



**Western Cape
Government**

BETTER TOGETHER.

WESTERN CAPE GOVERNMENT (WCG) PERFORMANCE MANAGEMENT POLICY FOR EMPLOYEES OTHER THAN MEMBERS OF THE SMS

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ACRONYMS AND ABBREVIATIONS

DMC	: Departmental Moderating Committee
DPSA	: Department of Public Service and Administration
EA	: Executing Authority
GAFs	: Generic Assessment Factors
HOD	: Head of Department
KRA	: Key Result Area
MPSA	: Minister for the Public Service and Administration
PA	: Performance Agreement
PAR	: Provisional assessment rating
PDP	: Personal Development Plan
PIP	: Performance Improvement Plan
PM	: Performance Management
SMS	: Senior Management Service
WCG	: Western Cape Government

VALUES

The WCG identified six (6) core values that embody a common understanding of the expected behavior of all WCG employees. These values also serve as the underlying policy principles to guide all decisions and actions pertaining to the management of performance. These are –



Caring – We care for those we serve and work with.

- We value all employees and citizens and treat them with dignity and respect
- We listen actively and display compassion towards employees and citizens
- We provide support to and show interest in each other as employees and provide support to the citizens of the Province, caring for everyone's wellbeing.
- We show appreciation and give recognition to employees and citizens.



Competence - We have the ability and capacity to do the job we are appointed to do.

- We are able to do the job we are appointed to do, and always strive for excellence.
- We develop our people, enabling and empowering them to do their job in support of service delivery
- We focus on rendering an excellent service to the people of the Western Cape.
- We demonstrate knowledge and understanding and work together to execute our tasks in terms of constitutional, legislative and electoral mandates.



Accountability - We take responsibility.

- We have a clear understanding of our vision, mission, strategic objectives, roles, delegations and responsibilities.
- We all deliver on our outcomes and targets with quality, on budget and in time.
- We hold each other accountable as public servants and know we can trust each other to deliver.
- We take individual responsibility for and ownership for our work, actions and decisions.



Integrity - We are honest and do the right thing.

- We create an ethical environment by being honest, showing respect and having positive values.
- We seek the truth and do the right things in the right way in each situation.
- We are reliable and trustworthy and behave consistently in word and in action.
- We act with integrity at all levels in all instances, with zero tolerance for corruption.



Innovation - We are open to new ideas and develop creative solutions to challenges in a resourceful way.

- We seek to implement new ideas, creative dynamic service options and improve services.
- We are citizen-centric and strive to be creative thinkers who view challenges and opportunities from all possible perspectives.
- We have the ability to consider all options and find a resourceful solution.
- We value employees who question existing practices with the aim of renewing, rejuvenating and improving them.
- We foster an environment where innovative ideas are encouraged and rewarded.
- We understand mistakes made in good faith, and allow employees to learn from them.
- We solve problems collaboratively to realise our strategic organisational goals.



Responsiveness - We serve the needs of our citizens and employees.

- Our focus is the citizen, building relationships that allow us to anticipate their needs and deal with them proactively.
- We take each other and citizens seriously, being accessible, listening and hearing what they convey.
- We respond with timeous action and within agreed timeframes.
- WE collaborate with each other and stakeholders, providing appropriate and reliable information and sharing it responsibly.

DEFINITIONS

Unless the context indicates otherwise, these concepts or terms shall have the following meaning:

CONCEPT/TERM	MEANING
Annual Assessment	Refers to the assessment of an employee's performance for the entire performance cycle. The annual assessment must be conducted even if the employee was employed for less than 12 months in that cycle.
Generic Assessment Factors (GAF's)	One of the two dimensions on which the PMDS policy hinges (developmental). This dimension describes the competency requirements taking into consideration the knowledge, skills and attributes relevant to the employee's work
Job Descriptions	Refers to written statements that describe the main features of a job, as well as the activities required to perform the job effectively. It simultaneously focuses on the objectives and the job outputs/activities and competencies (skills/knowledge) required to perform the activities successfully on a specific post level.
Key Output/Activity	Refers to a concrete product, service or information which an employee is required to deliver, supply or produce for the key receivers.
Key Result Area	One of the two dimensions on which the PMDS policy hinges (delivery). This dimension describes the core functions or broad area of responsibility of an employee. It is broken down into a number of key outputs/activities.
Mid-year Performance Review	A mid-year performance review is conducted after September during which the output/activity is confirmed, achievements are assessed, performance challenges are identified and corrective measures instituted where necessary.
People Manager	Refers to line managers who have a responsibility for the management of the people reporting to them; responsible for the allocation of work, monitoring of activities, discussing performance and development, and the mid-year performance review and annual performance rating of an employee. Means the same as "supervisor".
Performance Agreement	Refers to a valid and binding agreement between and employee and the employer with a mutual understanding of the expectations outlined in key performance areas, making an effective contribution to the achievement of organisational goals.

