

OFFICE OF THE PREMIER



PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM POLICY

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Annexures

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Definitions

The number of terms are used throughout this policy as well as in the assessment instruments which are defined as follows:

Assessment Form: A single performance assessment tool that is used to assess the performance of an individual employee in relation to the achievement of key result areas (KRAs), generic assessment factors (GAFs), as stated in the work plan of the performance agreement.

Clients: People internal or external to the department with whom employees interact to provide a service.

Competence: The blend of knowledge, skills, behavior and attributes that an employee can apply in the work environment, which indicates an employee's ability to meet requirements of a specific post.

Office: Office of the Premier

Development: Training and development measures to enhance the employee's competencies and to improve performance. It forms an integral part of the Performance Management and Development System (PMDS).

Disagreement: Where an employee does not concur with a decision taken regarding her or his performance, or with a procedure followed, and has made this known to the supervisor in an attempt to have the disagreement resolved by procedures that are contained within the PMS content framework.

Dispute: A disagreement that an employee has elected to resolve in terms of applicable legislation and collective agreements (i.e. the 'formal' dispute resolution procedure).

Employee: An employee employed by the Office of the Premier.

Newly appointed Employee: An employee that is a first-time appointment in Government. Such employees are from the Private Sector, Municipalities or Public Entities.

Feedback: The process through which a supervisor provides an employee with information regarding the level and quality of the work performed by the employee relative to the employee's performance agreement.

Generic Assessment Factor [GAF]: A behavioral indicator demonstrated by an employee that is directly related to effective performance in a job.

Key Result Area (KRA): An area of a job that is critical in terms of making an effective contribution to the achievement of departmental strategies and goals.

Output: A concrete achievement (i.e, product or service) that contributes to the achievement of a key result area.

Performance agreement: A document agreed upon and signed by an employee and her or his supervisor, which reflects the key results area and the outputs expected of the employee, the performance measurements that will apply and measures to assess performance. Also included is an employee's personal development plan (PDP).

Performance assessment: This is the formal performance review of an employee that takes place in a semester and annually. The annual score/ rating of the employee assessment will determine the outcome of the assessment.

Performance cycle: A 12-month period for which performance is planned, executed and assessed. It must be aligned to the same period as the Office's annual performance plan i.e. 1st April to 31st March of the following year.

Performance measures/standards: Mutually agreed criteria to describe how well work must be done. These are used to clarify the key outputs of a job by describing what "doing well" means. It may includes quality, quantity and time criteria. Mutually agreed criteria describing the level of performance that warrants a score of 3.00, indicating compliance to expectations.

Personal development: Activities aimed at developing the knowledge, skills and attributes of an employee that are agreed to be necessary to achieve the outputs of the job.

Personal development plan: A requirement of the performance agreement whereby the important competency development needs of the employee are documented, together with the means by which these needs are to be satisfied and which includes time lines and accountabilities.

Rating: The allocation of a score to a key result area or a generic assessment factor to overall performance in accordance with the prescribed rating scale.

Recognition: Reinforcing of outstanding performance through financial and/or non-financial rewards.

Performance rewards table: Depicts the score intervals with the associated action and recognition attached to that specific interval.

Standards: Mutually agreed criteria describing the level of performance that warrants a score of 3.00, indicating compliance to expectations.

Supervisor: Manager responsible for the review and assessment of an employee. This includes the allocation of work, monitoring activities, discussing performance and development progress.

Targets: It may be included as part of the performance measures; achievement of which, as per agreement, may contribute to be considered as an exceeding the expectations score.

Work plan: A document which is part of the performance agreement and which contains key result areas (KRAs), associated KRA outputs and their indicators and measures, as well as GAFs and their generic standards, indicators and measures.

1. Introduction

1.1 The rationale behind the vision of the Office of the Premier is to give effective and effective provincial administration based on sound and sustained employee performance. This policy seeks to ensure that individual employee performance is aligned with the Office strategic plan, annual performance plan and operation plans through performance agreements. It also seeks to establish a standard practice to regulate employee performance and prompt management of employee under-performance. The need to provide quality service through a competent and performing work force requires a structured approach to ensure the continuous improved services to clients. This policy provides guidance in performance contracting, performance assessment and rewarding of employee performance in the Office of the Premier.

2. PURPOSE

2.1 The main purpose of this policy is to regulate and guide the management of employee performance in the Office by:

- 2.1.1 Aligning the organizational performance with the strategic plan;
- 2.1.2 Linking the individual performance with the annual performance plan;
- 2.1.3 Providing guidance in the management of employee under performance;
- 2.1.4 Providing guidance in the reward and recognition of outstanding performance;
- 2.1.5 Creating a culture of sustained outstanding performance by employees;
- 2.1.6 Encouraging firm and constructive management of employee performance through constant communication between the employer and the employee;
- 2.1.7 Promotion of healthy working relations between the employer and the employee;
- 2.1.8 Ensuring standard practice in the management of employee performance.

