



# **COLLECTIVE AGREEMENT NUMBER 3 OF 2002**

***11 DECEMBER 2002***

## **PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME FOR OFFICE BASED EDUCATORS**



**COLLECTIVE AGREEMENT NO 3 OF 2002**

**PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME  
FOR OFFICE BASED EDUCATORS**

**1. PURPOSE OF THIS AGREEMENT**

The purpose of this agreement is to identify, evaluate and develop office-based educators' performance.

**2. SCOPE OF THIS AGREEMENT**

This agreement applies to and binds:

- (1) The employer, and
- (2) All the employees of the employer as defined in the Employment of Educators Act, 1998 (as amended) whether such employees are members of trade union parties to this agreement or not.

**3. THE PARTIES TO COUNCIL NOTE AS FOLLOWS:**

- (1) Schedule 1 of the Employment of Educators Act of 1998, as amended.
- (2) The provision on core duties and responsibilities of educators as contained in the Personnel Administration Measures (PAM).

**4. THE PARTIES TO COUNCIL THEREFORE AGREE AS FOLLOWS:**

- (1) That the performance management and development scheme for the evaluation of an office-based educator's performance, as attached in Annexure A, be adopted to provide a basis for decisions on salary progression, rewards and other measures that require a certain level of performance.
- (2) That all educators employed on salary level 13 and above, as well as those on SMS be excluded from this agreement.
- (3) That the basis for decisions on rewards and other measures that require certain levels of performance shall be the applicable regulations in terms of the Public Service Act (1994), as amended.

**5. DATE OF IMPLEMENTATION**

This agreement shall, in respect of parties and non-parties, come into effect on the date it is signed in Council.



**Annexure A****PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME  
FOR OFFICE BASED EDUCATORS****1. INTRODUCTION**

The *White Paper on Human Resource Management* (December 1997) and the new *Public Service Regulations*, signal a new approach to performance management and development in the South African Public Service and in the Department of Education.

The Performance Management and Development Scheme (PMDS) links the need for effective staff performance with the Corporate Plan. The scheme identifies, evaluates, and develops staff performance so that:

- (1) the Department's Mission and Objectives are achieved;
- (2) its Values are practiced; and
- (3) staff benefit through clarification of expectations, recognition of their efforts, feedback on their performance, improved training and development, and enhanced career planning.

It is important that the various processes in the scheme are integrated into the normal work of supervisors and staff and not viewed as some additional administrative requirement.

**2. AIMS OF THE SCHEME**

The aim of the Performance Management and Development Scheme is to:

- (1) improve performance against corporate goals by establishing a performance culture;
- (2) improve individual's awareness and understanding of their work objectives and the performance standards expected of them;
- (3) ensure that individuals know how their performance against these standards is perceived;
- (4) improve communication between supervisors and their staff;
- (5) evaluate performance fairly and objectively;
- (6) provide opportunities to identify individual's development needs and to devise, with their supervisors, plans to address those needs;
- (7) facilitate the effective management of unsatisfactory performance; and
- (8) provide a possible future basis for decisions on rewards.




## 6. DEFINITIONS

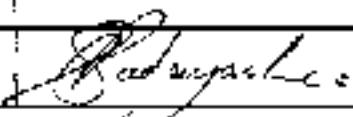
- (1) "SMS" means employees on Senior Management System referred to in Regulation IB1 of Chapter 4 of the Public Service Regulations as contained in Government Gazette No: 21951 of 5 January 2001.
- (2) "Educator" means educator as defined in the Employment of Educators Act, 1998 (EEA), as amended.
- (3) "Employer" means employer as defined in the Employment of Educators Act, 1998 (EEA), as amended.

## 7. DISPUTE RESOLUTION

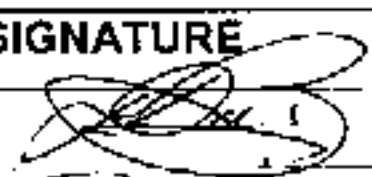
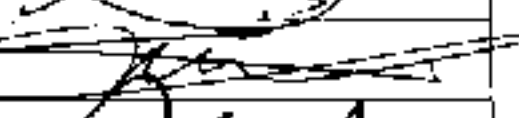
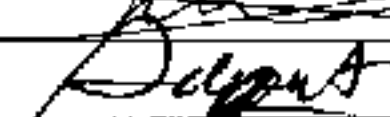
Any dispute about the interpretation or application of this agreement shall be resolved in terms of the dispute resolution procedure of the Council.

Thus done and signed at KOPANONG, Benoni on the 11<sup>th</sup> day of December 2002.

