



National Diploma Animal Farm Staff Management

Handout 15 PDMS



Policy and Procedure on Performance and Development Management

Status:	Approved
Custodian:	Human Resources Directorate
Date approved:	2013-03-15
Decision number:	SAQA 1299/13 (Amendment to Templates approved on 2013-07-17)
Implementation date:	2013-03-16
Due for review:	2016-03-15
File number:	

POLICY AND PROCEDURE ON PERFORMANCE AND DEVELOPMENT MANAGEMENT

“In pursuit of service Excellence”

Contents

1. PREAMBLE3

2. SHORT TITLE AND COMMENCEMENT3

3. SCOPE OF APPLICATION.....3

4. AIM3

5. PRINCIPLES OF PERFORMANCE MANAGEMENT3

6. THE KEY ROLE PLAYERS4

7. THE PERFORMANCE AND DEVELOPMENT MANAGEMENT PROCESS5

8. PERFORMANCE IMPROVEMENT PROCEDURE8

9. DISPUTE RESOLUTION9

10. POLICY AUDIT9

1. PREAMBLE

1.1 This is a streamlined, simplified process and system by which to manage the performance and the development of staff members within the South African Qualifications Authority (SAQA). This process is designed to assist the line manager to:

- 1.1.1. Direct the efforts of all the staff within their spans of control, to achieve strategic objectives in a manner which promotes optimal service delivery;
- 1.1.2. Identify and timeously take constructive remedial action, where objectives have not been met;
- 1.1.3. Recognise and reward staff for their performance in relation to their job requirements/outputs;
- 1.1.4. Build capacity amongst staff to meet future service delivery requirements; and balancing resources with strategic objectives;
- 1.1.5. Deliver the services required of staff;
- 1.1.6. Reward staff for exceptional performance;
- 1.1.7. Ensure staff member's personal growth and development in their respective career paths; and
- 1.1.8. Align individual aspirations with SAQA and the Directorate's objectives.

2. SHORT TITLE AND COMMENCEMENT

This policy shall be called the Policy and Procedure on Performance and Development Management effective from 01 April 2013.

3. SCOPE OF APPLICATION

This policy applies to all staff members employed by SAQA on a:

- 3.1.1 Permanent basis; or
- 3.1.2 Fixed term contract.

4. AIM

The aim of this Policy and Procedure is to provide a uniform Performance and Development Management system for SAQA which makes provision for:

- 4.1.1 The setting of the key result areas;
- 4.1.2 Assisting in career planning;
- 4.1.3 Assessing current performance ;
- 4.1.4 Reviewing past performance; and
- 4.1.5 Improving current performance.

5. PRINCIPLES OF PERFORMANCE MANAGEMENT

The Policy on Performance and Development Management shall be directly linked to SAQA's strategic plan, in the sense that it provides for:

- 5.1 The translation of the strategic plan into sharper operational focus areas;
- 5.2 Organisational objectives to be cascaded and aligned throughout the organisation;
- 5.3 The management of performance and staff development to be the responsibility of every line manager, and shall be done in a consultative, supportive and non discriminatory manner;
- 5.4 Personal development to be an enabler and an integral part of the Performance Management Process
- 5.5 Performance assessments to be objective and consistent;
- 5.6 Every staff member to take responsibility for her/his own performance;

Policy and Procedure on Performance and Development Management
Status: Approved
Date: 2013-07-17
File Reference:

- 5.7 Performance and development management to be used as a tool to objectively assess the individual and collective performance of staff member/s;
- 5.8 Performance and Development Management to be development orientated and aimed at cultivating good human resource management and career development practices; and
- 5.9 Each line manager to strive to promote productivity, while at the same time providing her/his staff with the opportunity to experience job satisfaction.

6. THE KEY ROLE PLAYERS

The staff member and line manager shall complete the performance contract, mid-term review and final assessment forms, in accordance with specified timelines.