3. REGULATORY FRAMEWORK

This policy is regulated by the following:

- 3.1 Public Service Act, 1994 as amended;
- 3.2 Public Service Regulations, 2016 as amended;
- 3.3 Labour Relations Act, 1995 as amended;
- 3.4 Employment Equity Act, 1998 as amended;
- 3.5 Skills Development Act, 1998 as amended;
- 3.6 Public Finance Management Act, 1999 as amended;
- 3.7 Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997), as amended;
- 3.8 All Relevant Public Service Coordinating Bargaining Council Resolutions;
- 3.9 Department of Public Service and Administration Policy Frameworks;
- 3.10 Department of Public Service and Administration Directives and Determinations;

4. SCOPE OF APPLICATION

- 4.1 This policy applies to all employees on salary level 2-12 in the Office of the Premier both permanent and fixed term including those on probation. It however excludes members of senior management service whose management of performance is regulated by the Senior Management Service Handbook.

5. POLICY PRINCIPLES

The following are the principles underpinning this policy:

- 5.1 Performance Management and Development System shall be developmental in orientation and not punitive;
- 5.2 It shall serve as a basis to identify employee skills gaps and appropriate intervention measures;
- 5.3 Employee performance shall be managed in a fair, transparent and objective

manner;

- 5.4 Management of employee performance shall take into consideration training and development needs, employee health and wellness needs and employee relations needs;
- 5.5 Constant communication between the employee and the supervisor shall underpin the management of employee performance;
- 5.6 Performance agreements shall be informed by the strategic plan and annual performance plan.

6. THE ROLES AND RESPONSIBILITIES

6.1 THE EMPLOYEE SHALL:

- 6.1.1 In consultation with the supervisor, draft a performance agreement for the relevant performance cycle;
- 6.1.2 Following a discussion with the supervisor, enter into and sign a performance agreement for the relevant performance cycle with a Personal Development Plan, where required;
- 6.1.3 Execute functions and deliver on the outputs linked to the key result areas in the performance agreement;
- 6.1.4 Provide the supervisor with continuous feedback whether formal or informal on the work performed;
- 6.1.5 Conduct self-assessment guided by this policy and submit the formal assessment report to the supervisor;
- 6.1.6 Be held accountable for the non-submission of formal assessment report to the supervisor which may subject to reasons advanced, lead to exclusion from the associated benefits thereof and disciplinary action;
- 6.1.7 Be available for formal assessment with the supervisor every six months, agree on the performance scores and sign the assessment forms upon the completion;

- 6.1.8 Avail himself/ herself and partake in interventions measures identified to remedy under performance, be it through training or employee health and wellness programmes;
- 6.1.9 Follow the prescribed process in the event of performance disputes.

6.2 THE SUPERVISOR SHALL:

- 6.2.1 Provide the employees with the necessary resources and working tools to carry out their responsibilities;
- 6.2.2 In consultation with the employee, draft a performance agreement for the relevant performance cycle;
- 6.2.3 Following a discussion with the employee, enter into and sign a performance agreement for the relevant performance cycle with a Personal Development Plan, where required;
- 6.2.4 Ensures that the employee's performance agreement is linked to the annual performance plan;
- 6.2.5 Communicate the performance assessment process to employees prior to the commencement of the performance assessment cycle;
- 6.2.6 Provide the employee with continuous feedback whether formal or informal on the work performed;
- 6.2.7 Be available for formal assessment with the employee every six months, agree on the performance scores and sign the assessment forms upon the completion;
- 6.2.8 Identify intervention measures to address performance gaps;
- 6.2.9 Take disciplinary steps against any form of non-compliance to the policy and in the event of under-performance due to delinquency;
- 6.2.10 Present the employee assessment at the Directorate Management meeting prior to the sitting of the Moderation Committee;
- 6.2.11 Submit the original performance agreement and assessment forms to Human Resources Management;

6.3 THE HEAD OF THE COMPONENT SHALL:

- 6.3.1 Ensures that the employees are provided with the necessary resources and working tools to carry out their responsibilities;
- 6.3.2 Ensures that all the employees in the Component sign performance agreements and assessments for the relevant performance cycle;
- 6.3.3 Monitor performance of the employees within the Component through regular reporting and the availability of portfolio of evidence for the work performed;
- 6.3.4 With the exclusion of officials appointed as Secretaries and Personal Assistants to the Head of the Component, resolve performance disputes between supervisors and employees assisted by Human Resources Management where necessary;
- 6.3.5 Prior to the sitting of the Moderating Committee, escalate the performance disputes between supervisors and employees to the next level in the event such remains unresolved following attempts provided in paragraph 6.3.4.
- 6.3.6 Present the employee assessment at the Moderating Committee failing which subject to reasons advanced may lead to disciplinary action;
- 6.3.7 Provide the employee/Supervisor with the feedback following the sitting of the Moderating Committee.