### ON BEHALF OF THE STATE AS EMPLOYER

DEPARTMENT	NAME	SIGNATURE
EDUCATION	S. G. PATHEAHEE	

### ON BEHALF OF THE EMPLOYEE PARTIES

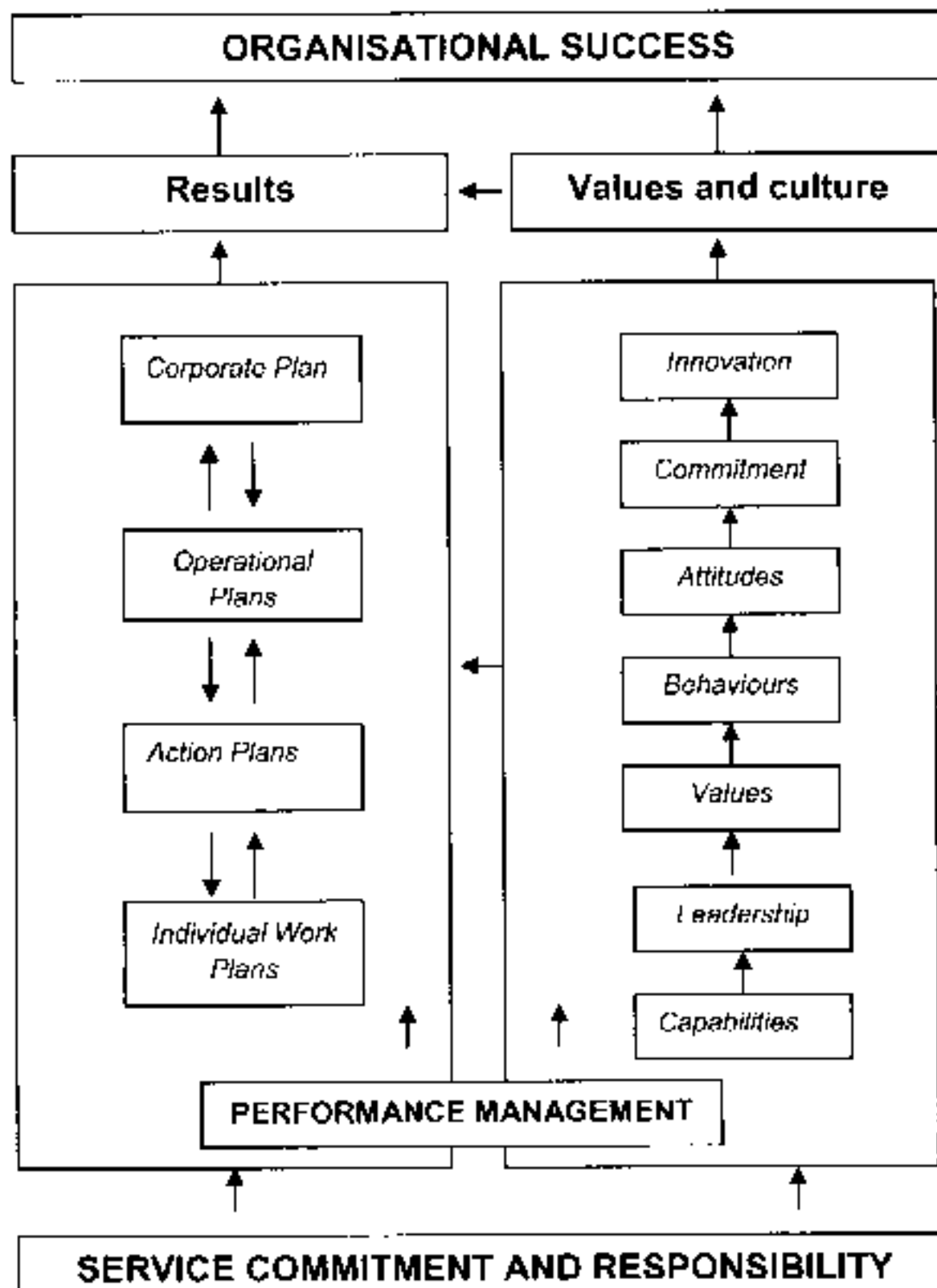
TRADE UNION	NAME	SIGNATURE
NAPTOSA	D. H. BART	
SADTU	T. W. NXES	
SAOU	P. DEURPORT	

To be a 'successful' organisation the Department needs to:

- achieve high quality results, **and**
- employ the effective work cultures which are reflected in its Values.

The PMDS therefore assesses not only **what** results are achieved by an individual but also the **way** in which they are achieved. **What** is achieved is assessed against a Work Plan, the **way** it is achieved is assessed against a set of Capabilities. Both carry equal weight in the overall assessment, each is important to organisational success.

As illustrated in the diagram below, performance management is the bridge which links these two concepts.



### 3. KEY PRINCIPLES

The PMDS represents a departure from previous 'assessment' schemes in the Department, which have been perceived as judgmental and inequitable.

Some key principles underpinning the PMDS are:

- (1) its focus is to improve future performance, not simply to judge past performance;
- (2) its focus is to be positive and constructive even where performance needs to improve;
- (3) it encourages regular, honest and timely feedback, both positive and negative;
- (4) it is a participative process involving discussion of expectations and performance between supervisor and staff member;
- (5) it places a strong emphasis on development;
- (6) the entire process must be transparent; and
- (7) it aims to minimise subjectivity through openness and discussion.

### 4. COVERAGE

This PMDS covers all staff employed in the Department who are appointed in terms of the *Employment of Educators Act, 1998*

### 5. PERFORMANCE MANAGEMENT AND DEVELOPMENT CYCLE

The PMDS operates on an annual cycle which runs from 1 April to 31 March and is directly linked with the corporate planning cycle. There are six key processes within the PMDS cycle, which are:

- (1) Develop a Work Plan
- (2) Agree the Capabilities
- (3) Ongoing Review and Feedback
- (4) Quarterly Reviews
- (5) Annual Performance Appraisal
- (6) Personal Development Planning
- (7) Upward Feedback

### 6. DEVELOPING WORK PLANS

A staff member and his or her immediate supervisor develop a Work Plan (form 1) which will provide the basis for performance appraisal. Work Plans should broadly follow the same format as the Corporate, Operational and

P







Action Plans. They should also be linked to organisational requirements, eg the establishment, the CORE and a signed job description.

In short, the Work Plan describes **what** the staff member is going to achieve and consists of:

### ***Key Objectives***

These identify the results expected to be achieved during the PMDS cycle. They should be based on:

- (1) the objectives of the work area which flow down from the Corporate Plan;
- (2) the staff member's job requirements as specified in the job description and CORE; and
- (3) broader objectives such as Tirisano, Representivity, Batho Pele etc

A plan should normally contain no more than four to six job objectives and no more than a similar number of strategies.

### ***Action Strategies***

These are the specific actions or strategies which will be employed by the staff member in working towards the achievement of his or her objectives.

### ***Performance Indicators***

Performance indicators are the measures by which staff and supervisors know they are achieving their objectives. Performance indicators should be non-discriminatory and gender neutral.

When developing the Work Plan, the staff member and the supervisor will also discuss the resources required for the objectives to be achieved.

Before establishing a Work Plan the staff member and the supervisor should be clear about the officer's roles and key job objectives. If there is any uncertainty this should be discussed and resolved before proceeding with the plan. **The Work Plan must be mutually agreed by both the officer and the supervisor.**

Work Plans are about the results a staff member is to achieve, not about his or her personal qualities or traits – although these may be important in terms of how they do the job e.g. communication skills, interpersonal skills, initiative. The **way** the person does the job is assessed against the Capabilities.

*[Handwritten signatures and initials are present in the bottom right corner of the page.]*

## **Common Plans**

Although it is intended that each staff member should develop his or her own individual Work Plan, groups of staff who are the same level and who do essentially the same work, may find it more convenient to develop a common Work Plan.

This should preferably be done in conjunction with the supervisor and should draw on other documents such as job descriptions, work plans, outcome statements etc. It is particularly important that supervisors of junior level staff assist and facilitate the process of developing plans. Common sense should be used by supervisors responsible for groups of staff performing routine duties who may have limited capacity to develop work plans on their own. In such cases it may be more sensible for the supervisor to develop the work plan then discuss it with the staff to get their input, agreement and importantly, to ensure they understand.

## **7. THE CAPABILITIES**

As well as an assessment against the Work Plan, staff members are also assessed against the Capabilities (Form 5) for their posts. The supervisor and staff member must have a thorough discussion of each of the Capabilities at the beginning of the assessment period. This discussion should relate the Capabilities to the realities of the job and discussion should centre on real-life examples of what the capabilities measure.

Capabilities are important in terms of developing the kind of positive, effective work culture embodied in the Department's Values. The Capabilities are:

### **CAPABILITY 1: JOB PERFORMANCE**

The manner in which staff by their work behaviour and the application of skills successfully carry out their work.

