

PERFORMANCE MANAGEMENT

AND

DEVELOPMENT

POLICY

DEPARTMENT OF SAFETY, SECURITY AND LIAISON

TABLE OF CONTENTS

<u>ITEM</u>	<u>PAGE NO.</u>
1. Introduction	3
2. Scope of Application	3
3. Objectives	3
4. Legislative Framework	3
5. Principles of Performance Management and Development	4
5.1 Performance Instrument Format	4
5.2 Results Orientated	4
5.3 Training and Development	5
5.4 Openness, Fairness and Objectivity	5
5.5 Feedback	5
6. Performance Management Process	5
6.1 Planning and Contracting	5
6.2 Performance Reviews and Evaluation	6
6.3 Performance Assessment Cycle	6
6.4 Outcome of the Assessment	6
6.5 Rewarding Excellent Performance	7
6.5.1 Categories for incentives	7-8
6.6 None Compliance	8
7. Managing Unsatisfactory Performance	9
7.1 Employees on Probation	9
7.2 Employees who have been appointed permanently	9
7.3 Contract Employees	10
8. Roles and Responsibility	10
8.1 Employees	10
8.2 Supervisors	10
8.3 Performance Management Committee	11
8.4 Human Resource	11
8.5 Head of Department	12
9. Policy Review	12

PERFORMANCE MANAGEMENT AND DEVELOPMENT POLICY

1. INTRODUCTION

The Department acknowledges the importance of developing and implementing a Performance Management System. Performance Management is an ongoing process of ensuring that all available resources perform to their maximum in order to achieve desired results and delivery on strategic goals.

Performance Management involve establishing systems, building processes, promoting a culture of fairness and diversity and the development of rapport to ensure the implementation of both strategic and operational objectives.

Performance Management is a key tool in Human Resources Management as it ensures that the assessment of individual employees contribute to improved delivery of services.

2. SCOPE OF APPLICATION

The policy applies to all employees of the Department of Safety, Security and Liaison, who are employed in terms of the Public service Act, 1994 as amended.

3. OBJECTIVES

The implementation of the Performance Management Policy has the following objectives:

- To improve the entire organizational performance.
- To ensure that employees are aware of the level of performance expected and that their strengths and potential are linked with departmental priorities.
- To align individual employee performance to departmental strategic and operational goals.
- To manage individual and departmental performance in a consultative, transparent and supportive manner to enhance efficiency and effectiveness in service delivery.
- To identify, recognize and reward excellent performance.
- To identify and improve poor performance.
- To ensure corrective placement, career pathing and the overall development of employees.
- To provide guidelines to ensure that the assessment process is fair and promote accountability in implementing remuneration and promotion policies.

4. Legislative Framework

- The Constitution of the Republic of South Africa Act 106 of 1996, which promotes the cultivation of good Human Resource Management and Career Development practices to maximize human potential.
- The Public Service Act, (Act of 1994) provides guidelines for dealing with inefficient employees and the handling of misconduct cases.

- The Public Service Regulation (Part V111) requires an Executing Authority to determine a system of Performance Management and the development of all employees.
- The Labour Relations Act (Act no 66 of 1995) promotes fair labour practices and places certain obligations on the employer to take remedial action before terminating employment.
- The Skills Development Act (Act 97 of 1998) requires the employer to develop and improve the skills of employees and ensure the quality of education and training in the workplace.
- The Basic Conditions of Employment Act (Act no 75 of 1997) places certain obligations on the employer to maintain fair labour practices.
- The Employment Equity Act (Act no 55 of 1998), which aims to promote equal opportunities and fair labour treatment in employment through the elimination of unfair discrimination.
- The White Paper on Human Resources Management in the Public Services (1997), which provides guidelines in the management of poor performance.
- The White Paper on the new Employment Policies in the Public Service (1997) outlines the principles of PMS to ensure effectiveness and efficiency in the delivery of services.
- The White paper on the Transformation of Public Service Delivery (Batho- Pele 1997), which ensures that performance management procedures must include the assessment of the performance of individual staff members in contributing to improved services to the public.
- The Limpopo Province Performance Management System Policy, which provides guidelines on uniform implementation of Performance Management Systems within the Provincial Administration.
- Policy guidelines and Directives as issued by the Department of Public Service and Administration (DPSA).

