



Western Cape Education Department

Procedure Manual

SPMDS

Staff Performance

Management and

Development System

for

Public Service Personnel

(Levels 1 - 12)

DEFINITIONS

Performance management and development system

A system for

- managing and developing the work performance of each employee and
- improving the ability of the employee and the organisation to serve the public interest.

Performance appraisal

An annual assessment

- of what and in what way(s) the employee has achieved at the end of the performance cycle,
- which forms part of a larger process that links individual performance to organisational goals,
- of how the employee's performance can be improved through ongoing learning and development.

Main Objective (or Key Performance Area)

A statement that describes:

- a critical area in which an employee must perform to achieve the purpose of his/her job and
- to enable institution/office to function efficiently and effectively

Job description

A record of

- the duties, tasks, liabilities and performance outputs attached to a post,
- the skills and knowledge (competencies) needed to do the work,
- the career progress attached to a post, and what the employee should achieve (main objectives) in order to contribute to achieving the organisational goals.

Performance outputs

The results (products, services or information)

- that an employee must supply in the short, medium or long term,
- which would indicate that the main objectives had been achieved successfully.

Performance review

A formal process that occurs every quarter, 4 times in the course of a performance cycle (1 April - 31 March) in order to

- look at and assess what and in what way(s) the employee has achieved,
- identify any problems, and areas for development/improvement;
- amend, if necessary, the individual performance and development agreement; and
- it also refers to the continuous process of feedback and problem solving that occurs more informally.

Performance standards

These are the criteria (qualitative and quantitative) used

- to clarify the main objectives of a post by describing what is meant by performing one's duties well.
- These criteria (also known as performance criteria)
- are agreed to by the employee and his or her supervisor,
 - may be very detailed and specific, and
 - provide the yardstick against which the employee's performance will be evaluated.

Quantitative

"How much" or "how many"

and qualitative

"How well".

Rating scale

A standard scale used for rating an employee's performance against specific categories or levels. The Western Cape Provincial Administration uses a five-point scale with descriptions ranging from "Outstanding" to "Unacceptable".

Individual performance plan (IPP)

A plan which

- links the employee's job description to the organisational goals,
- analyses what will be required of the employee to achieve effective performance, in terms of objectives, outputs and standards that will be used to guide the employee's performance and the assessment of his or her performance, and
- is agreed to by the supervisor and employee.

Individual development plan

A general, but realistic, plan to assist the employee to develop his or her capacity and potential,

- based on the employee's aspirations and the longer-term needs of the organisation, and
- reflecting the specific actions to be taken by the employee and the organisation.
- amend, if necessary, the performance agreement

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Chapter 1

INTRODUCTION

This WCED manual explains the new Staff Performance Management and Development System (SPMDS) for public service staff (PSS) in post levels 1 – 12 who are employed by the WCED.

This new system, which was directed by the Minister of Public Service and Administration, in terms of the Public Service Regulations, 2001, replaces the current system of performance evaluation. It was developed in consultation with the public service unions and applies to all public service staff (including staff declared in excess and contract staff) in the various departments of the Western Cape Provincial Administration (WCPA).

The main purpose of this system is to manage and improve performance at all levels throughout the Public Service.

This requires that all employees do what is expected of them:

- The employee is paid a salary for doing his or her work acceptably, not just for reporting for duty.
- An employee who performs better than the level of work required may be given a reward or incentive.

Other features of the system, if effectively applied:

- Clarifies how the employees' performance will contribute to the overall objectives of the WCED.
- Early identification and possible elimination of factors and conditions that keep an employee from performing effectively.
- Encourages employees to improve their performance.

To ensure the validity of the SPMDS, it was tested by means of a pilot project, which was conducted over the period 1 April 2003 to 31 March 2004. This pilot project included 20% of public service staff across all levels and throughout the WCED (including both line managers and staff at Head Office, EMDCs and educational institutions). The feedback and results from this process were utilised to shape this final system for implementation.

Chapter 2

DEFINITION, OBJECTIVES AND CYCLE OF THE SPMDS

2.1 What is performance management and development?

2.1.1 Performance management and development is a **continuous process** of ensuring that employees:

- know exactly what is expected of them,
- are properly trained or equipped to be able to do what is expected of them, and
- produce the results required of them.

2.1.2 The process obviously involves performance appraisal and is results-driven. It focuses more on what the employee has achieved in terms of quantity and quality (as measured against pre-determined performance standards) rather than on isolated activities.

2.2 What are the objectives of the SPMDS?

The aims of the SPMDS are to:

- **improve performance** by establishing a culture of performance excellence;
- **improve** the employee's **awareness and understanding of what** he or she is **expected to achieve** (his or her work objectives) and the quality (the performance standards) expected of him or her;
- **ensure** that the **employee knows how** his or her **performance will be assessed**;
- **improve communication** between supervisors or line managers and their staff;
- **encourage the fair and objective evaluation** of performance;
- **provide opportunities to identify development needs** (knowledge or skills the employee needs to perform better) and to develop plans to address those needs;
- help with the **effective management of unsatisfactory performance**; and
- provide a **basis for future decisions** on rewards, probation, promotion, etc.

2.3 The SPMDS cycle

2.3.1 The SPMDS cycle begins on **1 April** and runs **to 31 March** each year.

2.3.2 Processes within the SPMDS cycle:

- Planning work and setting expectations
- Continually monitoring the employee's performance by gathering evidence
- Providing feedback to the employee on his or her performance based on the evidence gathered through a review process
- Developing the employee's capacity to perform
- Appraising/rating the employee's performance
- Rewarding an employee for good or above average performance, if possible, and addressing an employee's non-optimal performance.

These processes will be discussed in more detail in Chapters 3 to 8.

Chapter 3

PERFORMANCE PLANNING

3.1 What is performance planning?

3.1.1 It is a process whereby each employee's contribution to achieving the organisational goals is identified. Once an employee's performance is defined in this way, it can serve as a measure against which his/her performance can be measured.

3.1.2 At the outset, it is important that each employee:

- not only knows what he or she should be doing and
- why he or she is expected to do it.

Given that a **job description** outlines the purpose of a job, its main objectives and the inherent requirements of a job, **it serves as the base document in the performance planning process.**

3.1.3 To ensure that each employee is aware of the specific contributions expected of him or her for a predetermined period linked to the performance management cycle, **a written contract** must be established in the form of an Individual Performance and Development Plan.