### **CAPABILITY 2: JOB KNOWLEDGE AND APPLICATION**

Seeking, having and maintaining the necessary knowledge to do the job. Being able to apply the knowledge sensibly to achieve results, not simply apply the 'rules'.

### **CAPABILITY 3: INTERPERSONAL RELATIONS**

Maintaining sound interpersonal relations with colleagues, clients and stakeholders to ensure a harmonious and productive work environment.

### **CAPABILITY 4: COMMUNICATION**

Communicates with colleagues, clients and stakeholders in an accurate, timely, clear and courteous manner. Promotes transparency, trust and common understanding in the way he/she communicates.

### **CAPABILITY 5: CLIENT SERVICE**

Ability to render quality service to both internal and external clients.



**CAPABILITY 6: EQUITY**

The willingness and ability to promote equity in line with the objectives and policies of the Government.

**CAPABILITY 7: OPERATIONAL LEADERSHIP ABILITIES**

The ability to guide and direct the efforts of the group so that they work effectively to achieve their objectives.

**CAPABILITY 8: VISIONARY LEADERSHIP ABILITIES**

Concerned with forward thinking, accepting challenges and opportunities. Develops and communicates a clear and relevant vision for the unit/department.

**CAPABILITY 9: CONCEPTUAL AND ANALYTICAL SKILLS**

Able to analyse situations/issues and to develop clear, rational policy and operational responses and advice. Presents clear briefing and policy advice.

Not all capabilities will apply to all staff members but need to reflect their levels and responsibilities. As a general rule:

- Capabilities 1-5 apply to all staff;
- Capabilities 1-9 apply to all supervisors up to Level 5.

However, the opportunity exists to add or subtract capabilities where appropriate. There may be some very specific capabilities a particular job requires which are not adequately covered by the existing Capabilities.

Where appropriate, the Elements within each capability should also be adjusted to reflect the level or specific characteristics of the job. In considering each Capability and adjusting the Elements within them, the relevant job CORE should be taken into account.

**Common Capabilities**

As with Work Plans, supervisors of junior level staff who perform routine duties may find that a common set of capabilities applies to all the staff. In this situation, explaining the importance of each capability, what it means and that the staff will be assessed against it will be a key responsibility of each staff member.

**8. ONGOING REVIEW AND FEEDBACK**

Both the staff member and the supervisor monitor ongoing performance against the Work Plan and the Capabilities. The supervisor provides balanced and constructive ongoing feedback - both positive and negative -, which is focused on improving performance.

Regular feedback **avoids surprises** for the staff member at the feedback interviews. For supervisors, it is much easier to provide ongoing feedback on an issue-by-issue basis than to have to give it all in one session – and then

*Handwritten signatures and initials:*  
 P  
 [Signature]  
 [Signature]

explain why they had not raised the matter earlier. Similarly, it is better for staff members to receive ongoing feedback than to be told at the end of twelve months that aspects of their work performance are below standard.

## 9. QUARTERLY REVIEWS

Every three months during the PMDS cycle, a supervisor and staff member jointly review the Work Plan and Capabilities to discuss progress, taking into account any changes in circumstances since the beginning of the cycle. These reviews are an integral part of the PMDS and facilitate improving performance during the cycle. They also ensure there are no surprises for either party at the annual performance appraisal interview. Quarterly reviews may comprise:

- (1) checking the relevance of Work Plans in the light of any changed circumstances and adjusting them if necessary;
- (2) reviewing performance against the Plan so far, and agreeing on any adjustments necessary to improve performance;
- (3) discussion of performance to date against the Capabilities; and
- (4) making arrangements for agreed training, coaching or development activities.

Either party may request an interview to discuss amendments and/or revisions to the Plan at any time. Amendments and revisions should be mutually agreed.

## 10. ANNUAL PERFORMANCE APPRAISAL

Annual appraisal should be conducted at the end of a cycle and consists of the following:

- (1) discussion between supervisor and staff member about performance against the Work Plan, including the impact of any changed circumstances;
- (2) discussion of performance against the Capabilities;
- (3) an opportunity for staff to give their own appraisal of their performance against both the Work Plan and the Capabilities;
- (4) an opportunity for the staff member to consider and respond to the supervisor's appraisal of their performance;
- (5) an opportunity for staff to give face-to-face feedback to the supervisor on how well they consider they have been supervised;
- (6) completion of appraisal documentation, leading to an overall performance rating;
- (7) development of a Work Plan for the next PMDS cycle.




Both the supervisor and the staff member will need to prepare for the appraisal discussion. At least ten working days notice should be given to the staff member by the supervisor to allow for thorough preparation.

This preparation should include completing a self-appraisal against the Work Plan and Capabilities as well as gathering any information necessary to aid the discussion as part of their preparation for the feedback interview, the staff member should complete their own *Annual Work Plan Rating – Staff Member* (Form 2) as well as their own assessment of their performance against the *Capabilities* (Forms 5 & 6).

Once the appraisal discussion has been completed, the officer being appraised is given up to five working days to consider and respond to issues raised in the discussion, before signing all the forms.

A supervisor and a staff member will be expected to settle a new plan within four weeks of the appraisal discussion, if not at the time of the appraisal itself (Form 1).

## 11. WHO APPRAISES WHOM?

Appraisals are conducted along normal lines of reporting. The appraisals will be signed off by the officer appraised, the supervisor and the next level supervisor (the Reviewing Officer). In this way, progressive management levels have a part to play in the process and can exercise a moderating influence where appropriate to ensure consistency of standards across their respective areas of responsibility.

## 12. PERFORMANCE RATINGS (PR)

Performance against each key objective in the Work Plan is appraised using the following rating scale:

- PR 5: Outstanding** - Performance has far exceeded the agreed standards set for this objective. Has produced results of a very high standard consistently. May have sought out more complex and challenging work.
- PR 4: Very Good** - Performance has exceeded the agreed standards set for this objective. Has produced results of a high standard consistently. May have sought out more complex and challenging work.
- PR 3: Good** - Performance has fully met the agreed standards set for this objective. Has produced consistently good work.
- PR 2: Acceptable** - Performance has just met the agreed standards set for this objective. Produces work to the standard required, may have some areas requiring improvement.
- PR 1: Unacceptable** - Performance has not met the agreed standards set for this objective. Has not displayed the potential or

commitment to develop their performance. A structured program for improving performance is required.

As is evident from the scale above, Work Plans should be written at the PR3 level in the expectation will strive to perform well.

