

ANNEXURE B

EDUCATION MANAGEMENT SERVICE (EMS): SCHOOL-BASED

1. This document deals with an Inclusive Flexible Remuneration Package System for Principals (P1 to P5), as well as Deputy Principals (hereinafter referred to as EMS members).

SCOPE OF APPLICABILITY

2. The measures contained in this document apply to all principals (P1 to P5) and Deputy Principals, who are appointed in terms of Employment of Educators' Act of 1998 as amended.

THE NEW MEASURES

3. The new measures entail a new approach to remunerate Principals and Deputy Principals in Education, which has the following advantages for the employer and the EMS member:
 - 3.1. Enhance the control of remuneration costs.
 - 3.2. Assist in efficient planning and budgeting of personnel costs on these levels.
 - 3.3. Ensure that all EMS members benefit equally (The principle of "Equal pay work of equal value").
 - 3.4. Enhance education departments' external equality in relation to the labour market (Allows greater flexibility in remunerating members with scarce skills).
 - 3.5. Enable the EMS members to structure their remuneration packages in terms of their specific individual needs.
4. EMS members will not be negatively affected on translation to the new measures.

REMUNERATION SCALES

5. Remuneration scales will be in terms of the OSD for Educators.

STRUCTURE OF THE INCLUSIVE FLEXIBLE REMUNERATION PACKAGE

6. The following elements of the current remuneration and conditions of service are converted into an EMS member's total package:
 - 6.1. Salary notch (pensionable income).
 - 6.2. Service Bonus, calculated on the salary notch.
 - 6.3. Employer's contribution to the Government Employees Pension Fund (GEPF), calculated on the salary notch.
 - 6.4. Maximum employer's contribution to a registered medical scheme.
 - 6.5. Maximum homeowners allowance.

7. The package of an EMS member admitted to the GEPF consists of three components, namely the:
 - 7.1. basic salary (pensionable income);
 - 7.2. employer's contribution to the GEPF; and
 - 7.3. flexible portion (non-pensionable income).

BASIC SALARY

8. Those EMS members admitted to the GEPF will be afforded a once-off choice to set their basic salary (pensionable income) in the package certain parameters on translation to the dispensation, effective from 1 January 2008. **Therefore, those EMS members will be obliged to exercise their choice in writing in the format to be issued by their departments.** Depending on the member's current salary level, the choice is as follows:
 - Setting of the basic salary either at 76% (Set 1) or 70% (Set 2) of the package.

9. The implications of the individual choices to be exercised are as follows:
 - (a) **Set 1** allows the EMS member to set his or her basic salary, on which the employer's and the member's contributions to the GEPF are calculated, at least on the level that prevailed before translation to this dispensation – **therefore the EMS member's pensionable income is not reduced on transition.** However, this limits the flexible portion of the package that is to be used for structuring certain remunerative allowances/benefits such as a

contribution to a registered medical aid scheme, motor vehicle allowance etc. within the current provisions of the Income Tax Act, 1962.

- (b) **Set 2** allows the EMS member to set his or her basic salary, on which the employer's and the member's contributions to the GEPF are calculated, at a level lower than that prevailed before translation to this dispensation – **therefore a reduction in the EMS member's pensionable income on transition.** However, this increases the flexible portion of the package that is to be used for structuring certain remunerative allowances/benefits such as a contribution to a registered medical aid scheme, motor vehicle allowance etc. within the current provisions of the Income Tax Act, 1962.
 - © This is a once-off choice before the EMS member's package (with structuring thereof) will be implemented on PERSAL. **This choice may not be changed in any way or at any time while the PMS member is being remunerated in terms of this dispensation – not even with promotion/translation between EMS *post levels* or with the awarding of a higher package to the member within his or her remuneration scale,** except in terms of the transitional provision referred to in paragraph 10 hereunder.
 - (d) Set 1 will be awarded as default if an EMS member fails to exercise his or her choice within the time period specified by his or her department.
10. Due to the impact of an EMS member's choice, which effects his or her pensionable position in future (effect on retirement and resignation benefits), and to ensure a seamless transition to this dispensation, a transitional provisional (grace period) applies for 3 months, commencing on 1 April 2008, in terms of which an EMS member who has chosen Set 2 on implementation may change his or her choice to Set 1 – therefore “undoing” his or her initial choice – subject to the following:
- (a) The transitional provision only applies to members who were already in service on *salary levels 8 to 12* on 31 December 2007.
 - (b) Reverting from Set 2 to Set 1 will be effective from 1 April 2008 (therefore with retrospective effect).
 - (c) An EMS member is obliged to fund the GEPF, the difference in the employer's contribution to the GEPF (provided for in the package) as well as the difference in the member's own contribution, which accumulated since 1 January 2008.
 - (d) PED HR Components must receive applications to revert from Set 2 to Set 1 before the expiry of the transitional period (30 June 2008) – late applications will not be entertained.
11. The transitional provision referred to in paragraph 10 above does not apply to members which to revert from Set 1 to Set 2 after they have exercised the choice to set their basic salaries at Set 1 on translation to this dispensation.

EMPLOYER'S CONTRIBUTION TO THE GEPF

12. The Employer's contribution to the GEPF is calculated on the basic salary and is deducted from the package for this purpose.

FLEXIBLE PORTION

13. The remaining (third) component of the package is the flexible portion; which EMS members may structure in the form of certain remunerative allowances/benefits.
14. The flexible portion may either be:
 - 14.1. An all cash flexible portion; or
 - 14.2. An all 'benefit' portion; or
 - 14.3. A combination of both
15. Structuring may not exceed the amount in the flexible portion.
16. The structuring of the flexible portion may include the following:
 - 16.1. Car allowance (max. 25% of total package)
 - 16.2. 13th Cheque (1/12th of basic salary)
 - 16.3. Medical Assistance (Employer's contribution to the medical aid scheme)
 - 16.4. Housing allowance (amount to be decided by the PMS member)
 - 16.5. Non-pensionable cash allowance (any remaining portion of the flexible portion).
17. EMS member is not obliged to structure for all allowances/benefits

SCALES AND PACKAGES

As per Salary Notches for OSD converted to packages.

Current notch with effect from 1 January 2008	Employer contribution to GEPF (13% of notch)	Service Bonus (1/12th of notch)	Employer contribution to Medical - R15 600 pa - same amount used for MMS	Housing allowance - current maximum of R6 000 pa)	Total package - not rounded	Total package with effect from 1 April 2008
146,302	19019.26	12191.83	15600	6,000	199,113	199,113
150,691	19589.83	12557.58	15600	6,000	204,438	204,438
155,212	20177.56	12934.33	15600	6,000	209,924	209,925
159,869	20782.97	13322.42	15600	6,000	215,574	215,574
164,665	21406.45	13722.08	15600	6,000	221,394	221,394
169,605	22048.65	14133.75	15600	6,000	227,387	227,388
174,693	22710.09	14557.75	15600	6,000	233,561	233,562
179,934	23391.42	14994.5	15600	6,000	239,920	239,919
185,332	24093.16	15444.33	15600	6,000	246,469	246,468
190,891	24815.83	15907.58	15600	6,000	253,214	253,215
196,618	25560.34	16384.83	15600	6,000	260,163	260,163
202,517	26327.21	16876.42	15600	6,000	267,321	267,321
208,592	27116.96	17382.67	15600	6,000	274,692	274,692
214,850	27930.5	17904.17	15600	6,000	282,285	282,285
221,296	28768.48	18441.33	15600	6,000	290,106	290,106
227,934	29631.42	18994.5	15600	6,000	298,160	298,161
234,772	30520.36	19564.33	15600	6,000	306,457	306,456
241,816	31436.08	20151.33	15600	6,000	315,003	315,003
249,070	32379.1	20755.83	15600	6,000	323,805	323,805
256,542	33350.46	21378.5	15600	6,000	332,871	332,871
264,238	34350.94	22019.83	15600	6,000	342,209	342,210
272,166	35381.58	22680.5	15600	6,000	351,828	351,828
280,331	36443.03	23360.92	15600	6,000	361,735	361,734
288,740	37536.2	24061.67	15600	6,000	371,938	371,937
297,403	38662.39	24783.58	15600	6,000	382,449	382,449
306,325	39822.25	25527.08	15600	6,000	393,274	393,273
315,515	41016.95	26292.92	15600	6,000	404,425	404,424
324,980	42247.4	27081.67	15600	6,000	415,909	415,908
334,729	43514.77	27894.08	15600	6,000	427,738	427,737
344,771	44820.23	28730.92	15600	6,000	439,922	439,923
355,114	46164.82	29592.83	15600	6,000	452,472	452,472
365,768	47549.84	30480.67	15600	6,000	465,399	465,399
376,741	48976.33	31395.08	15600	6,000	478,712	478,713
388,043	50445.59	32336.92	15600	6,000	492,426	492,426
399,684	51958.92	33307	15600	6,000	506,550	506,550
411,675	53517.75	34306.25	15600	6,000	521,099	521,100
424,025	55123.25	35335.42	15600	6,000	536,084	536,085
436,746	56776.98	36395.5	15600	6,000	551,518	551,517
449,848	58480.24	37487.33	15600	6,000	567,416	567,417

**EDUCATION MANAGEMENT SERVICE
(EMS): SCHOOL BASED
PERFORMANCE MANAGEMENT AND
DEVELOPMENT SYSTEM**

EMS PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

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ACRONYMS

AAP	Assessment Appeal Panel
CMC	Core management criteria
DOE	Department of Education
EMS	Education Management Service
EMS PMDS	EMS Performance Management and Development System
EA	Executing Authority
EEA	Employment of Educators Act, 1998
ELRC	Education Labour Relations Council
GAF	Generic assessment factor
HOD	Head of Department
HRD	Human resource development
HRM	Human resource management
KRA	Key result area
MEC	Member of the Executive Council
MMS	Middle Management Service (as from 1 July 2005)
MDOE	Minister of Education
MTEF	Medium Term Expenditure Framework
PA	Performance agreement
PDP	Personal development plan
PFMA	Public Finance Management Act, 1999
PMDS	Performance Management and Development System
PSC	Public Service Commission
PSCBC	Public Service Co-ordinating Bargaining Council
PSR	Public Service Regulations, 2001
SMS	Senior Management Service

GLOSSARY OF TERMS

Annual performance assessment: The final performance assessment or review of an employee that takes place at the end of the performance cycle. The result of this particular assessment is the overall annual performance score for the employee.

Assessment instrument: A single performance assessment tool that is used to assess the performance of an individual employee in relation to the achievement of key result areas and core management criteria as contained in the workplan of the performance agreement.

Attribute: An attribute is generally defined to consist of motives, traits and self-concept.

Business plans: See operational plan(s)

Core Management Criteria (CMC): An element of knowledge, skill, or attribute that is directly related to effective performance in a job.

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

Component: A generic term for an organisational division in a department, including a branch, chief directorate, directorate, sub-directorate, district, circuit or school.

Department: The (ABC) Department of Education (specify own Department) (A Department as defined in section 1 of the Public Service Act, 1994).

Development: Training and development activities to enhance the employee's competencies and to improve performance.

Education Management Service: Employees, who are school principals on salary levels 8 to 12 and deputy principals.

Executing Authority: The President, a Minister, Premier or Member of the Executive Council.

Feedback: Objective and timely information by the manager/supervisor on the employee's performance against set expectations and standards, understood by the employee, and aimed at improving performance

Grievance rules: The rules for dealing with the grievances of employees in Education, as contained in the Personnel Administration Measures.