CONCEPT/TERM	MEANING
Performance Assessment	Refers to the measurement, assessment, rating or appraisal of employee performance. The formal annual process is usually referred to as a performance assessment, whilst more informal processes are referred to as performance reviews.
Performance cycle	Refers to a 12-month period for which performance is planned, managed and assessed. It must be aligned to the same period as the Department's annual business plan i.e. 1st April to 31st March of the following year.
Performance incentive scheme	Refers to a departmental performance related incentive scheme aligned with its performance management system.
Performance incentives	Refers to a set of financial rewards which are linked to the results of a performance appraisal, including pay progression and/or a performance bonus as contained in the WCG transversal performance incentive policy.
Performance standard	Standards are an expression of the performance, threshold(s), requirement(s), observable behaviors, actions and/or expectation(s) that must be met, for employees' outputs/activities to be appraised at a fully effective level (3) of performance. Performance standards therefore provide the employee with specific performance expectations and describes the assessment criteria that employees will be assessed against.
Personal Development Plan (PDP)	A personal development plan (PDP) identifies the employee's competency and developmental needs in terms of the inherent requirements of the job, as well as methods to improve these.
Provisional Assessment Rating (PAR):	Refers to an employee's total assessment rating score that has been agreed upon between the employee and her/his people manager/supervisor.
Rating Scale	Refers to a standard scale for rating employees' performance in relation to specific categories of performance.
Senior Management Service (SMS)	Employees on salary levels 13 to 16, including managers and professionals.
Supervisor	A People Manager. *Refer to definition above.
Workplan	A document which is part of the performance agreement indicating key result areas, generic assessment factors, outputs/activities and the relevant performance standards, resource requirements and timeframes.

1. INTRODUCTION

- 1.1 The Western Cape Government (WCG) acknowledges that its performance and ability to maintain effective service delivery is largely vested in its people. Hence, the core focus of the People Management Strategy is service excellence *with people* where people are positioned as the *primary drivers* in building the *best run regional government in the world*.
- 1.2 The WCG will, through a performance management system that is integrated with other people management practices (such as job design, recruitment, training and empowerment), drive a culture of accountability, high performance and service excellence.

2. POLICY STATEMENT

- 2.1 To direct all people managers/supervisors to effectively manage employees' performance in a fair consultative, supportive and non-discriminatory manner in order to enhance efficiency and service delivery. This policy also serves to empower those affected by its provisions, to take ownership and effectively participate in the performance management and development process. Therefore, to enable high performance culture this policy provides for a holistic and systematic approach linking outputs, competencies, values and development.

3. PURPOSE

- 3.1 To provide transversal policy principles that will assist in creating a supportive environment that promotes and drives a high performance culture across all departments in the WCG.

4. OBJECTIVES

- 4.1 The objectives of this policy is to–
- 4.1.1 provide an integrated framework for the management of employee's individual performance and the improvement of their competence through, amongst others, the identification of developmental needs;
- 4.1.2 encourage individual commitment, accountability and also motivation - leading to higher levels of performance; and

- 4.1.3 describe and institutionalise processes that make it possible to cultivate partnerships built on trust, open communication and respect.

5. REGULATORY FRAMEWORK

5.1 This policy draws its legal mandate from the following prescripts:

- Public Service Act, No. 103 of 1994;
- Public Service Regulations, 2016;
- Guide on Disciplinary and Incapacity Matters, DPSA; and
- Determination and Directive on the Performance Management and Development System (PMDS) of employees other than members of the Senior Management Services (SMS).

6. AUTHORISATION

6.1 The Public Service Regulations requires an EA, as delegated, to approve and implement a system for the performance management of employees, other than members of the SMS, in his or her department.

6.2 Following the Provincial Top Management (PTM) decision dated xxxx the Director-General has approved the WCG policy on the Performance Management and Development System (PMDS) for employees other than SMS members for the departments in the WCG, in terms of Section 7 (3) (c) (iii) of the Public Service Act, to be implemented with effect from 1 April 2019.

6.3 The policy provisions contained in this policy has been duly adopted by the Provincial Top Management (PTM) and binds all departments. An PTM approved WCG people policy represents a duly consulted WCG position and a collaborated attempt by the relevant HOD's to strengthen governance by ensuring consistent interpretation and application of a specific PM policy matter.

7. SCOPE OF APPLICATION

7.1 This policy applies to all WCG employees, other than members of the Senior Management System (SMS) who are employed in terms of the Public Service Act 103 of 1994.