### 13. OVERALL WORK PLAN RATING (OWPR)

To consolidate the ratings against **individual objectives**, an **Overall Work Plan Rating (OWPR)** is also given. Descriptions of OWPRs are as follows:

- OWPR 5: Outstanding** - Performance far exceeds the standard expected of **Good (OWPR3)** staff at this classification level. This level indicates that the staff member has delivered outstanding results against almost all objectives.
- OWPR 4: Very Good** - Performance exceeds the standard expected of **Good (OWPR3)** staff at this classification level. This level indicates that the staff member has delivered very good or better results against nearly all objectives.
- OWPR 3: Good** - Performance fully meets the standard expected of fully effective staff at this classification level. This level indicates that the staff member has delivered good or better results against nearly all objectives.
- OWPR 2: Acceptable** - Performance meets the basic standard expected of staff at this classification level. This level indicates that the staff member has delivered acceptable results against most objectives.
- OWPR 1: Unacceptable** - Performance does not meet the standard expected of staff at this classification level. This level indicates that the staff member has failed to deliver satisfactory results against a significant number of objectives.

The OWPR is not necessarily a simple arithmetic average of the individual Performance Rating's – this would only be valid if all the objectives were of equal value or were weighted. The OWPR is a judgement by the supervisor of performance against all objectives, their relative importance, and taking into account any factors/events affecting performance. The supervisor's assessment only occurs after a thorough discussion of performance and ratings with the staff member.

### 14. CHANGED CIRCUMSTANCES

Where the ability of a staff member to achieve the objectives stated in the Work Plan is affected by changed circumstances (e.g. altered priorities, lack of resources, organisational restructuring etc.) this should be taken into account. Provision is made in the appraisal documentation for relevant comment to be made and taken into account when determining both individual Performance Ratings and the Overall Performance Rating (OWPR).

Significant changes may mean the Work Plan has to be re-written or at least adjusted.

It is important for both supervisors and staff to keep track of such changes during the year. Where they are significant, the Work Plan should be changed.

## 15. THE CAPABILITIES RATING

Performance against each of the Capabilities is assessed using essentially the same rating scale used for the Work Plan:

- CR 5:**        **Outstanding** - Performance has far exceeded the agreed standards set for this capability
- CR 4:**        **Very Good** - Performance has exceeded the agreed standards set for this capability
- CR 3:**        **Good** - Performance has fully met the agreed standards set for this capability
- CR 2:**        **Acceptable** - Performance has just met the agreed standards set for this capability
- CR 1:**        **Unacceptable** - Performance has not met the agreed standards set for this capability

The ratings against the individual 'Elements' in each capability serve as a guide only and should not simply be averaged to arrive at a rating for each Capability. This is because some Elements may be very important while other may only be of minor importance and therefore cannot be treated equally in the overall assessment.

## 16. OVERALL CAPABILITIES RATING (OCR)

To consolidate the ratings against individual capabilities, an Overall Capabilities Rating (OCR) is also given. Descriptions of OCRs are as follows:

- OCR 5:**        **Outstanding** - Performance far exceeds the standard expected of **Good (OCR3)** staff at this classification level. This level indicates that the staff member has delivered outstanding results against almost all capabilities.
- OCR 4:**        **Very Good** - Performance exceeds the standard expected of **Good (OWPR3)** staff at this classification level. This level indicates that the staff member has delivered very good results against nearly all capabilities.
- OCR 3:**        **Good** - Performance fully meets the standard expected of fully effective staff at this classification level. This level indicates that the staff member has delivered good or better results against nearly all capabilities.
- OCR 2:**        **Acceptable** - Performance meets the basic standard expected of staff at this classification level. This level indicates that the

staff member has delivered acceptable results against most capabilities.

**OCR 1: Unacceptable** - Performance does not meet the standard expected of staff at this classification level. This level indicates that the staff member has failed to deliver satisfactory results against a significant number of capabilities.

Again, the OCR is not necessarily a simple arithmetic average of the individual CR's but a judgement by the supervisor of performance against all capabilities, their relative importance, and taking into account any factors/events affecting performance. Again, the supervisor's assessment only occurs after a thorough discussion of performance and ratings with the staff member.

## 17. OVERALL PERFORMANCE RATING

A staff member's Overall Performance Rating (Form 7) is determined by adding his or her ratings against the Work Plan and the Capabilities. Both are to have equal weight in reaching the Overall Rating, which is scored out of a possible 10. For example, if the rating on the Work Plan was 4 and on the Capabilities it was 3, then the overall rating is 7.

## 18. UNACCEPTABLE PERFORMANCE

Managers and staff should be aware of poor performance well before the formal appraisal discussion. Where performance is Unacceptable (OWPR1 or OCR1), supervisors should ensure that they are providing feedback and counselling on an ongoing basis. If a staff member were to be told that his or her work performance was rated as unacceptable at the appraisal and this was the first time he or she had been informed of it, then there would be very strong grounds for lodging a grievance in terms of the grievance procedure in the LRA.

Where poor performance is identified, corrective action should commence immediately and not wait until the quarterly review or annual appraisal. As a result of this rating the supervisor and staff member should jointly develop a detailed performance improvement plan

A performance improvement plan, is in effect, a very detailed Work Plan, setting out the expected work results of a staff member on a week-by-week basis. It requires close monitoring by both supervisor and staff member, both of whom should be aware that if performance does not improve, then the process may then escalate to the formal dismissal procedures.

## 19. PERSONAL DEVELOPMENT PLANNING

Formulation of a Personal Development Plan or PDP (Form 9) is one of the key outcomes of the PMDS, and is at the heart of the scheme – helping staff to improve their performance. The PDP discussion, which is conducted after

the annual appraisal between the supervisor and staff member should include.

- (1) identification of any training needs (ie skill gaps) arising from the appraisal of performance against the Work Plan or the Capabilities, ie training needs for the current job; and
- (2) discussion of career plans and further development needs for the staff member to broaden their skills or to prepare them for higher level positions, ie training needs for future jobs.

In the initial PMDS cycle, or whenever an officer commences in a new position, a PDP will be drawn up to ensure that he or she obtains the skills development to do the job. The PDP must address any gaps between the job requirements and the staff member's skills.

A copy of the PDP should be forwarded to the Training Unit so that training needs can be assessed Department-wide. If the parties are concerned about privacy in terms development needs or career aspirations for example, these portions of the form should be blotted out before the copy of the PDP is sent to the Training Unit.

## 20. UPWARD FEEDBACK

Upward feedback provides an important opportunity for supervisors to gain valuable feedback from their staff on how they could manage them better. It also adds valuable integrity and credibility to the process by recognising that feedback is a two-way process.