3.1.4 The plan must be the result of constant dialogue (consultation) between the employee and the supervisor or line manager and should reflect their mutual agreement on the results/outputs to be achieved.

3.1.5 The mutual agreement will culminate in:

- an Individual Performance Plan, and
- an Individual Development Plan.

3.2 The Individual Performance Plan (IPP)

3.2.1 The format of the IPP

JOB PURPOSE							
Main Objectives	Performance Outputs (Results)	Weight (per Performance output)	Activities	Key Performance Standards	Target Date/Frequency	Uncontrollable Factors	Evidence/ Incidents

(Refer to Annexure A for prescribed form)

3.2.2 How to develop an IPP

The job description of the post the employee occupies, should be used as a base document:

(a) Agree on the **job purpose**

This should be a short accurate statement about the post's overall purpose, and can be obtained from the specific employee's job description. (It must answer how the employee's work contributes to the organisation achieving its goals.)

(b) Fill in the **main objectives** (or key performance areas) as reflected in the job description.

- What are the critical areas in which an employee must perform to achieve the job purpose and to enable institution/office to function efficiently and effectively.

(c) Establish the **Performance Outputs** (Results) for the specific Performance management and development cycle.

- What should be the result (or output) that would indicate that the main objectives had been achieved successfully?
- What the individual is expected to achieve over a specific period of time.

(d) Complete **weight** of Performance Outputs (results)

- Determine the weight of each performance output.
- Weighting must add up to 100%.
- The weight will show the importance of the performance output in the specific job.
- Carefully consider the impact/frequency that each performance output has in fulfilling the purpose of job.

(e) Identify all the **performance activities** linked to each performance output

- What are the specific activities, which need to be done in order to achieve desired output (result)?
- Achievable within a specific performance management cycle.
- List all activities in sequence as far as possible according to what must be completed before others can begin.

(f) Fill in a **performance standard** for each performance output

- Agree on performance standards for each output. That is, the qualitative (how well), quantitative (how many times, due dates, etc.) or possibly legal requirements that the output should meet to be considered as having been successfully achieved.
- Standards must focus on efficiency, define acceptable performance in terms of what customers expect, and be governed by what is reasonable.

- (g) Set the **target dates / frequency** for each performance output
- Assign a time period for the completion of each activity, or how often it should be done to achieve the desired final result in respect of each output.
 - Indicate a commitment date for the completion of the performance output.
- (h) Identify possible **Uncontrollable Factors**
- Uncontrollable factors are usually the result of unexpected circumstances, e.g. budgetary constraints, disasters and circumstances beyond the control of the employee and line manager.
 - They must be taken into account when determining target dates
 - They must be discussed during each performance review.
 - Performance Outputs and/or their target dates may be amended, if proof can be submitted of specific barriers.
- (i) **Evidence / Incidents**
- This column is to be used after the planning phase. The supervisor is primarily responsible for collecting relevant data. Cryptic notes on evidence/incidents collected to support performance must be made here to support the review and appraisal processes.

3.3 The Individual Development Plan (IDP)

3.3.1 What is an IDP?

- (a) The IDP identifies the training and development that an employee may require to be able to achieve the outputs agreed to in the IPP.
- (b) It represents a commitment
- by the line manager to create opportunities for the employee to develop, and
 - by the employee to use such opportunities to improve his or her competencies, skills and knowledge.
- (c) An institution's, office's or directorate's Work Place Skills Plan will be largely based on the training needs identified in the IDP.

3.3.2 The format of the IDP

IDENTIFIED TRAINING OR DEVELOPMENT NEEDS	ACTION (What/how, and provided by who?)	TIME FRAME/TARGET DATE (A commitment period for the completion of programme/When?)	DESIRED OUTCOMES FOR	
			EMPLOYEE	INSTITUTION/ COMPONENT/ DEPARTMENT
<i>Communication Skills</i>	<i>Professional Writing Skills Course by PAWC Programme</i>	<i>30.09.04</i>	Ability to deal with simple correspondence to parents	Quicker responses, to parents' correspondence
<i>Computer literacy</i>	<i>MS Word, MS Excel by Blue Chip Workplace Skills Plan (WCED)</i>	<i>28.02.04</i>	To apply MS Word/Excel in daily administrative duties	A more effective and efficient employee and improved service delivery.

(Refer to Annexure B for the prescribed form.)

3.3.3 How to develop an IDP

The employee and supervisor/manager meets in the performance planning stage to determine the developmental needs of the employee.

(a) Identify the competencies/skills required.

- Consult the employee's job description and discuss the demands of the job and the skills and knowledge to perform effectively.
- The areas in which the employee experiences some problems on the job or does not fully meet the requirements of the job, and in which he or she needs further development, should be indicated here.

(b) Fill in the action (e.g. what/how, and provided by whom) that have been selected.

- It is always important to consider, more cost-effective ways in which training or development needs can be addressed, for e.g sharing of best practises with other schools.
- For **staff based at educational institutions**, requests for training or development must be channelled via the circuit manager to the EMDC which manages the Work Place Skills Fund for the entire EMDC and for **office-based staff** via the line manager to the Training Co-ordinator for the directorate/ component.
- If the supervisor or line manager thinks that the employee's training or development needs would not be met by one of the courses usually provided he or she may recommend and justify (via the same channels as above) that the employee should be allowed to attend a course or programme offered externally.

(c) Set the time frame

- Set the date by which the training or development should be completed. The selected date of completion for each programme, course or intervention should be **realistic**, and must be **determined by the available resources**.

- (d) State the desired outcomes for the employee and for the institution/component or department.
- The department should benefit from having a competent and motivated employee who is capable of meeting the demands of a constantly changing working environment.
 - The employee becomes the owner of new skills, which furthers his or her career development and personal profile.

3.3.4 Reviewing the IDP

The IDP must be reviewed every 5 - 6 months at a performance review session to ensure employees development is able to keep up with performance requirements. The impact of the training and development to which the employee was subjected must be taken into account.