5. PRINCIPLES OF PERFORMANCE MANAGEMENT SYSTEMS

5.1 Performance Instrument format

All employees of the department will sign memoranda of understanding on performance. The elements of the memoranda of understanding (standard Framework where applicable) will be the same for all employees on salary level 1-12 and all members of the Senior Management Service will utilize the Balance Score Card as adopted by the Provincial Administration.

5.2 Results Orientated

The performance of all employees shall be assessed on the basis of an agreed work plan, which will cover a specific period indicating the areas of responsibility and the objectives to be achieved together with time frames for achieving these objectives.

5.3 Training and Development

The Performance Assessment will identify individual strengths and they will be linked to departmental priorities. The Performance Assessment will also identify weaknesses and both the incumbent and the supervisor will agree on the interventions to address them. A personal development plan will be developed and agreed upon by both parties and time frames shall be set for achieving them.

5.4 Openness, Fairness and Objectivity

All employees of the department are compelled to comply with the Performance Management System of the department and failure to do so will lead to a misconduct case.

Performance Management Systems shall be fairly and uniformly implemented across all levels of employment.

Performance Instruments shall be developed in a consultative manner and the assessment of performance shall be the result of discussions between the supervisor and supervisee.

5.5 Feedback

Throughout the year employees should be given feedback on their performance. Supervisors should conduct informal and formal performance review meetings with the aim of giving honest, open, direct and constructive feedback regarding KRAs, competencies and development areas.

6. PERFORMANCE MANAGEMENT PROCESS

6.1 Planning and Contracting

Process Flow;

- Departmental Strategic Plan
- Departmental Annual Performance Plan
- SBU's Annual Performance Plan
- Individual Performance Instrument

6.1.1 The Departmental Annual Performance Plan and Directorate's Operational Plans should inform Individuals/ teams Performance Instrument (PI).

6.1.2 Every individual within the Department must develop a relevant Performance Management Instrument in conjunction with the supervisor/manager concerned.

6.1.3 Each individual's activities must support the departmental business plans outlined above.

6.1.4 Each PI should reflect *inter alia*, Key Performance Areas (KPA's), Key Performance

Indicators (KPI's), Time-lines, Enablers (Resource requirements), Competences required, Developmental requirements and should be signed off by contracting parties.

6.2 Performance Reviews and Evaluation.

Performance evaluation will be based on the signed memorandum of understanding (between the supervisor and supervisee) and will only consider information contained in the performance instruments.

Performance Assessments will result from discussions between the parties involved and the weighting of scores will be based on hard copy proof or supporting documents.

All review documents will be submitted to the assessors' supervisor for verification purposes to ensure transparency and fairness. **For SMS members, two formal reviews are adequate, according the SMS handbook (one review for the first six months of the period and final evaluation).**

6.3 Performance Assessment Cycle

- The Performance Management cycle will be in line with the financial year and will consist of 12 months.
- The first quarter will be from the 1st of April- 30 June and all performance reviews will be due by the **31st of July.**
- The second quarter will be 01 July- 30 September and all reviews will be due on the **31st of October.**
- The third quarter will be 01 October- 31 December and all reviews will be due on the **31st of January.**
- The last quarter will be 01 January- 31 March and the annual assessment will be due on the **30th April.**

Employees who will be appointed/ promoted to a higher notch after the first quarter has commenced will be considered for rewards in the following cycle. All employees will be required to complete a 12 months cycle beginning on the 01st April to 31 March of a financial year to qualify for performance rewards, by the Provincial Administration and the MEC.

All employees are required to sign Performance Instruments with their respective supervisors three months after appointment/ promotion/ transfer.

6.4 Outcome of the Assessment

Employees who are not satisfied with the assessment process may refuse to sign the review document and both the supervisor and the incumbent will decide the appeal route, which might be any of the following:

- The matter may be referred to the moderator (supervisor's supervisor), who will assess the incumbent.

- If that fails the matter will be referred to the Head of Strategic Business Unit.
- The matter will be referred to the Head of Department assisted by the Performance Management Committee.
- A fellow employee or trade union may assist/ represent the employee.