**The opportunity to provide upward feedback supervisors occurs at two stages of the process.**

**Firstly**, during the staff member's own feedback session the opportunity exists to comment on specific aspects of how they have been supervised and to make suggestions about how the supervisor could manage them differently or more effectively. This would arise naturally and informally as part of the discussion and might include: longer lead times, more delegation, more feedback, more support/coaching etc. No formal recording of this feedback is necessary.

**The second**, and more formal, opportunity arises as part of the feedback to the supervisor by his or her staff collectively. This is a formal process where all staff members meet to discuss the supervisor's performance and provide written feedback on his or her perceived strengths and also on the areas where they could improve the way they manage their staff. As with the rest of the PMDS, this feedback is intended to provide useful information for the supervisor to assist him or her improve their performance.

The feedback is in the form of a brief written report against a set of management criteria – it does not involve an assessment rating. It should be signed by all the staff, but it is group feedback and should not attribute comments to individuals. The report goes to the supervisor for his or her

information and also goes to the next level supervisor. The next level supervisor will take the upward feedback into account when assessing the supervisor against his or her Capabilities. This supervisor will have to take care in accepting the feedback to ensure that it is fair and balanced and is not used as a vehicle for disgruntled employees to unfairly criticise their supervisors.

The supervisor will have the opportunity to address any issues raised by the upward feedback during the annual appraisal discussion with his or her own supervisor. The supervisor (whose performance was discussed) should at a later stage discuss the feedback with the staff to seek clarifications and propose remedies to any problem areas. While this may prove a little awkward at first for some supervisors and staff, it generally becomes easier with practice.

The way the supervisor responds to the feedback, whether he or she agrees with it or not, will be a test of his or her management and leadership skills. A positive and constructive approach will earn respect and credibility. A denying or vindictive approach will result in the opposite. The key point for supervisors to remember is that the perception of the staff is their reality. If the supervisor believes that perception is wrong, the challenge is to work constructively to change it, rather than blame the staff because they do not understand.

The upwards feedback criteria are:

**(1) Communication**

Is communication open and frank; are there regular meetings and briefings; are meetings run professionally; does two-way feedback occur; is the Performance Management and Development Scheme treated seriously; does he or she listen carefully and non-defensively to different points of view, whether or not he/she agrees?

**(2) Delegation**

Is there too little or too much delegation; are expectations and authority clearly explained/negotiated; are sufficient resources provided; is coaching and support provided where needed; are whole tasks delegated or are they 'drip-fed'; are tasks allocated according to individuals' strengths; are tasks delegated to develop and broaden skills and experience?

**(3) Leadership/teamwork**

Does the supervisor set clear standards of behaviour and performance; are the appropriate behaviours modelled by the supervisor; does he or she explain the 'vision' and goals for the area; is the area well represented and is he or she loyal to the staff; is innovation and risk-taking encouraged; is poor performance dealt with?

**(4) Planning**

Are priorities set and known to staff; is there an up-to-date work plan for the area; are all staff involved in its development; do staff feel responsible and 'own' the plan; does the plan link to other plans; is progress monitored regularly and are adjustments made?



### (5) **Concern and respect for staff**

Are personal development plans in place for each staff member; is training given both moral and financial support; are career aspirations considered; is appropriate regard paid to personal circumstances; are meetings scheduled at times when all staff can attend (regardless of family or transport commitments); are deadlines reasonable; are individual and team efforts and achievements recognised; is conflict or grievances dealt with; are all staff treated equally?

These criteria are not meant to be exhaustive, but a guide to the broad areas in which the supervisor should receive feedback. (Upward Feedback Form 4).

Where staff does not feel confident to complete this report themselves, they should seek assistance from the Staffing Services Directorate.

## 21. **MODERATION**

The purpose of moderation is to ensure, as far as possible, that supervisors are evaluating performance in a consistent way across the Department, with a common understanding of the standard required at each level of the rating scale. That said, it must be understood that any process of assessing staff performance will be imprecise and that while every attempt must be made to ensure consistency, an obsession with complete consistency is a waste of time and resources.

**The first level of moderation** occurs in ensuring that the Work Plan adequately and fairly reflects the requirements and level of the job. All supervisors must ensure that all the Work Plans of their staff (particularly where they are doing similar jobs) are of equal value.

It is then up to the next highest level manager to do the same across the level of staff supervised by those supervisors who report directly to him or her. By following a similar approach throughout the Department all Plans should reflect the appropriate value. In addition, the HOD (or his/her delegate) will arrange for a random selection of Work Plans across areas and levels to be reviewed to ensure consistency.

**The second level of moderation** occurs when performance is being rated. Having prepared for the appraisal interviews of their staff, supervisors should meet with *their* managers and other supervisors at their own level to compare their *preliminary* ratings of staff. This occurs *before* any discussion with staff about ratings. It provides an opportunity for these supervisors to discuss the spread of ratings and to adjust ratings 'up' or 'down' if it appears they are being too 'harsh' or 'soft' by comparison with their peers.

This process will cascade upwards with each Head (Region/Branch/Directorate) being ultimately responsible for ensuring consistency and equity within their area of control. Here the role of Heads is not to re-assess the ratings of individuals (whose work they may not know in any detail) but to question the spread of ratings and any apparent skewing or inconsistency, eg an area which is not performing well but where the staff have all received high ratings, or vice versa.

While the next higher level supervisor may ask a supervisor to reconsider his/her preliminary ratings if they appear inconsistent (too high/low) with other areas, it is the supervisor who made the initial ratings who must, if appropriate, take responsibility for making the adjustments. He or she would then have further discussions with the next higher manager. It is important that this occurs *before* the discussions with staff to minimise the need to moderate ratings up or down after the appraisal discussion with the staff member.

If, after the formal process it appeared that the ratings were still skewed in one direction or the other, a supervisor may be asked to review his or her ratings again.

It is important to recognise that the review of ratings is directed at the supervisors, rather than at the individuals being appraised. It seeks to examine situations where a group of ratings appear different from what might normally be expected and act to establish whether they are justified. The moderation process therefore triggers an enquiry about a rating, rather than being a process necessarily requiring change.

Finally, the supervisor's supervisor plays the role of Reviewing Officer and must personally sign the performance appraisals of all staff assessed by supervisors who report directly to him or her. At this stage, the reviewing officer is looking at individual assessments to ensure consistency, fairness and 'reality' in as much as he or she knows the detail of the person's work. The purpose of this is to test the validity of the assessment, not to change the assessment to reflect his or her view of the person – which may be incomplete.

*The third level* of moderation occurs when the Central Moderating Committee (chaired by the HOD or his/her delegate) reviews the spread of ratings across the Department. The Committee will look for apparent abnormalities and call upon the relevant Head (Region/Branch/Directorate) to justify them.