3.4 General

An IPP and IDP:

- (a) will be developed for each official on salary level 1 to 12 annually before **1 April**, but not later than 1 calendar month after April each year;
- (b) shall be developed by way of a consultative process;
- (c) must be signed by the responsible manager at least 2 levels above the level of the employee, but not lower than salary level 8;
- (d) shall come in full operation 1 April each year;

Note: An employee, on the grounds of having **substantive reasons**, has the right to refuse to sign his or her individual performance plan and individual development plan if he or she is not satisfied with the content, and could use the appeals procedure in this regard.

Chapter 4

MONITORING AND REVIEW OF PERFORMANCE

4.1 Monitoring performance

- 4.1.1 The employee and the supervisor or line manager must regularly check the employee's performance against the IPP and IDP. The supervisor or line manager must give the employee balanced, constructive and ongoing feedback – both positive and negative – which is focused on improving the employee's performance. This feedback should be given verbally and then appropriately recorded in writing.
- 4.1.2 Regular feedback saves the employee from unpleasant surprises at the appraisal interview. It is better for an employee to receive ongoing feedback than to be told at the end of 12 months that aspects of his or her work performance are below standard.
- 4.1.3 The employee and the supervisor or manager must collect and keep record of **evidence** of the employee's **performance** in terms of the outputs that he or she has achieved and which can be presented during the performance reviews. (Cryptic notes/references should be added to the agreed upon IPP.)
- (a) The supervisor or line manager *must* select all the potential sources of information to be assessed, including observable employee behaviour. Possible sources of information are the following:
- Customers
 - Colleagues
 - Subordinates
 - Monthly management reports
 - Previous performance reviews
 - Incidents (something important that happened that could influence the performance rating)
 - Minutes of meetings
- (b) If other people are to be used as sources of information, the employee must agree on the potential sources of information **before the beginning of a cycle**.
- (c) The supervisor must provide feedback periodically throughout the performance cycle on the basis of documented evidence.

4.2 Performance reviews

4.2.1 How often must performance reviews take place?

The supervisor or line manager must discuss the employee's performance with him or her formally and in its full context **four times a year**. **Two** of these discussions must take place **in the six months prior to the annual formal performance-appraisal date**.

4.2.2 Dates of review meeting

An annual review timetable should be set out at the beginning of each cycle and communicated to the employee. The following is an illustration of a timetable that could be applied to an employee based at a school:

PERFORMANCE REVIEW CYCLE: 1 APRIL – 31 MARCH				APPRAISAL
1 ST Quarter	2 ND Quarter	3 RD Quarter	4 TH Quarter	
April	July	Oct	Jan	
May	Aug	Nov	Feb	
17 June (review)	16 September (review)	25 Nov (review)	25 Feb – 5 March (review)	By 31 March

4.2.3 Preparation for the meeting

- The employee should be requested to prepare for the meeting at least 2 weeks before the review meeting.
- The supervisor or line manager must give the employee an opportunity to provide own impression of his or her job performance for the rating period, and to provide own evidence.
- The supervisor must review and consider this information in preparation for the performance review meeting.

4.2.4 During the review meeting

- The supervisor or line manager and the employee must review the employee's performance and measure the performance against the performance outputs agreed to for the quarter. (These outputs must be filled in on the Performance Review Instrument.)

PERFORMANCE OUTPUTS (as in IPP)	PROGRESS (Remarks not performance rating)	TRAINING OR DEVELOPMENT	DECISIONS AGREED ON

(See Annexure C for prescribed form.)

The discussion must take into account any changes in circumstances since the beginning of the cycle.

- The supervisor or line manager must record comments on the **progress** that has been made **in relation to the impact of training completed**.
 - The supervisor or line manager must provide feedback on the employee's performance and identify the problems **experienced as well as the** factors which were beyond the **employee's** control.

- The employee must be given an opportunity to comment on the feedback, and to provide an explanation with regard to performance.
- (c) The supervisor or line manager and employee must agree on and write down any **training, development, etc.**, required.
- (d) The supervisor or line manager and employee must discuss the changes, if any, that need to be made to the objectives and priorities in the employee's IPP in order to accommodate any problems or uncontrollable factors.

NB: Record in writing:

- *Any discussion agreed on*
- *Any adjustments made to the performance outputs. These must be added to the existing IPP.*
- *Any performance difficulties and/or strategies for resolution.*

4.2.5 The supervisor or line manager and the employee must sign the performance review instrument.

Chapter 5

DEVELOPING PERFORMANCE

5.1 What is performance development?

Performance development is the ongoing identification of those factors that inhibit good performance and the elimination of them through planned actions.

5.2 When does performance development take place?

Throughout the performance management and development cycle:

- The supervisor or line manager should give regular feedback to the employee to improve performance at an early stage.
- A rating below the level of “Acceptable” during the annual performance appraisal meeting should not be the first indication of an employee’s shortcomings, as they should have been dealt with earlier, during the performance review stage.

5.3 Steps in developing performance

5.3.1 The supervisor or line manager must **establish the development needs** of the employee. To do this, the following questions can be asked:

- What knowledge and/or behavioural skills does the employee need in order for him or her to perform at an acceptable level in his or her current position?
- What are the employee’s shortcomings? (*These can be identified by looking at the results achieved [or not achieved] and through observation and feedback.*)

5.3.2 The supervisor or line manager must **inform the employee in writing** of his or her areas for development and give the employee the opportunity to improve his or her performance.

5.3.3 Based on an agreement between the employee and the supervisor or line manager, the employee’s **IDP** can be **adjusted** in terms of the following:

- What the employee needs to learn
- How the employee will acquire this learning
- What support the line manager needs to give to secure the learning
- How learning, once it is completed, is to be applied to secure practical development.

5.3.4 **Monitor the** employee's performance throughout the cycle and give regular feedback in order to rectify insufficient performance at an early stage.

Chapter 6

ANNUAL PERFORMANCE APPRAISAL

6.1 What is the annual performance appraisal?

6.1.1 It is a process whereby an individual's performance during a specific performance cycle is assessed or measured by considering the following:

- How well the employee has achieved the performance outputs as measured against the key performance standards agreed upon.
- What ratings, recognition or remedial actions are appropriate.

6.2 When does it occur?

Once a year during March (at the end of the performance cycle).