6.4 THE CHIEF DIRECTORS/DIRECTORS SHALL:

- 6.4.1 Prepare and produce the operational plan aligned to the annual performance plan and share it with the employees;
- 6.4.2 Ensures that performance agreements of the employees are linked to the annual performance plan;
- 6.4.3 Set performance standards for components in line with the performance agreement guidelines;
- 6.4.4 Evaluate all assessments of the employees in the Chief/Directorate

and sign-off the summary sheet prior to the submission to the appropriate Moderating Committee;

6.4.5 Attend appropriate Moderating Committee, present and account for the assessments of the Chief/ Directorate.

6.5 THE DIRECTOR-GENERAL SHALL:

6.5.1 Set Strategic goals and objectives for the Office;

6.5.2 Ensures the development of the strategic plan and annual performance plan of the Office;

6.5.3 Determine a system of performance management and development for employees on salary levels 2-12 in the Office;

6.5.4 Ensures total commitment of managers by way of full compliance with the performance management and development policy;

6.5.5 Ensures that managers takes accountability for management of employee performance in the Office;

6.5.6 Designate formal half yearly and yearly assessment dates for all employees in the Office;

6.5.7 Approve payment of performance incentives for employees on salary level 2-12.

6.6 THE HUMAN RESOURCES MANAGEMENT DIRECTORATE SHALL:

6.6.1 Draft the Performance Management and Development policy for approval by the Director- General;

6.6.2 Provide guidance, support and advice on implementation of the Performance Management and Development policy;

6.6.3 Arrange and facilitate workshops for employees on Performance Management and Development Policy

6.6.4 Co-ordinate the development and submission of performance agreements and

assessments;

- 6.6.5 File the employee performance agreements and assessments in the personnel files;
- 6.6.6 Verify the performance assessments including scores prior to the submission to the Moderating Committees;
- 6.6.7 Convene the Moderation Committees and provide secretariat as well as advisory services;
- 6.6.8 Convene the Quality Assurance Committees upon receiving of performance agreements or assessments and provide secretariat as well as advisory services;
- 6.6.9 The HRM component must ensure that each employee receives written feedback within five
(5) working days after the assessment process has been concluded (approval was granted), before processing any incentive on the PERSAL System;
- 6.6.10 Provide advice in the resolution of performance disputes;
- 6.6.11 In consultation with Finance, ensures the availability of budget for monetary performance incentives and training of employees;
- 6.6.12 Ensures that payments of pay progression are within budgetary provisions of 1.5% for pay progression;
- 6.6.13 Following the approval, process the payment of performance incentives;
- 6.6.14 Coordinate the submission and consolidate the employee Personal Development Plans for purposes of developing the Workplace Skills Plan;
- 6.6.15 Coordinate the attendance of training to address the skills gaps identified to either remedy under-performance or for further development of the employees;
- 6.6.16 Coordinate the attendance of employee health and wellness to address performance gaps identified;
- 6.6.17 Consolidate submission of performance agreements and assessments and prepare reports for management consumption.

6.7 QUALITY ASSURANCE COMMITTEE

6.7.1 The Quality Assurance Committee shall be constituted by the following:

- 6.7.1.1 Chairperson, an official at salary level 12 within each Chief/ Directorate;
- 6.7.1.2 Members and Presenters, officials at salary level 7 -12 within each Chief/ Directorate;
- 6.7.1.3 Officials whose performance assessments are being presented for quality assurance purposes shall be excused from the session and only return upon the completion of such;
- 6.7.1.4 Human Resources Management, secretariat and advisory services;
- 6.7.1.5 Employment Equity Representatives, observatory status;
- 6.7.1.6 The chairperson plus four members shall form a quorum and the absence of Employment Equity Representative shall have no bearing on the continuity of the session;
- 6.7.1.7 The Quality Assurance Committee shall:
- 6.7.1.8 Conduct quality check on the performance agreements and performance assessments to ensure full compliance with the Performance Management and Development policy;
- 6.7.1.9 In the event of non-compliance, make referrals for corrections by the Directorates prior to the submission to the Moderation Committees;
- 6.7.1.10 Provide a report on the quality assured assessments to the Moderation Committees for noting.

7.7 MODERATION COMMITTEES

7.7.1 The Branch Moderating Committees shall convene annually levels and constituted as follows:

- 7.7.1.1 The Deputy Director-General of the Branch, Chairperson;

- 7.7.1.2 The Directors and Chief Directors of that branch are members and presenters;
- 7.7.1.3 A Delegate from Finance and Strategic Management Services Directorate;
- 7.7.1.4 Employment Equity representative;
- 7.7.1.5 Human Resources Management, to provide secretariat and advisory services at all levels.