Key Result Area (KRA): An area of a job in which performance is critical for making an effective contribution to the achievement of departmental strategies, goals and objectives

GLOSSARY OF TERMS

Moderation: The review of employee assessment scores by a committee to ensure consistency and equity across the department through a common understanding of the performance standard required at each level of the rating scale and to assist in complying with the requirement that expenditure on bonuses should not exceed the remuneration budget.

Operational plan(s) (or business plan): This one-year plan is derived from and gives life to the strategic plan by translating the strategic objectives identified in the strategic plan into key result areas and activities with measurable standards, for a particular year for both the Department and components (schools).

Outcome: A broad statement about a specific objective, aim or intent, the achievement of which will require one or more specific outputs to be achieved.

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

Performance: Human performance involves (1) people's behaviour or actions, and (2) the outcomes or effects of those actions. Performance is a process in which resources are used in an effective, efficient and productive way to produce results that satisfy requirements of time, quality and quantity, and which are the effect or outcome of the actions or behaviour of a performer in the work process.

Performance agreement: A document agreed upon and signed by an employee and her or his supervisor, which includes a description of the job, selected KRAs and CMCs, a workplan and the employee's personal development plan.

Performance assessment: The measurement, assessment, rating or appraisal of employee performance.

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

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

Performance indicator: A measure used to gauge the extent to which an output has been achieved (policy developed, presentation delivered, service rendered).

Performance management: A purposeful, continuous process aimed at positively influencing employee behaviour for the achievement of the organisation's strategic goals; the determination of the correct activities as well as the evaluation and recognition of the execution of tasks/duties with the aim of enhancing their efficiency and effectiveness; and a means of improving results from the Department, teams and individuals by understanding and managing performance within an agreed framework of planned goals, objectives, standards and support incentives.

GLOSSARY OF TERMS

Performance standard: Mutually agreed criteria to describe work in terms of time-lines, cost and quantity and/or quality to clarify the outputs and related activities of a job by describing what the required result should be. In this framework, performance standards are divided into indicators and the time factor.

Performance review: A structured and formal, at least half-yearly, discussion between supervisor and employee to monitor progress, resolve problems and adjust work plans during the performance cycle, thereby providing an opportunity for improvement before the annual review takes place. If the employee's performance is not fully effective or unsatisfactory, the half-yearly review must be in writing.

Rating: The allocation of a score to a KRA, a CMC and/or to overall performance in accordance with the five-point rating scale of the EMS PMDS.

Senior Management Service (SMS): Employees on salary levels 13 to 16, including managers and professionals, but excluding those in posts below salary level 13.

Strategic planning: This is the process by which top management determines the overall strategic direction and priorities, as well as the organisational purpose and objectives and how they are to be achieved.

Strategic plan: The end product of strategic planning, setting out the mission and vision statements and the medium and long-term strategic objectives of the Department. The contents of the strategic plan must be in compliance with the requirements of Chapter 5 of the Treasury Regulations, 2001, and Chapter 1 Part III.B of the Public Service Regulations, 2001.

Supervisor: An official responsible for the allocation of work, monitoring of activities, discussing performance and development, and the performance review and assessment of an employee.

Workplan: A document which is part of the performance agreement and which contains key result areas, associated outputs/activities and their performance standards and resource requirements.

EMS PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

1 INTRODUCTION

The EMS Performance Management and Development System has been designed for use to assist with performance management of principals (P1 to P5) and deputy principals at schools in a Provincial Education Department.

Key role-players in the performance management process are identified. Should these “roles” not be present in a department or if they have other titles, the applicable role and/or title should be substituted. The term “component” is used as a generic title for any sub-division of a department. The substitution of own department sub-division titles may be required. Where the statement “the (ABC) Department of Education” appears in the text, or annexures the name of the specific department must be substituted.

The EMS PMDS provides a standardised framework for employee performance in a department for principals and deputy principals.

Three main levels are involved: at the organisational or departmental level, the Executing Authority and the HoD determine the strategic priorities and overall key result areas of the department. Objectives are identified for the priorities and assigned to components within the department. At the component level, components undertake the execution of projects and activities that lead to the achievement of the integrated business plans. At the employee level, each employee develops a performance agreement jointly with her or his supervisor.

Key requirements for the successful implementation of the EMS PMDS are the following:

The institutional framework determines responsibilities for specific aspects of the EMS PMDS. With the Strategic Plan as basis, the department is able to identify priorities and specific objectives to be achieved by business units. Performance Agreements for all employees enable the department to assign specific performance objectives and targets to its employees. This also enables employees in the department to participate meaningfully in the management of their own performance.

Another key requirement for the successful implementation of the EMS PMDS is training on the system. Managers, supervisors and employees must be trained in the mechanics of the system and areas such as communication, problem-solving and conflict resolution in order to manage the system more effectively. The training of supervisors in particular is of the utmost importance, and this should result in supervisors knowing how to implement the system, ensuring that employees receive adequate training and possess sufficient information to be able to fully participate in the processes. This must be done with the support and co-operation of the HR unit in the Department.

2 SCOPE AND APPLICATION

The EMS PMDS applies to all principals (P1 to P5) and deputy principals at schools in the Provincial Education Department, regardless of seniority or qualification, and who are appointed in terms of the Employment of Educators Act, 1998.

As an employee performance management system, the EMS PMDS is not applicable to departmental, component or team performance management or assessment.

3 SOURCES OF AUTHORITY

The specific sources of authority for employee performance management are:

- The Constitution of the Republic of South Africa, 1996
- The Employment of Educators' Act, 1998, as amended
- The Personnel Administration Measures
- The Skills Development Act (Act 97 of 1998)
- The Labour Relations Act (Act 66 of 1995)
- Promotion of Equality and Prevention of Unfair Discrimination Act, (Act 4 of 2000)
- Promotion of Access to Information Act (Act 2 of 2000)
- Employment Equity Act (Act 55 of 1998)
- Public Finance Management Act, 1999
- Promotion of Administrative Justice Act, 2000
- White Paper on Transformation of the Public Service, 1995
- White Paper on Human Resource Management, 1997
- White Paper on Affirmative Action, 1998
- White Paper on Transforming Public Service Delivery (Batho Pele), 1997
- White Paper on Public Service Training and Education, 1998
- Treasury Regulations, 2001
- SMS Performance Management and Development System (1 April 2002)
- Relevant collective agreements
- Relevant directives and departmental policies

4 GOAL, OBJECTIVES AND PRINCIPLES OF PERFORMANCE MANAGEMENT

4.1 Goal

For the purpose of this EMS PMDS, performance management is aimed at improving employee performance. The aim of performance management is to optimise every employee's output in terms of quality and quantity, thereby increasing the Department's/school's overall performance.

4.2 Objectives

In order to achieve individual excellence and achievement, the objectives for performance management are to –

- establish a performance and learning culture in the Education;
- improve service delivery;
- ensure that all jobholders know and understand what is expected of them;
- promote interaction on performance between jobholders and their supervisors;
- identify, manage and promote jobholders' development needs;
- evaluate performance fairly and objectively; and
- recognise categories of performance that are fully effective and better; and
- manage categories of performance that are not fully effective and lower.

4.3 Principles

The key principles underpinning effective performance management are the following –

- Departments shall manage performance in a consultative, supportive and non-discriminatory manner to enhance organisational efficiency and effectiveness, accountability for the use of resources and the achievement of results.
- Performance management processes shall link to broad and consistent staff development plans and align with the department's strategic goals
- Performance management processes shall be developmental, and shall allow for recognising fully effective performance, and for an effective response to performance that is consistently not fully effective and lower
- Performance management procedures should minimise the administrative burden on supervisors while maintaining transparency and administrative justice

5 THE PERFORMANCE CYCLE

Performance management at the employee level is an on-going interactive process between an employee and her/his supervisor about the employee's performance. Face-to-face on-going communication is an essential requirement of the process and covers the full performance cycle. For effectiveness of operation the cycle is divided into integrated phases or elements of –

- Performance planning and agreement;
- Performance monitoring, developing and control;
- Performance assessment or appraisal; and
- Managing the outcomes of assessment

The performance cycle is a 12-month period for which performance is planned, executed and assessed. It must be aligned to the same period as the Department's annual business plan i.e. 1st April to 31st March of the following year. The 12-month cycle is also linked to the financial year for the purpose of planning, pay progression and other performance related incentives such as performance rewards or cash bonuses. The probation cycle is however linked to the appointment date of jobholders.

6 PERFORMANCE PLANNING AND AGREEMENT

6.1 The performance agreement

The performance agreement is the cornerstone of performance management at the individual level. All employees are required to enter into and sign performance agreements, preferably within one month after the start of the new cycle. Departmental and school performance measures should inform the development of the individual employee's PA. The format of the PA is based on the department's strategic and annual business plan, individual component/school business plan and the employee's job role/job description.

The content of a PA must include the following (refer to **Annexure A**) –

- **Employee data** such as the Persal number, job title and level etc. as well as a clear description of the employee's **job role**, with emphasis on the main objectives, job purpose and the relevant KRAs and CMCs.
- **A workplan** containing the KRAs, outputs, activities and resource requirements.
- **A personal development plan (PDP)** that identifies the competence and other developmental needs of the employee, as well as methods to improve these.

If an employee changes jobs during the performance cycle, a new PA must be entered into for the new role and the performance assessment should take both periods of work into consideration. Only supervisors on level 9 or higher are authorised to enter into a performance agreement with another employee on behalf of the department. The PA, especially the workplan, should be re-negotiated if the employee has not been in the job role for three months or more for any reason, as for example, maternity, ill health, study, secondment, or travel; unless this absence was built into the original agreement. A PA without a completed and signed workplan should be regarded as invalid and of little use in the performance management process.

6.2 The workplan

While the performance agreement is the cornerstone of performance management at the individual level, the workplan contains the essence of the performance agreement (see the Guide to the Workplan and template in **Annexure B**).

6.2.1 Principals (P1 to P5) and Deputy Principals

The criteria upon which the performance of an employee is assessed, consist of **Key Result Areas (KRAs)** and the **Core Management Criteria (CMCs)** which are contained in the PA. Each employee must be assessed against both areas. KRAs covering the main areas of work will account for 70% of the final assessment, while the CMCs make up the other 30% of the assessment score.

KRAs describe what is expected from an employee in his/her role and focus attention on actions and activities that will assist units and ultimately the department in performing effectively. In the workplan, the KRAs should be broken down into outputs and activities with the resource requirements. These are used to indicate how the performance/achievement of the outputs and activities will be measured. KRAs can cover many different aspects of the work such as –

- Specific tasks or events which the employee should ensure are achieved;
- Levels of performance which the employee should maintain and promote;
- Actions or situations for which the employee is personally responsible for delivering his/her “unique contribution”; and
- Duties and responsibilities related to advice and support given, for example, by specialists to clients.

The six compulsory KRAs for EMS members are:

- Leading and Managing the Learning School
- Shaping the Direction and Development of the School
- Assuring Quality and Securing Accountability
- Developing and Empowering Self and Others
- Managing the School as an Organisation
- Working with and for the Community

Each KRA should be broken down into measurable outputs and/or duties/responsibilities and activities. Each KRA should be weighted (in %) according to the importance it has in the employee's/member's job. The weighting of all the KRAs should add up to 100.

Core Management Criteria (CMCs) are elements and standards used to describe and assess performance, taking into consideration knowledge, skills and attributes. The following CMCs are used to calculate 30% of the employee's assessment score. From this list, the supervisor and employee must agree on at least **five out of the fifteen** CMC's that are deemed to be most important for effective performance in that particular job (refer to **Annexure C** for a Guide to Core Management Criteria).