6.3 Categories of performance used in performance appraisal.

The following categories of performance are applicable in the 5-point rating scale in the performance appraisal process:

- **Unacceptable (1)**

Has failed to meet agreed standards, demonstrated an unsatisfactory level of performance and is not gainfully employed. Resources have been explored, but there is no reasonable expectation that any further interventions will improve the situation. The procedures as laid down in the Incapacity Code and Procedures for the Public Service (PSCBC Resolution No. 10 of 1999) are to be followed.

- **Borderline (2)**

Has failed to exactly meet agreed standards and demonstrated a level of performance that is regarded as on the borderline of unacceptable and acceptable. The employee may still be on a learning curve, and may have the potential to perform on at least an acceptable level. The employee does not adequately respond to training and managerial guidance. The supervisor or line manager, in consultation with his or her manager, should develop a Performance Improvement Plan (that could include counselling, the attendance of related courses by the employee and mentorship). A new IPP and IDP needs to be developed. (Alternative placement is a possible further remedy.)

- **Acceptable (3)**

Has met agreed standards and demonstrated an acceptable level of performance (qualitatively and quantitatively), i.e. met the requirements that warrant the pay. Ongoing support, counselling and guidance are needed to enable the employee to develop fully and perform optimally.

- **Commendable (4)**

Has in some cases exceeded standards and demonstrated more than an acceptable level of performance (qualitatively and quantitatively).

- **Outstanding (5)**

Has consistently exceeded standards and consistently demonstrated an exceptionally high level of performance (qualitatively and quantitatively).

6.4 Preparation for the annual performance appraisal discussion

6.4.1 Both the supervisor/line manager and the employee must

- look at the employee's IPP, IDP and quarterly review records, as well as any other related material;
- think about employee's achievements, the key performance standards, goals and targets against which the achievements can be measured, and the extent to which these have been met. (*In this regard , the employee must also prepare to explain why any of these standards, goals and targets have not been met*);
- think about the support and the training and development needed; and
- do a preliminary assessment in respect of the period under review using the above **5-point rating** scale.

6.4.2 The supervisor/line manager

- where relevant and appropriate, talk to other roleplayers who have regular contact with the employee to obtain more information.
- should consult informally with other supervisors/ line managers in a similar occupation, level and context to compare his or her preliminary ratings of staff with theirs; and
- set a time and date for the appraisal meeting and give the employee at least **fourteen (14) days notice**. (*The time of the meeting must be convenient for both parties and provide sufficient time for discussion.*)

6.5 The performance appraisal meeting

During the meeting the supervisor or line manager and the employee discuss and reach agreement on the employee's performance rating for each of the performance outputs.

The supervisor or line manager should follow these steps in the actual appraisal meeting:

6.5.1 Introduce the process

- (a) Explain the purpose of the session, e.g. "Today we are meeting to discuss your annual performance rating. This rating will be based on how well you have achieved your performance outputs".
- (b) Ask the employee whether he or she has any questions to ask before the discussion begins.
- (c) Emphasise that the idea is to assess and develop the employee's overall performance and not to criticise.

6.5.2 Complete the Performance Rating Instrument (Form)

This form contains the following sub-sections, namely, Performance Outputs, Weight, Rating and Weighted Score as illustrated in the following example of an Administrative Clerk at a school:

PERFORMANCE OUTPUTS	WEIGHT (per Performance Output) %	RATING (per Performance Output) (1-5)	WEIGHTED SCORE (Weight x Rating)
Performance of all secretarial duties at the school	50%	4 x ,50	2
Administration of all school accounts	40%	3 x ,40	1,2
Performance of diverse administrative functions	10%	1 x ,10	0,1
Overall rating for performance cycle	100 %		3,3 (Total weighted score)
CATEGORY: <i>Acceptable (3)</i> <i>(Unacceptable =1/ Borderline =2/ Acceptable=3 / Commendable=4/ Outstanding=5)</i>			

(See Annexure D for the prescribed form.)

- (a) Complete Performance Output as indicated on the IPP and Job Description.
- (b) Complete Weight of Performance Output as indicated on the IPP. (The weighting of all outputs must add up to 100%. The weight will show the extent to which the Performance Output relates to the specific job.)
- (c) Allocate a rating to each agreed-upon Performance Output, based on the performance rating categories at para 6.3.
 - Look at each *Performance Output* separately and give the employee the opportunity to discuss his or her self-assessment.
 - Look at the factors beyond the employee's control that affected his or her performance. Assess the employee's performance in the work carried out before these factors occurred.
 - Assess the extent to which the employee achieved the agreed-upon Performance Outputs, as substantiated by information gathered through evidence, incidents and discussion with the employee.
 - Where a rating of **Unacceptable (1)** or **Borderline (2)** is allocated, concrete and conclusive evidence in substantiation thereof as well as proof of remedial steps taken to address eliminate the performance hindrance or other causes for under-performance, shall be provided by the supervisor of the official being evaluated.

- State the rating that you consider to be appropriate for each output and invite the employee to comment, e.g. “This leads me to conclude that you have performed in a commendable/ satisfactory/ unsatisfactory manner. Do you agree with this assessment?”
 - If an official disagrees with a rating allocated by her/his supervisor, such official shall provide concrete and conclusive evidence in substantiation of an alternative rating. Where s/he cannot provide such, the rating allocated by her/his supervisor shall be maintained, subject to the conditions of the rest of paragraph 6.5.2 (c) and Chapter 9.
- (d) Calculate and complete the weighted score by multiplying the weight (% converted to a decimal figure) with rating per performance output.
- (e) Respond appropriately to the performance rating and agree on relevant process to be followed:
- Where the employee’s performance has been rated **commendable** or **outstanding**, congratulate the employee on his or her performance. Outline the process that will be followed for recommending him or her for a reward/incentive.
 - If the employee’s performance has been rated **acceptable**, commend the employee on having performed in a satisfactory manner. Highlight areas of possible improvement by conducting a performance improvement discussion.
 - Where the employee’s performance has been rated **unsatisfactory**, explain to the employee that his or her performance has not met the required standards, but that there is a commitment to assist him or her to improve on it. (*Develop a Performance Improvement Plan.*)

6.5.3 Finalise the Annual Appraisal Form

- (a) Once the ratings have been allocated per performance output and agreement has been reached accordingly, the supervisor or line manager must finalise the overall performance rating.
- (b) In the comments field, the supervisor or line manager should briefly outline the reasons for his or her overall rating. Outline the steps that will be taken for recognising exceptional performance, or dealing with non-performance. (See Chapters 7 and 8.) Annexures can be attached should the space in the comments field be insufficient.
- (c) After agreement has been reached, both the supervisor or line manager and employee must sign the appraisal form.