The following people shall participate in the performance management process by doing the following:

6.1 The staff member will:

- 6.1.1 Assess her / his own progress according to her / his performance agreement/elements, for the period under review and allocate performance ratings accordingly for review/assessment purposes.
- 6.1.2 Ensure that feedback is sought from the line manager to which the staff member reported during the period under review;
- 6.1.3 Bring to her / his line manager's attention, significant other key result areas that were delivered during this period and which are not contained in the performance agreement, where applicable, and/or performance which she/he regards as being meritorious, and to motivate why she/he regards such performance as being meritorious;
- 6.1.4 Give input on areas of performance, which the line manager has identified as not being satisfactory, together with relevant remedial procedures;
- 6.1.5 Deliver the key result areas according to the standards contained in the performance agreement;
- 6.1.6 Keep and maintain a record of all key result areas achieved.

6.2 The line manager will:

- 6.2.1 Manage the staff member's performance in full compliance with all directives governing performance management;
- 6.2.2 Give regular encouragement by means of both formal and informal communication;
- 6.2.3 Assess the staff member's progress according to her / his performance agreement/elements for the period under review, provide feedback and allocate performance ratings accordingly;
- 6.2.4 Where appropriate, give recognition to the staff member for good performance rendered during the cycle under consideration, and motivate why such performance is regarded as being praise-worthy;
- 6.2.5 Identify performance areas which have been perceived as requiring improvement, and to motivate why she/he regards the performance as not being up to standard;
- 6.2.6 Identify and record (further) remedial steps which will be taken to mitigate factors which have hampered the staff member's performance;
- 6.2.7 Review the staff member's performance agreement, where appropriate, to ensure that its validity remains current;
- 6.2.8 Record her / his comments on all the above;
- 6.2.9 Give feedback of all performance assessment results to the line manager's Manager; and
- 6.2.10 Keep and maintain a record of key result areas achieved.

6.3 The Human Resources Directorate will:

- 6.3.1 Facilitate the performance management process upon request.

The presence of an HR representative at such session/s is optional and will happen only at the request of the line manager or the employee. In an instance where the presence of HR has been requested, this will be limited to assisting in the execution of the process.

6.4 The line manager's Manager will:

- 6.4.1 Ensure consistent and objective application of the performance management policy; and
- 6.4.2 Attempt to resolve grievances resulting from performance management process, wherever possible and as speedily as possible.

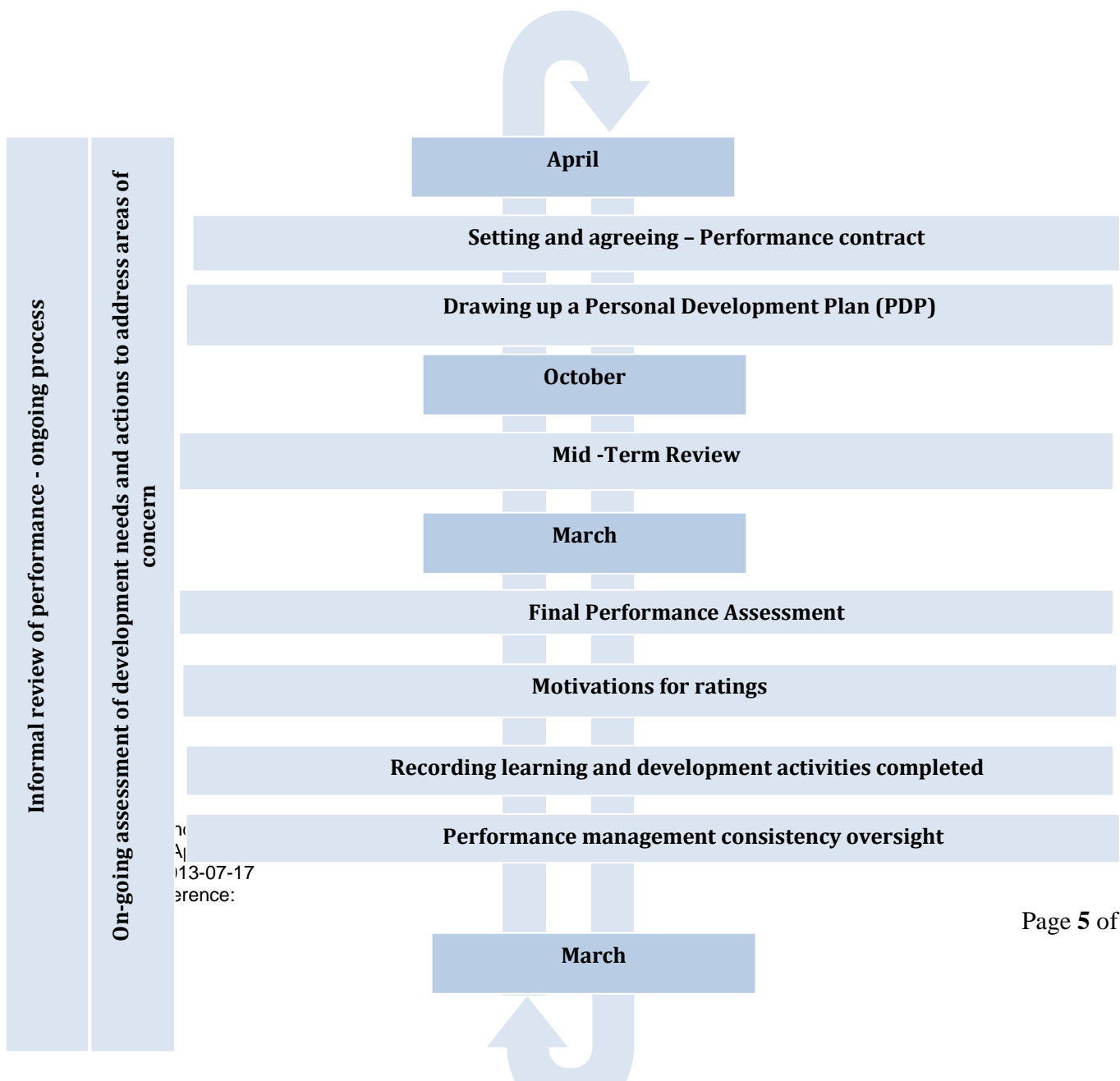
6.5 The Chief Executive Officer will:

- 6.5.1 Ensure comprehensive and effective communication and adherence to the Policy throughout SAQA.

6.6 The Representative Union Site Steward will:

- 6.6.1 Observe, monitor and advise in respect of a fair and correctly implemented performance management process, upon request by a staff member; and
- 6.6.2 Represent the union member, in accordance with policy and labour relations regulations.

7. THE PERFORMANCE AND DEVELOPMENT MANAGEMENT PROCESS



7.1 DRAWING UP THE PERFORMANCE CONTRACT (Appendix A)

7.1.1 A performance contract will be:

- 7.1.1.1 Developed for each staff member on an annual basis in April but not later than one calendar month after April each year or developed for a new staff member at the end of her/his probationary period;
- 7.1.1.2 Developed by the immediate line manager, in consultation with the staff member for input and ratification by the line manager's manager; and
- 7.1.1.3 Agreed, signed and dated by the line manager and staff member, ratified by the line managers' manager and come into effect from 1 April each year.
- 7.1.1.4 The performance management cycle shall commence annually on April each year and remain in effect for a period of twelve continuous calendar months, and in the case of a staff member appointed on a short term basis, for the duration of her/his period of employment.
- 7.1.1.5 A line manager will within one calendar month after the commencement of a staff member's performance period, explain the performance and development management system to the staff member and inform the staff member of the criteria used for her / his drawing up the contract and conducting of the mid-term review & the final assessment.

7.1.2 Weighting

- 7.1.2.1 The weighting is to be allocated to each key result area according to the relative importance, impact, priority and the time investment required to execute the key result area.
- 7.1.2.2 The final scores will be calculated according to the weightings.

7.1.3 Personal Development Plan (PDP)

The line manager and the Staff member need to identify the appropriate learning and development activities and initiatives as well as ensure that these are agreed to and documented. The PDP is person-specific and consists of two components:

- 7.1.3.1 Learning and development on core competencies required to achieve SAQA's Strategic objectives, Directorate Strategic & operational plans; and
- 7.1.3.2 Learning and development that is needed in order to advance the staff member's career at SAQA.