8. GUIDING PRINCIPLES

- 8.1 Guided by WCG values and the drive to ensure meaningful and effective performance management in the WCG, the performance management policy is based on an **integrated approach** linking competency and output/activity based job design, effective job-person and organisational for and development.
- 8.2 The people manager/supervisor is responsible to **coach employees** to ensure excellent performance. This entails regular interaction guiding and supporting employees in the execution of their job, effective problem solving, identifying and addressing developmental needs.
- 8.3 When managing performance, people managers/supervisors should not shy away from having **crucial/difficult conversations** with their employees in an effort to bring about tangible behavior change in support of an employee's development and performance. Employees need to be clear on what is expected, how they are performing and what development is required.

9. GENERAL POLICY PROVISIONS

- 9.1 The performance management cycle is linked to a **financial year**, i.e. 1 April to 31 March of the following year.
- 9.2 The WCG PMDS policy hinges on two dimensions, namely **Key Result Areas** (KRAs) (core functions/broad area of employees' responsibility broken down into outputs/activities) and **Generic Assessment Factors** (GAFs) (competency requirements relevant to employees' work).
- 9.3 The performance of employees must be **continuously monitored** by the people manager/supervisor, with verbal feedback if the employee's performance is satisfactory and in writing if the employee's performance is unsatisfactory.
- 9.4 The conducting of mid-year performance reviews and annual performance assessments are compulsory, and must be **in writing**. The annual assessment shall reflect the performance of the employee for the entire performance cycle (April to March).
- 9.5 If an employee is **absent with permission** or on precautionary suspension for a **continuous period of three (3) months or longer**, the affected employee shall be regarded as having performed

satisfactorily for that period of absence within the relevant performance cycle. The periods of prolonged absence with permission for this purpose, includes all types of approved leave.

- 9.6 A Performance Agreement (PA) **must be signed by both the employee and people manager/supervisor** for it to be valid.
- 9.7 An employee who is **appointed, seconded or transferred** to another post or position (also to a post on the same salary level) must enter into a new PA or agreement for the post or position within (3) three calendar months of their appointment/secondment/transfer. A department to which an employee is seconded, must submit a copy of the signed PA of the seconded employee to the releasing department within 30 days of the date of commencement of the secondment.
- 9.8 An employee who is **appointed to act in a higher post (including a post in the SMS)** for three (3) months or longer, must amend the relevant parts of his/her performance agreement to include the new roles and responsibilities. The performance incentives shall however (if the employee qualifies) be calculated on the lower salary level.
- 9.9 Departments may utilize an **electronic performance management and information system** to facilitate the administration of the Performance Management and development system. Such system must be fully aligned to the provisions of this policy.

10. **THE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM**

- 10.1 Performance management in the WCG is an on-going interactive process between an employee and her/his people manager/supervisor directing the employee's performance and development over the full performance cycle (i.e. 12 months). The **performance management cycle** runs from 1 April to 31 March of any given financial year and consists of 4 elements:
- Performance planning and agreement.
 - Performance monitoring, review and assessment.
 - Performance Moderation.
 - Managing the outcomes of the assessments.

10.2 The cycle is depicted in the following model:



Model 1: Four (4) Performance Management Cycle Elements

10.3 **Performance planning and agreement**

10.3.1 **A Performance Agreement (PA)** outlines the planned results to be achieved by the employee and is entered into by an employee and his/her immediate people manager/supervisor. The content of an employee's PA is informed by the department's strategic and annual operational plan, component business plans and the employee's job description, work role and actual activities and responsibilities.

10.3.2 A Performance Agreement is entered into between an employee and his/her people manager/supervisor as the two primary role-players in the process.

10.3.3 A hard copy of the PA shall be signed by both the employee and their immediate people manager/supervisor before 31 May of each financial year.

- 10.3.4 A new employee shall conclude and sign their PAs within three (3) months of the date of appointment and thereafter, within two (2) calendar months of the beginning of each financial year (31 May).
- 10.3.5 A PA shall, as a minimum, include –
- a. the employee's personal particulars, i.e. a personnel number, job title, post grade;
 - b. a clear description of the main objective/purpose of the employee's job as contained in the approved job description
 - c. a workplan containing a detailed breakdown of the key result areas (KRA's), their weighting, competency requirements (GAFs); key outputs/activities, with clearly defined performance standards, resource requirements, and time frames
 - d. a Personal Development Plan (PDP) that identifies the employee's competency and developmental needs in terms of the inherent requirements of the job as well as methods to improve these, such as training and development.
- 10.3.6 The relevant people manager/supervisor shall ensure that the signed PAs are submitted to the Performance Management component on or before the end of the first working day following the due date for signing off of PAs.
- 10.3.7 No employee shall qualify for performance rewards, including pay progression and performance bonus, if he or she has not signed and submitted a performance agreement within the period prescribed.
- 10.3.8 Non-compliance to the timeous conclusion and submission of performance agreements by any party shall be dealt with in terms of the disciplinary code and procedures for the Public Service.
- 10.3.9 The **KRAs** in the workplan describe what is expected from an employee (taking the level of work into consideration) broken down into outputs/activities. KRAs can cover many different aspects of the work such as -
- a. specific tasks, activities or events which the employee should ensure are achieved;
 - b. levels of performance which the employee should achieve, maintain and promote;
 - c. actions or situations for which the employee is personally responsible for delivering their "unique contribution"; and/or
 - d. duties and responsibilities.