- Job knowledge
- Technical skills
- Acceptance of responsibility
- Quality of work
- Reliability
- Initiative
- Communication
- Interpersonal relationships
- Flexibility
- Team work
- Planning and execution
- Leadership
- Delegation and empowerment
- Management of financial resources
- Management of human resources

Employees should be assessed against the selected CMCs applicable to their jobs. A professional may for example have no employees under his/her control or may have no financial responsibilities. To adapt the CMCs to specific jobs and job contexts, the employee and supervisor will need to –

- Decide which of the CMCs apply to the employee's job.
- Weigh each relevant CMC to show the extent to which it relates to the specific job. One way of jointly arriving at decisions on how important any specific CMC is to a specific job is to use the factors of impact and frequency. The greater the impact and frequency, the greater the importance that criterion is likely to have on the achievement of effective performance results. The weighting of all the CMCs should add up to 100.

Each selected CMC is rated using the **guide to core management criteria for assessing performance** (in **Annexure C**).

6.3 Personal Development Plan (PDP)

The PA must include a Personal Development Plan (refer to **Annexure D** for an example). The purpose of the development plan is to identify any performance output shortfall in the work of the employee, either historical or anticipated, to relate this to a supporting CMC shortfall and then to plan and implement a specific set of actions to reduce the gap. The competence gap may relate to any of the CMCs included in this EMS PMDS or any other area of the employee's knowledge, skill and attribute requirement. The PDP should include interventions relating to the technical or occupational "hard skills" of the job, through e.g. appropriate training interventions, on-the-job training, expanded job exposure, and job rotation. The employee and the supervisor are required to take joint responsibility for the achievement of the PDP with allocated accountabilities clearly recorded on the PDP agreement document.

7 PERFORMANCE MONITORING, REVIEW AND ASSESSMENT

7.1 Performance monitoring

Performance at the individual level must be continuously monitored to enable the identification of performance barriers and changes and to address development and improvement needs as they arise, as well as to –

- determine progress and/or identify obstacles in achieving objectives and targets;
- enable supervisors and jobholders to deal with performance-related problems;
- identify and provide the support needed;
- modify objectives and targets; and
- ensure continuous learning and development.

7.2 Performance review and assessment

(Half-yearly review form at **Annexure E**; refer to 8.1 for probationers)

Performance review meetings are an integral part of the monitoring process. These reviews must take place as often as is practical and/or required by circumstances. The reviews are necessary to motivate and to reveal to the employee areas that need improvement and if required, to modify the PA.

The supervisor should use all opportunities to discuss the employee's performance, including meetings, report backs, and informal discussions. An employee's supervisor shall monitor the employee's performance on a continuous basis and give him/her feedback on his/her performance: at least four times a year - orally, if the employee's performance is satisfactory (fully effective and above); and in writing if unsatisfactory (not fully effective and below); at least twice during the six months preceding the employee's annual formal performance assessment; and in writing, on the annual formal performance assessment date.

Should the supervisor, as a result of this review, or at any time during the performance cycle, be of the opinion that the employee's performance is markedly below what is required, the supervisor must complete a full and formal assessment, assign ratings to KRAs and CMCs, complete all documentation and have the document signed by the employee. This ensures that the employee is left in no doubt that what she or he has been producing as work outputs is not acceptable and that continuation in this poor standard of performance will affect service delivery and is sure to result in a low performance assessment at the end of the cycle, with its resultant consequences.

The supervisor should prepare by –

- reviewing the previous period and objectives and targets for the next period;
- reviewing support needed and drafting training and development needs;
- seeking appropriate feedback from relevant role-players to support the process;
- reviewing and updating all relevant documentation; and
- identifying internal/external factors affecting the jobholder's performance.

The jobholder should prepare by –

- reviewing previous objectives and identifying possible new objectives;
- collecting supporting facts on performance delivered;
- identifying factors that affected his/her performance;
- identifying support that will be needed as well as possible training and development needs; and
- reflecting on the feedback to be given to the supervisor.

The review should be a one to one discussion between the supervisor and the employee. The content and outcomes of the half-yearly feedback session and the end of year assessment should be signed by both parties. The September review is the midterm review and the March review is, in fact, the "end-of-cycle" annual performance review. At all levels the periodic reviews must also include a

discussion on the employee's development plan requirements. The final assessment discussion must take place at the end of the performance cycle and coincides with the end of the financial year, i.e. March of each year. The result of the assessment discussion and evaluation is an assessment score for the employee's performance that is the total of the individual KRA and CMC assessment scores.

The assessment discussion should enable –

- An opportunity for the employee to assess his/her own performance and its contribution to organisational goals and to identify areas of improvement;
- An opportunity for the supervisor to provide formal feedback on performance over the year and to identify ways of improving what was achieved;
- An opportunity for the employee to contribute to, and respond to comments regarding his/her performance and identify issues beyond his/her control that limit the achievement of results;
- An open discussion between the employee and his/her supervisor in which achievements can be fully recognised and ideas for problem solving agreed;
- Agreement on an overall assessment score reflecting judgement on the level of achievement attained in terms of the performance agreement; and
- An opportunity for the supervisor and the employee to agree on areas of personal development.

7.3 Performance assessment instruments

The assessment instruments applicable are, namely, for **employees who are school principals (P1 to P5) and deputy principals (Refer to Annexure F)**.

The same assessment instruments is used to assess the performance of all individual KRAs and CMCs, as well as the overall performance of the employee. It is the overall performance assessment score that is to be used as the basis of deciding career incidents for the employee. The performance review and annual assessment of employees will be based on the following **categories of performance**:

RATING	CATEGORY	DESCRIPTION
1	UNACCEPTABLE PERFORMANCE	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against almost all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
2	PERFORMANCE NOT FULLY EFFECTIVE	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
3	PERFORMANCE FULLY EFFECTIVE	Performance fully meets the standard expected in all areas of the job. Thereview / assessment indicates that the jobholder has achieved as a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
	PERFORMANCE	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved

4	SIGNIFICANTLY ABOVE EXPECTATIONS	better than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan and fully achieved all others throughout the performance cycle.
5	OUTSTANDING PERFORMANCE	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against all of the performance criteria and indicators as specified in the PA and Workplan and maintained this in all areas of responsibility throughout the performance cycle

The annual performance assessment process involves:

Assessment of the achievement of results (KRAs) outlined in the work plan

- Each KRA must be assessed on the extent to which the specified standards have been met and outputs achieved.
- An indicative rating on the five-point scale must be provided for each KRA.
- This rating must be multiplied by the weighting given to the KRA during the contracting process, to provide a score.
- The rating calculator can be used to add the scores and calculate a final KRA score, based on the 70% weighting allocated to the KRAs.

Assessment of the CMCs

- Each CMC must be assessed according to the extent to which the specified standards have been met.
- An indicative rating on the five-point scale must be provided for each CMC.
- This rating must be multiplied by the weighting given to each CMC during the contracting process, to provide a score.
- The rating calculator may then be used to add the scores and calculate a final CMC score, based on the 30% weighting allocated to the CMCs.

Overall rating

- An overall score, in accordance with the assessment rating is provided as a summary of the outcome of the performance review for KRAs and CMCs.
- The assessment rating calculator may then be used to provide a final score based on adding the scores achieved for the KRAs and the CMCs.

7.4 Moderation

As noted in paragraph 10 below, the role of performance assessment review by higher levels of management (moderation) is to ensure equity and consistency in the application of the EMS PMDS. If operational requirements do not allow for a single departmental moderating committee, additional sub-committee(s) may be established, for example at the level of components or business units. Any lower order moderating committee(s) must be formally established and communicated to employees before the start of the performance cycle. Such committee(s) must provide the departmental committee with data and information regarding its actions.

The overview and moderation process operates at two levels. At the "systems" level the Moderating Committee must satisfy itself that departmental and component plans are developed and the EMS PMDS procedures are followed. At the individual level the role of the Moderating Committee is to ensure that supervisors are agreeing on workplans and appraising performance in a realistic, consistent and fair manner. The committee must also ensure that scores given across the department are realistic. This process also operates at two levels. Firstly within the normal chain of command in components, i.e. the supervisor's supervisor is required to overview the performance management actions and assessment outcomes of her or his subordinate supervisor; and secondly, through the more formalized moderating committee(s). The Moderating Committee is required to overview PAs and subsequent performance ratings. The Committee must also review overall assessment statistics of components (schools) to ensure equity and fair distribution across the department. Depending on operational requirements, the committee will be required to meet twice per performance cycle: once to moderate and approve the results of the assessment process at the end of the performance cycle and again at the start of the new cycle to moderate and approve the results of performance planning and agreement activities.

If moderation sub-committees or quality assurance committees are established, their role should not detract from the responsibility of managers to ensure equity and consistency in their components, or the role of the supervisor to agree on a fair and realistic assessment with the subordinate. The human resources component must play a supporting administrative role and must furnish the committees with accurate and comprehensive statistical information.

Moderation actions

If a moderating committee identifies deviations or discrepancies, these should be referred back to the supervisor who had agreed to the rating with his or her subordinate(s), together with reasons for the decision. This should be accompanied by a request for reconsideration of the rating. Unless it is an overall assessment score adjustment that alters the assessment scores of all employees (as a group) by the same quantum, a moderating committee may not change an individual employee's assessment score, without first referring the issue back to the supervisor who made the initial assessment, or any moderation sub-committee that might have been involved in the process. A moderation committee must keep detailed minutes of decisions, in particular if it recommends lowering a score already agreed between a supervisor and employee.

Normal distribution of performance

The following guideline, based on the statistical normal distribution curve principles⁶, serves to assist the Moderating Committee to evaluate the summarised analysis of the outcome of performance rewards per School/Circuit / District / Region / Department and should be taken into consideration in identifying trends and making appropriate recommendations to the relevant approval authority:

Performance Category	Total Score	The following % of staff should normally fall within this category
Unacceptable performance	39% and lower	2%
Performance not fully effective	40% - 59%	10%
Performance fully effective	60% - 69%	72%
Performance significantly above expectations	70% - 79%	10%
Outstanding Performance	80% - 89%	5%
	90% and above	1%

7.5 Non-agreements and grievances

Agreement between an employee and her/his supervisor, and/or with the Moderating Committee, on employee performance issues such as rating, is not always guaranteed. If the requirements of the system are met for regular consultation and discussion between the supervisor and the employee, there should normally be little cause for continued non-agreement.

However, non-agreement may occur (a) between the employee and her/his supervisor; (b) between an employee and her/his supervisor on the one hand, and the Circuit/District Moderating Committee on the other hand; (c) between the Circuit/District Moderating Committee and the departmental Moderating Committee; and even between the Moderating Committee and the Head of Department or Executing Authority.

A policy framework such as this cannot in detail provide for each possible scenario. However, each department must, depending on size and macro-organisation, practically provide for the structures and processes to deal with different scenarios in which continued disagreement may occur. Disagreements at the levels of the School/Circuit/District and/or the departmental Moderating Committees may be limited or minimised if the assessment of senior managers is done before the assessment of non-managers. This may assist in limiting possible contradictions or inequities between the assessment of, for example, particular cascading KRAs found on the different levels. This approach may set certain parameters of performance that may partially serve as benchmarks when assessing individuals below the management level in the organisation.