The line managers will determine what development is to be supported and when. This support can be in the form of Employee Education Assistance, Leave Policy, mentoring etc. Not all learning and development activities may be accommodated/supported by SAQA in any given year. Some of the factors that need to be considered include:

- 7.1.4 Priorities and operational requirements of the Directorate;
- 7.1.5 Fairness and equal opportunities for all staff;
- 7.1.6 Costs (money and time);
- 7.1.7 SAQA Learning and Development Policy;
- 7.1.8 Identification and removal of barriers to achieving employment equity; and

7.2 MID-TERM REVIEW (Appendix B)

7.2.1 The line manager will meet with each staff member to review the performance:

- 7.2.1.1 In the middle (halfway through) of the performance period; and

Policy and Procedure on Performance and Development Management
Status: Approved
Date: 2013-07-17
File Reference:

- 7.2.1.2 The employee's actual performance will be assessed and rated against her / his performance contract.
- 7.2.2 The purpose of the review is to:
 - 7.2.2.1 Review actual performance against key result areas and measures and determine the level of such performance against agreed criteria;
 - 7.2.2.2 Ensure that plans are developed to improve performance in a supportive climate;
 - 7.2.2.3 Determine the impact of the development initiatives on personal and Directorate performance;
 - 7.2.2.4 Review the development plan and amend/update the plan where appropriate;
 - 7.2.2.5 Recognize achievements and identify achievements that were not part of the original objectives;
 - 7.2.2.6 Note barriers to performance and through a process of coaching and interaction develop action plans to resolve the barriers to performance; and
 - 7.2.2.7 Give feedback to the line manager on the support agreed in the objective setting process.
- 7.2.3 Any amendment / update made to a performance contract or mid-term review (for all staff), must:
 - 7.2.3.1 Be mutually agreed upon between the relevant line manager and staff member;
 - 7.2.3.2 Be signed and dated by the staff member, line manager and line manager's manager; and
 - 7.2.3.3 Come into full effect from a date mutually agreed upon between the line manager and the staff member.

7.3 FINAL PERFORMANCE ASSESSMENT (Appendix C)

- 7.3.1 The line manager will meet with each staff member to conclude the final performance assessment in the last month of the performance period;
- 7.3.2 In this meeting the employee's performance will be assessed against her / his performance contract; and
- 7.3.3 This formal assessment will take into consideration the outcome of the mid-term review and determine final performance level of the employee for the period under review.

7.4 Performance rating scale

The allocation of performance ratings to a staff member shall be made according to the following five point rating scale:

Description	Rating
Consistently exceeds the required standard of performance	5
Significantly higher than the required standard of performance	4
Fully meets the required standard of performance	3
Below the required standard of performance	2
Does not meet the required standard of performance	1

- 7.4.1 Where a staff member is given a final (Overall) rating of 2 or 1, evidence in substantiation thereof as well as proof of remedial steps taken to address and/or eliminate the performance barriers or other causes for under-performance, shall be provided by the line manager; **(This must be read in conjunction with the Performance Improvement Procedure – clause 8 - below);**
- 7.4.2 Where a staff member disagrees with a rating allocated by her / his line manager under any key result area, such a staff member shall provide evidence in substantiation of an alternative rating;
- 7.4.3 Where she/he cannot provide such, the rating allocated by her / his line manager shall be maintained;

- 7.4.4 Where a staff member is given a final (Overall) rating of 5 or 4, evidence in substantiation thereof must be provided;
- 7.4.5 On conclusion of the annual formal performance assessment of a staff member, the line manager of such staff member shall submit the completed, rated, signed and dated performance assessment form to the Director for submission ratification/approval.

8. PERFORMANCE IMPROVEMENT PROCEDURE

This is the procedure to be followed where a staff member does not meet the required standard of performance.

The objective of this procedure is to correct and/or improve performance. The procedure is a positive one and is not meant to be punitive. However, to accommodate the possibility that poor performance may not always be corrected, the procedure has to also cover the possible termination of the employment contract.

8.1 Performance Improvement Plan

The number of Performance Improvement Plan meetings is not prescribed in this procedure but rather depends on the circumstances of each case. The number of meetings may be indicated by factors such as the degree of poor performance, the possible consequence for SAQA, etc. The process described below suggests three meetings but this is just a guide; one may have fewer or more meetings depending on the circumstances.

8.1.1 Preliminaries to the first Performance Improvement Plan meeting

- 8.1.1.1 Where a staff member does not meet the required standard of performance the manager shall give the staff member notice to attend a meeting to discuss a Performance Improvement Plan; and
- 8.1.1.2 It is desirable that this meeting be held as soon as possible after the review process.