- 10.3.10 Each KRA must be weighted as a percentage (%) according to the level of importance and impact it has in the employee's work. The weighting of all the KRAs shall not be less than 10% and not exceed 30%. The number of KRAs to be included in a PA shall not be less than (4) and preferably not exceed (6). The aggregate of all the KRAs should equal 100%. Each KRA must be broken down into key outputs/activities. Appropriate performance standards must be set for each output/activity.
- 10.3.11 **Key Outputs/Activities** describe the product, services or information delivered, supplied or produced by the employee or specific results that would indicate that an employee has achieved the planned outcome. Key outputs/activities shall be weighted between 1% - 100% (according to the level of importance and impact it has on the KRA), and add up to 100% per KRA.
- 10.3.12 **Performance Standards** provide the employee with specific performance expectations and describe the criteria against which the employee's performance will be assessed. A performance standard-
- a. is a specific expectation established or set for each key output/activity and included in the employee's workplan;
 - b. indicates how the job is to be done and what results are expected in order to obtain a rating of "3" – fully effective;
 - c. is specific, objective, measurable, attainable, realistic and/or time bound and should mutually be agreed upon and stated clearly in writing.
 - d. should be written in terms of specific measures (i.e. criteria must describe how well work must be done in terms of quantity and/or quality and timeliness, that will be used to appraise performance); and
 - e. should be aligned to the appropriate level, as associated with the performance standard for the job's "performer level".
- 10.3.13 **Generic Assessment Factors (GAFs)** describe the competency requirements taking into consideration the knowledge, skills and attributes relevant to the employees work. The people manager/supervisor and employee must agree on at least five 5 of the fifteen GAFs that are deemed to be most important for effective performance in that particular job. The table below provides a list of the GAFs, as prescribed:

GENERIC FACTORS	ASSESSMENT	DESCRIPTION
Job Knowledge		Knowledge of work-related policies and practices.
Technical Skills		Technical/professional knowledge and skills to immediate work situation.
Acceptance of Responsibility		Accepts responsibility in a competent manner for own areas of work and those of subordinates (where applicable).
Quality of Work		Accomplish key tasks in a competent and acceptable way.
Reliability		Shows commitment to work.
Initiative		Works out own programs/approaches to overcome problems and competently performs to expectations where general principles are not adequate to determine the procedure or decisions to be taken.
Communication		Expresses facts and ideas orally or in writing in a clear and logical manner.
Interpersonal Relationships		Co-operates well with managers, colleagues and those supervised.
Flexibility		Readily accept changes in work, work patterns or procedures, work location etc. in order to help achieve objectives.
TEA (or relevant delegated authority) in Work		Gets on well with colleagues. Able to influence and communicate well as part of a team. Works to achieve team objectives.
Planning and Execution		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.
Leadership (or relevant delegated authority)		Demonstrates leadership qualities through motivation and control of subordinates.
Delegation and Empowerment		Assigns tasks/function responsibly. Shows the ability to trust the ability of others and to develop their potential.

Table 2: Generic Assessment Factors (GAFs)

10.3.14 Employees shall identify, discuss and agree on the GAFs that are most relevant to their area of work. The GAFs shall not be weighted. GAFs shall not be assessed independently, but must be incorporated and assessed in an integrated manner with the KRAs. Any employee development identified in the GAFs shall be used to inform areas of development to be included in the Personal Development Plan (PDP) of employees.

- 10.3.15 **The PDP** identifies the employee's competency and developmental needs in terms of the inherent requirements of the job, as well as methods to improve these. The identified area(s) of development may relate to any of the GAFs and should also include interventions relating to the technical or occupational "hard skills" and the performance standards of the job.
- 10.3.16 The PDP should include development interventions aimed at broadening the employee's career progression opportunities.
- 10.3.17 The employee and the people manager/supervisor are required to take joint responsibility for the drafting of the PDP with allocated accountabilities clearly recorded therein.
- 10.3.18 **Amendments to a PA** in the last quarter of a performance cycle (i.e. 1 January to 31 March) are discouraged, unless there are changes to the employee's job description, job grade, organisational structure of the department or its functions or amendments to objectives and priorities that result in significant changes to the content of the job of the employee.
- 10.3.19 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 change. This motivation must be signed by the people manager/supervisor and/or the head of the department/component and submitted to the relevant people management component, to inform and clarify matters of performance during annual assessments and moderation.
- 10.4 **Performance monitoring, review and assessment**
- 10.4.1 The performance of employees must be monitored by people managers/supervisors on a continuous basis, with face-to-face/verbal feedback where the performance is satisfactory, and according to the *Guideline on the Management of Poor Performance* where the performance of an employee is poor or unsatisfactory.
- 10.4.2 To inspire excellent performance during the performance cycle, people managers/supervisors need to coach, motivate and encourage their employees, to deliver on their outputs whilst living the values of the WCG.
- 10.4.3 The conducting of the **mid-year performance reviews and annual performance assessment** are compulsory and must be recorded in writing.