Annexure H (Disagreements on assessment) contains two broad scenarios with different types of possible interventions and/or recommendations or decisions, by the supervisor, the Circuit/District Moderating Committee, the Assessment Appeal Panel, the departmental Moderating Committee and even the Head of Department or the Executing Authority. The two scenarios are based on the assumption that self-assessment by the employee is followed by an assessment by the supervisor, followed by an attempt to reach agreement between them on a score. The two scenarios are :

- Initial agreement on an assessment score between the employee and supervisor;
- Initial disagreement on an assessment score between the employee and supervisor

The steps contained in the two scenarios, relating to the moderation or review of performance and/or possible amendments by higher levels of management of lower level assessments, should in most cases result in a conclusive outcome.

If there are fundamental disagreements between circuit/district moderating committees and the departmental Moderating Committee, or if the departmental Moderating Committee wishes to amend ratings by circuit/district moderating committees, or if the Head of Department or Executing Authority does not wish to approve recommendations of the Moderating Committee, such issues should be resolved at management level. If this leads to a change in any individual assessment score, and the employee refuses to accept the change, the employee may follow the formal grievance rules in Education. If the above processes ultimately fail to resolve the disagreement or grievance, the employee is entitled to seek redress through other means available in law.

8 OUTCOMES OF PERFORMANCE ASSESSMENT

8.1 Probation

The performance of employees on probation is managed in terms of the EMS PMDS process as well as the departmental policy on probation. The process is as follows:

- The EMS PMDS will serve as the system that is used to assess an employee during the period of her or his probation.
- The performance assessment of employees on probation must be conducted quarterly and must link with the EMS PMDS.
- The performance assessment form must be submitted to HR immediately following the assessment.
- At expiry of the probationary period the supervisor of the probationer must make a recommendation on whether or not appointment should be confirmed. If the probationer is not deemed suitable for the relevant post, other options such as the extension of probation, formal registration on the incapacity programme, demotion or as a last resort, dismissal, should be considered. (Refer to **Annexure G** for probation assessment form.)

An employee's probationary period will not necessarily coincide with the 1 April to 31 March cycle, however the EMS PMDS assessment tool must be used for assessment, and the results captured in the probation quarterly assessment form.

8.2 Managing performance that is not fully effective

Supervisors are required to first identify and then, in line with a developmental approach, deal with unacceptable performance of employees under their supervision. The supervisor must comply with the procedural requirements of Employment of Educators' Act 1998 and Personnel Administration Measures – "Incapacity Code". The EMS PMDS provides for the early identification and resolution of unacceptable performance. The employee's performance rating as "not fully effective" or lower during the annual performance assessment should not be the first indication of the employee's shortcomings. Performance monitoring, including the performance reviews, provide opportunities to ensure this does not happen. Interventions by the supervisor to overcome performance shortfalls on the part of the employee can include any or all of the following:

- Personal counselling
- On-the-job mentoring and coaching
- Formal training/re-training
- Restating the workplan performance requirements
- Work environment audits to establish other factors affecting performance.

Should the employee not respond to reasonable and continuous attempts to improve performance and an overall performance assessment score of less than 50% is the result of the assessment process, the employee must be formally registered on the "Incapacity Programme" and advised of this in writing. The above process applies to incapacity due to both poor performance and ill-health.

8.3 Financial incentives

8.3.1 Pay progression

School Principals (P1 to P5) and Deputy Principals

Progression to the next higher notch within the employee's salary level as of 1 January 2008 shall be based on a period of continuous service and performance, and is not automatic. An employee must complete a continuous period of at least 24 months on her or his notch on 31 March of a year and must be performing at least at the level of fully effective (satisfactory), as assessed in terms of the EMS PMDS. The pay progression cycle (and the assessment cycle) runs over a continuous period of 12 months, commencing on 1 April of a particular year. Progression takes place bi-annually on 1 July (commencing in 2010). Pay progression is based on –

- actual service for the period 1 April to 30 March prior to the pay progression date (two years' continuous service on a notch); and
- an assessment of at least satisfactory performance (fully effective) for the said period in line with EMS PMDS

Only valid notches on the salary level must be used in the process of progression. Employees on personal notches (therefore on a notch above the maximum of the salary level attached to his or her post), shall not qualify for pay progression, but shall receive any annual salary adjustments on the salary scale. The pay progression system does not impede the Executing Authority to award a higher salary to employees in terms of the PSR (Chapter 1 Part V/C3). Therefore

- employees, who are awarded a higher salary level by the Executing Authority, that does not correlate to the job weight attached to their job, shall not qualify for pay progression on the higher salary level; and
- employees, who are awarded a higher notch within the salary level, that correlates to the job weight attached to their job, shall qualify for pay progression, provided they comply with the set criteria.

Employees who benefit from pay progression during a financial year will receive the benefit in addition to possible annual cost-of-living adjustments. Employees may in the same financial year receive pay progression and other performance related incentives (e.g. bonuses) provided for in departmental performance related incentive schemes.

8.3.2 Performance incentive scheme in Education

The following tables summarises the measures applicable to employees (principals - P1 to P5) and deputy principals.

Salary levels 8 and 12

Performance Category	Total Score	PROBATION	DEVELOPMENT	PAY * PROGRESSION	CASH ** BONUS
Unacceptable performance	69% and lower	Extend probation or terminate into Incapacity Code	Agree on development programme	–	–
Performance not fully effective	70% - 99%	Extend probation	Agree on development programme	–	–
Performance fully effective	100% - 114%	Confirm appointment	Agree on development opportunities	1 notch (3%)	–
Performance significantly above expectations	115% - 129%	Confirm appointment	Agree on development opportunities	1 notch (3%)	5-14 % of package
Outstanding Performance	130% - 149%	Confirm appointment	Agree on development Opportunities	1 notch (3%)	5-14 % of package
	150% and above	Confirm appointment	Agree on development opportunities	1 notch (3%)	5-14 % of package

* Pay progression must be awarded in accordance with the prescripts as set out in paragraph 8.3.1

** The percentage cash bonus for salary levels 8 and 12 is calculated on the member's total package.

8.4 Non-financial incentives

Financial rewards on their own are not always sufficient to motivate staff towards performance excellence. Other more creative ways for recognising performance should be explored, i.e. where the award does not lead to "money in the pocket". The department may, from time-to-time, introduce non-monetary recognition schemes to stimulate performance across the department. However, component heads are also free to develop their own component recognition schemes provided these remain non-monetary and do not change any basic employment condition. The following are examples of recognition that can be utilised:

- Increased autonomy to organise own work and/or increased resources with which to perform work.
- Acknowledgement and recognition of performance excellence i.e. in department publications; specially created awards; citations at conferences/meetings; attendance at conferences etc.

- Public awards of various kinds made by management in recognition of a specific achievement or innovation or for consistent achievement over a specific period.
- Participation in study tours or overseas and other visits

9 SYSTEM EVALUATION AND REVIEW

Evaluation of the EMS PMDS should help determine whether the system is functioning effectively. An evaluation schedule should be established in the early stages of the performance cycle. This will assist supervisors in targeting what the generally desired outcomes of the EMS PMDS as a system are. It is important to determine initially the types of data required throughout the performance management process. The department will obtain baseline data with which to compare future data. The data desired and the available timeframes for collecting the data will determine the types of data collection techniques and analyses used. The evaluation strategy will be determined as the performance management programme is being rolled out and should change if it does not provide appropriate data on which to base future decisions.

Some of the questions that should be asked and answered in an evaluation include:

- Is the programme addressing the department's needs?
- Does the programme fit the department's values and culture?
- Do managers have the necessary skills to use the programme?
- Does it provide useful data for making personnel decisions?

The Head: HRM should conduct an audit of the implementation of EMS PMDS at the end of the performance cycle. The methodology applied shall be a survey questionnaire to a representative sample within the department. Following the development of performance agreements and workplans and during the course of the year, management should ascertain the following in respect of the system –

- Whether the system meets the specifications.
- Whether the users understand it and are able to use it.
- Whether the department is achieving its initial objectives.

The system review process is based on the legal guidelines, best practice guidelines and monitoring and evaluation guidelines. The Moderating Committee, with technical support from HR will determine if the legal requirements are being met –

- All employees are being assessed at least on an annual basis.
- Employees know which supervisor will be responsible for their assessment.
- The details of the performance management system are communicated to employees before the process starts.

- Employees are given the right to refuse to sign a performance assessment form.
- Identifying the disagreement and resolution route; and
- Permitting employee representatives to represent an employee in non-agreement and grievance processes.

10 THE INSTITUTIONAL FRAMEWORK

The EMS PMDS enables the department to translate overall strategic priorities as captured in the relevant policy statements and its strategic plan into performance measures for various levels of employees. In developing the departmental objectives, the HoD and senior management utilise the medium-term strategic and annual business plans to outline objectives for the key result areas (KRAs). The KRAs provide strategic focus and direction for the other activities in the department. The HOD and senior management will develop the organisational level objectives and indicators. This can be achieved by applying the following sequence –

- Identify appropriate objectives and key result areas based on the strategic priorities in the relevant policy statements, strategic plan and business plan.
- Develop indicators for each of the KRAs to measure progress towards the achievement of objectives and priorities
- Develop processes and time frames for development of business plans for the business unit or senior management team members
- Develop process and time frames for incorporation into workplans of senior managers in the form of KRAs and CMCs.
- Incorporate overall performance into the HoD's performance agreement

Performance management at the component level focuses on outputs as opposed to inputs and activities that will lead to achievement of overall outcomes of the department. After component goals have been established, the sub-components negotiate responsibilities for each output to define the role of each sub-component. Cascading responsibilities to the component level involves the following –

- Use priorities in the business plan as the basis for key performance indicators
- Provide overview of the constraints of some of the indicators
- Take each priority area and identify the responsible sub-component
- Identify other role players who may share responsibility for the priority
- Ensure incorporation of responsibilities in workplans of sub-component managers

- Define the process for cascading the outputs and activities to individual employee performance agreement work plans at lower levels and ensure implementation

The following key role players will assume the responsibilities outlined to promote the implementation of the EMS PMDS in the department.

The Executing Authority (EA)

The EA identifies the key result areas and the priorities the department should deliver. The EA then assigns the responsibility for the achievement of departmental goals to the HoD through the latter's performance agreement. The EA authorises the use of the EMS PMDS as the departmental policy and system.

The Head of Department

The HOD is responsible for the development of the medium term strategic priorities of the department by means of the annual operational or business plans. The HoD is also responsible for ensuring that components are assigned specific responsibilities drawn from the department's strategic and annual business plans. The HoD gives effect to the EMS PMDS by issuing it as a departmental policy and performance management system.

The Branch Manager

The Branch Manager and other delegated senior managers are responsible for developing the branch or component's business plans that derive from the departmental strategic and business plans. She/he is also responsible for determining the KRAs for the component managers, based on those assigned by the HoD and those indicated in branch objectives. The Branch Manager will usually supervise the Component Manager's performance agreement.

The Component/District Manager

The Component/District Manager is responsible for the Branch objectives and for ensuring that sub-components develop business plans based on the objectives. The Component/District Manager also ensures that sub-components have defined objectives, outputs, targets and staff to carry the responsibility and the budget to fund the activity.

The Sub-Component/Circuit Manager

The Sub-Component/Circuit Manager is responsible for the specific objectives of the component assigned by the Branch Manager and the Component/District Manager. The Sub-Component/Circuit Manager defines the sub-component's objectives, outputs, targets and the responsible individual and budget. The Sub-Component Manager will also agree the KRAs and CMCs for middle and junior management staff in the unit.