If the incumbent is still not satisfied with the results of the assessment then the normal dispute procedures may be followed as per PSCBC Resolutions and the Dispute Resolution procedure as contained in the Labour Relations Act (Act 66 of 1995)

All signed copies of assessments will be submitted to Human Resource Office and will be filed in the PMS file of the employee.

6.5 Rewarding Excellent Performance

Employees, who have performed exceptionally well, shall be identified, recognized and rewarded accordingly in line with the Provincial Policy and / or guidelines. The aim of this practice is to encourage them to maintain high standards and encourage others to strive for improved performance.

The department shall annually make provision for 1.5% of the personnel budget for the purpose of granting of incentives.

The criteria of rewarding employees will be aligned to the collective agreements on pay progression as agreed to in the PSCBC.

**Employees will qualify for rewards/incentives based on three (3) quarterly assessments and the last one being the annual assessment.
Exception will be granted for employees on maternity and sick leave. The period and type of authorized leave will not prejudice the personal assessment of any employee.**

Both the new and previous supervisors will do assessment of employees on transfer from other government departments.

6.5.1 Categories for incentives

The following is an indication for paying incentives in terms of categories.

Salary levels 1 to 10

POINTS	PERCENTAGE	RATING	MEANING	PAY PROGRESSION	% OF AWARDS/BONUS
736 to 750+	150% and above	5+	Outstanding performance	1 notch (1%)	13% to 18%
676 to 735	130% to 149%	5		1 notch (1%)	9% to 12%
526 to 675	115% to 129%	4	Commendable performance	1 notch (1%)	5% to 8%
376 to 525	100% to 114%	3	Satisfactory	1 notch (1%)	No award

226 to 375	70% - 99%	2	performance Marginal performance	No pay progression	No award
150 to 225	69% and lower	1	Unsatisfactory performance	No pay progression	No award

Salary levels 11 to 12

POINTS	PERCENTAGE	RATING	MEANING	PAY PROGRESSION	% OF AWARDS/BONUS
736 to 750+	150% and above	5+	Outstanding performance	1 notch (1%)	10% to 14
676 to 735	130% to 149%	5		1 notch (1%)	7% to 9%
526 to 675	115% to 129%	4	Commendable performance	1 notch (1%)	4% to 6%
376 to 525	100% to 114%	3	Satisfactory performance	1 notch (1%)	No award
226 to 375	70% - 99%	2	Marginal performance	No pay progression	No award
150 to 225	69% and lower	1	Unsatisfactory performance	No pay progression	No award

SMS members (NB. An assessment calculator provided by DPSA is used to determine the scores)

Performance Groups	Performance Categories	Percentages	Outcomes
Above Satisfactory Performance	Outstanding performance	150% - 167%	Notch increase Cash bonus 10% - 14%
	Performance significantly above expectations	130% - 149%	Notch increase Cash bonus 5% - 9%
Satisfactory Performance	Performance not fully effective	100% - 129%	Notch increase No cash bonus
Below Satisfactory Performance	Performance not fully effective	70% - 99%	No notch increase No cash bonus
	Unacceptable Performance	69% and Below	No notch increase No cash bonus

- Non monetary rewards in the form of certificates, accolades, gifts, etc, special leave may be considered.

6.6 None Compliance

None and or late submission of documents will be regarded as a misconduct and will result in employees not being considered for incentives. All employees are urged to observe the Performance Assessment Cycle as state in **6.3** above.

7. MANAGING UNSATISFACTORY PERFORMANCE

Where performance has not matched the required work standards, the assessment shall seek to establish reasons for poor performance and suitable action should be recommended. Both the supervisor and supervisee must mutually agree on steps to be taken to effect improvement and such steps shall be linked to time frames.

Supervisors are responsible for dealing with the under performance of employees on continuous basis.