8.1.2 The first (1st) meeting: Performance Improvement Plan

- 8.1.2.1 Sections 1 to 4 of the Performance Improvement Plan form must be discussed;
- 8.1.2.2 The performance requirements that are expected must be clarified. Corrective measures must be discussed. These may include, if deemed necessary, additional on-the-job training, courses, reading, counseling etc;
- 8.1.2.3 A date for a follow-up meeting shall be set to review the staff member's performance;
- 8.1.2.4 The period between meetings depends on the nature of the work performed, the period over which performance can be measured and the seriousness of the poor performance. Informal feedback between the formal reviews should take place; and
- 8.1.2.5 The Performance Improvement Plan form must be completed.

8.1.3 The second (2nd) meeting: Review of Performance Improvement Plan

- 8.1.3.1 Regardless of whether performance has improved, remained the same or deteriorated, the follow-up meeting shall take place on the scheduled date (8.1.2.4 above must be taken into consideration here);
- 8.1.3.2 If performance has improved to an acceptable level the staff member and line manager will complete sections 5 and 6 thereafter, the progress reviews that are part of the general performance management system will be used for feedback. This would mark an end to the use of the procedure in this agreement;
- 8.1.3.3 If performance has not improved to an acceptable level, and depending on the seriousness of the failure to meet required standard of performance, the manager may indicate the possibility of the employment relationship being reviewed with the possibility of the contract being terminated if performance does not improve by the next meeting;
- 8.1.3.4 A date to review performance again shall be set and the informal feedback between the formal reviews should take place;

- 8.1.3.5 After the meeting, the staff member shall be given a copy of the completed Performance Improvement Plan; and
- 8.1.3.6 Where, in 8.1.3.3 management has indicated that the employment contract could be terminated should there be no improvement in performance by the next meeting a letter to this effect shall also be given to the staff member.

- 8.1.4 The third (3rd) meeting
 - 8.1.4.1 Regardless of whether performance has improved, remained the same or deteriorated, the follow-up meeting shall take place on the scheduled date, or within 3 weeks of the scheduled date.
 - 8.1.4.2 If the manager believes that the staff member's performance has not improved, a chairperson will be nominated to chair the meeting. A member of the Human Resources Directorate will be in attendance.
 - 8.1.4.3 The Performance Improvement Plan (PIP) Review form must be completed.
 - 8.1.4.4 If the Chair finds that performance has improved to an acceptable level, this would mark the end to the use of the procedure in this agreement. Future feedback would follow the procedure detailed in the performance management agreement.
 - 8.1.4.5 If, however, the Chair finds that the staff member has not achieved the required standard of performance, the Chair may decide to hold further review meetings or to terminate the employment relationship. The contractual period of notice, or payment in lieu of this notice, shall be honored in the event of dismissal.
 - 8.1.4.6 Formal notice of the outcome of the review meeting shall be given to the staff member by the Chair. The Chair shall keep a full record of the third review meeting and shall make it available to the staff member, or his/her representative, on request.

9. DISPUTE RESOLUTION

In an instance where a staff member is dissatisfied with the nature or reasonableness of the duties being expected or deems the procedure followed to be unfair, the staff member may lodge a grievance or dispute.

SAQA commits to a speedy resolution of these matters, within the required timeframes.

10. POLICY AUDIT

A periodic audit will be conducted by the Human Resources Directorate or at the discretion of the Executive Office, when deemed necessary or as required from time to time, to ensure appropriate application of / and compliance with the Policy.

COVER PAGE- PERFORMANCE CONTRACT

CONTRACT PERIOD: 01 APRIL 2013 - 31 MARCH 2014

DETAILS OF EMPLOYEE AND LINE MANAGER

EMPLOYEE

FULL NAME (S)		SURNAME	
POSITION / JOB TITLE			
DIRECTORATE		SUB-DIRECTORATE	

LINE MANAGER

FULL NAME (S)		SURNAME	
POSITION / JOB TITLE			

LINE MANAGER'S MANAGER

FULL NAME (S)		SURNAME	
POSITION / JOB TITLE			



PERFORMANCE CONTRACT					
NO.	KEY RESULTS AREA (KRA) Maximum eight (8)	WEIGHT (KRA)	KEY ACTIVITIES	WEIGHT (OUPUTS)	* PERFORMANCE INDICATOR
	Please check your weighting	0%	Please check your weighting	0%	

* Ensure that the Performance Indicator(s) are **Specific, Measureable, Achievable, Realistic and Time-bound**, for example: Provide three cups of tea, as required by the managers twice a day (morning and afternoon) on every work day.