- 10.4.4 The processes of conducting the **mid-year performance review and annual assessment** refer to the one-on-one discussions between the people manager/supervisor and the employee. Prior to the review or assessment meeting an employee must rate his/her performance (score between 1-4) against the respective outputs/activities whilst considering the defined performance standards. Employees must record their progress and any barriers impacting on their performance. Any rating higher than a 3 – fully effective, must be motivated.
- 10.4.5 Once the employee has weighted and scored all their outputs/activities the people manager/supervisor must rate the employee in preparation for the review or assessment discussion. The review or assessment discussion is aimed at reaching consensus on the performance of the employee with due regard to the performance standards and any barriers. On reaching such consensus, the review outcomes or assessment ratings must be signed off by both parties. If consensus cannot be achieved the dispute resolution process should be followed.
- 10.4.6 The **mid-year performance scoring** will not contribute towards the annual assessment scoring and the scoring results will only be used to gauge the employee's progress and to identify developmental needs.
- 10.4.7 The **annual assessment** shall reflect the performance of the employee for the entire performance cycle (April to March). An annual assessment must be conducted even if the employee was employed for less than twelve (12) months in that performance cycle or was absent for period of the performance cycle.
- 10.4.8 A **four (4) point rating scale** shall be used to assess the performance of employees.
- 10.4.9 Only whole numbers must be used in scoring. No decimal numbers (for example, 3.5) are allowed. A rating of "3" on the scale entails "fully effective". An employee who is rated as "fully effective" is deemed compliant with the requirements of the job. On the rating scale this translates to an overall score of 100%.
- 10.4.10 The individual scores per key output/activity, with due regard to the weight of the key output/activity will add up to the score for each particular KRA, which collectively will inform the final rating. The final rating will be rounded up or down to the nearest whole number as follows:
- a. A decimal score less than 0.5 will be rounded down to the nearest whole number.
 - b. A decimal score of 0.5 and higher will be rounded up to the nearest whole number.

10.4.11 Table 2 below provides an explanation of the four (4) point rating scale, categories of performance:

RATING	CATEGORY & SCORE	DESCRIPTION
1	NOT EFFECTIVE (Less than or equal to 66%)	Performance does not meet the expected standard for the job. The review/assessment indicates that the jobholder has achieved <u>less than fully effective results against all or almost all</u> of the performance criteria and indicators as specified in the PA and Workplan.
2	PARTIALLY EFFECTIVE (67% - 99%)	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved <u>less than fully effective results (partially achieved) against more than half</u> of the performance criteria and indicators as specified in the PA and Workplan.
3	FULLY EFFECTIVE (100% - 119%)	Performance fully meets the standard expected in all areas of the job. The review/assessment indicates that the jobholder has achieved as a minimum <u>effective results against all</u> of the performance criteria and indicators as specified in the PA and Workplan.
4	HIGHLY EFFECTIVE (120% - 133%)	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved <u>better than fully effective results against more than half/or in all areas</u> 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.
OSD EMPLOYEES		
The rating scale HIGHLY EFFECTIVE (i.e. 120% - 133%) is sub-categorised as follows:		
4.1	(120% - 129%)	Above average
4.2	(130% - 133%)	Excellent