Supervisors

All supervisory staff (including Principals) with responsibility within a component will ensure that they explain the development of a PA to all employees under their supervision. They will then develop a PA jointly with each employee. The supervisor will clarify for employees the objectives of the unit (component), the clients of the unit, the employee's job description, the employee's clients, the KRAs and CMCs, time frames, measures and the actual performance rating method. Supervisors will also assist employees to identify and incorporate training needs into their PAs. This will be captured in the PDP.

The Employee

All employees (Principals and Deputy Principals) of the Department, are responsible for clarifying with their immediate supervisors the dates and process for developing and submitting their PAs. All employees are responsible for developing a draft PA, based on the required objectives, KRAs and CMCs and other aspects of their job that have been previously clarified by the immediate supervisor. The employee is responsible for presenting the draft PA to the supervisor for joint agreement on the final PA.

The Head: Human Resource Management

This position is responsible for ensuring that –

- the system is made available and revisions properly communicated;
- a plan is jointly developed with the HRD unit for the training of trainers as well as the training of supervisors in the implementation of the EMS PMDS;
- regulatory changes likely to affect the EMS PMDS are communicated timeously;
- PAs and employment contracts of relevant staff are reconciled where necessary;
- dates for submission of PAs, review reports and assessment are set;
- the Moderating Committee is constituted by the HoD and senior management;
- organised labour is consulted in order to obtain their inputs and feedback on the implementation and review of the EMS PMDS; and
- on-going technical support is provided to components and employees;

Depending on the size of the department, the establishment of a dedicated performance or programme management unit with a designated manager is highly advisable.

The Head: Human Resource Development

This position is responsible for the following support in respect of the EMS PMDS

–

- Incorporating identified training needs into the training and skills development planning and implementation processes of the department
- Jointly developing and implementing the workplace skills plan for the department in co-operation with the HR component.

The Moderating Committee

The Moderating Committee will monitor the performance management process by obtaining an overall sense of whether norms and standards are being applied consistently and realistically to employees on the same level. The Committee should not assess each individual case for purposes of evaluating ratings, but should develop an overall view of the results of process. If deviations from norms and standards are identified, these must be referred back to the relevant supervisor for review. The HoD, in consultation with senior management, appoints the Moderating Committee to –

- Provide oversight of the PMS PMDS, especially ensuring that the process for setting performance standards in the PAs is valid and objective;
- Advise the department on incorporation of monetary and non-monetary rewards / recognition into the budget and performance management cycle. This includes advocacy for inclusion of appropriate budget levels for reward and recognition;
- Detect potential problems in the system (early warning) through the HRM report on PA development and progress reviews;
- Review overall assessment scores, based on report by HRM; and
- Recommend reward levels and remedial action for performance and non-performance, respectively.

Depending on the size and nature of the Department (number of employees, provincial, regional and district distribution) moderation sub-committees or quality assurance committees may be established. The roles of these sub-committees should be clearly determined and set out in the departmental policy before the commencement of the next performance cycle (refer also to paragraph 7.4).

Assessment Appeal Panel

The Assessment Appeal Panel is established by the Executing Authority to manage disagreements over ratings referred to in paragraph 7.5 above. The Panel must be constituted in such a manner that expertise of the line function, performance management, legal affairs and labour relations is included. The employee concerned may also choose to be represented by a member of her/his employee organisation. The Panel will consider written representations within five days of an employee receiving the written outcome of the performance assessment and submitting the disagreement to the Panel. The AAP has the following responsibilities —

- To address disagreements between employees and their supervisors on performance assessments (towards reaching agreement)
- Make recommendations to the Head of Department on the rating of employees where there is disagreement between the employee and

supervisor, the supervisor and/or employee and the Moderating Committee

- Make recommendations regarding actions to be considered where managers and supervisors did not properly and fairly execute their responsibilities with regard to the PMS PMDS

Depending on the size and nature of the Department (number of employees, provincial, regional and district distribution) assessment appeal panels may be established in regions or large institutions, if required by practical circumstances. In the event of any remaining disagreement over the performance assessment of an employee, involving the employee and/or his/her supervisor, the employee may, within five days of being informed of the decision of the Assessment Appeal Panel, follow the formal grievance rules in Education. As is the case with other aspects of the PMS PMDS, employees must be informed of the route and processes to be followed in the event of disagreement over performance assessments.

EMS ANNEXURE A

PERFORMANCE AGREEMENT PROFORMA

**Following completion of this form, a copy must be forwarded to the Section:
Human Resource Management (applicable component/unit).**

ENTERED INTO BY AND BETWEEN:

The (ABC) Department of Education herein represented by
_____ (full name) in her/his capacity as
_____ (position) of the (ABC) Department of Education
(herein referred to as the Employer)

and

_____ (full name) as the
_____ (position) of the (ABC) Department of Education
(herein referred to as the Employee)

WHEREBY IT IS AGREED AS FOLLOWS:

1. PURPOSE

- 1.1 The purpose of entering into this agreement is to communicate to the Employee/EMS member the performance expectations of the Employer.
- 1.2 The performance agreement and accompanying work plan shall be used as the basis for assessing the suitability of the Employee/EMS member for permanent employment (if on probation); and to assess whether the Employee/EMS member has met the performance expectations applicable to his/her job. In the event that the Employee/EMS member has significantly exceeded the performance expectations, he/she may qualify for appropriate rewards.
- 1.3 Should any non-agreement arise between the Employer and the Employee/EMS member in respect of matters regulated by this agreement, the process outlined in [paragraph 8.5 of the EMS PMDS should be followed](#). If this process fails, the employee may apply the formal grievance rules of the Personnel Administration Measures (PAM).

2. VALIDITY OF THE AGREEMENT

- 2.1 The agreement will be valid for the period **1 April 2..... to 31 March 2.....**
- 2.2 The content of the agreement may be revised at any time during the above-mentioned period to determine the applicability of the matters agreed upon, especially where changes are significant.
- 2.3 If at any time during the validity of this agreement the work environment of the (ABC) Department of Education (whether as a result of Government or Management decisions or otherwise), to the extent that the contents of this agreement are no longer appropriate, the contents shall immediately be revised.

3. JOB DETAILS

Persal number :
 School Name :
 Pay Point :
 Salary level :
 Notch (PMS package) :
 Occupational classification :
 Designation :

4. JOB PURPOSE

(Describe the purpose of the job (overall focus) as it relates to the Vision and Mission of the Department. Capture the overall accountability that the job holder has in relation to his/her position).

5. REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES

5.1 The Employee/EMS member shall report to the (job title in Department) as her/his supervisor on all parts of this agreement. The Employee/EMS member shall:

- Timeously alert the supervisor of any emerging factors that could preclude the achievement of any performance agreement undertakings, including the contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimised.
- Establish and maintain appropriate internal controls and reporting systems in order to meet performance expectations.
- Discuss and thereafter document for the record and future use any revision of targets as necessary as well as progress made towards the achievement of performance agreement measures.

5.2 In turn the supervisor shall:

- Meet to provide feedback on performance and to identify areas for development at least four times a year.
- Create an enabling environment to facilitate effective performance by the Employee/EMS member.
- Facilitate access to skills development and capacity building opportunities.
- Work collaboratively to solve problems and generate solutions to common problems within the department, that may be impacting on the performance of the Employee/EMS member.

6. PERFORMANCE ASSESSMENT FRAMEWORK

Performance will be assessed according to the information contained in the WORKPLAN and the Core Management Criteria (CMC) framework.

6.1 The KRAs and CMCs during the period of this agreement shall be as set out in the table below.

6.2 The Employee/EMS member undertakes to focus and to actively work towards the promotion and implementation of the KRAs within the framework of the laws and regulations governing the Education sector. The specific duties/outputs required under each of the KRAs are outlined in the attached work plan.

KRAs	Weight
1. Leading and Managing the Learning School	
2. Shaping the Direction and Development of the School	
3. Assuring Quality and Securing Accountability	
4. Developing and Empowering Self and Others	
5. Managing the School as an Organisation	
6. Working with and for the Community	
Total	100%

NOTE: WEIGHTING OF KRAs MUST TOTAL 100%

6.3 The Employee's/EMS member's assessment will be based on her/his performance in relation to the duties/outputs outlined in the attached WORKPLAN as well as the CMCs marked here-under. At least **five** CMCs, inclusive of any that may become prescribed from time to time, should be selected (5) from the list that are deemed to be critical for the Employee's/PMS member's specific job.

CMCs	Weight
Total	100%

NOTE: WEIGHTING OF CMCs MUST TOTAL 100%

7. CONDITIONS OF PERFORMANCE

The Employer shall provide the Employee/EMS member with the necessary resources and leadership to perform in terms of this agreement. Resource requirements should be outlined in the WORKPLANS of individual Employees/EMS members.

8. PERFORMANCE ASSESSMENT

The assessment of an Employee/EMS member shall be based on her/his performance in relation to the KRAs and CMCs and performance indicators, as set out in this PERFORMANCE AGREEMENT and attached WORKPLAN.

The performance of the employee in respect of all individual KRAs and all individual CMCs will be assessed using a 5 point rating scale, i.e.:

- 5= OUTSTANDING PERFORMANCE**
- 4= PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS**

- 3= FULLY EFFECTIVE
- 2= PERFORMANCE NOT FULLY EFFECTIVE
- 1= UNACCEPTABLE PERFORMANCE

The total KRAs and the total CMCs scores are combined to produce an overall performance percentage score with percentage ranges that coincide with the above 5 point assessment scale.

Employees/EMS members: KRAs shall contribute 70% and CMC's 30% of the final assessment

9. FEEDBACK

Performance feedback shall be in writing on the September Review Form and Annual Review Form, based on the supervisor's assessment of the employee's/EMS member's performance in relation to the KRAs and CMCs and standards outlined in this performance agreement and taking into account the Employee's/PMS member's self-assessment.

10. DEVELOPMENTAL REQUIREMENTS

10.1 The Employer and Employee/EMS member agree that the following are the Employee's/EMS member's key development needs in relation to his/her current job and envisaged career path in the Education sector. **Please forward the completed FORM PDP to the Skills Development Facilitator** (as it would be a requirement for the approval of training).

*ONLY ITEMISE DEVELOPMENT AREAS BELOW

.....

10.2 In so far as the above training needs coincide with the Employer's requirements and taking into account financial realities, the Employer undertakes to expose the Employee/EMS member to development in these areas. The developmental needs of the Employee/PMS member shall be reviewed as part of the September Review and the annual assessment of performance. Details of courses, conferences, etc. to be attended shall as far as possible be included in the Employee's/EMS member's PDP.

11. TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL

ASSESSMENT

- 11.1 September Review: 3rd week in September
- 11.2 Annual Review: during April of every year.

12. MANAGEMENT OF POOR PERFORMANCE OUTCOMES

Manager and employee will identify and develop interventions together. to address poor and non performance at feedback sessions, or any time during the performance cycle.

13 DISPUTE RESOLUTION

13.1 Any dispute about the nature of the employee's/EMS member's PA, whether it relates to key responsibilities, priorities, methods of assessment and/or salary increment in this agreement, shall be mediated by:
_____ (next person in hierarchy).

13.2 If this mediation fails, the normal grievance rules will apply.

14. AMENDMENT OF AGREEMENT

Amendments to the agreement shall be in writing and can only be effected after discussion and agreement by both parties.

15. SIGNATURES OF PARTIES TO THE AGREEMENT

The contents of this document have been discussed and agreed with the Employee/EMS member concerned.