7.8 THE BRANCH MODERATING COMMITTEE SHALL:

- 7.8.1 Ensures objectivity, fairness, consistency and equity in the application of the management of employee performance;
- 7.8.2 Consider only performance assessments passed by the Quality Assurance Committee;
- 7.8.3 Verifies and assert that employees nominated for performance incentives do qualify;
- 7.8.4 Ratings agreed to between the supervisor and employee may be amended by the BMCs where they do not agree with such ratings based on the evidence/ motivation provided.
- 7.8.5 Consider the assessment report once following which take a resolution;
- 7.8.6 In the event the BMC deems it necessary to have some facts verified or clarified, the chairperson thereof will invite the direct supervisor/manager of the employee whose assessment case is in question.
- 7.8.7 No assessment will be referred back to the supervisor/ employee for additional motivation/ evidence. It remains the responsibility of the employee and supervisor to ensure that all evidence/ motivation are submitted for moderation.
- 7.8.8 It is the responsibility of the supervisor to provide feedback to the employee of amendments made to the rating by the BMC. Feedback must be provided on the attached Annexure I within 5 working days from the BMCs sitting. This assessment must be returned to the PMDS office.

- 7.8.9 Determines the percentages for the merit awards based on the availability of funds and the limitations imposed by the Department of Public Service and Administration;
- 7.8.10 Amend ratings between the supervisor and employee based on the evidence/ motivation provided. Any amendments made to ratings must be communicated back to the employee;
- 7.8.11 Ratings, as agreed to by the Branch Moderating Committee, will be forwarded to the Departmental Moderating Committee for consideration, review and/or approval;
- 7.8.12 Identify deviations or discrepancies and deal with it in a just, fair, and consistent manner; (m) Recommend reward levels and remedial action for different types of performance Outcomes;
- 7.8.13 Determines the percentages for the merit awards based on the availability of funds and the limitations imposed by the Department of Public Service and Administration;
- 7.8.14 Recommend exclusion from the cycle and none payment of the associated benefits thereof, if employees fail to submit the assessment report when so required;
- 7.8.15 Detection of potential problems in the PMDS system and advising the Delegated authority accordingly;

7.9 THE DEPARTMENTAL MODERATING COMMITTEE SHALL:

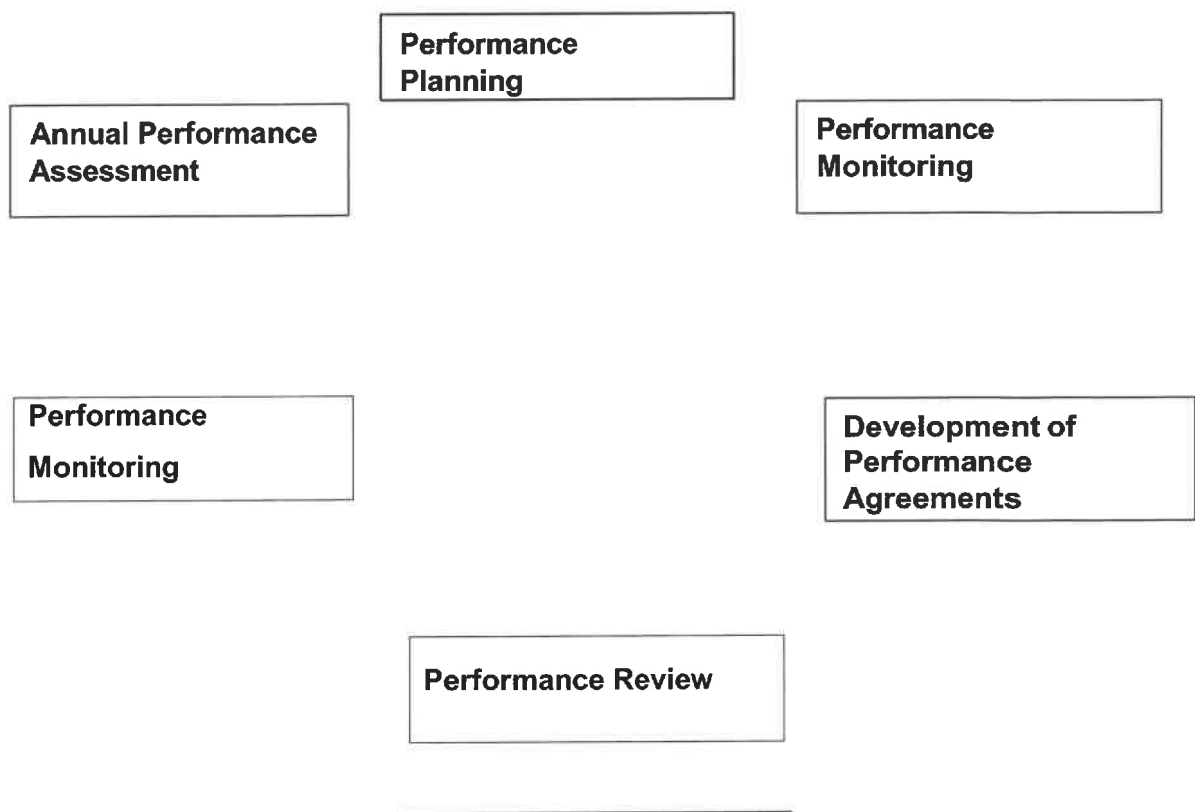
- 7.9.1 Provision of oversight of the application of the PMDS policies, ensuring that the process, including the setting of performance standards is valid, consistent, fair and objective;
- 7.9.2 Monitor the performance assessment process by obtaining an overall sense of whether norms and standards are being applied consistently and realistically to employees on the same level and across the Office;
- 7.9.3 The Departmental Moderating Committee should not assess each individual case for purposes of evaluating ratings, but should develop

an overall view of the results of the assessment process;