As a guide, the expectation is that the bulk of staff (90-95%) will fall within an Overall Rating range of 2-4 and that only very small numbers would be ranked in the other two categories. That said, staff should be rated according to performance. Clearly any supervisor who appeared to skew his or her ratings towards Outstanding or Unacceptable would have to justify their decisions.

### **'Central Tendency' and 'Leniency'**

Experience has shown that a small percentage of supervisors in any organisation will avoid their responsibility for giving honest assessments and will either rate all their staff at the '3' or 'Good' level (central tendency) or all at the '4-5' or 'Very Good – Outstanding' ratings (leniency). Such supervisors often leave the realistic assessment of the staff and the subsequent adjustment of the ratings to a higher level supervisor or Moderation

Committee – who are often then be 'blamed' for reducing high ratings to a more realistic level.

This approach is essentially dishonest, it is unhelpful to the staff and it usually indicates poorly developed leadership skills on the part of the supervisor. Where this occurs, such a supervisor's supervisor must take this apparent weakness into account when rating the supervisor under Capabilities 4 and 7 (Communication and Leadership). In obvious cases, the Moderation Committee should also follow-up with the supervisor's supervisor to ensure this occurs. Failure to take a strict approach to this issue will result in inflation of ratings and undermine the credibility and consistency of the entire Scheme.

Equally important in the credibility of the Scheme is the way the Moderation Committee operates. It must not be seen to 'fiddle' with the ratings of individual staff based on personal knowledge or prejudices – as already mentioned these may be incomplete. The Scheme relies on agreement between the direct supervisor and staff member about results and capabilities and it is expected that the supervisor will have the most complete knowledge of the staff member's performance (apart from the staff member themselves). The Moderation Committee should only become involved in reassessing individual ratings in the most extreme situations, eg where the ratings were clearly skewed and the supervisor was not taking responsibility to reassess them. As mentioned above, where this occurred it would be expected that the Committee would have to follow-up with some form of disciplinary action against the supervisor involved.

Finally, if the Moderation Committee does allow itself to become involved in reassessing ratings routinely, it will simply be playing into the hands of those supervisors who wish to abrogate their responsibility to make fair assessments and give honest ratings. The Committee's role is to maintain a strategic overview of the process, not to get involved in second-guessing or reassessing the ratings of individual staff. In this sense, the role is very different from such committees operating under the existing assessment schemes.

## 22. TRAINING IN THE PMDS

All staff covered by the PMDS will be trained in its operation. Training will cover:

- (1) the procedures of the PMDS and related documentation;
- (2) development of Work Plans;
- (3) understanding of the use of the Capabilities;
- (4) giving and receiving feedback;
- (5) personal development planning; and
- (6) upward feedback.

## 23. STAFF MOVEMENTS (INTERNAL)

Where staff change jobs within the Department during the PMDS cycle, performance appraisal in relation to the vacated position is to be completed prior to moving to the new position. Where that period is short, supervisors and staff should make a judgment as to the ability to achieve a meaningful appraisal for that period.

If the staff member changing jobs is a supervisor, performance appraisals for each staff member should be completed prior to moving.

A new Work Plan should be developed within one month of commencing in the new position. If the new person is a supervisor, then the new supervisor should interview each staff member and either re-affirm the existing plans or negotiate a new ones.

## 24. STAFF MOVEMENTS (EXTERNAL)

Where a staff member is promoted or transferred to another Public Service department, an appraisal will be conducted for the current PMDS cycle prior to the staff member leaving the Department. In the case of supervisors, regardless of the reason for their departure, they will be required to appraise their staff prior to departure.

New staff joining the Department will enter the PMDS cycle at an appropriate time agreed with the supervisor. This period of time will usually be no longer than four weeks. They will then be appraised at the end of the current cycle, provided a minimum period of one month elapses.

New staff who have no previous training or experience with the operation of a similar scheme, will be trained before joining the scheme. Staff who have some previous experience will be given the opportunity to familiarise themselves with the PMDS before joining the scheme. This period should not be more than 1 month.

Whether internal or external movement, these guidelines cannot cover every conceivable possibility and it is therefore important to use common sense and to ensure fairness to all parties, ie the staff member, the supervisor and the Department.

## 25. LEAVE TAKEN DURING THE PMDS CYCLE

Normal periods of leave (vacation leave, sick leave, excluding maternity and study leave) will not interfere with the operation of the PMDS cycle. However, where staff have been absent for a prolonged period, supervisors and staff should make a judgment as to the ability to achieve a meaningful appraisal which will be useful to the staff member.

A new Work Plan may need to be developed on return from a prolonged absence.

## 26. RESOLUTION OF DISPUTES

It is expected that most differences of opinion between supervisors and staff in relation to performance ratings, capability ratings, overall performance ratings or development planning, will be resolved by discussion between them.

Where agreement cannot be reached, the matter will be referred to the next level supervisor (the Reviewing Officer) within a week, who should then work with the two parties to try to resolve it.

If there is still no resolution within a further 5 working days and where there are:

- (1) serious breaches of the guidelines or of due process; or
- (2) serious grounds for challenging the Work Plan, the Capabilities or the overall performance rating

a formal review may be requested by the staff member. This request should be in writing and must state the reasons why the staff member believes there are grounds for challenging the process or the result.

Where a request for review is lodged, the HOD or his/her delegate will arrange for a review Committee to be appointed. The Committee will consist of a senior manager (appointed by the HOD), a union representative and an independent person/peer with knowledge of the work area nominated by the staff member. The Review Committee will make a recommendation to the HOD within 15 working days. The Committee will have recommendatory powers only and the HOD will be the final decision-maker.

If at this stage the staff member is still unhappy with the outcome, they may wish to seek a review through the ELRC.

## 27. MONITORING AND EVALUATION

The HOD will, in consultation with the Evaluation Committee, staff and unions, monitor the overall effectiveness of the PMDS. This will include a full evaluation of the PMDS after the initial pilot year.

In future years a brief evaluation report will be included in the Department's Annual Report, including statistical data on the results (i.e. the spread of ratings) in terms of race, gender, occupational and salary level, and by Chief Directorate (except in cases where the sample group is so small that confidentiality cannot be protected).

## 28. PRIVACY

The Work Plan may and should be communicated to other relevant staff in an officer's own work area (and further if appropriate) as part of sound planning

P  
d  
b

practice, i.e. informing staff what their supervisor's and colleagues objectives are, checking consistency. This will assist in establishing work group objectives and reinforce links to the corporate plan and operational plans. However access to the performance appraisal is strictly limited.

During the PMDS cycle, the HOD (or his delegate) will have access to Work Plans for quality control purposes. During the PMDS cycle, access to all other documentation will be limited to the supervisor and staff member concerned, the Reviewing Officer and the HOD (or his delegate). Other access will be limited to that required in order to resolve any disputes.