Name of Employee/EMS member:

Signature: Date:

AND

Name of supervisor:

Signature: Date:

ANNEXURE B: GUIDE TO THE PERFORMANCE WORK PLAN

GUIDE TO THE WORKPLAN

One of the most challenging aspects of performance management is agreeing on the nature, content and detail of the actual performance agreement. In the performance agreement this is captured largely in the workplan. A major problem in performance management is the wide diversity words and terms used to describe aspects related to performance management and assessment. This [EMS PMDS](#) attempts to standardise terminology to promote a common understanding of those issues that should be included in the workplan and to unpack key result areas and outputs. A further complication is the wide diversity of jobs. Most workplans are therefore unique, while there may be similarities within job categories with a more routine content. The drafting of a workplan and agreement thereon between the supervisor and employee is therefore of prime importance in the performance process.

The definition of the terms is critical as they are also used as basis for the assessment at the end of the cycle. Performance assessment or measurement is hard and complex. An effective system of performance assessment will require years of consistent, incremental work to achieve. Acceptance of the performance management and assessment process is essential to the success of the legitimacy of the performance management system.

The following terms are used with the meaning as indicated:

WORKPLAN: In the [EMS PMDS](#), a workplan is described as a document which is part of the performance agreement and which contains key result areas (KRAs), associated outputs and their performance standards and resource requirements. An example of the template is attached.

OUTPUT: An output is a concrete achievement (i.e. a product such as a passport, an action such as a presentation or immunization, or a service such as processing an application) that contributes to the achievement of a Key Result Area.

PERFORMANCE STANDARD: Performance standards are mutually agreed criteria to describe how well work must be done in terms of quantity and/or quality and timeliness, to clarify the outputs and related activities of a job by describing what the required result should be. In this [EMS PMDS](#), performance standards are divided into indicators and the time factor.

PERFORMANCE INDICATOR: An indicator is a type of information used to gauge the extent to which an output has been achieved (policy developed, presentation delivered, service rendered)

TIME: The time factor is used to determine whether the activities were completed or progress made, as agreed in the pursuit of the output (e.g. policy to be completed by 31 October 2008)

RESOURCE REQUIREMENTS: The resource requirements in this format refer to human resources (who will be specifically involved in delivering the output) and financial resources (the budget set aside for delivering the output).

ENABLING CONDITIONS: These refer to factors that will enable the delivery of the output (availability of the required financial and human resources) and conversely, under what conditions or situations of change can the employee not be expected to deliver the output (unfilled vacancies, a cut in the budget).

Attached is an example of a workplan template, reflecting the above meaning of the terminology in a user friendly format.

EXAMPLE 1: Workplan for the period 1 April 2008 to 31 March 2009

KEY RESULT AREA 1:					
OUTPUT:					
KEY ACTIVITIES	PERFORMANCE STANDARDS		RESOURCE REQUIREMENTS		ENABLING CONDITIONS
	Indicators	Time (completed by)	Human resources	Financial resources	

KEY RESULT AREA 2:					
OUTPUT:					
KEY ACTIVITIES	PERFORMANCE STANDARDS		RESOURCE REQUIREMENTS		ENABLING CONDITIONS
	Indicators	Time (completed by)	Human resources	Financial resources	

OR

EXAMPLE 2

KRA	PEFORMANCE STANDARDS	RESOURCE REQUIREMENTS	ENABLING CONDITIONS
1.			
2.			
3.			
4.			
5.			

OR

EXAMPLE 3

KRA	KEY ACTIVITIES/ OUTPUTS	PERFORMANCE MEASURES		RESOURCE REQUIREMENTS	ENABLING CONDITIONS
		TARGET DATE	INDICATOR		
1.					
2.					
3.					
4.					
5.					

OR

EXAMPLE 4

OUTPUT	KEY ACTIVITIES	PERFORMANCE MEASURES		RESOURCE REQUIREMENTS		
		TARGET DATE	PERFORMANCE STANDARD	PERSONNEL	BUDGET	DONOR NEEDS
1.						
2.						
3.						
4.						
5.						

ANNEXURE C: CORE MANAGEMENT CRITERIA

GUIDE TO THE 15 CORE MANAGEMENT CRITERIA FOR ASSESSING PERFORMANCE OF EMPLOYEES

1 JOB KNOWLEDGE

- Rating 1 Unsatisfactory Performance**
Demonstrates a lack knowledge of relevant policies and practices. Experiences great difficulty in learning. Little value placed on keeping abreast of new work related developments.
- Rating 2 Performance needs to improve**
Demonstrates little knowledge of aspects of work-related policies and practices. Experiences some difficulty in acquiring/learning. Places little value in keeping abreast of new work related developments.
- Rating 3 Competent**
Demonstrates knowledge of policies and practices well. Experiences very little difficulty in acquiring/learning knowledge/information. Keeps abreast of work related developments.
- Rating 4 Good Performance**
Demonstrates sound knowledge of all facets of work-related policies and practices. Eagerly keeps abreast of work related and public service wide developments.
- Rating 5 Excellent Performance**
Demonstrates outstanding breath of knowledge on a wide spectrum of related work areas and public service issues.

2 TECHNICAL SKILLS

- Rating 1 Unsatisfactory Performance**
Fails to show willingness or ability to apply technical/professional knowledge and skills. Abnormal amount of supervision is required. Performance of workgroup/component is being adversely affected.

- Rating 2** **Performance needs to improve**
Requires close supervision and constant guidance in order to properly apply technical/professional knowledge and skills to task in hand.
- Rating 3** **Competent**
Demonstrates ability to apply technical/professional knowledge and skills to immediate work situation. Normal level of supervision and guidance necessary.
- Rating 4** **Good Performance**
Shows above average technical/professional knowledge and skills in immediate work area and wider work environment. Little guidance/ counselling required.
- Rating 5** **Excellent Performance**
Consistently demonstrates exceptional technical/professional knowledge and skills in connection with immediate work areas and those of wider work environment. Normally no counselling or guidance necessary.

3 ACCEPTANCE OF RESPONSIBILITY

- Rating 1** **Unsatisfactory Performance**
Declines all responsibility for own areas of work and that of subordinates, seriously impairing the work of workgroup/ component. Requires abnormal amount of supervision/instruction.
- Rating 2** **Performance needs to improve**
Either needs assistance in the form of training/counseling, or cannot cope with the full range of responsibilities involved in the job, even though some training and/or counseling has been provided. Still room for improvement.
- Rating 3** **Competent**
Constantly accepts responsibility in a competent manner for own areas of work and those of subordinates. Can be relied upon to accept responsibility in respect of other employees in their absence when requested to do so. Normal level of supervision and counselling required.

Rating 4 *Good Performance*
Occasionally exceeds normal expectations, accepts responsibility very competently for own areas of work, those of subordinates and of other employees in their absence. Only minimal guidance or counseling required.

Rating 5 *Excellent Performance*
Often exceeds all normal expectations and accepts responsibility very competently for own areas of work, those of subordinates and other employees in their absence.
Conduct may only be described as exceptional, the employee displaying outstanding qualities far exceeding the requirements of the job. Normally no guidance or counseling required.

4 QUALITY OF WORK

Rating 1 *Unsatisfactory Performance*
Unwilling or unable to accomplish routine tasks. Requires abnormal level of supervision and instruction. Work of workgroup/component is being adversely affected.

Rating 2 *Performance needs to improve*
Needs assistance to fulfil important or key tasks. Work not completed on time or at required level of competency. Individual targets not always met.

Rating 3 *Competent*
Accomplished most of key tasks most of the time in a competent and acceptable way. Requires normal level of supervision and guidance.

Rating 4 *Good Performance*
Work attests to high level of commitment and technical competence. Minimal supervision or guidance required.

Rating 5 *Excellent Performance*

Constantly produces exceptional work, accomplishing all key tasks with high level of accuracy. Normally no guidance/counselling required.

5 RELIABILITY**Rating 1 *Unsatisfactory Performance***

Fails to execute functions as instructed and within agreed upon time frames.

Rating 2 *Performance needs to improve*

Needs to be reminded of responsibilities continually. Usually make excuses.

Rating 3 *Competent*

Seldom needs to enquire about progress of a task. Shows commitment to work.

Rating 4 *Good Performance*

Takes on additional work eagerly and can be trusted to deliver.

Rating 5 *Excellent Performance*

Far exceed normal expectations. Handles greater responsibility independently.

6 INITIATIVE**Rating 1 *Unsatisfactory Performance***

Demonstrates little or no creativity at work, seeking out repetitive or routine work. Consequently requires abnormal amount of supervision and instruction. Lack of creativity is detrimental to the workgroup/component.

Rating 2 *Performance needs to improve*

Performance of routine work satisfactory. Occasionally shows creativity, but not at expected level.

Rating 3 Competent

Works out own programmes/approaches to overcome problems and competently performs to expectations where general principles are not adequate to determine procedure or decisions to be taken. Requires normal level of supervision and counselling.

Rating 4 Good Performance

Produces high level creative work, even in absence of guiding principles and precedents. Only limited guidance or counseling required.

Rating 5 Excellent Performance

Constantly shows a high level of creativity. Always volunteers for additional responsibilities. Normally no guidance or counseling necessary.

7 COMMUNICATION

Rating 1 Unsatisfactory Performance

Demonstrates a lack of being able to express facts and ideas clearly and logically both orally and in writing. Considerable time spent on guidance and editing of work.

Rating 2 Performance needs to improve

Demonstrates some ability to express facts and ideas orally or in writing in a clear and logical manner. Often requires guidance and editing.

Rating 3 Competent

Expresses facts and ideas orally or in writing in a clear and logical manner. Needs normal guidance and editing.

Rating 4 Good Performance

Above average ability in expressing facts and ideas clearly and logically both orally and in writing. Needs minimal guidance and editing.

Rating 5 Excellent Performance

Demonstrates an exceptional ability to express facts and ideas clearly and logically both orally and in writing. Requires virtually no guidance and editing.

8 INTERPERSONAL RELATIONSHIPS

Rating 1 Unsatisfactory Performance

Demonstrates the need for persistent mediation and intervention when interacting with others. Shows lack of co-operation, consideration and respect to other employees/clients. Is impolite and inconsiderate.

Rating 2 Performance needs to improve

Demonstrates the need for more than normal mediation and intervention when interacting with others. Gives little co-operation to others and consideration for ideas when not self-initiated.

Rating 3 Competent

Co-operates well with supervisors, colleagues and those supervised. Is polite and respectful of others. Demonstrates a sound and healthy attitude when interacting with others.

Rating 4 Good Performance

Is a sought after team member. Listens well and is able to mobilise others to achieve organisational goals. Demonstrates a sound and healthy attitude when interacting with others.

Rating 5 Excellent Performance

Demonstrates an exceptionally sound and healthy attitude when interacting with others. Able to get the co-operation of others under difficult circumstances.

9 FLEXIBILITY**Rating 1 Unsatisfactory Performance**

Refuses to undertake new work or accept changes in work practices. Work of workgroup/ component seriously impaired as a result. Requires abnormal amount of supervision and instruction.

Rating 2 Performance needs to improve

Ability to adapt to change is tolerable but not up to standard.

Rating 3 Competent

Will readily accept changes in work, work patterns or procedures, work location etc. in order to help achieve objectives.

Rating 4 Good Performance

Not only adapts to change him-/herself, but also encourages others to adopt more flexible approaches to work

Rating 5 Excellent Performance

Often exceed all normal expectations, encouraging and promoting flexibility at every opportunity

10 TEAM WORK**Rating 1 Unsatisfactory Performance**

Unwilling or unable to co-operate with others. Demonstrates lack of commitment and negates teamwork. Work of team adversely affected.