- 7.9.4 Approves and reviews the overall assessment scores across the programmes in the Office and recommendations of Branch Moderating Committee;
- 7.9.5 Ensure that the recommended are within the budget and that the Department does not overspend on the budget;
- 7.9.6 Through Human Resources Management, submits assessment results for approval by the Director-General including minutes of the committee meetings;
- 7.9.7 The Departmental Moderating Committee must keep detailed minutes and records of decisions.
- 7.9.8 Keep detailed minutes and records of decisions, in particular, if it recommends either increasing or decreasing rating scores;
- 7.9.9 Recommend actions to be considered where managers and supervisors do not properly and fairly execute their responsibilities with regard to contracting, provision of performance feedback, mid-year reviews, annual assessment and ratings in terms of the policy;

8 STEPS IN THE PERFORMANCE MANAGEMENT PROCESS

- 8.1 The performance cycle is a twelve months period for which performance is planned, executed and assessed. The cycle commences from 1st April of each year to 31st March of the following year and it is linked to the financial year. The probation cycle is also a twelve months period linked to the appointment date of the employee. There are six steps in the performance management process as illustrated by the diagram and each step is explained below:



8.2 PERFORMANCE PLANNING

8.2.1 The tasks to be performed during the performance cycle are identified through strategic planning session followed by the development of the annual performance plan. The operational plan will be informed by the annual performance plan and it sets the tone in terms of the role clarification, performance standard and performance outputs for the Chief/ Directorates.

8.3 THE PERFORMANCE AGREEMENT

8.3.1 Employees in consultation with the supervisors enter into and sign performance agreements informed by the operational plans of the Chief/ Directorates, Office service delivery improvement plan, and the employee's job description.

- 8.3.2 The performance agreements are submitted to Human Resources Management on the dates already determined and communicated to the staff through the performance management programme implementation plan.
- 8.3.3 A newly appointed employee shall complete the performance agreement within the first three months of appointment within which period there must have been induction or orientation in the new environment. Performance agreements shall be subjected to a quality assurance process to ensure compliance with the policy. Performance agreements are to be entered into on the Office on-line system.
- 8.3.4 An employee who is appointed, seconded or transferred to another post or position at the same salary level (horizontal) must enter into a new PA for the new post or position within three calendar months of his/her appointment/ secondment/ transfer. For seconded employees, a copy of the signed PA must be submitted by the seconding department to the releasing department within 30 days.
- 8.3.5 An employee who does not comply with the requirements above shall not qualify for any performance rewards, i.e. pay progression and grade progression.
- 8.3.6 Employees are discouraged from amending a PA in the last quarter of a performance cycle (i.e. 1 January to 31 March), unless changes to the employee job description, job grade, organizational structure of the Office or its functions or amendments to the objectives and priorities result in significant changes to the content of the job of the employee.
- 8.3.7 In the case where the amendment of the PA is justified, the amended PA must be accompanied by a written motivation explaining the reasons for the changes. This motivation must be signed by the supervisor and the Head of the Component and submitted to HRM unit to inform and clarify matters of performance during annual assessments and moderation.

8.4 PERFORMANCE MONITORING

- 8.4.1 This stage takes place through regular performance reporting be it monthly, quarterly and annually wherein under performance is identified and intervention measures are put in place to curb it. The stage also involves performance feedback and assessment of whether the performance is on track with operational plan.
- 8.4.2 The supervisors must also record the strong and weak points as well as specific training and development needs of employees. Oral feedback should be provided on an employee's performance if the performance is satisfactory and in writing if the employee's performance is unsatisfactory.

8.5 PERFORMANCE REVIEW

- 8.5.1 This is a formal midyear performance review for purposes of ensuring continued alignment with the operational plan and accommodating new performance initiatives in the performance agreements, where applicable.
- 8.5.2 One-to-one communication sessions must take place from time to time between the supervisors and employees about the progress toward the achievement of the objectives agreed upon. This provides feedback and creates an opportunity for the employees to raise particular concerns and / or suggestions.
- 8.5.3 Managers have the duty to communicate performance feedback close to the events being assessed. The performance review sessions are also necessary to reveal areas required to modify the performance agreement. Where performance is unsatisfactory (that is, not fully effective and below) the feedback must be in writing.
- 8.5.4 The annual assessment shall reflect the performance of the employee for the entire performance cycle (April to March).