- (d) Although the SPMDS relies largely on agreement between the supervisor or line manager and the employee, it is also important that the next level supervisor or line manager concurs with the appraisal. This will give further impetus to the fairness, objectivity and reliability of the performance appraisal process. The appraisal form and all the supporting documents must, therefore, be submitted to the next level supervisor or line manager for completion of comments and his or her signature.

6.6 The results of the annual performance appraisal

The results of the annual performance appraisal may lead either to a recommendation to reward performance or to a plan to rectify non-optimal performance, which will be discussed in greater detail in Chapters 7 and 8.

What happens when an employee does not agree with the result of his or her performance appraisal is discussed in Chapter 9.

Chapter 7

REWARDING PERFORMANCE

7.1 Financial rewards

In terms of the Incentive Policy Framework for Salary Levels 1 to 12, which is valid as from 1 April 2003, all employees in these grades become eligible for **pay progression, a cash bonus or a non-financial award**, provided their annual performance assessment scores are at the prescribed level.

7.2 Pay progression

7.2.1 Only **one notch progression per assessment cycle** can be awarded to employees whose performance is at least "Acceptable".

7.2.2 The pay progression cycle (assessment cycle) runs over a continuous period of 12 months, commencing on 1 April of a particular year.

Only employees who:

- have completed a continuous period of at least 12 months on her/his salary notch on 31 March of a financial year and
- who performed "acceptably" in line with the SPMDS will qualify for pay progression, which, if justified, will be paid annually on **1 July** of each year.

7.2.3 The first pay progression for WCED personnel, after the official implementation of the SPMDS shall take place on **1 July 2005** and shall be based on:

- The outcome of the performance assessment for the period 1 April 2004 to 31 March 2005 (and one years' continuous service on a notch) and
- An assessment of at least "acceptable" performance for the said period of one year in line with the SPMDS.
- This process will include employees who transferred from one occupational category to another or from one department to another where the employee remains on the same salary notch.
- *The first pay progression in terms of the Incentive Policy Framework was implemented on 1 July 2003, based on work performance during the period 1 April 2002 to 31 March 2003. Since the new SPMDS has not been implemented at that stage and in order for staff to qualify for pay progression, a certificate had to be completed by each supervisor indicating whether the performance of each member of his or her staff had been satisfactory. Similarly, for the period 1 April 2003 - 31 March 2004, another pay progression certificate should be completed.*

7.2.4 An employee on a **personal notch** above the maximum of the salary scale attached to his or her post **shall not qualify for pay progression**, but shall receive any annual salary adjustment as determined by the Minister for Public Service and Administration.

7.3 Cash bonus

A cash bonus to the maximum of 10% and 18% of the employee's basic salary may be considered in recognition of an overall performance rating of 4 and 5, respectively.

The payments of these cash bonuses are not guaranteed and are dependent on the Department having sufficient financial resources to pay them. (See paragraph 7.5)

Should the financial resources be made available, cash bonuses will be made payable, with effect from 1 April 2005 after a full assessment in terms of the SPMDS has been done.

7.4 Non-financial rewards

7.4.1 A non-financial reward has no direct financial implication.

7.4.2 The WCED will, from time to time introduce non-monetary recognition schemes to stimulate performance across the department. However, component heads/ line managers are also free to develop their own recognition schemes, provided that these remain non-monetary and do not change any basic employment condition.

7.4.3 The following are examples of recognition that can be explored:

Increased autonomy to organise own work

Increased resources with which to perform work

Public acknowledgement and recognition of performance excellence, such as certificates of excellence; announcements in departmental publications, citations at conferences/meetings.

7.4.4 Any award or recognition scheme must be clear, transparent and equitable.

7.5 Budgetary constraints

The pay progression and cash bonuses are dependent on the availability of funds. Departments may not spend more than 1.5% of their total annual remuneration budget (basic salaries for levels 1 – 12) on cash bonuses and not more than 1% of their wage bill (basic salaries, contribution to the pension fund, etc.) on pay progression.

Chapter 8

CORRECTING PERFORMANCE

8.1 Dealing with an unsatisfactory overall performance

8.1.1 An employee's overall unsatisfactory performance should be identified and dealt with during the performance reviews.

8.1.2 Corrective actions should take the form of

- appropriate training,
- support and encouragement, and
- the provision of clear guidelines as to what improvement is expected by the next performance cycle,
- restating the performance requirements/agreement, and conducting work environment audits to establish if there are other factors affecting performance.

8.2 The Performance Improvement Plan (PIP)

If an employee receives a rating of borderline or unacceptable on any of his or her performance outputs, a PIP must be developed.

8.2.1 The supervisor or line manager and the employee must develop an appropriate plan or programme.

- Any particular organisational or personal factors affecting the employee must be taken into account.
- The plan should contain a clear indication of the performance problem, an action plan for the development agreed upon between the supervisor or line manager and the employee, a target date, and monitoring remarks.

8.2.2 The supervisor or line manager and the employee must agree on holding a follow-up review within a reasonable period of time.

8.2.3 If, after a period of 12 months, the employee's performance cannot be rated as at least "**Acceptable**", the supervisor or line manager should initiate steps that may lead to disciplinary procedures. The disciplinary procedures could include the discharge of the individual for unfitness or incapacity to carry out his or her duties. The Incapacity Code and Procedures for the Public Service would be applicable.

Chapter 9

DIFFICULTY IN REACHING AGREEMENT

9.1 Failure to reach agreement

There may be situations in which the employee and the supervisor or line manager have difficulty in agreeing upon some aspect of the IPP, IDP, the appraisal, or any of the stages as it unfolds

In such a situation it is important to act quickly and decisively, and not to become even more entrenched in disagreement, as agreement needs to be reached in order for the objectives of the appraisal process to be achieved.