Table 3: Four (4) Point Rating Scale

10.5 Performance moderation

- 10.5.1 Departments must provide for arrangements and structures for the purpose of performance moderation. The EA (or relevant delegated authority) shall appoint a committee(s) to moderate the annual performance assessments.
- 10.5.2 Members of a Moderation Committee must ensure that:
- a. There is compliance with the public service prescripts in terms of the timelines on the signing of PAs or agreements, performance reviews and assessments and the date for the implementation of the outcomes of annual performance assessments; and
 - b. The performance outcome of the department/branch or unit is considered when advising or/ recommending on the implementation of the outcomes of annual performance assessments.
- 10.5.3 Performance moderation may be conducted at different levels to ensure that the performance of all employees are evaluated fairly and consistently across the department. Intermediate review committee(s) are optional whilst a departmental moderation committee is compulsory.
- 10.5.4 **Review Committees (IRC)** at a Programme or Chief Director or Directorate level. for reviewing the performance assessment ratings agreed upon by employees and the people managers/supervisors. The need for such committees will depend on the size and structure of the department.
- 10.5.5 The IRC receives the performance assessment ratings of all employees in the relevant Programme or Chief Directorate or Directorate to review, compare and validate the ratings. If the IRC agrees with the ratings, the ratings are then submitted to the departmental moderating committee. Any recommendation on the changing of the rating scores must be referred back to the employee's people manager/supervisor for him/her and the employee to reach consensus on the change. If the people manager/supervisor and the employee cannot agree, the unchanged/original rating is forwarded to the Moderating Committee, with the comments from the IRC, the people manager/supervisor and employee.
- 10.5.6 The EA (or relevant delegated authority) must establish a **Departmental Moderating Committee (DMC)** which is chaired by the Head of Department (HOD), or his/her delegate. The Committee furthermore, may consist of senior managers at the discretion of the EA (or relevant delegated

official). The DMC submits recommendations to the EA (or relevant delegated official) for approval.

10.5.7 The Departmental Moderating Committee -

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

10.5.8 Additional roles of the Departmental Moderating Committee are:

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

10.5.9 The departmental moderating committee does not take away the responsibility of the people manager/supervisor to oversee the performance management actions and assessment outcomes of their employees.

10.5.10 An EA (or relevant delegated authority) shall inform employees of the outcome of their performance assessment.

10.6 **Managing the outcomes of performance assessments**

- 10.6.1 Based on the outcome of the performance assessment, an EA (or relevant delegated authority) may reward good performance and must manage poor performance.
- 10.6.2 **Rewarding good performance.** An EA (or relevant delegated authority) must determine an appropriate reward scale to reward employees or any category of employees and may reward employees or any category of employees within the limits as determined by the MPSA,
- 10.6.3 Although the MPSA determines a percentage of a department's remuneration budget that may not be exceeded for the purpose of granting performance rewards, the WCG reserves the right to from time to time, with due consideration to the availability of funding, determine a lower maximum percentage of a department's remuneration budget that may not be exceeded for that purpose.
- 10.6.4 **Management of poor performance.** It is deemed to be poor performance when an employee is not performing or is unable (incapable, does not have the required skills/knowledge) to perform at the expected/required level of standards outlined in their -
- a. performance agreement; and/or
 - b. employment contract; and/or
 - c. job description; and/or
 - d. the job's relevant standard operating procedures.
- 10.6.5 Poor performance must be addressed immediately when an overall performance assessment rating of not effective or partially effective is achieved or through sustained, consistent complaints lodged with the people manager/supervisor and/or personally experienced. Steps to address poor performance must be instituted in terms of the *Guideline on the Management of Poor Performance*.
- 10.6.6 Before embarking on any kind of disciplinary or incapacity process or procedure, it is of importance that people managers/supervisors consider the reasons of the employee's poor performance. It must be established whether the poor performance of the employee is caused by their **lack of abilities (incapacity)** or whether he/she is lacking the will to perform, is **negligent in the performance of their duties or is deliberately not performing at the required level (misconduct)**.

10.6.7 The tables below, explains the differences between the 2 types of poor performance aspects namely, incapacity and misconduct:

INCAPACITY	
POOR PERFORMANCE	<ul style="list-style-type: none"> ▪ Occurs in the event an employee's performance is less than fully effective where he/she does not meet the standard expected in all areas of the job, as indicated in section 9.3 (table 1) and continues to do so, or ▪ an employee is incapable or unable to perform their duties at the expected/required levels of standards and objectives through no fault of their own, despite being subjected to training, mentoring and coaching.
ILL-HEALTH / INJURY	<ul style="list-style-type: none"> ▪ Occurs when an employee is not able to perform their duties and functions at the expected/required levels of standards and objectives as a result of ill health/injury.

MISCONDUCT	
POOR PERFORMANCE – FOR REASONS OTHER THAN INCAPACITY	<ul style="list-style-type: none"> ▪ Occurs when an employee either denies that he/she is performing poorly or where it can be shown that an employee has violated or not adhered to standards, rules, regulations and policies regulating the conduct in the workplace, and where such violation is not caused by incapacity.
DENIAL OF POOR PERFORMANCE	

Table 4: Incapacity vs Misconduct

11. PERFORMANCE MANAGEMENT OF AN EMPLOYEE ON PROBATION

- 11.1 A people manager/supervisor of a probationer shall ensure that the probationer –
- 11.1.1 at the commencement of the probationary period, is made aware of the performance and other requirements for obtaining confirmation of probation;
- 11.1.2 on a quarterly basis, receives written feedback on his or her performance and compliance with other requirements. Monitoring / feedback should thus take place on a quarterly basis during the course of the twelve (12) month probation period. During such meetings the probationer and people manager/supervisor should formally discuss progress, development needs and agree

upon goals and standards for the next three months. Should an employee's performance, at any stage during the probation period be found to be wanting (poor performance) the people manager/supervisor of the probationer shall follow the process and procedures as outlined in *the Guideline on the Management of Poor Performance*.