8.6 ANNUAL PERFORMANCE ASSESSMENT

- 8.6.1 The formal and final yearly performance assessment is conducted to identify the overall employee performance during the performance cycle. It takes place at the end of the performance cycle and serves as the basis for the determination to reward outstanding performance.
- 8.6.2 The annual assessment must be conducted even if the employee was employed for less than 12 months in that cycle. A four (4) point rating scale shall be used to assess the performance of employees. Motivations must be provided by the incumbent & supervisor where rating of 1 (not effective), 2 (partially effective), 3 (fully effective) and where the rating of 4 is allocated, a motivation must also be provided that clearly supports such a rating.

8.7 PERFORMANCE OUTCOMES

- 8.7.1 This is the final stage which formally communicates the annual employee performance outcomes for the relevant performance cycle as considered and ratified by the Moderation Committee. Performance outcomes inform performance recognition and rewards.

9 PERFORMANCE RATING

9.1 PERFORMANCE RATING SCALE

The performance review and assessment of employees shall be the average assessment score of the two half yearly assessments and be based on the four-point performance rating scale.

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

9.2 ASSESSMENT OF THE ACHIEVEMENT OF KEY RESULTS AREAS OUTLINED IN THE PERFORMANCE AGREEMENT.

- 9.2.1 The criteria upon which the performance of an employee is assessed consist of Key Result Areas (KRAs) and the Generic Assessment Factors (GAFs). Each employee must be assessed against the KRAs only. KRAs covering the main areas of work will account for 100% of the final assessment.
- 9.2.2 The weight of each KRA shall not be less than 10% and shall not exceed 30%.
- 9.2.3 Each key result area must be assessed on the extent to which the specified standards have been met and outputs achieved.
- 9.2.4 The rating formula has been set at 100% weighting allocated to the key result areas on the assessment instrument.
- 9.2.5 An indicative rating on the four-point scale must be provided for each key result area.
- 9.2.6 This rating must be multiplied by the weighting given to the key result area during the performance agreement contracting process to provide a score.
- 9.2.7 Employees' performance must be assessed according to the four-point rating scale as indicated in the performance assessment instrument.

9.3 ASSESSMENT OF THE GENERIC ASSESSMENT FACTORS

- 9.3.1 GAFs must not be assessed independently but must be incorporated and assessed in an integrated manner with the KRAs.
- 9.3.2 Generic Assessment Factors (GAFs) are elements and standards used to describe knowledge, skills and attributes. From the GAF list, the supervisor and employee must agree on at least 4 (four) out of the fifteen, but not more than 6 (six) GAFs that are deemed to be most

important for effective performance in that particular job.

9.3.3 GAFs shall not be weighted. GAFs shall not be assessed independently, but must be incorporated and assessed in an integrated manner with the KRA's.

9.3.4 Any need for employee development identified in the GAFs shall be used to inform areas of development to be included in the PDP of employees.

10 ABSENCE DURING THE ANNUAL PERFORMANCE CYCLE

10.1 Normal leave such as vacation leave and/or sick leave shall not interfere with the employee performance management cycle.

10.2 In instances of a permitted prolonged absence (approved leave) for a continuous period of three months or longer the affected employee shall be regarded as having performed satisfactorily for that period of absence within the applicable performance cycle.

10.3 Human Resources Management must be roped in for advice and guidance in the event of disagreement.

10.4 A period of at least nine months' actual performance shall serve as a basis for a recommendation on the allocation of a performance reward except for employees on maternity leave where eight months shall be required.

11 EMPLOYEE MOVEMENT

11.1 RESIGNATION AND DEATH

11.1.1 Notwithstanding paragraph 9 (d), an employee who resigns prior to completion of the performance cycle shall automatically forfeit performance rewards associated with such cycle unless the employee has completed the performance cycle in full prior to resignation.

11.1.2 In the event of employee death, payment of the recommended performance reward shall be subject to compliance with paragraph 9 (d). In this instance, the supervisor shall take the ultimate responsibility of the employee performance for the part such employee was present during the performance cycle.

11.2 ACTING IN HIGHER POSITIONS

- 11.2.1 Employees acting in higher positions shall enter into a performance agreement of the substantive position which they occupy. An employee acting in a higher position for three months or longer must amend the relevant parts in the performance agreement to include the new roles and responsibilities.
- 11.2.2 An employee acting in a Senior Management Service post must utilize the system and documents for non- Senior Management Service members.
- 11.2.3 An employee acting in a higher position shall be assessed at the level of his/her post that he/she occupied at the time immediately prior to the acting position.
- 11.2.4 Any performance incentives that he/she qualifies for shall be calculated on the lower level, regardless of whether or not the employee was remunerated for acting appointment.
- 11.2.5 The official's performance on the substantive position whilst acting in a higher position shall be rated as "fully effective" in instances where there is capacity relief of the Acting incumbents' substantive position.
- 11.2.6 In instances wherein the employee is performing the duties for his/her substantive position in addition to acting in a higher position, such an employee is eligible to be assessed in line with the provisions of this policy against the performance agreement of the substantive position.