9.2 Procedural steps

The following steps should be followed with a view to reaching agreement:

9.2.1 **Phase 1** (*involving the employee and his or her first level [direct] supervisor or line manager*)

- The employee should tell his or her direct supervisor or line manager about the cause for his or her discontent. A discussion session may be sufficient to resolve the difficulty.
- If the matter is not resolved, the disagreement should be put in writing, and taken to Phase 2.
- The employee may choose to discuss the matter with his or her union representative as part of the process of resolving any difficulties.
- All interactions between the employee and the supervisor or line manager should focus on reaching agreement, and not on apportioning blame or finding excuses.

Time frame: The parties should reach agreement **within ten working days.**

9.2.2 **Phase 2** (*involving the employee and the second level supervisor or line manager*)

- Once the disagreement has been put in writing, it and the steps taken to resolve the issue should be referred to the supervisor or line manager on the next level in the hierarchy.
- The first level (direct) supervisor or line manager should preferably be present during the discussion sessions.
- All parties must document their cases and keep a written record of their discussions.
- Any of the parties may invite persons with expertise to be present during these meetings to give assistance and guidance.

Time frame: The parties should reach agreement **within fifteen working days.**

9.2.3 **Phase 3** (*Grievance Procedure*)

If the matter remains unresolved, an employee may lodge a formal grievance. (The parties should agree to apply the procedures for dealing with grievances of Public Service Staff as stipulated in Circular 0230/2003 dated 28 November 2003.)

Time frame: As prescribed by the Grievance Procedure

CHAPTER 10

MODERATING

- 10.1 The purpose of moderating is to ensure that supervisors are appraising performance in a consistent way across the department with a common understanding of the standard required at each level of the rating scale.
- 10.2 Moderating starts at the level of the supervisor who, must ensure that the IPP and IDP of their staff fairly reflect the requirements and level of the job. Supervisors can also discuss with other supervisors (on an equal level) the IPP's and IDP's of staff doing similar jobs
- 10.3 Having prepared for the appraisal interviews of their staff, supervisors could meet informally with their managers and other supervisors at their own level to compare their preliminary rating of staff. This occurs before any discussion with staff about ratings. It provides an opportunity for these supervisors to discuss the spread of ratings and to adjust ratings "up" or "down" if it appears they are being too "harsh" or too "soft" by comparison with their peers.
- 10.4 The WCED will moderate centrally and all levels of the organisational structure will be taken into account in the final composition of the moderating committee(s).
 - As a guide, the expectation is that the bulk of staff (80%) will fall within an overall rating range of 2-4 and that only very small numbers will be ranked in the other two categories. However, staff should be rated according to performance. Clearly any supervisor who has ratings skewed towards "Outstanding" or "Unacceptable" will have to justify his or her decisions. Where a supervisor has not re-assessed such ratings, the Moderating Committee will have to follow up with some form of remedial action.
 - The Committee(s) will also review the spread of ratings across an EMDC/ component at Head Office and the entire Department and look for apparent abnormalities where the relevant manager will be called upon to justify them.

Chapter 11

GENERAL GUIDELINES

11.1 Contract Employees

11.1.1 The performance of employees employed on a fixed term contract for a period of a year or longer must be managed in terms of the provisions of the SPMDS.

11.1.2 He or she becomes eligible for a performance bonus should the rating be “Commendable” or “Outstanding”, provided that his or her employment falls within the financial cycle, i.e., from 1 April to 31 March.

11.2 Probation

11.2.1 All new permanent appointees to the Department are appointed on probation for 12 months effective from his or her date of appointment.

11.2.2 This process will be managed via the SPMDS as follows:

- (a) The SPMDS will be used to assess an employee during his or her probation.
- (b) The performance assessment process of the employee on probation must be conducted every 3 months and must as far as possible, be in line with the review process of the SPMDS.
- (c) After a period of 12 months employment, the supervisor of the probationer is required to make a recommendation on whether or not appointment should be confirmed.
- (d) The performance appraisal form must be submitted to the Directorate: Personnel Management (Public Service) immediately following the assessment.
- (e) The outcome of the assessment is to be utilised for the confirmation of the probationary appointment, though it may not necessarily lead to a reward.
- (f) Training/re-training should be provided.
- (g) If the probationer is not deemed suitable for the relevant post, professional advice must be obtained on the available options, including job rotation, extension of probation, formal registration on the incapacity programme or, as a last resort, dismissal.

11.3 Transfer, promotion or appointment during a performance management and development cycle

11.3.1 Transfer or promotion within the WCED

- (a) An appraisal of the employee's performance must be completed before he or she moves into the new position. If the transfer or promotion occurs early in the performance cycle, the supervisor or line manager and the employee must decide whether a meaningful appraisal can be made for that period.
- (b) If the employee who is to be transferred or promoted is a supervisor or line manager, he or she must complete the performance appraisals of the employees working in his or her component before moving to the new position.
- (c) A new IPP and IDP should be developed for an employee, preferably within 4 weeks of his or her moving into the new position.

If the employee is a supervisor or line manager in his or her new position, he or she should interview each employee working in his or her component, and either reaffirm their existing plans or negotiate new ones with them.

11.3.2 Transfer or promotion to another public service department

- (a) An appraisal of the employee's performance must be completed before he or she leaves the WCED.
- (b) The same principle as in 11.1.1 (b) applies, regardless of the reason(s) for his or her departure.

11.3.3 Appointment to the WCED

- (a) An IPP and IDP must be drawn up for an employee who has been newly appointed to the WCED within four weeks of the employee taking up the new position.
- (b) The employee must be appraised at the end of the cycle, provided that at least one month has elapsed since he or she took up the position.

11.4 Taking leave during the performance management and development cycle

11.4.1 Normal periods of leave (such as vacation leave and sick leave, but excluding maternity and study leave) will not disrupt a performance management and development cycle.

11.4.2 If an employee has been absent for a prolonged period, the supervisor or line manager and the employee should decide whether a valid appraisal which will be useful to the employee can be made for that cycle. The decision should be recorded in writing.

11.4.3 It may be necessary to develop a new IPP and IDP for the employee when he or she returns from a prolonged absence. The minimum period for which an employee can be evaluated is a continuous period of six months.

11.5 Confidentiality

11.5.1 According to the Public Service Regulations, 2001, no-one outside the employee's department may know what the employee's appraisal results were without his or her consent.