Rating 2 Performance needs to improve

Able to demonstrate a level of co-operation with immediate colleagues but needs assistance in communicating and influencing others.

Rating 3 Competent

Acceptable and gets on well with colleagues. Able to influence and communicate well as part of a team. Works to achieve team objectives. Requires normal level of supervision and guidance.

Rating 4 Good Performance

Good influencing and communication skills, is able to produce better than expected results for team. Requires minimal guidance or counseling.

Rating 5 Excellent Performance

Demonstrates exceptional abilities working as member of a team. High level of cooperation communication skills and ability to influence and motivate others to achieve targets. Coaches other team members to better results. Little or no guidance ever required.

11 PLANNING AND EXECUTION

Rating 1 Unsatisfactory Performance

Generally inadequate which results in fruitless expenditure in terms of energy, time, human resources, equipment and finances. Lacks ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans weak.

Rating 2 Performance needs to improve

Some aspects of work result in fruitless expenditure. Very little contingency arrangements. Shows little ability to scope length and difficulty of project. No clear breakdown of the process steps. Development of work-plans weak.

Rating 3 Competent

Demonstrates ability effectively and efficiently. Demonstrates the ability to scope length and difficulty of project. Clear breakdown of the process steps. Well thought out workplans.

Rating 4 Good Performance

Demonstrates ability to consistently be effective and efficient, and considers relevant information critically and thoroughly. Demonstrates the ability to scope length and difficulty of project well. Well thought out process steps. Well thought out work plans.

Rating 5 Excellent Performance

Demonstrates an exceptional ability to scope length and difficulty of projects. Clear sequencing of events/activities/process steps. Work-plans exceptionally well thought through and expressed. Achieves results on time and with required quality.

12 LEADERSHIP**Rating 1 Unsatisfactory Performance**

Makes no attempt to motivate or control subordinates. Lack of leadership is having detrimental effects on the workgroup/component.

Rating 2 Performance needs to improve

Motivation and control of subordinates is deficient and there is room for improvement and personal development

Rating 3 Competent

Demonstrates leadership qualities through motivation and control of subordinates. Workgroup/component produces good standard of work in terms of quality and quantity.

Rating 4 Good Performance

Demonstrates leadership qualities of above normal acceptable level. Workgroup produces good to superior standard of work in terms of quality, quantity and timeliness.

Rating 5 Excellent Performance

Constantly maintains very high standards and manages to overcome problems of motivation and control with minimum guidance or counseling from above. Quality, quantity and timeliness of workgroup/ component of excellent order.

13 DELEGATION AND EMPOWERMENT**Rating 1 Unsatisfactory performance**

Demonstrates an inability to assign tasks/functions to develop employees. Fails to make instructions clear. Fails to communicate expectations. Impedes applicable and appropriate initiatives and the creativity of employees without valid reason.

Rating 2 Performance needs to improve

Seldom assigns tasks/functions to develop employees. Seldom takes time to make instructions/tasks clear. Fails to communicate expectations. Often impedes applicable and appropriate initiatives and the creativity of employees without valid reason.

Rating 3 Competent

Experiences very few problems in assigning tasks/function responsibly. Shows the ability to trust the ability of others and to develop their potential.

Rating 4 Good Performance

Provides clear understanding of responsibility and authority when delegating. Intelligently assigns tasks/functions to develop employees and provides the necessary guidance and support.

Rating 5 Excellent Performance

Provides clear understanding of responsibility and authority when delegating. Assigns appropriate tasks/functions to employees and provides the necessary guidance and support. Fully utilises and develops human capital by providing adequate training and development opportunities.

14 MANAGEMENT OF FINANCIAL RESOURCES**Rating 1 Unsatisfactory Performance**

Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.

Rating 2 Performance needs to improve

Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area. Shows some ability to budget and to control expenditure, but not in full control of either.

Rating 3 Competent

Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good budget control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates.

Rating 4 Good Performance

Shows good organising abilities and can cope well with occasional large increases in staff or other resources, defines objectives, anticipates problems and has good budget control with little or no supervision or counseling. Effective time management skills in all familiar work areas and most unusual ones. Usually achieves objectives by encouraging and demonstrating enthusiasm to

subordinate staff. Delegates using staff potential and coaches and trusts staff.

Rating 5 *Excellent Performance*

Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent budget control. Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them.

15 MANAGEMENT OF HUMAN RESOURCES

Rating 1 *Unsatisfactory Performance*

Unable to demonstrate any significant organising and control abilities, delegating skills or time management ability. Ignores or bypasses and is insensitive to subordinate staff. Activities result in fruitless and wasteful expenditure.

Rating 2 *Performance needs to improve*

Demonstrates some organising ability, may define objectives but then loses sight of them. Points the way forward but then allows slackness and ill discipline. Shows some delegating skills but overlooks the need to develop staff. Has some time management ability but requires assistance in this area.

Rating 3 *Competent*

Demonstrates acceptable organising ability with little guidance being necessary. Able to define objectives, organise staff and demonstrate good control with normal supervision and guidance. Delegates to staff, encourages initiative and helps develop abilities and talents of subordinates.

Rating 4 Good Performance

Shows good organising abilities and can cope well with occasional large increases in staff or other resources, defines objectives, anticipates problems and has good budget control with little or no supervision or counseling. Effective time management skills in all familiar work areas and most unusual ones. Usually achieves objectives by encouraging and demonstrating enthusiasm to subordinate staff. Delegates using staff potential and coaches and trusts staff.

Rating 5 Excellent Performance

Demonstrates ability and experience in organising and controlling large volumes of resources, specialised work and staff. Plans well for contingencies even in pressure situations. Consistently defines objectives, anticipates problems, checks results and demonstrates excellent control. Excellent delegation ability with either significant numbers of staff or specialists. Coaches and trusts staff using their potential, holding meetings and formulating plans and objectives with them.

ANNEXURE D
PERSONAL DEVELOPMENT PLAN (PDP)

DEPARTMENT:

SCHOOL:

JOB TITLE:

INCUMBENT:

PURPOSE: To enable the manager and the employee to identify skills development requirements and as a result agree on the steps taken to address those developmental gaps.

AREA IDENTIFIED FOR DEVELOPMENT	OBJECTIVE OF DEVELOPMENT	TYPE OF INTERVENTION (SHORT COURSE, BURSARY)	QUARTER TARGETED
e.g. research (Design, implement, analyse questionnaires/interviews)	To develop research capability for high level information gathering)	Short course at Tech/University	Third quarter

You may attend a conference within the year that would be a substitute for any of the areas of development.

CONFERENCES ATTENDED	TYPE OF CONFERENCE
e.g Labour Law	e. g .Dealt with current application of employment legislation

Signatures : Employee : Date Supervisor: Date.....

IMPACT ASSESSMENT

IMPACT OF DEVELOPMENT ON WORK (AFTER SIX MONTHS)	
EMPLOYEE	SUPERVISOR/MANAGER
e.g Did not have the opportunity to use all skills developed due to the need to focus on other priority areas of my work	e.g Employee completed first draft of questionnaire for a survey to be implemented in Aug 06

We, (Employee) and (Supervisor) agree that the above-mentioned areas for development and the type of intervention suggested would be engaged in to achieve the required objective for development. We also understand that due to the operational requirements and budget constraints of the Department (component/unit), it may not be possible to undertake the training and development stated with the type of invention stated and/or within the quarter of the year as stated. There is also an understanding between ourselves that areas for development could be identified throughout the year and that this may change the order of priority and type of invention as stated in the plan.

Signatures : Employee : Date Supervisor: Date.....

ANNEXURE E: HALF-YEARLY REVIEW FORM

SEPTEMBER REVIEW FORM

Purpose: To review, summarise and develop the work performance off all employees/PMS members.

(Following completion of this form, a copy must be forwarded to the Section: HR Management.)

NAME:	SUPERVISOR:
JOB TITLE:	SCHOOL:
DATE OF REVIEW:	SALARY LEVEL:

A. KEY RESULT AREAS (KRAs)

(Rate all the KRAs included in the performance agreement)

KRAs	Weighting	Own Assessment (1-5)	Supervisor's Assessment (1-5)
1. Leading and Managing the Learning School			
2. Shaping the Direction and Development of the School			
3. Assuring Quality and Securing Accountability			
4. Developing and Empowering Self and Others			
5. Managing the School as an Organisation			
6. Working with and for the Community			
TOTAL	100 %		

NOTE: WEIGHTING OF KRAs MUST TOTAL 100%

This rating is based on my personal knowledge and observation of the employee's/ PMS member's performance.

Supervisor Date:.....

This rating has been discussed with me

Employee/ PMS member Date:.....

B. CRITICAL CORE MANAGEMENT CRITERIA (CMCs):

(Rate the CMCs agreed upon in the performance agreement)

CMC	Weighting	Own Rating (1-5)	Supervisor's Rating (1-5)
1.			
2.			
3.			
4.			
5.			
TOTAL	100 %		

NOTE: WEIGHTING OF CMC'S MUST TOTAL 100%

C. DEVELOPMENTAL AREAS

Specify areas in which the employee/PMS member was developed as indicated in the Performance Agreement and Personal Development Plan, if not developed, state reasons why and specify dates when will this take place.

rating is based on my personal knowledge and observation
member's performance.
Supervisor..... Date:

This rating has been discussed with me.of the employee/PMS
Employee/PMS member Date

D. MANAGING UNSATISFACTORY PERFORMANCE

Identify unsatisfactory performance and state actions taken or to be taken by when and by whom.

E. EMPLOYEE'S COMMENTS (CAN INCLUDE OBSTACLES ENCOUNTERED AND OVERCOME) if applicable

Signature:

DATE:

F. SUPERVISOR'S COMMENTS

Signature:

DATE:

ANNEXURE F: PERFORMANCE ASSESSMENT INSTRUMENT

Annual Performance Assessment Instrument

The manager must forward the completed form to the Section: HR Management for filing immediately after Completion

CONFIDENTIAL

Period under review

Surname and initials

Job title

Remuneration level

Persal no.

School

Date of appointment to current remuneration level

Race African Coloured Indian White

Gender Male Female

Disability (Specify, if applicable)

(Tick the appropriate box)

Probation	Extended probation	Permanent	Contract
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PART 1 – COMMENTS BY RATED EMPLOYEE

(To be completed by the Employee prior to assessment. If the space provided is insufficient, the comments can be included in an attachment)

1. During the past year my major accomplishments as they related to my performance agreement were:

2. During the past year I was less successful in the following areas for the reasons stated:

Signatures :
Employee : **Date:**.....**Supervisor:**.....**Date**.....

PART 2 – PERFORMANCE ASSESSMENT
Standard Rating Schedule for KRAs and CMCs

RATING	CATEGORY	%	DESCRIPTION
1	UNACCEPTABLE PERFORMANCE	- 69%	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against almost all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
2	PERFORMANCE NOT FULLY EFFECTIVE	70% - 99%	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved less than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
3	FULLY EFFECTIVE	100% - 114%	Performance fully meets the standard expected in all areas of the job. The review / assessment indicates that the jobholder has achieved as a minimum effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan.
4	PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS	115% - 129%	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved better than fully effective results against more than half of the performance criteria and indicators as specified in the Performance Agreement and Workplan and fully achieved all others throughout the performance cycle.
5	OUTSTANDING PERFORMANCE	130% - 149% 150% +	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved better than fully effective results against all of the performance criteria and indicators as specified in the Performance Agreement and Workplan and maintained this in all areas of responsibility throughout the performance cycle.