Disclosure of performance assessment results to third parties will occur only:

- (1) At the request of another department to which an employee has applied for employment;
- (2) With the prior consent of the officer; and
- (3) As required by law.

## **29. MERIT AWARDS, PROGRESSION ETC**

Should an agreement be reached with the Trade Unions the PMDS will be used.

## **30. SUMMARY LIST OF FORMS**

Listed below are all the forms used in the PMDS.

- **Form 1**                      **Work Plan**
- **Form 2**                      **Annual Work Plan Rating – Staff member**
- **Form 3**                      **Annual Work Plan Rating – Supervisor**
- **Form 4**                      **Upward Feedback**
- **Form 5**                      **The Capabilities**
- **Form 6**                      **Overall Capability rating**
- **Form 7**                      **Overall Rating of Work Plan and Capabilities**
- **Form 8**                      **Annual Performance Appraisal – Cover Sheet**
- **Form 9**                      **Personal Development Plan**

# WORK PLAN

NAME: ..... WORK AREA: ..... PERIOD: ..... / ..... / ..... TO ..... / ..... / .....

KEY OBJECTIVES	ACTION STRATEGIES	PERFORMANCE INDICATORS	NOTES ON PROGRESS, CHANGED CIRCUMSTANCES, PRIORITIES, RESOURCES ETC DURING PERIOD

AGREED:

SIGNED:

..... (STAFF MEMBER)

..... (SUPERVISOR)

**WORK PLAN (FOLLOWING PAGES)**

KEY OBJECTIVES	ACTION STRATEGIES	PERFORMANCE INDICATORS	NOTES ON PROGRESS, CHANGED CIRCUMSTANCES, PRIORITIES, RESOURCES ETC DURING PERIOD




**ANNUAL WORK PLAN RATING – STAFF MEMBER**

NAME: ..... WORK AREA: ..... PERIOD: ..... / ..... / ..... TO ..... / ..... / .....

KEY OBJECTIVE	COMMENTS ON PERFORMANCE	RATING
1.		1 2 3 4 5
2.		1 2 3 4 5
3.		1 2 3 4 5
4.		1 2 3 4 5
5.		1 2 3 4 5
6.		1 2 3 4 5
Overall Work Plan Rating		1 2 3 4 5

Notes: 

**ANNUAL WORK PLAN RATING - SUPERVISOR**

NAME: ..... WORK AREA: ..... PERIOD: ..... / ..... / ..... TO ..... / ..... / .....

KEY OBJECTIVE	COMMENTS ON PERFORMANCE	RATING
1.		1 2 3 4 5
2.		1 2 3 4 5
3.		1 2 3 4 5
4.		1 2 3 4 5
5.		1 2 3 4 5
6.		1 2 3 4 5
Overall Work Plan Rating		1 2 3 4 5

AGREED / DISAGREED

SIGNED: ..... / ..... / ..... (STAFF MEMBER) ..... / ..... / ..... (SUPERVISOR)

Collective Agreement Number 3 of 2002 (Annexure A)

PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME FOR OFFICE BASED EDUCATORS

elrc

**UPWARD FEEDBACK**

SUPERVISORS' NAME: ..... TITLE: ..... WORK UNIT: ..... DATE: .....

CRITERION	STRENGTHS	SUGGESTED CHANGES / IMPROVEMENTS
COMMUNICATION		
DELEGATION		
LEADERSHIP/TEAMWORK		
PLANNING		
CONCERN/RESPECT FOR STAFF		

SIGNATURES:



 Collective Agreement Number 3 of 2002 (Annexure A)  
 PERFORMANCE MANAGEMENT AND DEVELOPMENT SCHEME FOR OFFICE BASED EDUCATORS


eLRC



Form 5

## THE CAPABILITIES

As well as an assessment against the Work Plan, staff members are also assessed against the Capabilities for their posts. The supervisor and staff member must have a thorough discussion of each of the capabilities at the beginning of the assessment period and during the end-of-year assessment discussion. This discussion should relate the capabilities to the realities of the job and discussion should centre on real-life examples of what the capabilities measure.

### APPRAISAL OF CAPABILITIES

- Capabilities 1-5 usually apply to all staff;
- Capabilities 1-9 apply to all supervisors up to Level 5 officials ;
- The opportunity exists to add additional capabilities where appropriate;
- The opportunity also exists to amend the elements within the capabilities to make them more relevant to the particular job. In doing this, the appropriate CORE may provide a useful reference;
- The capabilities should be set bearing in mind the level and role of the job;
- At the end of the cycle supervisors must rate the staff member against each appropriate capability using the five point rating scale (i.e. Outstanding – Unacceptable).

### OVERALL RATINGS OF INDIVIDUAL CAPABILITIES

The 'Overall Rating' at the bottom of each box of 'Elements' should not necessarily be a simple average of the individual element ratings. Similarly, in the overall assessment of Capabilities, judgement should be used, rather than a simple arithmetic average, in assessing their relative importance in the particular job.

Name: .....

Work Area: .....

Period: ..... / ..... / ..... to ..... / ..... / .....

*Capabilities Agreed:*

Staff Member: ..... Date: .....

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

## THE CAPABILITIES

### CAPABILITY 1:      JOB PERFORMANCE

The manner in which staff by their work behaviour and the application of skills successfully carry out their work.

ELEMENTS	1	2	3	4	5
Uses work time efficiently					
Manages resources carefully					
Plans and prioritises work					
Works effectively without supervision					
<b>OVERALL RATING OF THIS CAPABILITY</b>					




Comments:

### CAPABILITY 2:      JOB KNOWLEDGE AND APPLICATION

Seeking, having and maintaining the necessary knowledge to do the job. Being able to apply the knowledge sensibly to achieve results, not simply applying the 'rules'.

ELEMENTS	1	2	3	4	5
Understands the appropriate policies and procedures					
Uses policies/procedures sensibly and effectively					
Is results focussed not just 'rules' focussed					
Keeps up-to-date					
Demonstrates understanding of how current job role contributes to overall unit objectives and the Corporate Plan					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 3: INTERPERSONAL RELATIONS**

Maintaining sound interpersonal relations with colleagues, clients and stakeholders to ensure an harmonious and productive work environment.

ELEMENTS	1	2	3	4	5
Cooperates with others (colleagues, clients and stakeholders)					
Treats others with respect					
Respects others' rights					
Contributes to teamwork					
Contributes to conflict resolution					
Strives to empower colleagues, clients and stakeholders					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 4: COMMUNICATION**

Communicates with colleagues, clients and stakeholders in an accurate, timely, clear and courteous manner. Promotes transparency, trust and common understanding in the way he/she communicates.