11.3 TRANSFER AND SECONDMENT

- 11.3.1 In the event of employee transfer within the Office or between the Office and departments in the public service during the performance management cycle, the employee's performance reports (Performance Agreement and Assessment) for the period prior to transfer must be completed and be handed over to the receiving line manager.
- 11.3.2 If the employee being transferred is a supervisor, the performance reviews for each employee reporting to him/her must be completed prior to the transfer.
- 11.3.3 Employees seconded within the Office or between the Office and the departments in the public service during the performance management cycle, shall be assessed by the receiving line manager/ department. The receiving line manager shall provide the parent line manager/ department with formal assessment reports to enable the processing of performance rewards, where applicable.
- 11.3.4 An employee seconded to another position/ department for three months or longer, must amend the relevant parts in the performance agreement to include the new roles and responsibilities. If the employee is seconded to another department, the responsibilities, key performance areas and outputs required must form part of a performance agreement entered into with the employee by both the Department and the Recipient Department. If an employee's performance does not meet the required standard, his/her secondment may, depending on the circumstances, be terminated.

12 PROBATION

- 12.1 The probation period is twelve months effective from the date of employee appointment. This means the employee's probationary period may not

necessarily coincide with the performance cycle from the 1st April each year to the 31st March the following year.

- 12.2 The Performance Management and Development System policy shall serve as the tool to assess the probationer following which a determination shall be made to confirm or not confirm the appointment.
- 12.3 The employee on probation whose appointment date was on or before the 1st July 2012 shall qualify for pay progression for the first time after twenty four months period.
- 12.4 Employees appointed for first time in the public service shall participate in the Compulsory Induction Programme training and be found competent in at least one module for their probation to be confirmed.
- 12.5 The performance assessment of employees on probation must be conducted quarterly with quarterly assessment reports submitted to Human Resources Management at the end of each quarter. The final performance assessment of the probationer shall be subjected to the moderation process by the Moderation Committee.
- 12.6 In terms of the PSR, 2016, 68(7)(a), the period of probation of an employee shall be extended by a period equivalent to the delay by the employee for signing his/her performance agreement on the due date as required by regulation 72(1). Further, probation will also not be confirmed if the CIP Module 1 was not successfully completed, where applicable.

13 MANAGING EMPLOYEE UNDER-PERFORMANCE

- 13.1 Employee under-performance may be informed by various factors including but not limited to lack of experience, skills, knowledge or negative attitude.
- 13.2 Supervisors shall timeously identify and manage employee under-performance throughout the performance cycle.
- 13.3 In consultation with employees during performance review meetings,

supervisors shall establish and determine the rationale behind the under-performance.

- 13.4 Notwithstanding the intervention measures put in place, if the employee under- performance continues, the employee must be formally registered on the Incapacity Programme informed by the Incapacity Code and be formally informed of this step.
- 13.5 Intervention measures to curb employee under-performance may include but not limited to the following:
 - 13.5.1 Performance counselling
 - 13.5.2 On-the-job coaching/mentoring
 - 13.5.3 Formal training and development
 - 13.5.4 Employee Health and Wellness programmes
 - 13.5.5 Disciplinary Code and Procedures

14 REWARDING OF OUTSTANDING PERFORMANCE

14.1 MONETARY REWARDS

14.1.1 Pay Progression

- 14.1.1.1 Employees are eligible for pay progression to the next notch within the current applicable salary level attached to their posts. Only one notch progression per assessment can be awarded to the employee.
- 14.1.1.2 An employee must have completed a continuous period of at least twelve months on current salary notch by the 31st March of each year and his/her performance must at least be fully effective following the annual assessment.
- 14.1.1.3 Notwithstanding that the pay progression cycle (the performance management cycle for this purpose) will commence from the 1st April of year to the 31st March the following year, the payment of pay progression will be

effected from the 1st July each year where an employee (non-Occupation Specific Dispensation (OSD)) qualify for such. Pay Progression for Occupation Specific Dispensation employees must be implemented according to the relevant OSD Collective Agreements that governs that specific OSD.

14.1.1.4 Employees on personal notches shall not qualify for pay progression but shall receive the annual salary adjustments on their salary scales.

14.1.1.5 Newly appointed employees (1st time participants) must wait 24 months before they qualify for pay progression.

14.2 PERFORMANCE REWARDS

14.2.1 The non-monetary performance rewards may include but not limited to the following:

14.2.1.1 Public acknowledgement for the outstanding performance by the Director- General;

14.2.1.2 Director-General Achiever's Award;

14.2.1.3 Lunch with the Premier and/or the Director-General;

14.2.1.4 Employee permitted to attend conferences in their profession for knowledge enhancement;

14.2.1.5 Certificate of recognition;

14.2.1.6 Letter of appreciation;

14.2.1.7 Being selected to represent the Office at special meetings / functions.

14.2.1.8 Weekend away for two (employee and spouse /partner/person of choice) within the province.

14.3 PERFORMANCE REWARDS BUDGET

- 14.3.1 The Office shall annually allocate 1.5% of the total wage bill for payment of pay progression to the qualifying employees.