7.1 Employees on Probation

If all attempts by the supervisor and the employee have failed to yield results, poor performance of employees on probation will be dealt with in the following manner as prescribed in the Public Service Regulation:

- Provision of additional training and retraining.
- Refer the employee to the Employee Assistance Program for Counseling, Coaching and Support.
- Extension of the probation period by a maximum of 6 months over and above the twelve months {12} probation period.
- If after 18 months, there is still no improvement of performance the employer may implement any of the following depending on the nature and extent of poor performance:
 - Appoint the person at a lower level with the consent of the employee, if a post is available
 - Declare the employee incompetent and terminate employment in line with the Public Service Grievance and Disciplinary Procedures

7.2 Employees who have been appointed permanently

Supervisors are responsible for monitoring the performance of employees and implementing corrective action.

The supervisor must take the following into consideration before implementing corrective action:

- Ensure that the employee understands the performance standards.

- Ensure that enabling tools are available (facilities and resources).
- Ensure that the employee is competent to meet the desired results.
- Ensure that training and retraining has been provided.
- Ensure that the employee has been referred to the Employee Assistance Program for Counseling, Coaching and Support.
- Make recommendations for the consideration of redeploying the employee to another section within the department.

In the event that under performance continues despite the implementation of all measures the supervisor will evoke Public Service Grievance and Disciplinary Procedures.

7.3 Contract Employees

Contract employees will be dealt with in the same way as employees who have been appointed permanently.

8. ROLES AND RESPONSIBILITIES

The department shall implement a performance management policy, which will guide performance management of employees. Human Resource will provide support and guidance in the process of implementing the policy and ensure that all employees are consulted before the adoption of the policy.

8.1 Employees

- Development of their own Memorandum of Understanding and Performance Agreements in consultation with their supervisors.
- Sign Performance Instruments with supervisors.
- Deliver outputs and achieve targets as agreed in the Performance Instruments.
- Provide self-assessment and supporting documents.
- Co-operate with corrective measures and the implementation of a personal development plan.

8.2 Supervisors

- Ensure that all staff in their components have Performance Management Instruments.
- Meet employees regularly to discuss the role of the employee and establish a link with objectives of the component.
- Feedback is provided during reviews and corrective measures are taken to improve areas of weaknesses in line with the principles outlined in the policy.

- Assess employee performance and ensure that a personal development plan for addressing deficiencies has been developed.
- Half yearly reviews and annual appraisals are carried out in time.
- Ensure that all employees under their supervision comply with the Performance Management Systems.

8.3 Performance Management Committee

The Performance Management Committee will be constituted by Line Managers and organized labour for level 1-12, General Managers for level 13 and The Head of Department will be responsible for General Manager's assessment. The committee will convene on six months basis to monitor and assess compliance.

The Senior Manager HRM will chair the committee for salary level 1-12, the General Manager: Corporate Services will chair the committee for salary level 13 and the Head of Department will chair the committee for Salary level 14 and upwards.

The committee will have the following roles:

- Review implementation of policy.
- Provide technical advice to the supervisors and Head of Department.
- Ensure consistency in the implementation of policy.
- Recommend the recognition and the payment of rewards for excellent performers.
- Assess overall performance of the department.
- Recommend the nullification of outcomes of assessments in the events that inconsistencies and/ or deviations are detected.

8.4 Human Resource

- Recommend nominations for the Performance Management committee to the Head of Department.
- Provide secretarial services to the committee.
- Implement decisions recommended by the committee and/ or directives by the Head of Department.
- File all records of Performance Instruments, assessments and reviews.
- Provide the committee with Strategic Business Unit assessment percentages and all working documents.

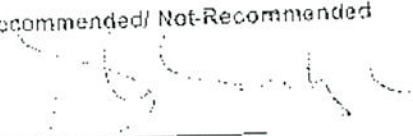
2.5 Head of Department

- Ensure that all members of Senior Management Services have signed their Performance Instruments
- Conduct quarterly reviews and evaluations for all members of the Senior Management Service, Government Information and Technology officer and the Risk Manager
- Accountable to the Member of the Executive Council and EXCO for providing strategic direction of the department with regard to Performance Management
- Approve recommendation of the Performance Management Committee

9. POLICY REVIEW

The policy shall be reviewed whenever a need arises

Recommended/ Not-Recommended




Mr. M.S. Thobakgale

Head of Department



Date

APPROVED/ NOT APPROVED



MR. R.S. NDOU
EXECUTING AUTHORITY (MEC)



Date