ELEMENTS	1	2	3	4	5
Ensures regular and appropriate communication occurs					
Has effective listening skills with all stakeholders					
Negotiates to achieve 'win-win' solutions					
Promotes and ensures easy access to information					
Consults on initiatives and workloads					
Keeps in regular communication with other appropriate work units					
Gives regular constructive feedback both positive and negative as appropriate					
Demonstrates commitment to the PMDS, 'rates' staff performance honestly					
Gives acknowledgement and recognition where it is due					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 5: CLIENT SERVICE**

Ability to render quality service to both internal and external clients.

ELEMENTS	1	2	3	4	5
Demonstrates a sound understanding of <i>Batho Pele</i>					
Treats internal and external clients with courtesy, respect and genuine interest in meeting their needs					
Seeks to continuously improve service					
Responds to enquiries and complaints quickly and sensitively					
Regards complaints as opportunities for improvement					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 6: EQUITY** (commitment to development of historically disadvantaged societal groups)

The willingness and ability to promote equity in line with the objectives and policies of the Government.

ELEMENTS	1	2	3	4	5
Demonstrates an understanding of Government policy on equity					
Promotes non-discriminatory workplace opportunities					
Ensures equal access to workplace opportunities					
Considers the particular needs of diverse groups that constitute the workforce					
Treats people fairly					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 7: OPERATIONAL LEADERSHIP ABILITIES**

The ability to guide and direct the efforts of the group so that they work effectively to achieve their objectives.

ELEMENTS	1	2	3	4	5
Sets and models clear standards of behaviour and performance					
Sets clear goals and expectations					
Accepts responsibility and accountability for the work of the group					
Delegates appropriately					
Represents the team and its interests effectively					
Gives and receives loyalty to/from the team					
Facilitates training and development					
Manages poor performance					
Facilitates conflict resolution in the team					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

COMMENTS:

**CAPABILITY 8: VISIONARY LEADERSHIP ABILITIES**

Concerned with forward thinking, accepting challenges and opportunities. Develops and communicates a clear and relevant vision for the unit/department.

ELEMENTS	1	2	3	4	5
Promotes/translate an understanding of the Government's vision					
Represents the Department effectively					
Initiates and manages change in pursuit of strategic objectives					
Contributes to achievement of corporate objectives					
Builds inter-team cooperation towards corporate objectives					
Builds and supports a high performance team					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:



**CAPABILITY 9: CONCEPTUAL AND ANALYTICAL SKILLS**

Able to analyse situations/issues and to develop clear, rational policy and operational responses and advice. Presents clear briefing and policy advice.

ELEMENTS	1	2	3	4	5
Able to analyse complex situations/issues and recognise the conceptual framework					
Able to develop sound, clear and rational advice which is cognizant of the existing policy context					
Able to generate innovative/creative responses to problems					
Ability to provide effective written/oral briefing on complex issues					
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

**CAPABILITY 10:**

ELEMENTS	1	2	3	4	5
<b>OVERALL RATING OF THIS CAPABILITY</b>					

Comments:

*[Handwritten signatures and initials]*

Form 6

**OVERALL CAPABILITY RATING**

CAPABILITIES *		1	2	3	4	5
1.	Job performance					
2.	Job knowledge and application					
3.	Interpersonal relations					
4.	Communication					
5.	Client service					
6.	Equity					
7.	Operational leadership abilities					
8.	Visionary leadership abilities					
9.	Conceptual and analytical skills					
10.						
OVERALL CAPABILITY RATING						

\* Use only those Capabilities relevant to the level.

**Comments:***Capabilities Rating Agreed/Disagreed:*

Staff Member: ..... Date: .....

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




Form 7

**OVERALL RATING OF WORK PLAN AND CAPABILITIES**

The overall rating of performance is derived from a combination of the ratings against the Work Plan and the relevant capabilities.

	RATING
1. OVERALL RATING FROM THE WORK PLAN	
2. OVERALL RATING FROM THE CAPABILITIES	
3. OVERALL PERFORMANCE RATING (1 + 2 ABOVE)	

**COMMENTS SECTION**

STAFF MEMBER'S COMMENTS:

SUPERVISOR/MANAGER COMMENTS:

NEXT LEVEL SUPERVISOR'S COMMENT:

STAFF MEMBER'S SIGNATURE:

DATE:

SUPERVISOR/MANAGER'S SIGNATURE:

DATE:

NEXT LEVEL SUPERVISOR'S SIGNATURE:

DATE:

FORM 8

## ANNUAL PERFORMANCE APPRAISAL COVER SHEET

*This cover sheet is to be completed and attached to: the Overall Rating of Work Plan and the Capabilities (Form 6), the Assessment of the Capabilities (Form 5) and the Annual Work Plan Rating – Supervisor (Form 3).*

APPRAISEE'S NAME :  
.....

WORK UNIT (Directorate etc) :  
.....

PERSAL NUMBER :  
.....

RANK :  
.....

DATE OF ENTRY INTO RANK :  
.....

SUPERVISOR/MANAGER'S NAME :  
.....

SUPERVISOR/MANAGER'S RANK :  
.....

PERIOD OF APPRAISAL :  
.....

DATE APPRAISAL CONDUCTED :  
.....

Form 9

**PERSONAL DEVELOPMENT PLAN****TRAINING AND DEVELOPMENT NEEDS**

Based on the outcome of the performance appraisal discussion, the supervisor and staff member should identify any areas where the staff member could improve their performance. This could be to improve in a weak area or become even better in a strong area. These needs should be listed in priority order.

Following the discussion of the areas needing development, the supervisor and staff member should then discuss the training and development possibilities to meet these needs. It is important to remember that not all development needs can be met by off-the-job training i.e. training courses. On-the-job training, coaching, special assignments, attachments etc. are other effective means of development.

DEVELOPMENT NEED	PROPOSED ACTION IN RESPONSE TO THE NEED

**CAREER DEVELOPMENT NEEDS**

The supervisor and staff member should take the opportunity to discuss potential career directions over the next 2-5 years.

Key career development preferences and options are:

---



---



---

*[Handwritten signature]*

*[Handwritten mark]*

The supervisor and staff member should then discuss the skills and knowledge the staff member will require to follow his or her career aspirations. Again, they should identify ways in which these development needs can be met.

DEVELOPMENT NEED	PROPOSED ACTION IN RESPONSE TO THE NEED

Comments:

This Personal Development Plan is agreed for action over the next twelve months.

OFFICER: .....  
SIGNATURE

.....  
DATE

SUPERVISOR: .....  
SIGNATURE

.....  
DATE

REVIEWER: .....  
SIGNATURE

.....  
DATE

*[Handwritten signature]*

*[Handwritten signature]*

*[Handwritten signature]*

*[Handwritten signature]*