14.4 PERFORMANCE REWARDS TABLES

Table 1, employees on salary level 2 -10

RATING	PERFORMANCE CATEGORY	FINAL SCORE	OUTCOME/ DECISION/ REWARDS	REMARKS
1	Not Effective	Less than or equal to 66%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period may be extended OR employment terminated 	<ul style="list-style-type: none"> - Appropriate intervention compulsory - Prescribed incapacity procedures must be followed
2	Partially Effective	67-99%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period must be extended 	<ul style="list-style-type: none"> - Appropriate intervention compulsory
3	Fully Effective	100-119%	<ul style="list-style-type: none"> - Appointment to be confirmed - Pay Progression: One notch <u>ONLY</u> 	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance

4	Highly Effective	120-133%	<ul style="list-style-type: none"> - Appointment to be confirmed - Pay Progression: One notch • Performance rewards 	<ul style="list-style-type: none"> - Level of performance acknowledged as outstanding
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Table 2, employees on salary level 11-12

RATING	PERFORMANCE CATEGORY	FINAL SCORE	OUTCOME/ DECISION/ REWARDS	REMARKS
1	Not Effective	Less than or equal to 66%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period may be extended OR employment terminated 	<ul style="list-style-type: none"> - Appropriate intervention compulsory - Prescribed incapacity procedures must be followed
2	Partially Effective	67-99%	<ul style="list-style-type: none"> - No Rewards or Incentives - Probation period must be extended 	<ul style="list-style-type: none"> - Appropriate intervention compulsory
3	Fully Effective	100-119%	<ul style="list-style-type: none"> - Appointment to be confirmed - Pay Progression: One notch <u>ONLY</u> 	<ul style="list-style-type: none"> - Appropriate skills development programmes to be considered in order to improve the level of performance
4	Highly Effective	120-133%	<ul style="list-style-type: none"> - Appointment to be confirmed - Pay Progression: One notch - Performance rewards 	<ul style="list-style-type: none"> - Level of Performance acknowledged as outstanding

15 POLICY MONITORING AND REVIEW

15.1 The Director: Human Resources Management shall monitor the implementation of this policy and review it as the need arise.

16 COMPLIANCE

16.1 Failure to comply with this policy may result in disciplinary actions.

17 DISPUTE RESOLUTIONS

17.1 Human Resources Management shall provide advice and guidance on any dispute arising in the application/implementation of this policy.

17.2 Disagreement between the employee and the supervisor during performance assessments or performance contracting shall be dealt with by the next official in the structural hierarchy.

17.3 Not withholding the above paragraphs 17.1 and 17.2, if a dispute arises as contemplated in regulation 72(4) of the PSR, the EA or delegated official shall appoint a mediator, who shall be an employee, to consider the dispute within one (1) month after the expiry of the due date for signing of the PA or an agreement of a similar nature.

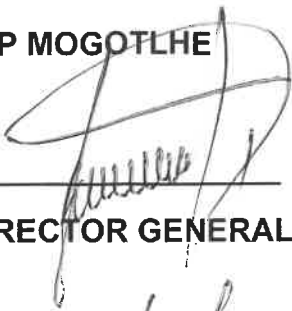
17.4 Persons appointed to resolve disputes should preferably be chosen on the basis of their functional expertise and people skills and not necessarily a legal qualification since performance disagreements should preferably be a consensus driven process resolved through dialogue.

17.5 The PMDS mediation process shall not exceed a period of one month.

17.6 If the mediation process fails, an employee may consider formal grievance.

APPROVAL

M.P MOGOTLHE

A large, stylized handwritten signature in black ink, written over a horizontal line. The signature is cursive and appears to be 'M.P. Mogotlhe'.

DIRECTOR GENERAL

DATE: 31/03/2025

Annexure A: Performance Management Programme Implementation plan

ANNUAL DATES	CURRENT CYCLE ACTIVITY	PREVIOUS CYCLE ACTIVITY	RESPONSIBILITY
31 May	Signed and submission of performance agreements Salary Level 2-15 to HR	—	All Managers and employees
30 June	Finalization of capturing of signed performance agreements on PERSAL		Head of HR and PMDS Team
31 July	—	Finalization of annual performance assessments and submitted to HR	Employee, supervisor and EA or delegated official
31 August		Completed sittings of Branch and Departmental Moderation Committees	Head of HR, PMDS Team and EA or delegated official
31 October	Finalization for all mid-year performance assessments for Salary Level 2-15	—	Employees and supervisors
30 November	—	Approval of moderated annual performance assessment	EA or delegated authority
31 December	—	Implementation of the outcomes of the annual performance	HR/Finance and Accounting Officer

The Human Resources Management Directorate shall on an annual basis and no later than the 15th March each year circulate the programme of implementation plan approved by the Director-General