Rating of KRAs by Supervisor and Employee:

Key Result Areas	Weight (%)	Own rating (1- 5)	Supervisor's rating (1- 5)	Moderating Com's rating (1- 5)
1. Leading and Managing the Learning School				
2. Shaping the Direction and Development of the School				
3. Assuring Quality and Securing Accountability				
4. Developing and Empowering Self and Others				
5. Managing the School as an Organisation				
6. Working with and for the Community				
Total (NOTE: Weighting of KRAs must total 100%)	100%			
Score according to calculator:	70%			

Signatures :

Employee : Date:.....Supervisor:.....Date.....

Rating of CMCs by Supervisor and Employee:

Core Management Criteria - CMCs	Weight (%)	Own rating (1- 5)	Supervisor's rating (1- 5)	Moderating Com's rating (1- 5)
1.				
2.				
3.				
4.				
5.				
Total (NOTE: Weighting of CMCs must total 100%)	100%			
Score according to calculator:	30%			

FINAL SCORE

GRAND TOTAL	OWN RATING	SUPERVISOR'S RATING	MODERATING COM'S RATING
KRA + GAF (70% + 30%) for levels 8-12			

PART 3 - DEVELOPMENT, TRAINING, COACHING, GUIDANCE AND EXPOSURE NEEDED BY PMS MEMBER

(To be completed by Supervisor in consultation with Employee/PMS member)

Signatures :**Employee :** **Date:**.....**Supervisor:**.....**Date**.....

PART 4

1. Supervisor's recommendation

-----	-----	-----
Signature	Name	Date

2. Employee/EMS member's comments:

-----	-----	-----
Signature	Name	Date

3. Comments of Chairperson of Moderating Committee:

-----	-----	-----
Signature	Name	Date

4. Decision by Executing Authority or her/his delegate:

-----	-----	-----
Signature	Name	Date

Signatures :
Employee : Date:.....Supervisor:.....Date.....

ANNEXURE G

PROBATION: QUARTERLY PERFORMANCE ASSESSMENT

Employees on probation must be assessed on a quarterly basis using this form as the point of departure.

The manager must forward the completed form to the Section: HR Management immediately after completion.

C O N F I D E N T I A L

Quarter	1	2	3	4
Name:				
Job Title:				
School:				
Date of appointment:				
Period of assessment:				
Persal No.:				

**PART 1:
COMMENTS BY EMPLOYEE**

(To be completed by Employee, prior to assessment. If the space provided is insufficient, the comments can be included in an attachment)

1. During the past quarter my major accomplishments as they related to my job description/Performance Agreement were:

2. During the past quarter I was less successful in the following areas for the reasons stated:

Signatures :
Employee : **Date:**..... **Supervisor:**.....**Date:**.....

PART 2:**QUARTERLY PERFORMANCE ASSESSMENT**

- 2.1 Supervisor's assessment of Key Result Areas (KRA's):**
(Use the Performance Assessment Instrument in Annexure F)
- 2.2 Supervisor's assessment of Core Management Criteria (CMCs):**
(Use the Performance Assessment Instrument in Annexure F)

FINAL SCORE

GRAND TOTAL	OWN RATING	SUPERVISOR'S RATING	MODERATING COM'S RATING
KRA + CMC (70% + 30%) for levels 8-12			If applicable
FINAL SCORE			If applicable

PART 3: TO BE COMPLETED BY THE SUPERVISOR
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3.1 Employee to receive training for the following reasons:

3.2 Is the Employee correctly placed,

YES NO

3.3 Upon expiry of his/her probationary period do you anticipate that he/she will be suitable for a permanent appointment?
--

YES NOIf the employee is not correctly placed, please consult the Manager: HR Management and Development.

Signatures :

Employee : Date:..... Supervisor:.....Date.....

3.4 Supervisor's recommendation/s at the end of the probationary period:
 (Please complete either 3.4.1 or 3.4.2)

3.4.1 I recommend the confirmation of _____'s probation, in view of the employee's diligence and because his/her conduct has been uniformly satisfactory.

3.4.2 I recommend that _____'s probation be extended for a period of three/six/nine/twelve months for the following reasons:

4. Employee's comments:

Signature

Name

Date

5. Recommendation/s in 3.4 approved in accordance with delegated authority.

Signature

Name

Date

Signatures :

Employee : Date:..... Supervisor:.....Date.....

ANNEXURE H

SCENARIOS IN THE EVENT OF NON-AGREEMENT ON ASSESSMENT RATING SCORES

Agreement between an employee and her/his supervisor, and/or with the Moderating Committee, on employee performance issues such as rating, is not always guaranteed. If the requirements of the system are met for regular consultation and discussion between the supervisor and the employee, there should normally be little cause for continued non-agreement. However, non-agreement may occur (a) between the employee and her/his supervisor; (b) between an employee and her/his supervisor on the one hand, and the Circuit/District Moderating Committee on the other hand; (c) between the Circuit/District Moderating Committee and the Departmental Moderating Committee; and even between the Departmental Moderating Committee and the Head of Department or Executing Authority.

A policy framework such as this cannot in detail provide for each possible scenario. However, each department must, depending on size and macro-organisation, practically provide for the structures and processes to deal with different scenarios in which continued disagreement may occur. Disagreements at the levels of the Circuit/District and/or the Departmental Moderating Committee may be limited or minimised if the assessment of senior managers is done before the assessment of non-managers. This may assist in limiting possible contradictions or inequities between the assessment of, for example, particular cascading KRAs found on the different levels. This approach may set certain parameters of performance that may partially serve as benchmarks when assessing individuals below the management level in the organisation.

This Annexure addresses two broad scenarios with different types of possible interventions and/or recommendations or decisions, by the supervisor, the Circuit/District Moderating Committee, the Assessment Appeal Panel, the Departmental Moderating Committee and even the Head of Department or the Executing Authority. The two scenarios are based on the assumption that self-assessment by the employee is followed by an assessment by the supervisor, followed by an attempt to reach agreement between them on a score. The two scenarios are —

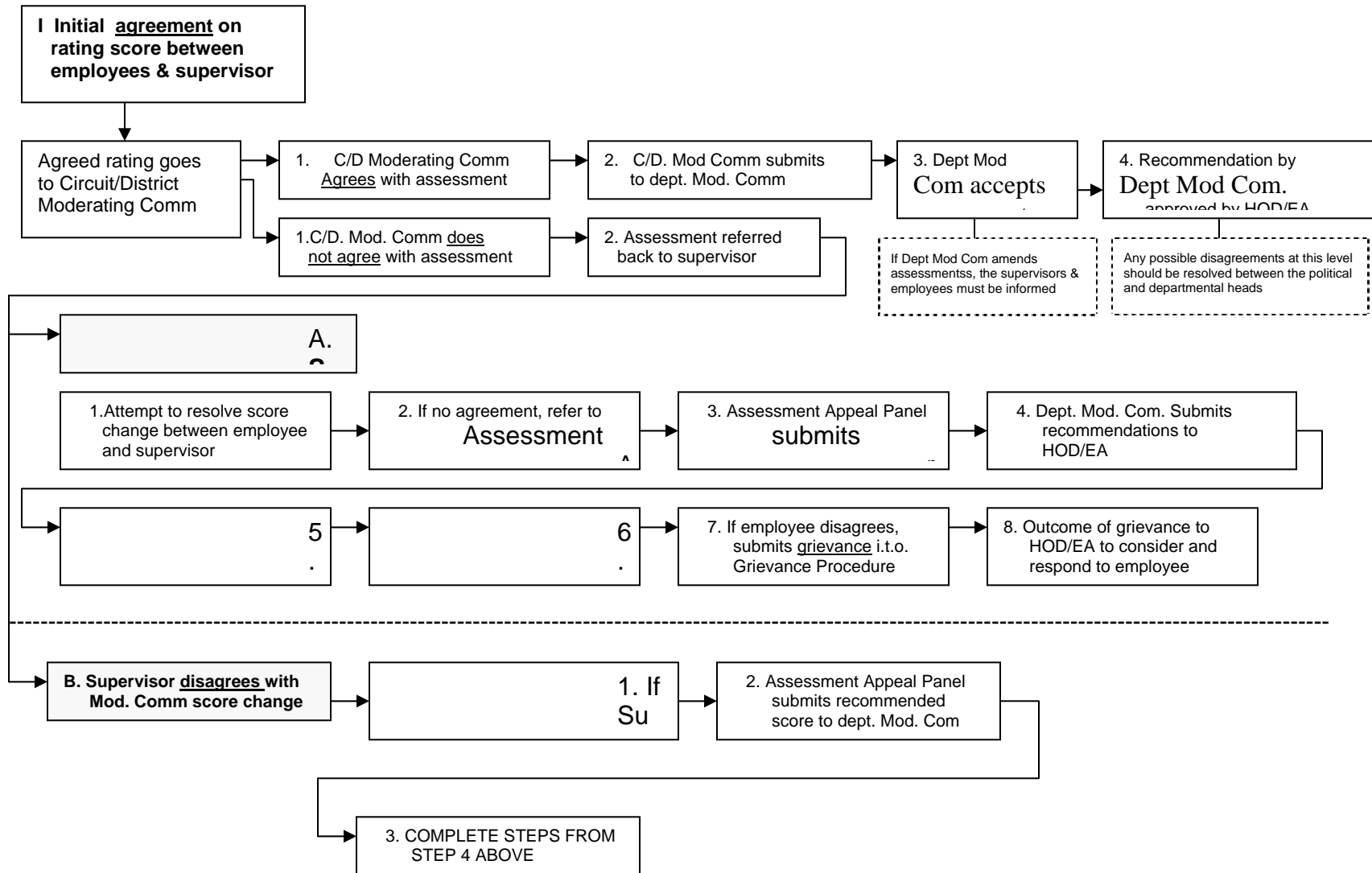
- Initial agreement on an assessment score between the employee and supervisor

- Initial disagreement on an assessment score between the employee and supervisor

The steps contained in the two scenarios, relating to the moderation or review of performance and/or possible amendments by higher levels of management of lower level assessments, should in most cases result in a conclusive outcome. Non-agreement on a rating between a supervisor and employee must be resolved within 5 days. If it cannot be resolved and is referred to the Assessment Appeal Panel, the AAP must within 5 days take a decision on the disagreement and make a recommendation to the Departmental Moderating Committee.

If there are fundamental disagreements between Circuit/District Moderating Committees and the Departmental Moderating Committee, or if the departmental Moderating Committee wishes to amend ratings by Circuit/District moderating committees, or if the Head of Department or Executing Authority does not wish to approve recommendations of the Moderating Committee, such issues should be resolved at management level. If this leads to a change in any individual assessment score, and the employee refuses to accept the change, the employee may follow the formal grievance rules of the Education Sector. If the above processes ultimately fail to resolve the disagreement or grievance, the employee is entitled to seek redress through other means available in law.

SCENARIO 1: PROCESS IN THE EVENT OF INITIAL AGREEMENT BETWEEN EMPLOYEE AND SUPERVISOR, FOLLOWED BY PROPOSED AMENDMENTS BY THE CIRCUIT/DISTRICT MODERATING COMMITTEE



SCENARIO 2: PROCESS IN THE EVENT OF INITIAL DISAGREEMENT BETWEEN EMPLOYEE AND SUPERVISOR, FOLLOWED BY PROPOSED AMENDMENTS BY THE CIRCUIT/DISTRICT MODERATING COMMITTEE