11.5.2 Only the employee's direct supervisor, senior staff in his or her direct line of communication, and the Directorate: Personnel Management may have access to the employee's record of appraisal. Wider access will be given only with the consent of the employee.

11.6 Concluding notes

11.6.1 The above guidelines do not cover every conceivable possibility. In situations not covered by the guidelines, the parties involved must use their initiative and common sense, and be honest, fair and just.

11.6.2 Constant dialogue, monitoring based on a proper record of evidence and incidents of the employee's performance, reviewing and appraisal should be done to ensure that staff performance is managed and developed successfully.

11.6.3 Throughout the process, the supervisor or line manager must ensure that the ratings and the reasons for those ratings have been discussed with the employee and that the employee agrees with the ratings.

W C E D



INDIVIDUAL PERFORMANCE AND DEVELOPMENT AGREEMENT

NAME:

STATION:

HEAD OFFICE/EMDC:

PERSAL NUMBER:

ID NUMBER:

JOB TITLE/RANK:

DATE OF ENTRY INTO RANK:

SALARY LEVEL:

NATURE OF APPOINTMENT:

PERFORMANCE CYCLE:

REVIEW/APPRaisal TIMETABLE:

	FIRST QUARTER REVIEW	SECOND QUARTER REVIEW	THIRD QUARTER REVIEW	FOURTH QUARTER REVIEW	APPRaisal
PERIODto.....to.....to.....to.....to.....
DATE OF REVIEW/ APPRAISAL					

**THIS DOCUMENT IS CONFIDENTIAL BETWEEN THE EMPLOYEE,
SUPERVISOR AND MANAGER**



INDIVIDUAL PERFORMANCE AND DEVELOPMENT AGREEMENT

NAME: Tommy Thumbs
 STATION: Spineview Primary
 HEAD OFFICE/EMDC: South
 PERSAL NUMBER: 00000000
 ID NUMBER: 000000 0000 000
 JOB TITLE/RANK: General Assistant
 DATE OF ENTRY INTO RANK: 30 August 1993
 SALARY LEVEL: 2
 NATURE OF APPOINTMENT: Permanent
 PERFORMANCE CYCLE: 1 April 2003 to 31 March 2004

REVIEW/APPRaisal TIMETABLE:

	FIRST QUARTER REVIEW	SECOND QUARTER REVIEW	THIRD QUARTER REVIEW	FOURTH QUARTER REVIEW	APPRAISAL
PERIOD	01/04/03 to 30/06/03	01/07/03 to 30/09/03	01/10/03 to 31/12/03	01/01/04 to 31/03/04	01/04/03 to 31/03/04
DATE OF REVIEW/ APPRAISAL	24 July 2003	8 October 2003	28 January 2004	9 March 2004	9 March 2004

**THIS DOCUMENT IS CONFIDENTIAL BETWEEN THE EMPLOYEE,
SUPERVISOR AND MANAGER**



INDIVIDUAL PERFORMANCE PLAN (IPP) 1 April 2003 to 31 March 2004

Name: Tommy Thumbs **Station:** Spineview Primary **Head Office / EMDC:** South

Job purpose: To render a support service and provide the most desirable and most cost effective environment in terms of the school grounds.

MAIN OBJECTIVES (KEY PERFORMANCE AREAS)	PERFORMANCE OUTPUTS	WEIGHT (PER PERFORMANCE OUTPUT)	ACTIVITIES	KEY PERFORMANCE STANDARDS (HOW ?)	TARGET DATE/FREQUENCY	UNCONTROLLABLE FACTORES	EVIDENCE / INCIDENTS
<i>Critical areas in which an employee must perform to enable the component to function efficiently and effectively.</i>	<i>What should the result be that indicates that the main objectives had been achieved successfully?</i>	<i>Total weight = 100 % - reflects the importance & frequency of the individual output.</i>	<i>Specific activities, which need to be done in order to achieve the desired output.</i>	<i>Criteria (quantitative/qualitative) describing what is meant by performing one's job well.</i>	<i>Indicates a commitment date for completion of output.</i>	<i>Circumstances beyond the control of the employee and manager, e.g. budgetary constraints, disasters.</i>	<i>Collect relevant data to support level of performance. (To be used after planning phase in preparation for reviews and appraisal)</i>
Cleaning.	Cleaned classrooms, library, administrative block, school hall and toilets.	30%	<ul style="list-style-type: none"> • Sweeping. • Mopping. • Dusting. • Empty waste bins in classroom. • Washing basins and toilets. • Disinfecting toilets and passageways. • Vacuuming. • Refilling toilet paper holders. • Removing refuse. • Washing walls and doors. • Washing windows. • Polishing. 	<ul style="list-style-type: none"> • Spotless. • Quarterly spring cleaning. 	<ul style="list-style-type: none"> • Daily. • Quarterly spring cleaning to be completed by the following dates: 30.06.04 31.09.04 13.01.05 07.04.05 	<ul style="list-style-type: none"> • Lack of equipment. • Lack of bins. 	

I agree with the content of this Individual Performance Plan.

Jobholder: _____ Supervisor: _____ Manager: _____

Date: _____ Date: _____ Date: _____

Note: Any further substantiating information may be furnished by adding additional pages. In case of disagreement, the appeal procedure may be followed.