- 11.2 Before the end of the 12th month, and subject to following the correct process and procedures, a decision shall be made regarding confirmation of the probation / extension of the period of probation / termination of employment.
- 11.3 The period of probation of an employee shall be **extended** –
 - 11.3.1 by a period, equivalent to the delay by the employee for signing his or her performance agreement, on the due date as required; or
 - 11.3.2 by such extended period as may be determined by the EA (or relevant delegated authority), after which a final review is conducted before the end of the last month and a decision made to confirm the probation or dismiss the employee.
- 11.4 **Dismissals during probation period.** Subject to the correct process being followed, an employee may be dismissed at any time during the probation period due to:
 - 11.4.1 Incapacity: poor work performance.
 - 11.4.2 Incapacity: Ill health/Injury
 - 11.4.3 Misconduct: Poor performance for reasons other than incapacity
 - 11.4.4 Misconduct: Breach of the code of conduct of such gravity, which makes a continued employment relationship intolerable.
- 11.5 Before a recommendation for dismissal is made in respect of Incapacity: Poor Performance or Incapacity: Ill health/Injury, the Independent chairperson shall apply her/his mind as to whether or not –
 - 11.5.1 the employee was reasonably aware of the job requirements;
 - 11.5.2 the employee had received adequate supervision and coaching for the expected standard of performance; and
 - 11.5.3 sufficient and appropriate corrective action had been taken during the probationary period to improve errant behaviour or inadequate performance.
- 11.6 *The Guideline on the Management of Poor Performance* is applicable to probationers and people managers/supervisors must follow this process when dealing with the poor performance of probationers.

11.7 *The Disciplinary Process and Procedures* can be applied in the case of misconduct of probationers and the outcomes/sanctions of these hearings/actions will form part of the evidence used to decide on recommendations for termination of probationary period.

12. COMPLIANCE DUE DATES

12.1 The Minister for Public Service and Administration (MPSA) has determined specific due dates and activities in terms of the performance management process (see table 1 below) that must be complied with. No authority has been delegated to approve any deviation from the dates.

12.2 Departments are encouraged to set earlier internal due dates, in order to ensure compliance by the prescribed due dates. People managers/supervisors and employees shall adhere to any earlier internal due dates.

12.3 The table below provides a summary of the Performance Management Compliance due dates:

ANNUAL DATES	CURRENT CYCLE ACTIVITIES	PREVIOUS CYCLE ACTIVITIES TO BE COMPLETED	RESPONSIBILITY
31 May	Signed PA is filed/submitted to People Management Practices.	—	Employee, people manager/supervisor and relevant Performance Management component.
30 June	Finalisation of capturing of signed performance agreements on PERSAL.	Finalisation of capturing of employee performance information on PERSAL	Relevant Performance Management component.
31 July	—	Finalisation of annual performance assessments.	Employee, people manager/supervisor and relevant Performance Management component.
31 October	Finalisation/Sign off of mid-year reviews.	—	Employee, people manager/supervisor
30 November	Submission of hard copies of the mid-year reviews	Approval of moderated annual performance assessments.	EA (or relevant delegated authority)
31 December	—	Implementation of outcomes of the annual performance.	People Management Practices / Finance & Accounting Officer

Table 1: Performance Management Compliance due dates and activities

13. DISPUTE RESOLUTION

- 13.1 **Disputes on performance agreement (PA).** Mechanisms for dispute resolution must include any differences which might arise out of performance agreements, performance review and assessment. Any disagreement must ideally be resolved internally within the Unit/Component/Branch.
- 13.2 **Mechanisms for dispute resolution pertaining to a PA** if both the employee and his or her people manager/supervisor do not sign the performance agreement due to a dispute relating to the content of the agreement, the EA (or relevant delegated authority) 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.
- 13.3 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.
- 13.4 The PMDS mediation process shall not exceed a period of one month and the person appointed to consider the dispute shall within one month of his or her appointment consider the dispute and recommend a performance agreement to be signed.
- 13.5 The relevant employee and his or her people manager/supervisor shall sign the performance agreement within two weeks of receipt thereof, failing which the agreement shall be deemed to have been signed from the date of the recommendation.
- 13.6 If the mediation process fails, an employee may consider a formal grievance in terms of the Public Service Grievance Procedure.
- 13.7 **Disputes on the final rating score (annual assessment/ mid-year review).** In the case of employees, any disputes relating to a final score (KRA final score) during either a mid-year review or annual assessment, shall be dealt with as follows: The employee shall within five (5) working days, from the date the assessment discussion meeting took place where no agreement could be reached at the level people manager/supervisor.
- 13.7.2 The dispute shall indicate and provide the following information:
- a. Nature of the dispute.

