budget control. Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them.

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## 15 MANAGEMENT OF HUMAN RESOURCES

- Rating 1      Unsatisfactory Performance**  
Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.
- Rating 2      Performance needs to improve**  
Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area.
- Rating 3      Competent**  
Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates.
- Rating 4      Good Performance**  
Shows good organising abilities and can cope well with occasional large increases in staff or other resources, defines objectives, anticipates problems and has good budget control with little or no supervision or counseling. Effective time management skills in all familiar work areas and most unusual ones. Usually achieves objectives by encouraging and demonstrating enthusiasm to subordinate staff. Delegates using staff potential and coaches and trusts staff.
- Rating 5      Excellent Performance**  
Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent control.

## ANNEXURE E- GENERIC ASSESSMENT FACTORS

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Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them.



**ANNEXURE F**

<b>COUNSELLING REPORT FORM (Page 1 of 2)</b>	
Programme/Sub Programme:	Date:
Employee :	Manager:

**Counselling record ~ FIRST INTERVIEW**

<b>1. Manager to explain what the unacceptable performance is:</b>
<b>2. Employee to be given opportunity to explain his/her poor performance:</b>
<b>3. Manager to state exactly what standard of performance is required:</b>

**COUNSELLING REPORT FORM (Page 2 of 2)**

**4. Manager must offer assistance & guidance in formulating action plan:**


**5. Action Plan to commit:** I, \_\_\_\_\_ hereby commit myself to the following:


**6. Follow-up date to check the implementation of Action Plan:**

Signature of Employee:	Date :
Signature of Representative: (If required by Employee)	Date :
Signature of Manager:	Date :

<b>COUNSELLING REPORT FORM</b> (Page 1 of 1)	
Business Unit/Region:	Date:
Employee :	Manager:

**Counselling Record ~ FOLLOW-UP INTERVIEW (One report form per follow-up interview)**

<b>1. Manager's findings:</b>	
<b>2. Employee's comments:</b>	
Signature of employee:	Date :
Signature of Representative: (If required by Employee)	Date :
Signature of Manager:	Date :

<b>COUNSELLING REPORT FORM (page 1 of 2)</b>	
Business Unit/Region:	Date:
Employee :	Manager:

**Counselling record ~ FINAL INTERVIEW**

<b>1. Manager to explain the nature of the continued poor performance:</b>
<b>2. Employee to be given opportunity to explain his/her continued poor performance:</b>
<b>3. Manager to state exactly what standard of performance is required, by when:</b>

<b>COUNSELLING REPORT FORM (page 2 of 2)</b>	
<b>4. Manager to explain consequences of failure to perform as per item 3 above:</b>	
<b>5. Action Plan to commit: I, _____ hereby commit myself to the following:</b>	
Signature of Employee:	Date :
Signature of Representative: (If required by Employee)	Date :
Signature of Manager:	Date :

<b>COUNSELLING REPORT FORM</b>	
Business Unit/Region:	Date:
Employee :	Manager:

**Counselling record ~ SATISFACTORY CLOSE-OUT REPORT**

<b>1. Manager to explain the extent of positive performance:</b>
<b>2. Employee to be given opportunity to respond to the Manager’s statement:</b>
<b>3. Manager to state exactly what standard of required performance is to be retained:</b>

<b>4. Manager to explain consequences of failure to perform as per item 3 above:</b>	
<b>5. Employee's response:</b>	
Signature of Employee:	Date :
Signature of Representative: (If required by Employee)	Date :
Signature of Manager:	Date :