PERSONAL DEVELOPMENT PLAN

No.	KEY RESULT AREA	NAME OF PLANNED DEVELOPMENT ACTIVITY	INSTITUTION / PROVIDER	INTERNAL / EXTERNAL	NQF LEVEL	CREDITS	EXPECTED COMPLETION DATE	COST
1								
2								
3								
4								

SIGN OFF

This performance agreement has been agreed between the parties hereunder and shall be reviewed and assessed on the following dates:

1.	Mid - term review date		(yyyy/mm/dd)
and			
2.	Final performance assessment date		(yyyy/mm/dd)

SIGNATURES: The parties agree with the contents of this Performance Contract

EMPLOYEE		SIGNATURE		DATE	
LINE MANAGER		SIGNATURE		DATE	
LINE MANAGER'S MANAGER		SIGNATURE		DATE	

PERSONAL DEVELOPMENT PLAN (MID-TERM REVIEW)					
No	KEY RESULT AREA	NAME OF PLANNED DEVELOPMENT ACTIVITY	INSTITUTION /PROVIDER	DONE (Y/N)	ACTUAL COST
1					
2					
3					
4					
LEARNING OUTCOME					
No.	WHAT WAS LEARNED?	HOW HAS IT IMPROVED MY PERFORMANCE?	HOW HAS SAQA BENEFITED?		
	Not yet competent - NYC				
1					
	Competent - C				
2					
	Not yet competent - NYC				
3					
	Not yet competent - NYC				
4					
Comment by the staff member:					
Comment by the Line Manager :					

MID-TERM REVIEW - SIGN OFF

GUIDELINES:

5	Consistently exceeds the required standard of performance
4	Significantly higher than the required standard of performance
3	Fully meets the required standard of performance
2	Below the required standard of performance
1	Does not meet the required standard of performance

NAME (S)		SIGNATURES		Does not meet the required standard	COMMENT
SURNAME				FINAL SCORE:	0.00
POSITION/JOB TITLE				PERCENTAGE ACHIEVED:	0%
DIRECTORATE		EMPLOYEE			
SUB-DIRECTORATE				DATE (yyyy/mm/dd)	
		LINE MANAGER			
				DATE (yyyy/mm/dd)	
		LINE MANAGER'S MANAGER			
				DATE (yyyy/mm/dd)	
		Name(s)			
		Surname		DATE (yyyy/mm/dd)	
		Name(s)			
		Surname		DATE (yyyy/mm/dd)	

PERSONAL DEVELOPMENT PLAN (PERFORMANCE ASSESSMENT)					
No	KEY RESULT AREA	NAME OF PLANNED DEVELOPMENT ACTIVITY	INSTITUTION /PROVIDER	DONE (Y/N)	ACTUAL COST
1					
2					
3					
4					
LEARNING OUTCOME					
No.	WHAT WAS LEARNED?	HOW HAS IT IMPROVED MY PERFORMANCE?	HOW HAS SAQA BENEFITED?		
	Competent - C				
1					
	Not yet competent - NYC				
2					
	Competent - C				
3					
	Competent - C				
4					
<u>Comment by the staff member:</u>					
<u>Comment by the Line Manager:</u>					

PERFORMANCE ASSESSMENT - SIGN OFF

GUIDELINES

5	Consistently exceeds the required standard of performance
4	Significantly higher than the required standard of performance
3	Fully meets the required standard of performance
2	Below the required standard of performance
1	Does not meet the required standard of performance

NAME(S)		SIGNATURES	Does not meet the required standard	COMMENT
			FINAL SCORE:	0
SURNAME			PERCENTAGE ACHIEVED:	0%
POSITION/JOB TITLE		EMPLOYEE		
DIRECTORATE			DATE (yyyy/mm/dd)	
SUB-DIRECTORATE		LINE MANAGER		
		Name(s)		
		Surname	DATE (yyyy/mm/dd)	
		Line Manager's Manager		
		Name(s)		
		Surname	DATE (yyyy/mm/dd)	