- b. What areas of the rating he/she is in dispute with?
- c. Reasons for their dispute on the final rating.
- d. Relevant facts and evidence in support thereof.
- e. Remedies sought.

13.7.3 The 2nd level people manager/supervisor shall within five (5) working days from the date the dispute was received:

- a. Schedule a meeting, with both the first level people manager/supervisor and employee present, to try and resolve the dispute.
- b. Allow both the first level people manager/supervisor and employee to state their case.
- c. Review and consider the dispute.
- d. Present within seven (7) working days, findings made and recommend an outcome of the dispute to both the employee and people manager/supervisor.
- e. Ensure that the minutes of the dispute meeting are recorded.

13.8 The employee and his/her people manager/supervisor shall implement the recommendation, and sign off on the mid-year review or final assessment ratings, within 5 (five) working days of receipt thereof.

13.9 If the dispute remains unresolved, the employee still has recourse to the formal Grievance Procedure.

13.10 Accurate records of all dispute proceedings and the outcomes thereof, must be kept/filed.

14. ROLES AND RESPONSIBILITIES

14.1 The employee shall:

14.1.1 Sign a PA within the first three (3) calendar months of appointment.

14.1.2 Sign a PA by 31 May of each year, indicating the agreed KRA's, measurable outputs/activities and necessary training and development needs.

14.1.3 Assess their own progress according to their performance agreement and measurable outcomes during the period under assessment and allocate performance ratings.

14.1.4 Bring to their people manager/supervisor's attention, significant other outputs/activities that were delivered during this period which are not contained in the performance plan and/or performance which he/she regards as being meritorious.

- 14.1.5 Provide inputs on areas of performance, which the people manager/supervisor has identified as not being fully effective.
- 14.1.6 Assess their performance agreement for validity.
- 14.1.7 Discuss and initiate possible amendments to the performance agreement.

14.2 **The People Manager/Supervisor shall:**

- 14.2.1 Jointly identify employee performance expectations and gaining the employee's commitment to achieving these expectations as per the agreed KRA.
- 14.2.2 Facilitate the assessment session during which each KRA must be assessed on the extent to which the specified standards have been met and outputs/activities achieved.
- 14.2.3 Assess the employee's performance according to their performance agreement and measurable output/activity during the period under assessment and allocate performance ratings.
- 14.2.4 Discuss and agree on a rating.
- 14.2.5 Ensure that the performance assessment is signed by the parties.

14.3 **The Senior Manager shall:**

- 14.3.1 The signed performance assessment shall be submitted to the Senior Manager who may interrogate the agreed assessment scores. In order to establish if the ratings are a true reflection of the employee's performance.
- 14.3.2 The Senior Manager submits the agreed performance ratings to a higher assessment body for moderation.

14.4 **The relevant People Management Component responsible for performance management shall:**

- 14.4.1 Support the Departmental Moderating Committee(DMC), individual people managers/supervisors and employees in the process of developing PAs and assessing performance.
- 14.4.2 Provide technical advice on the ongoing development and maintenance of the PM policy and the relevant automated performance management system.
- 14.4.3 Assist with financial calculations on the granting of rewards.
- 14.4.4 Facilitate the moderating meetings to ensure that the moderating process is consistent, consultative, fair and transparent.
- 14.4.5 Capture the provisional assessment ratings (PARs) and present them at moderating meetings.
- 14.4.6 Consistently monitor and report on evidence and data. This includes a collection and reporting of useful performance data such as outcomes, quality and information metrics for use in decision-making. There must also be consistency in how performance is defined and how performance ratings are allocated, which occurs through an increased discussion among people

managers/supervisors and employees, about what high performance represents and what performance standards and behavior are expected of employees for each level of the performance rating scale.

14.5 **Heads of Department**

14.5.1 Heads of Department (HoDs) must ensure that all employees' performance information for a performance cycle is captured on the relevant automated performance management system. HoDs or delegated officials shall keep a record of each employee's PA and performance assessments and assessment information indicating the date and outcome assessment or assessment and the nature of the award.

15. DATE OF IMPLEMENTATION

15.1 This policy is implemented with effect from 1 April 2019.

16. MONITORING AND EVALUATION

16.1 The component responsible for performance management will ensure the efficacy of this policy by assuming responsibility for the continuous monitoring of the implementation of the policy.

17. POLICY REVIEWS

17.1 This policy shall be reviewed as per the Policy Development and Renewal Program, when a specific need is identified and revision is requested by the Provincial Top Management or when an amendment to the Regulatory Framework dictates.