ANNEXURE A

MAIN OBJECTIVES (KEY PERFORMANCE AREAS)	PERFORMANCE OUTPUTS	WEIGHT (PER PERFORMANCE OUTPUT)	ACTIVITIES	KEY PERFORMANCE STANDARDS (HOW ?)	TARGET DATE/ FREQUENCY	UNCONTROLLABLE FACTORES	EVIDENCE / INCIDENTS
<i>Critical areas in which an employee must perform to enable the component to function efficiently and effectively.</i>	<i>What should the result be that indicates that the main objectives had been achieved successfully?</i>	<i>Total weight = 100 % - reflects the importance & frequency of the individual output.</i>	<i>Specific activities, which need to be done in order to achieve the desired output.</i>	<i>Criteria (quantitative/ qualitative) describing what is meant by performing one's job well.</i>	<i>Indicates a commitment date for completion of output.</i>	<i>Circumstances beyond the control of the employee and manager, e.g. budgetary constraints, disasters.</i>	<i>Collect relevant data to support level of performance. (To be used after planning phase in preparation for reviews and appraisal)</i>
Gardening/ maintaining ground.	Well-kept grounds.	20%	<ul style="list-style-type: none"> Mowing lawn. Planting flowers, grass, plants and shrubs. Irrigating garden. Removing refuse. Cleaning gutters. 	<ul style="list-style-type: none"> Neatly. Litter free at the close of day. Unblocked gutters. 	<ul style="list-style-type: none"> Every second Monday. Daily. Monthly during March to June. 	<ul style="list-style-type: none"> Lack of gardening equipment. Stormy weather. 	
Maintenance.	Minor maintenance done.	20%	<ul style="list-style-type: none"> Minor reparation to: locks, doors and fencing. Electrical fittings unblock drains, roofing and ceilings. 	<ul style="list-style-type: none"> Meticulously and all equipment, fittings etc repaired should be in working order. 	<ul style="list-style-type: none"> On day provision supplied Within 1 week, unless situation demands immediate attention 	<ul style="list-style-type: none"> Lack of required tools. 	
Safety and security.	Secured and safe environment.	20%	<ul style="list-style-type: none"> Lock doors. Activate alarms. Remove dangerous objects. 	<ul style="list-style-type: none"> Meticulous and in accordance with safety plan. 	<ul style="list-style-type: none"> Daily 	<ul style="list-style-type: none"> Excessive vandalism and theft. 	
Support service.	Completed ad hoc tasks pertaining to the purpose of the post.	10%	<ul style="list-style-type: none"> Support at school functions/ extra curricula activities. Assisting with printing. 	<ul style="list-style-type: none"> Successful event preparation. Promptly, correctly. Copies to be collated in the correct order. 	<ul style="list-style-type: none"> According to the events roster, i.r.o the 40-hour workweek. As the situation demands. Quarterly, in preparation for exams. 	<ul style="list-style-type: none"> Dependant on other role-players. 	
<p>I agree with the content of this Individual Performance Plan.</p> <p>Jobholder: _____ Supervisor: _____ Manager: _____</p> <p>Date: _____ Date: _____ Date: _____</p>							

Note: Any further substantiating information may be furnished by adding additional pages. In case of disagreement, the appeal procedure may be followed.



INDIVIDUAL DEVELOPMENT PLAN (IDP)					1 April 2003 to 31 March 2004				
Name: Tommy Thumbs			Station: Spineview Primary			Head Office / EMDC: South			
IDENTIFIED TRAINING/ DEVELOPMENT NEEDS	ACTION <i>(What/how, and provided by who?)</i>	TIME FRAME <i>(A commitment period for the completion of programme / When?)</i>	DESIRED OUTCOME FOR						
			EMPLOYEE	INSTITUTION/COMPONENT/ DEPARTMENT					
Problem solving skills required.	Mr T Thumbs will attend a CREATIVE PROBLEM SOLVING COURSE. The course will be provided by an external provider and funded by the WCED (WSP).	26 August 2003							
General Maintenance – Plumbing.	Mr T Thumbs will attend a minor PLUMBING COURSE offered by the foreman of a neighbouring school to all interested general assistants in the circuit.	27 September – 8 October 2003							
I agree with the content of this Individual Development Plan.									
Jobholder:		Supervisor:		Manager:					
Date:		Date:		Date:					

Note: Any further substantiating information may be furnished by adding additional pages. In case of disagreement, the appeal procedure may be followed.



PERFORMANCE REVIEW INSTRUMENT			
(Quarter) From _____ to _____			
Name: Tommy Thumbs		Station: Spineview Primary	Head Office / EMDC: South
Date of Review :			
PERFORMANCE OUTPUTS <i>(As in IPP.)</i>	PROGRESS <i>(Remarks not performance rating.)</i>	TRAINING OR DEVELOPMENT	DECISIONS AGREED ON
Cleaned classrooms, library, administrative block, school hall and toilets.	Acceptable, though needs to improve on how to solve problems.	Creative problem solving course.	Mr. X (Deputy Principal) will make a booking.
Well-kept grounds.	Acceptable. Grounds are generally neat.		
Minor maintenance done.	Acceptable. Maintenance in minor plumbing repairs needs to be addressed. Attended a basic electrical course last quarter and became very handy with electrical repairs.	Basic plumbing course.	Mr. X (Deputy Principal) will make a booking.
Secured and safe environment.	Commendable. Very cautious. Regularly inspects fence. Reports holes and mends the fence the same day.		
Completed ad hoc tasks pertaining to the purpose of the post.	Commendable. Very eager and obliging to help with venue preparations (seating arrangements, sound equipment etc.) for school functions/ extra curricula activities. Reflects good organising skills.		
I agree with the content of this Performance Review Instrument.			
Jobholder:		Supervisor:	
Date:		Date:	

**Note: Any further substantiating information may be furnished by adding additional pages.
In case of disagreement, the appeal procedure may be followed.**



PERFORMANCE APPRAISAL INSTRUMENT		1 April 2003 to 31 March 2004	
Name: Tommy Thumbs		Station: Spineview Primary	
		Head Office / EMDC: South	
PERFORMANCE OUTPUTS	WEIGHT (per Performance Output) %	OVERALL RATING (per Performance Output) (1-5)	WEIGHTED SCORE (=Weight x Rating)
Cleaned classrooms, library, administrative block, school hall and toilets.	30%	3 x .30	0.9
Well-kept grounds.	20%	3 x .20	0.6
Minor maintenance done.	20%	3 x .20	0.6
Secured and safe environment.	20%	4 x .20	0.8
Completed ad hoc tasks pertaining to the purpose of the post.	10%	4 x .10	0.4
	100 %		3.3 (Total weighted score)
OVERALL RATING FOR PERFORMANCE CYCLE	3	CATEGORY (Unacceptable = 1/Borderline = 2/Acceptable = 3/Commendable = 4/Outstanding = 5) : Acceptable	
I agree with the overall rating as reflected in this Performance Appraisal Instrument.			
Jobholder:		Supervisor:	
Date:		Date:	
Comments:			
Manager:			
Date:			

**Note: Any further substantiating information may be furnished by adding additional pages.
In case of disagreement, the appeal procedure may be followed.**